

# SDG 6 Capacity Development Initiative

## Draft Work Plan

### Contents

1. Background .....	1
2. Objectives.....	2
3. Preparing for the CDI Implementation .....	3
3a. Mapping of UN-Water family’s capacity development resources.....	3
3b. Development of the Initiative framework and modules .....	4
3c. Engagement in initial countries.....	6
4. Process for the Initiative implementation in requesting countries.....	6
5. Timeline of country implementation .....	9
6. Roles and responsibilities for the Initiative operations .....	9
7. Schedule and budget .....	10
8. Fundraising.....	13
9. Next step.....	14

### 1. Background

The UN-Water SDG 6 Capacity Development Initiative (CDI) serves as the inter-agency coordination platform on freshwater, sanitation and hygiene-related capacity development work. The Initiative enables the UN system and its multi-stakeholder partners to align efforts and ‘deliver as one’ in support to countries in developing capacities to accelerate implementation of water and sanitation related goals and targets of the 2030 Agenda for Sustainable Development. The Initiative will be demand driven, respond to specific country’s capacity development needs by facilitating support from the UN system and other development partners at various levels of operation, and encourage national-level ownership.

The scope of the Initiative is to support the capacity development gaps assessment and integrated planning, to provide access to capacity development expertise available within the UN-Water family, and to raise awareness of inter-sectoral capacity development needs. In collaboration with the UN Country Teams, this initiative will provide the opportunity for countries to develop or augment a national SDG 6 capacity development plan, as needed, based on a gaps assessment and country priorities. The Initiative can support the country to set up a capacity

development plan that not only translates to one-off trainings/interventions, but moves towards systemic strengthening and national capacity development ownership to ensure sustainability and longer-term results.

The Initiative was established in March 2021 by the UN-Water Senior Programme Managers as a UN-Water Initiative and is coordinated by UN DESA and UNESCO in collaboration with 35 Initiative members from UN-Water Members and Partners: CAWST, CDP, FAO, HR2W, IAH, IAHR, IAHS, IGRAC, IHE, ILO, IOM, IRC, IWA, IWMI, IWRA, OHCHR, Ramsar Convention, RWSN, SIWI, SWA, UNDP including Cap-Net, UNDRR, UNECE, UNEP, UNEP GEMS/Water, UNEP DHI, UNEP WWQA, UNESCAP, UN-Habitat, UNICEF, UNU, WaterAid, WfWP, WHO, and World Bank Group. The Concept Note of the Initiative was approved in the 35<sup>th</sup> UN-Water Meetings on 5 October 2021, and the Initiative moved into the implementation stage.

## 2. Objectives

The objectives of the CDI are to:

1. Provide a coordinated entry point for countries requesting UN-Water's support to identify capacity gaps hindering the implementation of SDG 6.
2. Support the countries in undertaking a capacity gaps assessment based on inter-sectoral/inter-ministerial and multi-stakeholder approaches.
3. Facilitate access to capacity development offerings of UN-Water Members and Partners, tailoring them as needed, and support follow up of capacity development activities.
4. Raise awareness of the indispensable role that water and sanitation play within sustainable development, in particular for the implementation of the 2030 Agenda and for the realization of all human rights, and of the importance to involve other key stakeholders in capacity development initiatives as appropriate, such as civil society, academia, TVET, the private sector, local government, technicians and operators, including those in the informal sector.

With the successful implementation of the Capacity Development Initiative, it is expected that there will be accelerated progress towards the accomplishment of SDG 6 as well as other water-related SDG targets at the country level.

### 3. Preparing for the CDI Implementation

Before starting the implementation of the CDI in a number of countries, initial activities will be undertaken by the CDI members to get prepared to properly support requesting countries.

#### 3a. Mapping of UN-Water family's capacity development resources

A comprehensive mapping of available capacity development efforts by UN-Water Members and Partners will be carried out to develop a package comprising modules and other capacity development activities that will be made available and regularly updated, including but not limited to training materials.

In 2019, UN-Water performed an exercise which asked all its [Members](#) to submit the engagements they carry out in support of SDG 6. A similar inventory was compiled for UN-Water's [Partners](#) and made available for the purpose of this analysis. The survey outlines SDG 6 capacity development engagements target by target, and then make a short assessment of the existing potential for current activities to cover what would be a comprehensive SDG 6 capacity development initiative for the UN system<sup>1</sup>. A review of the existing SDG 6 capacity development engagements found that there are many missing capacity development engagements that were not reported.

A more comprehensive and detailed survey on the existing capacity development programmes is necessary to capture a true picture of the Initiative for water and sanitation goals that utilize all existing resources. For example, UNICEF developed a mapping of both WASH knowledge and WASH trainings, and perceived gaps in 19 sub-Saharan Africa countries. The UN-Water Expert Group on WASH is developing a module on the human rights to water and sanitation as part of its roadmap, and the World Water Quality Alliance has established a Capacity Development Consortium focused on water quality. Other resources can be provided from OECD Water Governance Initiative and WHO amongst others.

Each UN-Water Member and Partner will be requested to provide its capacity development programmes relevant to water and sanitation, which are implemented or supported by the organization. Capacity development programmes implemented by other organizations can be collected for references. The Initiative coordination team (UN DESA, UNESCO and UN-Water TAU) will consolidate the information and prepare the capacity development overview to be included on the dedicated CDI webpage on the UN-Water website during 2022. The mapping will be reviewed and updated by UN-Water Members and Partners as needed and is expected to

---

<sup>1</sup> 1st mapping and analysis of existing United Nations water and sanitation related courses:  
<https://docs.google.com/document/d/1HKVoldIXW9BJMCUOvExIsoQSIfOZU1jBuqrE2NSJt4M/edit?usp=sharing>

become a useful resources for countries to gain an overview and connect with the available capacity development expertise.

### 3b. Development of the Initiative framework and modules

The Capacity Development Initiative will comprise a number of interventions aiming at substantially develop the capacity in a systemic and sustainable manner. The interventions will comprise training modules as well as other institutional strengthening activities provided by relevant UN Water Members and Partners.

Concerning the training part of the intervention, an initial set of modules are tentatively proposed in accordance with the SDG 6 indicators. Based on the results of the mapping survey, discussion with the Initiative members and

Module	Indicator/Topic	SDG 6 Indicator/Topic (Custodian Agency)
A	UN/SDGs/SDG 6	Global overview of the United Nations System, 2030 Agenda and SDG 6 (UN DESA/UN-Water)
B.1	6.1.1	Safely managed drinking water services (WHO, UNICEF)
B.2	6.2.1	Safely managed sanitation and hygiene services (WHO, UNICEF)
C.1	6.3.1	Wastewater safely treated (WHO, UN-Habitat, UNSD)
C.2	6.3.2	Good ambient water quality (UNEP)
D.1	6.4.1	Water use efficiency (FAO)
D.2	6.4.2	Level of water stress (FAO)
E.1	6.5.1	Integrated water resources management (UNEP)
E.2	6.5.2	Transboundary basin area with water cooperation (UNECE, UNESCO)
F.1	6.6.1	Water-related ecosystems (UNEP, Ramsar)
G.1	6.a.1	Water-and sanitation -related official development assistance that is part of a government coordinated spending plan (WHO, OECD)
H.1	6.b.1	Participation of local communities in water and sanitation management (WHO, OECD)
I.1	11.5	Disaster risk reduction (UNDRR)
J.X	Various	Selected by water- and sanitation-related topics not covered by SDG 6 and SDG target 11.5 (UN-Water Members and Partners)

based on demand from the pilot countries, the initial modules will be identified and developed by the CDI members based on expressions of interest to contribute or lead the development of a certain module. In any case, a higher-level module (Module A) on the UN, the 2030 Agenda for Sustainable Development, the Sustainable Development Goals and SDG 6 will serve as an introduction to the entire Initiative, and will also be used as an awareness-raising tool for positioning SDG 6 within the wider scope of sustainable development as well as promote the idea of integration between thematic areas related to water and sanitation.

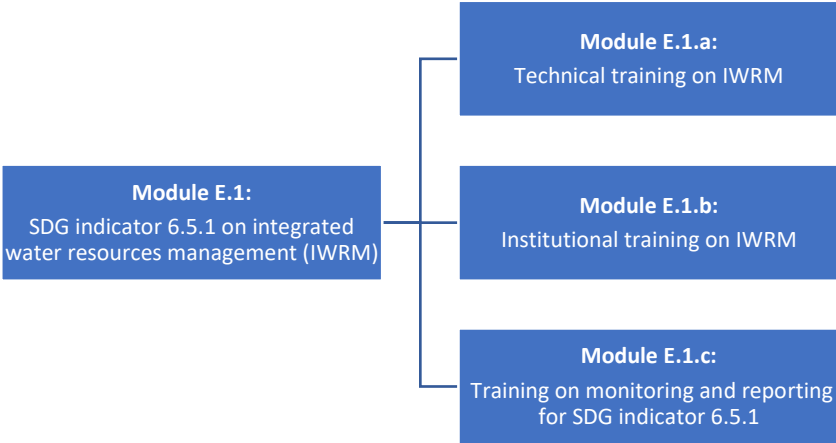
In addition to the list of training modules, the initiative will include other important capacity development activities that are essential for the sustainability of a CDI intervention in a country, such as competency assessment, organizational strengthening, support in establishment of training centres within key institutions, support curricula update of local universities. All these other activities will target organizations either directly supporting a country water sector (a Ministry) or indirectly supporting these organizations through in-country educational programmes (e.g. a University whose graduates eventually end up in a Water Ministry).

The SDG 6 Capacity Development Initiative will be tailored to the Member State by reference to its demand and a menu of activities to strengthen the weakest capacity and/or highest priority to a country.

When the Initiative members develop capacity development activities like training modules based on the country demand, some of the following aspects can be considered.

- (1) technical aspects of SDG 6: to support the capacity development of experts who need to get more insights on technical matters and solving technical problems.
- (2) institutional aspects of the subject area: to support the capacity development of experts who need to gather more insights on the governance and institutional setup within their respective organizations and across other relevant organizations.
- (3) monitoring and reporting: to provide more insights to identified experts in relation to aspects of data collection, monitoring processes, and reporting processes linked to SDG6 targets and indicators.

IMI-SDG6 can cover the monitoring and reporting aspects but can also be involved in the technical and institutional aspects building on its experience and upcoming activities/focus areas.



### Thematic modules

Training modules could also be developed for water- and sanitation-related areas where a capacity gap has been identified and is of interest to Member States. These modules do not necessarily fall directly under SDG 6 or SDG target 11.5, but combines water and sanitation with one or several other SDGs. This offering can be developed by matching country demand with the available capacity development resources as identified in the mapping to the extent possible.

Module A, the overview of the UN system, the 2030 Agenda and SDG 6 is being developed by UN DESA. The Initiative members will develop other SDG 6 modules and other thematic modules based on their field of expertise.

### 3c. Engagement in initial countries

Before a full announcement and awareness-raising campaign to Member States that the SDG 6 Capacity Development Initiative is available to them, a few (2-3) initial countries will be chosen to fine-tune the Initiative. These countries can be selected based on previous feedback and/or interest from Member States that have been communicated to UN agencies or was identified through the VNR process (which had an equal geographic spread through Africa, Asia and Latin America). These initial countries will benefit from early and prioritized access to the Initiative’s resources and technical support. The implementation framework will be first implemented in these countries and then enhanced based on feedback received by involved stakeholders during the initial implementation process.

Once the Initiative has been improved based on the outcomes of the initial phase, Member States will be made aware, including through the Permanent Missions to the UN in New York and through the UN Resident Coordinators. To support the implementation and scale up, the Initiative will coordinate and collaborate closely with all relevant UN-Water activities including UN-Water’s country level engagement in support of RCs and UNCTs, the Expert Group on 2030 Agenda and the Expert Group on Regional Level Coordination.

## 4. Process for the Initiative implementation in requesting countries

The implementation framework below is laid out in a series of steps that is initiated by the request from a Member State to engage the UN system to assist in developing their capacity on water and sanitation. A first step would be for Member States, with the support of the UN system, to identify stakeholders and key priorities. Then ownership and buy-in are sought from the highest levels, to build political will, to be accompanied by an integrated workshop for that level, which will then kick-off capacity development amongst national government ministries and other key national stakeholders. The entire process will be followed up through high-level meetings to evaluate the success of the country’s Initiative and where further efforts need to be made.



In general, the level of support by the Initiative will depend on the specific needs and demands of the requesting country. For example, some countries may ask for capacity development support only in a specific area, while others will require a comprehensive capacity gaps assessment and development of an SDG 6 capacity development plan. As such the Initiative will, to the best of its abilities, cater its support activities to the varying demands and contexts, while at the same time also raising awareness about water and sanitation-related capacity development needs and opportunities.

### Step 1: Request from Member State

The SDG 6 Capacity Development Initiative will be initiated by a request from a Member State, as this will be a demand-driven initiative of the UN system. First outreach to Member States in New York and through countries' Resident Coordinators will announce to Member States that this Initiative is available to them if they would like to request the UN's support for SDG 6 capacity development.

The targeted beneficiaries of the Initiative are national government staff from not only water- and sanitation-related ministries, but from other ministries that use and/or have an impact on decision related to water and sanitation (i.e., health, agriculture, energy, environment, climate, finance, etc.). In addition, other key national stakeholders identified will also benefit from the Initiative (i.e., civil society, academia, business, etc.).

### Step 2: Identification of priorities and stakeholders with a capacity gaps assessment

Based on the United Nations Sustainable Development Cooperation Framework, the priorities of the capacity development activities at country level in support of SDG 6 implementation will be identified. Given the priority of integration and working with various national government ministries who are engaged with water- and sanitation-related issues, stakeholders then need to be identified in terms of who will be part of the national-level capacity development plan. While government ministries are the primary stakeholders, key organizations outside the government can also be included in the Initiative, at the discretion of the national government, keeping in mind inclusivity and representation of marginalized groups.

According to the SDG 6 Synthesis Report, several countries are starting to produce national capacity development strategies for the water sector. In these countries, these strategies can already be used to identify what are the capacity gaps that require attention. For other countries that are not in the process of producing such strategies, an exercise will have to be carried out whereby gaps can be highlighted. The available knowledge of UN-Water Members and Partners can be utilized for the identification.

### Step 3: Integrated workshop at the highest levels

Ownership, buy-in and political will are sought from the highest national levels through an integrated workshop (Module A) to raise awareness, commitment, action and collaboration, and to identify capacity gaps. National government ministries and other key national stakeholders will further enhance their knowledge on actions to accelerate implementation of SDG 6 and how they can contribute and collaborate towards this endeavour. Policy/decision makers will be asked to identify interlinkages and suggest areas where coherent policy/decision making is desired at the country level. The participants may include UN Resident Coordinator, National Government Ministries (at the ministerial and director's level), Custodian Agencies representatives, and UN-Water/SDG 6 Capacity Development Initiative representatives.

### Step 4: Develop an SDG 6 capacity development plan

With the national priorities set from the integrated workshop, the specific design of the capacity development plan can be carried out. Modules will be taken from the design framework to be built into a plan ready for implementation. Relevant organizations from the Initiative come together and develop the plan for carrying out the particular country's SDG 6 capacity development plan. The Initiative members (UN SDG 6 Custodian Agencies and other UN-Water Members and Partners) will develop a tailored capacity development plan in collaboration with the country counterparts.

Necessary Key Performance Indicators (KPIs) will be also identified in the SDG 6 capacity development plan. The UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) and other monitoring activities of the SDG 6 Integrated Monitoring Initiative will be leveraged to monitor the progress of the plan.

### Step 5: Implement the SDG 6 capacity development plan

With a plan in place, implementation of the plan will commence with national government employees and staff from the other relevant stakeholder previously identified. The Initiative members and UN Country Teams will conduct in-person or online activities.

### Step 6: Follow-up and evaluation

To follow up the capacity development plan in a country, periodic evaluations of progress are required to examine how effective the initiative was, what further gaps still remain and what



further assistance the UN systems can provide to fill those gaps. Data from, inter alia, the UN-Water Integrated Monitoring Initiative for SDG 6 (IMI-SDG6), UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS), the WHO/UNICEF Joint Monitoring Programme (JMP), AQUASTAT and the Global Environment Monitoring System for freshwater (GEMS/Water) can be used to measure the progress of related indicators before and after the Initiative’s implementation. CDI will also monitor selected indicators reflecting on the implementation progress (e.g. number of countries served, number of people trained, number of organizations strengthen) and impact stories (e.g. narratives on the changes in policies and practices). A follow-up ministerial-level meeting to evaluate the country’s SDG 6 capacity development plan will be organized by the Initiative members, RCO, UNCT, Government counterparts, and other country partners. If needed, the 2nd phase of the training will be considered.

### 5. Timeline of country implementation

Once initiated, the tailored process will be unique for each country, and the overall initiative could last from months to multiple years depending on what has been requested by the Member State. Below is an indicative timeline of a 12-month initiative actions ranging from Member State request to a follow-up and evaluation meeting.

Step	Action ↓ / Month →	1	2	3	4	5	6	7	8	9	10	11	12
1	Member State request	█											
2	Priorities and stakeholder identification		█	█	█								
3	Integrated workshop at the highest levels			█									
4	Design capacity development initiative					█							
5	Implement capacity development initiative						█	█	█	█	█	█	
6	High-level follow-up and evaluation meeting												█

### 6. Roles and responsibilities for the Initiative operations

An overview of overall roles and responsibilities for the Initiative operations are outlined below:

Role	Responsibility
------	----------------

<u>Initiative coordination</u>	
Day-to-day operations and coordination activities (day-to-day communication, membership list, organising meetings, note taking, etc.)	Coordination team
Fundraising and allocation of funds	SDG 6 CDI
Oversight and strategic steering of Initiative	UN-Water Meetings
<u>Initiative activities</u>	
Receiving requests, organising initial activities in countries and support overall coordination and knowledge exchange	SDG 6 CDI, Resident Coordinator Office (RCO)
Country gaps assessment and SDG 6 capacity development plan	SDG 6 CDI, Government counterparts, UN Country Team (UNCT), other country partners
Implementing capacity development activities	UNCT, SDG 6 CDI and other country partners, individually or in partnerships
Monitoring, reviewing and revising progress	SDG 6 CDI, Government counterparts, Initiative members, RCO, UNCT, other country partners, including through SDG6-IMI and other data

## 7. Schedule and budget

The Initiative is scheduled for the 10 years period from 2021 to 2030 in accordance with the 2030 Agenda for Sustainable Development. After the Initiative work plan is finalized, initial implementation with up to three countries will start in 2022, followed by full-scale implementation from 2025. Mid and final reviews are also planned in 2025 and 2030, respectively.

Year	1	2	3	4	5	6	7	8	9	10	11
	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031
	Phase 1				Phase 2						
Key Water Events	● UN 2023 Water Conference				● 2030 Agenda end date						
SDG 6 CDI Initial Phase	● Concept Note ● Work Plan ● Initial Countries Implementation ● Mid Review										
SDG 6 CDI Full Scale Implementation	● Full-scale Implementation							● Final Review			

The Initiative will maximize existing in-kind and financial capacity development resources, which will be identified by the mapping exercise. However, additional voluntary contributions will be necessary to realise the full scope of the Initiative activities. These additional voluntary contributions will be used to strengthen already existing structures and activities rather than create new ones. Budgets at country level will be tailored to the request and the need of the country. The Initiative budget consists the following two categories:

1. Coordination of the Initiative.
2. Support to Member States and to UN-Water Members and Partners for planning and implementation of the Initiative-related activities.

The funds raised for coordination will be used to cover coordination activities of the Initiative coordination team, while funds that support planning and implementation of the Initiative-related activities will be allocated based on each country's capacity development plan.

Providing a comprehensive budget for the whole initiative at country level from the start is very difficult before knowing the demand and having the SDG 6 capacity development plan. However, an estimation is made based on the available information and experience. The budget estimates are structured in relation to each step of the initiative, including an overall estimation for the coordination costs.

Budget estimations for individual steps of the capacity development process in a single country is provided below:

(US\$)

Activity	Assumptions/comments	Cost estimate
----------	----------------------	---------------

Initial Member State engagements	Member State request to CDI	(Covered by coordination resources)
Priorities and Stakeholders Identification	Workshops, stakeholder consultation meetings, desk review	50,000
Integrated workshop at the highest level (using Module A)	Operational costs including travel (local and international) of participants and CDI team, implementation incl. boarding and lodging and logistics	75,000
Design capacity development plan	Cost of the plan formulation team including identified Member States experts and CDI team. Will involve additional consultation / workshops with key stakeholders.	250,000
Implement national capacity development plan	Multiple capacity development interventions at institutional level, such as training modules, organizational strengthening, support in establishment of training centres within key institutions, support curricula update of local universities. Costs will depend on the scale of these activities, and could vary per country. However, an indicative range is given.	From hundreds of thousands to a few million USD (Amount varies largely depending on the scale of the intervention; Covered to the extent possible by existing CDI members resources)
High Level follow-up and evaluation meeting (in person)	Preparation, Travel (local and international) of participants and CDI team, implementation incl. boarding and lodging and logistics	50,000

In addition to the estimates for an in-country intervention provided in the Table above, the overall coordination costs is estimated at 350k USD per year (see table below).

In the Initial implementation (Phase 1), we expect to start with 3 initial countries where the capacity development process will be demonstrated. The phase will focus on how the Initiative can maximise its added value and reach its objectives in the country engagements, while at the same time ensuring that it can be scalable to many more countries. For example, the Initiative will provide an up-to-date overview of, and links to, the available capacity development resources within and beyond the UN-Water family during the phase. The expected budget of this phase will depend on the scale of the intervention and the anticipated timeline for this phase is 2022 – 2024 (see Table in section 5). Total cost estimates for phase 1:

(US\$)

<b>Activity</b>	<b>Assumptions/comments</b>	<b>Cost estimates</b>
3 initial countries implementation	See table above for details.	~1M USD per country; ~3M USD in total
CDI coordination	Staff cost to coordinate target countries and CDI members, and operational costs	350,000 USD per year; 1.05M USD in total
Total cost estimate for Phase 1		4M USD
Available resources estimate for Phase 1		1M USD
Funding gap estimate for Phase 1		3M USD

For the full-scale implementation (Phase 2) we expect to scale up the engagements across countries through a demand-driven approach where the Initiative will be implemented. The expected budget of this phase per country is expected to reduce due to some reduction of preparation costs, making publicly available training materials, blended training approach using e-learning and face to face. The number of countries will depend on the demand and interest in the CDI. Based on the experience gained during Phase 2, further upscaling will be done by catering the demand from more Member States. The budget of future phases will depend on the demand, and will be estimated after the evaluation of the full-scale implementation.

## 8. Fundraising

To raise funds for the above budget items, the Initiative will require launching a fund-raising campaign. Donors<sup>2</sup> are encouraged to use the UN-Water Inter-Agency Trust Fund to support the Initiative. This Trust Fund provides an efficient and economic coordination instrument to channel resources effectively among UN agencies and partners.

## 9. Next step

Activity	Due date
Development of Initiative's two-pager	April 2022
Identification of pilot countries	January-April 2022
Finalization of the Initiative work plan	January-April 2022
Presentation of the Initiative at the UN-Water Donor Dialogue	April 2022
Presentation of the Initiative in relevant events (e.g. Dushanbe Water Conference, Stockholm World Water Week)	2022
Communication and coordination with UN DCO and UN Country Teams in pilot countries (e.g. through dedicated webinars)	2nd Quarter 2022
Mapping of UN-Water family's capacity development resources	2nd Quarter 2022
Kicking off Module A in selected pilot countries	3rd Quarter 2022

---

<sup>2</sup> For instance, Spain has already committed technical and financial support to the SDG 6 Capacity Development Initiative, with special attention to countries in Ibero-America as well as in other priority regions for Spain, such as the Mediterranean and Africa.