

2018 - 2030



**Helping 20 million people in
40 catchment areas around the
world to gain access to clean,
sufficient and safe water**

Framework - Blue Deal



Ministry of Infrastructure
and Water Management

 **DUTCH WATER
AUTHORITIES**



Ministry of Foreign Affairs of the
Netherlands

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Summary

If we look at the Earth from space, it is clear to see: the planet is literally covered in water. Yet, there is never enough of it – and often too much. In recent decades, water-related disasters have affected increasing numbers of people, animals and businesses. We can make a greater contribution to finding solutions to these problems if we work together better and more often in the Netherlands, too. The Dutch water authorities and the Ministries of Foreign Affairs and of Infrastructure and Water Management are therefore joining forces to achieve more together internationally than they can currently do individually. This joint programme is known as the Blue Deal.

The Blue Deal will run to the end of 2030 and has one clear goal: to help 20 million people in 40 catchment areas around the world gain access to clean, sufficient and safe water. The focus is on providing help, but also on creating opportunities for businesses and on learning from other countries so as to keep improving our own work in the Netherlands.

The Blue Deal gives the water authorities and ministries the opportunity to support regional and national governments with more resources than are available now and for a longer period. And not as an investor or project developer, but as a partner that helps to find solutions. Projects will be carried out within the partnerships that will improve water management step by step. In doing so, the programme will help achieve Sustainable Development Goals 6.3-6.6, the International Water Ambition and the vision of the Dutch Water Authorities. The Blue Deal programme will be prepared over a period of a year and will start in 2019. It will be implemented in three phases: 2019-2022, 2023-2026, 2027-2030. The Blue Deal is a programme that will grow. The first phase will largely be implemented through partnerships in which the water authorities already participate. In the years that follow, more and more new partnerships and projects will be added. The programme is expected to be built up as follows:

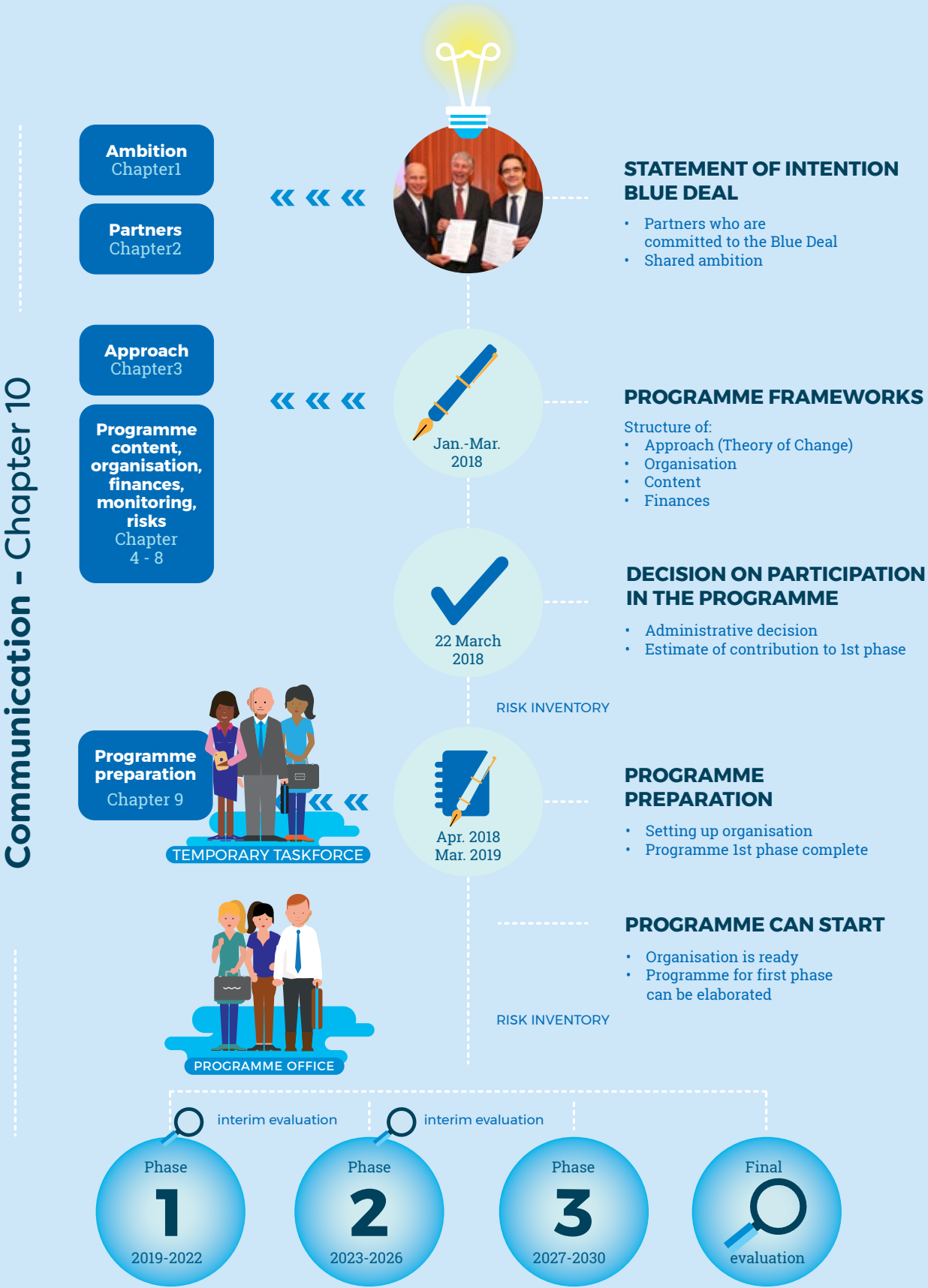
	2019-2022	2023-2026	2027-2030
No. of people reached	1 million	10 million	20 million
No. of partnerships	6 to 12	15	15

The water authorities and local partners will account for around 50% of the total costs of the programme, with the ministries covering the other 50%. A sound approach is required to achieve the programme's goals. This has been elaborated in a Theory of Change (ToC) for the Blue Deal. The ToC is based on the Dutch Water Governance Centre's 'Building blocks for good water governance' and the twelve principles of the Organisation for Economic Co-operation and Development (OECD). Through the ToC, four work packages have been developed that run through the whole programme:

1. Knowledge and expertise: strengthening and developing partners' technological knowledge and capacity
2. Institutional: improving partners' main institutional and organisational aspects
3. Relational: cooperating, organising participation and generating support in the environment by the partners
4. Programme coordination: organising the programme efficiently and effectively to achieve the joint goal within the budget, on time and with the desired quality.

In the approach, there is special attention to climate, gender, innovation, sustainability and poverty reduction. In addition, every partnership in the Blue Deal will start with a baseline measurement, describing the situation in the project area before the programme begins. After that, an annual progress report will be produced on the basis of indicators and an independent body will monitor developments in the programme every two years.

Structure of the Blue Deal process



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1.

Blue Deal ambition

If we look at the Earth from space, it is clear to see: our planet is literally covered in water. Yet, there is never enough of it – and often too much. In recent decades, water-related disasters have affected increasing numbers of people, animals and businesses. Hurricanes, torrential rainfall and rising sea levels are causing floods. Drought and water shortages are making areas uninhabitable. Severe shortages lead to unrest and migration, threatening peace and security.



1 Blue Deal ambition

If we look at the Earth from space, it is clear to see: our planet is literally covered in water. Yet, there is never enough of it – and often too much. In recent decades, water-related disasters have affected increasing numbers of people, animals and businesses. Hurricanes, torrential rainfall and rising sea levels are causing floods. Drought and water shortages are making areas uninhabitable. Severe shortages lead to unrest and migration, threatening peace and security.

Things need to change

At the Amsterdam International Water Week in 2017, Dutch prime minister Mark Rutte said “Water shapes cities, societies and countries. It always has and always will. One of the most pressing issues of our age is: how do we deal with water?” More and more, people are turning to the Netherlands for help in answering this question.

While we are already relatively active on the international stage, we could achieve even more if we were to work together better and more often in the Netherlands, too. Water issues transcend the borders of waterways, of countries and, more symbolically, of policy. The Dutch water authorities and two ministries are therefore joining forces to achieve more together internationally than is currently possible individually. This joint programme is called the Blue Deal.

Blue Deal

The Blue Deal is a programme consisting of long-term partnerships between water managers in the Netherlands and abroad. The partnerships carry out projects. The partners are generally national and regional government bodies tasked with water management. Up to 2030, we are working together with these bodies to achieve one single goal: to help 20 million people in 40 water catchment areas gain access to clean, sufficient and safe water.

What will change?

Improving water management in a country is often a process of trial and error. The Blue Deal gives the water authorities and ministries the opportunity to support regional and national governments with more resources than are available now and for a longer period. And not as an investor or project developer, but as a partner that helps to find solutions. Partnerships in the Blue Deal programme start by asking ‘What is needed here to get clean, sufficient and safe water?’ The answer will be different everywhere around the world, which is why tailor-made proposals will be drawn up with local partners. The end goal for 2030, however, will always remain the same: better and more sustainable water management.

From words to deeds

To have real impact, Blue Deal’s ambition does not stop with creating awareness of the problem or thinking of a solution. The aim is for plans to actually be implemented, so that waste water treatment improves, dikes are maintained, irrigation systems keep working, and so on. The ministries and water authorities want to ensure that people actually notice the difference in their daily lives. To turn this ambition into reality, they are combining their knowledge, resources and networks in the programme.

1.1 20 million people in 40 water catchment areas

The combined ambition of reaching 20 million people in 40 water catchment areas was chosen on the basis of an estimation of the current and expected impact of water authorities. An indicative desk study of water authorities was carried out in the final quarter of 2017, determining which countries have water authorities that are currently operational or will be in the near future, who their partners are (water managers), in how many water catchment areas (control areas) they work together, how many people live in these areas and the impact of the work undertaken. A ladder of three levels was used to assess this impact:

- **Level 1:** Awareness-raising and transfer of knowledge on an improved approach to water management has taken place
- **Level 2:** the improved approach has been translated into official plans and policies
- **Level 3:** the implementation of the improved water management or policy has had a noticeable effect on the inhabitants of the control area

It is Blue Deal’s ambition that people actually notice the effect, i.e. to achieve level 3. The summary of the inventory (see annex 1) shows that work is currently underway in some 50 to 60 control areas, reaching tens to hundreds of millions of people at three impact levels. Based on the inventory, it is estimated that, while the programme’s reach is limited in phase 1, it increases considerably in phase 2 and 3.

Impact level 3	2019-2022	2023-2026	2027-2030
Number of people reached	1 million	10 million	20 million

Table 1 Ambition of the Blue Deal programme

In the preparation phase (April 2018 – March 2019), the water authorities and ministries will choose the partnerships which will make up the Blue Deal programme and act as the umbrella under which projects are undertaken. Once these are in place, the definition of impact will be specified in more detail. The programme’s ambition can then be adjusted if necessary.

1.2 Benefits for trade and our own organisations

Besides offering help, the water authorities and ministries want to learn from other countries as a way to continually improve their work in the Netherlands. The extensive cooperation with other organisations in projects will give great impetus to our drive to innovate. It is an opportunity to take on new ideas and experiences which will benefit our own organisations. Working internationally makes the water authorities and ministries interesting and attractive employers. The partnerships will focus not only on providing knowledge but also on acquiring it for our own use and for the personal development of our employees.

The Blue Deal programme aims to create opportunities for both Dutch and local businesses. This already happens frequently in the water authorities’ international partnerships. Innovative techniques for which water authorities are the launching customer in the Netherlands are often introduced successfully with international partners. Food, energy and agriculture are interesting topics in this respect. The Blue Deal offers the opportunity to achieve even more in the area of trade. This will be explored in greater detail in the preparation phase.



1.3 Contribution to the SDGs, IWA and DWA

To address global water-related challenges, concrete results are required. The Blue Deal wants to visibly contribute to achieving the Sustainable Development Goals, the International Water Ambition and the vision of the Dutch Water Authorities. The programme will report on progress made in pursuing these three goals.

Sustainable Development Goals

With its Sustainable Development Goals, which were finalised at the end of 2015, the United Nations has placed the theme of water at the heart of sustainable development. The focus has been widened from drinking water and sanitation to the broader context of integrated water management, and the conditions required to make that possible. The Blue Deal programme fits this new approach perfectly.

The Blue Deal contributes to SDGs 6.3-6.6 in particular and will report its results in these areas. The programme also contributes, be it to a lesser extent, to water source protection (SDG 6.1) and sanitation (SDG 6.2). But SDG 6 is not the only relevant goal for the Blue Deal. The programme also promotes health and well-being (SDG 3), gender equality (SDG 5), safe and sustainable cities (SDG 11), mitigation of and adaptation to climate change (SDG 13) and conservation and restoration of ecosystems (SDG 15). Annex 2 shows an overview of all SDGs to which the Blue Deal results contribute.

International Water Ambition (IWA)

The scale, urgency and complexity of water challenges require a comprehensive, united and international approach in order to generate greater resilience against climate change and improved water safety and security. Since 2015, the Ministries of Foreign Affairs, Economic Affairs and Climate Policy, and Infrastructure and Water Management have been working together through the International Water Ambition (IWA), with the help of the water authorities, water companies, Rijkswaterstaat (the government water agency) and the Netherlands Enterprise Agency (RVO), the Dutch business community, NGOs and knowledge institutes.

The Blue Deal has its roots in the IWA and provides the implementing power to achieve the IWA's three goals:

- Pillar 1:** Strengthening the Netherlands as a Centre of Excellence
- Pillar 2:** Successfully pursuing an integrated approach to water safety and water security
- Pillar 3:** Foreign parties and the Netherlands help maximise local ability to achieve results.

Dutch Water Authorities

Water authorities have been working with local governments on improved water management for many years. In 2015, to give their international work greater focus, the water authorities drew up a joint multi-annual perspective for Dutch Water Authorities – a milestone in working together internationally.

The perspective lists the reasons for water authorities to work together on the international stage:

- It benefits the water authority and its employees
- It make a socially responsible contribution to aid and trade
- It supports and implements government policy
- It strengthens the water authorities' image by visibly delivering added value.

In the coming years, the water authorities plan to work on the following priorities:

- Cooperating water authorities are seen as relevant partners that provide added value in projects abroad.
- Water authorities recognise that deploying their own staff abroad contributes to the achievement of their own water-related and organisational objectives.

Since the multi-annual perspective was drawn up, DWA has undergone huge developments. Even without the Blue Deal, water authorities will work on making their efforts more professional and visible. Working together with the ministries through the Blue Deal can accelerate this development considerably, allowing DWA to take larger steps towards tackling the perspective's priorities in a much shorter time frame.



The Blue Deal in practice

Country:	Colombia
Water catchment areas:	Valle de Cauca, Caldas
Number of inhabitants:	4.8 million 1 million
Partner(s):	regional water and environmental authorities (CARs) and drinking and wastewater companies (ESPs)
Operational since:	2016



What does the programme currently look like?

Dutch water authorities and their Colombian partners are working together on themes such as dike management and maintenance, wetland restoration, developing planning processes, tackling liquid discharges and dealing with water extremes. There are opportunities to extend the number of existing partnerships, for example with Cormagdalena, the authority managing the Rio Magdalena, the largest river in Colombia. So far, eight water authorities are involved in the Colombia programme.

What would change with the Blue Deal?

The Blue Deal guarantees the continuity of the cooperation programme with Colombia. By employing a local resident, the water authorities expect to intensify the current partnerships and better assess what is really needed to make implementation more effective. In addition, the Blue Deal facilitates and promotes cooperation with other Dutch partners, as a result of which Dutch parties have more to offer and can demonstrate their effectiveness. This, in turn, makes it more attractive for investors to contribute to the impact of the programme and its partners.



2.

Partnerships in the Blue Deal

The Blue Deal is a joint programme of 21 water authorities and the Ministries of Foreign Affairs and of Infrastructure and Water Management, which will run until 2030. These 23 organisations are the key partners in the Blue Deal. They will enter into long-term partnerships with national and regional partners. Within these partnerships, projects will be undertaken with indirect partners, who will bring specialist knowledge or experience to the table which will further improve project implementation under the Blue Deal umbrella.

2 Partnerships in the Blue Deal

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This chapter describes in general terms the role of each key partner and indirect partner. The role of all indirect partners will be elaborated in detail in the preparation phase. The extent of their cooperation is, however, decided within the partnerships themselves. A regional project within a partnership, for example, may benefit from efforts by embassies to influence policy at national level. Likewise, national ministry programmes may benefit from input from water authorities on management and maintenance (long-term perspective). A specific work package (see chapter 3, work package 4) on partnerships is offered to promote this way of working together.

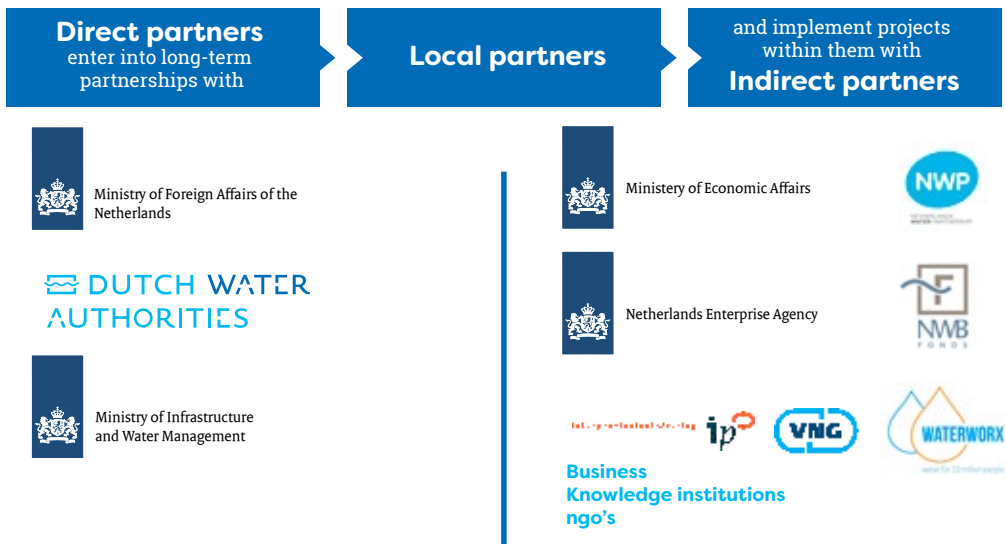


Figure 1 : Partners in the Blue Deal



2.1 Dutch Water Authorities

Since 2014, all 21 Dutch water authorities have been united in Dutch Water Authorities (DWA)(see annex 3 for an overview of all water authorities). They will implement the Blue Deal programme together with the ministries, deploy their employees for the programme for a shorter or longer period.

The water authorities vary significantly from each other in terms of budget or number of people deployed internationally. The Scheldtenstromen water authority, for example, is not yet operational outside Europe, whereas Amstel, Gooi en Vecht is very active internationally and has brought its activities under the umbrella of the Wereld Waternet (WWn) Foundation. To ensure that the Blue Deal suits all water authorities, the programme will be flexible and will grow further until it ends in 2030. This allows space for diversity.

Voluntary but not optional

At first, water authorities decide individually on the basis of this document whether they wish to take part in the Blue Deal. Once they decide to take part, they commit themselves to the programme's shared ambition and framework, and thus to making a real contribution. Each authority decides for itself how large that contribution will be. It can range from leading several partnerships to making staff available for partnerships of other water authorities. Some may decided not to contribute in the first phase, but commits themselves to doing so in a later phase.

Water authorities wishing to take part in the Blue Deal will ask their governing boards to authorize the Dutch Water Authorities' International Affairs portfolio holder to sign the Blue Deal on their behalf on 22 March 2018. By doing so, they are committing themselves until 2030. Before 22 March 2018, each water authority will provide an initial estimate of its contribution until 2022 which – together with those of all other key partners – will give an idea of the scope of involvement during the first phase of the Blue Deal.



Partnerships within and outside of the Blue Deal

The input of each water authority will take concrete shape through the partnerships which contribute to the Blue Deal's ambition. Water authorities are free to take part in other international activities alongside the Blue Deal. This will certainly be the case for work that does not fit the long-term partnerships which are the focus of the Blue Deal – for example emergency aid, events or short missions – but which it is important for water authorities to continue to take on. Both ministries have indicated that it will remain possible to undertake other projects with them outside of the Blue Deal.

What do water authorities bring to the table?

1. Programme coordination on behalf of all key partners
2. The implementing power to deliver the Blue Deal by providing capacity with the required expert knowledge and experience
3. Expertise in the area of clean, sufficient and safe water
4. Long-term partnerships with regional authorities and supporting them in each phase of the process to improve water management
5. Better access to the network of water authorities abroad
6. Projects or programmes which make a measurable contribution to the SDGs and the goals of the IWA.

What do water authorities get out of the Blue Deal?

1. Better access to the ministries' international network (including embassies)
2. Faster development of international cooperation in DWA
3. Achievement of the priorities in DWA's multi-annual perspective (recognition and acknowledgment)
4. Financial resources from the ministries to expand existing projects, start new projects, further develop DWA and deploy people locally
5. Translation of the work into measurable contributions to the SDGs and the goals of the IWA
6. Knowledge acquisition and professional development of staff

2.2 Ministry of Foreign Affairs**What does the ministry bring to the table?**

1. Connections with its international network and the embassies' national networks
2. Country expertise, on the basis of which the embassies can advise water authorities on how to make their Dutch knowledge relevant for the local context
3. Experience in professionalising the deployment of Dutch water companies abroad
4. ODA-funding for developing countries, in addition to the funds made available by the water authorities and the Ministry of Infrastructure and Water
5. Coordination with programmes that the Netherlands finances in the country in question or through international organisations like the World Bank.

What does the ministry get out of the Blue Deal?

1. Results that contribute to SDG6 and the IWA, in accordance with the water policies of the ministry and the IWA, and consequently greater visibility for the Netherlands in international agreements
2. Access to the water authorities' expertise (management and maintenance of water infrastructure, monitoring, management of irrigation, drainage and wastewater treatment)
3. The water authorities' implementing power to deliver the Blue Deal programme
4. Long-term peer-to-peer support to improve the performance of water managers in developing countries, making their organisations more effective and efficient
5. Sustainable improvement of water security in developing countries by strengthening activities at local and regional level

2.3 Ministry of Infrastructure and Water**What does the ministry bring to the table?**

1. Country expertise of its delta teams in IWC countries (Delta countries and Delta-light countries), which will be deployed to advise the Blue Deal projects
2. Use of resources of the Partners for Water (PvW) programme for Blue Deal projects in IWC countries that fit the PvW criteria
3. An annual financial contribution of €100,000 for the Blue Deal programme in IWC countries
4. A financial contribution channelled through the Homogeneous Budget for International Cooperation (HGIS) for Blue Deal projects in IWC countries. A budget claim of €500,000 will be submitted in 2018, which will rise to €1 million a year
5. Platform and visibility on international missions (incoming and outgoing) through, for example, active deployment of the NWP for the Blue Deal programme

What does the Ministry get out of the Blue Deal?

1. Measurable results in the areas of water safety and security worldwide in accordance with the goals of the IWA
2. Long-term commitment to international work from water authorities at management level
3. Local partners abroad can benefit from the technical and practical knowledge of the water authorities
4. Long-term commitment by the water authorities in IWC countries (Delta countries and Delta-light countries)
5. Better cooperation between the ministries and water authorities in trying to achieve a collective and coordinated result

2.4 Local partners

Local partners are organisations which work together with Dutch Water Authorities in a partnership, carrying out projects or a specific programme. They are mostly water managers at local or regional level, but can also be also ministries or other national bodies, or cross-border organisations. They have equal status with the water authorities within the partnerships. They learn from each other, assess what is needed in the local context and develop projects. The local partners play a crucial role in ensuring that the needs of the most important stakeholders in the area are taken into account.

During the preparation phase it will be decided together with current and new partners which partnerships are to be registered for the Blue Deal and what projects will be undertaken as part of the programme. Like the key partners, local partners are expected to contribute, either financially or in kind. This is to show that the local partner, too, is committed to making the partnership a success. The partner's financial capacity will be taken into account; less affluent partners will be asked for a smaller contribution, whereas more affluent ones will be asked to contribute more. This will all be agreed in greater detail during the preparation phase.

Local partners sign the Blue Deal partnership proposal together with the key partners. The proposal details the agreed goals, roles, responsibilities and contributions. At the start, the Blue Deal programme will largely consist of existing partnerships, which means that many local partners are already known.

2.5 Indirect partners

To make the programme stronger, partners will be sought with specific knowledge or expertise which is not yet or insufficiently available among the existing Blue Deal partners. Conversely, the Blue Deal programme can provide added value to the work of other programmes or organisations. In the preparation phase, an analysis will be made of potentially promising partnerships and letters of intent (LoI) signed with these programmes or organisations to finalise the cooperation.

2.5.1 Top sector Water and Maritime/ Ministry of Economic Affairs and Climate Policy

The ministry is an important partner in giving substance to the themes of innovation and trade in the Blue Deal programme. The ministry values the Blue Deal and will contribute to partnerships by sharing its knowledge, experience and network in projects.

The water authorities already play an active role in the top sector Water and Maritime's core country teams. In the coming year, they will discuss how the themes of innovation and trade can be given shape within the Blue Deal programme. Nationally, water authorities are one of the largest clients for trade and industry and are often the launching customer for innovations. The Blue Deal offers the option to start pilots which look to export these new techniques, for example by showing them to visiting delegations or applying them in projects carried out by partnerships abroad.

2.5.2 NWB Fund

The NWB Fund (Fund of the Netherlands Water Authorities Bank) makes a considerable financial contribution to the water authorities' international work and is therefore a crucial partner. The fund intends to use its contribution for the Blue Deal, as part of the water authorities' contribution. Its new policy framework for 2018-2021 already makes a link to the Blue Deal. Conversely, the process of registering partnerships for the Blue Deal (chapter 4) has been aligned to that of the NWB Fund.

The fund is exploring how its contribution can complement the programme. One option is to finance a component of the programme which water authorities deem necessary but which falls outside the ministries' budget. An example is the exploration phase of potential long-term cooperation. In the coming period, all options will be explored. In addition, the NWB Fund will support a smooth transition of current projects to the Blue Deal programme.

2.5.3 Waterworx (water supply companies)

Waterworx is a programme run by Dutch water companies and the Ministry of Foreign Affairs. The programme's aim is to provide ten million people with access to clean drinking water and so contribute to SDG 6.1 and 6.2. The programme's set-up has been a great source of inspiration for the Blue Deal. A partnership agreement between the Blue Deal and Waterworx ensures that their knowledge and expertise are shared and makes a greater number of international missions possible, so that local partners can be supported throughout the water cycle. The water companies are already working together with water authorities in a number of countries, including Ethiopia, Colombia and South Africa. The Amstel, Gooi en Vecht water authority is involved in the Waterworx consortium through Wereld Waternet and uses the knowledge and experience it acquires in the consortium in the Blue Deal organisation and programmes.

There has already been much contact with Waterworx during the development of the Blue Deal and an inventory of partnering opportunities has been drawn up. The water authorities can, for example, share their expertise on source management and integrated water management plans, whereas Waterworx is an expert in urban water, sanitation and hygiene (WASH). A letter of intent will be signed in the preparation phase to finalise the cooperation.

2.5.4 VNG international and IPO

The Dutch municipalities operate internationally as VNG International. In 2017, together with the Ministry of Foreign Affairs, they set up the Inclusive Decisions At Local Level (IDEAL) programme. IDEAL focuses on SDG 16: peace, justice and strong institutions. The municipalities utilise their knowledge to strengthen democratic local governments in seven countries. Like the provinces, the municipalities are natural partners for the water authorities in the Netherlands as well as abroad, as can be seen from examples like the investment agenda Naar een duurzaam Nederland (Towards a sustainable Netherlands) and joint international programmes like Kingfisher. In the preparation phase, both VNG International and IPO Nederland will be consulted on how a partnership with the Blue Deal can be given shape.

2.5.5 RVO and NWP

Many other organisations also operate internationally. The Blue Deal aims to link up with other water-related programmes. The Netherlands Enterprise Agency (RVO) and the Netherlands Water Partnership (NWP) can play a part in this. The RVO, for example, undertakes programmes to promote trade (e.g. PIB, DHI and business development coaches) and development aid (e.g. PvW, FDW, Water OS, DRR-Team, DSS water, FDOV, D2B, DRIVE), with which the Blue Deal can seek to cooperate. Through its members, the NWP has access to a wide network of business, knowledge institutes, NGOs and public authorities. This enables it to contribute to a comprehensive overview of relevant organisations and programmes that can strengthen the Blue Deal.

In the preparation phase, there will be consultations with the RVO and NWP to determine how their expertise can be used in support of the Blue Deal.

2.5.6 NGOs

Aid organisations have specific expertise and strong local networks, which can provide added value to some parts of the Blue Deal. Themes like gender, poverty reduction and formulating and monitoring indicators, for example, can be worked out in details with the help of NGOs. In the preparation phase, partnerships will be sought out which strengthen the programme.

2.5.7 Knowledge institutes

Universities and research institutions often approach water management with a completely fresh perspective. Working together with businesses, they can find surprising and innovative solutions for water-related issues worldwide. The Blue Deal is therefore looking to cooperate with knowledge institutes. Which institutions may be of interest to the programme will be explored in the preparation phase.

2.6 Agreements

To establish partners' roles and responsibilities within the programme, they will enter into agreements at five levels:

- 1 The Blue Deal, in which the shared ambition and input of each partner is described visually in brief. This document will be signed by all participating water authorities and the Ministries of Foreign Affairs and of Infrastructure and Water Management on 22 March 2018. The document has the legal status of a statement of intent, which means there are no legal consequences but the partners express their commitment to fulfil the ambition within the framework laid out.
- 2 A public-private agreement between the Ministry of Foreign Affairs and the Union of Water Authorities (UvW) and a workplan within the existing framework between the Ministry of Infrastructure and Water Management and UvW. The water authorities are legally represented by UvW in both contracts, in its capacity as lead party.
- 3 An agreement between the participating water authorities and UvW. The water authorities have a shared responsibility to honour the commitments stemming from their contribution to the Blue Deal. The agreement with the lead party describes how their role will be given shape. This agreement will be elaborated in greater detail in the preparation phase.
- 4 Individual partnership agreements between the water authorities and their local partners, within which projects are carried out. The partners will be selected in the preparation phase and an agreement drawn up, stating the role and responsibilities of each party.
- 5 A letter of intent between the Blue Deal key partners and other programmes/ organisations to finalise the cooperation.

2.7 Joining and leaving the Blue Deal

The Blue Deal will start with the key partners who have signed up on 22 March 2018. The individual contribution of each partner may increase or decrease during the period of the Blue Deal, depending on their capacity and ambition. New partners may be added to the programme; this will be discussed in the steering group and criteria for joining will be agreed during the preparation phase.

Each key partner can prematurely terminate one or more partnerships and replace them by a new partnership or project, provided the other key partners are informed of the intention to do so in good time and it is discussed in the steering group.

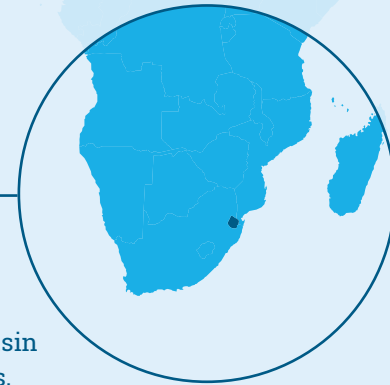
A partnership or project may be terminated prematurely if:

- it does not generate sufficient result
- the security and/or political situation no longer meet the requirements of the partner's policy
- partners are guilty of corruption, fraud, negligence or human rights violations

If a partner terminates a project, all the key partners will discuss whether a new project should be started or an existing project extended to enable the Blue Deal's ambition to be achieved. The programme office can advise on these matters.

The Blue Deal in practice

Country: **Swaziland**
Water catchment areas: **Incomati River delta**
Number of inhabitants: **1.3 million**
Partner: **River Basin Authorities (RBAs)**
Actief sinds: **2016**



What does the programme currently look like?

Some areas in Swaziland have too much water, while others suffer from severe drought. To address these problems, the 2003 Water Act delegates water management to newly established regional River Basin Authorities (RBA). The members of each board are local stakeholders, including sugarcane farmers, residents and people involved in nature conservation and forestry. Dutch Water Authorities has worked closely together with three of the five RBAs in recent years. The support has included training for newly appointed managers using a peer-to-peer approach.

What would change with the Blue Deal?

In the coming years, Dutch Water Authorities aims to work with all five RBAs on sustainable water usage and cross-border regional cooperation. Both goals require adequate technologies and hopes are high for applying satellite technology. Dutch businesses and institutions operational in this area could start potentially interesting projects. The Blue Deal may make the difference in the further development of cross-border regional cooperation and the implementation of satellite technology.



3.

The Blue Deal approach

A Theory of Change is a theoretical framework used to describe long-term project goals and how to achieve them by carrying out short-term project activities. The ToC details the correlation and links between the various activities, and the chain of outcomes leading to the intended results in the long term (impact). This helps to better control and guide the process and achieve the desired outcomes.

3 The Blue Deal approach

3.1 The Blue Deal Theory of Change

A Theory of Change is a theoretical framework used to describe long-term project goals and how to achieve them by carrying out short-term project activities. The ToC details the correlation and links between the various activities, and the chain of outcomes leading to the intended results in the long term (impact). This helps to better control and guide the process and achieve the desired outcomes.

The Blue Deal ToC is based on:

- the theory behind the 'Building blocks for good water governance' (2016) model, developed by the Water Governance Centre
- the twelve principles identified as key to good water management by the Organisation for Economic Co-operation and Development (OECD)
- interactive sessions with expat staff of water authorities, using completed and current activities as input and screening when drawing up the ToC

Establishing the conditions for good water management

The Blue Deal programme primarily aims to support and strengthen partnerships with local partners, focusing on three crucial components of good water management:

1. Sufficient knowledge and expertise
2. A well-functioning organisation with a clear mandate
3. Cooperation with key stakeholders

To achieve results in these three areas, the Water Governance Centre specified the following necessary building blocks:

- A strong administrative organisation with adequate systems for hard tasks (data and information management, management and enforcement, investment plans) and soft tasks (HR policy, communication, public participation)
- A legally embedded system, at both national (legislation) and regional (regulations) levels
- Systematic planning on the basis of available knowledge, expertise and capacities related to water management
- Sufficient financial capacity: for both operational management and investments in new infrastructure
- Cooperation and a participative approach: this relates for example to communication with and commitment from stakeholders

In interactive sessions with expat staff from water authorities, it became clear that the three components and five building blocks accurately match the international activities of water authorities. All these components prove of crucial importance in achieving results in water management.

The importance of a long-term perspective

A long-term perspective and developing local partners' capacities are central to the Blue Deal. That is why the programme focuses on developing the management organisation's capacity in each of the three components (in short: knowledge, organisation and cooperation). This lays the foundation for the next step: applying these capacities when developing integrated management plans (outcome 1), which in turn lead to integrated water management (outcome 2). Sometimes, depending on the local baseline and context, impact can be immediate without work having been undertaken on the three components.

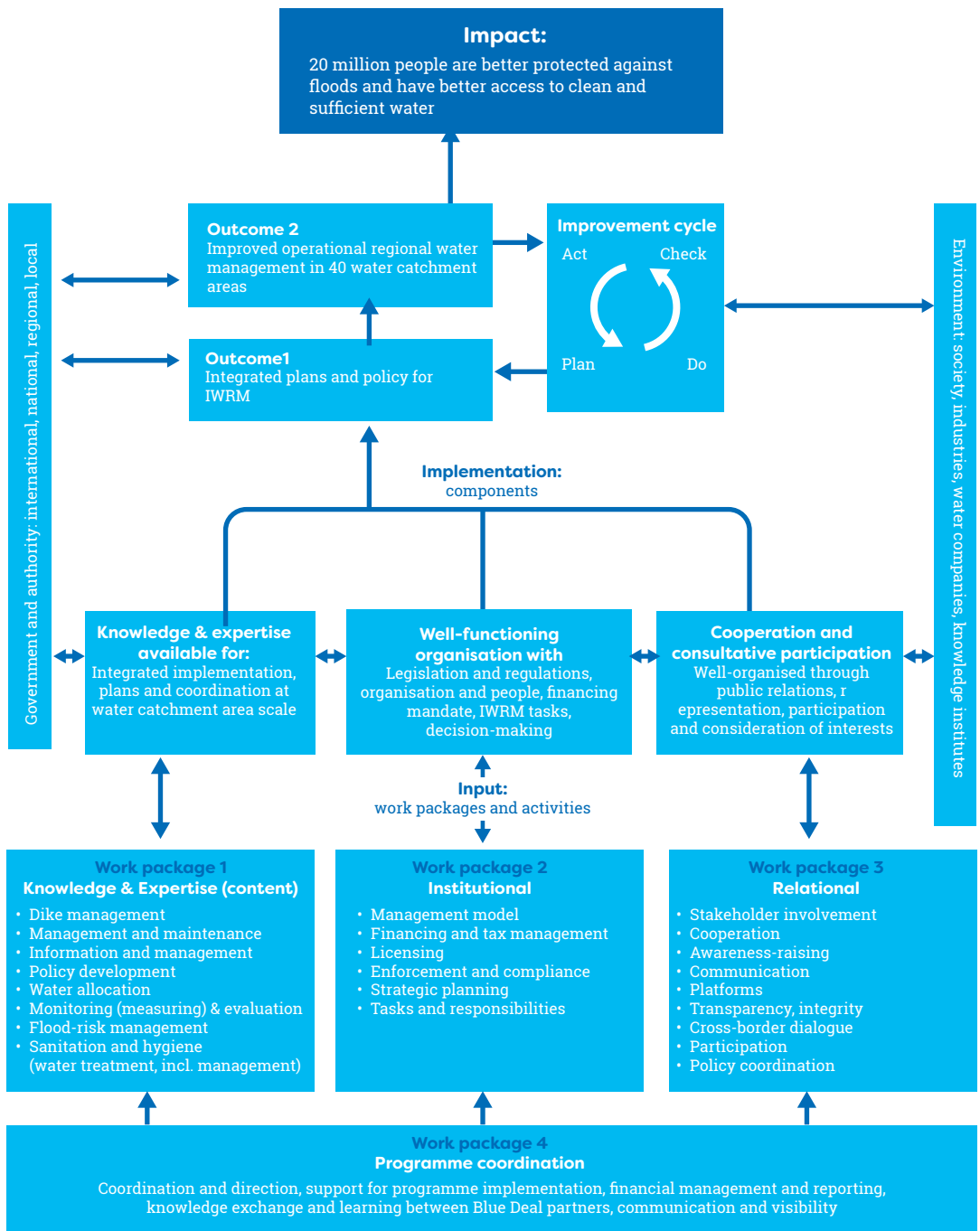


Figure 2: Blue Deal Theory of Change

Outcome 1 means that there is an officially approved plan making it clear how water management can be improved. If these plans are linked to implementation, operational regional water management is improved (outcome 2). With the help of outcome 2, the impact (long-term outcome) on the inhabitants of a management control area can be determined, which in enables the impact of the overall Blue Deal programme to be determined.

Setting the improvement cycle in motion

The aim is not to achieve outcomes 1 or 2, but to set the improvement cycle of integrated water management in motion. Integrated plans are a means rather than a goal in themselves. In most cases, the improvement cycle will take several years to achieve the Blue Deal ambition. That explains the programme's duration until 2030: it offers the opportunity to focus the cooperation with the local partner step-by-step on meeting local needs and objectives, and to introduce sustainable operational water management in phases.

Because of Dutch Water Authorities' ongoing activities, some local partnerships already show a direct effect on operational regional water management, or will do so in the near future. These 'quick wins' are important as examples and a source of inspiration for other partnerships, and they offer valuable lessons for the overall programme. That is why so much attention is devoted to knowledge exchange between partners.

Expected results and phasing

A desk-study amongst water authorities shows that reaching 20 million people in 40 water catchment areas is an achievable ambition. Globally, the emphasis in the first implementation phase (2019-2022) primarily lies on awareness-raising, knowledge-sharing and capacity improvement. Phases 2 and 3 (2023-2030) see the emphasis shift to achieving results through integrated planning and actual improvements in operational regional water management.

3.1.1 Principles and parameters of the ToC

The ToC is based on a number of important parameters and principles. These partly determine the results of the Blue Deal, and will be elaborated in further detail in the preparation phase. The most important parameters and principles are provisionally:

- **A stable governmental environment**
This means, for example, that legislation and regulations are sufficient (at national and regional level) to support plans and the management and maintenance of the water system. Institutions also work in accordance with their mandate and ensure a workable environment; in addition, there is trust in the relevant local authorities.
- **Reliable stakeholders**
These are stakeholders from other technical sectors (e.g., agriculture, energy, transport) and from industrial, ecological and social sectors.

Other parameters and principles can be found in the annexes. The ToC diagram in the annex also shows which assumptions apply where, which makes it easier to adjust the Blue Deal programme if achieving the ambition becomes less realistic due to changing circumstances in one or two assumptions.

3.2 Work packages, country maps and activity menus

Implementing the Blue Deal requires efficient project management. Work packages have been developed based on the ToC. By using these packages, we ensure that all partnerships contribute to achieving the Blue Deal's main objectives, whilst maintaining overall coherence. Work packages are part of the format of proposals for partnerships or projects.

Different partnerships require different approaches. A 'menu' has been drawn up to ensure that each proposal can be tailor-made without losing the coherence within the programme. Coaching, exchange and training programmes, excursions, workshops, networking/brokering, pilots, projects, evaluations and advice are all part of this 'menu'. See annex 5 for a description of the activities, a detailed description of the partnerships and recurring themes in each package (innovation, climate, gender, poverty reduction and sustainability).

In the preparation phase, the activities which are necessary in the first phase will be specified for each partnership. Of the four work packages, three relate to partnerships and one to the overall programme. For each of the work packages relating to partnerships, a choice is made from the menu. Indicators drawn up in the preparation phase will give an insight into how these activities help improve water management. By way of illustration, examples of possible indicators for each work package are given below:

Work package 1: Technical knowledge and capacities

This work package focuses on developing and strengthening technical knowledge and capacities in water management. In some cases, water management is in its infancy, while in others it is more advanced. This depends on the capacity of the partners and their level of expertise. That also influences what is given priority and how resources are allocated. The following indicators could be used to assess the capacity of local water managers in this area:

- Presence of a technical management plan (infrastructure, dike management, exchange, investments etc.)
- An up-to-date overview (insight, data, information) of water usage and distribution in the management control area
- The presence of long-term plans related to water needs and consumption and the distribution of water sources, taking into account all links in the water chain (drinking water, sanitation, ecosystems, industrial water usage etc.)

The work package comprises:

- 1.1. Dike management
- 1.2. Management and maintenance (water systems)
- 1.3. Information management
- 1.4. Policy development
- 1.5. Water allocation
- 1.6. Monitoring (measuring) and evaluation
- 1.7. Flood-risk management
- 1.8. Sanitation and hygiene (including wastewater treatment)

Work package 2: Institutional

This package focuses on the institutional and organisational improvements required to achieve good water management. The following indicators could be used to assess the capacity of local water managers in this particular area:

- Presence of a business plan and management information system
- Long-term policy and strategy in place for local water management, including mitigation of and adaptation to climate change and other significant risks
- Local rules and regulations on water usage, permits and fees
- The roles and tasks of the local management organisation are clearly described, and include sections on how to improve impact on the poorest, and on gender
- The local organisation is financially sustainable (profit/loss, balance sheet, investments) and well-managed

The work package comprises:

- 2.1. Management model
- 2.2. Financing and taxation
- 2.3. Licensing system
- 2.4. Enforcement and compliance
- 2.5. Developing strategic plans
- 2.6. Tasks and responsibilities

Work package 3: Relational

This work package focuses on the relational aspects of water management. The water managing authority has important roles to play in cooperating, organising participation and generating support among the local people. The following indicators could be used to assess the capacity of local water managers in this particular area:

- Heightened awareness and independence of the population regarding water management and dealing with its associated risks
- An improved institutional environment: national mandating and financial autonomy of management organisations
- Improved transparency through the regular publication of the achievements and results of the management organisation
- Voluntary agreements with primary stakeholders on cooperation and coordination on water management

The work package comprises:

- 3.1. Stakeholder involvement
- 3.2. Cooperation
- 3.3. Awareness-raising
- 3.4. Communication
- 3.5. Platforms
- 3.6. Transparency, integrity
- 3.7. Cross-border dialogue
- 3.8. Participation
- 3.9. Policy coordination

Work package 4: Programme coordination

This work package describes the activities necessary to implement the programme adequately. It ensures that the programme will achieve its goals efficiently and effectively, within the budget and the agreed time. It also contains the supporting activities which apply to the programme as a whole.

Work package 4 provisionally comprises the following five components:

- 4.1. Coordination and direction of the overall programme: this focuses mainly on aspects relating to the design and progress of the programme: control (steering committee), the consultation structure for programmatic planning and approval of annual plans, the structure of regional and country consultations, and risk management
- 4.2. Programme implementation support: coordination of and support for the implementation of the activities taking place in partnerships, project formulation and approval, reporting, planning and coordination with other activities (internally and externally), quality assurance
- 4.3. Financial management and reporting: setting up a financial administration system to manage external costs and income, and to offset the costs of staff contributing to the programme, financial reporting and contract management
- 4.4. Knowledge exchange and learning: through sharing and learning from experiences (internally and with knowledge partners) and developing a common approach, methods and vision on themes such as innovation, climate, gender, sustainability and poverty reduction.
- 4.5. Communication and visibility: developing a communication plan through which the results achieved by the Blue Deal are communicated collectively. This should be done taking account of the communication needs of the individual partnerships and partners.

3.3 Themes receiving special attention

The ministries and the water authorities intend to give special attention to a number of themes within the Blue Deal programme: climate, gender, innovation, sustainability and poverty reduction. The themes come from ministry and water authority policies and have been brought together for the Blue Deal programme. Sustainability, gender and poverty reduction are key priorities of the Ministry of Foreign Affairs' policy and can therefore not be excluded. In addition, all partners attach great importance to the climate and to finding innovative solutions for climate change and this theme, too, will be included in the activities of the partnerships.

For themes that the water authorities are less familiar with, particularly gender and poverty reduction, supporting partners will be sought, such as NGOs or knowledge institutes. The water authorities have, on the other hand, broad experience with climate, innovation and sustainability, and will therefore require less external support, if at all.

3.3.1 Climate

In many international projects, short-term problems have to be linked to a long-term perspective. Climate change has made the need to place water security, quality and distribution in a long-term perspective. Rapid changes are taking place in the partner countries, relating to the intensification of industrial production, land use and consumption. Water authorities and other local authorities often struggle to keep up with these developments at an institutional level and fall back on the operational habits of short-term solutions.

For this reason, the Blue Deal will pay particular attention to improving long-term management plans, to enable climate scenarios to be taken into account. All the work packages will devote attention to climate change. To embed climate change as a theme in the Blue Deal, a climate test will be designed in the preparation phase (see annex 5 for the test development tools). The climate test will be taken in each partnership to gain insight into ways to increase climate-resilience.

By including climate change as a theme in the Blue Deal programme, the partners aim to raise awareness of climate change worldwide and to help mitigate the damage and nuisance it causes. Minimizing the risks of disruption through shortages or large-scale damage also benefits a country's stability and security, as stated in The Hague Declaration on Planetary Security, signed on 13 December 2017.

3.3.2 Gender

To help improve the position of women worldwide, the Blue Deal will devote extra attention to the theme of gender, both in the Netherlands and in the partner countries. After all, women's perspective are as valuable as those of men, and the knowledge and expertise of both are necessary to improve water management.

Attention to gender starts in the Netherlands. The position of women in the water authorities is not up to the required standard. They are insufficiently represented in management teams, boards of directors and among internationally employed staff. To make the Blue Deal a success, more women need to participate in the programme. The organisation will therefore seek to achieve equal representation of men and women.

Similarly, extra attention will be given to gender in the Blue Deal's international activities. In the preparation phase, gender assessments will be carried out to feed into local analyses of the position of women and roles of men and women. Methods and tools for doing this have been developed by international organisations like the WHO. The outcomes of these analyses will be used to develop a generic approach to gender in the programme. Furthermore, each partnership will be assessed on how it deals with gender issues within the cooperation framework.

3.3.3 Sustainability

Dutch ministries ask all government-funded programmes to pay extra attention to sustainability. The core tasks of the Dutch water authorities already incorporate this sustainability approach in their goal of ensuring a well-functioning system of water management in the long term. The programme's approach will therefore most probably already be sustainable.

To make sure that is the case, it will be tested using the FIETS (financial, institutional, ecological, technical and social) test criteria, and the sustainability clause of the Ministry of Foreign Affairs relating to the sustained functioning of facilities and infrastructure created with ministry support. Monitoring procedures and progress reports will also pay attention to sustainability.

3.3.4 Poverty reduction: focus on poor and vulnerable groups

The Blue Deal aims to ensure that poor and vulnerable groups in particular feel the positive impact of improved water management. Well-functioning water management is an important condition for reducing poverty. Access to water, fair water distribution, the right to water and participatory consultation are often part of international agreements on integrated water management. To properly integrate this theme in the Blue Deal approach, cooperation is sought with NGOs like Oxfam NOVIB, WWF and Both Ends. The theme is also included in the work packages. To see how this has been done, please see the annexes.

3.3.5 Innovation

The Blue Deal programme will devote extra attention to both technical and social innovation. Most of the water catchment areas the programme focuses on are experiencing rapid growth and need innovative technological and social solutions. Technical innovation encompasses a wide range of options, varying from smart use of geo-information and satellite data to dredging techniques used to lower the water level. The innovation theme offers Dutch businesses the opportunity to introduce smart solutions abroad. Likewise, Blue Deal key partners can import innovation from other countries and use it to improve their operations in the Netherlands. Finding smart solutions under the umbrella of the theme innovation is of particular interest to the food, energy and agricultural sectors.

Social innovation is about people and an innovative way of working together. Those taking part in the programme will learn from each other, within partnerships but also between countries. Exchange trips and giving feedback on colleagues' proposals will be organised to this end. In addition, it is important to give young and new employees the chance to gain experience working internationally, under the supervision of experienced staff. Providing the space to think and act differently forms an important part of innovation.



The Blue Deal in practice

Country: **Romania**
Water catchment areas: **11 different areas**
Number of inhabitants: **22 million**
Partner: **National Administration Apele
Romane (NAAR), Deltares,
Dutch embassy in Bucharest**
Operational since: **2016**



What does the programme currently look like?

The programme currently focuses on sufficient, clean and safe surface water. A bilateral panel at management level comes together annually to exchange knowledge in these areas. Specific topics such as EU directives, coastal management and surface water management are discussed in specialist workshops attended by representatives of both the Dutch and Romanian water sectors. This in turn helps Dutch companies and knowledge institutes gain a foothold in the country.

Wat would change with the Blue Deal?

The Blue Deal offers the opportunity to intensify and extend the programme, involving new partners and new themes. The following three potential project ideas illustrate this: improving the success rate in achieving EU goals (in cooperation with the Ministry of Infrastructure and Water Policy and the World Bank), strengthening regional water management (knowledge exchange at regional level) and improving wastewater treatment (new partnerships with drinking and wastewater companies) in Bucharest and in the umbrella organisation of the drinking and wastewater companies in Romania.



4.

Content of the Blue Deal

A programme of partnerships, within which projects are undertaken until 2030, will be chosen together with the partners in 2018. The combined outcomes of all projects will have an impact on 20 million people in 40 water catchment areas. This chapter describes how the partners will develop a well-structured programme.

4 Content of the Blue Deal

A programme of partnerships, within which projects are undertaken until 2030, will be chosen together with the partners in 2018. The combined outcomes of all projects will have an impact on 20 million people in 40 water catchment areas. This chapter describes how the partners will develop a well-structured programme.

4.1 Growth model

The Blue Deal is unique because so many organisations will be working together to achieve one ambition. That offers many opportunities, but also presents the challenge of developing a concrete programme with a clear role for everyone involved. The Blue Deal is a programme that will grow. The first partnerships will start implementing projects in 2019 and, after that, new partnerships or projects may be added each year. The predicted growth numbers are shown in table 2, but whether these numbers are realistic will be assessed together with the water authorities before 22 March 2018.

In the implementation phase in 2019, the emphasis will lie on increasing the impact of the water authorities' existing partnerships through cooperation with ministries. In subsequent years, more new projects and programmes will be added.

Year	2019	2020	2021	2022	2023-2026	2027-2030
No. of partnerships	6	7	9	12	15	15

Table 2 Expected growth of programme

4.2 Focus of the programme

The Blue Deal programme will focus on:

- offering help to countries where providing access to clean, sufficient and safe water is a challenge for water management
- creating opportunities in water management for Dutch and local businesses
- learning from other countries to continue to improve water management in the Netherlands.

The result of the programme will be to ensure that more people have access to clean, sufficient and safe water. To focus this goal more clearly, the three objectives are described as follows:

Clean water

- Reducing the discharge of untreated industrial effluent: through improved enforcement and control, and by setting up an appropriate registration and licensing system and a relevant policy framework which requires all those involved to contribute to the improvement of water quality in equal measure
- Improving the processing of household effluent: through an improved wastewater treatment infrastructure and improved maintenance and management of existing installations
- Improving the quality of ecosystems: by reducing uncontrolled discharges, better monitoring and the development of policy frameworks which take account of environmental values



Sufficient water

- Reducing water stress by developing policies, including distribution scenarios (in the sense of both time and space) for water catchment areas, improved management plans, a licensing system and better groundwater management.
- Increasing productivity through improved water buffering and conservation, better distribution of available water supplies, more effective policies (for example, by using a priority ladder) and integrated water management plans



Safe water

- Reducing the risk of floods: by, for example, conducting problem and risk analyses, developing climate-adaptable safety plans and extending and maintaining water infrastructure (dikes, pumping stations, drainage canals, locks, etc.)
- Increasing self-sufficiency: by improving early warning systems, raising awareness and arranging participatory consultation in water management
- Limiting the risk of injury and damage





4.3 Financing rules

Blue Deal partnerships will be financed by key partners. Together they have agreed the following rules:

- 1. Around 50% of the total costs of the partnership will be paid by the water authorities (including the NWB Fund) and local partners, and a maximum of 50% by the ministries. The contribution of the water authorities and local partners will consist mainly of hours spent on the partnership, charged at a set rate of €650 a day. Local partners' contributions will be agreed separately for each partnership with the water authorities involved.
- 2. Every four years, a grant will be made available by both ministries for the Blue Deal programme as a whole, on the basis of a multi-annual estimate. The partnership costs should not exceed the amount of the grant. The programme office will coordinate the scope for new partnerships within the amount of the grant funding.
- 3. Every year, an advance will be requested with the submission of the annual plan. A minimum of 75% of the submitted budget has to be spent in that year. Overspending may not exceed 25%.
- 4. Work conducted for the benefit of the Blue Deal programme will in principle be paid for. This includes time worked by staff, hiring of external experts, travel and accommodation costs, workshops and training, equipment to some extent, and small infrastructural works. If external experts are hired in, the maximum rate as stipulated by the RVO applies.
- 5. No government support is permitted.
- 6. The conditions for co-financing through the Blue Deal apply equally to all countries on the list. The ministries and the NWB Fund agree, however, which party provides the co-financing for which partnership.

The Ministry of Foreign Affairs will only co-finance projects in ODA countries. Annex 7 shows that all Blue Deal longlist countries are ODA countries, with the exception of Chile, Poland, Romania and the United States of America. The ministry can provide financing to all of these countries, but focussing on the poorest countries and the ministry's partner countries is encouraged. Ways of giving these countries extra attention will be considered in the preparation phase. The countries are categorised as follows:

- 1. **The poorest ODA countries**
These are the countries in category 1 of the ODA list. The Blue Deal's aim is for poor and vulnerable groups in particular to feel the positive impact of the programme (see poverty reduction, §3.3.4). Setting up partnerships in the poorest countries is a good start in this respect. Annex 7 shows that the following countries are on the Blue Deal longlist: Bangladesh, Benin, Burkina Faso, Ethiopia, Mali, Mozambique, Myanmar, Senegal and Tanzania.
- 2. **The Ministry of Foreign Affairs' partner countries**
Within the group of ODA countries, the Ministry of Foreign Affairs works intensively with 15 partner countries. The Blue Deal can strengthen this cooperation by entering into partnerships in these countries, too. In April 2018, a new policy will be presented adding the regions of the Sahel, West Africa, the Horn of Africa and the Middle East to the list. Annex 7 shows that the following countries are on the Blue Deal longlist: Bangladesh, Benin, Burkina Faso, Ethiopia, Ghana, Indonesia, Iran, Jordan, Kenya, Lebanon, Mali, Mozambique, the Palestinian Occupied Territories and Senegal.

Co-financing by the Ministry of Infrastructure and Water Management is possible in IWA (Delta and Delta-light) countries. Co-financing by the NWB Fund is possible in all countries, but preferably in one of the DWA focus countries. The Fund covers a maximum of €300,000 or 50% of the total costs. Its co-financing scheme is aimed at the continuation of current DWA partnerships to ensure a smooth transition to the Blue Deal programme.

4.4 Criteria for partnerships

The programme is flexible and leaves much room for interpretation within partnerships. They will, however, have to meet a number of basic criteria to be eligible for funding. These criteria will be further developed in the preparation phase, so that it is clear to everyone which partnerships are suitable for the Blue Deal, and which are not. The criteria are as follows:

- 1. **The partnership takes place in a country on the Blue Deal longlist**
The key partners have agreed that, in the first phase of the Blue Deal programme, partnerships will start or take place in countries on the longlist below. In selecting the countries, the focus was on those that are of interest to the ministries and DWA. That resulted in a mix of developing countries and countries in transition (middle-income countries). Annex 7 shows the relationship between each partner and the listed countries, from the perspective of policy.

Blue Deal longlist of countries		
Albania	Honduras	Nicaragua
Argentina	India	Palestinian Occupied Territories
Bangladesh	Indonesia	Peru
Benin	Iran	Poland
Burkina Faso	Jordan	Romania
Colombia	Kenya	Senegal
Chile	Lebanon	Sri Lanka
Egypt	Mali	Swaziland
Ethiopia	Mexico	Tanzania
Philippines	Mozambique	Vietnam
Ghana	Myanmar	United States of America
		South Africa

Figure 3 Blue Deal longlist of countries

2. **The partnership demonstrably contributes to the ambition to help 20 million people in 40 water catchment areas gain access to clean, sufficient and safe water.**
The partnership must have enough potential to contribute significantly to the Blue Deal's goal. This means that the proposal must indicate how the partnership will apply the Theory of Change and which indicators the partners aim to achieve. In the Blue Deal preparation phase, how proposals can be structured and the Theory of Change applied in partnerships will be examined together with the water authorities.
3. **The partnership is being entered into with the right local partner**
Partners with which the water authorities wish to cooperate:
 - must have a water-related problem that links up to the water authorities' core expertise
 - must be an authority responsible for decentralised water management
 - must practice good governance and respect human rights
 - must commit itself to the partnership by making a contribution financially or in-kind
4. **The partnership is sustainable**
The partners must be willing to enter into a long-term partnership with the water authorities up to 2030, based on equality and focusing on sustainable outcomes.

4.5 Procedure for submitting partnership proposals

Seven steps are required to go from a request for cooperation to an approved proposal. These steps will be taken in the preparation phase, but also in the period after that (up to 2030) whenever new proposals are submitted.

Step 1: Assessing the local partner's needs

Every water authority determines its own ambition and contribution to the Blue Deal programme. A partnership then starts with a request to water authorities to cooperate on improving water management. This request can come from a local water manager already working with the water authorities, but also from new water managers, a Dutch embassy, a Delta team or another programme (e.g. Waterworx).

Step 2: Does the request meet the Blue Deal criteria?

If a water authority finds a request for cooperation interesting and it falls within the authority's field of expertise, the parties will explore whether there are opportunities to cooperate within the Blue Deal programme, through talks and site visits. The water authorities themselves assess whether the proposed cooperation meets the criteria described in §6.4, but can request support from the programme office if required.

Step 3: Opportunities to cooperate through the Blue Deal? Write a proposal

If the partners decide that the proposal meets the Blue Deal criteria and wish to cooperate, the lead water authority will write a proposal, using a format developed by the programme office. The proposal should as a minimum include:

- a problem analysis, including an environmental analysis
- the goal and projected outcomes of the partnership (indicators)
- a plan of approach for the partnership, including activities, the roles of the partners, planning, financing (budget), monitoring and evaluation
- a cooperation agreement with the local partner

Step 4: Discussing a proposal with the programme office

The water authority submitting a proposal on behalf of all partners discusses the draft with the programme office. If necessary, the office will help the water authority to complete the proposal. If the proposal shows enough potential, the office commissions a number of activities that have to be undertaken before a proposal can be submitted:

- A baseline study
- A climate test
- A gender analysis
- A suitability analysis of the local partner

The ministries and water authorities will elaborate these activities in greater detail during the preparation phase of the Blue Deal.

Step 5: Feedback from colleagues

Once a proposal has been finalised, the programme office organises feedback from other water authorities and external experts, comparable to the procedure applied by the NWB Fund. Together, they discuss and improve the proposal. Proposals that fail to meet the basic criteria or are incomplete are amended and re-submitted.

Step 6: The proposal is incorporated in the Blue Deal programme

All proposals receiving positive feedback are brought together in the Blue Deal programme. Together with the programme office's advice, the whole package of proposals is presented to the Blue Deal steering group. The steering group does not review individual proposals, but assesses the overall programme and the extent to which it helps to achieve the Blue Deal's goal.

Step 7: Approved!

Directly after a proposal is approved, the water authority that submitted it will receive confirmation that the co-financing has been awarded, together with information on any particularities and specified times for reporting and monitoring.

The Blue Deal Programme will grow continually, allows new projects to be registered and existing projects to be expanded throughout the year, provided there is sufficient scope available within the ministry financing. The steps that proposals have to take remain the same.

4.6 Adjusting the programme

International work regularly go differently than planned. It will therefore be necessary to adjust the course of the programme in the runup to 2030 to ensure its ambition is achieved. This will happen at both partnership and programme level:

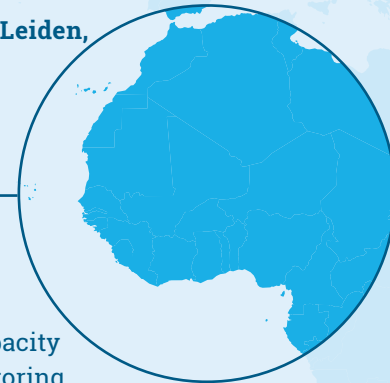
- 1. Partnership level**

Only water authorities and their partners registering projects for the programme are entitled to adjust a partnership. If needed, they can make use of the knowledge and expertise of other key programme partners. A ministry, for example, can use its influence at national level to remove obstructions to a regional project, or vice versa. It is in the interest of all key partners that projects are successful, and everyone is encouraged to think along and help. Annual reporting on progress and management must take place as described in §6.4.
- 2. Programme level**

The programme office will monitor progress at programme level and advise the steering group. It will assesses, for example, whether all partnerships and programmes address the three ambitions (clean, sufficient and safe water) sufficiently and do not focus too much on one goal. The programme office may also point out that more partnerships are needed to achieve the ambition, or that the ambition will be achieved sooner than expected. The steering group discusses its advice with its colleagues in the IWC steering group and CINTER and examines whether certain components need adjusting.

The Blue Deal in practice

Country: **Burkina Faso**
Water catchment areas: **the VOLTA and NIGER rivers**
Number of inhabitants: **18.5 million**
Partner: **Water authorities in Burkina Faso, Ministry of Water in BF, University of Leiden, RoyalHaskoning, water sector Mali**
Operational since: **2012**



What does the programme currently look like?

Dutch Water Authorities is supporting the development of water authorities in Burkina Faso through a three-year partnership (2016-2018) in the Faso Koom project. In addition, DWA gives advice on capacity building and establishing local water committees, and sets up monitoring systems, including pilots. It also supports the development of a water catchment area vision, integral water plans and cross-border cooperation. Outside the Faso Koom project, DWA has initiated the development of a licensing system and the introduction of a water authority tax ('user pays' system partially introduced) for large-scale users.

What would change through Blue Deal?

Blue Deal will increase the continuity of the partnership. It will also help Burkina Faso strengthen its five water authorities and get them functioning autonomously, for example by setting up a water police force (possibly with EU funding), introducing a water authority tax for polluters and improving monitoring through the use of satellite data. The role of local water committees, sub-departments of a water authority responsible for a specific part of a water catchment area, will also be strengthened.



5.

Organisation

The governance behind the Blue Deal is essential for the programme to be implemented successfully. The programme format was chosen from a number of organisational options. The main reasons for that choice were that the Blue Deal has a clear start and end, is focused on implementation and has to achieve results that are defined in advance. This chapter describes the governance of the programme, so as to provide clarity on roles, responsibilities and competences.

5 Organisation

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5.1 Principles

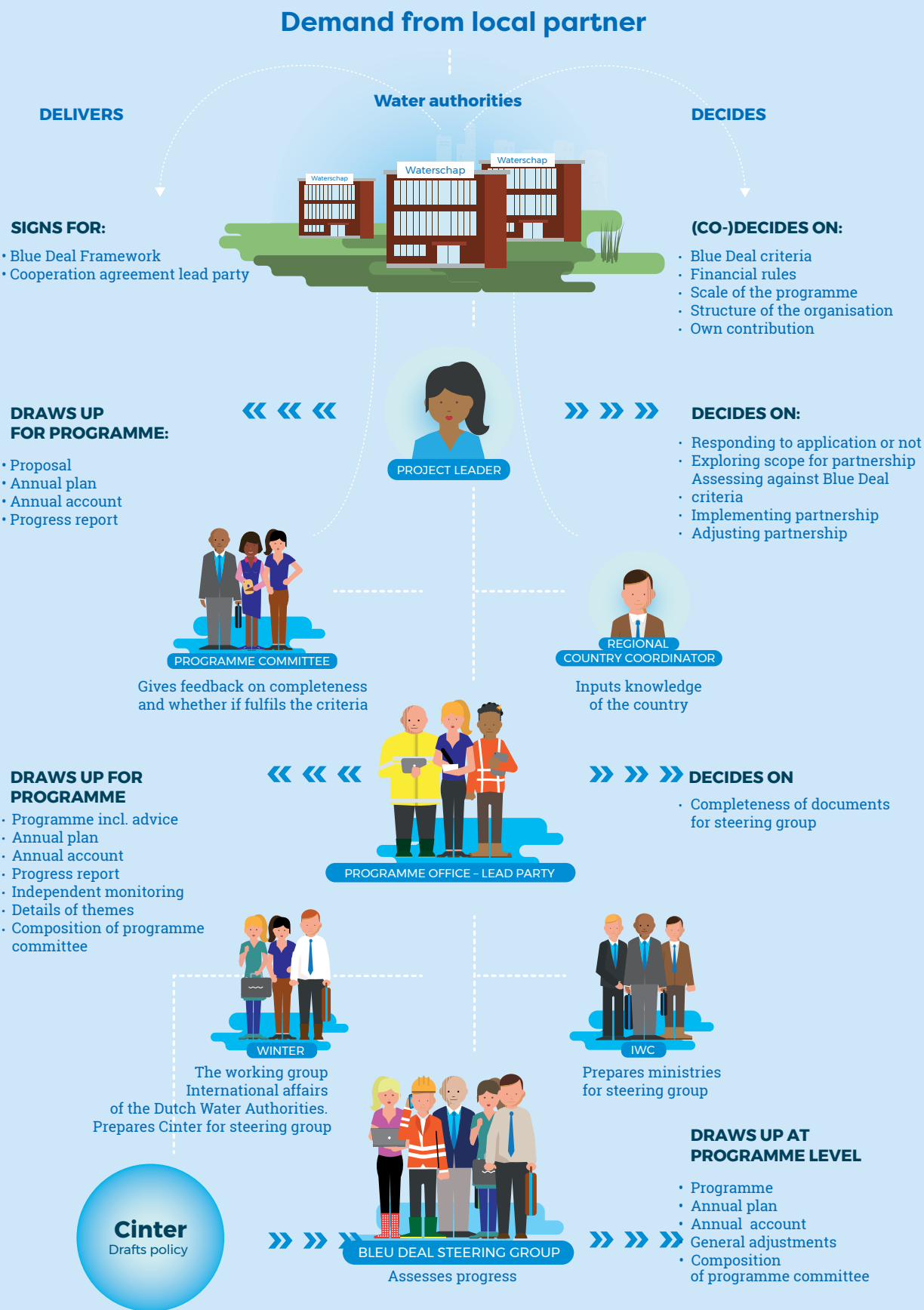
The ministries and water authorities involved in the programme are going to work together more closely. That calls for a different form of organisation. The goal of a joint organisation is to achieve the programme's ambition, within the time and budget allocated to it, and with the desired quality.

The following principles underlie this goal:

- The individual water authorities are responsible for the partnerships and for implementing the projects that fall under them. In this way, they retain their visibility and own identity within the partnerships.
- A programme committee of water authorities, ministries and external experts provide feedback on the quality of project proposals and financing applications.
- The programme office facilitates and coordinates the programme and performs the lead party's tasks on its behalf. The knowledge and expertise of Wereld Waternet in particular will be used in designing the programme.
- The Union of Water Authorities (UvW) acts as lead party in dealings with the ministries on behalf of the water authorities.
- The steering group assesses the programme results (not those of individual projects).
- The governance structure ties in as closely as possible with existing structures.

The roles and competences of the water authorities, programme committee, programme office and the steering group are described in this chapter. During the preparation phase, the role of the programme office in particular will be elaborated on the basis of scenarios and finalised in a cooperation agreement (see §2.6)

5.2 Blue Deal organogram



5.3 Water authorities

The water authorities are responsible for implementing projects within the partnerships. This responsibility consists generally of setting up and implementing partnerships within the criteria of the Blue Deal. The ministries support the water authorities in this respect.

Each water authority determines its own contribution to the Blue Deal. Four options are available:

1. Taking the lead in a partnership
2. Supplying staff for partnerships
3. Supplying a country or region coordinator
4. Supplying staff for the programme office
4. Medewerkers inzetten voor het programmabureau

Option 1: Taking the lead in a partnership

A water authority can take the lead in a partnership on behalf of all the other authorities taking part. The water authority provides a project leader who is responsible for the daily work. He or she is the main point of contact for the partnership, has overall supervision and coordinates the implementation of projects within the partnership. A project leader can be placed locally, if that will increase the impact of the partnership and the projects. Because staff development is one of the benefits that water authorities obtain from the Blue Deal, the project leader should preferably come from a water authority.

Tasks

- Writing and submitting project proposals within the partnership on behalf of all participants and in line with the criteria of the Blue Deal
- Accounting annually for the progress of all projects through an annual plan including a budget, annual report and progress report
- Identifying opportunities and obstacles for the partnership
- Adjusting projects in good time in consultation with the partners so as to achieve the agreed end result
- Creating moments when all staff and partners within the project can learn from each other and for informal meetings
- Seeking cooperation with other programmes and organisations that can strengthen the project
- Acting as the main point of contact for questions about the partnership
- Making the approach of the partnership increasingly professional
- Increasing the visibility of the partnership

Option 2: Supplying staff for other programmes

A water authority can choose to allocate the time of staff members to the partnerships of other water authorities. It then provides only expertise, without playing a role in the organisation of the partnership. The water authorities organise this between themselves. The programme office can play a role in matching water authorities that wish only to supply staff with others that enter into partnerships.

Option 3: Supplying a country or region coordinator

Country or region coordinators have an overview of the relevant developments in an area and use this local knowledge to support the partnerships of water authorities. A water authority can choose to supply a country or region coordinator. The coordinator will work for the programme as a whole and will therefore be reimbursed partly from the programme budget. Coordinators are the main point of contact for a country and will have a broad local network. They will link partnerships within the Blue Deal and with other programmes.

There are currently already a number of country coordinators within DWA. During the preparation phase, the areas that require a coordinator will be reviewed together with the water authorities. The possibilities of combining the role of coordinator with another position (e.g. project leader or international coordinator) will also be explored.

Tasks

- Building and maintaining a network in the area to identify opportunities and obstacles
- Creating moments when partnerships in an area can learn from each other and for informal meetings. Also organising opportunities for local partners from different regions to learn from each other.
- Seeking cooperation with the Dutch embassy, the Delta teams, other programmes and regional governments and organisations at country or regional level
- Identifying grant opportunities at country or regional level
- Acting as the main point of contact for questions on developments in the area
- Further professionalising the joint approach in the area
- Increasing the visibility of the partnerships in the area

Option 4: Supplying staff for the programme office

As far as possible, the staff of the programme office will be made up of people from water authorities. During the preparation phase, the staff's roles will be elaborated and the positions publicised among the employees of all UvW and water authority staff. The taskforce will supervise this process. The staff of the programme office will work for the programme as a whole and will therefore be reimbursed partly from the programme budget.

5.4 Lead party

Parties to financing agreements with the ministries must be legal entities. Dutch Water Authorities is an international organisation representing the Dutch regional water authorities and its umbrella organisation, the Union of Water Authorities (UvW). DWA, however, is not a legal entity. It will therefore act as lead party in the agreements under the legal entity of the UvW.

The lead party concludes two contracts, which will be approved by the general member's meeting:

- A public-private agreement with the Ministry of Foreign Affairs
- A cooperation agreement with the Ministry of Infrastructure and Water Management. This will take the form of submitting a work plan via the current framework agreement with the UvW.

Through these two contracts, the lead party acquires three responsibilities:

1. Notification obligation: the lead party must immediately notify the ministries of events or circumstances that may affect the grant. The obligation applies in any case if 25% or more of the grant is not spent or in the event of fraud or other irregularities.
2. Reporting: the lead party must submit every year an annual plan, annual account (including an auditor's report) and a progress report on the programme (see §6.4 for the list of compulsory documents).
3. Administrative obligation: the grant is transferred to the lead party annually in the form of an advance. The lead party forwards the money to the partners for the individual projects. The lead party must keep records to show that the grant has been spent as agreed and keep them for seven years.

The lead party is also the point of contact for the ministries if there are questions about any of these issues. The water authorities and the ministries maintain regular contact with each other within the partnerships. The Union of Water Authorities will act as lead party for the water authorities as a private organisation. This will keep the coordination close to the existing structure of the UvW and relieve the administrative burden on the individual authorities.

The lead party and participants are completely free to agree on mandates and where they are allocated. To that end, time will be reserved in the preparation phase for a cooperation agreement to be drawn up between the water authorities and the UvW that will do justice to all parties.

5.4.1 Programme office

A newly set up programme office will perform the three tasks of the lead party and be responsible for the general coordination of the programme. It will also devote attention to learning from each other and further professionalisation. The programme office falls under the responsibility of the lead party, but the intention is to recruit its staff from within the water authorities and the UvW, to ensure good cohesion with all participating organisations.

When designing the structure of the programme, cooperation with Wereld WaterNet will be sought explicitly in light of its extensive knowledge and long experience with international projects. The other water authorities also have skills or expertise that can be of great value in building up a joint organisation. When setting up the programme office, therefore, the right people for the right position will be sought, with all authorities eligible to supply candidates.

Tasks of the programme office

The programme office plays a coordinating rather than a steering role. After all, each water authority remains responsible for its own work. The office takes care of daily coordination of the programme as a whole and makes the work of the water authorities, project leaders, country and region coordinators, and the steering group as easy as possible. In general terms, it has the following tasks:

Tasks

- Main point of contact for all partners in the programme
- Monitoring the programme budget, planning and total progress
- Assessing project proposals, annual plans and reports, and evaluations for completeness and compiling programme documents
- Setting up and supervising the plan-do-check-act (PDCA) cycle
- Promoting knowledge exchange/learning from each other
- Identifying opportunities for and obstacles to the programme

- Seeking strategic cooperation with other organisations and programmes
- Elaborating cross-project themes like water security, water quality, water quantity, contract control, fund-raising and innovation
- Further professionalising the joint approach of the programme and developing resources (e.g. formats) to achieve this
- Increasing the visibility of the programme

Organisation of the programme office

The office will have a lean organisation. During the preparation phase, various scenarios will be considered for how to organise the office, together with the water authorities. After that, job profile outlines will be drawn up, again together with the water authorities, and staff recruited via internal vacancies. The office therefore still has to take shape, but three positions are currently being considered:

1. Programme manager
2. Controller
3. Environment manager

Capacity will also be needed for communication and for the secretariat. Extra staff will not need to be taken on for these tasks as the lead party will be responsible for them.

Financing of the programme office

The costs of running the programme office fall under the programme costs shared by the water authorities and the ministries. There will also be a budget within the programme to cover the costs of knowledge exchange, further professionalisation, communication and other programme-wide activities performed by the programme office.
alisering, communicatiemiddelen en andere programmabrede activiteiten.

5.4.2 Programme committee

If the programme is to be a success for all involved, it must be of a high quality. Every project proposal will therefore be examined by colleagues for completeness and to assess the degree to which it meets the Blue Deal criteria. A programme committee will be set up, comprising water authority staff, ministry officials and, if considered necessary, external organisations. This is comparable to the NWB Fund working method and programme committee.

5.5 Steering group

A small steering group with about five members will act as a supervisory board for the programme. The steering group will assess the programme's progress twice a year: once at the end of the year to discuss the annual plan and budget, and once at the beginning of the year to discuss the annual account and the annual report. The steering group will consist of a representative from each ministry and three from the water authorities. The membership will rotate and the members will be chosen by the CINTER on the basis of their expertise. Within the group, the programme manager will be responsible for maintaining contact with programme implementation and will prepare the meetings.

At both assessment moments, the steering group will determine whether the programme is on track to meet the Blue Deal's ambitions, assess its progress and adjust it where necessary. That will happen at programme and not partnership level. The CINTER acts as a governing board and is responsible for the policy of the water authorities. The WINTER continues to be responsible for officially preparing the CINTER.

Tasks of the steering group

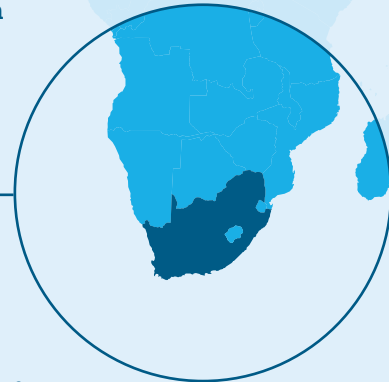
- Finalising the programme
- Adjusting the programme in general terms
- Finalising the annual plan and annual account
- Finalising the composition of the programme committee (on the advice of the programme office)

Tasks of the CINTER

- Drawing up assignments (signing Blue Deal)
- Determining a joint vision and policy
- Jointly making sufficient resources available for implementation
- Ensuring support among the membership
- Deciding at the end of each phase whether to initiate the next one

The Blue Deal in practice

Country: **Burkina Faso**
 Water catchment areas: **whole of South Africa:**
9 catchment management areas
 Number of inhabitants: **55 million**
 Partner: **Department of Water and Sanitation**
+ 9 catchment management areas with
catchment management agencies,
VNG International, SALGA,
12 water authorities, UvW
 Operational since: **2005**

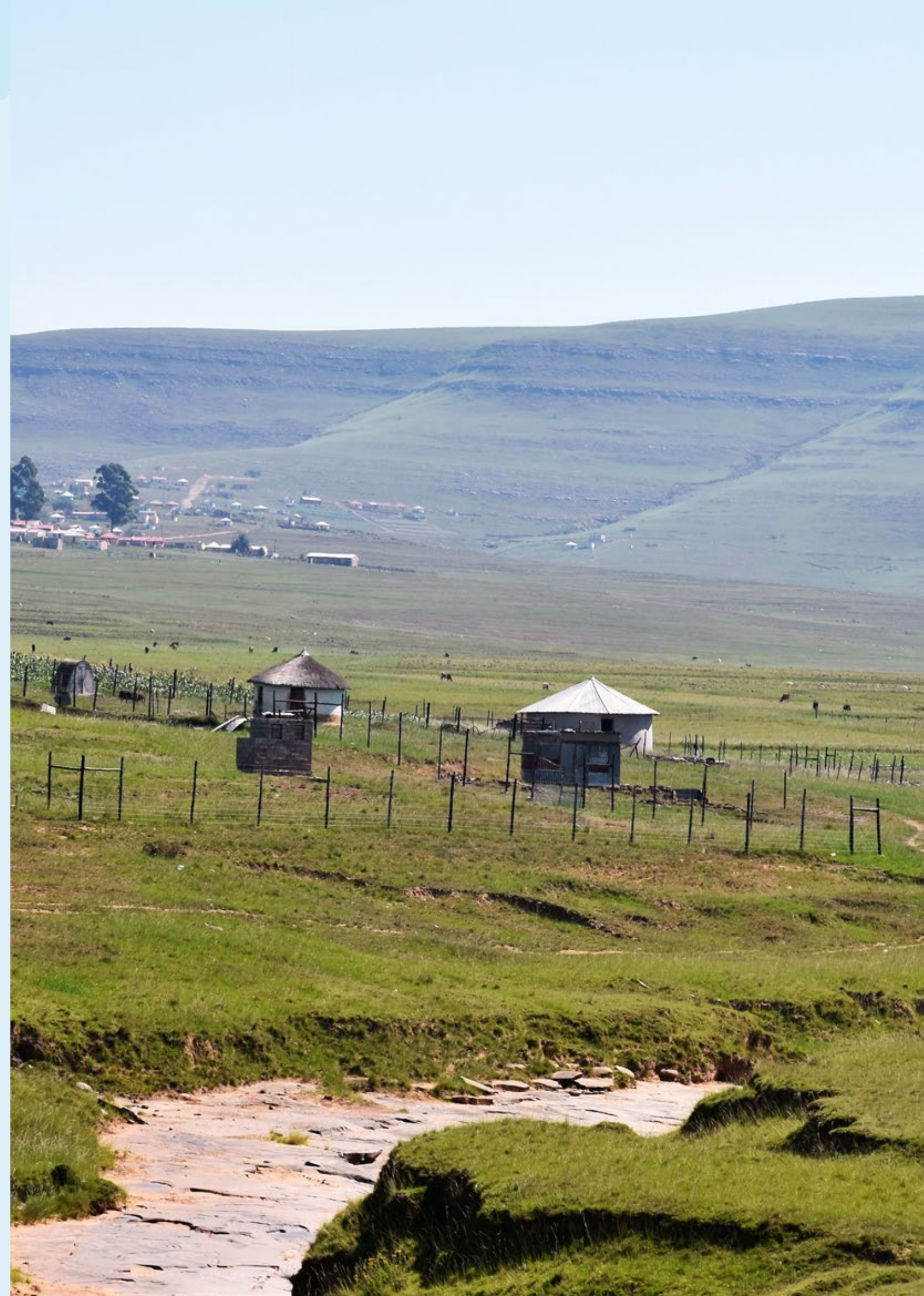


What does the programme currently look like?

Water authorities and municipalities in South Africa are working on setting up nine catchment management agencies (CMAs) to regulate water in catchment areas. It is a colleague-to-colleague cooperative venture in the field of water governance. The programme focuses on capacity development, catchment area management, interdepartmental cooperation and projects with knowledge institutes and Dutch businesses. Projects and cooperative ventures with businesses and knowledge institutes have been developed together with RVO and the NWP. They include HydroNET, Berg River Platform, Reservoir Dredging and Rain for Africa. In addition, a successful cooperative venture for cross-border river management has been set up.

What would change with the Blue Deal?

The Blue Deal offers opportunities for widening, deepening and generating more external links for the partnership with South Africa (Kingfisher), for example by working together more closely on specific themes and exchanging knowledge gained with other partnerships and international organisations. This can be made possible by investing more in capacity (programme management and local representation in South Africa). Cross-border cooperation can also be strengthened through concrete projects.



6.

Finances

The programme budget consists of two components: costs relating to the preparatory year and those relating to the programme for the initial phase.

6 Finances

The programme budget consists of two components: costs relating to the preparatory year and those relating to the programme for the initial phase. The general outline of the budget for both components is given below.

6.1 Costs of preparatory year

The budget for the preparatory year has been drawn up in line with the four goals that are central to that year:

1. Drawing up the programme for the initial phase

Drawing up the programme involves three steps: a quick scan of all 35 partnerships on the longlist, identifying promising partnerships (shortlist), and finalising the programme. For these three steps together, travel and accommodation costs and the deployment of staff for 35 Blue Deal longlist partnerships have been taken into account. The budget also provides for a risk session.

2. Developing a joint approach

Costs in the preparatory year include external support for drawing up indicators, elaborating themes on which there will be a special focus (particularly gender and poverty reduction) and setting up a financial administration.

3. Setting up a programme organisation

A temporary taskforce will prepare all the elements necessary to start implementation. The budget provides for this in the shape of 4 ½ FTEs. Funding is also included for the development of joint communication tools and activities, and organising meetings.

4. Making DWA more professional

The water authorities and ministries will also make use of the preparatory year to speed up the development of DWA. Provision has therefore been made in the budget for a training programme and coaching on the drafting of proposals.

6.1.1 Pilot projects

The Blue Deal is an action programme, and this will already be evident in the preparatory year. The four goals will be developed in practice, through three pilot projects. These are projects within well-functioning partnerships, jointly selected by the water authorities and ministries. In terms of planning, the pilot projects will always be a milestone ahead of the projects due to start in 2019, during the first phase of the programme. As a result, each product – such as formats or indicators – can first be tested in practice before they are rolled out across the board.

Around 50% of financing will come from the water authorities (including the NWB Fund and local partners) and 50% will be contributed by the ministries. In addition, the ministries will earmark extra funding for pilot projects.

Goal	Result	Budget	Description
1. Drawing up programme for initial phase	Exploratory missions to local partners: • staff hours • travel and accommodation costs	682,500 350,000	Per partnership 3 staff who each spend 2 weeks on exploratory missions and writing proposals. Per partnership this amounts to €19,500 (30 days of €650 per day), amounting to a total of €643,500 (35 partnerships). The sum of €10,000 has been budgeted per partnership, amounting to a total of €350,000
	Risk session	10,000	Assuming one risk session and risk management training
2. Developing joint approach	Uniform preparation: • subcontracting drawing up indicators	20,000	Including establishing a method for reporting on indicators
	• subcontracting elaboration of themes on which there will be extra focus	20,000	
	Uniform implementation: • Financial/administrative system	50,000	
3. Setting up the programme organisation	Temporary taskforce	350,000	Assuming 4 FTEs (scale 12) and ½ FTE (scale 9) for 1 year
	Developing communications approach and tools and organising meetings	50,000	Including organising the four joint meetings
4. Making DWA more professional	Training programme	50,000	
	Coaching on writing proposals	20,000	
Subtotaal		1,602,500	
	Pilots in preparatory year	340,000	Assuming 3 pilot projects: Burkina Faso/Mali, Colombia and Argentina
Total expenditure		1,942,500	
Contributions	Ministry of Foreign Affairs	410,000	€300,000 in 2018 and €110,000 in 1st quarter of 2019
	Contribution from Ministry of Infrastructure and Water Management	700,000	€500,000 in 2018 and €200,000 in 1st quarter of 2019
	Contribution from UvW	150,000	
	Contribution from water authorities	682,500	These contributions will be made in kind
Totale contributions		1,942,500	

Table 3 Budget for preparation phase in € x Euro

6.2 Costs of programme for 1st phase (2019-2022)

The programme for the first phase comprises various partnerships that will each draw up their own budget for the coming four years. These will be based on demand from local partners. The total budget for the initial phase of the Blue Deal will be known in March 2019. Until then, an indicative budget has been drawn up.

6.2.1 Partnerships

For the purposes of the indicative budget, an estimate was made of the average costs of two types of partnership: large and small. It has been assumed that there will be four large and eight small partnerships in the initial phase of the Blue Deal. This assumption will be adjusted on the basis of the shortlist during the preparatory year.

Large partnerships

In the case of large partnerships, there will be a resident project manager who will be based abroad for a longer period. Around 10 times a year there will also be scope for experts to be sent over for short 2-3 week missions, so that their expertise can be deployed in the project. The indicative budget assumes that there will be two large partnerships in 2019, increasing to four large partnerships in 2022. The costs of a large partnerships are estimated to be €700,000 a year.

Small partnerships

In the case of small partnerships, instead of a resident project manager, there will be a local project leader provided by the foreign partner. Around 10 times a year there will also be scope for experts to be sent over for short 2-3 week missions, so that their expertise can be deployed in the project. The indicative budget assumes that there will be four small partnerships in 2019, increasing to eight small projects in 2022. The costs of a small partnership are estimated to be €300,000.

Year	Phase 1 2019	2020	2021	2022	Total
No. of large partnerships	2	2	3	4	4
Costs of large partnerships	1,400,000	1,400,000	2,100,000	2,800,000	7,700,000
No. of small partnerships	4	5	6	8	8
Costs of small partnerships	1,200,000	1,500,000	1,800,000	2,400,000	6,900,000
Total partnership costs	2,600,000	2,900,000	3,900,000	5,200,000	14,600,000

Table 4 Breakdown of costs for projects in Blue Deal partnerships in € x Euro

6.2.2 Programme costs

Implementing a programme efficiently entails costs relating to the programme as a whole. To cover these costs, 10% of the budget of each project within a partnership is reserved for this purpose.

The programme costs relate to:

- 1. **Administrative support for all partnerships:** financial administration, creating standard documents, reporting, hiring an accountant etc. Budgetary provision: 7% of the partnership costs.
- 2. **Programme monitoring and evaluation:** carrying out a baseline study and an independent evaluation every two years. Budgetary provision: 2% of the partnership costs.
- 3. **Lead party: acting as central contact for all partners. Budgetary provision:** 1% of the partnership costs.

Accommodation costs have not been included in the calculations, because the programme office can make free use of the lead party's office.

Jaar	2019	2020	2021	2022	Total
Total project costs	2,600,000	2,900,000	3,900,000	5,200,000	14,600,000
Administrative support (7%)	182,000	203,000	273,000	364,000	1,022,000
Monitoring and evaluation (2%)	52,000	58,000	78,000	104,000	292,000
Lead party (1%)	26,000	29,000	39,000	52,000	146,000
Total programme costs	260,000	290,000	390,000	520,000	1,460,000

Table 5 Breakdown of Blue Deal programme costs in € Euro

6.2.3 Total budget for 2018-2022

The total budget for the preparatory year and the first four years of the programme is slightly in excess of €16 million. Around 50% of this will come from the water authorities (including NWB Fund and local partners) and 50% will be contributed by the ministries. The number of applications for the long list of partnerships is much greater than expected. Instead of 12, a total of 35 applications has been received. As a result, the number of partnership starting projects in the initial phase will probably also increase. If so, the ministries will double the input of the water authorities.

Year	2018	2019	2020	2021	2022	Total
Total project costs	340,000	2,600,000	2,900,000	3,900,000	5,200,000	14,600,000
Costs of large partnerships		1,400,000	1,400,000	2,100,000	2,800,000	7,700,000
Costs of small partnerships		1,200,000	1,500,000	1,800,000	2,400,000	6,900,000
Total programme costs	1,602,500	260,000	290,000	390,000	520,000	1,460,000
Administrative support (7%)		182,000	203,000	273,000	364,000	1,022,000
Monitoring and evaluation (2%)		52,000	58,000	78,000	104,000	292,000
Lead party (1%)		26,000	29,000	39,000	52,000	146,000
Total costs	1,942,500	2,860,000	3,190,000	4,290,000	5,720,000	16,060,000
Ministry of Foreign Affairs	410,000	230,000	395,000	745,000	1,460,000	3,240,000
Ministry of Infrastructure & Water Management	700,000	1,200,000	1,200,000	1,400,000	1,400,000	5,900,000
Uvw	150,000	100,000	100,000	100,000	100,000	550,000
Water authorities						
(incl. NWB Fund and contrib. local partner)	682,500	1,330,000	1,495,000	2,045,000	2,760,000	8,312,500
Total contributions by partners	1,942,500	2,860,000	3,190,000	4,290,000	5,720,000	16,060,000

Table 6 Total indicative budget for preparatory year and 1st phase in € Euro

6.3 Costs of phases 2 and 3

At the end of each phase, the budget for the next phase is drawn up. An estimate has already been made for phases 2 and 3. During phase 2, the programme will grow from 12 to 15 partnerships and remain at the same level in phase 3. The costs of the entire Blue Deal will therefore come to around €75 million.

	Preparatory year Year 2018-2019	Phase 1 2019-2022	Phase 2 2023-2026	Phase 3 2027-2030	Total Blue Deal
Number of large partnerships		4	5	5	5
Costs of large partnerships		6,900,000	14,000,000	14,000,000	34,900,000
Number of small partnerships		8	10	10	10
Costs of small partnerships		7,700,000	12,000,000	12,000,000	31,700,000
Total partnership costs	340,000	14,600,000	26,000,000	26,000,000	66,940,000
Administrative support (7%)		1,022,000	1,820,000	1,820,000	4,662,000
Monitoring and evaluation (2%)		292,000	520,000	520,000	1,332,000
Lead party (1%)		146,000	260,000	260,000	666,000
Total programme costs	1,602,500	1,460,000	2,600,000	2,600,000	8,262,500
Total costs	1,942,500	16,060,000	26,260,000	26,260,000	75,202,500

Tabel 7 Total indicative budget for the Blue Deal in € Euro

6.4 Financial accounting

Every year, the financial documents listed below will be drawn up. The documents will give a complete picture of the progress of the programme and be compiled from all the documents submitted by the individual partnerships. The lead party is responsible on behalf of all partners for supplying the financial documentation. The project leaders are responsible for timely submission of the documentation for individual partnerships.

Type of document	For the period		Final date for submission
Annual plan and annual account	01 Jan. 2019	– 31 Dec. 2019	01 Nov. 2018
	01 Jan. 2020	– 31 Dec. 2020	01 Nov. 2019
	01 Jan. 2021	– 31 Dec. 2021	01 Nov. 2020
	01 Jan. 2022	– 31 Dec. 2022	01 Nov. 2021
Report on preparation phase	01 Mar. 2018	– 01 Mar. 2019	01 Apr. 2019
Annual plan and annual account, including progress indicators	01 Mar. 2018	– 31 Dec. 2018	01 May 2019
	01 Jan. 2018	– 31 Dec. 2019	01 May 2020
	01 Jan. 2020	– 31 Dec. 2020	01 May 2021
	01 Jan. 2021	– 31 Dec. 2021	01 May 2022
	01 Jan. 2022	– 31 Dec. 2022	01 May 2023
Annual auditor's report	01 Mar. 2018	– 31 Dec. 2018	01 May 2019
	01 Jan. 2018	– 31 Dec. 2019	01 May 2020
	01 Jan. 2020	– 31 Dec. 2020	01 May 2021
	01 Jan. 2021	– 31 Dec. 2021	01 May 2022
	01 Jan. 2022	– 31 Dec. 2022	01 May 2023
Independent monitoring and evaluation	01 Mar. 2019	– 31 Dec. 2020	1 May 2020
Final report on 1st phase incl. progress indicators	01 Mar. 2019	– 31 Dec. 2022	1 May 2023

Table 8 Financial accounting Blue Deal 1st phase

These financial documents are submitted to the steering group. The members of the steering group then discuss the documents with members of their own organisation. Apart from the financial documents, the partners will be updated periodically on the progress of the programme. During the preparation phase, the programme office will make standard versions of all the documents, in consultation with all key partners.

The Blue Deal in practice

Country: **Libanon**
Water catchment areas: **Litani River**
Number of inhabitants: **1.2 million**
Partner: **Litani River Authority
and the Bekaa Water Establishment**
Operational since: **2017**



What does the programme currently look like?

The activities focus on treating wastewater, increasing water availability, increasing farmers' production through better and more economical use of water and improving water quality in the Litani River.

By working with local partners on projects, the programme aims to improve the living standards of all inhabitants of the Bekaa Valley. Opportunities are also being created for trade, investment and contracts for Dutch companies. Before the project started, the Dutch Risk Reduction team, which gives advice on how to deal with water issues worldwide, conducted a preliminary study.

What would change with the Blue Deal?

The Blue Deal will allow WereldWaternet and DWA to continue with the programme for a much longer period. The rehabilitation of the catchment has only just begun. Supporting an experienced partner is essential and will help achieve results more quickly.



7.

Monitoring & evaluation

The outcomes, intended results and work packages of the programme are set out in the Theory of Change (see chapter 3 and annexes). This provides a theoretical framework, but in practice, the Blue Deal programme will continue to evolve. So it will be necessary to continue to monitor whether the activities are effectively contributing to the goal of reaching 20 million people in 40 catchment areas. If the Blue Deal is to succeed, it is important to make adjustments and learn lessons along the way. To this end, an effective monitoring, reporting and assessment cycle is essential.

7 Monitoring and evaluation (2019-2030)

The outcomes, intended results and work packages of the programme are set out in the Theory of Change (see chapter 3 and annexes). This provides a theoretical framework, but in practice, the Blue Deal programme will continue to evolve. So it will be necessary to continue to monitor whether the activities are effectively contributing to the goal of reaching 20 million people in 40 catchment areas. If the Blue Deal is to succeed, it is important to make adjustments and learn lessons along the way. To this end, an effective monitoring, reporting and assessment cycle is essential.

7.1 What do we want to monitor?

The Blue Deal is a programme involving many partners, each of which adds to and takes away different components from the programme. So monitoring is geared to the progress of the programme as a whole, as well as the individual goals of the key partners participating in it, specifically SDG6, the IWA and the DWA's multi-annual perspective. Monitoring also focuses on these targets, so that each key partner can use the reports for its own organisational purposes.

The monitoring programme will be elaborated during the preparation phase (2018), including the addition of indicators and formats. It is expected to comprise the following elements:

1. Progress of the programme

- Principles and parameters of the Theory of Change (see annex 4).
- Indicators and outputs of the projects and programmes (derived from the work packages and output of the Theory of Change (see annex 4).
- Number of people reached by the programme (see chapter 1, impact level 3).
- Financial progress (see chapter 6, estimated versus actual costs).

2. Key partners' own targets

Dutch Water Authorities' multi-annual perspective:

- Cooperating water authorities are seen as relevant partners that provide added value in projects abroad.
- Water authorities recognise that deploying their own staff abroad contributes to the achievement of their own water-related and organisational objectives.

Ministry of Foreign Affairs:

SDG 6.3-6.6
IWA pillars 1, 2 and 3
Climate
Sustainability
Poverty reduction

Ministry of Infrastructure and Water Management:

contribution to:
IWA pillars 1, 2 and 3
Innovation

7.2 How do we want to monitor?

Every Blue Deal partnership will start with a baseline measurement describing the situation in a particular area before the start of the Blue Deal programme. External expertise will be recruited for this baseline measurement. In the partnership proposal, the partners describe the ways in which they seek to improve the existing situation by means of projects. Indicators are selected to measure progress. These indicators and outputs will be jointly drawn up during the preparation phase (April 2018 – March 2019).

Partners then set out in the annual plan what they intend to do in the year ahead. In the annual report, they report whether they have achieved the indicators and outputs of the annual plan. Progress will be monitored every two years by an independent body. During the preparation phase, the contract for monitoring and assessment will be put out to tender.

Progress is recorded in reports as described in §6.4. The programme office provides standard formats for these documents, in consultation with the water authorities. The office also collates the individual reports by partners in the form of overall reports and programme documents, and assists the water authorities as much as possible in drawing up their reports. Experts from external organisations (WaterWorx, VNG International, NGOs, etc.) will be asked to provide input when creating the formats.



8.

Risk management

The Blue Deal programme calls for strict project control and effective risk management.

8 Risk management

The Blue Deal programme calls for strict project control and effective risk management.

8.1 Establishing the goal

The first step when implementing risk management is to establish its goal. What is it intended to achieve or manage? In the case of the Blue Deal, various levels of abstraction can be identified. Firstly at supra-programme level, and subsequently at partnership level. To effectively manage projects set up by partnerships, consideration is already being given to how to use risk management.

To establish the goal of risk management at supra-programme level, an initial internal session with key partners is organised. The idea is to establish the goal of risk management for the Blue Deal programme. What uncertainties remain after the framework has been put in place, and what adverse events might occur? Do we seek to manage them? Would we prefer to prevent them? Or can we accept them?

Proposal for defining objectives

We round off the Blue Deal framework with a session to examine any remaining risks to the programme. These might be components that are insufficiently elaborated, or risks arising from the fact that something is new, etc. We consider such risks from various perspectives (manager, international coordinator, ministry, local partners, etc.) and make an inventory of them in a single session, using the RISMAN method. The outcome is a list of risks that we will try to manage as much as possible in the preparation phase (April 2018 – March 2019). At the end of the preparation phase, we will organise another session to establish whether the programme is sufficiently under control to allow implementation to start in 2019. We will continue to hold such sessions throughout the implementation period.

8.2 The basic procedure

A single basic procedure is used for all stages of the programme (in accordance with the RISMAN method). The steps of the procedure are shown in the figure below.

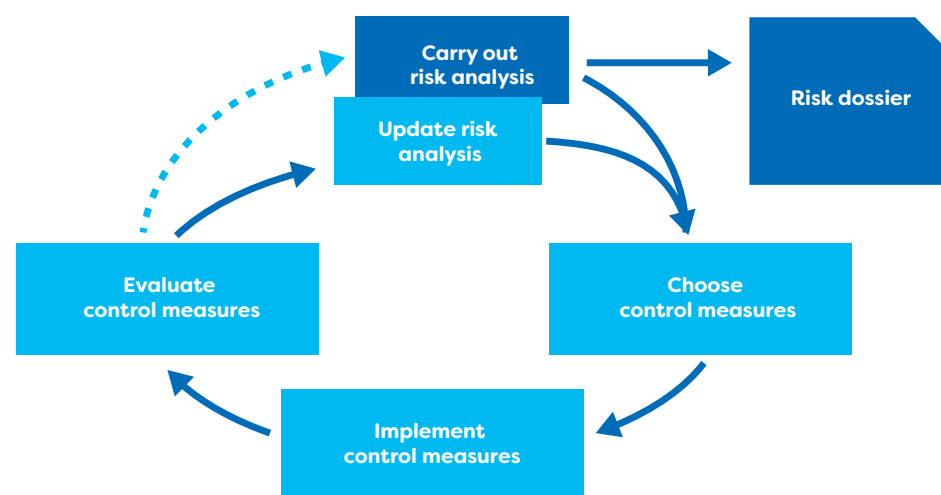


Figure 4 Basic procedure for risk management

Once an inventory has been made of the risks, it is decided which risks need managing. This is done by looking at the extent of the risk (likelihood x consequence). If the risk exceeds the threshold agreed beforehand, control measures are proposed. It is important, when doing so, to establish whether such measures sufficiently reduce the risk to below the agreed threshold.

To ensure that risks are managed, it is important to monitor whether the risk control measures that have been identified are actually carried out. To ensure this, it is necessary to specify actions and action holders. Subsequent updates will need to pay special attention to the measures that have been identified: are they effective?

The risk dossier is a living document that needs to be kept up to date throughout the entire programme. To this end, it should be updated periodically (for example once every six months) by the programme office. The theme of 'risk' also needs to be a fixed agenda item at internal and external progress meetings, so that interim updates can also be made.

8.3 The 'soft side' of risk management

If risk management is to be implemented successfully, attention must be paid not only to the 'hard side' of risk management (e.g. the processes, the procedures, the risk dossier) but also to the 'soft side' (e.g. risk awareness, communication, mutual trust), a precondition being that risk management forms part of an organisation's culture. This is because a culture of shared risk awareness is the best control measure of all. So sufficient attention will need to be paid to this aspect too.

9.

Preparation phase

The framework broadly outlines the contents of the Blue Deal programme and how it will be implemented. A number of components will be elaborated in more detail in the year of the preparation phase. This chapter sums up the elements that still need to be elaborated and how this process will be overseen by a temporary taskforce.

9 Preparation phase (April 2018 – March 2019)

The framework broadly outlines the contents of the Blue Deal programme and how it will be implemented. A number of components will be elaborated in more detail in the year of the preparation phase. This chapter sums up the elements that still need to be elaborated and how this process will be overseen by a temporary taskforce.

9.1 Temporary taskforce

In 2018, a small group of staff from the water authorities, UvW and the ministries will be partially freed up to prepare all the components that are still necessary to begin implementation. Together this will amount to 4.2 FTEs. The aim is to recruit staff with appropriate expertise and experience for each component. These individuals will be partially seconded to the coordinator. The costs of the taskforce and its activities have been included in the budget for the preparation phase (see §6.1).

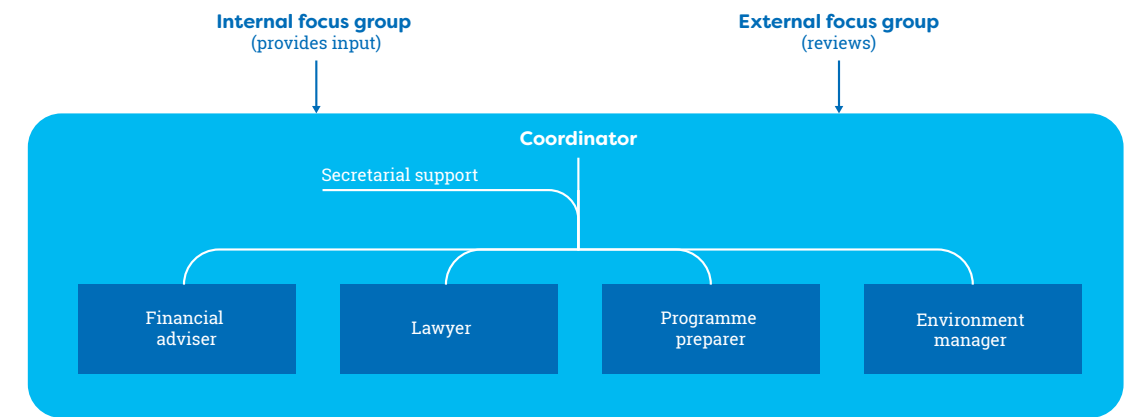
The taskforce will exist from 1 April 2018 up to (at the very latest) 1 April 2019, after which it will dissolve itself and the newly established Blue Deal programme office will take over its duties. The framework specifies the following components that must be prepared in 2018:

1. Contracts (see §2.6)
2. Organisation (see chapter 5)
3. Content (see chapter 4) and risks (see chapter 8)
4. Finances (see chapter 6) and monitoring and evaluation (see chapter 7)
5. Environment and communication (see chapters 2 and 10)

To effectively align these five components, general coordination will also be necessary. All these components have been allocated to the following roles:

1. Coordinator: general coordination and organisation
2. Financial adviser: financial affairs, monitoring and evaluation
3. Lawyer: contracts
4. Programme preparer: content and risks
5. Environment manager: environment and communication

To ensure that activities tie in with the needs of water authorities and ministries, an internal focus group comprising all international coordinators will regularly provide input. An external focus group comprising experts from other organisations will review the work of the taskforce. The measures taken will also be regularly reviewed by WINTER/CINTER and the IWC steering group.



9.2 Tasks

The results, in terms of points that need elaborating, are summed up below per role, along with an estimation of how much time this will take.

Coordinator – 1 FTE

Results

- Communication with all key partners
- Steering/coordination of the taskforce to achieve a satisfactory, clear and complete programme
- Elaborating scenarios on programme office configuration
- (input for cooperative agreement lead party – water authorities)
- Elaborating tasks/competencies for roles and decision-making process/consultative structure within the programme
- Setting up programme office and appointing its members
- Setting up and appointing regional or country coordinators
- Setting up and appointing programme committee
- Setting up and appointing Blue Deal steering group
- Reporting on preparation phase

Secretarial support – ½ FTE

Results

- Supporting all taskforce members

Financial adviser – ½ FTE

Results

- Financial/administrative system, including agreements between ministries and water authorities about the process
- Plan-do-check-act (PDCA) cycle
- 2019 budget, including format for future budgets
- Multi-annual budget 2019-2022 with a look ahead to 2023-2030, including format for future multi-annual budget
- Annual plans for 2019, including format for future annual plans
- Format annual account
- Auditor's report by accountant for 2018, including process agreements for the coming period.

Lawyer: contracts – ½ day a week

Results

- PPP contract between coordinator and the Ministry of Foreign Affairs
- Cooperative agreement between coordinator and the Ministry of Infrastructure and Water Management
- Cooperative agreement between lead party and participating water authorities
- Standard cooperative agreement for the water authorities and their local partners
- Letter of intent between the programme and the main indirect partners.

Programme preparer – 1 FTE**Results**

- Exploring potential projects
- Baseline study potential projects
- Through recruited expertise: climate test, gender assessment, impact on poorest of the poor, shape to be given to innovation theme. If necessary via tendering.
- Project proposals 2019-2022, including format for future proposals
- Programme for 2019-2022, including planning
- Indicators and outputs to measure progress
- Tendering independent monitoring & evaluation
- Tendering other external recruitment
- Risk analysis

Environment manager – 1 FTE**Results**

- Stakeholder analysis
- Partnerships with main external stakeholders
- Restructured contact point
- 3 internal meetings (introductory meeting, thematic meeting, presentation of the programme)
- Means of communication
- Contributions to important external events
- Specific ways of increasing professionalism at DWA (training courses, resources, etc.) and learning from each other.

9.3 Learning from each other

During the preparatory year – besides elaborating the various components – specific attention will be paid to making the water authorities and ministries more familiar with each other's work. If organisations are more aware of what each other does internationally in the field of water management, it will be easier to work together. The environment manager will decide the details, but will in any event organise three meetings:

1. **Introductory meeting** for the key partners in the spring of 2018. Each organisation will give a presentation, with the aim of getting to know each other better. The meeting can take place at the premises of key partners (for example at a water purification plant or a ministry).
2. **Thematic meeting** on climate, gender, poverty reduction and innovation in the summer/autumn of 2018. The aim is to elaborate these themes within the projects by presenting generic tools and by building up expertise on the themes via workshops/lectures. This could take place during the Stockholm Water Week, so as to also involve international partners.
3. **Programme presentation** for all key partners and local partners in December 2018. The location still has to be decided.

10.

Communication

The establishment of the Blue Deal is the next step in the professionalisation of the water authorities' international programmes and projects and provides a boost for the Dutch ministries' International Water Ambition. The Blue Deal will enhance the visibility, potency and continuity of the water authorities' and ministries' international partnerships. The Blue Deal communication strategy will focus on positioning the programme, enhancing its visibility (externally) and its support base (internally) for the international deployment of expertise by the water authorities and the Ministries of Foreign Affairs and of Infrastructure and Water Management.

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10.1 Blue Deal communication principles

Key message

All 21 Dutch water authorities have joined with the Ministries of Foreign Affairs and Infrastructure and Water Management to set up an international programme, to run until the end of 2030. Our joint aim is to ensure that 20 million people in 40 catchment areas around the world are better protected against water, have better access to water and are provided with better quality water. The Blue Deal is a practical programme with projects all over the world that will have a greater impact than the work we are currently engaged in.

Analysis of internal and external environment

International efforts, especially in the field of development cooperation, are under scrutiny in the Netherlands. To prevent our projects being viewed in a negative light, it is important on the one hand to always make clear in communications that only a very small proportion of the profits of water authorities is spent on international activities, and that support from the business sector is paid for by businesses themselves. It is also important to specify the objectives that are promoted by the water authorities' international efforts, and to state that these activities will improve their operations in the Netherlands (enhancing and speeding up water management processes as a result of new technologies and methods, and recruiting and retaining high-quality staff by being an attractive employer).

On the other hand, it is important not to downplay the added value of the involvement of water authorities and ministries in foreign projects, but to showcase it. Dutch water authorities have valuable, long-term expertise in the field of regional water management and often engage in long-term partnerships with water management organisations. The added value they provide has the potential to enhance water management around the world, as well as the international profile of the Netherlands.

Communication goals

- The Blue Deal profiles Dutch water authorities and ministries internationally as the leading experts in the field of regional water management.
- The Blue Deal enhances the visibility of international projects by water authorities and ministries and their role as international partners.
- The Blue Deal strengthens the support base for international activities by water authorities and ministries, both internally and externally.
- The Blue Deal communicates in a service-oriented way. The water authorities and ministries provide clear information and respond quickly and effectively to questions about projects.

Target groups

- The Ministries of Foreign Affairs and of Infrastructure and Water Management (relevant ministers and state secretaries, relevant directors, international policy officers, water management staff, communications departments)
- Water authorities (directors, management, country coordinators, communications, human resource departments, staff)
- Political and administrative network (members of parliament, the European Parliament, the Water Top Sector Alliance, journalists, influencers)
- National partners (NWP, NWB Fund, the Water Top Sector Alliance, Wereld Waternet, VNG International etc. + stakeholders such as businesses, local authorities, government agencies, knowledge institutes)
- International partners (NGOs, businesses, knowledge institutes, including Water Governance Initiative partners, etc.)

Blue Deal brand identity

The Blue Deal keywords are: authority, strong, proficient, government, reliable, service-oriented, clear information.

10.2 Phasing of communication goals

Focus 2018: launching Blue Deal – promoting/explaining the programme to internal and external target groups

Goal

Profiling the Blue Deal to stakeholders in the Netherlands. Demonstrating the added value of international efforts by water authorities and ministries, creating a support base and stimulating efforts by water authorities and partners in the Netherlands. Showing the contribution made to the government's International Water Ambition and the UN's Sustainable Development Goals.

Intended result

The water authorities, ministries, political and administrative network, and the national partners see the added value of international partnerships involving water authorities and ministries. The water authorities and ministries consolidate their position and increase their strength, visibility and efficiency.

Tools

Online news feed, free publicity, events (World Water Day, World Water Forum, possible evening of debate by DWA, Stockholm International Water Week), publications (visual summary of the Blue Deal).

Focus looking ahead to 2030: showcasing Blue Deal projects

Goal

Accounting for the achievement of set targets by calling attention to practical examples (projects). Profiling international activities and results to national and international partners. Showing the contribution to the government's International Water Ambition and the UN's Sustainable Development Goals.

Intended result

The national and international partners see the water authorities and ministries as the driving force behind the achievement of targets relating to the government's International Water Ambition and the UN's Sustainable Development Goals. As a result, the image and position of water authorities and ministries is strengthened both at home and abroad.

Tools

Online newsfeed, free publicity, events (Amsterdam International Water Week, World Water Week in Stockholm) + others to be determined.

10.3 Blue Deal communication guidelines

- The Ministries of Foreign Affairs and of Infrastructure and Water Management and DWA coordinate their approach to external communication on the Blue Deal.
- The Ministries of Foreign Affairs and of Infrastructure and Water Management and DWA may develop individual Blue Deal communication strategies for their own organisational purposes, as long as these are coordinated.
- The Ministries of Foreign Affairs and of Infrastructure and Water Management and DWA will establish fixed contact points for communication on the Blue Deal. They should inform one another in the event of staff changes, and arrange for duties to be taken over.
- The Blue Deal will be used to strengthen communication and cooperation between partners. As a result of the Blue Deal and communication concerning it, the Ministries of Foreign Affairs and of Infrastructure and Water Management and the water authorities will gain a better understanding of each other.
- The Ministries of Foreign Affairs and of Infrastructure and Water Management and DWA communicate regularly on the programme progress.

Annexes

Annex 1: Inventory of impact DWA projects

This estimate has been made on the basis of indicative figures obtained from the water authorities. More accurate, final assessments can only be reached once impact levels have been well-defined, and consultation has taken place and agreement reached with local partners. This will happen during the preparation phase.

The figures in the table below are an estimate of the maximum potential impact that can be achieved with current DWA projects, based on present activities (without selection or consensus with local partners) and on a general definition of impact levels. This is being done in order to assess the feasibility of Blue Deal aims in general.

It is likely that the impact of the Blue Deal programme will be somewhat less than predicted, because not all partnerships are included in the Blue Deal, and more accurate figures have yet to be obtained. Finally, the table only provides an estimate for the situation in five years' time (2022), whereas the Blue Deal is scheduled to run to 2030.

Impact level	No. of local partners and catchment areas		No. of people reached (mln)	
	now	in 5 years	now	in 5 years
Maximum impact, levels 1, 2 and 3 (approx. 25 countries)	>60	>80	>150	>200
Maximum impact, level 2 and 3 (approx. 10 countries)	>30	>45	>75	250
Maximum impact, level 3 (approx. 25 countries)	>10	>15	>20	>30

Annex 2: Relevant SDG targets

The Blue Deal programme will contribute to a greater or lesser degree to achieving the following targets:



- SDG 1 End poverty**
- 1.5 Build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks.



- SDG 2 End hunger**
- 2.4 Ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality.



- SDG 3 Ensure healthy lives and promote well-being**
- 3.9 Substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination.



- SDG 5 Achieve gender equality and empower women and girls**



- SDG 6 Ensure access to water and sanitation**
- 6.1 Achieve universal and equitable access to safe and affordable drinking water for all (including protecting resources).
 - 6.2 Achieve access to adequate and equitable sanitation and hygiene for all (including
 - 6.3 Improve water quality (including treating waste water).
 - 6.4 Increase water-use efficiency.
 - 6.5 Implement integrated water resources management.
 - 6.6 Protect and restore water-related ecosystems.



- SDG 8 Promote inclusive and sustainable economic growth, employment and decent work**
- 8.4 Improve global resource efficiency in consumption and production, and endeavour to decouple economic growth from environmental degradation. (Circular economy)



- SDG 11 Make cities inclusive, safe, resilient and sustainable**
- 11.1 Ensure access for all to, amongst other things, basic services.
 - 11.5 Significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses relative to global gross domestic product caused by disasters, including water-related disasters.
 - 11 b Substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters.



SDG 12 Ensure sustainable consumption and production patterns

- 12.5 Substantially reduce waste generation through prevention, reduction, recycling and reuse.



SDG 13 Take urgent action to combat climate change and its impacts

- 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries.
- 13.2 Integrate climate change measures into national policies, strategies and planning.
- 13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning.



SDG 15 Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss

- 15.1 Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems.
- 15.3 Combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world.
- 15.5 Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species.

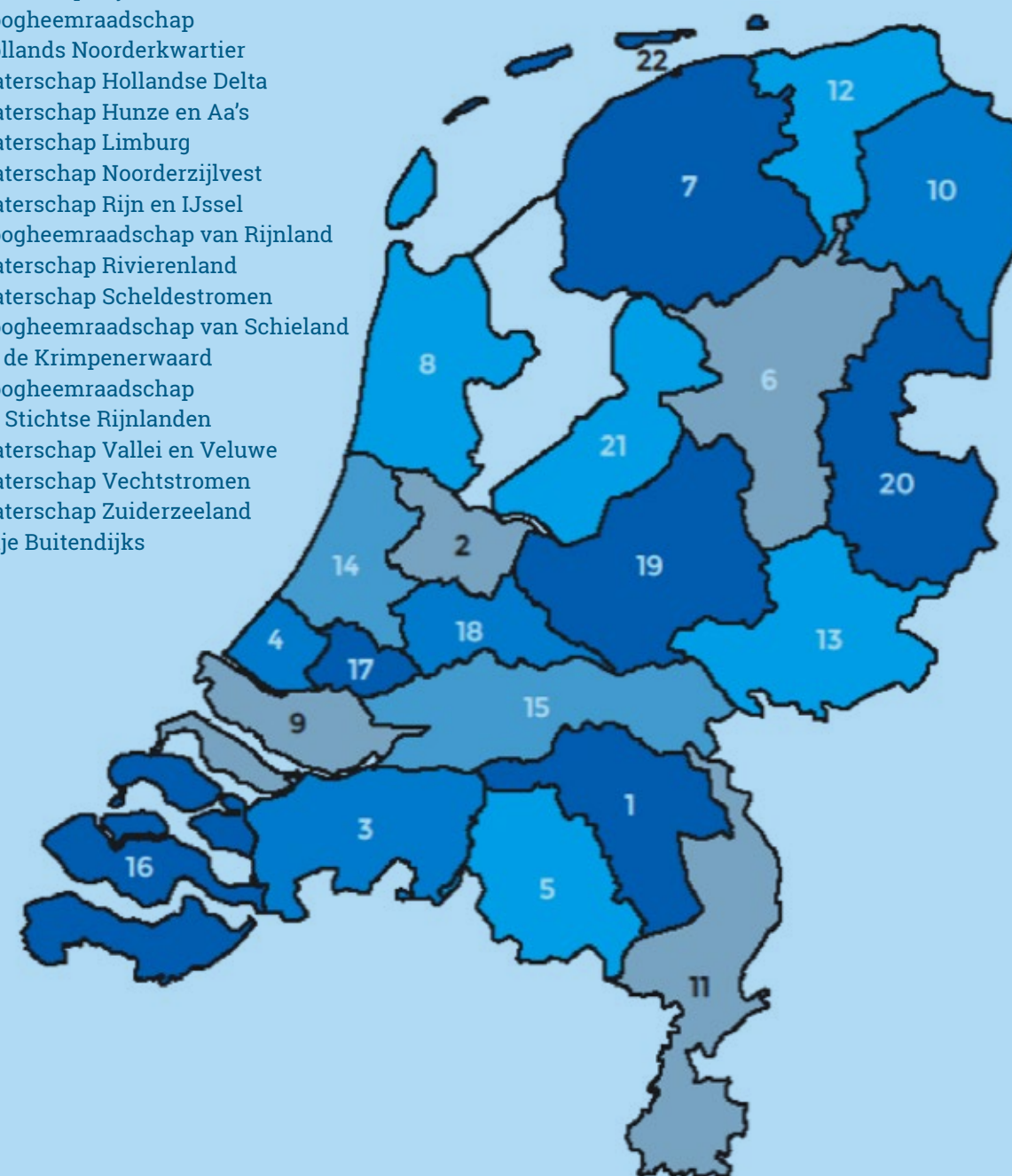
The Blue Deal's contribution to achieving the SDGs, and the goals of the IWA and DWA is estimated as follows:

1. **Better protection against flooding contributes to:**
 - SDG 6.5: Integrated resource management
 - IWA pillar 2: An integrated approach to water and climate issues.
 - IWA pillar 3: Enhancing local ability to achieve results
2. **Improved access to water contributes to:**
 - SDG 6.4: Increasing water-use efficiency across all sectors and ensuring sustainable withdrawals
 - IWA pillar 2: An integrated approach to water and climate issues.
 - IWA pillar 3: Enhancing local ability to achieve results.
3. **Better water quality contributes to:**
 - SDG 6.3: Improve water quality.
 - SDG 6.6: Protect and restore water-related ecosystems.
 - IWA pillar 2: An integrated approach to water and climate issues.
 - IWA pillar 3: Enhancing local ability to achieve results.

Annex 3: List of Dutch water authorities

UNIE VAN WATERSCHAPPEN

1. Waterschap Aa en Maas
2. Waterschap Amstel, Gooi en Vecht
3. Waterschap Brabantse Delta
4. Hoogheemraadschap van Delfland
5. Waterschap De Dommel
6. Waterschap Drents Overijsselse Delta
7. Wetterskip Fryslân
8. Hoogheemraadschap Hollands Noorderkwartier
9. Waterschap Hollandse Delta
10. Waterschap Hunze en Aa's
11. Waterschap Limburg
12. Waterschap Noorderzijlvest
13. Waterschap Rijn en IJssel
14. Hoogheemraadschap van Rijnland
15. Waterschap Rivierenland
16. Waterschap Scheldestromen
17. Hoogheemraadschap van Schieland en de Krimpenerwaard
18. Hoogheemraadschap De Stichtse Rijnlanden
19. Waterschap Vallei en Veluwe
20. Waterschap Vechtstromen
21. Waterschap Zuiderzeeland
22. Blije Buitendijks



Annex 4: Theory of change

Background

A Theory of Change (ToC) is a theoretical framework for describing the interrelationships, reciprocal influences and causal relationships between the activities and impacts of a large development programme that lead to the desired results in the long-term. Long-term results are almost always outcome of different sources or contributions, each of which arise from various activities/input and are influenced by various environmental factors. The description and visual presentation of how these building blocks all hang together make up the Theory of Change.

The theoretical foundations for drawing up a ToC should preferably be based on empirical or scientific research, so as to ensure that the right principles and assumptions apply to the programme in question.

By shedding light on causal links, better insights can be reached into the contribution and added value of the planned activities. It is also easier to group the main activities (for example in work packages) so that planning and implementation can be made more transparent. This enhances the effectiveness and relevance of the entire programme and makes it easier to design activities and assign priorities. A ToC usually comprises the following elements:

- input (actions or interventions)
- output (the services or products delivered), often combined in work packages
- outcomes (first-order effects or results caused by the products or services delivered)
- impact (second-order or long-term effects/results).

Theoretical principles

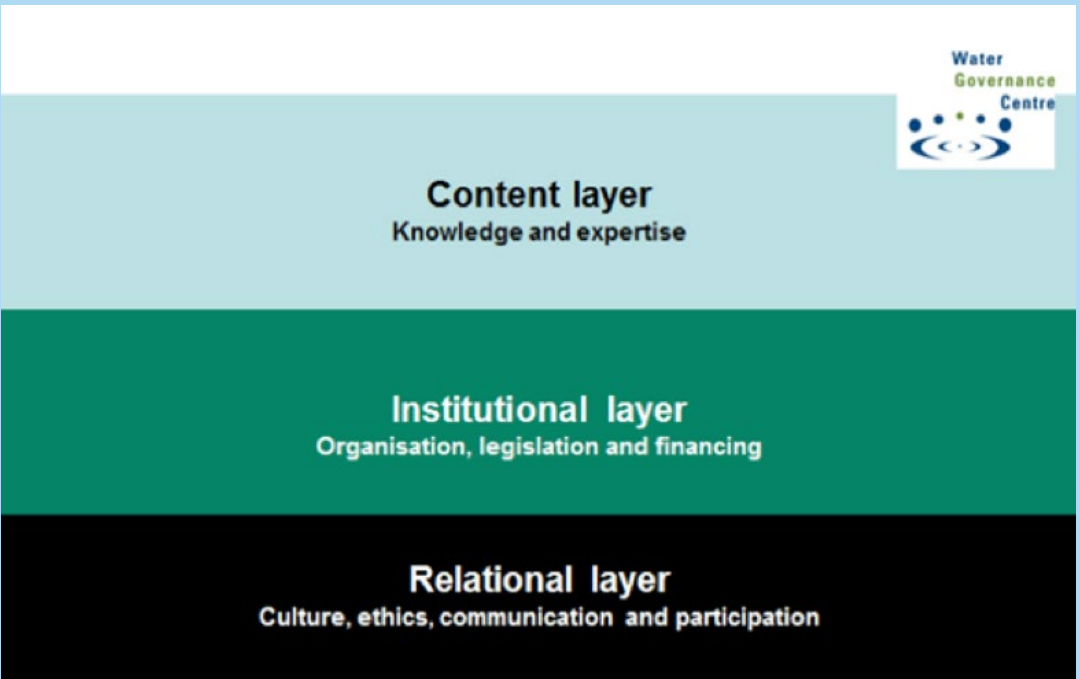
The ToC of the Blue Deal is informed by two major sources that provide the main theoretical and practical principles:

- Havekes et al. (2016) 'Building blocks for good water governance', Water GovernanceCentre (WGC), The Hague.
- OECD: 'The OECD Principles on Water Governance', 2015; 12 principles underpinning sound water governance.

'Building blocks for good water governance' collates the practical experiences and principles of existing DWA partnerships and theoretical, scientific sources to formulate the five main building blocks and the three-layer model. It informs the design of the Blue Deal programme's basic approach and strategy (including the work packages). While the three-layer model categorises the aspects of water management per domain, the building blocks are intended to indicate the foundations of sound water management. The five building blocks (set out below) are complimentary to the three-layer model:

- a powerful administrative organisation of water management
- a legally embedded system of water law
- an adequate financing system and economic analyses of water measures
- a systematic (planning) approach
- the participation of stakeholders.

The building blocks are not a blueprint, as they can be elaborated very differently per region, but they do form the pillars of sound water management.



Besides the WGC's building blocks, the ToC is also informed by the 12 OECD Principles on Water Governance, as proposed at the seventh World Water Forum (South Korea) and approved by the OECD Council in June 2015.

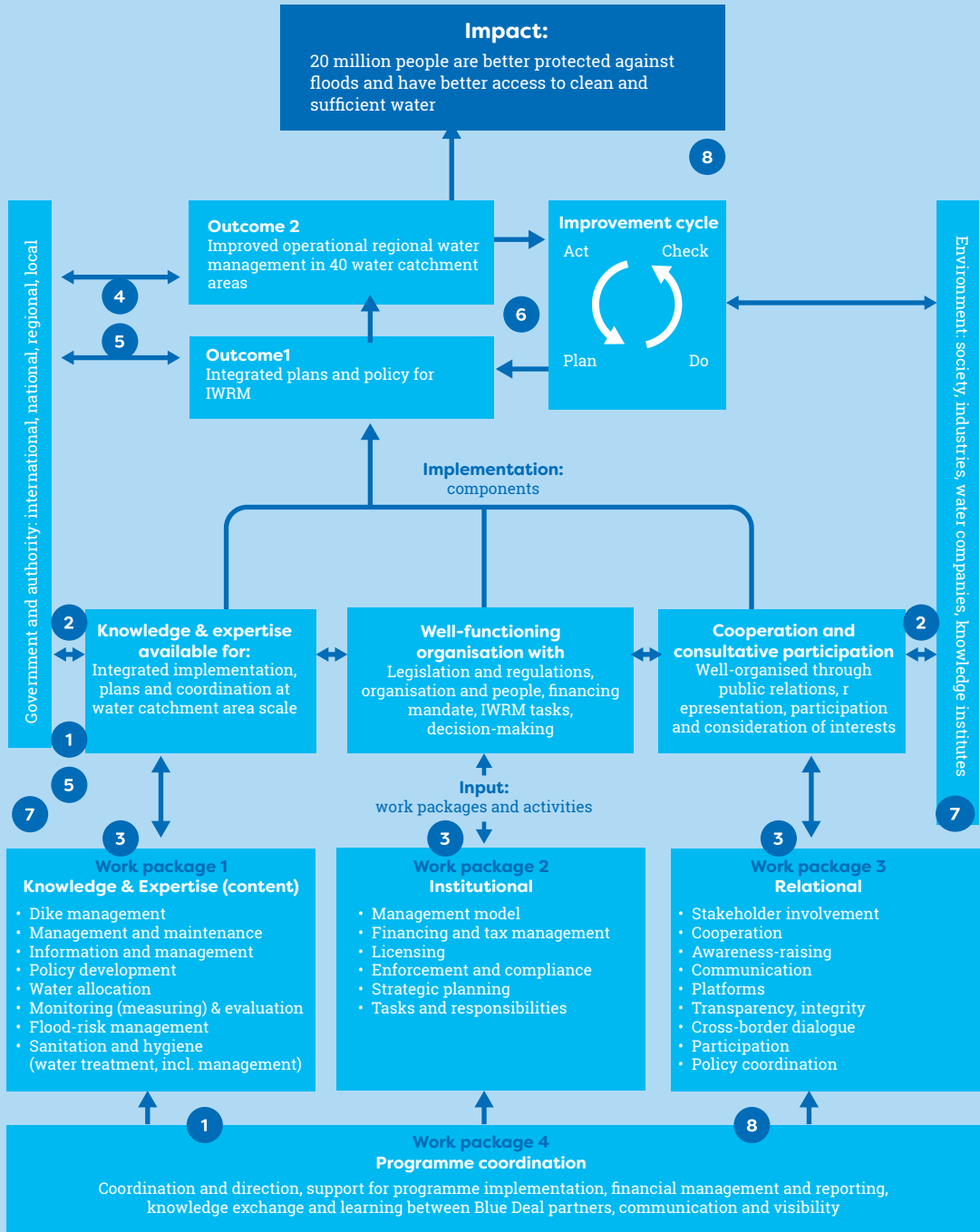


Approach

The Blue Deal approach focuses on contributing to the three levels of impact. At level I, the emphasis is on cooperative activities aimed at awareness-raising and knowledge transfer, followed by level II, in which the integrated, enhanced approach is laid down in official plans and policy on water management. At level 3 – the implementation of integrated water management – the impact of enhanced water management will be directly visible to society and the main stakeholders. Accordingly, during the first phase of implementation (2018-2021), the programme will largely focus on awareness-raising and knowledge transfer, as well as drawing up integrated plans. In the later phases of the programme (2022-2030) the focus will shift towards results in achieving integrated official plans and enhanced operational water management. But, as stated earlier, this will by no means always be the case, depending on the status of water management in the country concerned and the nature of the partnership.

Impact

By 2030, the Blue Deal projects and activities will achieve an impact ('a long-term effect') in the shape of enhanced water management for 20 million people. In concrete terms this has been broken down into three sub-results, derived from the water authorities' core tasks: by 2030, 20 million people will enjoy better flood protection, cleaner groundwater and surface water (as a result of better wastewater treatment, protection of resources and ecological protection) and increased/enhanced access to water for its various (economic, social and ecological) functions, including improved access for the poorest of the poor. The impact itself will be achieved through a chain of activities, outputs and outcomes, as indicated in the ToC diagram. NB: This does not have to be achieved simultaneously in each of the target areas (but altogether, the impact on 20 million people will be achieved for each sub-result). The diagram differs from that in the main text in that this indicates (by means of numbers) which assumptions have been made. These can be found at the end of this annex.



Outcomes

At outcome level, the main focus is on the capacity to shape and implement integrated water management plans and strategies. Integrated water management requires an integrated approach by capable institutions (organisations and staff), effective technical measures (systemic planning of interventions, management and maintenance, water system measurements, information management, etc.) and sufficient financial resources to implement these tasks (preferably through own levies). Finally, it is also necessary to set up an improvement cycle.

Under the terms of the agreement, only impacts at level 2 and level 3 in catchment areas where the Blue Deal is active count as measurable impacts. These two levels can be defined as follows:

- Level 2: achieving integrated water management by combining the three output components (knowledge, well-functioning organisations and effective cooperation) in an adapted or new policy or management plan. In this context, knowledge means implementing capacity and expertise (e.g. dike management, wastewater treatment, water distribution, etc.). Well-functioning organisations can enforce, have financial resources, have a permit system, etc. Effective cooperation means internally and externally, horizontally in a management area and vertically between national and decentralised and local parties. In the ToC, this is referred to as 'Outcome 1'.
- Level 3: actual implementation of plans as set out at level 2. In practice, level 3 translates into results such as improved wastewater treatment, well-maintained dikes and well-functioning irrigation systems that provide users with access to sufficient water and combat wastage. At this stage, budgets for management and maintenance are available and are being disbursed, etc. In the TOC, this is referred to as 'Outcome 2'. Outcome 1 is a precondition for generating results in a management area that will impact on a large group of people. In an iterative, upward cycle, outcomes 1 and 2 lead to improved operational regional water management.

Finally, it should be noted that initiating this cycle is the goal at outcome level. Water management is not starting entirely from scratch in any of the Blue Deal partner countries. As a result, the parties will work with existing water management plans and policy, and the trends that affect them. There is a certain hierarchy between the two outcomes, with implementation following on from plans and policy. The experience gained is in turn applied to improve plans and policy. This is shown by the plan-do-check-act (PDCA) cycle in the diagram. At a certain point in time, this process reaches a milestone. For instance when a catchment area management plan has been approved by the highest body (parliament for example), or when a planned modification to the water system – like the construction of a dam or the reinforcement of a riverbank, etc. – has been completed. Using the ToC's input-output and outcome model, a dynamic process leads to the transfer of the integrated approach in which Dutch water management expertise excels to Blue Deal partner countries. And then the impact described above is achieved.

Outputs

The classification system of the three-layer WGC model is reflected at output level. The system is useful for combining the various activities in the three components of good water governance: knowledge and expertise (content layer), a well-functioning and mandated organisation (institutional layer) and relevant cooperation and participation (relational layer).

The relational layer, first of all, relates to cooperation and participation, the role that stakeholders have (and are given) in water management, and interaction between and among stakeholders and the water manager. The aim is to organise participation and cooperation so as to promote stakeholder engagement in catchment area management, and to give concrete shape to cooperation and participation.

The institutional layer relates to efforts to ensure the capability of the management organisation. Its structure and management systems should be anchored in its mandate as well as in legislation, and the organisation and its staff should be capable of providing the services and expertise requested. Financing also forms part of this layer. The aim is to institutionalise organisational, legal and financial instruments that promote the self-sufficiency of organisations implementing IWRM.

The content layer related to technical knowledge, skills and expertise necessary to draw up and implement strategic IWRM policy and the information systems involved in this process. The aim is to unlock and apply policy, knowledge and information in systematic (catchment area management) plans.

Principles and parameters of the ToC

The 'impact chain' represented in the diagram is based on a number of principles and parameters whose existence cannot be taken for granted in the relevant countries during the implementation of the Blue Deal. Initially – during the preparation phase – an attempt will be made to establish whether, on the basis of sound information, it can be assumed that these principles and parameters will be in place in the context of the project. Besides acting as selection criteria, these assumptions can be useful during the operating period of the Blue Deal, to provide an early warning when changes to these assumptions mean that projects may jeopardise the aims of the Blue Deal. If possible, adjustments can then be made. A list of the assumptions is given below. Their numbers correspond with the numbers in the diagram:

1. There is a relatively stable government environment, i.e. legislation and regulations are in place (at national and decentralised level) that will afford sufficient support for the plans, management and maintenance of the water system by the relevant authority. Institutions work in accordance with their targets and mandate, and ensure a workable environment. The role of the government is 'trusted'; there is confidence in its authority.
2. Capable and reliable partners and stakeholders are also active in and around the management area. Including not only stakeholders from other 'technical' sectors (agriculture, energy, transport) but also parties pursuing business-related, environmental and social goals.
3. Dutch knowledge and expertise in the field of integrated water management provides relevant inspiration and added value in enhancing water management in the country in question, despite hydrological and topographical differences with the Netherlands.
4. The relevant country attaches priority not only to economic development, but also urgently seeks to tackle environmental issues, in which water is seen as an important component.
5. Water management organisations and organisations with water management tasks in their portfolios can rely on budgets from central government, or on their own sources of financing, to carry out their tasks. These sources of financing must at least remain at

the same level in the future, or increase.

6. It is assumed that plans will lead to action. It is unacceptable for plans (as so often happens) to be used to justify postponement of action. Plans that have been approved by the highest decision-making body therefore provide the starting point for outcome 1.
7. There is political will, also in the next 5-12 years, to work together with the Netherlands in the field of water management.
8. It is assumed that in nearly all countries where the Blue Deal is operational, no acute (political, social) upheaval will occur that will make the partnership unworkable because water is no longer a priority, and also because the safety of Dutch experts can no longer be guaranteed.

Elaboration of overarching themes

(These explanations supplement the descriptions in the main text)

Climate

Climate resilience is strongly connected to the extent in which a water system is manageable in a physical and institutional sense. Physical management relates to the water infrastructure, including controlling the water level using dams and pumping stations, combating erosion and sedimentation by reinforcing banks, controlling allocation via drains and sluices, and water transport systems. The more developed physical management systems are, the more effective measures to promote climate resilience will be. These are the controls that can be adjusted. But the use of those controls (i.e. the implementation of plans and the use of infrastructure) is just as essential; this primarily takes place using institutional instruments and is largely determined by organisational capacity.

Regulation is an example. This largely features in the second work package (institutional). Climate change causes two serious water-related problems: increasing drought and heavier precipitation. Greater extremes, in other words. Unregulated activities in a catchment area simply exacerbate these problems, causing the water system to suffer even more from the consequences of climate change. Examples include overgrazing, damage to banks, deforestation, desertification, etc. The effect is to exacerbate scarcity, flooding and pollution. Setting up or improving a permit system to regulate activities in a catchment area is something that can be done quite quickly. Issuing permits can ensure that water is better integrated in the local economy.

Gender

Raising awareness of this topic is a first step towards better policy and measures that enhance equality between men and women. The aim is to pay attention to gender in capacity building in each of the three layers, in the strengthening of the five building blocks and thus also in the plans for enhanced water management. As a result, the theme of gender will also contribute to the impact of the entire programme.

Activities are focused on achieving a more equal position for women in management organisations and management tasks, but also on the impact of improved water management on women. Women can by no means count on participation and interest representation, as in work package 3 (relational), or a role in the activities of packages 2 (institutional) and 1 (knowledge and expertise), but these are crucial preconditions for promoting economic and social equality. These activities enhance scope for women to develop their potential, as well as increasing women's rights and opportunities.

To determine the progress and results of these gender activities, gender will also be incorporated in monitoring and evaluation, in the form of gender indicators and gender-specific data. Here, too, partners with specific experience in this area will probably be involved.

Poverty reduction

A baseline measurement will be made by the management organisation in the preparation phase. This will form the input for shaping the activities in the first phase of the Blue Deal. The emphasis will be on increasing awareness of the position of poor and the impact of (improved) water management on them. Increasing ownership by local organisations and capacity building in the field of combating poverty are possible elements of a strategy.

Climate test tools

Climate change is a global phenomenon with many local implications. The issue of climate is not (or cannot) be incorporated in water management to the same extent everywhere. The Blue Deal takes account of this by carrying out a climate test designed to show what additional support is required from the Blue Deal.

The climate test should be developed in the preparation phase, with experts from the water authorities and the Ministry of Economic Affairs and Climate Policy being involved. The water authorities possess knowledge on how climate change affects the water situation and the ecology in catchment areas. The test takes account of:

- a) what a partner country is doing in terms of adapting the water system to climate change, and what mitigation measures are being taken by the bodies responsible for water management.
- b) a qualitative assessment of:
 - a. the extent to which climate can be comprehensively incorporated in water management;
 - b. the extent to which measures set out in management plans anticipate the risks of climate change;
- c) the implementation capacity (i.e., capacity, ability to work together and financial resources) of the parties involved in water management necessary to actually carry out both adaptive and mitigating measures.

It is of course wise to use existing studies and data about climate resilience and the situation in the relevant catchment area in the test. Experience with cooperation in many developing countries also shows that, in these countries, the inclusion of climate adaptation and mitigation in plans and policy is more a matter of routine and conformity than indicative of practical experience. So the Blue Deal climate test is accordingly a kind of preliminary scan whose results will indicate the necessary intensity of input by the partnership (or project) in respect of the theme of climate.

Annex 5: Description of the menu of activities

A diverse spectrum of activities creates a menu of possibilities from which a selection can be made, based on needs and focused on the set goals of the partnership. Coaching, exchanges, training, excursions, workshops, bringing parties together/acting as broker, pilots, projects, evaluations and advice are part of this menu. A brief explanation of these terms is given below.

Coaching: peer-to-peer cooperation between water authority experts and local partner water experts.

Exchanges: this activity enables both sides to demonstrate to the other how problems are tackled and tasks carried out. On the whole this takes the form of Dutch experts visiting a partner country, but partners also regularly come to the Netherlands to learn more about Dutch water management.

Training: a group of experts from the partner organisation is trained by Dutch water experts using a jointly devised curriculum.

Excursions: going on joint field visits, visiting waterworks, users and other stakeholders, viewing ongoing construction projects.

Workshops: these come in many forms and have many different objectives. There are workshops on a particular water management theme, but also to promote cooperation. Sometimes, therefore, other local parties and stakeholders are involved, and sometimes only the partner organisation.

Bringing parties together: this activity could take the form of a workshop designed to enhance cooperation, or could also take place in less structured ways. The aim is to support the water management organisation in contacts with local parties and stakeholders. From its position as an outsider, DWA can bring parties together in projects or in other ways.

Pilots and projects: these can be used to test interventions on a small scale. DWA is involved in project proposals for grant applications for this purpose, and in implementing these projects.

Evaluations: this activity entails looking at the results of the partnership, but also the choices made by the partner in its water management. Account will also be taken of baseline measurements and scans of the water management situation.

Advice: the DWA's advisory function is also part of the cooperation established in the Blue Deal. There are many aspects of integrated water management, especially the way it is shaped at public service level, where advice cannot be simply procured in the marketplace.

Annex 6: Blue Deal country list

Countries			MFA	IWA	DWA
	ODA	partner country/new policy			
1. Albania	3				Active
2. Argentina	3			Delta-light	Active
3. Bangladesh	1	Partner country		Deltacountry	Less active
4. Benin	1	Partner country/West Africa			Less active
5. Burkina Faso	1	Sahel/West Africa			Active
6. Colombia	3			Deltacountry	Active
7. Chile				Delta-light	
8. Egypt	2			Deltacountry	Less active
9. Ethiopia	1	Partner country/Sahel/Horn of Africa			Active
10. Philippines	2			Delta-light	
11. Ghana	2	Partner country/West Africa			Less active
12. Honduras	2				Less active
13. India	2			Deltacountry	Active
14. Indonesia	2	Partner country		Deltacountry	Active
15. Iran	3	Middle East			Less active
16. Jordan	2	Middle East			Active
17. Kenya	2	Partner country			Active
18. Lebanon	3	Middle East			Active
19. Mali	1	Partner country/Sahel/West Africa			Active
20. Mexico	3			Delta-light	
21. Mozambique	1	Partner country		Deltacountry	Active
22. Myanmar	1			Deltacountry	Less active
23. Nicaragua	2				Active
24. Palestinian territories	2	Partner country			Active
25. Peru	3				Less active
26. Poland				Delta-light	
27. Romania				Delta-light	Active
28. Senegal	1	Sahel/West Africa			Active
29. Sri Lanka	2				Less active
30. Swaziland	2				Active
31. Tanzania	1				Active
32. Vietnam	2			Deltacountry	Active
33. United States				Deltacountry	Active
34. South Africa	3			Deltacountry	Active

Annex 7: Definitions and abbreviations

The following definitions are used in the programme:

Management area: the catchment area (or part of a catchment area) falling under the mandate of organisations that are Blue Deal partners. This can be both an administrative and a hydrogeographic delineation, and can therefore be synonymous with the catchment area.

FTE: a unit of measurement that indicates job size or workload. In the case of water authorities, a single FTE is equal to a 36-hour work week.

HGIS: Homogenous Budget for International Cooperation. HGIS is a separate budgetary construction in the central government budget that shows the money collectively spent by the various Dutch ministries on international cooperation each year. Its aim is to promote interministerial cooperation and coordination in this field.

Intervention logic: see Theory of Change

IWRM: IWRM is the internationally used abbreviation for integrated water resources management. In the Netherlands, this task falls primarily to the water authorities. This is not necessarily the case in partner countries, so the shape given to IWRM will not always be the same. Accordingly, the term is used both in the broad and narrow sense in this document.

Partner: the main foreign party with which a cooperative relationship exists, as laid down in a framework agreement and commitment to undertake action. This will often be a water authority, but it can also be a local or national government. However, it will always be an organisation with water management tasks. These partners are described under ‘2.7 Local partners’ in the Blue Deal document, and are involved in the Blue Deal in the form of partnerships with Dutch Water Authorities. It should be noted that the term ‘partners’, when referring to other parties involved in the Blue Deal, has a different meaning. These can also be knowledge institutes and NGOs. Every effort has been made to ensure that the context makes the difference clear. The Blue Deal partnership is between the water authorities and two ministries.

Programme: cooperation between the water authorities and local authorities in other countries usually takes place within the framework of a programme. Since there is no defined starting or end point, and because the focus of cooperation tends to shift somewhat over time, it is not appropriate to refer to these ventures as projects. The text also refers to the Blue Deal as a programme (usually by calling it the Blue Deal programme). Such references are to the partnership between ministries and water authorities, and its implementation. Every effort has been made to ensure that the context makes the difference clear.

ODA: Official Development Assistance. This refers to the transfer of loans and donations from authorities to developing countries. ODA is recorded by the OECD.

Project: a collection of related activity with a clear starting and end point in time. Projects can take place within programmes. The Blue Deal terminates in 2030, but is structured in phases. It is also likely that both the DWA and the ministries will continue with the activities after 2030, and that the goals will be extended. Accordingly, the Blue Deal should be seen as a programme rather than a project.

Catchment area: a hydrogeographically delineated area containing a water system or subsystem. The delineation can be the same as in the management area, but, especially in large catchment areas, this is often not the case, and a catchment area has multiple water managers.

Theory of Change: is a methodology used for planning, monitoring and evaluation at strategic level. It does not contain ready-made results for development interventions, but rather outlines the framework to which these results should contribute. It is moreover not static: if needs be, for instance as a result of contextual changes, the Theory of Change can be adapted.

Water manager: this can be a local, national or regional authority, or another organisation exclusively charged with water management, or with water management tasks in its portfolio. In the Blue Deal document, the water manager will be designated as a local authority.

Abbreviations

CINTER:	DWA International Affairs Committee
DWA:	Dutch Water Authorities
FIETS:	Financial, institutional, ecological (including climate), technological and social
FTE:	Full-time equivalent
IWA:	International Water Ambition
IWC:	Interministerial Water Cluster
IWRM:	Integrated Water Resources Management
MFA:	Ministry of Foreign Affairs
NGO:	Non-governmental organisation
NWB (Fund):	Netherlands Water Boards Bank (Fund)
ODA:	Official Development Assistance
PDCA:	Plan-do-check-act
SDG:	Sustainable Development Goal
ToC:	Theory of Change
UN:	United Nations
UvW:	Union of Water Authorities
WASH:	Water, Sanitation and Hygiene
WHO:	World Health Organisation

2018 - 2030

BLUE DEAL

Helping 20 million people in 40 catchment
areas around the world to gain access to clean,
sufficient and safe water.

22 March 2018

Text: Dutch Water Authorities,
Ministry of Foreign Affairs
Ministry of Infrastructure and Water Management

Design: Studio Duel

Image: Unie van Waterschappen

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