



## MEDIUM-SIZED PROJECT PROPOSAL REQUEST FOR GEF FUNDING

**AGENCY'S PROJECT ID:** 3776

**GEFSEC PROJECT ID:**

**COUNTRY:** Global

**PROJECT TITLE:** Pollution Reduction through Improved Municipal Wastewater Management in Coastal Cities in ACP Countries with a Focus on SIDS

**GEF AGENCY:** UNDP-GEF

**OTHER EXECUTING AGENCIES:** UNEP/GPA

**DURATION:** 3 years

**GEF FOCAL AREA:** International Waters

**GEF OPERATIONAL PROGRAM:** OP10: Contaminant-based Programme, LBA and Regional/Global Technical Support Components

**GEF STRATEGIC PRIORITY:** IW-2 Targeted Learning/Focus on SIDS

**ESTIMATED STARTING DATE:** August 2006

**IMPLEMENTING AGENCY FEE:** USD 90,000

FINANCING PLAN (US\$)	
<b>GEF PROJECT/COMPONENT</b>	
Project	1,000,000
PDF A*	n/a
<b><i>Sub-Total GEF</i></b>	<b>1,000,000</b>
<b>CO-FINANCING**</b>	
EU Water Facility	1,200,000
<b><i>Total Project Financing:</i></b>	<b>2,200,000</b>
<b>FINANCING FOR ASSOCIATED ACTIVITY IF ANY:</b>	

\* Indicate approval date of PDF/A

\*\* Details provided in the Financing Section

**CONTRIBUTION TO KEY INDICATORS OF THE BUSINESS PLAN:** 90% of SIDS capacity built to address pollution reduction from municipal sewage discharges. Meeting JPOI targets for sanitation.

**RECORD OF ENDORSEMENT ON BEHALF OF THE GOVERNMENT:**

Global project; not required

This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for a Medium-sized Project.

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## **PART I - PROJECT CONCEPT**

### **A – SUMMARY**

The discharge of untreated municipal wastewater into rivers, lagoons and estuaries or directly into the ocean is one of the most serious threats to the marine environment, the health of coastal populations and sustainable coastal development worldwide. This proposal responds to the daunting challenges faced by African, Caribbean and Pacific countries (ACP) in addressing municipal wastewater problems. According to UNEP (2005), the percentage of untreated wastewater reaching fresh or coastal waters is 86% for the Caribbean, 80% in West and Central Africa, and 50% for East Africa. Data on coastal water quality in Pacific Island Countries is very limited, but poor water quality in some areas has led to the degradation of important fishing and tourism resources.

This project aims at improving skills and knowledge at the municipal level needed in project identification, planning and financing in water, sanitation and wastewater management. The actions proposed follow recommendations of the EU Water Initiative and contribute to building decentralized capacity towards achieving the Johannesburg Plan of Implementation targets on water and sanitation. It does so by strengthening municipal efforts to identify, design and finance projects to collect and treat domestic wastewater through training their managerial staff.

Jointly with the UNESCO-IHE Institute for Water Education and in cooperation with the UNDP-GEF funded Train-Sea-Coast Programme of the UN Division for Ocean Affairs and the Law of the Sea (UN/DOALOS), the UNEP Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (GPA) has developed a training course entitled “Improving Municipal Wastewater Management for Coastal Cities”. This course has been delivered thirteen times in four languages, and has successfully trained 300 professionals and thirty instructors. The content is based on the UNEP/WHO/UN-HABITAT/WSSCC<sup>1</sup> Guidelines on Municipal Wastewater Management.

The project builds on this successful inter-agency training programme and aims at cost-effective replications in 29 countries in Africa, the Caribbean and the Pacific Islands. An additional 1.200 managers and a pool of 60 local instructors will be trained through 60 additional course deliveries. It is also a continuation and expansion of the UNDP/GEF/UNOPS Global TSC Programme (2000-2005).

The concrete objective of the activities in this proposal is to strengthen wastewater management capabilities at the municipal level, and to identify and formulate feasible and environmentally friendly projects to collect and either treat or re-use municipal wastewater. In order to ensure the sustainability of these resulting projects, the programme also provides the skills and tools needed by municipal finance committees to plan multi-year financing of infrastructure investments.

While multi-year financial planning includes identification and mobilization of domestic financial resources for municipal services, specific attention will be given to affordability constraints faced by the poorer segments of the population. This in turn will lead to better municipal services provided to urban populations, including the urban poor, and contribute to improving marine environmental conditions and human health by reducing pathogen and nutrient loads. These results are essential for ACP States to develop the enabling environment to ensure sustainable investment in sanitation infrastructure.

The proposal consists of two training components:

Component-A: training on objective-oriented planning in wastewater management

Component-B: training on multi-year financial planning for municipal infrastructure investments

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<sup>1</sup> WHO = World Health Organisation, UN-HABITAT = Human Settlements Programme, WSSCC = Water Supply and Sanitation Collaborative Council

## **The overall goal**

The overall goal of the project is to improve municipal wastewater management in selected countries in Africa, the wider Caribbean and the Pacific and thereby contribute to:

- achieving the MDG7 / Johannesburg Plan of Implementation (JPOI) target on sanitation;
- improving environmental conditions in coastal regions;
- reducing potential transboundary wastewater ‘hot spots’;
- improving human health; and
- implementing the GPA.

## **Immediate objectives**

The immediate objectives of the project are as follows:

1. To increase capacity of municipalities in ACP countries to identify and formulate projects to collect and either treat or re-use municipal wastewater that are:
  - a. environmentally friendly,
  - b. technologically feasible, and
  - c. financially sustainable.
2. To develop institutional capacity - at the finance committee level - for effective multi-year financial planning; and to strengthen domestic and external resource mobilization, including the “user pays” and “polluter pays” principle, and involvement of the private sector
3. To promote the systematic involvement of stakeholders, such as fisheries, tourism, public health, environmental NGOs and communities, in all stages of the planning process leading to municipal wastewater infrastructure investments; and to improve the knowledge base and strengthen information exchange between practitioners (North-South knowledge transfer and South-South knowledge sharing) and cooperation between project managers and finance planners.

## **Project outcomes**

The expected outcomes of this project include:

1. Greater awareness of over 1200 municipal wastewater management officials in 29 countries of the overall benefits of proper treatment of municipal wastewater.
2. Increased capacity to use objective-oriented planning for municipal wastewater infrastructure planning.
3. Capacity built to develop and implement multi-year finance plans for municipal wastewater infrastructure investments that require operation and maintenance.
4. Improved coordination between technical project planning teams and finance committees.
5. More systematic involvement of stakeholders at appropriate stages of the planning process.

The outcomes will arise primarily from the training of municipal planning and finance professionals, notably through:

### Component-A: Training on Objective-Oriented Planning for Wasterwater Management

- a. Replications of an existing UN/DOALOS Train-Sea-Coast accredited and fully documented 5-day partially residential course.
- b. Handbook and course manual in the English, French, Portuguese, and Spanish language.
- c. CD-ROM with a project cycle management tutorial, software tools for making feasible decisions and a document library.

### Component-B: Training on multi-year financial planning for municipal infrastructure investments.

- d. A new training course on multi-year financial planning to be developed and implemented according to UN/DOALOS Train-Sea-Coast methodology incl. material and translations.

### Component C: Support to the implementation and up-scaling of Components-A and –B: a multi-lingual web site, outreach to relevant stakeholders and collaboration with relevant GEF international waters projects in the SIDS.

## **B - Country ownership**

### 1. COUNTRY ELIGIBILITY

This global project directly supports existing GEF regional projects for SIDS (Pacific, Caribbean, Afro-Indian) and African LMEs (Canary Current, Guinea Current, Benguela Current, Agulhas/Somali Current) which have been previously endorsed; this project is aimed at supporting each of them with necessary capacity building that is linked with country-driven priorities of each of these GEF approved projects. In addition, all the planned beneficiary countries are eligible under para 9(b) of the GEF Instrument.

### 2. COUNTRY DRIVENNESS

#### Global

Through improving management decisions, the project will contribute to the implementation of the Washington Declaration (1995, resulting in the GPA) and to achieving the goals and targets identified in the Johannesburg Plan of Implementation, the Millennium Declaration, in particular, the target to halve by 2015, the proportion of people without sustainable access to basic sanitation. It will follow the recommendations made by the UN Task Force on Water and Sanitation, and those contained in the WSSCC developed 'Roadmap from Dakar to CSD13', and the outcome of CSD13, in particular the Secretary General's Report on Sanitation. It also addresses needs identified in the Bali Strategic Plan for Technology Support and Capacity Building, as agreed upon by over 120 UNEP member states.

#### Furthermore, the formulation of this project also builds on:

- consultations with countries and experts that participated in UNEP-led regional consultative workshops on wastewater management, held in various regions since 2001;
- consultations with other UN Agencies and International Organisations active in the field of wastewater management, such as WHO, UN-Habitat, UNICEF, and the WSSCC;
- membership in the initially UNDP/GEF funded UN/DOALOS Train-Sea-Coast Program and applying its methodology to the training development and implementation jointly with the UNESCO-IHE Institute for Water Education and academic institutions in the target countries, transferring successes of the Train-Sea-Coast Program and lessons learned;
- feedback from the 300 participants from twenty-two different countries; and
- active participation in major ongoing international and regional initiatives (WSSD, NEPAD, AMCOW, GCLME, the UNEP Regional Sea Programme, WIO-LaB, ASCLME and the Nairobi Convention, as well as on SIDS and the Barbados Plan of Action and the Mauritius Strategy).

UNEP/GPA facilitated a series of regional consultative meetings on wastewater management, including two in East Africa, one in the Pacific and two in the Caribbean (reports available at <http://www.gpa.unep.org/bin/php/programs/sap/regional/index.php>), which confirmed the need to strengthen the capacity of municipalities to address wastewater related issues. In addition, UNEP is actively involved in the following regional processes:

#### Africa

In Africa, the project aims at meeting demands formulated in meetings of the Environmental Initiative of the New Partnership for Africa's Development (NEPAD), the African Ministerial Conference on the Environment (AMCEN), the African Ministerial Council on Water (AMCOW); which identified wastewater as one of the priority needs for the African region. The project also supports the Nairobi and Abidjan Conventions, the WIO-LaB and Agulhas & Somali Current Large Marine Ecosystems projects (ASCLMEs), and the Guinea Current Large Marine Ecosystem project (GCLME) of the Global Environment Facility (GEF). Ten of the selected African countries are also least developed countries (LDCs).

Partnerships with each of these ongoing initiatives have been established, and implementation of training programme in the respective regions covered by these initiatives will occur in cooperation with these initiatives. For example, the need for capacity building in wastewater management is, amongst others, one of the issues of the preliminary SAP (of the PDF-B stage of the WIO-LaB), as confirmed through a recently executed regional training needs assessment under the WIO-LaB project.

The draft WIO-LaB Training Needs Assessment recommends increasing the knowledge and expertise in the WIO-LaB thematic areas of Physical Alteration and Destruction of Habitat (PADH) and Municipal Wastewater Management (MWW). The specific recommendations for training in Municipal Wastewater Management (MWW) are overlapping with the curriculum of the Train-Sea-Coast courses (Component A and B). The draft summary report of the training needs assessment therefore recommends UNESCO-IHE and UNEP/GPA to organize training on municipal wastewater management in the WIO-LaB countries.

Thus the present proposal meets an immediate demand, complementing the activities of, in this case, the WIO-LaB project. Implementation of the programme in the WIO region will occur through the existing project management structure. In the case of WIO-LaB, a specific regional Task Force on MWW management has been established to fulfill such tasks. The Nairobi Convention also explicitly addresses sanitation and wastewater: <http://hq.unep.org/easternafrika/EasternAfricaNairobiConvention.cfm>

Pollution from municipal, industrial and agricultural sources significantly affects transboundary waters and living marine resources of the GCLME. Detailed studies and analysis conducted in the GCLME region and in the entire WACAF region show clearly that sewage constitutes the main source of pollution as a result of land-based activities.

All the countries assessed reflect high urban, domestic loads, sometimes from industrial origin, which include BOD, suspended sediments, nutrients, bacteria and pathogens. See also the Project Document of the GEF project: Combating living resource depletion and coastal area degradation in the Guinea Current LME through ecosystem-based regional actions, available at the GEF web site: [http://www.thegef.org/Documents/Council\\_Documents/GEF\\_C22/IW\\_-\\_Regional\\_-\\_Guinea\\_Current\\_-\\_Project\\_Document.pdf](http://www.thegef.org/Documents/Council_Documents/GEF_C22/IW_-_Regional_-_Guinea_Current_-_Project_Document.pdf)

Table 1: *Overview on relevant global and regional processes beneficiary countries participate in (further elaborated in the text above):*

<b>Africa</b>	<b>JPOI</b>	<b>WHO</b>	<b>SIDS</b>	<b>AMCEN</b>	<b>NEPAD</b>	<b>Nairobi Conv.*</b>	<b>WIO-LaB</b>	<b>ASC LME</b>	<b>Abidjan Conv.*</b>	<b>GC LME</b>
Angola	x	x		x	x				x	x
Benin	x	x		x					x	x
Cameroon	x	x		x	x				x	x
Congo, Rep. of	x	x		x					x	x
Comoros	x	x	x	x		x	x	x		
Eritrea	x	x		x						
Ghana	x	x		x	x				x	x
Guinea	x	x		x					x	x
Kenya	x	x		x	x	x	x	x		
Madagascar	x	x		x		x	x	x		
Mauritius	x	x	x	x	x	x	x	x		
Mozambique	x	x		x	x	x	x	x		
Namibia	x	x		x					x	
Nigeria	x	x		x	x				x	x
Sao Tome and Principe	x	x	x	x					x	x
Senegal	x	x		x	x				x	
Seychelles	x	x	x	x		x	x	x		
Tanzania	x	x		x	x	x	x	x		
Togo	x	x		x					x	x

\* either adopted or ratified by member country

### Caribbean

In the Caribbean, the project activities support the Cartagena Convention, in particular the Pollution from Land-based Sources and Activities (LBS) protocol, and the ongoing GEF-UNDP-UNEP Integrating Watershed and Coastal Areas Management programme of the Caribbean Environmental Health Institute (CEHI) and Cartagena Convention Secretariat (CAR/RCU). The Pan American Health Organisation (PAHO) is the regional WHO partner. The Cartagena Convention explicitly addresses sanitation and Wastewater:

[http://www.cep.unep.org/pubs/legislation/lbsmp/final%20protocol/lbsmp\\_protocol\\_eng.html](http://www.cep.unep.org/pubs/legislation/lbsmp/final%20protocol/lbsmp_protocol_eng.html)

This project will also contribute directly and be supplementary to the joint UNDP and UNEP GEF project 'Integrating Watershed and Coastal Area Management (IWCAM) in the Small Island Developing States of the Caribbean', by providing training relevant to its subcomponent B: Waste and wastewater management. This project aims at providing training to project staff involved in the design and implementation of demonstration projects under this component. See also:

<http://www.gefonline.org/ProjectDocs/International%20Waters/Regional%20%20-%20Integrating%20Watershed%20&%20Coastal%20Area%20Manag%20in%20Small%20Island%20Dev el%20of%20the%20Caribbean/4-16-04%20Project%20Document.doc>

Table 2. Overview on relevant global and regional processes:

The Caribbean	JPOI	WHO/PAHO	SIDS	Cartagena Convention*	LBS Protocol*	CEHI
Bahamas, The	x		x	x	x	x
Barbados	x	x	x	x	x	x
Belize	x	x		x	x	x
Dominican Republic	x	x	x	x	x	
Guyana	x	x		x	x	x
Jamaica	x	x	x	x	x	x
Suriname	x	x		x	x	
Trinidad and Tobago	x	x	x	x	x	x

\* either adopted or ratified by member country

### Pacific

In the Pacific, the proposed activities enhance the efforts of the Secretariat of the Pacific Regional Environment Programme (SPREP), the Noumea Convention and the South Pacific Applied Geoscience Commission (SOPAC), to strengthen national capacities in environmental management as well as water and wastewater management.

The Pacific Water Association (PWA) is a partner in the region. PWA was at the heart of the generation of the Pacific Wastewater Policy and SOPAC and PWA just secured funding for a regional programme on water demand management. The Pacific Regional Action Plan on Sustainable Water Management (ADB and SOPAC, 2003) is complementary to the Pacific Wastewater Framework for Action. Theme (1): Water Resources Management; Theme (3): Awareness; Theme (4): Technology; and Theme (6): Finance in the Regional Action Plan refer directly to capacity building needs in wastewater management. The joint UNEP-UNDP Pacific SIDS IWRM GEF project is building on both strategic documents to improve water management in the Pacific Region. In addition, this MSP supports capacity building elements in the implementation of the Pacific SIDS Strategic Action Programme (SAP) developed under the UNDP-GEF IWP programme executed by SPREP.

Table 3. Overview on relevant global and regional processes:

Pacific	JPOI	WHO	SIDS	SPREP	SOPAC	Noumea Convention
Fiji	x	x	x	x	x	x
Papua New Guinea	x	x	x	x	x	x

### SIDS

One third of the countries where activities are proposed are Small Island Developing States (SIDS), who have expressed their needs for improved environmental management in the Mauritius Strategy for the further implementation of the Programme of Action for the Sustainable Development of SIDS. The international community is also requested to provide assistance to SIDS in capacity-building for the development and further implementation of freshwater and sanitation programmes, through the promotion of integrated water resources management, including support by the UNEP/GPA Coordination Office. UNDP and UNEP are partnering in the preparation and implementation of three GEF International Waters projects to support IWRM processes in the Pacific, Caribbean, Eastern Atlantic and Indian Ocean SIDS.

The activities will promote South-South knowledge sharing as well as North-South knowledge transfer. They are in line with UNEP's Bali Strategic Plan for Technology Support and Capacity Building <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf> as approved by the twenty-third session of UNEP's Governing Council/Global Ministerial Environment Forum, Dubai 2005.

This project will contribute directly and be supplementary to the joint UNDP and UNEP GEF project Atlantic and Indian Ocean SIDS Integrated Water Resource and Wastewater Management, in which the absence of wastewater & sewage handling facilities has been identified as a national environmental and sustainable development priority in all countries. The capacity built under the MSP project should in turn inform the development and implementation of relevant demonstrations planned under the SIDS project, as well as influence policy elements of IWRM planning related to wastewater management.

The contribution to the joint UNDP and UNEP GEF project 'Integrating Watershed and Coastal Area Management (IWCAM) in the Small Island Developing States of the Caribbean' is mentioned above.

The participating countries of the joint UNDP and UNEP GEF project 'Implementing Sustainable Integrated Water Resource and Wastewater Management in the Pacific Island Countries' will also benefit from the training offered, in particular by integrating the development and implementation of demonstration projects with the capacity building delivered under this proposal, and strengthening wastewater management elements of the IWRM planning processes in each country.

The GPA will facilitate exchange of good practices and lessons learned from this collaboration via tools of the GEF IW:LEARN, but also via the multi-lingual web site and network of practitioners, which will be sustained under Component-C of this proposal.

## **C – PROGRAM AND POLICY CONFORMITY**

### **1. PROGRAM DESIGNATION AND CONFORMITY**

In line with the Johannesburg Plan of Implementation, the Beijing Declaration of the GEF Assembly, and calls from Global Environmental Conventions, the GEF has made capacity building a major strategic priority for its third phase (GEF3), across all focal areas. According to the Policy Framework of the GEF Operational Strategy, GEF activities will be designed to be environmentally, socially and financially sustainable. The project promotes the same principles via the training components.

The GEF Operational Programmes in the International Waters focal area provides a framework for the design, implementation, and coordination of international waters projects that can achieve global environmental benefits. The GEF Operational Strategy identifies the following priority areas to be addressed: control of pollution affecting international waters; prevention of degradation of critical habitats, which sustain biodiversity; and control unsustainable use of water resources or living resources. The GEF Operational Strategy specifically highlights the importance of GEF support to "*capacity building, human resource development, and skills that are necessary to achieve global environmental objectives*". It also emphasizes the importance of "*public participation and consultation of major groups (...), local communities and other stakeholders at appropriate stages of the project development and implementation*", which is also one of the aims of the project.

The GEF Operational Programme Number 10, the Contaminant-based Programme, stresses pollution prevention, the "user pays" and "polluter pays" principle and the importance of stakeholder involvement and participation as essential parts of this operational programme. Information sharing mechanisms, capacity building and training opportunities with regard to safe handling and disposal of priority contaminants are highlighted as outputs under the global/regional technical support component.



While not strictly a ‘demonstration’ project, the project still strongly supports the Land-based Activities Component of OP10, e.g. “...testing strategies countries might wish to pursue under the Global Programme of Action for Land-Based Activities that degrade marine waters”.

The adverse effects of nutrients and human pathogens stemming from the disposal of untreated wastewater on the environmental conditions of freshwater bodies, and subsequently the downstream coastal and marine environments provides substantive linkages to OP2: Coastal, Marine and Freshwater Ecosystems. Lastly, the project supports GEF-3/4 Strategic Priorities/Directions IW-2 Targeted Learning/with Focus on SIDS.

2. Project Design. Insert [LOGICAL FRAMEWORK](#).

Table 1: Logical Framework and Objectively Verifiable Impact Indicators

Project Strategy	Objectively verifiable indicators				
<p><b>Goal:</b></p>	<p><b>Pollution Reduction through Improved Municipal Wastewater <u>Management</u> in selected ACP countries with a focus on SIDS</b>, and thereby contributing to:</p> <ul style="list-style-type: none"> <li>- achieving MDG7 / the Johannesburg Plan of Implementation target on sanitation;</li> <li>- improving environmental health in coastal regions;</li> <li>- reducing potential transboundary wastewater ‘hot spots’;</li> <li>- implementing the GPA- improving human health.</li> </ul>				
	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
<p><b>Objective:</b></p> <p><u>Improved capacity</u> of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects that are backed by a multi-year finance plan</p>	<p>Percentage of new wastewater proposals in ACP countries, that are environmentally-friendly, technologically feasible, where stake-holders were involved in planning process, <u>and</u> include a sustainable multi-year finance plan for operation &amp; maintenance</p>	<p><i>Estimated</i> 0 - 10%</p>	<p>20% of proposals submitted meet these criteria  (15% for the multi-year finance plan for O&amp;M)</p>	<ul style="list-style-type: none"> <li>● Review of proposals submitted for review</li> <li>● Post-training assessments</li> <li>● Reports from participating municipalities</li> </ul>	<ul style="list-style-type: none"> <li>● Good governance, political, social and economic stability</li> <li>● International community continues to support non-training solutions</li> </ul>
<p><b>Outcome 1</b></p> <p>Increased capacity in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects</p>	<p>Number of participants of the wastewater training course who understand and are able to apply objective-oriented planning in WW projects.</p>	<p><i>Estimated</i> 10 - 30%  (varies between municipalities)</p>	<p>80% of 920 participants</p>	<ul style="list-style-type: none"> <li>● UNDOALOS-TSC module tests and final evaluation versus pre-training questionnaire results</li> </ul>	<ul style="list-style-type: none"> <li>● Participating municipalities. provide proposals for review</li> <li>● Staff applies methods learned</li> </ul>
<p><b>Outcome 2</b></p> <p>Increased capacity to: plan sustainable multi-year financing of municipal wastewater projects</p>	<p>Number of participants of the finance training who understand benefits and method of multi-year financial planning and are willing, competent and able to apply these methods.</p>	<p><i>Estimated</i> 0 - 15%</p>	<p>80% of 280 participants</p>	<ul style="list-style-type: none"> <li>● UNDOALOS-TSC module tests and final evaluation</li> </ul>	<ul style="list-style-type: none"> <li>● Local authorities willing to adopt new methods and approaches</li> </ul>

	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Sources of verification</b>	<b>Risks and Assumptions</b>
<p><b>Outcome 3</b></p> <p>Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process,</p> <p><u>and</u> an improved knowledge base and strengthened information exchange between practitioners and other GEF projects</p>	<p>Number of trained project managers and finance committee members willing to cooperate and to involve stakeholders in the planning process</p> <p><i>Time-bound outcomes 1-3:</i></p> <p><i>Effects measurable post training</i></p>	<p><i>Estimated 10 - 50% variation (assessed during the trainings)</i></p>	<p>80% of all 1200 participants</p>	<ul style="list-style-type: none"> <li>● Statements in final course evaluation sheets</li> </ul>	<ul style="list-style-type: none"> <li>● Inner-institutional set-up caters for closer cooperation (mgnt &amp; finance)</li> <li>● Institutionalizing stakeholder involvement supported at policy level</li> </ul>
	<p>Number of staff of GEF projects (SIDS, GCLME, WIO-LaB) involved in demonstration projects to reduce marine pollution from wastewater who received Train-Sea-Coast (TSC) training in either objective-oriented planning or multi-year finance planning for wastewater projects</p> <p><u>or</u> who have access to TSC tools on these issues through IW:LEARN and TSC-GPA web sites</p>	<p><i>None at the inception of this project</i></p>	<p>20% of relevant project staff working on demonstration projects trained</p> <p>100% information access via IW:LEARN and TSC-GPA web sites and networking tools</p>	<ul style="list-style-type: none"> <li>● Annual reports of the three GEF SIDS projects, and of the GCLME and WIO-LaB project</li> <li>● IW:LEARN reports</li> </ul>	<ul style="list-style-type: none"> <li>● all GEF projects will have demonstration projects addressing municipal wastewater collection and treatment approved within project cycle</li> </ul>

## Water and Sanitation Problem

In developing countries, approximately six children per minute still die from diseases caused by unsafe water and inadequate sanitation. Every year an average of 250 million cases of gastroenteritis due to bathing in contaminated water occurs worldwide and between fifty and one hundred thousand deaths occur every year from infectious hepatitis. The global burden of human disease caused by sewage pollution of coastal waters has been estimated at four million lost human-years every year, equaling an economic loss of US\$ 16 billion annually. In 2002, 1.1 billion people (16% of the world's population) were without adequate access to water, and 2.6 billion people (40% of the world's population) lacked access to basic sanitation. As a result of global population growth and rapid urbanization, these numbers remain roughly the same or may even be increasing.<sup>2 and 3</sup>

## Rationale of the project

The Global Programme of Action's work focuses mainly on developing policies and strengthening institutional capabilities to ensure that policies developed are implemented to prevent and reduce the pollutants entering into the seas. Central elements of this work focus on sanitation, municipal wastewater treatment and water resources management (pollution prevention).

Municipal wastewater discharges severely impact the marine and coastal environment, human health and sustainable development in coastal areas in most regions of the world. The GPA, with its global mandate to reduce land-based sources of marine pollution, is concentrating on efforts to assist governments and municipalities in addressing water pollution from untreated wastewater (pollution prevention).

The proposed training courses of this project are a direct response to identify, formulate and finance wastewater projects at municipal level in ACP countries. Both components support each other and contribute to local capacity building and successful project implementation (Fig. 1). They also contribute to the successful implementation of tangible and fundable programmes at municipality level in coastal areas: Component-A: Training in Objective-Oriented Planning for Wastewater Management and Component-B: Training in Multi-Year Financial Planning for Municipal Infrastructure Investments. Component-C; includes all those activities that support the implementation of the training components A and B.

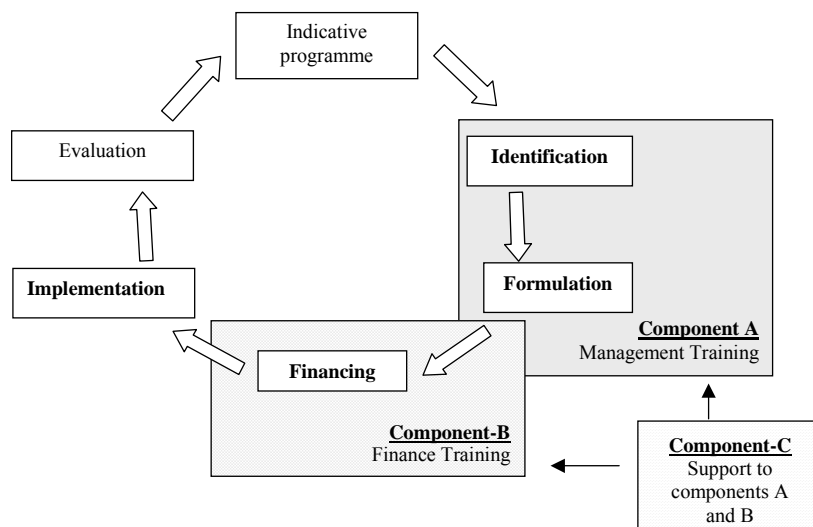


Figure 1. Project Cycle for Wastewater Projects in relation to Training Components-A and-B and improved capacity of municipalities

<sup>2</sup> WHO/UNICEF, 2004. Joint Monitoring Programme for Water Supply and Sanitation; Meeting the MDG drinking water and sanitation target: a mid-term assessment of progress. 33 pp.

<sup>3</sup> UNEP/WHO/UN-HABITAT/WSSCC, 2003. Water Supply and Sanitation Coverage in UNEP Regional Seas.

## Methodology

The UNEP/GPA has developed training materials for municipal wastewater managers, jointly with UNESCO-IHE Institute for Water Education and in the framework of the UNDP-GEF supported UN/DOALOS Train-Sea-Coast Programme. The Train-Sea-Coast Programme is part of a larger United Nations system-wide capacity-building initiative, commonly referred to as TRAIN-X, that promotes global cooperation in training development and implementation through the creation of training networks made up of interested academic and other institutions from both developed and developing countries. The main values of the TRAIN-X methodology are:

- training is developed based on a systematically established need (demand-orientation);
- training curriculum focuses on selected skills, knowledge and attitudes expected to have a high influence on operational performance of trainees;
- a defined quality standard can be assured;
- training material is fully documented and thereby less dependent on individual instructors and can be handed over to local training institutions; and
- cost effectiveness due to the network approach, particularly when courses are delivered on a regional or global scale, as is the case with UNEP/GPA training; and
- the focus of such training is to solve operational problems within an industry or area of management activity.

The methodology is further elaborated in Figure 2. Another example of a successful TRAIN-X programme is the International Civil Aviation Organisation's TRAIN-AIR programme, with training centers active in over thirty countries.

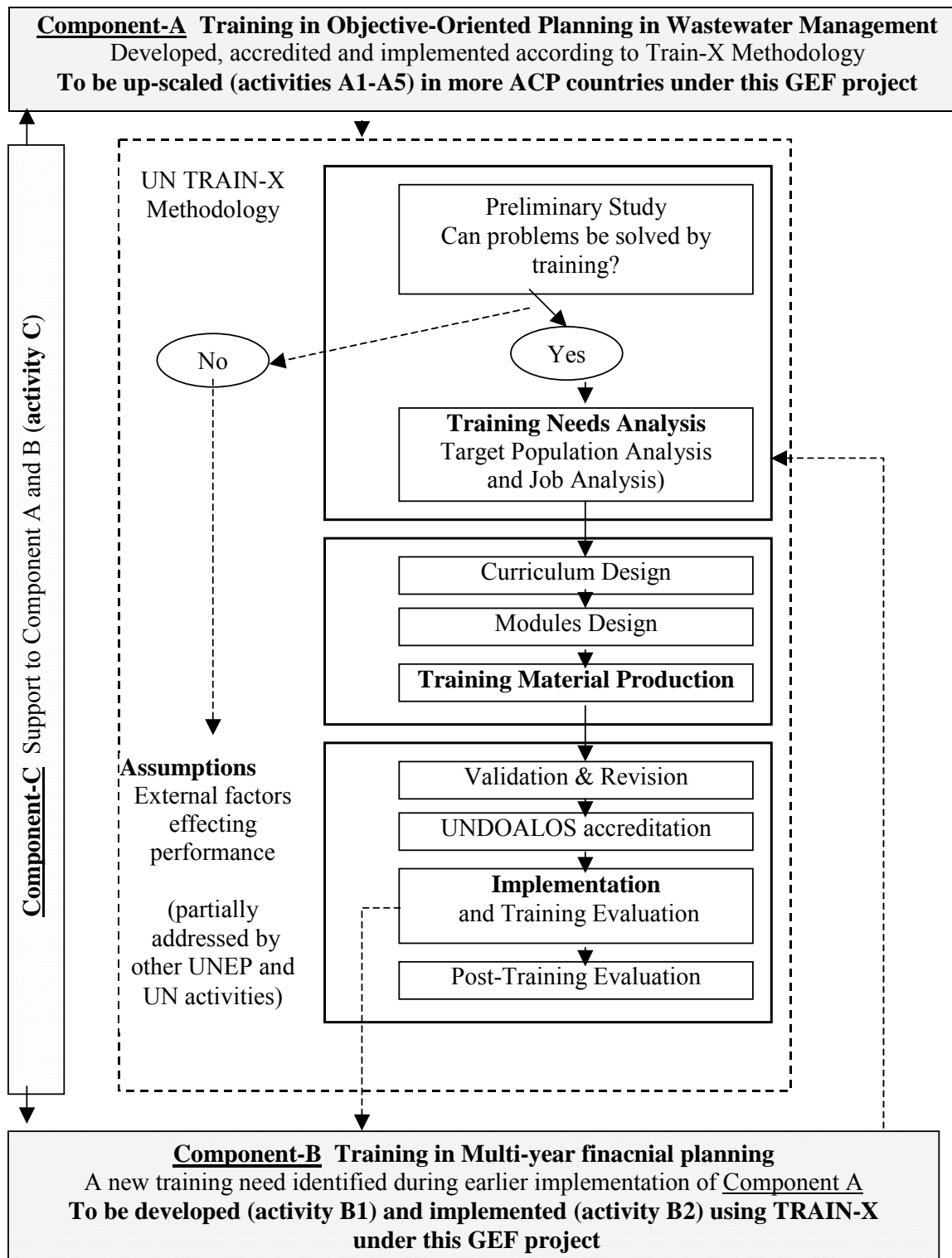
UNEP/GPA joined the UNDP-GEF supported UN/DOALOS Train-Sea-Coast Programme in 2003 and benefits since from the methodology, experiences and network approach. With UNESCO-IHE as a partner, UNEP/GPA has developed the Component-A training on municipal wastewater management as a supplement to existing capacity building initiatives in the water and sanitation fields. This training programme has successfully been implemented in thirteen cities, training three hundred participants from twenty-two countries in four languages. A particular value of the UN/DOALOS TSC approach is the combination of North-South knowledge transfer and South-South knowledge sharing.

More information about the activities on which this project builds can be accessed at the inter-agency website of the UNESCO-IHE – UN/DOALOS – UNEP/GPA Train-Sea-Coast Course Development Unit: <http://www.gpa.unep.org/training>

The project also proposes to develop Component-B training on multi-year financial planning using the same strict training development methodology of the UN/DOALOS TSC programme. The curriculum of Component-B training will be based on lessons learned from recent GPA training implementation, as a lack of long-term financial planning capabilities for municipal infrastructure investments has been identified as one of the main obstacles in applying Component-A operational knowledge in design and implementation of water and wastewater projects.

The overall project coordination is undertaken by the UNEP/GPA in close coordination with the regional and national focal points of the beneficiary countries, the UNDP country offices, the GEF LME and other relevant project offices and UNESCO-IHE to ensure high quality of the training. UNEP/GPA will regularly communicate with UNDP and the European Commission to exchange knowledge and experiences.

Figure 2. The TRAIN-X Methodology and the proposed training components



## **Benefits of the project**

The primary beneficiaries are managerial staff at municipal level and from national governments. The secondary beneficiaries are the people served by the said municipalities either directly or as stakeholders from the tourism, fisheries or health sector. The marine and coastal environment, including lagoons and estuaries, in particular near coastal cities, will benefit from the reduction of pollution from the discharge of untreated wastewater catalyzed through the capacity built under this project. Human health, environmental conditions, and thereby biodiversity, productivity of fish populations, and the value for tourism and recreation in coastal ACP countries will improve if this project meets its objectives.

A short term effect, and this has been experienced in all recent course deliveries of the UNEP/GPA, is a better understanding of how to improve project proposals in the design and identification phase. The importance of involving stakeholders in the planning process and an understanding of the consequences of discharging untreated wastewater to the environment is established.

If the project is successful, all this will result in improved quality and quantity of project proposals being submitted to national committees and international donors, some of which will result in actual infrastructure investments that include some form of wastewater treatment. If social equity in service provision, a key teaching point of the innovative financing module, has been incorporated in the project design, long-term effects for the urban poor will result from the project intervention in some of the participating cities, and this will be a contribution to achieving the JPOI target on sanitation, as well as contributing to the Poverty Reduction Strategies (PRSPs), wherever in place. The Project also provides some of the tools to achieve the conditions required for successful public-private partnerships (PPP).

As a long-term effect, it is hoped that participants trained today, after their next promotion to a higher level, will have influence on advising policy-makers. In previous training a small number of participants indicated in their participant's questionnaires that they provide advisory services to policy-makers as part of their duties. This effect adds to the expected sustainability of the project intervention beyond its project cycle.

## **Project Activities and Costing**

### **Objective 1:**

**To increase capacity of municipalities in ACP countries to identify and formulate projects to collect and either treat or re-use municipal wastewater that are environmentally friendly, technologically feasible, and financially sustainable.**

*N.B. Activities to achieve Objective 1 of the GEF proposal are the equivalent of Component-A in the approved EU proposal for counterpart funding.*

The present project is up-scaling the Component-A of the Train-Sea-Coast GPA programme and strives to implement the specialized training courses in twenty-nine ACP countries. The training is based on numerous regional consultations on integrated coastal zone management, wastewater management, and the expressed need for specialized training in wastewater management.

Within the current project, this Component-A only needs to be adjusted for some sub-regions and translated into French. Forty-six courses will focus on Component-A. Participants will be provided with analytical tools, substantive information and skills on how to select, plan and finance appropriate and environmentally sound municipal wastewater management systems. The training is meant for project managers at municipality level, mandated with the task to develop and manage municipal wastewater collection and treatment systems with often very limited resources.

The course content of Component-A focuses on four elements:

- objective-oriented planning;
- involvement of stakeholders and mobilizing local resources;
- conventional and innovative approaches; and
- formulation and presentation of proposals.

**Activities:**

- A1 Translate Component-A training material into French (English, Portuguese and Spanish versions are already available)  
The course material is fully documented and consists of the following components:  
(a) an Instructor’s Manual, (b) a Participant’s Manual, and (c) a set of PowerPoint presentations
- A2 Identify and train instructors
- A3 Identify local authorities and/or other institutions and agree on contracts
- A4 Conduct forty-six Component-A training courses (including tests)
- A5 Review proposals, evaluate training

**Budget**

The budget for this activity is:

GEF contribution	US\$ 60,000
EU contribution	US\$ 830,000
<b>Total</b>	<b>US\$ 1,500,000</b>

**Objective 2:**

**To develop institutional capacity – at the finance committee level - for effective multi-year financial planning and to strengthen domestic and external resource mobilization, including the “user pays” and “polluter pays” principle.**

*N.B. Activities to achieve Objective 2 of the GEF proposal are the equivalent of Component-B in the approved EU proposal for counterpart funding.*

The project also proposes to develop Component-B training on multi-year financial planning using the same strict training development methodology of the UN/DOALOS TSC programme. The curriculum of Component-B training will be based on lessons learned from recent GPA training implementation, as a lack of long-term financial planning capabilities for municipal infrastructure investments has been identified as one of the main obstacles in applying Component-A operational knowledge in design and implementation of water and wastewater projects. Component-B will also highlight conditions under which public- private partnership (PPP) can be successful, using lessons learned from case studies around the world and building on the work of projects such as the Partnerships for Environmental Management for the Sea of East Asia (PEMSEA).

Component-B on multi-year financial planning involves the development and implementation of a new training course for an expanded audience. The target group is the municipal wastewater budget and planning staff as well as the municipal decision-makers and budget committee members. Such training is highly relevant for the achievement of the overall objective of the course. Good projects under Component-A will only work if they include multi-year financial planning to assure financial sustainability – a function controlled by the finance committees within local governments.

The overall project coordination is undertaken by the UNEP/GPA in close coordination with the regional and national focal points of the beneficiary countries, the UNDP country offices, the GEF LME and other project offices, the Nairobi, Abidjan, Noumea and Cartagena Convention Secretariats, the WIO-LaB



Project Management Unit and UNESCO-IHE, to ensure high quality of the training. UNEP/GPA will communicate with the European Commission to exchange European knowledge.

The present project proposal can directly start to implement training Component-A. The project will directly build on the available material (in different languages) and regional focus as developed under the TSC programme. For Component-A, it is proposed to implement forty-six training courses, while Component-B training will be delivered in fourteen cities.

Component-B of the training is a direct follow-up to the identified need during the TSC programme and is a follow-up to course Component-A (Fig. 2) and will only be implemented in a selection of fourteen ACP countries. Within the current project, the relevant content for Component-B needs to be developed (in English) by a specialized institution (subcontracted study and research). Subsequently, the training material will be translated into three languages.

The methodology for implementing sixty training courses will be based on the experience with the Train-Sea-Coast Programme and includes the following steps:

- a training needs analysis (TNA), including job and task analysis of the selected target municipalities, based on existing training needs analysis (for example the recently completed TNA of the WIO-LaB project and of the South Pacific Applied Geoscience Commission SOPAC);
- curriculum design and course development (three regions and four languages);
- validation and adaptations of the training package based on local consultations with local institutes/experts/municipalities;
- training of municipal staff in municipal wastewater management (component A & B) and field trips;
- training evaluation and lessons learned and recommendations; and
- publishing reports and online presentation to facilitate replication and outreach at a larger scale.

The training courses in this project are divided in two components; wastewater management techniques (A) and multi-year financial planning (B). The latter component is new and builds on the needs identified during the recent Train-Sea-Coast course development and subsequent regional consultations.

Component-B addresses multi-year financial planning and is a follow-up to Component-B. This component has to be developed and requires more attention in this project.

#### **Activities:**

- B1 Develop Train-Sea-Coast training on multi-year financial planning
- B2 Implementation of Component-B training, similar to the activities A1 to A5:
  - B2.1 Translation of the English version into the French, Portuguese and Spanish languages
  - B2.2 Identification and training of instructors
  - B2.3 Identify local authorities and/or other institutions and agree on contracts
  - B2.4 Conduct fourteen Component-B training courses (including tests)  
Approach and methodology are identical with activity A4, and in accordance with the Train-Sea-Coast methodology
  - B2.5 Review proposals, evaluate Component-B training

#### **Budget**

The budget for this activity is:

GEF contribution	US\$ 270,000
EU contribution	US\$ 330,000
<b>Total</b>	<b>US\$ 600,000</b>

### **Objective 3:**

**To promote the systematic involvement of stakeholders in all stages of the planning process leading to municipal wastewater infrastructure investments, and to improve the knowledge base and strengthen information exchange between practitioners (North-South knowledge transfer and South-South knowledge sharing) and cooperation between project managers and finance planners.**

*N.B. Activities to achieve Objective 3 of the GEF proposal are the equivalent of Component-C in the approved EU proposal for counterpart funding, which is support to Components-A and B – web, outreach*

Both components A and B include a module on stakeholder involvement. Objective (3) is thereby partly achieved by activities that are mentioned under objectives (1) and (2). In addition, the training's specific objective includes an increase in the number and quality of new project proposals written by the staff of participating municipalities. It is assumed that trained staff is applying the methodologies and skills learned. The project aims at continuing to stimulate former participants by the electronic communication platform created and maintained under Component-C to assist each other by exchanging ideas on project identification issues.

One of the main assumptions for both Component-A and -B is the municipalities' understanding and appreciation of the value created by each training course for improving their ability to provide services.

In addition to the close liaison directly with the municipalities and indirectly via other UNEP Offices, UNDP country offices, GEF LME project offices, Secretariats of the Nairobi, Abidjan, Noumea and Cartagena Conventions and the WIO-LaB Project Management Unit, the contracted academic institutions and professional associations, it is useful to provide outreach material to the municipalities and other stakeholders involved. It also includes the design, hosting and content management of a multi-lingual project web site, which serves both as a communication and outreach tool to support interaction with and between former participants.

Posters will be prepared and hung in the municipalities, reminding staff of the course and its main messages. UNEP/GPA has experience with producing and managing such outreach products.

The same products can be used in the process of attracting additional resources for further expansion and replication of this project. Furthermore, the project brochure is an effective means to communicate the main concept, objectives and results of this capacity building activity to decision-makers at a national level, via international fora, regional processes such as AMCOW and NEPAD, or the system of permanent representatives to UNEP. This type of outreach supports the projects by contributing to sustaining political interest and momentum.

### **Activities**

- C1 Print 2100 course manuals and training packages in four languages
- C2 Design and disseminate 300 outreach posters to relevant partners
- C3 Design and print 1500 project flyers and disseminate them to partner organizations and projects, including the GEF SIDS IWRM projects.
- C4 Design, translate and maintain a training website, including an electronic forum of practitioners  
This web site will be consistent with the IW: LEARN guidance to optimize knowledge sharing
- C5 Ensure appropriate linkages with other GEF projects (LMEs, SIDS and IW:LEARN) to create synergies and coordinate training with the activities and requirements of these GEF projects.  
This includes annual reporting on this collaboration.

## **Budget**

The budget for this activity is:

GEF contribution	US\$ 60,000
EU contribution	US\$ 40,000
<b>Total</b>	<b>US\$ 100,000</b>

## **Risks and barriers**

The effectiveness of training solutions in wastewater management also depends on good governance, political, social and economic stability and the continuation of support of non-training solutions by the international community. On the level of the outcomes, the success of this project will depend on the willingness of participating municipalities to provide new proposals for review, and whether or not the trained staff applies the methods learned. It is also crucial that the inter-institutional set-up at the municipal level is catering for a closer cooperation between management and finance. In addition, will the institutionalizing of stakeholder involvement in the planning process get sufficient support at the policy level?

The ACP countries in the four involved UNEP Regional Seas regions have already identified training and capacity building for wastewater management as one of their priorities in the UNEP/GPA regional consultative meetings. However, the implementation of the UNEP-UNESCO-UN/DOALOS training in low-income countries has shown several challenges that need to be addressed, such as the:

- discrepancy between the political commitment at national level and the resource accessibility at municipal level;
- inadequate time allocation by local institutions for preparing the logistical and instructional aspects of training at the highest possible quality level; and
- low acceptance of new concepts by some higher level officials within municipalities.

To address these challenges, the current project proposes to focus only on those municipalities that exhibit a firm commitment, or demonstrate local demand through counterpart contributions (such as provision of meeting venue and vehicles for the field trip). Contracts with local institutions will include very detailed descriptions of activities based on experiences and lessons learned from previous course deliveries. The project management liaises closely with higher-level officials to ensure adequate acceptance and support. Ideally, high-level representatives will open and close the training workshops.

### 3. SUSTAINABILITY (INCLUDING FINANCIAL SUSTAINABILITY)

#### **Financial sustainability**

The poor management capacities in terms of innovative solutions, techniques and management approaches and the available financial resources for municipal wastewater management will significantly improve. After the project training has been implemented, the municipal authorities can maintain sustainable wastewater management and identify/manage long-term funding for the development of their services based on the enforced capacities, partnerships, resources and the specialised training documentation and guidelines.

The Component-B training on multi-year financial planning is the most direct contribution to the long-term financial sustainability of the project, including its emphasis on considering ways to involve the private sector more actively in service provision

#### **Institutional sustainability**

As mentioned in section 2.3, in some countries, the courses will be localized and absorbed in the activities of local universities or training institutes. The extent to which this is happening cannot be predicted at

this point. Such processes resulting from the recent UNEP/GPA Train-Sea-Coast training indicates that there is a potential for localizing training, particularly in countries with a good academic infrastructure. Capacity building is resource intensive and may require many more years of international support. By training local instructors, the project contributes directly to improved local training capacity. In the TSC approach of combining North-South knowledge transfer with South-South knowledge sharing; it is the aim of UNEP/GPA to strengthen the South-South component to make such training more sustainable within each project region.

The capacity development, exchange of expertise, field trips, knowledge exchange and the development of tools and techniques at municipal level will ensure hands-on experience in the long-term impact of the action and continued implementation of improved wastewater management techniques. The training of trainers will also ensure future capacity building well beyond the scope of present project.

### **Political sustainability**

Structural impact at the local policy level could be expected, due to the strong emphasis on municipal policies, programmes, and legal and financial frameworks in the project. The project will introduce multi-stakeholder meetings to ensure broad commitment and participation for sustainable wastewater management. In previous trainings, a small number of participants indicated in their participant's questionnaires that they provide advisory services to policy-makers as part of their duties. This effect adds to the expected sustainability of the project intervention beyond its project cycle.

The project is also expected to have an impact on the national policy level due to the innovative approaches and the well selected municipalities (high population/ density) in the ACP countries.

## 4. REPLICABILITY

### **Multiplier Effect**

The training materials produced in the project will be relevant for continued training activities and improvement of coastal zone management. Training evaluation reports and general project reports will form the basis to improve the content and delivery of training courses, and will support knowledge transfer (seminars etc) and discussions on coastal and marine environmental issues at the national level in the beneficiary countries.

The main multipliers in summary are:

- possible inclusion of TSC training in the curricula of either academic or national training institutes;
- the training of local instructors also increases teaching capacity and the knowledge base in ACP countries; and
- the project stimulates mobilizing local resources for semi- or fully self-sustained implementation.

In recent training delivery of Component-A type training, the UNEP/GPA has observed that the majority of local activities extending beyond the initial project intervention are realized in countries with a GDP per capita of over US\$ 4,000 annually (namely in Argentina, Brazil, Sri Lanka, Philippines and Turkey). Most multiplier effects can therefore be expected in the Caribbean. The weaker the capacity of a country to address wastewater issues, the more difficult it is to improve it. Fewer spin-off effects are expected in the poorer ACP countries.

Component-C provides an electronic communication platform with the aim to stimulate exchange between experts and participants. It is expected that countries with a high standard of environmental governance will more actively participate and benefit from such a forum.

UNEP/GPA will continue to raise funds for further replication of the training and dissemination of the training material. UNEP/GPA wishes to engage a larger number of participants in the future via refresher courses and blended learning. It remains a responsibility of UNEP, and UNESCO-IHE to build the capacity at a high quality.

To keep a high standard, quality assurance and continued interaction between the beneficiary institute and the course developers is beneficial. It would be ideal to produce high quality training, train instructors, hand the material over and assume training will be given in a self-sustainable mode. Given the economic situation in many of the ACP countries, particularly in Africa, it can be seen as a success, when some of the logistical arrangements are provided as an in-kind contribution from participating municipalities, be it a field trip vehicle or provision of the training venue.

UNEP expects, that in a few countries, training will either be absorbed in local training curricula or with some modifications at least partially integrated into existing local capacity building activities. The project team will actively liaise with other projects, particularly of the UNEP Regional Seas Programme and the GEF LMEs, in order to ensure synergies and collaboration beyond the scope of the project.

## 5. STAKEHOLDER INVOLVEMENT

The project depends on effective involvement of local stakeholders, institutions and municipalities in implementing the two training components. The project will, as one of its activities, identify the most capable local partners to ensure the highest quality training delivery, based on existing networks, regional projects and ongoing international processes (such as NEPAD, AMCOW, Abidjan-, Nairobi-, Noumea- and Cartagena Convention, GEF Large Marine Ecosystem and related International Waters projects such as WIO-LaB, the Western Indian Marine Science Association, the SEAWASTE network, UNEP Regional Seas, SPREP and SOPAC).

*Table 2. Involvement of stakeholder groups and other partners*

UNDP-GEF, GEF LME Project offices, WIO-LaB PMU, Convention Secretariats, UNDP country offices	<ul style="list-style-type: none"> <li>Assistance in identifying and liaising with beneficiary municipalities, local authorities and supporting academic institutions in the selected ACP countries</li> </ul>
UNESCO-IHE	<ul style="list-style-type: none"> <li>Knowledge base for the project, assistance in implementation</li> </ul>
UNDOALOS Train-Sea-Coast program.	<ul style="list-style-type: none"> <li>Support in design and validation of Component-B training according to the TRAIN-X methodology</li> </ul>
Academic institutions in ACP countries	<ul style="list-style-type: none"> <li>Assistance in identification of participants, provision of potential local instructors, liaison with local authorities, identification of suitable venues, field trip locations and stakeholders for the interviews</li> </ul>
Professional Associations	<ul style="list-style-type: none"> <li>Assistance in networking participants and non-participants, to facilitate knowledge sharing, best practices and outreach</li> </ul>
Municipalities in ACP countries	<ul style="list-style-type: none"> <li>Primary beneficiaries, identification of participants, identification of suitable venues, field trip locations and stakeholders for the stakeholder interviews, high level speakers for opening/closing of courses</li> </ul>
Civil Society in ACP countries	<ul style="list-style-type: none"> <li>Secondary beneficiaries, participate during the stakeholder day (as representatives from fisheries, tourism, public health, NGOs and CBOs)</li> </ul>

### **Reasons for the role of each partner**

Each partner will have a specific role and mandate to develop and implement activities and components of the project. UNEP/GPA and UNESCO-IHE have on-going programmes and are up-to-date regarding appropriate municipal wastewater management techniques, which is highly relevant to the project. Their respective networks and knowledge will further strengthen the implementation of the project. The partners are furthermore recognized and well known as authorities in their areas of work. As outlined above (see table), each partner is contributing its own specific expertise as well as regional/country-specific knowledge to the project. UNDP country offices and the national governments will be involved as required.

## 6. MONITORING AND EVALUATION

### **Procedures for internal monitoring and evaluation**

Management and administrative responsibilities lie with UNEP/GPA as the executing agency, who will ensure that contracts will be agreed upon with relevant project partners in this project, including academic institutions, trainers and consultants to ensure timely delivery of all sub-components.

Three General Assembly Resolutions guide evaluation activities in the United Nations. They are: resolutions 37/234, 38/227 and 40/240. Evaluation activities are also guided by the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. Evaluation in UNEP, while guided by the above General Assembly Resolutions is further provided for by Governing Council decisions GC. 12/12, 13/1 and 14/1 which require that all UNEP projects and activities be evaluated.

Administrative evaluation is conducted according to the UN standard procedures, and includes: Half-yearly self-evaluations/progress reports by the project management, including a final independent project evaluation, to be shared with the UNEP Office of Evaluation and Oversight and other project partners, including the funding partner.

Technical evaluation is conducted on an annual basis by UNEP/GPA in close collaboration with UNESCO-IHE and is going to ensure the high-quality and demand-driven training courses. All observations and recommendations will be reflected in the project reports. UNESCO-IHE will also play a pivotal role in refining the methods used for both determining the baseline situation of the target population, as well as the evaluation of post-training effects on knowledge, skills and attitudes and their application on the job.

Backstopping of the project will be provided by UNEP/GPA. Activities will be monitored against the objectively verifiable indicators and the time schedule. The project will follow standard UNDP and GEF M&E procedures including Quarterly Operational Reports (QOR), Annual APR/PIR, and a final independent evaluation. A Project Steering Committee (PSC) consisting of UNDP-GEF, EU-ACP, UNEP-GPA, UNESCO-IHE, and one government or intergovernmental representative from each of the three ACP regions will meet annually to review progress, provide strategic, policy and other guidance, and approve annual work plan and budget.

### **Testing the participant's knowledge, skill and attitudes prior to the training**

Existing questionnaires will be revised by experts of UNESCO-IHE in order to provide a measurable baseline of the participant's knowledge, skills and attitudes before participating in the training. The results will be compared with the performance tests during the course and, as part of the final evaluation of this project, after the training.

### **Testing the participant's performance during the training**

According to TRAIN-X methodology, the course curriculum needs to clearly specify the teaching objectives for each module. For each module, tests enable the course organisers to check the number of participants who have an adequate understanding of the new methods and skills. A final mastery test provides means to assess if participants can combine the different components of the new knowledge and skills effectively.

The TRAIN-X methodology ensures through the steps of its curriculum design and the selection of participants according to narrowly defined criteria, that the training addresses primarily existing weaknesses of the participants. That is precisely why the training of Component-A includes a considerable amount of non-engineering disciplines, which are important to wastewater management, such as environmental sciences, public administration, economics and management. The annual review of the performance tests and course evaluations will be discussed in the steering committee in order to determine if there is a need to adapt the content of the training modules to the specific needs of the regions covered by this ACP proposal.

### **Systematically monitor the participant's feedback**

For Component-A all testing to monitor participants understanding at the end of each course has been developed, tested and used in previous courses. The same approach will be used for Component-B. The second monitoring component assesses how well the courses match the actual skills and expectations of participants. All participants will complete a final course evaluation questionnaire prior to receiving certificates. After each year of the project, these evaluations will be collated, analysed and recommendations for course improvement will be made and implemented. This is standard for the UNEP/GPA Train-Sea-Coast course development unit, which as a result has led to gradual upgrading of the current course material.

The third monitoring element is the review of proposals submitted to the project, which will be compared with the main teaching objectives of the course.

### **Monitor the post-training improvement of proposal writing skills**

It is expected that the quality of proposals written by trained staff will improve if compared with staff that have not yet received the training. Post-training; 20% of new proposals written by trained wastewater managers should clearly satisfy all of the following criteria:

- Being built on problem and options analysis using objective-oriented planning tools;
- environmentally friendly, i.e. including at least partial treatment and/or re-use component (nutrient recycling, closing the loop), not just untreated discharge into the environment;
- technologically feasible (and transparently exhibiting a feasibility study), adequate choice of technology within budget constraints, the known operation and maintenance culture, with reference to the physical geography of the proposed project site, and considering alternative approaches such as constructed wetlands or ECOSAN;
- financially sustainable, i.e. including a multi-year financial plan that provides resources for operation and maintenance, mobilizes domestic resources in a socially equitable way (if needed via cross-subsidies and a tariff structure that allows for service provision to the urban poor); and
- stakeholders were involved systematically during relevant phases of the project preparation phase.

The only reasonable method to assess the percentage is by analysing the proposals sent to the project co-ordination office after staff have received training. The project will make an effort in stimulating the receipt of a sufficient number of draft project proposals for review, to allow making a statement on proposal quality in relation to the course curriculum targets.

Table 3. Team proposed for implementation of the action. The lead partner for each activity is underlined.

Project co-ordination and management	<ul style="list-style-type: none"> <li>• <u>UNEP/GPA</u>, Programme Officer trained in the UN/DOALOS Train-Sea-Coast Methodology, and experienced in training implementation, Programme Officer (Economist) for co-ordination and management of Component-B</li> </ul>
Identification of relevant knowledge on municipal wastewater management and financial planning	<ul style="list-style-type: none"> <li>• <u>UNESCO-IHE</u>, lecturers and senior lecturers, two of which have been trained in the UNDOALOS Train-Sea-Coast Course Methodology</li> <li>• Consultants, academic staff of universities in ACP countries</li> </ul>
Identification of municipalities, specialised institutes	<ul style="list-style-type: none"> <li>• <u>UNEP/GPA</u> Programme Officers</li> <li>• Water experts at UNDP/GEF and GEF LME Offices</li> <li>• Academic institutions in ACP countries</li> </ul>
Preparation (editing, translation, printing) of training materials	<ul style="list-style-type: none"> <li>• <u>UNEP/GPA</u></li> <li>• Regional and national partner organisations of the GPA</li> <li>• Local universities (translations)</li> </ul>
Training courses and fieldtrips	<ul style="list-style-type: none"> <li>• <u>Local academic institutions</u></li> <li>• <u>UNEP/GPA</u> in close collaboration with national/municipal focal points, other local institutions and UNESCO-IHE</li> </ul>
Evaluation reports training courses	<u>National/ municipal focal points</u> in close collaboration with <u>UNEP/GPA</u> , UNESCO-IHE
Reporting, lessons learned, recommend. for replication	<ul style="list-style-type: none"> <li>• <u>UNEP/GPA</u> in collaboration with all partners involved in the implementation</li> </ul>

### How outputs will be quantified:

#### Component-A: Training in Objective Oriented Planning in Wastewater Management

##### Activity A1 outputs:

- All Component-A training material translated into French, 300 copies made of the Participant's Manual and the guidelines, 50 copies made of the Instructor's Manual.

##### Activity A2 outputs:

- 54 instructors trained, mainly from ACP countries, creating course delivery capacity in ACP countries in the English, French, Portuguese and Spanish languages for Component-A training

##### Activity A3 outputs:

- 46 contracts with mainly local organizations for course delivery in ACP countries (each course will be handled separately, and in case of multiple deliveries in a country, new course contracts will only be granted if the previous course was conducted satisfactorily)

##### Activity A4 outputs:

- 46 five-day training courses delivered to 920 municipal wastewater managers (80%) and other stakeholders (20%) Component-A, including a field trip and stakeholder interviews
- Participants lists (46), module tests (920), final mastery test (approximately 200 due group work), course evaluations (46) Component-A and final reports (4x46)

##### Activity A5 outputs:

- Review of at least 20 project proposals submitted by former participants
- 3 assessment reports summarizing course evaluations (after each year)



## **Component-B: Training in Multi-Year Financial Planning**

### Activity B1 outputs:

- 1 training needs analysis for finance committees in ACP countries (including task analysis and job analysis)
- 1 curriculum for Component-B training on multi-year finance planning
- 1 course package (Instructor's Manual, PowerPoint presentations, Participant's Manual) on multi-year financial planning

### Activity B2 outputs:

- Translation of all course material into the French, Portuguese and Spanish languages
- 6 instructors trained mainly from ACP countries, creating course delivery capacity in ACP countries in the English, French, Portuguese and Spanish languages for Component-B training
- 14 contracts with mainly local organizations for course delivery Component-B
- 14 training courses on multi-year financial planning delivered to 280 finance committee members in ACP countries
- Participants lists (14), module tests (280), final mastery test (ca. 75 due group work), course evaluations (14) and final reports (4\*14)
- 3 assessment report summarizing course evaluations (after each year)

## **Component-C: Support to Components-A and B**

### Activity C outputs:

- 2100 course manuals and training packages printed and disseminated to participants and partners
- 300 outreach posters designed and disseminated to relevant project partners
- 1500 project flyers prepared and disseminated to relevant partner organizations and projects
- Training website designed and maintained, including an electronic forum of practitioners
- Published reports and online presentation to facilitate replication and outreach on a larger scale.
- An annual report of the linkages and collaboration with other GEF projects (LMEs, SIDS and IW:LEARN)

## **D - FINANCING**

### 1) FINANCING PLAN, EXPRESSED IN US\$

<b>Objectives</b>	<b>Main activities</b>	<b>GEF</b>	<b>EU</b>	<b>Project total</b>
1. Increase capacity of municipalities in ACP countries to identify and formulate projects	<u>Component-A</u> : 46 Training courses on Objective-Oriented Planning in Wastewater Management	670,000	830,000	1,500,000
2. Build institutional capacity – at the finance committee level - for effective multi-year financial planning	<u>Component B</u> : 14 Training courses on multi-year financial planning	270,000	330,000	600,000
3. Strengthen stakeholder involvement, information exchange and increased cooperation between project managers and finance planners	<u>Component C</u> : Support to <u>A</u> and <u>B</u> , a multi-lingual web site, and outreach to other relevant stakeholders	60,000	40,000	100,000
<b>Project total</b>		<b>1,000,000</b>	<b>1,200,000</b>	<b>2,200,000</b>

## 2) COST EFFECTIVENESS

The average total cost per participant will be US\$ 1,850 per participant or US\$ 37,000 per training course, based on an estimated average attendance of twenty participants per course and including development of component B course material, outreach and information sharing and all coordination and administrative costs. This amount includes all travel for participants and instructors, the training of local and international instructors, translations and printing of training manuals.

For two DOALOS Train-Sea-Coast accredited and UNESCO-IHE approved international training courses, delivered in four languages in twenty-nine different countries, the project can be classified as cost effective. The ‘snowball approach’ of using one course to prepare for the next course, for example, by conducting the training of trainers back-to-back with course deliveries and not as separate activities, and the projects strong reliance on local capacity, which the project gradually builds, adds to its cost-effectiveness. This model has proven to be very cost-effective in the past few years with similar such training activities of the UNESCO-IHE – UN/DOALOS – UNEP/GPA Training on Improving Municipal Wastewater Management in Coastal Cities.

## 3) CO-FINANCING

CO-FINANCING SOURCES				
Name of Co-financier (source)	Classification	Type	Amount (US\$)	Status*
EU Water Initiative	multilateral grant	cash	1,200,000	secured – see Annex 1
Sub-Total Co-financing			1,200,000	

## E - INSTITUTIONAL COORDINATION AND SUPPORT

### 1) CORE COMMITMENTS AND LINKAGES

#### **United Nations**

The need for environment-related technology support and capacity building in developing countries, as well as in countries with economies in transition, was recognized in the General Assembly resolutions 2997 (XXVII) of 15 December 1972 and 3436 (XXX) of 9 December 1975, and also in Agenda 21 and the Johannesburg Plan of Implementation (JPOI).

#### **United Nations Development Programme (UNDP)**

According to the GEF Instrument, UNDP plays the primary role in ensuring that the development and management of capacity building programs and technical assistance projects. Through its global network of field offices, UNDP is drawing upon its experience in human resources development, institutional strengthening, and non-governmental and community participation to assist countries in promoting, designing and implementing activities consistent with the purpose of the GEF and national sustainable development strategies.

In the Memorandum of Understanding between the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP) of November 2004, which builds on the 1995 “Framework Agreement for Cooperation in Capacity Building between UNDP and UNEP”, particular emphasis is placed on cooperation between the two agencies in the field of capacity building.

### **United Nations Division for Ocean Affairs and the Law of the Sea (UN/DOALOS)**

According to UNEP/GPA/EG./INF/9, the Train-Sea-Coast Programme is the primary instrument through which UN/DOALOS, as the Secretariat of the United Nations Convention on the Law of the Sea (UNCLOS), is endeavoring to enhance national capabilities for human resources development in the field of coastal and ocean management.

### **United Nations Educational, Scientific and Cultural Organization (UNESCO)**

The UNESCO-IHE Institute for Water Education is instrumental in the strengthening of efforts by other universities and research centers in increasing knowledge and skills of professionals working in the water sector. The 190 Member States of UNESCO will have access to the knowledge and services of UNESCO-IHE in human and institutional capacity building, which is vital to their efforts in the achievement of the Millennium Development Goals, the Johannesburg Plan of Implementation and other global water objectives.

UNESCO-IHE envisions a world in which people manage their water and environmental resources in a sustainable manner, and in which all sectors of society, particularly the poor, can enjoy the benefits of basic services. In order to achieve this goal, the IHE has trained over 12,000 water experts from 90 countries at the postgraduate level over the past forty years.

### **United Nations Environment Programme (UNEP)**

Decision SS.VII/1 of 15 February 2002 of the Governing Council of the United Nations Environment Programme (UNEP) concerning the strengthening of international environmental governance recognized, among other components, the urgent need to develop a strategic plan for the provision of technology support and capacity building in developing countries as well as in countries with economies in transition.

The UNEP Governing Council identifies a need for action on the management and treatment of wastewater in its decisions of the 20<sup>th</sup>, 21<sup>st</sup> and 22<sup>nd</sup> sessions.

The 23<sup>rd</sup> session of the Governing Council/Global Ministerial Forum adopted the Bali Strategic Plan for Technology Support and Capacity Building to strengthen the capacity of the Governments of developing countries and countries with economies in transition to enable them, amongst other, to achieve their environmental goals, comply with international agreements and implement the programmatic goals set by the Governing Council and other internationally agreed development goals. The indicative thematic areas to be addressed through the Bali Strategic Plan relevant to water include, amongst others, freshwater, pollution, sanitation, oceans and seas and coastal areas – including regional seas and the protection of the marine environment from land-based activities.

### **Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (GPA)**

The Washington Declaration 1995 gives priority to the treatment and management of wastewater and industrial effluents as part of the overall management of water resources. The GPA, jointly with UNEP, the World Health Organization (WHO), the United Nations Human Settlements Programme (UN-Habitat) and the Water Supply and Sanitation Collaborative Council (WSSCC), developed the GPA's Strategic Action Plan on Municipal Wastewater, in which the capacity building component is one of the three programmatic pillars. In this context, the co-chairs of the first Intergovernmental Review Meeting of the GPA (IGR-1, held in Montreal in 2001), in their final report emphasize that "... a *shortage of adequately trained personnel with technical skills to manage new facilities, or administrative skills to develop management schemes is holding back the implementation of the Global Programme of Action in some parts of the world.*"

A specific project implementing the GPA is the project "Addressing land-based Activities in the Western Indian Ocean (WIO-LaB)", which is designed as a demonstration project for the GPA in the Western

Indian Ocean (WIO) region. The need for capacity building in the field of Municipal Wastewater Management was defined as one of the priorities for the region in the preliminary SAP developed as part of the PDF-B phase of this project.

### **LME projects**

The world's regional seas have been subdivided into a number of distinguishable Large Marine Ecosystems (LME). For most of these LMEs, the GEF has and is still implementing targeted LME-level projects, from which SAPs, in various stages of completion, have been formulated. Capacity building in the field of pollution management, among others in terms of Municipal Wastewater Management, has generally been identified as important target areas for intervention. This project responds to such need by providing a tailor-made package for such capacity building in ACP countries. Partnerships with operational LME project Offices, such as the GCLME and the WIO-LaB Project (for the Agulhas and Somali Current LME) have therefore been established for the implementation of this training programme.

2) CONSULTATION, COORDINATION AND COLLABORATION BETWEEN AND AMONG IMPLEMENTING AGENCIES, EXECUTING AGENCIES, AND THE GEF SECRETARIAT, IF APPROPRIATE.

UNDP-GEF and UNEP-GPA began dialogue on the development of this Medium-Sized Project in January 2005 and maintained close communication throughout the period of developing the GEF proposal and securing the EU ACP co-financing.

## **PART III – RESPONSE TO REVIEWS**

A - CONVENTION SECRETARIAT

B - OTHER IAS AND RELEVANT EXAS

C – GEF SECRETARIAT

The proposal was modified to respond to upstream recommendation received (via email) from the GEFSEC in a number of areas, including: foster participation of trainees in relevant professional associations following their training; fit to IW Strategic Priorities and BP indicators; stronger linkages with GEF SIDS IWRM projects; establishing knowledge baseline of trainees; project beneficiaries; and linkages with IW:LEARN and GEF Biennial IW Conferences.

## List of Acronyms

ACP	African, Caribbean and Pacific Countries
ADB	Asian Development Bank
AMCEN	African Ministerial Conference on the Environment
AMCOW	African Ministerial Council on Water
ASCLME	Agulhas and Somali Current Large Marine Ecosystem
CEHI	Caribbean Environmental Health Institute
CSD	United Nations Commission on Sustainable Development
GCLME	Guinea Current Large Marine Ecosystem
GEF	Global Environment Facility
GPA	Global Programme of Action for the Protection of the Marine Environment from Land-based Activities
IW:LEARN	International Waters Learning Exchange and Resource Network
IWRM	Integrated Water Resources Management
LCDs	Least Developed Countries
LME	Large Marine Ecosystem
MDG	Millennium Development Goal(s)
MWW	Municipal Wastewater Management
NEPAD	New Partnership for Africa's Development
PAHO	Pan American Health Organization
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PPP	Public-Private Partnership
PRSP	Poverty Reduction Strategy Paper
PWA	Pacific Water Association
SOPAC	South Pacific Applied Geoscience Commission
SPREP	Secretariat of the Pacific Environment Programme
TDA-SAP	Transboundary Diagnostic Analysis – Strategic Action Programme
TNA	Training Needs Analysis
TSC	Train-Sea-Coast Programme (of UNDOALOS)
UNCLOS	United Nations Convention on the Law of the Sea
UNDOALOS	United Nations Division for Ocean Affairs and the Law of the Sea
UNDP	United Nations Development Programme
UNESCO-IHE	United Nations Educational, Scientific and Cultural Organisation Institute for Water Education
UNEP	United Nations Environment Programme
UN-HABITAT	United Nations Human Settlements Programme
UNOPS	United Nations Office for Project Services
WHO	World Health Organisation
WIO-LaB	Addressing Land-based Activities in the Western Indian Ocean
WSSCC	Water Supply and Sanitation Collaborative Council
WSSD POI	World Summit on Sustainable Development Programme of Implementation

*Annex I. Letter of co-financing from the EU Water Facility*



EUROPEAN COMMISSION  
EuropeAid Co-operation Office  
Sub-Saharan Africa, Caribbean, Pacific  
Water Facility Unit

Brussels, 25/01/2006  
AIDCO/C7/WG/ap D(2006) 1539

**United Nations Environment  
Programme**  
Mr. Shafqat Kakakhel  
PO Box 30552  
00100 Nairobi  
Kenya

**Call for Proposals EuropeAid/120598/C/G/Multi: Co-financing water and sanitation actions with the ACP-EU WATER FACILITY IN ACP COUNTRIES**

**Application ref.: 583**

**TITLE OF PROPOSAL: "Improving Municipal Wastewater Management in Coastal Cities in ACP Countries - Component-A: Training in Objective-Oriented Planning - Component-B: Training in Multi-Year Financial Planning"**

Dear Mr. Kakakhel,

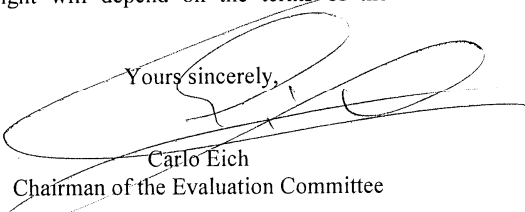
With reference to the above application I am pleased to inform you that, on the recommendation of the Evaluation Committee, the European Commission has decided that your action may be awarded a contribution by the 9<sup>th</sup> European Development Fund of a maximum 1.000.000 EUR, i.e. 54,1% of the total estimated eligible cost of the action.

A contribution agreement between the European Commission and your organisation will be prepared. In this procedure it may be necessary to contact you for further discussion on specific points (e.g. the description of the action or the nature and level of the costs involved).

If not yet done, I would be grateful if you could complete a financial information form (model in annex), have it certified by the bank to which the payments will be made and then send it to us.

Please note that you will acquire the right to the said contribution only when both parties have signed the contribution agreement, and then your right will depend on the terms of the agreement.

Yours sincerely,

  
Carlo Eich  
Chairman of the Evaluation Committee

*Advanced copy sent by e-mail to: shafqat.kakakhel@unep.org*

Annex: Model of Financial Identification Sheet

Commission européenne, B-1049 Bruxelles / Europese Commissie, B-1049 Brussel - Belgium. Telephone: (32-2) 299 11 11.  
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