

	<p>United Nations Development Programme</p> <p>Country: Continental Africa</p> <p>PROJECT DOCUMENT¹</p>	
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Project Title: Strengthening the institutional capacity of African Network of Basin Organization (ANBO), contributing to the improved transboundary water governance in Africa

UNDAF Outcome(s): N/A

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: 2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation

UNDP Strategic Plan Secondary Outcome: 1.3. Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste

Expected CP Outcome(s): N/A

(Those linked to the project and extracted from the country programme document)

Expected CPAP Output (s): N/A

Those that will result from the project and extracted from the CPAP)

Implementing Partner: Global Water Partnership (& UNESCO²)

Responsible Partners: ANBO

¹ For UNDP supported GEF funded projects as this includes GEF-specific requirements

² Funds to be implemented through UNESCO are governed by a separate project document.

Brief Description

The objective of the project is to strengthen the coordination and collaboration capacity of African Lake and River Basin Organisations and Commissions and cooperative frameworks for transboundary groundwater management, and their member states towards improved transboundary water governance in Africa. The project will aim to achieve this objective through strengthening the capacity of the African Network of Basin Organisations (ANBO). The project will support the implementation of the ANBO Strategy and Action Plan (of 2014). The project has two components. Component 1: Strengthening ANBO's institutional and technical capacity as a technical arm of AMCOW, and Component 2: Supporting the capacity building of Lake/ River basin organisations, Groundwater Commissions and RECs to foster transboundary cooperation.

This project document governs the funds implemented through the Global Water Partnership.

Programme Period: 2015-2018	Total resources required: USD 9,171,970.68
Atlas Award ID: 00097214	Total allocated resources: USD 9,171,970.68
Project ID: 00101034	Regular
PIMS # 5338	Other:
Start date: 1 Sept 2016	o GEF USD 1,640,000.00
End Date: 31 December 2019	o Other USD 7,531,970.68
Management Arrangements: NGO Implementation (by the Global Water Partnership Office in Sweden)	o Total USD 9,171,970.68
PAC Meeting Date: 15 June 2016	

Agreed by (Government): ANBO

NAME SIGNATURE Date/Month/Year

Agreed by (Executing Entity/Implementing Partner): Global Water Partnership Office in Sweden

NAME SIGNATURE Date/Month/Year

Agreed by (UNDP):

NAME SIGNATURE Date/Month/Year

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LIST OF ACRONYMS

AfDB-PIDA	African Development Bank - Programme for Infrastructure Development in Africa
AMCOW	African Ministerial Council on Water
ANBO	Africa Network of Basin Organizations
AU	African Union
AUC	African Union Commission
AWIS	Africa Water Information System
ECOWAS	Economic Commission of West African States
GC	Groundwater Commission
GEF	Global Environment Facility
GGIS	Global Groundwater Information System
GGMN	Global Groundwater Monitoring Network (UNESCO)
GIZ	(Deutsche) Gesellschaft für Internationale Zusammenarbeit (German International Development Agency)
GWP	Global Water Partnership
IGAD	Inter-Governmental Authority for Development
IGRAC	International Groundwater Resources Assessment Centre (of UNESCO)
IWMI	International Water Management Institute
IW-LEARN	International Waters-Learning Exchange and Resource Network
IWRM	Integrated Water Resources Management
L/RBOs	Lake and River Basin Organizations
OMVS	Senegal River Basin Development Authority (or Organisation pour la mise en valeur du fleuve Sénégal)
NEPAD	New Partnership for Africa's Development
REC	Regional Economic Community
SADC	Southern African Development Community
SITWA	Strengthening the Institutions for Transboundary Water Management in Africa (EC-financed project)
TBOs	Transboundary Basin (or Aquifer) Organizations
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNESCO/IHP	United Nations Educational, Scientific and Cultural Organization-International Hydrological Program

LIST OF ANNEXES

- Annex 1: Risk Analysis
- Annex 2: Co-Financing Letters
- Annex 3: Terms of Reference for Project Staff
- Annex 4: Environmental and Social Impact Analysis

I. Situation Analysis

1. Africa's water resources are coming under increasing pressure from extreme climate variability, increasing human populations, and increasing demand on the water resources from competing uses. Water is now increasingly recognized as a resource of strategic importance to African economies as it is a critical input into various economic sectors including agriculture, industrial development, mining and power generation. Effective water resources management and development therefore has the potential to contribute to food security, employment creation and poverty alleviation all of which are the foundations of broad based socio-economic development.
 2. With transboundary water resources constituting about 80% of Africa's total freshwater resources, cooperation in the management of these shared water resources is imperative if sustainable economic development is to be achieved across the continent. It was the realisation of this need for cooperation that led the African Union (AU) to adopt the Africa Water Vision (2025) whose target was to achieve "**An Africa where there is an equitable and sustainable use and management of water resources for poverty alleviation, socio-economic development, regional cooperation, and the environment.**" To promote the realization of this vision, in 2000 the AU called for the creation of a "Federation of African River and Lake Basin Organizations" for purposes of developing and adopting a common approach to the management of transboundary waters.
 3. Despite the fact that more than 70 % of the continent's population depends on groundwater for their primary water needs, most of the developments with regards to governance structures and policy and legal frameworks for managing transboundary water have been in relation to surface water. Attention to this "hidden resource" is however increasing as shown by the establishment of an Africa Groundwater Commission by the African Union with the mandate to generate political buy-in and support for the roll-out of the AMCOW Brazzaville decisions towards the vision of "An Africa where groundwater resources are valued and utilized sustainably by empowered stakeholders." In addition, at the regional level the SADC, ECOWAS, IGAD are involved in the development of strategies for the management of transboundary aquifers. It is essential to fully take account of the value and potentialities of groundwater resources use within the transboundary shared water portfolio, whether these are conjunctively used with surface water or constitute the only water resources available, as it is the case in many areas.
 4. The AU established the African Ministers' Council on Water (AMCOW) in 2002 with the primary purpose of providing political leadership, policy direction and advocacy and promoting cooperation, security, social and economic development and poverty eradication through the management of water resources and the provision of water supply services. In
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2004, the AU Heads of State and Government expressed support for AMCOW's role of spearheading efforts to address Africa's water policy challenges which resulted in AMCOW becoming a specialized committee of the African Union for Water and Sanitation.

5. In response to the AU's call for the creation of a 'Federation of African River and Lake Basin Organizations', AMCOW in 2006 established the "Tekateka Committee", which recommended the African Network of Basin Organizations (ANBO) to provide this common platform.
6. ANBO was established in 2002 as the regional network (for Africa) of the International Network of Basin Organisations (INBO). Following the adoption of the above-mentioned recommendation of the Tekateka Committee, the ANBO statutes were revised in 2007 to provide for a close alignment between ANBO and AMCOW. The Preamble to the ANBO statutes now states that ANBO 'answers the need for coordination and strengthening of cooperation...according to the directives defined by the African Ministerial Council on Water (AMCOW), which coordinates water policy within the New Partnership for Africa's Development (NEPAD) of the African Union, and in its support. The ANBO role in supporting AMCOW is further highlighted in Art. 2 (j) (of the revised ANBO statutes), which states that ANBO endeavours to support AMCOW to meet its specific requests on management per basin and implement its orientation in this field. ANBO is now regarded as the 'technical arm' of AMCOW for matters related to transboundary water management. In practice this is understood as ANBO playing a dual role of supporting AMCOW as an advisor on transboundary water management matters, while on the other hand also supporting the implementation of AMCOW policy through promotion, facilitation and technical support to relevant role-players, specifically Regional Economic Communities (RECs) and Lake or River Basin Organizations (L/RBOs).

The African Union Commission officially recognizes eight RECs in line with decision No. 1 of its Banjul Summit in July 2006, downgrading all others to inter-governmental agencies. The eight RECs recognized by the AU are the Arab Maghreb Union (UMA); Common Market for Eastern and Southern Africa (COMESA); Community of Sahel-Saharan States (CEN SAD); East African Community (EAC); Economic Community of Central African States (ECCAS); Economic Community of West African States (ECOWAS); Inter-Governmental Authority on Development (IGAD) and Southern African Development Community (SADC). Of these representatives of the EAC, ECCAS, ECOWAS, IGAD and SADC have actively participated in ANBO meetings and initiatives. Representatives of the Mano River Union, an intergovernmental agency in AU terminology, has also been represented in ANBO events. It is a clear objective of ANBO to further strengthen the cooperation with these RECs and extend it to those RECs that have so far not been engaged in ANBO activities.

7. ANBO has an important role to play at three spheres of transboundary water management:
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- At the continental sphere ANBO's role is that of being the technical arm of AMCOW on transboundary water matters, both in advising AMCOW as well as in assisting the implementation of AMCOW policy.
- At the regional level ANBO can support the Regional Economic Communities (RECs) through technical advice and policy promotion on transboundary water management as well as being a facilitator and information hub, linking RECs with other relevant actors.
- Further, ANBO serves the community of African L/RBOs in supporting them on various technical aspects (knowledge exchange, capacity building, resource mobilization etc.) of transboundary water management.

1.1 Global environmental problems, root causes and barriers that need to be addressed

8. The quality and availability of both surface and groundwater resources across the African continent continue to be impaired by environmental problems. The major environmental problems that affect water resources are water pollution from agricultural activities and poorly managed industrial and human waste disposal systems; the spread of alien invasive species; land degradation and soil erosion due to poor land management practices which result in degradation of ecosystems, increased siltation of water bodies and loss of aquatic species; and conflicting and insufficient use of water resources, often leading to over-extraction and not leaving sufficient water in water courses to sustain ecosystems and their functions in and around the water courses. These environmental problems are made worse by growing human populations which exert increasing demands on natural resources as well as by the increasing spectre of climate variability and change. The need for countries to cooperate in addressing these issues can therefore not be over-emphasized.
9. The main barriers to addressing these environmental problems relate to weak resource governance regimes at national and regional levels, lack of data and information on the values of environmental goods and services, low technical capacity among all stakeholder groups to address these issues and policy failures at national and transboundary levels. The proposed project will address these barriers through information management and capacity enhancement initiatives at the local, transboundary and continental levels. Details of these initiatives are provided in the Strategy section of the Project Document.

1.2 Legal Policy and Institutional Context

10. Governance frameworks for transboundary water resources management in Africa occur at three levels: the continental level with a focus on the policy framework provided by the African Union (AU), the regional level with a focus on the role of Regional Economic
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Communities (RECs), and the shared river basin level with emphasis on the role of multi-lateral Lake and River Basin Organizations (L/RBOs)³.

11. The Africa Water Vision for 2025 serves as the central water related policy instrument for Africa. The Vision aims to develop a future where the full potential of Africa's water resources can be to stimulate and sustain economic growth and social well-being of the continent's population. The Africa Water Vision 2025 provides the platform upon which continental institutions have been set up to promote the optimal use of water resources for the development of the continent. Principal among these institutions are AMCOW and ANBO which serves as the technical arm of the Ministerial Council.
12. Regional Economic Communities (RECs) are an important building block of economic integration and development on the continent. While these institutions were originally set up to promote political objectives of regional integration, they have developed to levels where they are also now promoting development objectives through the joint management of shared resources such as water. The degree to which they deal with transboundary water management differs considerably from one REC to another at this moment with some such as the Southern African Development Community (SADC) having developed strong policy, legal and institutional frameworks for transboundary water management.
13. At the sub-regional level, a number of L/RBOs and Groundwater Commissions (GCs) have been established especially over the past twenty years or so resulting in most major shared river basins on the continent having a basin management institution of one type or another. The typology of these institutions is determined by the functions determined by the riparian states with roles ranging from purely advisory bodies providing advice on general management of shared river basins to those with specific implementation roles such as water allocation. A common feature of the roles of L/RBOs is that they provide vehicles for the realization of the regional development agendas of RECs.
14. At the policy level there seems to be commonality among most countries on the African continent which promote the institutionalization of Integrated Water Resources Management and Development as a driver for economic growth. While the policy frameworks recognize the need for cooperation across national borders in the management of shared water resources, there has been less progress with the development of legal frameworks which are still defined through nationalistic lenses. This explains why to date the only legally binding regional (REC-wide) framework for managing shared water resources on the continent is the SADC Revised Protocol on Shared Watercourses. An important development with the SADC Protocol has

³ Whenever L/RBOs are mentioned in general terms, they also include Groundwater Commissions.

been its promotion of harmonization between national and regional (transboundary) policies and laws governing the management of shared water resources. There is a need for action on the laws governing transboundary water resources, and especially on domestic water laws implementing international agreements. Integration of groundwater in this context is particularly challenging since it is often poorly understood and considered in national and transboundary legal frameworks.

1.3 Stakeholders

15. The primary stakeholders for the project are ANBO, AMCOW, RECs and African L/RBOs and GCs and the national governments which make up these institutions. ANBO is Africa's only network of transboundary basin organisations, representing the majority of African transboundary L/RBOs. It is officially recognized as the technical arm of AMCOW, providing policy guidance to AMCOW on transboundary water management issues and in turn supporting the implementation of AMCOW policy decisions through relevant role-players (RECs, L/RBOs, Member States).
 16. AMCOW is a Specialised Committee of the African Union for Water and Sanitation. The mission of AMCOW is to provide political leadership, policy direction, and advocacy in the supply and management of water for sustainable social, economic, environmental development and the maintenance of Africa's ecosystems.
 17. Regional Economic Communities (RECs) are an important building bloc of economic integration and development on the continent. While originally the objective of the RECs is the facilitation of greater regional integration and trade through the creation of Free-Trade Areas, most RECs have since expanded beyond a narrower trade focus and adopted a strong regional development mandate including areas of trade, transport energy and natural resources management and development to name but a few. Several of the eight officially recognized (by the AU) RECs, are increasingly becoming involved in developing and supporting regional policy and legal frameworks for transboundary water management in their region.
 18. L/RBOs are critically important for transboundary water management on the continent. While some RBOs have been established already many decades ago (e.g. OMVS for the Senegal River), the last two decades have seen a proliferation of RBOs so that today nearly all major shared basins on the continent have one or more established RBOs. The term RBO is broad and encompasses a variety of organisational types with different roles and mandates. Many are purely advisory (to their Member States) in nature with the emphasis being on determining an overall management system for the basin that balances socio-economic development needs with the need for protecting the basin's biodiversity and the significant environmental services the basin provides to its population. Other RBOs with often narrower scope of mandates have
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a considerable degree of implementation powers transferred to them by Member States and are responsible for the full development and implementation of (water) infrastructure projects.

19. All of the above stakeholder bodies derive their mandate from individual Member States and in combination they represent all transboundary water management aspects from continental, to regional, to basin and to national level. Representatives of these key stakeholder groups (e.g. ANBO Chairperson and office, AMCOW Secretariat, REC Secretariats, etc.) were engaged in a consultative manner during the development of this project.

20. Despite its institutional independence from INBO, continued cooperation and information exchange with INBO will be a priority for ANBO. The revised ANBO Statutes call for the establishment of strong partnerships and for regular partnership forums to be held by ANBO. This includes cooperation with INBO and the project will support ANBO on the establishment of the partnerships, signing of MoUs, holding of regular forums and regular communication and information exchange primarily through Outcome 1.1.

1.4 ANBO Strategy

21. As per the 2007 statutes, ANBO has a very wide mandate related to various aspects of transboundary water resources management and IWRM and it is clear that ANBO cannot deliver on the full spectrum of the mandate at the same time. A clear prioritisation of focus areas and activities is required in order to develop and implement an operational programme based on that mandate. In this regard ANBO needs to operate in niche areas in which ANBO's activities are unique and add complementary value to the efforts of BOs and RECs. ANBO has carried out that prioritisation and niche identification exercise in 2014 through the development of the ANBO Strategy and Action Plan. Through an extensive stakeholder consultation process, focus areas for ANBO engagement were defined for the next 10 years and a more detailed 5-year Action Plan was developed.

22. ANBO's strategic niche for the next 10 years will be to help the African L/RBOs in gaining leadership as major actors of peaceful and sustainable regional economic development, based on cooperative planning, financing, and implementation of cooperative investments and of environment monitoring systems at the basin scale. This will have to take into account the growing water, energy, and food security nexus and will have to apply the principles of Integrated Water Resources Management (IWRM). It is clear that technical assistance provided to L/RBOs should happen through the RECs. Through its close links with AMCOW, ANBO has also an ideal position to ensure at political level that the African countries sharing international waters would increase their transboundary cooperation and build the appropriate institutions. In this context, the implementation of the AMCOW Gender Strategy and the

mainstreaming of gender aspects into L/RBO policy and implementation frameworks is one of the priorities of ANBO and will be supported by the current project.

23. In summary, the focus of ANBO for the coming years lies on a) strengthening its own institutional capacity with a view of supporting AMCOW, and b) strengthening the capacity of Basin Organizations (and RECs) in various relevant areas. While not specifically highlighted in the Strategy and Action Plan, the intended support to basin organizations would also include support to strengthening the capacity of Regional Economic Communities (RECs) as basin organizations are often, and increasingly so, embedded in a broader regional framework under the umbrella of the relevant REC. The proposed project provides support to ANBO in these two core areas, with each project component responding to one of these two areas.
24. Thus, the ANBO Strategy has three (3) core beneficiaries, namely, AMCOW, basin organizations and RECs. It is important to note at this point, that all ANBO beneficiaries as defined by the Strategy and Action Plan, are organisations that derive their mandate directly from African States, i.e. are government mandated organisations. In other words, ANBO's primary role is to strengthen the capacity of African States in the field of transboundary water management/ IWRM, by providing support (technical & political) to the main transboundary water management structures African States have established.
25. Specifically, the ANBO strategy envisages ANBO playing an important role in the following 5 key activity areas and all of them are directly supported by the project.
- 1) Promoting AMCOW policy and RECs policies on transboundary water management;
 - 2) Facilitating sharing of knowledge and experience between different role-players;
 - 3) Promoting and facilitating regional integration and integrated investment and planning at all levels;
 - 4) Connecting L/RBOs with donors and other financiers to generate funding and promote financing options.
 - 5) Hosting continent-wide databases and being an African information hub for transboundary water matters, resting on the existing information systems and observatories of the basin organizations.

II. Strategy

2.1 Project Rationale and Policy Conformity

26. The situation analysis discussed above identifies entry points for ANBO to address the issues identified. The stakeholder consultations conducted as part of the development of the ANBO Strategy have identified that ANBO and AMCOW could help facilitate the development of basin-specific agreements in line with the adopted regional legal frameworks⁴ in support of establishing L/RBO/GCs for all major basins and aquifers where they do not yet exist. ANBO can also assist with the development of approaches to integrating socio-economic aspects in water management policies. Most national policies are not harmonized with regional policy objectives, which affects the effectiveness of joint planning among member states. ANBO could therefore promote national policy harmonization with regional objectives as a way of promoting more effective regional integration, socio-economic development, climate resilience and peace building, in line with the ANBO Strategy and its implementation.
27. ANBO is strategically positioned to provide technical support to both AMCOW and L/RBOs for member states' benefit; however, its activities have been limited due to technical capacity and financial resource constraints. A renewed impetus towards ANBO performing the roles it is positioned to perform has been created through the Strengthening the Institutions for Transboundary Water Management in Africa (SITWA) project financed by European Commission which has been under implementation in support of ANBO over the past two years and is set to end in 2016⁵. The SITWA project aims at strengthening regional

⁴ Where they exist. Where such regional legal framework is absent, ANBO, as a technical arm of AMCOW specialized in transboundary water resources management matters, should motivate RECs (through AMCOW and AU) for the development of such regional legal framework.

⁵ The SITWA project has two main objectives:

Objective 1: ANBO transformed into a sustainable and influential organisation as a pillar under AMCOW. The project aims at transforming ANBO into a sustainable and influential organisation, as a pillar under the African Union (AU) and AMCOW framework that supports the development of lake and river basin organizations as catalysts for policy and institutional development, knowledge and information management and capacity development on transboundary water management and development.

Objective 2: ANBO programme implemented and technical assistance provided through the RECs. Under this objective ANBO with GWPO support will provide technical assistance to the L/RBOs (through the RECs and their respective member states) to develop IWRM strategies and plans (including addressing vulnerability to floods and droughts, priority issues for short and long term development, water quantity analyses and water quality objectives, etc.) in the river basins where they are not yet developed, and to implement plans where they exist.

The SITWA project is implemented in two phases: an inception phase and an implementation phase. The inception phase has been completed at the end of 2013, with the implementation phase starting from January 2014 to December 2016. 2.5million Euro is allocated to the implementation phase (co-financing for the proposed project).The SITWA inception phase provided a good baseline for the proposed project, identifying the governance gap for the transboundary water management in Africa and a few key strategic entry points for ANBO. The main output of the SITWA inception phase was an extensive stakeholder consultation process that resulted in the identification of key strategic areas where ANBO has a strategic advantage in providing technical support and policy

cooperation for the sustainable management of transboundary water resources in Africa, with emphasis on supporting ANBO as the African continent's common transboundary water resources management platform as recommended by the Tekateka Committee. SITWA is implemented by the Global Water Partnership Organisation (GWPO) in partnership with the ANBO Technical Secretariat hosted by the Senegal River Basin Development Authority (or Organisation pour la mise en valeur du fleuve Sénégal (OMVS)).

28. The proposed UNDP-GEF project aims to strengthen transboundary water governance in Africa working through the framework of the African Network of Basin Organization (ANBO). At the continental level, ANBO has been formally recognized as the technical arm of AMCOW on transboundary water resources management. The project will assist ANBO in effective execution of this role. At the national level, the project will engage with relevant entities of national governments which represent the respective governments at the Lake and River Basin Organizations as well as with Groundwater Commissions wherever these have been formed. L/RBOs continue to assume greater roles in regional integration and development as they define manageable units within which development planning occurs. At the sub-regional level the project will engage with the Regional Economic Communities, which in some regions of the continent have been responsible for the establishment of L/RBOs, to promote the mainstreaming of Integrated Water Resources Management into the regional socio-economic development agendas.

29. In supporting ANBO, the proposed UNDP-GEF project will work closely with the EU-GWP SITWA project, building on their support and maximizing synergies. In addition, ANBO has been exploring various areas of cooperation with and support from the Multi Donor Trust Fund for the Cooperation on International Waters in Africa (CIWA MDTF), administered by the World Bank. ANBO has been collaborating informally with the CIWA team on an assessment of transboundary watercourse organisations across Africa with the results discussed at the Africa Water Week 2016 and finalized through a joint publication. ANBO is exploring the possibility of direct transitional financial support from CIWA to ANBO's core operating expenses. Several specific areas of potential support have been incorporated in the activities identified in the ANBO work plan. Potential areas identified to be supported by CIWA include:

1) water resources information sharing among River and Lake Basins organizations

implementation guidance to stakeholders. The identified key strategic areas have been summarised in the ANBO strategy which was adopted by the ANBO General Assembly in Addis Ababa, Ethiopia in February 2015.

ANBO, with support from the SITWA project and GWP, managed to engage with its stakeholders extensively and positioned itself as a strategic role-player in transboundary water management in Africa. Further, the SITWA inception phase helped ANBO identify strategic roles that the network can play. The SITWA project will continue to support the strengthening of ANBO in some of the identified key strategic areas during its implementation phase.

2) investment planning and resource mobilisation

3) capacity building and exchange programmes among River and Lake Basins organizations

30. ANBO is proposing to convene a meeting with development partners, including World Bank, UNDP, EU, to discuss potential areas of cooperation based on ANBO Strategy and Work Plan. Such meeting will enhance the coordination and cooperation efforts of partners supporting ANBO in the near future.

31. **The overall objective of the proposed UNDP-GEF project is:**

To strengthen the coordination and collaboration capacity of African Lake and River Basin Organizations (L/RBOs), Commissions and/or cooperative frameworks for transboundary groundwater management and their Member States towards improved transboundary water governance in Africa through the improved support by the African Network of Basin Organization (ANBO).

32. Under the overall objective, the project is structured in two components, namely

1. Strengthening ANBO's institutional and technical capacity as a technical arm of AMCOW
2. Supporting the capacity building of Lake/River Basin Organizations, Groundwater Commissions and RECs to foster transboundary cooperation

Component 1: Strengthening ANBO's institutional and technical capacity as a technical arm of AMCOW

Outcome 1.1: Institutional capacity of ANBO strengthened to deliver on its statutory mandates.

33. In order for ANBO to effectively provide support to AMCOW as the latter's technical arm on transboundary water management, ANBO itself requires further institutional and technical capacity strengthening. This relates to a clear strategic and programmatic direction (vision, mission, strategy, work plan etc.), the establishment of an effective institutional structure and sustainable financing. The four outputs under this outcome will be achieved through close cooperation with the EU-GWP SITWA project.

Output 1.1.1: ANBO vision, mission and detailed 5-year strategy developed and adopted by ANBO General Assembly (delivered by the EU SITWA project)

Output 1.1.2: Institutional design for ANBO Secretariat agreed and Secretariat made fully operational

34. These two outputs are fully co-financed by the EU/GWP SITWA project. The ANBO vision, mission and detailed 5-year strategy and work plan, which have recently been ratified and adopted by the General Assembly in 2015 will provide the foundation for follow on support for the development of the institutional design options of the ANBO Secretariat. The institutional design options are under development through the SITWA support and expected to be completed in early 2016. UNDP-GEF support to ANBO on the institutional capacity strengthening will be largely guided by the institutional option ANBO agrees on.

Output 1.1.3: Relevant policies and procedural manuals (HR policy, FM policy, gender policy etc.) for effective and efficient operations of ANBO Secretariat developed and applied

35. In line with the agreed revised institutional structure of ANBO, the UNDP-GEF project will, through support the setting up of an effective ANBO Executive Secretariat through the development of the necessary policies and procedural manuals (e.g. on human resources management, financial management, gender policy, stakeholder engagement policy etc.).

Output 1.1.4: Financing options for ANBO analysed for its sustainability to function as a technical arm of AMCOW

36. The project will support the crucial aspect of ANBO's long-term financial sustainability in analysing potential financing mechanisms and developing options for ensuring mid- and long-term financial stability of the organization.

Outcome 1.2. ANBO's technical, knowledge and information management capacity strengthened to serve as a technical arm of AMCOW focusing on transboundary water resources management, including groundwater.

37. A key technical role for ANBO to play is that of a pan-African information and knowledge hub for transboundary water management. This is in support of AMCOW in guiding future policy discussions as well as of L/RBOs in the development of IWRM plans. ANBO was involved in the African Water Documentation and Information System initiative, financed by the European Water Facility from 2007-2010. A preliminary African Water Information System (AWIS) has been developed through the initiative and is now hosted within OMVS (currently ANBO host organisation).

Output 1.2.1: ANBO's information management capacity strengthened through the enhancement of the African Water Information System (AWIS) on data related to transboundary water management, including groundwater.

Output 1.2.2: Support to information exchange and synthesis (knowledge management and open/online access, thematic databases, development of regional indicators etc.) at regional and pan-African level provided, with specific emphasis on AMCOW water sector reporting requirements.

Output 1.2.3: ANBO's website strengthened to make it as a premier information exchange platform for Africa's transboundary basins and aquifers.

38. For ANBO to fully function as the continent's premier information and knowledge hub for transboundary water management, the AWIS needs to be considerably enhanced and its functionality as a meta-database linked to L/RBO and national level databases improved. The three outputs listed above will be achieved through technical support to the enhancement of the AWIS and its increased integration with other relevant information systems at pan-African, regional (RECs), basin and, where possible, national level. Specific emphasis in this regard will be placed on the integration of groundwater information, which is at present only included in the AWIS to a very limited extent. ANBO will be supported by the UNESCO Centre on groundwater, i.e. the International Groundwater Resources Assessment Centre (IGRAC) through its Global Groundwater Information System (GGIS) to assess, develop and manage groundwater resources through information sharing. IGRAC will work with ANBO to establish a groundwater information portal including hydro-geologic, environmental and sex disaggregated socio-economic data, for use in planning for conjunctive management of surface and ground water. This new portal would serve as the groundwater component of the African Water Information System and will be located in the Global Groundwater Information System (GGIS). The portal can support information exchange and store data from transboundary basins and aquifers at regional and Pan-African level, facilitating knowledge management by providing online access to thematic datasets considering the hydrogeological, environmental, socioeconomic, legal and institutional aspects of transboundary groundwater resources. Another goal of the portal would be to stimulate and support partnerships between organisations, which can undertake repeated follow-up assessments and interventions, during and beyond the duration of the project and to trigger cooperation amongst them. Through linking and integrating the ANBO website with the AWIS and GGIS, ANBO's website will be improved to become the premier information exchange platform for Africa's transboundary basins.

Output 1.2.4: ANBO's technical capacity strengthened to represent transboundary perspectives and interests on behalf of L/RBOs and groundwater commissions at AMCOW's technical task forces, such as M&E task force for water resources and transboundary waters, to mainstream transboundary concerns into AMCOW discussions.

39. The strengthening of the technical systems housed within ANBO will be complemented by human capacity building for ANBO (Secretariat staff and Member Organisations) that will enable the organisation and its Members to more effectively represent transboundary water management perspectives in relevant policy dialogues. Specifically, this will also assist ANBO in carrying out its role as a technical committee of AMCOW on transboundary water management aspects and through this significantly increase the visibility and contribution of ANBO and its Members in continental policy making.
40. Outputs 1.2.1 through 1.2.4 of this Outcome will be delivered in partnership with UNESCO. The project budget to be implemented by UNESCO is shown in the separate project document, accompanying this project document, to be signed by UNESCO.

Output 1.2.5: Financial options to sustain technical and financial capacity of ANBO for maintaining AWIS and ANBO web platform, participation in tasks forces and other related political and development processes analyzed and recommendations made to ANBO General Assembly

41. Financial support by donors to ANBO is limited in volume and likely in time. Developing a sustainable finance strategy for ANBO is therefore critical in order for ANBO to achieve a greater independence from donor finance and ensure financial sustainability in the long-run. In close collaboration with the SITWA-project, this project will therefore support the identification (and development) of financial options that ensure the mid- to long-term financial sustainability of ANBO.

Outcome 1.3: ANBO's capacity as a clearing house for AMCOW on information related to climate change, vulnerability analysis and adaptation strategies of African transboundary basins strengthened.

42. The issue of climate change is one of the main environmental threats facing water resources management in Africa and adaptation to climate change and building resilience is high on the agenda of transboundary L/RBOs as well as of RECs. While numerous studies on climate models, climate change predictions, vulnerability assessments etc. are carried out and adaptation strategies developed, there is at present very limited exchange of experience and best practice between basins and basin states. ANBO is in a strategic position to become the central hub for climate change (adaptation) related information and knowledge exchange on the continent, as far as transboundary water management is concerned.

Output 1.3.1: Meta-database for studies related to climate change predictions, vulnerability assessment, and adaptation strategies of African transboundary basins developed.

Output 1.3.2: Case studies/ best practices/ lessons learnt from L/RBOs on financing and implementing (transboundary) climate change adaptation initiatives developed and disseminated through AMCOW

Output 1.3.3: ANBO guidelines on climate resilient infrastructure development for L/RBOs developed and disseminated through AMCOW

Output 1.3.4: At least four transboundary water commissions (L/RBOs and/or Groundwater Commissions) sensitized and trained on the use of ANBO's meta-database through related capacity building workshops and training sessions (in cooperation with WACDEP programme)

43. The three outputs under this outcome will be achieved through the development of a meta-database for studies related to climate change and climate change adaptation and the development of case studies and best practices and their dissemination through the ANBO website and through AMCOW. Ways to link the climate change related information collected and the AWIS will be also explored. Further, a specific emphasis is placed on the development of guidelines on climate resilient infrastructure development of L/RBOs, which will inter alia support a portfolio of projects developed by the Programme for Infrastructure Development in Africa (PIDA), an AUC-led, multi-donor funded pan-African initiative executed by African Development Bank. It is also recognised that UNESCO IHP and GIZ have been supporting programmes focussing on these areas in a number of regions across the continent. The lessons from these programmes will need to be collected and packaged for use under the proposed GEF supported project. Related capacity building actions, workshops and training sessions will also be conducted (in cooperation with the WACDEP Program⁶) to root these guidelines into management practices and increase understanding of available tools and mechanisms.

44. Output 1.3.4 of this Outcome will be implemented in partnership with UNESCO. The project budget to be implemented by UNESCO is shown in the separate project document, accompanying this project document, to be signed by UNESCO.

⁶ Water, Climate and Development Programme (<http://www.gwp.org/wacdep>)

Outcome 1.4: ANBO communication, monitoring, evaluation and adaptive management capacity strengthened

Output 1.4.1: ANBO communication strategy developed

Output 1.4.2: Policy briefs on transboundary groundwater management produced and disseminated

45. After a relatively long period of dormancy in communication (as for example reflected in the outdated website), ANBO has more recently somewhat increased its communication activities through the support of the SITWA project. ANBO's communication activities are currently carried out by a communication officer hired under the SITWA project. However, communication activities are on an ad-hoc and as needed basis, without forming part of a clear, targeted communication strategy. With communication and outreach being one of the potential main strategic advantages of ANBO (as a continental network and AMCOW committee on transboundary water management), this project will support ANBO in the development of a communication strategy. This communication strategy will be clearly aligned to the ANBO focus areas as defined in the ANBO Strategy and Action Plan (of 2014), define target audiences, potential means of communication and outreach and define roles and responsibilities of ANBO Secretariat staff (and potentially Member organisations) in the context of communication.

46. The strategy development will be complemented by supporting the development of specific communication and outreach publications with an emphasis placed on policy briefs on transboundary groundwater management, as the latter has been identified through the ANBO Strategy and stakeholder consultation as a key area for ANBO to contribute to awareness-raising and knowledge, information and experience exchange.

Output 1.4.3: Regular project progress monitoring, evaluation and adaptive management

47. With ANBO significantly increasing its project portfolio in light of the adopted ANBO Strategy and Action Plan, ANBO's programme and project management capacity needs to be strengthened. The proposed project's regular progress monitoring and reporting activities as well as full-scale evaluation (at mid-term and end of project) will assist ANBO in building project monitoring, evaluation and adaptive management capacity and thus strengthen the organisation's overall project and programme management and implementation capacity, which will benefit ANBO beyond the duration of the proposed project.

Component 2: Supporting the capacity building of Lake/River Basin Organizations, Groundwater Commissions and RECs to foster transboundary cooperation

Outcome 2.1: Information and data management capacity of L/RBOs and Groundwater Commissions strengthened.

Output 2.1.1: Knowledge management capacity needs assessment carried out for African L/RBOs and target L/RBOs selected for capacity strengthening (fully funded by EU/GWP SITWA project). Lessons learned and best practices extracted and disseminated.

Output 2.1.2: Transboundary data management and information sharing systems (data exchange/management protocols, common referential and priority topics, data exchange scenarios and tools, data exchange platforms etc.) implemented for two selected L/RBOs and one Groundwater Commission, then linked to AWIS.

48. ANBO, as an umbrella organization for the African L/RBOs and as a technical arm of AMCOW, which is a specialized committee of AU, is well positioned to provide technical support to both L/RBOs and RECs so that the capacity of these two types of institutions is further improved to foster transboundary cooperation. It is critical that ANBO provides concrete, practical support to these stakeholders. Outcome 2.1 is closely linked with Outcome 1.2 on strengthening ANBO's information management capacity. In this connection it is important to note that the generation of data and its management is an important investment of resources as without data planning is in-effective. Based on a knowledge management capacity needs assessments to be commissioned under the SITWA project, the UNDP-GEF project will support RECs and selected L/RBOs in the establishment and/or strengthening of transboundary data exchange and information systems, including the development of technical data exchange tools and platforms as well as data exchange protocols and/ or guidelines.

49. A key element of this output will be the integration of the supported REC and L/RBO data management and exchange systems with the AWIS. Collection of socioeconomic and environmental data/information for basin planning will be strongly and consistently promoted to aid basin planning based on the IWRM principles and to support the development of sound policy recommendations. ANBO is the only continental body of its type in the water sector and will play a critical role in hosting databases and acting as the information hub for water across the African continent. The organization can also support data sharing and the development of data sharing protocols and become a key data sharing interface among RBOs and RECs. Working with international organizations with expertise in this area, ANBO will establish a data portal to demonstrate data collection methods, data storage and transfer procedures as well as dissemination. ANBO will also work with international organizations

supporting water resources management to develop a toolbox for knowledge sharing among African RBOs covering issues such as hydrometeorology and the impacts of climate change on water resources.

50. In collaboration with IGRAC the project will also link the selected basin commissions with the Global Groundwater Monitoring Network (GGMN). GGMN is a participative network, led by IGRAC within a UNESCO programme, set up to improve the quality and accessibility of groundwater monitoring information and subsequently knowledge on the state of groundwater resources. The GGMN consists of two components: the GGMN Portal and the GGMN People Network. The GGMN Portal assists in the analysis of monitoring data and enables periodic assessment of groundwater resources at the regional and transboundary scale. Within the global people network, groundwater professionals are gathering, processing and sharing data and information on groundwater resources. The exchange of experience during the several regional GGMN workshops has led to the development of new functionalities, including statistical tools for groundwater analysis and web services for interoperable data exchange improving participatory groundwater monitoring. The GGMN portal functionality is suitable for use at the Pan-African level as well.

51. In the context of this Outcome, the Key Performance Indicators (KPIs) for RBOs developed under a previous ANBO initiative form an important guideline document for RBOs in the organization and streamlining of their operations. The KPIs will inform and guide the implementation of project activities wherever possible and appropriate. The KPI are particularly likely to inform the establishment and enhancement of data management procedures and communication and knowledge management support provided to ANBO itself as well as to the RBOs and RECs through this Component 2.

52. Outputs 2.1.1 and 2.1.2 will be implemented in partnership with UNESCO.

Outcome 2.2: RECs capacity to foster international cooperation among its member states to manage transboundary waters strengthened.

Output 2.2.1: REC's (transboundary) water resources management focal points and selected L/RBO and/or Groundwater Commission representatives trained in transboundary water law and legal relationship between international water law and domestic law and policy; sensitized and trained on the benefits and other international, regional and domestic implications of the international legal framework for transboundary water cooperation

53. The UNDP-GEF project will respond to some key stakeholder needs identified during the continent-wide consultations carried out by the SITWA project in 2013. Based on a legal and

institutional needs assessment of RECs and L/RBOs carried out by the SITWA project, support will be provided to RECs to sensitize and train them on potential benefits of multi-country cooperation for transboundary water management on the regional economic development and peace building, as well as on international, regional and domestic implications of the international legal framework for transboundary water cooperation (i.e. the UN Watercourse Convention, or the UNECE Convention, which is now open for accession to all countries). Readiness to accede, support to convention implementation, data collection, monitoring and reporting requirements related to convention implementation are among the topics that will be covered. In addition, training will be provided to water sector professionals from selected basins and RECs on transboundary water law, and specifically the crucial aspect of harmonizing international water law with national law and policy. These activities will be implemented in collaboration with the United Nations Educational Scientific and Cultural Organization International Hydrological Programme (UNESCO IHP) based on its extensive experience on hydro-diplomacy and transboundary groundwater management and cooperation mechanisms. Aspects regarding groundwater governance and the conjunctive use of groundwater and surface water will be especially highlighted, particularly in the framework of the Draft Articles on the Law of Transboundary aquifers and UNECE Model Provisions on Transboundary groundwaters.

54. Output 2.2.1 will be implemented in partnership with UNESCO.

Output 2.2.2: Lessons learned and best practices of effective REC support to its member states and/or L/RBOs to foster international cooperation for transboundary water management identified, discussed and disseminated among RECs and L/RBO/GC.

Output 2.2.3: Dialogue platform/s among RECs and other regional stakeholders established to stimulate international as well as multi-sectoral cooperation and reflect development issues under water and climate security framework (in cooperation with WACDEP programme).

55. As stated earlier, the majority of Africa's rural population depends upon groundwater for their primary water requirements. In many cases, groundwater is used conjunctively with surface water. In recognition of this, AMCOW established the African Commission on Groundwater in 2007 to spearhead the management of groundwater which had hitherto not received the same attention as surface water. IGRAC was mobilised to support the assessment of groundwater resources through its Groundwater Information System as a way of generating data and information for use in promoting transboundary cooperation in the management of groundwater resources. The UNDP-GEF project has selected two transboundary sites in the in the Senegal (Senegalo-Mauritanian Aquifer) and Orange-Senqu (Stampriet Aquifer) basins where pilot projects will be implemented to develop approaches to the role of groundwater supply at the regional scale and conjunctive use of surface and groundwater when these are

both available. IGRAC will also support activities at the two sites aimed at fostering data sharing and cooperation on groundwater through its Global Groundwater Monitoring Network where monitoring data can be stored and analysed, and where professionals are gathering, processing and sharing data and information on groundwater resources. In addition to groundwater assessment IGRAC has also worked with BGR, Cap-Net, IWMI and the ex-GW·MATE team (World Bank), IGRAC to develop a course on Groundwater Management for River Basin Organisations. The course is the combination of two initiatives: 1) the idea of IGRAC and Cap-Net to give a second life to the wealth of material in the 10 -year legacy of GW·MATE and to combine this with previous work on Groundwater Management in IWRM, and 2) the BGR lead initiative to execute an extensive "Needs Assessment to Support Groundwater Management in International Basin Organisations of Africa". This course aims to strengthen L/RBOs role as main actors in integrated and transboundary water resources management in Africa to foster transboundary cooperation.

56. Building on the experience of UNESCO-IHP regarding principles on groundwater governance and case-oriented assessment in the region (e.g. on-going project on Stampriet Aquifer), good practices and main lessons will be shared. In addition, through the UNESCO-IHP ISARM network of experts in Africa, a groundwater experts advisory committee to address the issue of groundwater management and governance will be established. The committee will be in charge of producing groundwater policy brief and technical related documents (i.e. it will work also under the output 1.2 of this project). This activity includes also the preparation of key message and dissemination from the pilot studies (Stampriet Aquifer/ORASECOM and Senegalo-Mauritanian Aquifer/OMVS) in coordination with IGRAC.
57. The project will also support regional multi-sectoral dialogues in line with the Sirte Declaration on water, energy and agriculture nexus in selected Lake and River basins to generate lessons for replication across the continent.
58. The project will set aside at least 1% of the GEF finance committed to this project for portfolio learning activities organized by GEF IW:LEARN to ensure that ANBO and its members' valuable experience are shared with the broader IW community and ANBO and its members benefit from experiences and lessons learnt in other parts of the world. The project will actively participate in the GEF biennial International Waters Conference throughout the project implementation period, participate in any relevant regional workshops organized by IW:LEARN, produce at least two IW Experience Notes during the project implementation period, and keep the project info on the IW:LEARN website updated to showcase project results and lessons learnt.

Outcome 2.3. Financing/Resources mobilization capacity of L/RBOs and Groundwater Commissions strengthened.

Output 2.3.1: ANBO in-house capacity to gather and disseminate financial opportunities related to transboundary water resources management (including peace building through resource management cooperation, resilience building through cooperation, etc.) strengthened to benefit its Member Organizations.

Output 2.3.2: Capacity building workshops (at least 2) for L/RBOs and Groundwater Commissions on financial resources mobilization carried out (including sharing lessons regarding effective donor conferencing, effective ICP coordination, etc.)

Output 2.3.3: Donors and partners coordination group/s established to monitor available resources and funding possibilities for long-term development and strategic support (in cooperation with GWP and WACDEP Programme).

59. This outcome corresponds directly to the expressed need of L/RBOs of getting support in financial resource mobilization. This need has been expressed through many fora where African L/RBOs gathered in the past, including the Regional targeted workshop for Africa organized by IW: LEARN 3. Specifically given ANBO's role as technical arm of AMCOW, and the resulting political support from the latter, the stakeholders considered ANBO as well positioned to provide resource mobilization support to L/RBOs through facilitation and technical advice. The UNDP-GEF project supports ANBO to build its capacity to collect and disseminate information on funding opportunities for various themes related to transboundary water resources management in close consultation with its members. At least two capacity building and training workshops for L/RBOs on financial resource mobilization aspects will be carried out for L/RBOs to share their practical lessons with other L/RBOs. Further, donors and partners coordination group/s established to monitor available resources and funding possibilities for long-term development and strategic support (fully supported by GWP).

60. The proposed GEF project is consistent with the IW focal area objective 1: "Catalyze multi-state cooperation to balance conflicting water uses in trans-boundary surface/groundwater basins while considering climatic variability and change" and GEF 5 Strategic Programme 3: "Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based, joint management of transboundary water systems". As the umbrella organization for L/RBOs in Africa, ANBO will promote multiple state cooperation in the management of shared water resources and link the programmes developed through this process into the programmes of AMCOW. The integration of climate change adaptation in project development and management will also be effectively managed through this arrangement. ANBO is also appropriately positioned to promote information sharing and

capacity enhancement among the institutions that are responsible for water resources management across the African continent.

2.3 Stakeholder Participation

61. The project recognizes the importance of public participation and engagement of civil society organizations, including gender groups, in discussions pertaining to transboundary water management. Not only can they make valuable contribution to discussions that form basin planning, water resources management and policy recommendations to decision makers, but also they have strong capacity and experience in outreach especially to local communities who affect and are affected by basin-wide planning. Their contribution in sensitizing local communities on transboundary issues have been proven significant through other GEF-financed projects in Africa in the past 20 years. The project intends to benefit from their experience and perspectives during the project development phase as well as during the project implementation. To this end, the project will ensure the involvement of at least two civil society organizations (one from Francophone and the other from Anglophone countries) and at least one gender expert in both the inception workshop as well as throughout the project implementation. Cost effective ways to engage the civil society in the discussions of transboundary water management at the ANBO level (instead of a basin or country level) will be applied based on ANBO's structures and established mechanisms for stakeholder engagement.
62. The proposed project will contribute to the increased accessibility to information and data for African transboundary basins for all, including civil society organizations, academic institutions, water managers, economists, decision makers, politicians, L/RBOs and Groundwater Commissions, the donor community, within and outside of Africa. Such increased accessibility to information by all will facilitate informed decision making and stimulate meaningful stakeholder engagement on transboundary water management issues in Africa.

Gender Mainstreaming and Women's Empowerment

63. The project will make conscious and continuous efforts to mainstream gender considerations and to empower women through the project interventions. In addition to the development of ANBO Gender Policy (Output 1.1.3), the project will, through ANBO, support R/LBOs to implement their existing Gender strategies/guidelines, where such documents exist. Also, the project will sensitize ANBO and R/LBOs the objective and contents of the AMCOW Gender Strategy to support indirectly its implementation. It will also actively collect lessons learned and best practices for wide dissemination on gender mainstreaming efforts and women's
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empowerment activities, in particular those efforts in the context of transboundary water management, as part of its communication activities. In order to track progress on gender mainstreaming and women's empowerment efforts made by the project, a set of gender aggregated data/indicators to be tracked by the project and by the ANBO will be identified during the project inception phase.

2.4 Key Indicators Risks and Assumptions

64. The achievement and institutionalization of a robust governance structure for the effective management of transboundary water resources is a complex and challenging task. There are legal challenges emanating from the different legal systems across countries and regions as well as institutional challenges due to the different institutional arrangements for water resources management in the different administrations. These institutional challenges become more evident when water management projects are structured to involve multiple sectors in keeping with the principles of IWRM. An additional challenge is in relation to financial management as no public funds collected by a single government are primarily meant for 'transboundary' benefits. Nonetheless, many governments recognize the need to allocate their resources to deal with transboundary water resources management issues - for potential shared benefits and to prevent future damages – and many L/RBOs have been established in the past few decades in the various regions of Africa to advance this objective. GEF has been supporting a number of African L/RBOs in the last two decades to strengthen their institutional capacities and to implement some of their programmes of activities at both national and transboundary levels.
65. Key indicators of the achievement of the project objectives will include among others:
- The overall functioning of the ANBO Secretariat, i.e. relevant policies, guidelines and systems in place and being used
 - Significantly enhanced AWIS housed in ANBO and integrated with a selected number of L/RBO information systems
 - ANBO website available, and linked to AWIS, as a central resource on transboundary water management (incl. groundwater) information on the continent
 - ANBO meta-database functioning as central repository for climate change (vulnerability) related information related to transboundary water management on the continent
 - Selected L/RBOs and Groundwater Commissions trained on the use of AWIS, and climate change meta-database
 - Selected RECs and L/RBO and Groundwater Commission representatives trained on international water law, transboundary cooperation and resource mobilization
 - Options for financial sustainability for ANBO explored and financial sustainability strategy adopted
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66. The achievement of the objectives of the proposed project is predicated upon a number of assumptions including continued political will among countries that share resources in Lake and River basins to promote transboundary cooperation and to share information on the available resources. ANBO will also need to be recognised by RECs as a relevant body in fostering transboundary cooperation in the management of water resources from the local to the continental scales.

2.5 Financial Modality

67. The Incremental Cost that this project is proposing for GEF to support is the costs associated with the promotion of linkages among African L/RBOs through information exchange and capacity enhancement for the promotion of sustainable water resources management. GEF support is also sought to cover the costs to link L/RBOs closely to RECs and AMCOW/AU so that the voices and interests of L/RBOs will be more reflected in the policy discussions influencing future water resources development in Africa that take place at REC and AU level. ANBO is identified as an ideal institution to facilitate this but the capacity of the organization needs to be strengthened for it to effectively play this important role. The proposed UNDP-GEF Medium-sized Project will provide targeted capacity development support to build ANBO's technical and institutional capacity and to strengthen ANBO's strategic position to work with L/RBOs, RECs, and AU (through AMCOW).

68. The UNDP-GEF project will be implemented in close collaboration with the implementation phase of the SITWA project supporting ANBO as described in the section above. Further, the proposed intervention towards information management capacity building of ANBO will be built on the efforts and outcome of the African Water Documentation and Information Systems initiative (2007-2010), in particular the AWIS, its main output and the information management system that is now transferred to ANBO.

69. The project will also be closely coordinated with ongoing and recently concluded relevant interventions lead by AMCOW and AU. AMCOW has secured a €2 million grant from the African Water Facility (AWF) to establish a monitoring and reporting system for the water sector in Africa in late 2013. The 2-year project is in line with the Africa Water Vision call for action for the creation of a sustainable system for monitoring and sharing of information on all aspects of water use on the continent. Its objective is to develop a harmonized national, basin and regional water sector monitoring and reporting system in Africa to enable AMCOW to report annually to the African Union (AU) Summit on the state of water in Africa. The project will also assist AMCOW and AU to establish a data management system that will drive continuous credible reporting on the sector on the state of water development and use for decision making at the level of Heads of State and Governments. The project to be

implemented by AMCOW Secretariat over a period of 24 months consists of four main components: (i) preparation of a harmonized reporting system and format; (ii) preparation of the annual reports based on harmonized system (iii) capacity building of AUC and AMCOW including establishment of data management and reporting platform as well as training and (iv) project management. AMCOW has already established a technical task force on monitoring and reporting. The proposed UNDP-GEF project will support ANBO to work closely with AMCOW through this task force and contribute transboundary perspectives to the ongoing monitoring and reporting and information management efforts.

2.6 Cost Effectiveness

70. The project is closely coordinated with the EU funded SITWA project and builds directly on outputs from that project, including the ANBO Strategy and Action Plan. Synergies, and thus cost savings, are created through designing outputs of this project that respond directly to priorities/ needs identified through the SITWA project. As a consequence the project funds can be spend directly on already identified priority activities with no funding used for scoping, needs assessments etc., thus maximizing the impact of the project funds.
71. The project also aims to achieve the cost effectiveness by coordinating with many R/LBOs and Groundwater Commissions in Africa through its network organization – ANBO. Most of the project activities will be delivered through ANBO as ANBO implements its newly adopted Strategy. The project will also work closely with AMCOW through ANBO on the pertinent transboundary water resources management issues in Africa. By choosing ANBO as an entry point for this project intervention, GEF finance will be strategically linked to transboundary water resources governance discussions in the continental Africa scale in a cost effective manner.

2.7 Sustainability

72. ANBO guidelines on climate resilient infrastructure development for L/RBOs are specifically designed to support the effective involvement of L/RBOs in infrastructure development discussions initiated under the PIDA and to link the ‘soft’ transboundary policy and management discussions with the ‘hard’ infrastructure driven discussions. The project will contribute to strengthening pan-African transboundary water governance and knowledge management frameworks. Through strengthening ANBO as the technical arm of AMCOW on transboundary water management, AMCOW will have a permanent focal point on transboundary water management matters, which in turn represents the broader L/RBOs community on the continent. Through this, policy guidance to African Ministers will be provided in a more coherent manner and representative of the practical challenges facing transboundary water management in all regions of the continent. At the same time, the
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dissemination and implementation of AMCOW policy decisions at REC and basin level, through the respective Member States, will be significantly improved. The full establishment of the AWIS as the continent's premier knowledge platform for transboundary water management information will further strengthen these effects.

73. Through the technical support provided to RECs and L/RBOs on knowledge management, legal and institutional issues and financial resource mobilization, some of the most pressing challenges facing the majority of L/RBOs will be addressed, thus assisting those basins to better manage the environmental challenges they are facing and contributing to long-term sustainable management of transboundary basins.
74. The global environment benefits that will be realized through this project include: improved governance in the management of transboundary water resources management in Africa and the realization of ecosystem based- IWRM planning and implementation in the various L/RBOs. ANBO has been identified as a suitable vehicle to effectively fill some of the identified governance gaps and capacity needs at continental and regional levels with respect to the management of these global environmental problems. With it being the umbrella organization that brings together the L/RBOs on the African continent ANBO facilitates the exchange of experiences and best practices among these institutions so that they can learn together and from each other. Many L/RBOs are already supported by GEF through the International Waters portfolio. Linking them under the single umbrella will therefore help consolidate the overall expected results from GEF interventions in Africa at the portfolio level.
75. Choosing ANBO as an entry point to support Africa in its effort to improve transboundary water management is innovative and holds a lot of promise for the sustainability of the project beyond its implementation. ANBO is made up of L/RBOs which were created by individual countries that share resources with their neighbours coming together to collaborate in the development of management systems and information systems that are compatible and comparable across their borders. The various RECs on the African continent have also been a motivating force for promoting transboundary cooperation in the management of shared resources such as water while in some instances the development of RBOs was initiated by the countries themselves without the motivation of RECs. The involvement of the L/RBOs and RECs in the implementation of the proposed project will promote increased ownership among these institutions and ensure sustainability of the programme into the future. This will be further enhanced through the project's focus on mainstreaming national strategies and plans such as National Action Plans, Poverty Reduction Strategies and National Communications under the various international conventions into its logic. This will result in increased sustainability of project outputs in the future.

76. With an aim to ensure the sustainability of the project impacts expected to be achieved through the project's efforts on portfolio learning, the project will explore, during its implementation phase, a more formal institutionalized partnership arrangement between ANBO and the GEF IW: LEARN which can continue beyond the project implementation period. As ANBO is not a project but an established institution, any potential partnership to be explored must be discussed following its protocol and a formal agreement to be signed by ANBO to realize such partnership must be vetted through its established procedures.

2.8 Replicability

77. The project builds strongly on the momentum and stakeholder support generated through the inception phase of the SITWA project. Extensive stakeholder consultations carried out under the SITWA project improved the visibility of ANBO as a key role-player in transboundary water management in Africa. Their position is further strengthened by its close alignment with AMCOW as the latter's technical arm. Now ANBO is widely seen by stakeholders (AMCOW, RECs, L/RBOs) as occupying a strategic niche as the continent's premier information and knowledge hub on transboundary water management. Likewise, ANBO is expected to play a facilitation and supporting role when L/RBOs need any specific technical support (e.g., in areas of legal and institutional development of L/RBOs, resource mobilization, etc.).
78. The UNDP-GEF project will assist ANBO to meet some of those expectations and deliver expected technical support to its key stakeholders. The project will also support strengthening ANBO's resource mobilisation capacity through the development of the long-term financial sustainability strategy for ANBO. It is expected that if the project meets its expected objectives it will help secure additional resources to support ANBO's core budget, leading to the long-term sustainability. Discussions will therefore be held with a number of potential cooperating partners who are keen to contribute to the improved transboundary water management in Africa at continental level during the development of this project document as well as during the project lifetime.
79. The proposed project has limited funding and can therefore only be implemented at pilot scale. However, the lessons generated from the interventions at these pilot sites provide huge scope and potential for scaling up and replication. The proposed strengthening of AWIS at ANBO which is to be linked to the information management systems at L/RBO level, for example, will be piloted in two selected basins by this project. This effort can and should be in the long-run scaled up to many more African L/RBOs in order to create a comprehensive knowledge management platform for transboundary surface and groundwater management in Africa.
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80. In Africa a lack of available information is considered as one of the barriers against making sound decisions in realizing Integrated Water Resources Management (IWRM) at all levels. The reasons for the poor and limited access to the data useful to make sound decisions to realize IWRM at transboundary level are multiple and diverse, with the main reasons being a lack of basic data generation, incomplete and dispersed data, lack of homogeneity and comparability of data, lack of traceability of existing datasets, lack of policies or protocols regulating the access and dissemination of relevant information, confidentiality of collected data, lack of capacity to organize them. AU, AMCOW, RECs, L/RBOs are all generating or disseminating some sort of information but they are not always coherent or compatible.
81. At the transboundary basins level, the existing L/ RBOs are often developing basin-wide IWRM plans (including addressing vulnerability to floods and droughts, priority issues for short and long term investments, water quantity analyses and water quality objectives, etc.). When they develop their IWRM Plans, they often develop some kind of information management systems. With this effort, some elements of information and documentation resources about African basins are widely available on the internet (e.g. L/RBO websites) but they are scattered and users will have to visit each website to find a complete overall picture of the state of transboundary basin management in Africa. Moreover, each organization has its own way of organizing and introducing knowledge on its website, as a consequence, the search is at times difficult for the users.
82. Management of data and information are complex and daunting tasks, especially in the context of IWRM with its multi-sectoral approach. Data or information available should be comprehensive enough; however, one data set can never serve everyone from various institutions at various levels with varying interests and concerns. Therefore, this project will focus on removing the data and information management barriers related to transboundary waters management with emphasis on IWRM. Having one central and starting point for anyone or any institutions interested in accessing the information related to transboundary waters management should make the access to the desired information easier.
83. Various approaches have been tried and tested at an individual L/ RBO level to build their information management capacity. These efforts include the identification of information needs of the partners (data users but also data producers/managers) with classification of the needs by priority order, the identification and analysis of existing data sources and existing data flow, the support to the development of agreements for data exchange, aiming to answer the need for information generation, the development of tools (databases, geographic information systems, decision support systems, web portals) and procedures for the collection, processing, production and dissemination of the expected information as well as the development of human resource capacity in data management and data processing.
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84. ANBO, as an umbrella organization for African L/RBOs and as a technical arm of AMCOW in particular on transboundary water management matters, is best positioned to create a central and starting point for the information and data management for transboundary water resources management. It will benefit not only L/RBOs but also RECs, AMCOW, AU and its member states. ANBO is best positioned to facilitate the dissemination of best practices and knowledge among L/RBOs and also with the RECs and Member States. ANBO can support building the coherent water information systems and data exchanges procedures between L/RBOs. This can be built on their past efforts that established the African Water Information System (AWIS). A web platform will facilitate increased and easier access to online water related documentation and information. While specific technical infrastructure is built for improved information and knowledge management, ANBO can also make policy recommendations through relevant AMCOW task forces on the need for a policy or protocol for improved information management.

III. Project Results Framework

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: N/A					
Country Programme Outcome Indicators: N/A					
Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): 1. Mainstreaming environment and energy					
Applicable GEF Strategic Objective and Program (GEF-5): IW-1: <i>Catalyse multi-state cooperation to balance conflicting water uses in transboundary surface/groundwater basins while considering climatic viability and change;</i> and IW-3: <i>Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based, joint management of transboundary water system.</i>					
Applicable GEF Expected Outcomes (GEF-5): IW Outcome 1.2: Transboundary institutions for joint ecosystem-based and adaptive management demonstrate sustainability. IW Outcome 3.1: Political commitment, shared vision, and institutional capacity demonstrated for joint, ecosystem-based management of waterbodies.					
Applicable GEF Outcome Indicators: IW Indicator 1.2: Cooperation frameworks adopted and states contribute to financial sustainability. IW Indicator 3.1: Agreed SAPs at ministerial level with considerations for climatic variability and change; functioning national inter-ministry committees; agreed ICM plans.					
Project Strategy	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Project Objective: To strengthen the coordination and collaboration capacity of African Lake and River Basin Organizations (L/RBOs), Commissions and/or cooperative framework for transboundary groundwater management and their member states towards improved transboundary water governance in Africa through improved support by the African Network of	Cooperative framework for transboundary water resources management among Lake and River Basin Organizations and Groundwater Commissions in place and operational	ANBOs role as continental coordinating body for transboundary water resources management is not fully developed. Lake and River Basin Organization do not collaborate across their borders in managing transboundary water resources including groundwater	ANBO is effectively promoting cooperation among Lake and River Basin Organizations and Groundwater Commissions for transboundary water resources management.	ANBO reports to AMCOW. Lake and River Basin Organization reports to RECs	R: L/RBOs and RECs do not recognize ANBO as a coordinating body for transboundary water resources management. A: AMCOW continue recognizing ANBO as their technical arm for providing transboundary water resources management services.

Basin Organizations (ANBO)					
Component 1: Strengthening ANBOs institutional and technical capacity as technical arm of AMCOW					
Outcome 1.1: Institutional capacity of ANBO strengthened to deliver on its statutory mandates	ANBO providing services to AMCOW, RECs, and L/RBOs as a coordination body	Very limited institutional and technical capacity in ANBO Secretariat Secretariat not operationally independent and reliant on host organisation operations	ANBO Secretariat fully operational with all relevant policies and procedural guidelines in place Financial sustainability strategy adopted	Procedural manuals (HR policy, FM policy, gender policy etc.) Financial sustainability strategy report	A: ANBO recognized by RECs, L/RBOs as a coordinating body for transboundary water resources management at continental level
Outcome 1.2: ANBOs technical, knowledge and information management capacity strengthened to serve as technical arm of AMCOW focusing on transboundary water resources management, including groundwater	AWIS enlarged and enhanced ANBO website improved and linked with AWIS Long-term finance for AWIS and ANBO web platform secured ANBO's technical capacity to represent transboundary water issues in international fora strengthened	Very limited technical, knowledge and information management capacity in ANBO ANBO in weak position to provide advisory services to AMCOW, RECs, L/RBOs and Groundwater Commissions	ANBO website is a knowledge and information hub for transboundary surface and groundwater management Improved AMCOW decisions on transboundary water resources management including groundwater based on ANBO advisory services	AWIS ANBO website Records of AMCOW decisions	A: Participating countries, L/RBOs and Groundwater Commissions are willing to share data and information on water resources management.
Outcome 1.3: ANBOs capacity as a clearing house for AMCOW information related to climate change vulnerability analyses and adaptation strategies of	Meta-database for studies related to climate change predictions, vulnerability assessment, and adaptation strategies of	Climate change vulnerability not mainstreamed into L/RBO and Groundwater Commission plans	Climate change vulnerability and adaptation become integral parts of L/RBO and Groundwater	L/RBO and Groundwater Commission water resources development plans	A: Impacts of climate change on water resources are understood by L/RBOs and Groundwater Commissions.

<p>African transboundary basins strengthened</p>	<p>African transboundary basins and aquifers developed.</p> <p>At least 3 case studies/best practices/lessons learned from L/RBOs and Groundwater Commissions on financing and implementing (transboundary) climate change adaptation initiatives developed and disseminated through AMCOW.</p> <p>ANBO guidelines on climate resilient infrastructure development for L/RBOs and Groundwater Commissions developed and disseminated through AMCOW</p> <p>At least four transboundary water commissions (L/RBOs and/or Groundwater Commissions) sensitized</p>	<p>No continent-wide repository/ database of relevant climate change (vulnerability) information</p> <p>Limited knowledge, information and experience exchange between L/RBOs on the continent on climate change (vulnerability) matters</p>	<p>Commission planning processes.</p> <p>Planners and decision-makers have access to ANBO meta-database on climate change and climate change vulnerability and regularly use it as a tool</p> <p>Regular knowledge, information and experience exchange between L/RBOs taking place, facilitated through ANBO</p>	<p>Reports of ANBO to AMCOW</p> <p>AWIS information on climate change and climate change vulnerability</p>	
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	and trained on the use of ANBO's meta database				
Outcome 1.4: ANBO communication, monitoring, evaluation and adaptive management capacity strengthened	ANBO communication strategy developed At least 2 policy briefs on transboundary groundwater management produced and disseminated	ANBO communication activities currently handled by communications officer hired under SITWA project but these are not formally structured as there is no clear definition of roles among project staff.	Streamlined and targeted communication messages on transboundary water resources and groundwater management sent out by ANBO. Communication is a part of ANBO project management strategies.	ANBO website. ANBO and AMCOW policy briefs on transboundary water resources and groundwater management	A: L/RBOs and Groundwater Commissions consider outputs of ANBO communication programme valuable
Component 2: Supporting the capacity building of Lake/River Basin Organizations, Groundwater Commissions and RECs to foster transboundary cooperation					
Outcome 2.1: Information and data management capacity of L/RBOs and Groundwater Commissions strengthened	Transboundary data management and information sharing systems (data exchange/management protocols, common referential and priority topics, data exchange scenarios and tools, data exchange platforms etc.) implemented for two selected L/RBOs and 1 Groundwater Commission, and linked to AWIS. At least 2 training courses on data management for selected	Data on surface and groundwater resources very limited across the African continent. Scarce data is not shared across L/RBOs and states. No integrated data exchange mechanisms and few protocols for data and information exchange on water resources in Africa in place resulting in poor or lack of decisions on water resources management	Information and data on water resources readily available and used for planning processes at the various levels (within limits of national security). ANBO data portal on surface and groundwater resources established and utilized for decision making. L/RBO capacity on integrated data management strengthened and data portals used to inform planning and management decision-making	Project Implementation Reports Data portal	A: Data and information on water resources at national and basin level available in compatible formats to enable sharing. A: African countries, L/RBOs and Groundwater Commissions willing to share data and information

	L/RBOs organised by/through ANBO.				
Outcome 2.2: RECs capacity to foster international as well as multi-sectoral cooperation among their member states to manage transboundary waters including groundwater strengthened	<p>REC's transboundary) water resources management focal points and selected L/RBO and/or Groundwater Commission representatives trained in transboundary water law</p> <p>Lessons learned and best practices of effective REC support to its member states and/or L/RBOs to foster international cooperation for transboundary water management identified, discussed and disseminated among RECs and L/RBO/GC.</p> <p>At least 2 dialogue platform/s among RECs and other regional stakeholders established to stimulate international as well as multisectoral cooperation and reflect</p>	<p>Linkages between international conventions/protocols not clearly defined and understood</p> <p>Limited understanding of linkages between international, continental, regional and national legal and policy provisions for water resources and groundwater management</p> <p>Limited exchange of lessons learnt and best practices between continental role-players</p>	<p>African countries, RECs and L/RBOs understand linkages between international conventions and local legal and policy provisions for water resources management.</p> <p>Water resources planning and development reflects provisions of international conventions.</p> <p>Active exchange of lessons learnt and best practices, facilitated through ANBO</p> <p>Regular dialogue platforms established</p>	<p>Training workshop reports</p> <p>Best practice and lessons learnt publications</p> <p>Records of dialogue events</p>	<p>A: Increased integration of REC and L/RBO institutional frameworks takes place as foreseen in policies of RECs</p>

	development issues under water and climate security framework				
Outcome 2.3:Financing/Resource mobilization capacity of L/RBOs and Groundwater Commissions strengthened	<p>ANBO in-house capacity to gather and disseminate information on financial opportunities related to transboundary water resources management strengthened to benefit its Member Organizations.</p> <p>Capacity building workshops (at least 2) for L/RBOs and Groundwater Commissions on financial resources mobilization carried out</p> <p>One Donors and partners coordination group/s established to monitor available resources and funding possibilities for long-term development and strategic support</p>	<p>Most operations of L/RBOs are funded by international development organizations and partners which threatens sustainability</p> <p>Staff in the L/RBOs have limited resource mobilization skills need training.</p>	<p>L/RBOs and Groundwater Commissions able to mobilize resources especially from local sources such as the private sector.</p> <p>Opportunities for broadening financial base recognised by L/RBOs and staff have the necessary skills to implement accessing a broader range of finance sources</p>	<p>Funding agreements entered into with new institutions including private sector entities</p> <p>Capacity building workshop reports</p> <p>Minutes/ records of donor coordination meetings</p>	<p>A: Incentives for private sector participation in water resources management made available.</p> <p>A: Availability of staff to train in resource mobilization</p>

IV. Total Budget and Workplan

Award ID:	00097214	Project ID(s):	00101034
Award Title:	Strengthening the institutional capacity of African Network of Basin Organizations (ANBO) contributing to improved transboundary water governance in Africa		
Business Unit:	MUS10		
Project Title:	Strengthening the institutional capacity of ANBO contributing to improved transboundary water governance in Africa (GWP implementation)		
PIMS Number	5338		
Implementing Partner (Executing Agency)	GWP (NB: Budget to be administered by UNESCO is presented in the separate prodoc)		

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
Component 1: Strengthening ANBOs institutional and technical capacity as technical arm of AMCOW	GWP	62000	GEF	71200	International Consultants	0	160,000	190,000	190,000	540,000	a
				71300	Local Consultants	0	50,000	50,000	50,000	150,000	b
				71600	Travel	0	20,000	30,000	30,000	80,000	c
				72100	Contractual Services: Companies	0	10,000	10,000	10,000	30,000	d
					Total Component 1	0	240,000	280,000	280,000	800,000	
Component 2: Supporting the capacity building of Lake/River Basin Organizations. Groundwater Commissions and RECs to foster transboundary cooperation	GWP	62000	GEF	71200	International Consultants	0	140,000	140,000	140,000	420,000	e
				71300	Local Consultants	0	30,000	30,000	30,000	90,000	f
				71600	Travel	0	40,000	40,000	40,000	120,000	g
				72100	Contractual Services: Companies	0	20,000	20,000	20,000	60,000	h
					Total Component 2	0	230,000	230,000	230,000	690,000	
Project Management Unit	GWP	62000	GEF	71200	International Consultants	0	20,000	20,000	20,000	60,000	i
				71300	Local Consultants	0	10,000	10,000	10,000	30,000	j
				71600	Travel	20,000	10,000	10,000	10,000	50,000	k
				74500	Miscellaneous	0	4,000	3,000	3,000	10,000	l
					Total Management	20,000	44,000	43,000	43,000	150,000	
PROJECT TOTAL						20,000	514,000	553,000	553,000	1,640,000	

Budget Notes:

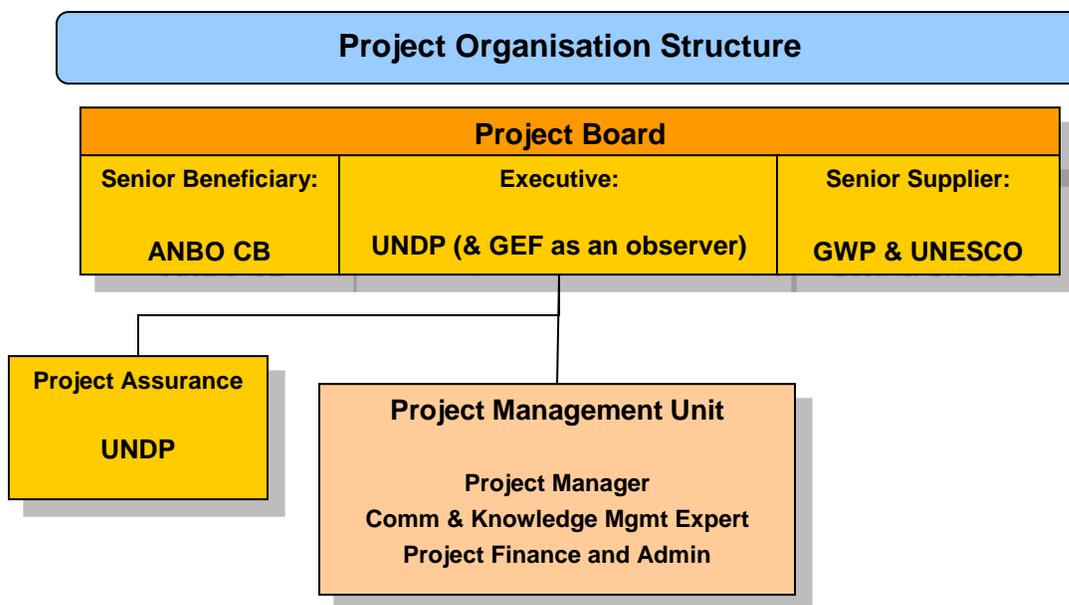
Budget note	Description of cost item
a	60,000 USD (50%) of annual PM salary for each year; 100,000 USD per year for technical consultancy fees (AWIS, case studies, guidelines, communication strategy); 30,000 fees for MTR and TE in Years 3 and 4 respectively. NB Year 1 is recruitment period with no staff costs
b	40,000 USD (66.66%) of annual salary for Communication and Knowledge Management Expert for each year; 10,000 USD (33.33%) of F&A officer salary for each year. NB Year 1 is recruitment period with no staff costs
c	20,000 USD for staff travel (attendance of technical workshops, international conferences etc.) per year; 10,000 USD travel costs for MTR and TE evaluation team for years 3 and 4 respectively.
d	Costs for annual audit.
e	40,000 USD (33.33%) of annual PM salary for each year; 100,000 USD per year for technical consultancy fees (establishment of data management systems, setting up of dialogue platforms etc.)
f	20,000 USD (33.33%) of annual salary for Communication and Knowledge Management Expert for each year; 10,000 USD (33.33%) of F&A officer salary for each year.
g	40,000 USD for participant and staff travel to workshops/ trainings and dialogue platform meetings (2 workshops/ trainings – international water law and diplomacy - or dialogue platform meetings per year with 20 estimated participants per event).
h	Non-travel related workshop/ training/ dialogue platform costs, i.e. venue hire, printing, translation etc. – contracted out as one package to service provider
i	20,000 USD (16.66%) of annual PM salary for each year
j	10,000 USD (33.33%) of F&A officer salary for each year
k	20,000 USD for travel expenses during recruitment (interview) etc.; 10,000 USD per year for travel (PMU staff, and delegates where needed) for attendance at PSC mtgs, AMCOW mtgs etc.
l	Miscellaneous office related expenses

Summary of Funds⁷

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
GEF	20,000	514,000	553,000	553,000	1,640,000
Cap-Net UNDP	0	80,000	80,000	80,000	240,000
OMVS	250,000	600,000	600,000	600,000	2,050,000
GWP	18,342.36	30,000	30,000	30,000	108,342.36
SITWA	2,433,628.32	0	0	0	2,433,628.32
AMCOW	0	900,000	900,000	900,000	2,700,000
TOTAL	2,721,970.68	2,124,000	2,163,000	2,163,000	9,171,970.68

⁷ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

V. Management Arrangements



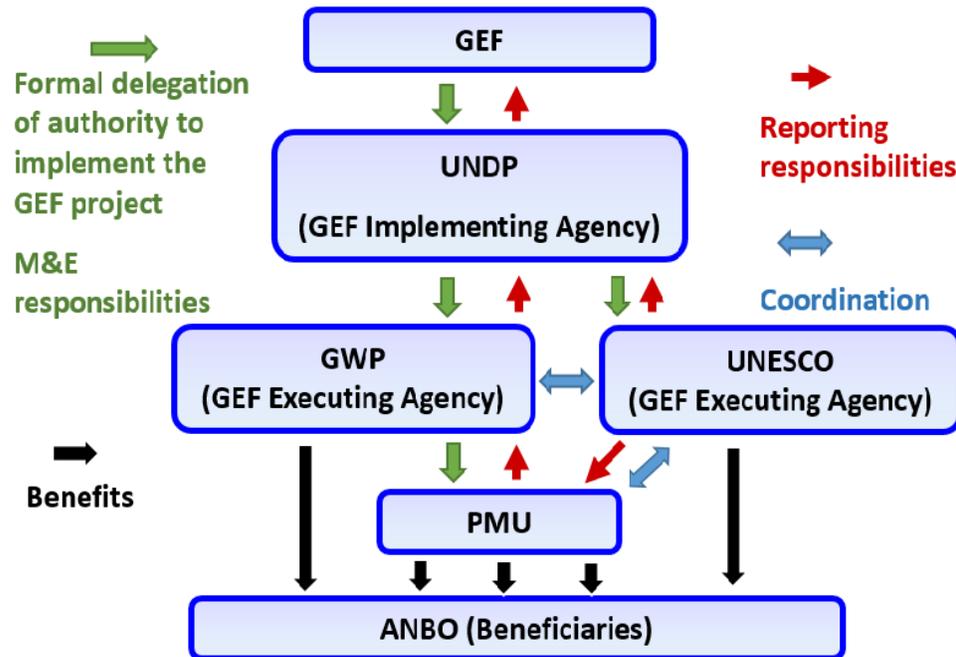
85. In line with the project's principal target of strengthening of ANBOs institutional and technical capacity to act as the technical arm of AMCOW on transboundary water resources and to support Basin Organisations and RECs in specific areas of transboundary water management, the project's main beneficiary is ANBO.
86. UNDP is the GEF Implementing Agency for this project. As the GEF IA, UNDP is responsible for the delivery of the intended outcomes of the project and ensure that the GEF investments made through this project will not only support the intended project outcome delivery but also contribute to the delivery of the relevant GEF outcomes. Implementing Agency responsibilities will be performed by UNDP Mauritius Country Office supported by the Regional Technical Advisor for Water and Ocean Governance in Africa.
87. GWP and UNESCO are the GEF Executing Agencies (or UNDP Implementing Partners) for this project. As UNDP IPs, GWP and UNESCO will ensure the delivery of the intended project outputs in time, in scope and in budget. They will be responsible for recruitment, procurement, contract management, and all the administration of the project directly or through the Project Management Unit. They will be also responsible for progress and financial reporting to UNDP quarterly, working closely with PMU.
88. The Project Management Unit (PMU) will be established by GWP in Dakar, hosted by the ANBO Secretariat, which is physically housed within OMVS in Dakar, Senegal. The PMU is headed by the Project Manager, who is supported by the Communication and Knowledge

Management Expert and the Finance & Administration Officer. Project Manager is responsible to coordinate all activities financed by this project (both through GWP and through UNESCO) to realize the intended outputs and outcomes. Terms of Reference for these positions are provided in Annex 3 of this project document. Other technical expertise required for the project delivery will be procured as and when necessary throughout the project implementation.

89. The ANBO Coordinating Bureau (ANBO CB) will assume the role of the Project Board, together with the representatives from UNDP and the implementing partners, GWP and UNESCO. The implementing partners will report the project progress in terms of implementation and in terms of outcome achievements to the Project Board through PMU. Project Board is the highest decision making authority for this project implementation. Project Board meeting will be held at least twice a year to provide steering guidance to the PMU. Project Board may appoint some experts to form a technical working group or an advisory panel as deemed necessary to provide further technical guidance and support to the PMU.
90. The ANBO General Assembly will be kept informed of the project progress and results delivered by the ANBO Coordination Bureau.

91. Project fund allocated to activities to be implemented by GWP (\$1,640,000) will be disbursed from UNDP (IA) to GWP (EA) quarterly upon the submission and approval of quarterly financial and progress reports, except for the initial disbursement to GWP. PMU, housed in the OMVS, will be fully administered and supported by the GWP (EA). Project fund allocated to activities to be implemented by UNESCO (\$360,000) will be disbursed from UNDP (IA) to UNESCO (EA) directly. UNESCO will be responsible for financial reporting for the fund they receive directly from UNDP. UNESCO will submit quarterly financial and progress reports to the Project Manager, which enables the Project Manager to ensure a close coordination of project activities implemented by UNESCO with the other project activities implemented by GWP and to provide a consolidated financial and progress report to the Project Board.

UNDP-GEF project implementation responsibilities



VI. Monitoring Framework and Evaluation

92. The project will be monitored through the following M&E activities. The M& E budget is provided in the table below.

Project start:

93. A Project Inception Workshop will be held within the first 2 months after the project manager post is filled with those with assigned roles in the project organization structure, Implementing Partners, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

94. *The Inception Workshop should address a number of key issues including:*

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict

resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.

- Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.
- An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Quarterly:

95. Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform. Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical). Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot. Other ATLAS logs can be used to monitor issues, lessons learned, etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Annually:

96. Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and GEF reporting requirements.

97. *The APR/PIR includes, but is not limited to, reporting on the following:*

- Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
- Project outputs delivered per project outcome (annual).
- Lesson learned/good practice.
- AWP and other expenditure reports
- Risk and adaptive management
- ATLAS QPR
- Portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

Periodic Monitoring through site visits:

98. UNDP CO and the UNDP RCU will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCU and will be circulated no less than one month after the visit to the project team and Project Board members.

Mid-term of project cycle:

99. The project will undergo an independent Mid-Term Review at the mid-point of project implementation (between the 2nd and 3rd PIR). The Mid-Term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term review will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term review will be prepared by the UNDP CO based on guidance from UNDP-GEF. The management response and the MTR report will be uploaded to UNDP corporate systems. The relevant GEF Focal Area Tracking Tools will also be completed during the mid-term review cycle.

End of Project:

100. An independent Final Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and GEF guidance. The Terminal Evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and UNDP-GEF.
101. The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#).
102. The relevant GEF Focal Area Tracking Tools will also be completed during the Terminal Evaluation.
103. During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

Learning and knowledge sharing:

104. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Audit:

105. Project will be audited in accordance with UNDP Financial Regulations and Rules and applicable audit policies.

6.1 M&E Workplan and Budget

Type of M&E activity	Responsible Parties	Budget US\$ Excluding project team staff time	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Manager ▪ Executing Agency (UNDP IP) ▪ UNDP GEF 	\$25,000	Within first two months of the project manager in place
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP ▪ EA (UNDP IP) ▪ Project Manager 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> ▪ Project Manager supported by the project team ▪ EA (UNDP IP) ▪ UNDP 	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> ▪ Project manager and team ▪ EA (UNDP IP) ▪ UNDP GEF RTA 	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project Manager and team ▪ Consultants as needed 	None	Quarterly
Project Board Meetings	<ul style="list-style-type: none"> ▪ Project Manager and Team ▪ EA (UNDP IP) ▪ UNDP GEF RTA 	\$60,000 (For cost effectiveness, any co-financing opportunities will be sought.)	At least twice a year.
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ EA (UNDP IP) ▪ UNDP GEF RTA ▪ External Consultants (i.e. evaluation team) 	Indicative cost: \$40,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ EA (UNDP IP) ▪ UNDP GEF RTA 	Indicative cost: \$40,000	About three months before the end of project implementation

Type of M&E activity	Responsible Parties	Budget US\$ Excluding project team staff time	Time frame
	<ul style="list-style-type: none"> ▪ External Consultants (i.e. evaluation team) 		
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project manager and team 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ Project manager and team ▪ EA (UNDP IP) 	Indicative cost: US\$ 30,000 (Average US\$10,000 per year)	Yearly
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP ▪ EA (UNDP IP) ▪ ANBO representatives 	For GEF supported projects, paid from IA fees and operational budget	Yearly
TOTAL INDICATIVE COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 195,000	

VII. Legal Context

106. This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof.
107. This project will be implemented by Global Water Partnership and UNESCO (“Implementing Partner”) in accordance with their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.
108. The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.
109. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
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VIII. Annexes

Annex 1: Risk Analysis

Risk	Risk level	Proposed mitigation measures
Unwillingness of countries to make data available free of charge to strengthen AWIS	Medium	Sensitize countries with the benefit of sharing their information through AMCOW structure; develop data sharing protocols established by L/RBOs/GCs; Promote discussions on data and information sharing protocol at AMCOW level
Unwillingness of countries to address transboundary and global environmental problems that affect water resources with widespread adverse social and economic impacts.	Low	Build upon the political willingness inherent in governments committing to national, regional international environmental agreements.
Continued/Increased adverse impacts of climate change on water resources availability in Africa	Medium	Promote and integrate climate change adaptation in water resources management. Promote the implementation of climate resilient water infrastructure in African L/RBOs.
Insecure long-term financial sustainability of ANBO	Medium	Discussions among ICPs for potential (framework) support through MOUs, etc.; assisting ANBO in establishing clear Financial Management Policies and Internal Control Framework during the project implementation; Support to positioning ANBO squarely within its identified strategic niche to promote ‘value for money’ for future transboundary water management investments flowing through ANBO; strengthening ANBO’s result-based reporting capacity to donors; assisting ANBO in developing a financial sustainability strategy
The lack of compatibility of AWIS with the existing information management systems at L/RBO level	Medium	Technical details to be carefully analyzed during the project preparatory and implementation phases.

Annex 2: Co-Financing Letters

See the separate file.

Annex 3: Terms of Reference for Project Staff

Project Manager

The Project Manager (PM) will be responsible for ensuring the overall coordination and implementation of the project. The PM will report to and work in close collaboration with the ANBO President and Executive Secretary, the implementing partners (GWP & UNESCO) and the UNDP GEF-RTA and the UNDP country office (Senegal) to ensure efficient and effective day-to-day management and monitoring of the project.

Technical and managerial responsibilities:

- Management of the Programme Management Unit based in Dakar
- Ensure and maintain linkages between the implementation management structures
- Evaluate the performance of the project staff
- Represent the Project in meetings and conferences to which the Project is invited to attend
- Prepare annual work plans and budgets for the Project
- Prepare quarterly, annual, mid-term and terminal project progress reports including technical, and policy matters
- Provide professional guidance to partner institutions on overall project implementation and coordination with the ANBO Strategy and Action Plan
- Ensure and maintain linkages between the implementation management structures
- Draft ToR and supervise inputs of short/ long-term consultants and ensure proper delivery of all outputs under implementation
- Provide overall project technical advice and direction.

Qualifications and Experience:

1. Post-graduate qualification in one or more of the following areas: Natural Resources Management, Environmental Sciences, Engineering or Applied Sciences with specialisation in Water Resources Management, Civil and/or Agricultural Engineering;
 2. At least 10 years of experience in programme, project and contract management in areas related to water and natural resources management preferably related to data, information and knowledge management; knowledge of designing communication and stakeholder involvement processes desirable;
 3. Experience in all aspects of the project management cycle including conceptualisation, identification, implementation, reporting, monitoring and evaluation.
 4. Experience in contract management and work planning, including budgets, planning, implementation, controlling and reporting;
 5. Experience with results-based management including developing of logical framework analysis matrices, identification of appropriate results indicators and reporting;
 6. Previous experience with transboundary water management and development in Africa;
 7. Demonstrated experience in working closely with governments, donors, civil society and inter-governmental organizations;
 8. Familiarity with the goals and procedures of international organizations, in particular those of the GEF and UNDP and regional organizations related to Project
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9. Profound understanding of the development needs, aspirations and vision of African States with respect to transboundary water management;
10. Networking skills and the ability to facilitate participatory stakeholder management.
11. Excellent interpersonal communication skills and tact. Ability to work independently but also collaboratively in a diverse team environment.
12. Strong analytical skills, oral and written communication and team building skills.
13. Excellent working level of English and French languages in both writing and speaking.

Communication and Knowledge Management Expert:

The Communication & Knowledge Management Expert shall assist the Project Manager in the overall coordination of all aspects of the UNDP-GEF project. He/she shall assume the responsibilities of the Project Manager in his/her absence including communications with the Implementing Partners. The Communication and Knowledge Management Expert will, together with the Project Manager, have the general responsibility for ensuring the project's high quality technical output.

Specific Technical and managerial responsibilities:

- Assist the Project Manager in preparation of the Annual Work Plan of the Project on the basis of the Project Document and inception report;
- Assist the Project Manager in preparation of quarterly, annual, mid-term and terminal project progress reports, particularly the technical aspects.
- Ensure close collaboration with the major technical partners.
- Oversee the maintenance and enhancement of the African Water Information System (AWIS).
- Provide technical support and input to the development of the ANBO communication strategy.
- Produce high quality communication and awareness-raising products about ANBO activities, in line with the ANBO Communication Strategy
- Assist with preparation of Terms of Reference for Consultants and Contractors; and
- Represent the Project at technical meetings within the region and globally, as required.

Qualifications:

1. Post-graduate degree in Information Science, Communication, Water Resources Management or a directly related field;
2. An advanced background in Information Technology, Database management, and Communication;
3. At least fifteen years' experience in fields related to the assignment;
4. Demonstrated management and team building skills;
5. Familiarity with the goals and procedures of international organizations, in particular those of the GEF and UNDP and regional organizations related to Project;
6. Fluency in English and French, both speaking and writing;

Finance & Administration Officer

The project financial and administration officer is responsible for all financial and administrative functions of the project. The FA Officer shall ensure that the project is implemented in accordance with UNDP financial procedures and systems and those of the implementing partners and is in line with UNDP applicable administrative requirements.

Specific Financial and Administrative responsibilities:

- Prepare monthly financial reports to be submitted to the Financial Manager using Pastel Accounting System, including donor reconciliations and monthly returns to tax authorities submitted as required and UNDP Atlas system;
- Administer payroll and payments to creditors and checking of documentation;
- Banking and reconciliation of bank accounts
- Monitoring the use of petty cash
- Travel cost preparation for staff and stakeholders
- Reconciliation of disbursements from donors
- Facilitating procurement (checking quotations, etc.)
- Set up and maintain project files;
- Assist the project manager in updating project plans;
- Administer Project Board meetings;
- Administer project revision control;
- Establish document control procedures; and
- Compile, copy and distribute all project reports.

Qualifications:

The Finance & administration Officer Manager should possess the following qualifications:

1. Professional qualification in Finance, Accounting and/or Business Administration, or equivalent combination of education, training and experience.
2. At least five years progressive experience in accounting or financial work, including computerized financial/accounting systems.
3. Staff supervision experience including ability to motivate and coach staff, monitor, evaluate and report on individual performance
4. Good knowledge of written and spoken English and French

Project Board

The project Board consists of a representative from the Executive (UNDP), the Senior Beneficiaries (ANBO, represented by the ANBO Coordination Bureau), and the Senior Suppliers (GWP and UNESCO).

The Project Board will have the following overall responsibilities

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Act as the highest decision making body for the project implementation;
- Address project issues as raised by the Project Manager and Programme Coordinator;
- Provide guidance on project risks and agree on possible countermeasures and management actions to address specific risks;
- Review the project progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Review combined delivery reports prior to certification by the implementing partner;
- Appraise the project annual review report and make recommendations for the next annual work plan;
- Assess and decide to proceed on project changes through appropriate revisions; and
- Decide/Approve if any entity/person should be included in the Project Board as a full member or as an observer.

UNDP Project Assurance Officer

The UNDP Project Assurance Officer shall have the following responsibilities:

- Ensure that funds are made available to the project;
- Ensure the project is making progress towards intended outputs;
- Perform regular monitoring activities, such as periodic monitoring visits and “spot checks”;
- Ensure that resources entrusted to UNDP are utilized appropriately;
- Ensure that critical project information is monitored and updated in Atlas;
- Ensure that financial reports are submitted to UNDP on time, and that combined delivery reports are prepared and submitted to the Project Board;
- Ensure that risks are properly managed, and that the risk log in Atlas is regularly updated.

UNDP Principal Project Resident Representative or delegated authority

The PPRR shall have the following responsibilities:

- Ensure that resources entrusted to UNDP are utilized appropriately;
 - Ensure that the project is making progress towards intended outputs;
 - Ensure regional ownership, ongoing stakeholder engagement and sustainability;
 - Ensure that the project’s outputs contribute to intended SAP outcomes;
 - Ensure that key results and issues pertaining to project performance are fed into the outcome and programme level monitoring;
 - Approve budget for the first year in Atlas;
 - Approve and sign the annual work plan for the following year.
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Annex 4: Social and Environmental Screening

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Strengthening the institutional capacity of African Network of Basin Organization (ANBO), contributing to the improved transboundary water governance in Africa
2. Project Number	PIMS 5338
3. Location (Global/Region/Country)	Africa Regional

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project will promote the human-rights based approach, especially applied to the equitable allocation of water resources, access to clean water, access to sanitation, whenever the project will make strategic and policy interventions through ANBO to advise policies and strategic documents related to transboundary water resources management in Africa.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The project will promote gender equality and women's empowerment, especially applied to the water resources management, access to clean water, access to sanitation, water governance, whenever the project will make strategic and policy interventions through ANBO to advise policies and strategic documents related to transboundary water resources management in Africa.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project will mainstream environmental sustainability, especially applied to the water resources management, ecosystem-based basin-resources management, etc., through the promotion of IWRM principles through ANBO to advise policies and strategic documents related to transboundary water resources management in Africa.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>
<p><i>Risk Description</i></p>	<p><i>Impact and Probability (1-5)</i></p>	<p><i>Significance (Low, Moderate, High)</i></p>	<p><i>Comments</i></p>	<p><i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i></p>
<p><i>No Risks Identified</i></p>	<p>I = P =</p>			
<p>[add additional rows as needed]</p>				
	<p>QUESTION 4: What is the overall Project risk categorization?</p>			
	<p>Select one (see SESP for guidance)</p>			<p>Comments</p>
	<p><i>Low Risk</i></p>	<p><input checked="" type="checkbox"/></p>		
	<p><i>Moderate Risk</i></p>	<p><input type="checkbox"/></p>		
	<p><i>High Risk</i></p>	<p><input type="checkbox"/></p>		
	<p>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</p>			

	Check all that apply		Comments	
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>		
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>		
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>		
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>		
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>		
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>		
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>		
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>		
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>		

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁸	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No

⁸ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁹ greenhouse gas emissions or may exacerbate climate change?	No

⁹In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No

5.3	Is there a risk that the Project would lead to forced evictions? ¹⁰	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	No

¹⁰ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	<i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No