

Okavango River Basin – TDA/SAP development process

Country briefing note For NAP Development

1. Introduction/ purpose of the NAP

The development of a National Action Plan (NAP) for each of the three basin states (Angola, Botswana, Namibia) forms an integral part of the Transboundary Diagnostic Analysis (TDA)/ Strategic Action Programme (SAP) development process for the Okavango River Basin. Whereas the TDA is a scientific, non-negotiated document which provides the current state of the basin through joint fact finding exercise and a number of technical assessments, the SAP is a negotiated document that provides a basin-wide framework for the implementation of a prioritised set of national and joint transboundary actions and investments.

At national level the SAP initiatives are to be integrated within the respective National Action Plan (NAP) of each basin state, making the NAP a critical tool for the implementation of SAP priority actions at national level and the integration of transboundary and basin concerns into national legislative, policy and budget decision making processes. For the NAP, ongoing and forthcoming activities carried out by each basin state with their national budget or with ICP support, which will contribute positively to SAP implementation will be identified. The NAPs thus need to be developed in coherence with the SAP so that national priorities complement regional objectives and regional SAP initiatives are reflected in national agendas.

2. Overview of NAP development process

In the case of the Okavango River Basin the development of NAPs is carried out in two phases:

Phase 1: Information gathering and consultation, and

Phase 2: NAP drafting.

Phase 1 has been completed and Phase 2 is scheduled for the period of November 2010 through May 2011. An overview of the key activities for each of the phases is provided below and a detailed methodology for Phase 2 provided in Section 4 of this briefing note.

Phase 1: Information gathering/ consultation phase

- Identification of current and emerging environmental and social problems and preliminary list of responses through a series of stakeholder consultation meetings at national and regional level
- Compilation of information (activities, budgets etc) on ongoing/planned national and regional projects that relate to the SAP objectives

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- Assessment of policy, legal and regulatory framework relevant for SAP and NAP implementation

Phase 2: NAP drafting phase

- Establishment of a NAP formulation team
- Prioritisation of problems/interventions at national level based on SAP
- Identification of basin-wide, bilateral and national initiatives related to agreed NAP priority areas and development of NAP log frames
- Identification of implementation mechanism at national level, required funding and sources of funding
- Identification of required institutional changes/ strengthening and legislative/regulatory changes at national level
- Drafting of NAPs
- Presentation of NAPs to other basin states
- Endorsement

3. Summary of completed activities

1. A series of consultation meetings have been held in each country over the period of the last two years. These meetings served to identify existing and emerging environmental and social problems in the basin area of the respective country – both problems with transboundary as well as with national impacts (only) were identified. Likewise, potential activities/responses to address the problems were identified and discussed.

The combined results of these stakeholder consultations in the three countries, together with the findings of the TDA, form the basis of the current SAP and the actions described in its log frames.

2. As a next step information was compiled on ongoing and planned (budgeted) projects in the basin area that relate to the SAP activity areas. The information includes both national projects as well as basin-wide/regional projects and will critically inform the development of the NAPs, particularly the NAP log frames.

3. Likewise, in addition to the basin-wide governance review carried out for the TDA a detailed assessment of the current policy, legal and regulatory framework in each of the countries relevant for NAP/SAP implementation was undertaken.

The outputs of the above three activities will be made available at the NAP briefing meeting on 12 November 2010.

4. Methodology for remaining steps

The following provides an overview of the key remaining steps required for completing NAP development. Additional (smaller) steps are required and are contained in the NAP Consultant ToR and the draft work plan for NAP development.

1. Establishment of a NAP formulation team

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A NAP formulation team needs to be established at national level. Central to the NAP development team are the National Coordinator and the National Consultant complemented by the National Inter-sectoral Committees.

- The National Coordinator is the “Captain” who steers the ship and ensures that the NAP development is adequately embedded in all relevant technical (planning) and political processes at government level.
- The NAP consultant is the “engine room” who keeps the ship moving (at good pace) at all times and carries out the bulk of the stakeholder consultations, meeting preparations, NAP drafting etc. (detailed tasks of the NAP consultant are specified in the NAP consultant ToR).
- The National Coordinator and NAP Consultant are to be assisted by the National Inter-ministerial Committee (NIMCs). The latter have been established in each country during the EPSMO project – however the frequency of meetings and level of engagement in the TDA/SAP development process seems to be different in the three countries. Where not active the NIMCs need to be revived as soon as possible and play an important role in the development of the NAPs, primarily in ensuring inter-sectoral coordination.
- Where needed independent experts in technical, legal, financial, policy issues can be included in the NAP formulation team (either permanently or on an ad hoc basis).
- Engagement with stakeholders is critical for the NAP development process and stakeholder representatives need to be involved throughout the NAP development process. The NAP workshops as specified in the draft work plan are key milestones at which interaction with a broader range of stakeholders takes place, but such engagement needs to happen also between workshops throughout the process. The mode of engaging stakeholder in the process needs to be determined individually by each country. A cross-section of stakeholders could be made part of the NAP formulation team as well (but this might add complexity and slow down the process). Alternatively, the NAP Consultant (and other designated members of the NAP formulation team ensure that regular engagement with stakeholders takes place throughout the process.

2. Prioritisation of problems/interventions at national level based on SAP

As described in section 3 above a range of current and emerging environmental and social problems, and possible interventions to address them, have been identified through the consultation process carried out under EPSMO. The range of issues identified is very wide and their severity (or potential severity) varies. Likewise, some of the problems cannot be addressed in the short-term and require a staged approach in addressing them. Now required is a prioritisation exercise at national level both in terms of “importance” of the issues as well as “timing” of implementation activities, the latter being broken down in 5-year planning periods. The NAPs are designed to be important national planning documents and it is therefore essential that the prioritisation of problems and interventions is both reflective of national (and regional and local) interest and realistically achievable (from a technical and financial perspective) in the determined time frame.

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3. Identification of basin-wide, bilateral and national initiatives related to agreed NAP priority areas and development of NAP log frames

Based on the prioritisation exercise describe above a comprehensive picture of all ongoing (and forthcoming in the short-term) initiatives/projects related to the priority issues needs to be developed in order to ensure synergies and avoid conflicting on-the-ground activities. The information compiled during the NAP data gathering process serves as a starting point for this activity, but needs to be cross-checked and updated. Based on this information as well as the results of the prioritisation exercise the NAP log frames need to be developed.

4. Identification of implementation mechanism at national level (should be guided by OBSC Inst. task force)

The determination of an implementation mechanism for the NAP is a critical component of the NAP development process. The NAP is an important planning and implementation plan and its practical implementation will require a strong implementation mechanism with clearly allocated organisational responsibilities. The overarching question is “Who owns the NAP and takes responsibility for its implementation”. This exercise and the respective section in the NAPs needs to clearly answer:

- how the NAP fits into existing planning and budgeting processes
- how inter-sectoral coordination is ensured
- what the implementation mechanisms are at national (which ministry does what?), regional and local level (e.g. will there be cooperation in implementation with NGOs and CBOs?)
- How will it be ensured that all role-players are aware of their part in NAP implementation and carry out their tasks

An important component of the national implementation mechanism is also how it relates to and cooperates with OKACOM through the various organs of the Commission. It is recommended that the development of national implementation mechanism is undertaken in consultation with the OKACOM Institutional Task Force.

5. Identification of required institutional changes/ strengthening and legislative/regulatory changes at national level

The implementation of the activities identified in the NAP might require changes to the existing legal/regulatory frameworks and organisational set-ups. Likewise, the implementation and enforcement capacity of existing organisations is likely to be in need of strengthening in some areas. The required changes/strengthening needs to be clearly identified and emphasised in the NAP and made part of the NAP log frames of activities themselves.

6. Drafting of NAPs

The NAPs need to be drafted in accordance with the standardised outline provided (see Annex 1 of this briefing note) in order to ensure an adequate degree of harmonisation between the three NAPs and between the NAPs and the SAP.

7. Presentation of NAPs to other basin states

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The draft final NAPs need to be presented to the respective other Member States (through OBSC) in order to ensure they are harmonised and meet the combined interests of OKACOM and its Member States.

8. Endorsement

Political endorsement of the NAP is required and the National Coordinator plays the key role in ensuring the necessary (political) steps are taken at the appropriate time in accordance with national process requirements.

5. Regional Coordination of NAP development process

The NAP development process is jointly supported by USAID/SAREP and UNDP (Country Offices, Regional Environment Programme and BDP/Environment Finance Office – Pretoria).

In addition to financial support SAREP provides technical inputs as well as administrative/logistical support through its regional office in Gaborone and local offices in the three basin countries.

The UNDP Regional Technical Advisor (Dr. Akiko Yamamoto) provides technical guidance and oversight to the NAP development process. In addition, a regional NAP development coordinator (Daniel Malzbender) has been engaged through UNDP.

Annex 1: Standardised NAP outline

Okavango River Basin

National Action Plan (NAP) of [Angola, Botswana, Namibia]

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1. Background/Introduction

1.1 Need and purpose of the NAP

See NAP briefing note – clear description of link between NAP and SAP¹

1.2. NAP development process

Establishment (and structure) of NAP formulation team; methodology for agreement of national priorities; workshops & consultations process etc.

1.3 Geographical scope of the NAP

2. Description of the Angola part of the Okavango basin

Take from TDA and national supporting reports

3. NAP principles

Environmental management and development principles

Main development principles guiding the NAP – see SAP principles for guidance

Integration of Angola MDG targets with NAP

4. Priority Concerns

4.1 National components of basin-wide priority transboundary concerns

Environmental problems, their causes and socio-economic consequences

4.2 National priority concerns

Environmental problems, their causes and socio-economic consequences.

5. Governance Framework

5.1 Policy, Legal and Regulatory Framework

5.2 Institutional Framework

Both summarised from Regional Gov report and NAP data gathering report

5.3 Stakeholder Analysis

¹ Sections in italics are information notes for drafters only and NOT headings of the NAP document

Summary of desk-top stakeholder analysis (that forms part of NAP ToR); consult with OKASEC re background documents and current status of OKACOM stakeholder participation strategy (under development)

6. Objectives, Targets and Interventions

For each transboundary and national priority a set of objectives and targets should be established and under each target a set of interventions and indicators to meet that target identified. Use the CCAs in the TDA as well as the outputs from national consultation meetings (provided in NAP briefing note) to identify the possible interventions. See also interventions identified in the SAP. The interventions may include (among others):

- *Legal/Regulatory changes*
- *Institutional changes*
- *Development and implementation of planning instruments*
- *Capacity building*
- *Awareness raising*
- *Development of M&E frameworks for basin parameters*
- *Knowledge/data generation*
- *Investments*

7. NAP log frames

Present objectives, targets, interventions, indicators in log frame format. The log frame also needs to include (use log frame template provided)

- *Output*
- *Cost*
- *Benefits*
- *Risk of failure*
- *Source of funding*
- *Time frame (short, medium and long)*
- *Responsible institutions*

8. NAP implementation mechanism

8.1 Institutional set-up for NAP coordination and implementation

With particular emphasis on link with SAP implementation; needs to stress how the NAP is fitting into existing planning processes; how is inter-sectoral coordination being ensured; who “owns” the NAP?

8.2 NAP implementation monitoring and evaluation

8.3 Required resources to implement NAP and possible sources of financing

9. NAP Endorsement and Review processes

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Annex 2: NAP development work plan

Activity	Responsible	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11
Appointment of Government Representative to coordinate NAP process (National Coordinator)	Government								
Establishment of NAP formulation team/ institutional structure	Government								
Development of ToR for NC	RNC								
Identification of NC	Government								
Contracting of NCs	SAREP								
Development of standardised NAP outline for all three countries	RNC								
Development of country briefing note for NAP development	RNC								
In-depth briefing of NCs and National Coordinators	RNC								
Consultation workshop Huambo/Moxico (Angola only)	NC, Government								
Analyse existing documents from consultation process and NAP data gathering work	NC								
Develop detailed work plan/ time lines for NAP development together with National Coordinator	NC, Government								
Carry out desk-top stakeholder analysis for NAPs based on OKACOM Stakeholder Strategy and existing national work	NC								
Develop 1st draft NAP (excl. log frames)	NC								

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prepare invitations, agenda, objectives, methodology for 1st NAP workshop	NC, Government								
Send invitations	Government, NC		1st half						
1st NAP workshop	NC, Government		2nd half						
Write workshop proceedings of 1st NAP workshop	NC								
Individual Follow-up consultations with key individuals/ organisations to develop detailed on the ground activities	NC								
Develop log frames for identified priority actions, incl. indicators, costs and sources of finance	NC								
Integrate log frames and develop 2nd draft NAP	NC								
translation of 2nd draft NAP	translator, RNC								
Review of 2nd draft NAPs by RNC	RNC								
Circulate 2nd draft NAP (with RNC review comments integrated)	NC				2nd half				
Comments on 2nd draft NAP from relevant stakeholders	stakeholders								
prepare invitations, agenda, objectives, methodology for NAP validation workshop (at national level)	NC, Government								
Send invitations for validation workshop	Government, NC				2nd half				
NAP validation workshop	NC, Government					1st half			
Write workshop proceedings of NAP validation workshop	NC								

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Integrate comments from NAP validation workshop (and RNC)	NC								
translate validated NAPs	translator, RNC								
prepare invitations, agenda, objectives, methodology for regional NAP harmonisation/validation meeting	NCs, OKACOM								
Send invitations for regional validation meeting (OBSC meeting)	OKASEC								
regional NAP validation meeting (OBSC meeting)	NCs, OKACOM							1st half	
Write workshop proceedings of regional validation meeting	NCs, OKASEC								
Finalise harmonised NAP and submit to National Coordinator	NC								
Approval and endorsement	Government								
National Coordinator = Designated Government Representatives overseeing the NAP development process									
NC = National Consultant									
RNC = Regional NAP Coordinator									