



# Orange-Senqu River Basin

Orange-Senqu River Commission Secretariat  
Governments of Botswana, Lesotho, Namibia and South Africa

UNDP-GEF

Development and Adoption of a Strategic Action Programme  
for Balancing Water Use and Sustainable Natural Resource  
Management in the Orange-Senqu River Basin  
(Atlas Project ID 71598)

## Inception Report

12 April 2010



UNDP-GEF  
Orange-Senqu Strategic Action Programme  
**Inception Report**

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# Glossary

## Acronyms and abbreviations

e-flows	Environmental flows, ecological reserve	PSC	Project Steering Committee
CTT	Communications Task Team (of ORASECOM)	SADC	Southern African Development Community
EU	European Union	SAP	Strategic Action Programme
GEF	Global Environment Facility	Tb-EIA	Trans-boundary Environmental Impact Assessment
GIS	Geographic Information System	TDA	Trans-boundary Diagnostic Analysis
GTZ	German Agency for Technical Cooperation	TOR	Terms of Reference
ICP	International Cooperating Partner	TTT	Technical Task Team (of ORASECOM)
IWRM	Integrated Water Resources Management	UK	United Kingdom
LTT	Legal Task Team (of ORASECOM)	UNDP	United Nations Development Programme
NAP	National Action Plan	UNOPS	United Nations Office for Project Services
NGO	Non Governmental Organisation	USD	US Dollar
ORASECOM	Orange-Senqu River Commission	ZAR	South African Rand
PCU	Project Coordination Unit		
POP	Persistent Organic Pollutants		

## Terminology

Causal chain analysis	<i>Examines the sequence of events that cause environmental and socio-economic impacts from the immediate causes to the underlying root cause.</i>
Ecological system (ecosystem)	<i>A community of living organisms and the environment in which they live, interacting to form a whole functional system.</i>
Environmental flows (e-flows)	<i>Environmental flows describes the quantity, quality and timing of water flows required to sustain freshwater and estuarine ecosystems and the human livelihoods and well-being that depend on these ecosystems (Brisbane Declaration, 2007).</i>
Governance	<i>A response term embracing regulations, laws, policies, projects and institutions. The absence of effective governance is not regarded as the cause of pressure on the environment but as a failure to deal with a pre-existing cause.</i>
Integrated Water Resources Management (IWRM)	<i>IWRM is a process that promotes the coordinated development and management of water, land and related resources, in order to maximise economic and social welfare in a balanced way without compromising the sustainability of vital ecosystems. IWRM emphasises integration of the management of land and water resources, of surface water and groundwater, of upstream and downstream uses, of sectoral approaches, of economic production and environmental sustainability, and of the state and non-state stakeholders (Global Water Partnership, 2000).</i>
Member State	<i>Party to the ORASECOM Agreement.</i>
National Action Plan (NAP)	<i>A negotiated policy document, endorsed by one member State, that sets out consistent with the Strategic Action Programme, clear priorities for national action to resolve the priority trans-boundary issue identified in the TDA.</i>
Perennial flow	<i>Perennial flow means continuous flow in parts of the river bed all year round during years of normal rainfall. "Perennial" flow is contrasted with "non-perennial" flow where flow normally ceases for weeks or months each year, and with "ephemeral" flow, a flow only for hours or days following rainfall.</i>

Persistent Organic Pollutants (POP)	<p><i>Persistent organic pollutants (POPs) are organic compounds that are resistant to environmental degradation through chemical, biological, and photolytic processes. Because of this, they have been observed to persist in the environment, to be capable of long-range transport, bioaccumulate in human and animal tissue, biomagnify in food chains, and to have potential significant impacts on human health and the environment.</i></p> <p><i>Many POPs are currently or were in the past used as pesticides. Others are used in industrial processes and in the production of a range of goods such as solvents, polyvinyl chloride, and pharmaceuticals. Though there are a few natural sources of POPs, most POPs are created by humans in industrial processes, either intentionally or as byproducts.</i></p>
Root causes	<p><i>Beyond the underlying social and economic causes and sectoral pressures are the root causes of environmental degradation. These underlying causes can be loosely divided into the following categories: population pressure and demographic change; poverty, wealth and inequality; public policies, markets and politics; development model and national macro-economic policies; social change and development biases.</i></p>
Short, medium and long term	<p><i>Respectively, the next 5 years, the following 15 years and 20-50 years from now.</i></p>
Strategic Action Programme (SAP)	<p><i>A negotiated policy document, endorsed by all member States, which establishes clear priorities for action to resolve the priority trans-boundary issue identified in the TDA.</i></p>
Trans-boundary Diagnostic Analysis (TDA)	<p><i>An objective assessment, using the best available verified scientific information to examine the state of the environment, the root causes for its degradation. The analysis is carried out in a cross sectoral manner. It focuses on the trans-boundary issues and takes into account national concerns and priorities.</i></p>
Trans-boundary issue	<p><i>An environmental problem originating in one State and affecting another (e.g. eutrophication, chemical pollution). The trans-boundary impact may be damage to the natural environment and/or damage to human welfare.</i></p>

## Executive summary

In one way or another, the four riparian States of the Orange-Senqu, River Basin Botswana, Lesotho, Namibia and South Africa depend on the river system for their hydro-infrastructure, industrial production, agriculture and economic growth. The basin, however, is also threatened by a number of trans-boundary problems. The river system is regulated by some 30 large dams and includes several larger inter- and intra-basin transfers. Extensive water utilisation for urban, industrial and agricultural purposes has significantly reduced natural flow, to the extent that the current flow reaching the river mouth is in the order of half of the natural flow.

In the near future increasing demands will rapidly outstrip the river's resources, impacts of climate change may compound the situation. Pollution is another major threat to the overall health of the ecosystem; land degradation, in particular in the ecologically sensitive upstream and dryland areas, caused by over grazing and poorly suited cultivation practices, is also a cause for concern. The Orange River Mouth carries the status of a Ramsar wetland site as a result of its high number of rare and endangered species, particularly relating to water fowl, and its uniqueness as ecosystem within the bio-region. Though changes in the flow of the river, and particularly impacts of mining, have very severely degraded the ecosystem.

The four States are strongly committed to a joint, basin wide approach to addressing threats to the shared water resources which led to the founding of the Orange-Senqu River Commission (ORASECOM) in 2000. During this ten year period cooperation between the countries has matured, ORASECOM is now developing an Integrated Water Resources Management Plan for the Basin. This Project, the Orange-Senqu Strategic Action Programme, will support ORASECOM and its member States in this undertaking.

The Project forms part of the ORASECOM-led Orange-Senqu Water Resources and Environmental Programme. As such the Project will build upon and create synergies with a range of initiatives being undertaken by the States themselves and those of bilateral and multilateral cooperating partners.

In April 2008 ORASECOM adopted a preliminary Trans-boundary Diagnostic Analysis (TDA) of water resources related issues in the Basin. The preliminary TDA followed the GEF International Waters "best practice" approach and identified five priority trans-boundary problems:

- Stress on surface and groundwater resources;
- Altered water flow regime;
- Deteriorating surface and groundwater quality;
- Land degradation; and
- Alien invasives.



In 2009 activities on the ground were limited, although signing of the Project Document by all four member States and the recruitment of the Senior Project Manager were both important milestones. The Project will now finalise the TDA by undertaking a number of gap filling activities including:

- A review of the impacts of artisanal mining on the middle and lower Orange;
- An assessment of Persistent Organic Pollutants levels in the river; and
- A detailed yield assessment and demand forecast for the basin.

Though climate change and biodiversity are not independent priority trans-boundary concerns, these issues will be highlighted and integrated throughout the Project. The final TDA will serve as the scientific basis for development of an agreed set of interventions under the framework of a Strategic Action Programme (SAP) and associated National Action Plans (NAPs). The SAP will incorporate a basin vision, quantitative and qualitative water resource objectives and targets, as well as interventions in the short and medium term to meet the targets. It will be developed in a participatory manner involving the wide range of stakeholders at basin and sub-basin levels.

In parallel to the SAP development the Project will implement three demonstration projects to explore replicable solutions in critical areas:

- The setting of environmental flows;
- Water demand and quality management in the irrigation sector; and
- Community-based rangeland management to counter land degradation.

The Project is funded by the Global Environment Facility (GEF) and implemented by the United Nations Development Programme (UNDP). Funding of USD 6.3 million has been secured from the GEF for the four year duration of the Project. The Project Coordination Unit, including the Senior Project Manager, the Scientific Officer and the Administration and Finance Officer is hosted in Pretoria, South Africa, by the ORASECOM Secretariat.

This Inception Report sets down the current understanding of how the Project shall be implemented. The Report includes the revised results framework and monitoring plan confirming the goal and expected outcomes in line with the prior agreements, the detailed work plan, linkages with other ICP supported projects under the ORASECOM Programme, the operational budget, a results framework and monitoring plan with the 2010 targets, and Terms of Reference for the Project Steering Committee, and minutes decisions of the inception workshop, held on 18 March 2010.

# 1. Introduction

## 1.1 Rational for undertaking the Project

The Orange-Senqu River Basin is one of the larger river basin in southern Africa. The river system is regulated by some 30 large dams and includes several larger inter- and intra-basin transfers. Extensive water utilisation for urban, industrial and agricultural purposes has significantly reduced natural flow, to the extent that the current flow reaching the river mouth is in the order of half of the natural flow.

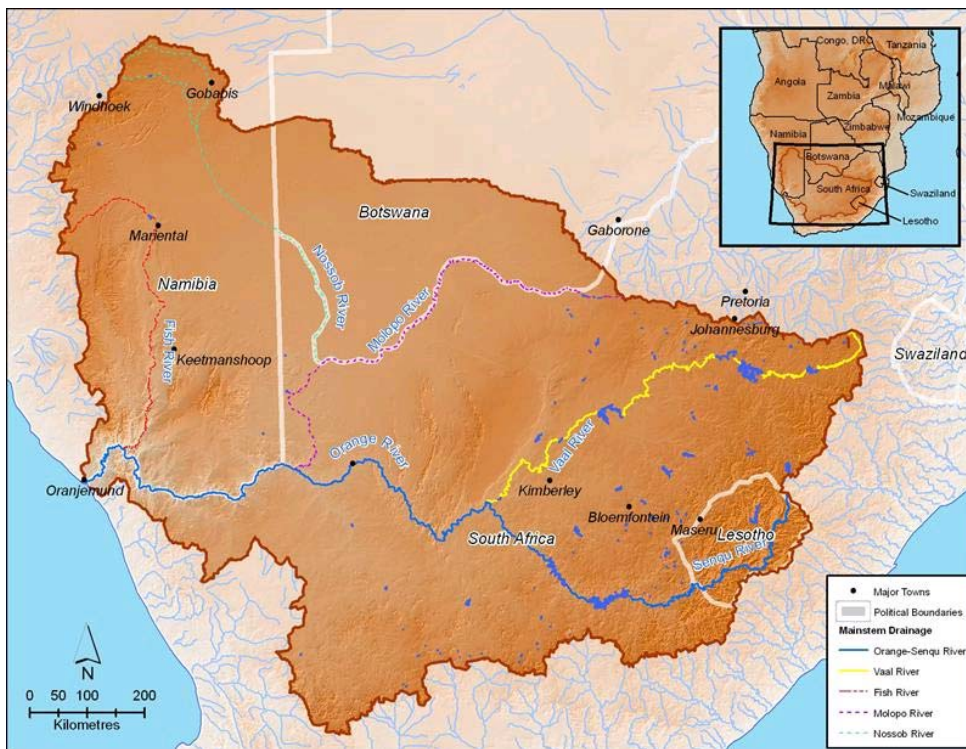


Figure 1: Orange-Senqu River Basin (ORASECOM River Awareness Kit, Hatfield Consultants, 2009)

Future river basin management in the Orange-Senqu River Basin has to balance these competing water uses, and deal with increasing rates of human-induced change and the mounting concerns about the causes and consequences of this change. Differences in legal frameworks, historical backgrounds and technical capabilities of the four member States Botswana, Lesotho, Namibia and South Africa add to the complexity.

Effective management of water and related resources will therefore have to (i) be sensitive to the maintenance of vital ecosystems and (ii) become a negotiated integration process, which synthesises

the differing positions and conflicting interests of the member States, various sectors and populations.

The four member States are strongly committed to a joint, basin wide approach to addressing threats to the shared water resources. This led to the conclusion of the Agreement on the Establishment of the Orange-Senqu River Commission in 2000 (ORASECOM Agreement).

During the Project Development Facility Bloc B UNDP prepared a preliminary Trans-boundary Diagnostic Analysis (TDA) of the Basin, adopted by ORASECOM in April 2008. The Project shall now finalise the TDA by undertaking a number of gap filling activities. The final TDA will serve as the scientific basis to proceed to a Strategic Action Programme and related National Action Plans for developing and managing the basin's water resources founded on integrated water resources management (IWRM) principles. In addition, the Project will implement three demonstration projects on priority issues agreed during the pre-TDA development to pilot replicable solutions in critical water resources management areas.

## **1.2 Purpose and preparation of this Inception Report**

The purpose of this Inception Report is to set down the current understanding of how the Project shall be implemented. The Report includes the revised results framework and monitoring plan confirming the goal and expected outcomes in line with the prior agreements (Appendix A), detailed work plan (Appendix B), linkages with other ICP supported projects under the ORASECOM Programme (Appendix C), the operational budget (Appendix D), a results framework and monitoring plan with the 2010 targets (Appendix E), Terms of Reference for the Project Steering Committee (Appendix F), and documents the Inception workshop, held on 18 March 2010 (Appendix G).

A further purpose of this Inception Report is to promote understanding of the end products and the key processes that are to be employed in creating those products, and in achieving the wider aims of the Project.

The Report is based on initial discussions held in December 2009 to March 2010 with UNDP, the ORASECOM Secretariat, the currently active International Cooperating Partners (ICP) supported projects under the ORASECOM Programme, and bilateral meetings with Commissioners and senior staff in each member State. The Report also draws heavily on reports prepared ICP supported projects. These contributions, whereas not explicitly mentioned in the text, are herewith acknowledged.

Further discussions were held at an Inception Workshop and the ORASECOM Programme Strategy Committee Meeting on 18 March 2010. This Inception Report documents these discussions.

## 2. Context

### 2.1 ORASECOM governance

ORASECOM serves as a technical advisory body to the member States and operates within the framework of the Southern African Development Community (SADC) Revised Protocol on Shared Watercourse Systems (2000) and the ORASECOM Agreement (2000).

As a fairly young organisation, ORASECOM's mandate and governance arrangements are evolving. Consensus was reached among the member States that one of the primary mechanisms for ORASECOM's technical advice will be the development of a basin wide plan. Whereas the scope of the plan and the process of its development remain to be clarified, the perspective emerges that the basin wide plan shall provide the cooperation framework for the management and development of water and related resources in the basin, focusing firstly on trans-boundary issues. However, member States also recognise that some actions may arise from shorter term or more narrowly focused studies.

SADC supports and monitors the implementation of the Revised Protocol on Shared Watercourse Systems, including arrangements around the ORASECOM Agreement. This entails two areas, firstly reporting by ORASECOM to SADC in terms of requirements under the Protocol, and secondly the possible facilitation in resolution of disputes between member States, in the unlikely situation where these cannot be resolved within ORASECOM.

ORASECOM currently comprises three bodies, the Council, Task Teams, and the permanent ORASECOM Secretariat.

The highest body of ORASECOM is the Council, which serves as technical advisor to the member States on matters related to utilisation, development and conservation of water resources. The Council comprises delegations from each of the four member States. Each State delegates three Commissioners. The Commissioners are mostly drawn from agencies responsible for water resource management, i.e. the Ministry of Minerals, Energy and Water Resources of Botswana; the Ministry of Natural Resources of Lesotho; the Ministry of Agriculture, Water and Forestry of Namibia, and the Ministry of Water and Environmental Affairs of South Africa. The Council assumes following responsibilities:

- Decisions necessary to implement the ORASECOM Agreement, particularly strategic guidance of studies;
- Review and endorsement of recommendations to member States derived from these studies and as developed by the Task Teams; and
- Oversight on the Secretariat performance and finances.

ORASECOM works mostly through a sub-committee system of Task Teams. At this point three Task Teams convene regularly, the Communications, Legal and Technical Task Team. Each Task Team includes eight technical experts (one member and one alternate), with two nominated by each State delegation. The Task Teams assumes following responsibilities in their subject area:

- Deliberations and formulation of recommendations to the Council, based on submissions of the Secretariat and ICP supported projects.

Working Groups on Groundwater and Water Quality, working under the Technical Task Team, are established.

The Secretariat provides secretariat functions to Council and Task Teams, currently including two permanent staff, the Executive Secretary, reporting to the Council and the Water Resources Specialist (two more posts are provided for, a finance and administration support). The Secretariat's functions include:

- Implementation of Council requests;
- Coordination of ORASECOM activities, programme and project development and management, resource mobilisation;
- Acting as focal point for ORASECOM with external parties, corporate communications;
- Serving as repository of information related to the Orange-Senqu River Basin; and
- ORASECOM administrative functions.

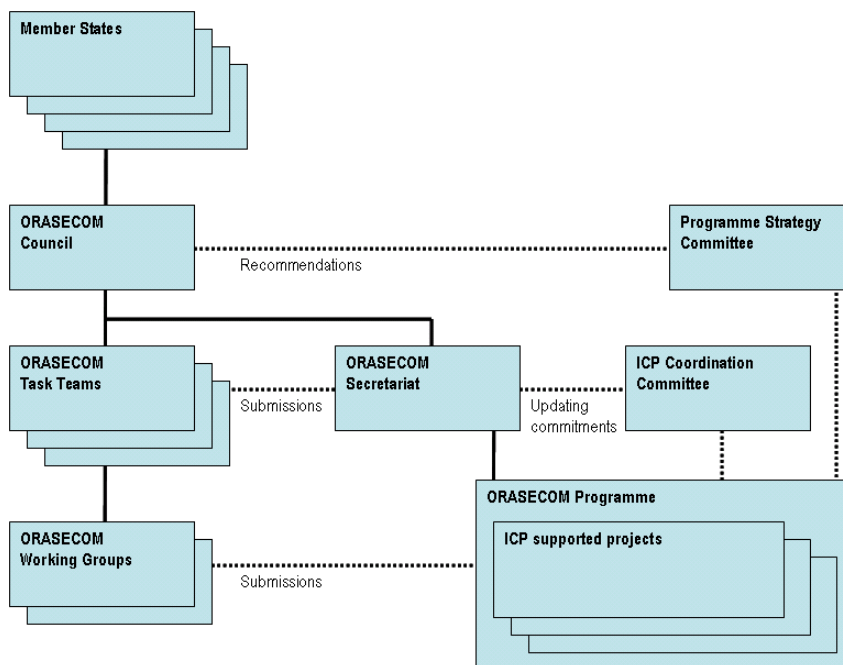


Figure 2: ORASECOM governance

## 2.2 Stakeholder participation

The member States established consensus that stakeholder participation is within the mandate of ORASECOM and regard participation as critical for equitable sharing of water resources. The ORASECOM Agreement stipulates that the Council can make recommendations on the form and extent of stakeholder participation in water resources planning, utilisation, development and conservation (article 5). In 2006 member States and other stakeholders mapped out key elements of a stakeholder participation strategy. Thereafter, these findings were refined into the ORASECOM Stakeholder Roadmap (2007) which describes a progressive development of participatory approaches. The Roadmap focuses on stakeholder participation in ORASECOM governance and covers four areas:

- Communication and information, enabling vertical and horizontal communication and information exchange;
- Institutional development; developing effective mechanisms for stakeholder involvement;
- Capacity development of stakeholder forums at various levels; and
- Institutional interfaces, coordinating stakeholder activities.

Further work, conducted with Commissioners and the Legal Task Team under the EU supported project, led to a Proposal for Stakeholder Participation in ORASECOM (2009). Focus of this Proposal is stakeholder participation in basin wide planning. A pragmatic three-step approach is proposed:

- Step 1, using existing in-country structures (e.g. catchment management forums/agencies) to create awareness and start dialogue over participation in basin wide planning;
- Step 2, establishing national stakeholder forums, which would inform the position taken by the national delegations to the Council;
- Step 3, establishing a basin wide stakeholder forum, with representation from and informed by the positions of the national forums.

In addition, the creation of a (basin wide) Reference Group with observer status to Council Meetings (comprising institutional stakeholders, i.e. water utilities, environmental NGO, etc.) is under discussion. The focus of this Reference Group is on participation in ORASECOM governance.

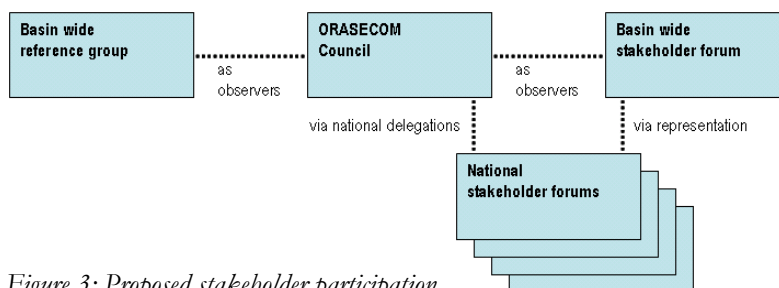


Figure 3: Proposed stakeholder participation

## 2.3 Orange-Senqu River Basin Environment Programme

The Orange-Senqu River Basin Environment Programme (also the ORASECOM Programme), agreed at the Council Meeting in April 2007, brought the various ICP supporting ORASECOM under one umbrella. The Programme includes six thematic areas:

- Institutional and organisational strengthening;
- Capacity building on shared watercourse management;
- Information System;
- Communication and awareness building;
- Trans-boundary projects and studies; and
- Conservation and environmental strategies and policies.

Within these thematic areas the Executive Secretary assigned the following areas of focus to recently completed and ongoing ICP projects (Memo of Secretariat, dated 4 Jul 2008):

- French GEF support (completed): Support to ORASECOM institutional development, further knowledge on key drivers to integrated water resources management and development;
- German and UK support through GTZ (ongoing): 9 priority projects towards the development of the basin wide plan, ORASECOM website, Orange-Senqu River Awareness Kit;
- EU support (ongoing): support to institutional strengthening and further institutional development of ORASECOM; and
- UNDP GEF support: Trans-boundary Diagnostic Analysis and Strategic Action Programme, demonstration projects.

A Programme Strategy Committee, reporting to the Council, serves as steering committee of the ORASECOM Programme. The members of which include representatives of the member States, the ORASECOM Secretariat, and the participating ICPs.

An ICP Coordination Committee updates ICP commitments, and coordinates and integrates the deliverables of the ICP supported projects. A Programme Implementation Plan 2007 to 2012, in the form of a gantt chart, which is updated at ICP Coordination Committee Meetings, serves as coordination tool for ORASECOM.

Further to this, the ORASECOM Secretariat regularly calls for Programme Management Meetings. These meetings include the ORASECOM Executive Secretary and the Project Managers of the ICP supported projects. These meetings cover technical and operational issues.

Appendix C highlights the main linkages between the Project and the other ICP projects.

## 2.4 German and UK support through GTZ

The GTZ executed Project ‘Trans-boundary Water Management in SADC, GTZ Support to Phase 2 of the ORASECOM Integrated Water Resources Management Plan’ includes six work packages:

- River basin model: further development of the (existing) integrated hydrological model of the Basin;
- Hydrology: update of hydrological data for the Basin;
- Water resources quality: proposal of a basin wide water quality management plan;
- Climate change: downscaling of global models and assessment of adaptation needs;
- Environmental flow requirements: specification of environmental flow requirements, with focus upstream of the confluence point of the Fish River; and
- Water demand management in the irrigation sector: development of best management practice in irrigated agriculture; compilation of a spatial database, covering administrative boundaries, topography, climate, environment, soils, land cover and -use, population and human settlements, etc.

## 2.5 EU support

The European Union’s ‘African Trans-boundary River Basin Support Programme, Case of the Orange-Senqu River’ includes six result areas:

- Basin management institutions and organisations strengthened: clarification of role, mandate and procedures of ORASECOM; legal opportunities and constraints; best practice in trans-boundary water management;
- Capacity for shared watercourse management: institutional training courses for ORASECOM officials and secretariat staff, following a training needs assessment conducted under the French GEF project;
- ORASECOM information system: review of water quality section of preliminary TDA; framework for trans-boundary water quality monitoring; water resources management objectives; water quality targets (fitness for use);
- ORASECOM communication and awareness building: support to ORASECOM events, communications and stakeholder engagement; awareness programme for decision makers; information products;
- Orange-Senqu Water Management Masterplan: principles for water and benefit sharing; methodology for aquatic ecosystem health monitoring; IWRM training courses;
- Water conservation and environmental strategies: scoping of urban water quality issues, baseline study for aquatic ecosystem health.



## 3. Appreciation of the Project

### 3.1 Goal and expected outcomes

The overall goal of the Project is: ‘To improve the management of the Orange-Senqu River Basin’s trans-boundary water resources through ecosystem based Integrated Water Resource Management (IWRM) approaches that remediate threats and root causes’.

The expected outcomes of the Project are:

- Capacity of ORASECOM strengthened to coordinate initiatives, national institutions and donors in a harmonized manner to effectively promote the implementation of IWRM principles in the basin.
- Trans-boundary issues analyzed through additional studies, immediate and root causes of priority trans-boundary issues identified, and the resulting more comprehensive TDA.
- Priority trans-boundary issues and basin-wide strategies to implement IWRM policies agreed through the endorsement of SAP and NAPs; sustainable financial arrangements agreed for SAP implementation.
- Stakeholder involvement in Project activities ensured; public awareness raised on trans-boundary issues in the basin.
- Ecosystem-based IWRM approaches encouraged and strengthened through the successful implementation of the demonstration projects.

### 3.2 Project components

The five expected outcomes are reflected in the five thematic components of the Project, a sixth component includes project management tasks.

- Institutional Strengthening of ORASECOM
- Trans-boundary Diagnostic Analysis
- Strategic Action Programme and National Action Plans
- Communications and Stakeholder Participation
- Demonstration Projects
- Project management

The Project’s results framework (Appendix A), breaks these five outcomes into sixteen outputs that collectively would enable the outcomes, and ascribes targets and verifiable indicators.

### ***Institutional Strengthening of ORASECOM***

Several Project activities shall strengthen the institutional capacity of ORASECOM.

With the design and implementation of a GIS based information system the Project wants to support the emerging knowledge based community, raise the awareness on issues of basin wide significance and/or trans-boundary concern, facilitate the work on the SAP and NAPs, and support ORASECOM's basin wide IWRM planning process. (Selective) web-access to spatial-time series data will allow data queries of interested stakeholders.

In support of the ORASECOM Task Teams, in particular the Technical Task Team, a Working Groups on Groundwater has been established, a Working Group on Water Quality Monitoring is under formation. The Project will support these Working Groups, as well as establishment of additional Working Groups as may be indicated. Thematic focus areas for these additional Working Groups could include: stakeholder participation; GIS/data sharing; Tb-EIA guidelines; and e-flows.

Notification and sharing of information among member States on projects likely to affect the shared watercourse system is required under the Revised SADC Protocol on Shared Watercourse Systems (2000) as well as the ORASECOM Agreement (article 5.2.8 under 'Functions of the Council' and article 7.5 under 'Obligations of the Parties'). The notification requirements are generally met by sharing Environmental Impact Assessments (EIA) reports. Currently these EIA follow the respective national legislation and are shared among the concerned member States. A common approach with guidelines and related procedures for Trans-boundary Environmental Impact Assessment (Tb-EIA) will be developed to further facilitate information sharing on issues of trans-boundary or basin wide concerns. The Tb-EIA guidelines will be specific to the Orange-Senqu River Basin, in compliance with the current or emerging environmental legislation of the member States and informed by international best practice.

Based on the needs assessment and capacity building proposal developed with French GEF support under the ORASECOM Programme and complementary to related efforts supported by other ICP the Project will undertake capacity development efforts for water resources practitioners. Thematic areas will follow requirements of ORASECOM and the work flow of the Project.

Project deliverables under this component are:

- GIS based information system, with web-access through the ORASECOM web page;
- Technical support to Working Groups, as required;
- Tb-EIA guidelines and related procedures;
- Capacity development, thematic areas to be determined.

### ***Trans-boundary Diagnostic Analysis***

In adopting the preliminary TDA in 2008 ORASECOM recognised some knowledge for which supplementary studies are warranted. These knowledge gaps are now addressed by the ICP supported projects under the ORASECOM Programme.

This Project will include work on the following:

- Review of heavy metals levels in the middle and lower Orange, relating to artisanal mining, with contaminant monitoring at selected sites.
- Assessment of Persistent Organic Pollutants levels throughout out the Basin.
- Yield assessment and demand forecasts for the Basin, building on work of the GTZ supported project, in particular on hydrology, modelling and climate change.

Project deliverables under this component are:

- Subject matter studies on the above knowledge gaps;
- Final TDA, format to be determined.

### ***Strategic Action Programme and National Action Plans***

At the heart of this Project is developing the Strategic Action Programme (SAP) and related National Action Plans (NAPs). The SAP and NAPs will correspond to the priorities identified by the member States, and will incorporate environmental protection targets and actions, as well as economic and social development objectives.

Respective institutional structures and processes at the catchment, national and basin wide levels will support this planning process, and assist the member States to harmonize their national IWRM policies and strategies in the Orange–Senqu River Basin. An iterative planning process with work on the SAP and the NAPs in parallel shall ensure consistency between national priority settings and the basin wide perspective.

The SAP and related NAPs will form part of ORASECOM's basin wide IWRM Plan. Further work, however, is required to define more clearly the planning process to be put in place for the basin wide IWRM Plan, relations to national IWRM Plans which are currently under way in some member States, the detailed scope of the basin wide IWRM Plan, and expected deliverables of the ICP supported projects. Together with the ORASECOM Secretariat the EU supported project has assumed the lead and proposed a series of Delphi-type workshops to further these discussions.

Project deliverables under this component are:

- SAP and NAPs;
- Implementation framework and support to resource mobilisation for SAP and NAPs implementation.

### ***Communications and Stakeholder Participation***

The active inclusion of a wide range of stakeholder groups in Project activities at all levels will be critical for the overall success. The member States are committed to meaningful participation in ORASECOM and basin wide planning. The Stakeholder Roadmap (2007) and the Proposal for Stakeholder Participation (2009) describe a pragmatic three step approach to stakeholder participation in basin wide planning. Some 15 existing participatory structures (catchment management forums/agencies) have been identified as entry points at national and catchment levels to raising awareness and interest in basin wide planning.

The Project will follow and further develop this path, by drafting of a Project specific Communications and Stakeholder Participation Plan early on.

Project deliverables under this component are:

- Project specific Communications and Stakeholder Participation Plan;
- Support to participatory structures at catchment and national levels from the Project onset, and at the basin level as seen appropriate at a later stage;
- Thematic campaigns and communication products, to ORASECOM and Project requirements, complying to ORASECOM formats.

### ***Demonstration Projects***

In parallel to the SAP development the Project will implement demonstration projects, exploring replicable solutions in three thematic areas:

- Environmental flows (e-flows);
- Water demand and quality management in the irrigation sector;
- Community-based rangeland management.

Under the GTZ supported project a scoping study will develop the basin wide methodology for setting of e-flows, select reference sites and apply the methodology at reference sites above the confluence of the Fish River. This Project will build on this work and develop and test e-flow methodologies in two particular settings:

- e-flows in non-perennial rivers, with the Fish River as study area, and participation of Namibia;
- e-flows in the estuary, with the Orange River Mouth as study area, and participation of Namibia and South Africa; this demonstration project will also interact with the UNDP-GEF supported Benguela Current Large Marine Ecosystem Strategic Action Programme.

High levels of water use, poor water efficiency, and poor water quality management of drainage effluents are key trans-boundary concerns to be addressed at pilot sites tentatively in Botswana, Namibia and South Africa. Starting from a review of current practices at the sites improved irrigation management shall be introduced and field tested. Work in similar thematic areas is currently conducted under the GTZ executed project.

Land degradation due to human activity is a critical trans-boundary concern in the Basin. Grazing on marginal grasslands in the drier parts of the Basin in Botswana and on steep slopes, especially in Lesotho causes irreversible degradation of the vegetation and large-scale erosion. Demonstration projects on improved rangeland management in Botswana and Lesotho shall explore community-based management approaches and produce replicable solutions. In Botswana this demonstration project shall focus on rangeland management versus land degradation and desertification, wildlife and biodiversity conservation issues, and sustainable groundwater use. In Lesotho the nexus between rangeland management and land degradation, in particular gully erosion will be explored.

## 4. Overview of the implementation process

### 4.1 Work plan

Recognising that the process of agreeing a basin-wide Strategic Action Programme and corresponding National Action Plans will require extensive deliberation and iteration, it appears essential to arrive at a draft SAP half way through the four-year Project. This decision predicated the timing of most other activities.

The detailed work plan as intended is given in Appendix B. The main features of this are as follows:

- |             |  |
|-------------|--|
| <b>2010</b> | <ul style="list-style-type: none"><li>• Mobilisation of Project team;</li><li>• Project inception, agreement reached on Project scope and approach;</li><li>• Launch of communications activities and stakeholder participation;</li><li>• Gap-filling studies for TDA;</li><li>• Start-up of Demonstration Projects.</li></ul>                            |
| <b>2011</b> | <ul style="list-style-type: none"><li>• Implementation of GIS-based Information Management System;</li><li>• Finalisation of TDA;</li><li>• Progressive establishment of an agreed basin-wide basin vision, quantitative and qualitative water resource objectives and targets;</li><li>• Prioritisation of interventions, leading to draft SAP.</li></ul> |
| <b>2012</b> | <ul style="list-style-type: none"><li>• Consolidation of SAP and related NAPs;</li><li>• Trans-boundary EIA guidelines.</li></ul>  |
| <b>2013</b> | <ul style="list-style-type: none"><li>• Finalisation of Demonstration Projects, synthesis of lessons learnt, plans for follow-on activities;</li><li>• Broad based agreement of member States on SAP and NAP implementation;</li><li>• Mobilisation of resources for SAP and NAP implementation.</li></ul>   |

### 4.2 Project management

It is proposed that some members of the Programme Strategy Committee, overseeing the implementation of the ORASECOM Programme, will also serve as members of the Steering Committee for the Project. Respective Terms of Reference are under development (TOR included in Appendix F).

Project management will follow the principles of adaptive management; monitoring and responding flexibly to changes in the operating environment within the framework of expected outcomes agreed by the member States, GEF requirements, the annual and overall Project budget and the other resource constraints.

The Project Coordination Unit (PCU) will provide the management structure for the implementation of the Project in accordance with UNOPS rules and procedures. The PCU, comprising the (full time) Project Manager, Scientific Officer and Admin and Finance Officer and the (part time) Communications and Participation Specialist shall be hosted at the ORASECOM Secretariat office in Pretoria, South Africa. The hosting arrangement has been agreed during the Project Appraisal Committee Meeting in June 2008.

National sub-units for the implementation of demonstration projects will be established as required. As much as possible these sub-units will be incorporated in existing management units of respective national government structures or ongoing related projects.

The ORASECOM Secretariat is currently housed in premises of the Department of Water Affairs of South Africa as a temporary arrangement. The office space available to the ORASECOM Secretariat is very limited. A move to new, independent and more spacious premises is under preparation but has been delayed. The Project would need to make its own arrangements for an autonomous Project office, should further substantial delays in establishing the independent ORASECOM Secretariat offices be foreseen. Costs for an autonomous Project office are neither budgeted nor eligible for GEF funding, and would curtail the implementation of selected Project activities.

### **4.3 Monitoring and evaluation**

The Project will conduct the monitoring and evaluation activities as required by the UNDP and GEF. Project progress in terms of achieving its objective will be measured against the results framework (Appendix A), while in terms of implementation will be measured against the work plan (Appendix B). The Project will furnish substantial progress report bi-annually prior to ORASECOM Council Meetings, while a brief quarterly report will be provided to UNOPS, UNDP and the ORASECOM Secretariat, mainly for the administrative purposes, as agreed at the first Project Steering Committee Meeting. A Project Implementation Review will be conducted annually, as per requirement from UNDP and GEF. The Project is subject to independent mid-term and final evaluations.

## 5. Operational budget

A break down of the operational budget by year and component is provided in Appendix D. The below table provides an overview:

	2009 USD	2010 USD	2011 USD	2012 USD	2013 USD	Total USD
1 Institutional Strengthening of ORASECOM	0	181,400	186,200	151,400	165,000	684,000
2 Trans-boundary Diagnostic Analysis	0	248,400	304,200	120,400	0	673,000
3 Strategic Action Programme and NAPs	0	36,000	184,000	288,600	177,400	686,000
4 Communication and Stakeholder Participation	0	143,500	161,000	211,000	181,000	696,500
5 Demonstration Projects	0	421,400	847,200	847,200	407,200	2,523,000
6 Project Management	44,788	151,140	157,520	117,520	147,520	618,488
<b>Sub-total Operational Project Budget</b>	<b>44,788</b>	<b>1,181,840</b>	<b>1,840,120</b>	<b>1,736,120</b>	<b>1,078,120</b>	<b>5,880,988</b>
UNOPS Facilities and Administration	3,135	82,729	128,808	121,528	75,468	411,669
<b>Total Project Budget</b>	<b>47,923</b>	<b>1,264,569</b>	<b>1,968,928</b>	<b>1,857,648</b>	<b>1,153,588</b>	<b>6,292,657</b>



## 6. Risks and risk management

The Project Document listed a number of perceived risks to achieving the success of the Project. The below table outlines how the activities foreseen under the Project address these concerns.

Risk risk management	Probability of occurrence	Potential impact
<p><b>1 ORASECOM as a trans-national institution</b></p> <p>The perceived risk is that ORASECOM becomes marginalised as a trans-national institution in favour of other bi-lateral bodies. This risk translates that notwithstanding the quality of the SAP and NAPs, investment will follow more narrowly focused, uni-lateral or bi-lateral strategies.</p> <p>High level political commitment to basin wide cooperation in water resource management is growing, as observed in the agreement to establish the ORASECOM. The high economic importance of the basin's water resources and the vulnerability of those resources to environmental degradation are well understood, and provide the impetus for further cooperation. However, procedures to implement the political commitment to basin wide cooperation on the ground are still in their infancy.</p> <p>The risk will be managed through multiple iterations of the SAP and NAPs development in order to harmonize basin wide strategies and national multi-sectoral objectives and commitments.</p>	low	high
<p><b>2 National provisions for IWRM</b></p> <p>The concerns here are that IWRM is yet to be fully integrated into national planning, that legal and institutional constraints may have to be overcome in some member States, and that technical capacity within each State may not be sufficient to implement programmes on an IWRM basis.</p> <p>All member States have, or are on the process of developing, water policy and legislation that reflects international trends in water management, particularly the implementation of the IWRM concept. Once all legislation is in place the four countries are, from a legal perspective, largely in the position to implement IWRM nationally while taking into account the obligations set forth by applicable international law. It needs to be acknowledged though that all member States, to different degrees, are faced with serious (human and financial) capacity constraints to effectively implement the applicable policies and laws in practice.</p> <p>The current information gaps to support IWRM planning at basin level are not insurmountable. Capacity development activities will target identified gaps. The SAP and NAP development process will assist the countries in building the capacities required for the IWRM implementation; thus in turn assisting them in meeting their IWRM commitments made in Johannesburg in 2002. The proposed work plan recognises that the SAP and NAPs need to be developed progressively, building up understanding step-by-step. Nevertheless, if significant constraints persist, they need to be reflected as the work proceeds.</p>	moderate	moderate
<p><b>3 Public participation</b></p> <p>The concern is that the Project could proceed without broad and effective engagement with a wide range of stakeholders, undercutting the confidence in and credibility of the SAP and related NAPs.</p> <p>The member States are committed to meaningful participation in ORASECOM and basin wide planning. The Stakeholder Roadmap (2007) and the Proposal for Stakeholder Participation (2009) describe a pragmatic step-wise approach to stakeholder participation in basin wide planning. Some 15 existing participatory structures / entry points have been identified at national and catchment levels to raising awareness and interest in basin wide planning.</p> <p>The Project will follow and further develop this path, by drafting of a Project specific Communications and Stakeholder Participation Plan early on. All respective Project activities will be under the guidance of a Communications and Participation Specialist in the PCU team.</p>	moderate	high

Risk Risk management	Probability of occurrence	Potential impact
<p>4 <b>From planning to implementation</b></p> <p>The concern is that 'things will actually get done'. This concern translates into two risks: (i) the degree of political commitment from member States towards basin wide planning and related national actions; and (ii) that there are insufficient resources made available by the member States and/or ICP to implement prioritised actions.</p> <p>Two activity lines address these concerns. Firstly, a review of national planning procedures early on and capacity development of national inter-sectoral planning committees will ensure that the SAP and NAP development is firmly embedded into the national procedures and objective settings and that national commitment is sustained. Secondly, ICP support will be mobilised through regular contacts to the participating ICP at coordination meetings and an ICP conference promoting the implementation of the SAP and NAPs.</p>	low	high
<p>5 <b>Sustainability of the knowledge base and assessment tools</b></p> <p>There is a concern that there are insufficient resources made available to ORASECOM to sustain the GIS based Information Management System and underlying data bases, the basin wide hydrological model, and other tools such as the Tb-EIA.</p> <p>Capacity to sustain these tools is indeed a problem. However, whether more training is a sustainable solution is questionable. Alternatives such as encouraging partnering with academic, governmental or commercial institutions need to be explored.</p> <p>Partnering with other, longer-established river basin organisations has proven beneficial for ORASECOM, ICP interest in supporting ORASECOM remains steady. It will be a prime task of the ORASECOM Secretariat to maintain these contacts and commitments. The Project in turn will support the Secretariat to maintain and strengthen their coordination and advocacy capacity.</p>	moderate	moderate
<p>6 <b>Interfaces with other projects under the ORASECOM Programme</b></p> <p>The importance of the interface between the Project and the other ICP supported projects under the ORASECOM Programme has been stressed and is seen as critical in a number of areas.</p> <p>The ORASECO Secretariat conducts regular Programme Management Meetings which fosters the integration of the outputs of all projects in the ORASECOM Programme. At this point, this mechanism functions very well and is supplemented by informal, transparent exchange between the projects on an ad-hoc basis. The Project will continue contributing to the effective coordination through these established means to keep this particular risk as low.</p>	low	moderate

## Appendices

*A Results framework and monitoring plan*

*B Work plan*

*C Linkages with other ICP supported projects*

*D Operational budget*

*E Results framework and monitoring plan –  
2010 targets*

*F Terms of Reference for the  
Project Steering Committee*

*G Inception Workshop, 18 March 2010*

## **Appendix A Result framework and monitoring plan**

	Output / indicator	Baseline and targets	Means of verification	Risks
<b>Goal:</b> The management of the Orange Senqu River Basin's trans-boundary water resources is improved through IWRM approaches that remediate threats and root causes.				
<b>Outcome 1:</b> Capacity of ORASECOM strengthened to coordinate initiatives, national institutions and donors in a harmonized manner to effectively promote the implementation of IWRM principles in the basin.	1.0 ORASECOM coordinates and integrates national, and ICP-supported initiatives implementing IWRM principles.	<p><b>Baseline:</b> ORASECOM was founded in 2000; a permanent Secretariat and several task teams were established in 2007. Several documents outline ORASECOM's governance, functions and the principles of its stakeholder engagement.</p> <p>The ORASECOM Programme currently coordinates and integrates 3 ICP supported projects.</p> <p><b>Mid-term:</b> ORASECOM governance processes functional.</p> <p><b>End of Project:</b> Results of ICP supported initiatives are integrated into an IWRM Plan for the basin.</p> <p>ORASECOM institution strengthened (GEF IW process indicator 6).</p> <p>Financial sustainability of ORASECOM (GEF IW process indicator 7).</p>	<p><b>Mid-term:</b> Minutes of coordination meetings and stakeholder forums.</p> <p><b>End of Project:</b> Scientific/technical contributions of member States and ICP-supported projects (document review).</p> <p>Structured interviews with ORASECOM commissioners on their appreciation of the effectiveness of ORASECOM (interviews).</p> <p>Financial contributions of member States, current portfolio of and pledges for ICP-supported projects (document review).</p>	<p>Insufficient commitment of member States to participate in ORASECOM governance.</p> <p>Member States cannot delegate sufficiently senior staff to ORASECOM governance, and/or senior staff cannot allocate sufficient attention to ORASECOM issues.</p>
	1.1 GIS-based Information Management System is functional.	<p><b>Baseline:</b> Currently, no unified mechanism for sharing information within the basin, and across sectors exists.</p> <p>A number of ongoing and planned initiatives address sharing of spatial data and information, but need to be coordinated.</p> <p><b>Mid-term:</b> Procedures for data provision by ORASECOM member States established.</p> <p>GIS based information system established.</p> <p>Procedures for metadata and QA/QA procedures established.</p> <p><b>End of Project:</b> GIS based information system is maintained by ORASECOM Secretariat.</p> <p>GIS based information system is utilized by a wide range of stakeholders.</p>	<p><b>Mid-term:</b> GIS information system application running. Web-based access functional (test application).</p> <p>Procedures for data provision and sharing documented (document review).</p> <p>Procedures for meta data and QS/QA are compliant to ISO standards and documented (document review).</p> <p><b>End of Project:</b> Evidence of ORASECOM assuming ownership over and maintaining the GIS information system (physical evidence at ORASECOM Secretariat).</p> <p>Statistics of data queries and structured interviews with selected users (analysis of statistics, interviews).</p>	<p>Member States not committed to data provision and sharing.</p> <p>Insufficient interest of stakeholders in GIS based information system.</p> <p>Technical limitations (slow internet speed, etc) compromise access of wider stakeholders.</p>
	1.2 Technical working	<b>Baseline:</b>	<b>Mid-term:</b>	Member States cannot

	<p>groups established.</p>	<p>ORASECOM has established three task teams, the Technical TT, the Legal TT and the Communications TT. The teams meet regularly. However, due to their other commitments senior staff of member States seconded to the TT cannot devote sufficient attention to the work of the TT. The Technical Task Team in particular is overwhelmed by the variety of specific technical issues. It may be useful to establish technical working groups under the TTT which would deal with specific issues, i.e. data and information sharing; water quality monitoring; Tb-EIA; e-flows; etc.</p> <p><b>Mid-term:</b> Requirements and institutional set-up for task teams and working groups clarified, technical working groups focusing on specific thematic issues established and functional.</p> <p><b>End of Project:</b> All important technical areas are covered by respective task teams and/or working groups.</p>	<p>Institutional set-up defined, TOR for task teams and working groups (document review).</p> <p>Participation of senior staff of member States and civil society Representatives/experts in task teams and working groups secured (list of participants, minutes of meetings).</p> <p><b>End of Project:</b> assessment of progress of deliberations for task teams and working groups (review of minutes, protocols, etc).</p>	<p>delegate sufficiently senior staff to ORASECOM task teams and working groups, and/or senior staff cannot allocate sufficient attention to their work at the task teams and working groups.</p> <p>Insufficient interest of civil society representatives/experts participate in technical working groups.</p>
	<p>1.3 Trans-boundary EIA guidelines prepared.</p>	<p><b>Baseline:</b> Sharing of information among member States on projects likely to affect the shared watercourse system is required under the Revised SADC Protocol on Shared Watercourse Systems (2000). EIAs of projects follow the national legislation.</p> <p><b>Mid-term:</b> Outline of Tb-EIA guidelines, following national legislation and international best practice.</p> <p>Member States agree on type and size of projects which require Tb-EIA.</p> <p><b>End of Project:</b> Tb-EIA guidelines drafted and adopted by ORASECOM.</p> <p>Procedures for conducting Tb-EIA agreed among member States.</p> <p>Pilot application of Tb-EIA.</p>	<p><b>Mid-term:</b> Outline (document review).</p> <p><b>End of Project:</b> Tb-EIA guidelines (document review).</p> <p>Procedures for Tb-EIA (document and minutes of adoption).</p> <p>Evidence of Tb-EIA being conducted for projects with trans-boundary or/and basin wide significance.</p>	<p>Insufficient commitment of all member States to conduct and share Tb-EIA for projects with trans-boundary or/and basin-wide significance.</p>

	<p>1.4 Capacity of water resources practitioners strengthened.</p>	<p><b>Baseline:</b> With the retirement of many senior professionals in the near future the technical capacities in IWRM are expected to seriously decline in all member States. Capacity erosion due to HIV/AIDS is anticipated to become a major problem. A comprehensive capacity needs assessment and capacity development plan was produced under a FGEF supported project. Several ICP funded initiatives address capacity building issues. However, a joint action plan is lacking.</p> <p><b>Mid-term:</b> Clear strategies for maintaining and strengthening water resource knowledge in government agencies in the short to medium terms. Respective ICP supported initiatives are coordinated. Capacity erosion due to HIV/AIDS is addressed in succession planning.</p> <p><b>End of Project:</b> Improved capacity of existing water resource practitioners in all basin countries in IWRM and increased recruitment of junior engineers/planners.</p>	<p><b>Mid-term:</b> Updated needs assessment, joint capacity development plan of all ICP supporting ORASECOM (document review). Evidence of capacity building activities (structured interviews with selected participants to gauge relevance and effectiveness of training sessions).</p> <p><b>End of Project:</b> Evidence of capacity building activities (structured interviews with selected participants to gauge relevance and effectiveness of training sessions). Evidence that the knowledge gap between senior and junior professionals narrows, and that capacity erosion due to HIV/AIDS is successfully countered (structured interviews with member States' line agencies).</p>	<p>Insufficient numbers of junior professionals attracted or retained to work with line agencies in member States. Insufficient capacity of senior professionals for effective on-the-job training of junior professionals.</p>
<p><b>Outcome 2:</b> Trans-boundary issues analyzed through additional studies, immediate and root causes of priority trans-boundary issues identified, and the resulting more comprehensive TDA.</p>	<p>2.0 Agreement of ORASECOM member States on trans-boundary priority concerns, impact and causes (GEF IW process indicator 1).</p>	<p><b>Baseline:</b> With the adoption of the preliminary TDA by ORASECOM a general agreement of member States on the priority issues was reached. However, a number of knowledge gaps remained. ICP-supported initiatives currently fill (some of) these knowledge gaps.</p> <p><b>Mid-term:</b> Principal agreement on major transboundary issues and prioritization is reached.</p> <p><b>End of Project:</b> TDA adopted by ORASECOM Council and provides a solid scientific basis for basin wide planning (SAP, NAP, IWRM Plan).</p>	<p><b>Mid-term:</b> Draft final TDA (document review). <b>End of Project:</b> Final TDA (document review). Status of member States' endorsement.</p>	<p>Member States uncommitted to endorse scientific findings and participate in prioritization of identified issues.</p>

	2.1 TDA gaps filled.	<p><b>Baseline:</b> When adopting the preliminary TDA ORASECOM identified the following knowledge gaps: impacts of (i) POP; (ii) artisanal mining; and (iii) climate change.</p> <p><b>Mid-term:</b> Baseline surveys conducted for POP and heavy metals.  Proposal for detailed study related to climate change.</p> <p><b>End of Project:</b> POP and heavy metals assessment and action (mitigation) plan.  Climate change scenarios developed based on downscaled models; detailed yield and demand forecasts developed for selected priority areas in the basin.</p>	<p><b>Mid-term:</b> Baseline surveys for POP and heavy metals (document review).</p> <p><b>End of Project:</b> POP and heavy metals assessment and action mitigation plan incorporated in final TDA (document review).  Climate change scenarios developed based on downscaled models; yield and demand forecasts developed for the basin, with higher resolution for selected priority areas (document review).</p>	<p>Research results of related studies of other ICP supported projects are not delivered in time / to quality requirements.</p> <p>Member States uncommitted to endorse scientific findings and participate in developing mitigation and adaptation measures.</p>
	2.2 TDA finalized.	<p><b>Baseline:</b> Preliminary TDA.</p> <p><b>Mid-term:</b> Causal chain analysis serves as precursor to SAP and NAP development.  In principle agreement on the priority trans-boundary problems in the basin, long list of possible interventions.</p> <p><b>End of Project:</b> Formal agreement on the priority trans-boundary problems and identification of short, to long term interventions to address them.  Pre-feasibility studies for priority actions.</p>	<p><b>Mid-term:</b> Causal chain analysis (document review).</p> <p><b>End of Project:</b> Pre-feasibility studies (document review).  Final TDA, and pre-feasibility studies (document review).</p>	<p>Member States uncommitted to endorse scientific findings and participate in prioritization of identified issues.</p>
	2.3 TDA widely disseminated.	<p><b>Baseline:</b> As evidenced in the initial stakeholder analysis awareness regarding priority trans-boundary issues in the basin is low.</p> <p><b>Mid-term:</b> Draft final TDA available.  Concept for related communication products, tailored to the needs of audience (i.e. full scientific report; executive summary, version for general public, river report card, media articles, IWLEARN).</p> <p><b>End of Project:</b> Final TDA and related communication products.</p>	<p><b>Mid-term:</b> Draft final TDA (document review).  Concept for communication products (document review).</p> <p><b>End of Project:</b> Communication products (review of products and distribution).</p>	<p>Member States uncommitted to endorse scientific findings and participate in prioritization of identified issues.</p>



<p><b>Outcome 3:</b> Priority trans-boundary issues and basin-wide strategies to implement IWRM policies agreed through the endorsement of SAP and NAPs; Sustainable financial arrangements agreed for SAP implementation.</p>	<p>3.0 Agreement of ORASECOM member States on governance reforms and investments to address priority trans-boundary concerns (GEF IW process indicator 2).</p>	<p><b>Baseline:</b> ORASECOM is committed to develop a basin wide IWRM Plan by 2012.</p> <p><b>Mid-term:</b> In principle agreement on</p> <p><b>End of Project:</b> SAP adopted at ministerial level in all ORASECOM member States. NAPs are developed and adopted in all ORASECOM member States.</p>	<p><b>Mid-term:</b> -</p> <p><b>End of Project:</b> SAP endorsed by member States (document review). NAPs consistent with SAP, adopted at national levels (document review). Structured interviews with ORASECOM commissioners to gauge member States commitment to implement SAP and NAPs (interviews). Structured interviews with selected participants of stakeholder forums on their perspective of the importance of their contributions to the SAP and NAPs (interviews). Financial commitments of member States for SAP and NAP implementation (budget allocations, document review).</p>	<p>Member States uncommitted to endorse SAP and/or NAP. Insufficient interest of stakeholders to participate in development of SAP and NAPs.</p>
	<p>3.1 Institutions supporting SAP and NAP processes established.</p>	<p><b>Baseline:</b> Comprehensive water legislation in place or in advanced development in all member States. Assistance is required in Namibia, Botswana and Lesotho to strengthen existing or establish new institutions. Mechanisms for cross-sectoral consultation and decision making require strengthening.</p> <p><b>Mid-term:</b> National planning procedures reviewed, national inter-sectoral committees set up. Basin wide and national SAP and NAP working groups established.</p> <p><b>End of Project:</b> Effective national inter-ministerial coordination for SAP and NAP (GEF IW process indicator 3). Basin wide and national working groups produce SAP and NAPs.</p>	<p><b>Mid-term:</b> Minutes of inter-sectoral committees (document review). Structured interviews with members on inter-sectoral committees (interviews). Workplan of SAP and NAP working groups. Structured interviews with selected SAP and NAP working group members to assess incremental progress in planning process (interviews). <b>End of Project:</b> Inter-sectoral committees and working groups finalized their inputs in SAP and NAPs.</p>	<p>Member States uncommitted to endorse SAP and/or NAP. Insufficient interest of stakeholders to participate in development of SAP and NAPs.</p>

	<p>3.2 SAP and NAP developed.</p>	<p><b>Baseline:</b> ORASECOM wishes to produce a IWRM Plan by 2012. However, the scope of the IWRM Plan, and the contributions of ICP supported projects remain to be clarified.</p> <p><b>Mid-term:</b> Concept and workplan for an IWRM Plan for the basin agreed upon by member States.</p> <p><b>End of Project:</b> Implementation arrangements and M&amp;E framework for SAP and NAP implementation clarified.</p>	<p><b>Mid-term:</b> Concept and workplan for IWRM Plan. Scope of SAP and NAPs clarified and agreed upon by member States.</p> <p><b>End of Project:</b> Advanced outline / draft of IWRM Plan (document review). SAP endorsed by member States (document review). NAPs consistent with SAP, adopted at national levels (document review). Workplan and M&amp;E framework for SAP and NAP implementation established (document review).</p>	<p>Insufficient commitment of member States to produce a joint SAP and related NAPs. Insufficient interest of stakeholders to participate in development of SAP and NAPs.</p>
	<p>3.3 Resources for SAP and NAP implementation mobilized.</p>	<p><b>Baseline:</b> 3 ICP supported projects are currently under the ORASECOM-led Environment Programme. Regular coordination meetings ensure information exchange and integration of results.  At the regional level, several ICP supported initiatives cooperate with SADC on IWRM related issues.  At the national level, bi-lateral ICP supported projects and NGO initiatives contribute to IWRM related issues.</p> <p><b>Mid-term:</b> -</p> <p><b>End of Project:</b> ICP conference mobilizes ICP funding commitments for SAP and NAP implementation</p>	<p><b>Mid-term:</b> -</p> <p><b>End of Project:</b> Minutes of ICP conference, pledges (document review). Structured interviews with selected ICP on their longer term cooperation strategies, and ICP alignment and harmonization (interviews).</p>	<p>Insufficient ICP support to SAP and NAP implementation, alignment and harmonization.</p>

<p><b>Outcome 4:</b> Stakeholder involvement in project activities ensured; Public awareness raised on trans-boundary issues in the basin</p>	<p>4.0 Basin stakeholders are involved in trans-boundary water resources management and planning (GEF IW process indicator 4).</p>	<p><b>Baseline:</b> The SADC Regional Water Policy (2007) provides (generic) guidance for effective stakeholder mobilization.  In 2007 ORASECOM has endorsed a roadmap for stakeholder engagement. Further work on stakeholder engagement is currently conducted with ICP support.</p> <p><b>Mid-term:</b> Communication and stakeholder engagement plan for the Project.  Stakeholder forums established and functional.</p> <p><b>End of Project:</b> Stakeholder significantly involved in SAP and NAP planning processes.</p>	<p><b>Mid-term:</b> Communication and stakeholder engagement plan (document review).  Minutes and participants lists of stakeholder forums (document review).  Structured interviews with selected participants (interviews).  <b>End of Project:</b> Structured interviews with selected forum participants on their perspective on the importance of their contributions (interviews).</p>	<p>Insufficient commitment of member States to engage with stakeholders.  Insufficient interest of civil society to participate in basin wide and national planning.</p>
	<p>4.1 Basin wide and national stakeholder forums established and functional.</p>	<p><b>Baseline:</b> Consultation and involvement of stakeholders in the basin is currently very limited. The ORASECOM roadmap for stakeholder engagement includes the establishment of a basin wide stakeholder forum and national stakeholders forums.  In RSA as part of the national water strategy Catchment Management Agencies are being established, but implementation is slow.  In Namibia a River Basin Council has been established on the Fish River.</p> <p><b>Mid-term:</b> Basin wide stakeholder forum established and functional.  River Basin Organisations (Catchment Management Forums/Agencies in RSA) functioning in one or more trans-boundary sub-basins, including a non-perennial river basin.</p> <p><b>End of Project:</b> Basin wide and national stakeholder forums, and sub-basin councils functioning.</p>	<p><b>Mid-term:</b> Stakeholder involvement plan (document review).  Minutes and participants lists of basin wide stakeholder forums, structured interviews with selected participants (document review, interviews)  Structured interviews with selected participants of sub-basin level River Basin organizations (interviews).  <b>End of Project:</b> Structured interviews with selected forum participants on their perspective on the importance of their contributions (interviews).</p>	<p>Insufficient commitment of member States to engage with stakeholders.  Insufficient interest of civil society to participate in basin wide, national and sub-basin level planning.</p>

	<p>4.2 Awareness on water conservation raised.</p>	<p><b>Baseline:</b> Current level of awareness of water conservation is stakeholder group specific and sectorally focused. There are national water conservation campaigns in most countries but it is unclear what impact these are having on water consumption. Domestic consumption levels are high and are predicted to rise. However, this represents only a small proportion of demand with large demand in the irrigation and industry, particularly mining, sectors. The impact of climate change on demand is not yet been assessed although work has been done to assess impacts on resource yields.</p> <p><b>Mid-term:</b> -</p> <p><b>End of Project:</b> Increased awareness of stakeholders in water conservation measures and adaptation to climate change impacts.</p>	<p><b>Mid-term:</b> -</p> <p><b>End of Project:</b> Campaign strategy and materials (document review). Structured interviews with selected stakeholders, in particular in demonstration project areas to gauge perceptions and effectiveness of campaigns (interviews).</p>	<p>Insufficient commitment of member States to address inefficient use of water in the basin. Insufficient interest of civil society in water conservation issues.</p>
	<p>4.3 Educational and social marketing campaign materials produced.</p>	<p><b>Baseline:</b> With ICP support ORASECOM recently produced a River Awareness Kit. This e-learning tool covers the physical and human geography of the basin, water governance, and strategies for meeting future demands.</p> <p><b>Mid-term:</b> Potential cooperation with educational institutions and NGOs explored.</p> <p><b>End of Project:</b> Primary and secondary education curriculum materials produced for schools in member States. Book on environment and development of the basin.</p>	<p><b>Mid-term:</b> Campaign strategy (document review). <b>End of Project:</b> Campaign materials (document review). Structured interviews with selected stakeholders to gauge perceptions and effectiveness of campaigns (interviews).</p>	

Outcome 5:	5.1 Ecological flows set for Fish River and Orange Mouth.	<p><b>Baseline:</b> Although the current e-flows regime set in the 1990ies on the Orange River is respected, it does not appear to be adequate. The Orange Mouth and the associated RAMSAR site are seriously degraded.</p> <p>There are no procedures for e-flows in non-perennial rivers.</p> <p><b>Mid-term:</b> Methodology for e-flows setting in the Orange Mouth and the Fish River proposed.</p> <p><b>End of Project:</b> Agreement on methodology for setting e-flows in non-perennial rivers and the estuary. New protocol on basin wide e-flows agreed upon by member States (GEF IW process indicator 5).</p> <p>Setting of new e-flows provides additional protection to the Orange Mouth (GEF IW stress reduction indicator 8).</p>	<p><b>Mid-term:</b> Review of proposed methodology (document review).</p> <p><b>End of Project:</b> Documented methodology for e-flows setting in the Orange Mouth and the Fish River (document review).</p> <p>Review of proposed new e-flows regime (document review).</p> <p>New basin wide e-flows protocol (document review).</p> <p>Documented quantified stress reduction through new e-flows regimes in the Fish River and Orange mouth using a multi variate approach (analysis of monitoring data).</p>	Member States not sufficiently committed to review current e-flows regime.
	5.2 Water use efficiency improved at trans-boundary pilot sites.	<p><b>Baseline:</b> Irrigation is one of the major consumptive water uses in the basin, demand is predicted to grow significantly with new developments planned in Botswana and Namibia.</p> <p>Significant water savings could be made with improvements in infrastructure, scheduling and tariffs. The value of water is not appreciated, low value crops are being irrigated in many areas.</p> <p><b>Mid-term:</b> Sites with conducive conditions selected.</p> <p>Action plan for improvements supported by stakeholder.</p> <p><b>End of Project:</b> Demonstration project pilots water conservation and productivity increases.</p> <p>Replicability strategy for other areas in the basin.</p> <p>Measurable reduction of water use (GEF IW stress reduction indicator 8).</p>	<p><b>Mid-term:</b> Structured interviews with farmers participating at demonstration sites gauging their interest in adopting new practices and their willingness to reduce their overall water consumption (interviews).</p> <p><b>End of Project:</b> Quantification of stress reduction (% water use reduction).</p> <p>Lessons learnt (document review).</p> <p>Structured interviews with farmers participating at demonstration sites gauging replicability of piloted approaches in other areas of the basin (interviews).</p>	<p>No suitable demonstration sites can be identified.</p> <p>Farmers have no incentive to reduce their overall water consumption.</p> <p>Farmers are not sufficiently interested to adopt new practices and invest in improving infrastructure.</p>

	<p>5.3 Community-based rangeland management stopped land degradation at demonstration sites.</p>	<p><b>Baseline:</b> In Botswana traditional livestock rearing requires large expanses of land. This form of land use conflicts with wildlife conservation. Botswana has an emerging number of community inputs into rangeland management through the Community Based Natural Resources Management Policy. In Lesotho access to land is unrestricted. As a consequence, the grasslands of Lesotho deteriorate at an alarming rate due to unsustainable grazing practices. Lesotho has established Range Management Areas in which grazing rights have been restricted to members of Grazing Associations. <b>Mid-term:</b> Sites with conducive conditions selected. Action plan for community based rangeland management supported by stakeholder. <b>End of Project:</b> Demonstration project pilots sustainable rangeland management through community based approaches. Alternative income sources identified and reduce pressure on fragile environment. Replicability strategy for other areas in the basin. Measurable reduction of land degradation (abundance and diversity of wildlife, land cover, erosion; GEF IW stress reduction indicator 8).</p>	<p><b>Mid-term:</b> Structured interviews with local communities participating at demonstration sites gauging their interest and constraints in adopting community based management approaches to reduce land degradation (interviews). <b>End of Project:</b> Quantification of stress reduction (% reduction of degraded areas). Lessons learnt (document review). Structured interviews with local communities and local government representatives participating at demonstration sites gauging replicability of piloted approaches in other areas of the basin (interviews).</p>	<p>Member State structures not conducive for piloting community based approaches. No suitable demonstration sites can be identified. Local communities are not sufficiently interested to apply community led management practices.</p>
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## Appendix B Work plan

*This Appendix illustrates the timing and duration of activities.*

*Note: dark shading indicates intensive activity level; light shading indicates intermittent activity level.*

## Work plan

Components / Expected Outcomes Outputs Activities	2010	2011	2012	2013
<p><b>1 Institutional Strengthening of ORASECOM</b></p> <p><b>1.1 GIS-based Information Management System is functional</b></p> <p>1.1.1 Conceptualise and implement GIS-Portal</p> <p>1.1.2 Collate and audit data holdings</p> <p>1.1.2 Provide application training and support</p> <p><b>1.2 Technical Working Groups established</b></p> <p>1.2.1 Support Communications, Legal and Technical Task Teams</p> <p>1.2.2 Establish and support technical working groups (i.e. on GIS/data sharing, water quality monitoring, Tb-EIA guidelines, e-flows)</p> <p><b>1.3 Transboundary EIA guidelines and procedures prepared</b></p> <p>1.3.1 Review national legal frameworks, international best practice and regional requirements</p> <p>1.3.2 Draft and negotiate transboundary EIA guidelines and procedures</p> <p><b>1.4 Capacity of Water Resources Practitioners strengthened</b></p> <p>1.4.1 Conduct training courses in support of other activities, thematic areas to be determined</p>				
<p><b>2 Transboundary Diagnostic Analysis</b></p> <p><b>2.1 Knowledge Gaps in preliminary TDA filled</b></p> <p>2.1.1 Analyse gaps in the preliminary TDA</p> <p>2.1.2 Review impact of artisanal mining on the middle and lower Orange River</p> <p>2.1.3 Assess levels of POP in the Orange-Senqu River Basin</p> <p>2.1.4 Forecast water demand in the Orange-Senqu River Basin in the medium to long term taking into account climate change</p> <p>2.1.5 Review of water resource yields (GW and SW), taking into account climate change</p> <p><b>2.2 TDA revised</b></p> <p>2.2.1 Conduct detailed causal chain analysis and draw causal loop diagrams</p> <p>2.2.2 Identify short, medium and long term interventions</p> <p>2.2.3 Conduct pre-feasibility studies of priority interventions</p> <p><b>2.3 TDA disseminated</b></p> <p>2.3.1 Present final TDA to stakeholders, related projects and GEF IW community</p>				



Components / Expected Outcomes Outputs Activities	2010	2011	2012	2013
<b>3 Strategic Action Programme and National Action Plans</b> <b>3.1 Support institutions for SAP and NAP development established and strengthened</b> 3.1.1 Review national planning procedures 3.1.2 Establish national inter-sectoral committees 3.1.3 Establish basin-wide working group for SAP formulation 3.1.4 Establish national working groups for NAP formulation <b>3.2 SAP and NAPs developed</b> 3.2.1 Confirm basin vision and water resources quality objectives 3.2.2 Develop draft SAP including targets and interventions 3.2.3 Develop draft NAPs 3.2.4 Revise SAP in line with NAPs 3.2.5 Finalise and secure endorsement of NAPs 3.2.6 Develop M&E framework for SAP implementation 3.2.7 Finalise and secure endorsement of SAP 3.2.8 Disseminate SAP and NAPs <b>3.3 Resources for SAP and NAP implementation mobilised</b> 3.3.1 Organise an ORASECOM donors conference to mobilise funding for SAP and NAP implementation 3.3.2 Establish formal commitments for SAP and NAP implementation through memorandums/agreements				
<b>4 Communications and Stakeholder Participation</b> <b>4.1 Basin-wide Stakeholder Forum and National Forums supported</b> 4.1.1 Draft Communications and Stakeholder Engagement Plan 4.1.2 Organise basin-wide stakeholder forum 4.1.3 Organise national stakeholder forums <b>4.2 Awareness on water conservation issues raised</b> 4.2.1 Campaign strategy 4.2.2 Water conservation campaign <b>4.3 Education and social marketing campaign conducted</b> 4.3.1 Campaign strategy 4.3.2 Produce primary and secondary education materials for schools 4.3.3 Produce book on environment and development of the Orange-Senqu River Basin				

Components / Expected Outcomes Outputs Activities	Year			
	2010	2011	2012	2013
<b>5 Demonstration Projects</b>				
<b>5.1 Demonstration project on environmental flows implemented</b>				
5.1.1 Develop project plan, review scientific literature, select appropriate methodologies, conduct preliminary assessment	Full time activity			
5.1.2 Delineate study area and select scenarios, collect bio-physical data	Full time activity			
5.1.3 Identify relevant stakeholders and establish consultation mechanism	Full time activity			
5.1.4 Study socio-economic impacts of scenarios	Full time activity			
5.1.5 Assess flow and non-flow related impacts	Full time activity			
5.1.6 Prepare environmental flows summary report and long-term monitoring programme	Full time activity			
<b>5.2 Demonstration project on water conservation in the irrigation sector implemented</b>				
5.2.1 Develop project plan, select demonstration sites, review best practice in water management in the irrigation sector	Full time activity			
5.2.2 Establish stakeholder advisory forum, and water user associations	Full time activity			
5.2.3 Conduct baseline assessment at demonstration sites (water usage, irrigation infrastructure, discharge water quality, economics)	Full time activity			
5.2.4 Design and implement improved water management measures (scheduling, metering, tariffs)	Full time activity			
5.2.5 Design and conduct training with stakeholders	Full time activity			
5.2.6 Promote adaptive management and learning (monitoring of implementation, documentation of results, replication strategy)	Full time activity			
<b>5.3 Demonstration project on community-led rangeland management implemented</b>				
5.3.1 Develop project plan, select demonstration sites, review lessons and best practice in community based rangeland management	Full time activity			
5.3.2 Conduct baseline assessment at demonstration sites	Full time activity			
5.3.3 Form community land management committees	Full time activity			
5.3.4 Develop management plan based on best practice, and long-term monitoring plan	Full time activity			
5.3.5 Implement management plan	Full time activity			
5.3.6 Promote adaptive management and learning (monitoring of implementation, documentation of results, replication strategy)	Full time activity			
<b>6 Project Management</b>				
<b>6.1 Project Coordination Unit</b>				
6.1.1 Mobilise PCU team	Full time activity			
6.1.2 Establish and operate PCU office	Full time activity			
<b>6.2 Coordination within ORASECOM Programme and with related initiatives</b>				
6.2.1 Attend ORASECOM Programme Coordination meetings	Full time activity			
6.2.2 Attend ORASECOM Programme Strategy Committee meetings	Full time activity			
<b>6.3 Monitoring, reporting and evaluation</b>				
6.3.1 Inception workshop and report	Part time activity			
6.3.2 Monitoring and progress reporting	Part time activity			
6.3.3 Mid-term and end-of-project evaluation	Part time activity			

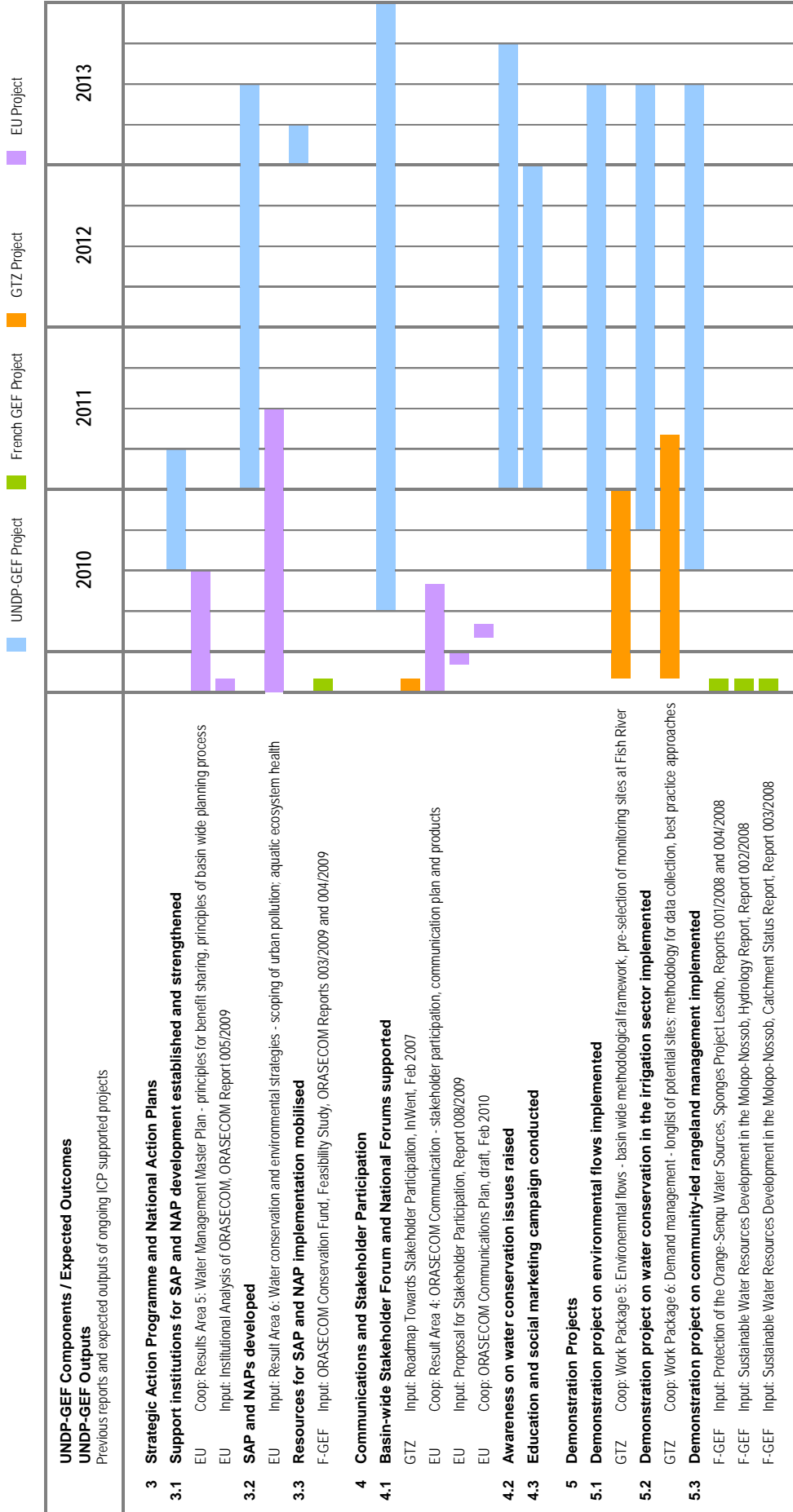
## **Appendix C Linkages with other ICP supported projects**

*This Appendix illustrates the interfaces of the Project with the other ICP supported projects under the ORASECOM Programme.*

## Linkages with other ICP projects under the ORASECOM Programme

UNDP-GEF Project      French GEF Project      GTZ Project      EU Project

	2010	2011	2012	2013
<b>UNDP-GEF Components / Expected Outcomes</b>				
<b>UNDP-GEF Outputs</b> Previous reports and expected outputs of ongoing ICP supported projects				
<b>1 Institutional Strengthening of ORASECOM</b>				
<b>1.1 GIS-based Information Management System is functional</b>				
GTZ Input: Review of Surface Hydrology in the Orange River Catchment, Report 002/2007				
GTZ Input: Review of Groundwater Resources in the Orange River Catchment, Report 004/2007				
EU Coop: Water Quality Database and Report, documenting joint baseline survey				
GTZ Input: Work Package 2: Hydrology - update of hydromet database, concept for water information system, data collection and sharing				
GTZ Input: Work Package 3: Water Quality Management - water quality baseline monitoring				
GTZ Input: Work Package 6: Demand Management - spatial databases on land cover / use, geology, soils, ecology and environment, etc.				
EU Coop: Result Area 3: Shared Information System - water quality parameters, QC/OA procedures for water quality				
<b>1.2 Technical Working Groups established</b>				
EU Coop: Result Area 3: Shared Information System - working group on water quality				
<b>1.3 Transboundary EIA guidelines and procedures prepared</b>				
<b>1.4 Capacity of Water Resources Practitioners strengthened</b>				
F-GEF Input: ORASECOM Capacity Building Programme, ORASECOM Report 001/2009				
EU Coop: Result Area 2: Capacity Building - training modules				
<b>2 Transboundary Diagnostic Analysis</b>				
<b>2.1 Knowledge Gaps in preliminary TDA filled</b>				
GTZ Input: Environmental Considerations Pertaining to the Orange River, Report 005/2007				
GTZ Input: Summary of Water Requirements from the Orange River, Report 006/2007				
GTZ Input: Water Quality in the Orange River, Report 007/2007				
GTZ Input: Demographic and Economic Activity in the four Orange Basin States, Report 008/2007				
GTZ Input: Institutional Structures in the four Orange Basin States, Report 010/2007				
GTZ Input: Legislation and Legal Issues Surrounding the Orange River Catchment, Report 011/2007				
EU Input: Aquatic Ecosystem Health Monitoring Programme, Report 009/2009				
EU Input: Framework for Monitoring Water Resource Quality, draft, Nov 2009				
EU Coop: TOR for Joint Water quality Baseline Survey, draft, Jan 2010				
GTZ Input: Work Package 3: Water Quality Management Plan, Draft WQ Protocol, Jan 2010????				
EU Coop: Water Quality Database and Report, documenting joint baseline survey				
GTZ Coop: Work Package 1: Modelling - extension of models, to be used for yield and demand forecasts under UNDP-GEF				
GTZ Coop: Work Package 4: Climate Change - downscaling, to be used for yield and demand forecast; detailed downscaling for sub-basin				
<b>2.2 TDA revised</b>				
<b>2.3 TDA disseminated</b>				



Input: to be taken up in further work of UNDP-GEF Project  
Coop: Cooperation between projects, to produce joint or complementary outputs

## Appendix D Operational budget

*This Appendix sets out the budget allocations associated with implementing the Project as described in this Inception Report.*

## Operational Budget Summary

Award ID: **56936**  
Award Title: **PIMS 3243, FSP IW: Orange-Senqu - Strategic Action Programme**  
Business Unit: **ZAF10**  
Project Title: **Development and Adoption of a Strategic Action Programme for Balancing Water Uses and Sustainable Natural Resource Management in the Orange Senqu River Basin (PIMS 3243)**  
Project ID: **70094**  
Executing Agency: **UNOPS**

GEF outcomes / ATLAS activities	Executing agency	Fund ID	Donor Name	ATLAS budget	ATLAS budget description	2009 (USD)	2010 (USD)	2011 (USD)	2012 (USD)	2013 (USD)	Total (USD)	Note
<b>1 - Institutional Strengthening of ORASECOM</b>	UNOPS	62000	GEF	71400	Contractual Services - Individuals (PCU)	0	83,400	81,200	65,400	97,000	327,000	1
				71300	International / regional / national Consultants	0	48,000	75,000	66,000	48,000	237,000	2
				72800	IT Equipment	0	40,000	20,000	10,000	10,000	80,000	3
				71600	Travel	0	10,000	10,000	10,000	10,000	40,000	4
				<b>Sub-total Outcome 1</b>					<b>0</b>	<b>181,400</b>	<b>186,200</b>	<b>151,400</b>
<b>2 - Transboundary Diagnostic Analysis</b>	UNOPS	62000	GEF	71400	Contractual Services - Individuals (PCU)	0	83,400	99,200	65,400	0	248,000	5
				71300	International / regional / national Consultants	0	75,000	75,000	0	0	150,000	6
				72100	Contractual Services - Companies	0	75,000	115,000	30,000	0	220,000	7
				74200	Audio Visual and Printing Production Costs	0	0	0	25,000	0	25,000	8
				71600	Travel	0	15,000	15,000	0	0	30,000	9
<b>Sub-total Outcome 2</b>					<b>0</b>	<b>248,400</b>	<b>304,200</b>	<b>120,400</b>	<b>0</b>	<b>673,000</b>		
<b>3 - Strategic Action Programme and National Action Plans</b>	UNOPS	62000	GEF	71400	Contractual Services - Individuals (PCU)	0	36,000	54,000	103,600	137,400	331,000	10
				71300	International / regional / national Consultants	0	0	90,000	120,000	0	210,000	11
				72100	Contractual Services - Companies	0	0	25,000	50,000	0	75,000	
				74200	Audio Visual and Printing Production Costs	0	0	0	0	25,000	25,000	12
				71600	Travel	0	0	15,000	15,000	15,000	45,000	13
<b>Sub-total Outcome 3</b>					<b>0</b>	<b>36,000</b>	<b>184,000</b>	<b>288,600</b>	<b>177,400</b>	<b>686,000</b>		
<b>4 - Communications and Stakeholder Participation</b>	UNOPS	62000	GEF	71400	Contractual Services - Individuals (PCU)	0	37,500	25,000	25,000	25,000	112,500	14
				71300	International / regional / national Consultants	0	36,000	36,000	36,000	56,000	164,000	15
				72100	Contractual Services - Companies	0	0	0	50,000	0	50,000	
				74200	Audio Visual and Printing Production Costs	0	40,000	50,000	50,000	50,000	190,000	16
				71600	Travel	0	30,000	50,000	50,000	50,000	180,000	17
<b>Sub-total Outcome 4</b>					<b>0</b>	<b>143,500</b>	<b>161,000</b>	<b>211,000</b>	<b>181,000</b>	<b>696,500</b>		
<b>5 - Demonstration Projects</b>	UNOPS	62000	GEF	71400	Contractual Services - Individuals (PCU)	0	101,400	117,200	117,200	117,200	453,000	18
				72100	Contractual Services - Companies	0	300,000	700,000	700,000	250,000	1,950,000	19
				74200	Audio Visual and Printing Production Costs	0	0	10,000	10,000	20,000	40,000	20
				71600	Travel	0	20,000	20,000	20,000	20,000	80,000	21
<b>Sub-total Outcome 5</b>					<b>0</b>	<b>421,400</b>	<b>847,200</b>	<b>847,200</b>	<b>407,200</b>	<b>2,523,000</b>		
<b>6 - Project Management</b>	UNOPS	62000	GEF	71400	Contractual Services - Individuals (PCU)	28,756	85,140	95,520	95,520	95,520	400,456	22
				71300	International / regional / national Consultants	0	0	30,000	0	30,000	60,000	23
				71600	Travel	15,265	20,000	20,000	10,000	10,000	75,265	24
				72200	Equipment	0	36,000	2,000	2,000	2,000	42,000	25
				72500	Supplies	619	5,000	5,000	5,000	5,000	20,619	26
				72400	Communications	148	5,000	5,000	5,000	5,000	20,148	27
				<b>Sub-total Project Management</b>					<b>44,788</b>	<b>151,140</b>	<b>157,520</b>	<b>117,520</b>
<b>Total Operational Budget</b>					<b>44,788</b>	<b>1,181,840</b>	<b>1,840,120</b>	<b>1,736,120</b>	<b>1,078,120</b>	<b>5,880,988</b>		
UNOPS Facilities and Administration					3,135	82,729	128,808	121,528	75,468	411,669		
<b>Total Project Budget</b>					<b>47,923</b>	<b>1,264,569</b>	<b>1,968,928</b>	<b>1,857,648</b>	<b>1,153,588</b>	<b>6,292,657</b>		

## **Appendix E Results framework and monitoring plan – 2010 targets**

*This Appendix describes  
expected results and verifiable  
indicators for 2010.*



	Output / indicator	Baseline and targets 2010	Means of verification	Outcomes 2010
<b>Goal:</b> The management of the Orange Senqu River Basin's trans-boundary water resources is improved through IWRM approaches that remediate threats and root causes.				
<b>Outcome 1:</b> Capacity of ORASECOM strengthened to coordinate initiatives, national institutions and donors in a harmonized manner to effectively promote the implementation of IWRM principles in the basin.	1.0 ORASECOM coordinates and integrates national, and ICP-supported initiatives implementing IWRM principles.	<p><b>Baseline:</b> ORASECOM was founded in 2000; a permanent Secretariat and several task teams were established in 2007. Several documents outline ORASECOM's governance, functions and the principles of its stakeholder engagement.</p> <p>The ORASECOM Programme currently coordinates and integrates 3 ICP supported projects.</p> <p><b>2010:</b> -</p>	<p><b>2010:</b> -</p>	
	1.1 GIS-based Information Management System is functional.	<p><b>Baseline:</b> Currently, no unified mechanism for sharing information within the basin, and across sectors exists. Access to data remains restricted to selected users and information is not synthesized / analysed in an integrated manner.</p> <p>A number of ongoing and planned initiatives address sharing of spatial data and information, but need to be coordinated.</p> <p><b>2010:</b> Concept for GIS Portal developed and agreed by ORASECOM Secretariat.</p>	<p><b>2010:</b> Concept for GIS Portal (document review).</p>	

	<p>1.2 Technical working groups established.</p>	<p><b>Baseline:</b> ORASECOM has established three task teams, the Technical TT, the Legal TT and the Communications TT. The teams meet regularly. However, due to their other commitments senior staff of member States seconded to the TT cannot devote sufficient attention to the work of the TT. The Technical Task Team in particular is overwhelmed by the variety of specific technical issues. It may be useful to establish technical working groups under the TTT which would deal with specific issues, i.e. data and information sharing; water quality monitoring; Tb-EIA; e-flows; etc.</p> <p><b>2010:</b> Concept of technical working groups clarified with ORASECOM Secretariat. Working groups on selected technical subjects established.</p>	<p><b>2010:</b> Institutional set-up defined, TOR for working groups (document review).</p>	
	<p>1.3 Trans-boundary EIA guidelines prepared.</p>	<p><b>Baseline:</b> Sharing of information among member States on projects likely to affect the shared watercourse system is required under the Revised SADC Protocol on Shared Watercourse Systems (2000). EIAs of projects with trans-boundary or/and basin wide implications follow the respective national legislation.</p> <p><b>2010:</b> -</p>	<p><b>2010:</b> -</p>	

	<p>1.4 Capacity of water resources practitioners strengthened.</p>	<p><b>Baseline:</b> With the retirement of many senior professionals in the near future the technical capacities in IWRM are expected to seriously decline in all member States.</p> <p>Capacity erosion due to HIV/AIDS is anticipated to become a major problem.</p> <p>A comprehensive capacity needs assessment and capacity development plan was produced under a FGEF supported project. Several ICP funded initiatives address capacity building issues. However, a joint action plan is lacking.</p> <p><b>2010:</b> Several training sessions supporting thematic work.</p> <p>Capacity building work plan coordinated with other ICP.</p>	<p><b>2010:</b> Work plan for training sessions 2010/2011 (document review).</p> <p>Evidence of training sessions conducted (curriculum review, attendance list).</p>	
<p><b>Outcome 2:</b> Trans-boundary issues analyzed through additional studies, immediate and root causes of priority trans-boundary issues identified, and the resulting more comprehensive TDA.</p>	<p>2.0 Agreement of ORASECOM member States on trans-boundary priority concerns, impact and causes (GEF IW process indicator 1).</p>	<p><b>Baseline:</b> With the adoption of the preliminary TDA by ORASECOM in 2008 a general agreement of member States on the priority issues relating to trans-boundary water resources management was reached. However, a number of knowledge gaps remained. ICP-supported initiatives currently fill (some of) these knowledge gaps.</p> <p><b>2010:</b> Gap analysis documented. Work plan for and start-up of gap filling activities.</p>	<p><b>2010:</b> Work plan for and start-up of gap filling activities (document review).</p>	
	<p>2.1 TDA gaps filled.</p>	<p><b>Baseline:</b> When adopting the preliminary TDA ORASECOM identified the following knowledge gaps: impacts of (i) POP; (ii) artisanal mining; and (iii) climate change.</p> <p><b>2010:</b> Baseline surveys on POPs and heavy metals under way.</p>	<p><b>2010:</b> Work plan and field reports from baseline surveys (document review).</p>	

	2.2 TDA finalized.	<b>Baseline:</b> Preliminary TDA.  <b>2010:</b> -	<b>2010:</b> -	
	2.3 TDA widely disseminated.	<b>Baseline:</b> As evidenced in the initial stakeholder analysis awareness regarding priority trans-boundary issues in the basin is low.  <b>2010:</b> -	<b>2010:</b> -	
<b>Outcome 3:</b> Priority trans-boundary issues and basin-wide strategies to implement IWRM policies agreed through the endorsement of SAP and NAPs; Sustainable financial arrangements agreed for SAP implementation.	3.0 Agreement of ORASECOM member States on governance reforms and investments to address priority trans-boundary concerns (GEF IW process indicator 2).	<b>Baseline:</b> ORASECOM is committed to develop a basin wide IWRM Plan by 2012.  <b>2010:</b> -	<b>2010:</b> -	
	3.1 Institutions supporting SAP and NAP processes established.	<b>Baseline:</b> Comprehensive water legislation in place or in advanced development in all member States. Assistance is required in Namibia, Botswana and Lesotho to strengthen existing or establish new institutions. Mechanisms for cross-sectoral consultation and decision making require strengthening.  <b>2010:</b> Inter-sectoral committees set up at national level.	<b>2010:</b> Participants lists of inter-sectoral committees (document review).	
	3.2 SAP and NAP developed.	<b>Baseline:</b> ORASECOM wishes to produce a IWRM Plan by 2012. However, the scope of the IWRM Plan, and the contributions of ICP supported projects remain to be clarified.  <b>2010:</b> -	<b>2010:</b> -	

	3.3 Resources for SAP and NAP implementation mobilized.	<p><b>Baseline:</b> 3 ICP supported projects are currently under the ORASECOM-led Environment Programme. Regular coordination meetings ensure information exchange and integration of results.</p> <p>At the regional level, several ICP supported initiatives cooperate with SADC on IWRM related issues.</p> <p>At the national level, bi-lateral ICP supported projects and NGO initiatives contribute to IWRM related issues.</p> <p><b>2010:</b> -</p>	<p><b>2010:</b> -</p>	
<p><b>Outcome 4:</b> Stakeholder involvement in project activities ensured; Public awareness raised on trans-boundary issues in the basin</p>	4.0 Basin stakeholders are involved in trans-boundary water resources management and planning (GEF IW process indicator 4).	<p><b>Baseline:</b> The SADC Regional Water Policy (2007) provides (generic) guidance for effective stakeholder mobilization.</p> <p>In 2007 ORASECOM has endorsed a roadmap for stakeholder engagement. Further work on stakeholder engagement is currently conducted with ICP support.</p> <p><b>2010:</b> Communication and stakeholder engagement plan for the Project.</p> <p>Stakeholder forums established.</p>	<p><b>2010:</b> Communication and stakeholder engagement plan (document review).</p> <p>Participants lists of stakeholder forums (document review).</p>	

	<p>4.1 Basin wide and national stakeholder forums established and functional.</p>	<p><b>Baseline:</b> Consultation and involvement of stakeholders in the basin is currently very limited. The ORASECOM roadmap for stakeholder engagement includes the establishment of a basin wide stakeholder forum and national stakeholders forums.</p> <p>In RSA as part of the national water strategy Catchment Management Agencies are being established, but implementation is slow.</p> <p>In Namibia a River Basin Council has been establish on the Fish River.</p> <p><b>2010:</b> Communication and stakeholder engagement plan for the Project.</p>	<p><b>2010:</b> Communication and stakeholder engagement plan (document review).</p>	
	<p>4.2 Awareness on water conservation raised.</p>	<p><b>Baseline:</b> Current level of awareness of water conservation is stakeholder group specific and sector focused. There are national water conservation campaigns in most countries but it is unclear what impact these are having on water consumption. Domestic consumption levels are high and are predicted to rise. However, this represents only a small proportion of demand with large demand in the irrigation and industry, particularly mining, sectors. The impact of climate change on demand is not yet been assessed although work has been done to assess impacts on resource yields.</p> <p><b>2010:</b> -</p>	<p><b>2010:</b> -</p>	<p>Insufficient commitment of member States to address inefficient use of water in the basin.</p> <p>Insufficient interest of civil society in water conservation issues.</p>

	4.3 Educational and social marketing campaign materials produced.	<p><b>Baseline:</b> With ICP support ORASECOM recently produced a River Awareness Kit. This e-learning tool covers the physical and human geography of the basin, water governance, and strategies for meeting future demands.</p> <p><b>2010:</b> -</p>	<p><b>2010:</b> -</p>	
Outcome 5:	5.1 Ecological flows set for Fish River and Orange Mouth.	<p><b>Baseline:</b> Although the current e-flows regime set in the 1990ies on the Orange River is respected, it does not appear to be adequate. The Orange Mouth and the associated RAMSAR site are seriously degraded.</p> <p>There are no procedures for establishing e- flow in non-perennial rivers.</p> <p><b>2010:</b> Detailed work plan for demonstration project.</p>	<p><b>2010:</b> Detailed work plan for demonstration project (document review).</p>	
	5.2 Water use efficiency improved at trans-boundary pilot sites.	<p><b>Baseline:</b> Irrigation water is one of the biggest demands in the basin and is predicted to grow at the greatest rate in the medium term with new developments planned in Botswana and Namibia.</p> <p>It is also recognized as the sector where most water savings could be made with the improvements in infrastructure, metering, scheduling and tariffs.</p> <p>The value of water is not appreciated in the sector and low value crops are being irrigated in many areas.</p> <p><b>2010:</b> Sites selected, detailed work plan for demonstration project drafted.</p>	<p><b>2010:</b> Sites selected, detailed work plan for demonstration project drafted (document review).</p>	

	<p>5.3 Community-based rangeland management stopped land degradation at demonstration sites.</p>	<p><b>Baseline:</b> In Botswana traditional livestock rearing requires large expanses of land. This form of land use conflicts with wildlife conservation.</p> <p>Botswana has an emerging number of community inputs into rangeland management through the Community Based Natural Resources Management Policy. This policy aims at fostering conservation of natural resources by local communities.</p> <p>In Lesotho access to land is unrestricted. As a consequence, the grasslands of Lesotho deteriorate at an alarming rate due to unsustainable grazing practices. At present, about 16% of the entire rangeland are considered to be degraded.</p> <p>The Government of Lesotho has established Range Management Areas in which rights to graze one's livestock have been restricted to a specific group of livestock owners who have formed Grazing Associations. The impact of these and of the various contextual projects supported by ICP and NGOs need to be reviewed.</p> <p><b>2010:</b> Sites selected, detailed work plan for demonstration project drafted (document review).</p>	<p><b>2010:</b> Sites selected, detailed work plan for demonstration project drafted (document review).</p>	
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## **Appendix F    Terms of Reference for the Project Steering Committee**

*This Appendix defines roles and responsibilities, and the composition of the Project Steering Committee.*

## **Terms of Reference for the Project Steering Committee**

### **Project Implementation**

Project implementation for the UNDP-GEF Orange-Senqu Strategic Action Programme is the responsibility of UNDP, though UNDP South Africa Country Office with technical support provided by the UNDP Regional Technical Advisor. UNDP will remain accountable to GEF for the delivery of agreed outcomes as per the CEO Endorsement Request document and the signed UNDP Project Document and any other documents that are approved by the Project Steering Committee (PSC) during the project implementation period.

### **Project Execution**

Project execution for the UNDP-GEF Orange-Senqu Strategic Action Programme will be the responsibility of UNOPS, through its International Waters Cluster and in accordance with UNDP and UNOPS rules and procedures. UNOPS will remain accountable to UNDP and GEF for the delivery of agreed outputs as per agreed Project work plan, and for financial management and ensuring cost-effectiveness.

### **Project Steering Committee**

The Project will be driven at policy and strategic level by a Project Steering Committee (PSC).

The PSC is the highest decision making body for the matters related to the project implementation. The Project will ordinarily act on PSC decisions and recommendations, but will apply due discretion, as needed to ensure compliance with rules and procedures, and to maintain accountability to UNDP and GEF respectively.

The Project Steering Committee will have eight Permanent Members, as follows:

- One member of each of the member States which are parties to the ORASECOM Agreement;
- The Executive Secretary of the ORASECOM Secretariat;
- One representative from UNDP South Africa;
- One representative from UNDP-GEF (Regional Technical Advisor);
- One representative from UNOPS.

The PSC may also include members with observer status, as appropriate. Such observers can include:

- Representatives of ICP supporting ORASECOM;
- The project managers of ICP supported projects under the ORASECOM Programme;
- Representative of the member States, as required;
- Representatives of the private sector, NGOs and other stakeholder groups may be invited to observe PSC meetings, as required.

Permanent Members of the Project Steering Committee will review and update its mandate and membership, as necessary and appropriate.

PSC rules of procedure:

- The Project Steering Committee will be chaired on a rotational basis by member State representatives;
- The PSC will meet twice a year, when the ORASECOM Council meeting is convened, or more frequently if considered necessary;
- Meetings of the PSC will rotate between the member States, taking into account logistical and resource considerations;
- The PSC will make decisions as far as possible through a consensus. Permanent Members of the Steering Committee have voting rights, should voting be exercised.
- The PSC will delegate representatives to sit on selection panels for consultants and service providers, if requested by the Project.
- The fixed minimum number of members necessary to make a quorum is five.
- Permanent Members of the PSC will appoint an alternate to attend PSC meetings, in the event that the designated representative is unable to attend.
- An Annual Tripartite Review (ATP) of the Project will be chaired by UNDP, as part of a regular PSC meeting. The TPR will approve the Annual Project Review and Work Plan.

PSC specific functions:

- Review and approve Annual Work Plans;
- Monitor progress in Project implementation against agreed targets;
- Provide strategic guidance, to ensure the timely and cost effective realization of project objectives;
- Validate the Project's main outputs, in particular the Trans-boundary Diagnostic Analysis, and the Strategic Action Programme and related National Action Plans.
- Resolve conflicts and problem areas as needed to facilitate Project delivery;
- Ensure that member States' commitments, including of co-financing, technical and operational support are met.

As the PSC represents the highest decision-making body for the Project it will not be expected to deal with day-to-day management and administration of the Project. This will be handled by the Project Coordination Unit, headed by the Project Manager, and in coordination with the Executing Agency.

## **Appendix G    Inception workshop, 18 March 2010**

*This Appendix provides the adopted agenda, the attendance record, and minutes the decision points of the Inception Workshop.*

## Adopted workshop agenda

### Thursday, 18 March 2010

Venue: Southern Sun Hotel, OR Tambo International Airport, Johannesburg, South Africa

08.00 – 08.30	Registration	
	<b>Opening</b>	
	Chaired by Mr Peter van Niekerk, head of hosting South African delegation, on behalf of the ORASECOM Council	
08.30 – 08.4	Introduction of participants	All participants
08.40 – 08.50	Welcome remarks: UNDP support to the region – the regional environment and water portfolio, history of project preparation, commitments beyond the Project to facilitate the implementation of elements of the SAP and NAPs.	Mr Israel Dessalegne, UNDP Deputy Resident Representative - Programme
08.50 – 09.00	Opening address: Water resources development in the Orange-Senqu River Basin – water resources management in the basin, history of cooperation, regional opportunities and shared responsibilities, evolution of ORASECOM.	Mr Lenka Thamae, ORASECOM Executive Secretary
	<b>Scope and Implementation Arrangements of the UNDP-GEF Project</b>	
	Chaired by Mr Lenka Thamae, ORASECOM Executive Secretary	
09.00 – 09.30	Project brief: Expected outcomes, selected targets and indicators, thematic scope, demonstration projects in countries, coordination with other ICP supported projects, implementation arrangements, work plan, operational budget, and activity plan 2010.	Mr Christoph Mor, Project Manager, UNOPS
09.30 – 10.15	Open discussion	All participants
10.15 – 10.30	Listing of open issues, agreement on action points.	Facilitated by Mr Lenka Thamae, ORASECOM Executive Secretary
10.30 – 11.00	Coffee	
11.00 – 11.20	M+E requirements of UNDP-GEF Projects.	Dr Akiko Yamamoto, Regional Portfolio Manager, International Waters, UNDP
11.20 – 11.30	Q+A on M+E Requirements.	All Participants
11.30 – 12.00	The Way forward – wrap up discussion.	Facilitated by Mr Lenka Thamae, ORASECOM Executive Secretary
	<b>ORASECOM Programme Strategy Committee Meeting</b>	
	Chaired by Mr Lenka Thamae, ORASECOM Executive Secretary	
12.00 – 15.30	Including: PSC members also serve as Steering Committee of the UNDP-GEF Project in-principal approval of results framework, work plan and operational budget.	

## Attendance record

### Botswana Delegation

Ms Tracy S. Molefi	trsmolefi@gov.bw	TTT Member
Mr Thato Seth Setloboko	tssetloboko@gov.bw	TTT Member

### Lesotho Delegation

Mr Lawrence Ramosoou	ramosoou@commwater.gov.ls	TTT Member
Mr Peter Nthathakane	nthaks@commwater.gov.ls	TTT Member
Mr Neo Mothokue	neomothokue@yahoo.co.uk	Ministry of Forestry and Land Reclamation
Ms Lechesa Nthulanyane	chesa@mailfly.com	Ministry of Forestry and Land Reclamation
Ms Maliketso Malephane	malephane@commwater.gov.ls	Water Commission

### Namibia Delegation

Ms Maria Amakali	amakalim@mawf.gov.na	TTT Member
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### South Africa Delegation

Mr Peter van Niekerk	VanNiekerkP@dwa.gov.za	Commissioner
Mr Peter Pyke	PykeP@dwa.gov.za	TTT Chairperson

### ORASECOM Secretariat

Mr Lenka Thamae	ThamaeL@dwa.gov.za	Executive Secretary
Mr Rapule Pule	PuleR2@dwa.gov.za	Water Resources Specialist

### ORASECOM Programme

Mr Steve Crerar	SteveC@wrp.co.za	GTZ Project, Project Manager
Mr Gavin Quibell	QuibellG@dwa.gov.za	EU Project, Project Manager

### NGOs

Mr Sello Thulo	sthulo@care.org.ls	CARE Lesotho
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### Other Projects/Partners

Mr Philip Beetlestone	PhilipB@unops.org	SADC Groundwater Project WB/GEF
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### International Cooperating Partners

Ms Cecilia Lopez y Royo	CeciliaL@unops.org	UNOPS Regional Office, Johannesburg
Mr Thomas Farrington	tfarrington@sadc.int	EC support to SADC
Ms Maria Lisa Santonocito	Maria.SANTONOCITO@ec.europa.eu	

### UNDP-GEF

Mr Israel Dessalegne	israel.dessalegne@undp.org	UNDP RSA Deputy Res Rep Programme
Dr Akiko Yamamoto	akiko.yamamoto@undp.org	UNDP-GEF Regional Portfolio Manager
Ms Katrin Lichtenberg	KatrinL@unops.org	UNOPS International Waters
Mr Christoph Mor	ChristophMo@unops.org	UNOPS Senior Project Manager
Mr Mpho Nenweli	mpho.nenweli@undp.org	UNDP RSA Environment Focal Point
Mr Sam Chademana	samuel.chademana@undp.org	UNDP-GEF Eastern and Southern Africa

## Minutes of meeting

The following are the main decision points arising from the first Steering Committee Meeting, based on the deliberations during the Project's Inception Workshop.

Subsequent to presentations on the overall project scope and the UNDP-GEF's monitoring and evaluation requirements and guidelines during the Inception Workshop and discussions, the following summarizes the decisions made during the first Project Steering Committee:

- Members of the ORASECOM Programme Strategy Committee will be co-opted into the Steering Committee of the Project; and will therefore comprise the core constituents of this body together with other relevant stakeholder representatives to be identified by the Project Coordination Unit. By so doing, the Project stands to benefit from the experience and institutional memory of the Programme Strategy Committee members.
- In line with the above decision, it was further agreed upon that the meeting schedules of the Project Steering Committee will therefore be synchronized, and will fall on the same dates with those of the ORASECOM Programme Strategy Committee. This will ensure optimal use of time, human resources and cost effectiveness.
- It was also suggested that other ICP supported projects shall follow suite and align their respective meeting schedules with those of the ORASECOM Programme Strategy Committee as a way forward towards an integrated programme management framework.
- The Project Coordination Unit shall provide the Steering Committee with a list and brief description of the substantive reports to be prepared for its attention.
- Project briefs will be developed for each demonstration project after scoping has been completed. Meanwhile, the Project Steering Committee will serve as the approving body for the demonstration project briefs as well as monitor the implementation of the demonstration projects.
- The newly constituted Project Steering Committee took note with appreciation of the Briefing Note for the Inception Workshop, dated 4 March 2010. The Steering Committee approved the Project's results frame, the work plan and operational budget, as well as the 2010 work plan and budget of the Project.