

PROJECT PROGRESS REVIEW (PPR)

SECOND PHASE 208- 2011

TECHNICAL COOPERATION PROGRAMME TRANSBOUNDARY WATER MANAGEMENT IN SADC



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June 2010



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Region / Organisation: Southern African Development Community (SADC).

Countries: Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.

Development measure

Title: Transboundary Water Management in SADC

Project number: 2008.2115.7

Duration of current phase: 01.10.2008 to 01.03.2011

Overall term: 01.04.2011 to 31.12. 2015

Partner organisation:

SADC Secretariat, Directorate of Infrastructure and Services, Water Division, Gaborone, Botswana

GTZ organisational unit: GTZ Manager in charge:

1032 Dr. Horst M. Vogel

Date:

30.04.2010

The SADC Region



The River Basins in the SADC Region

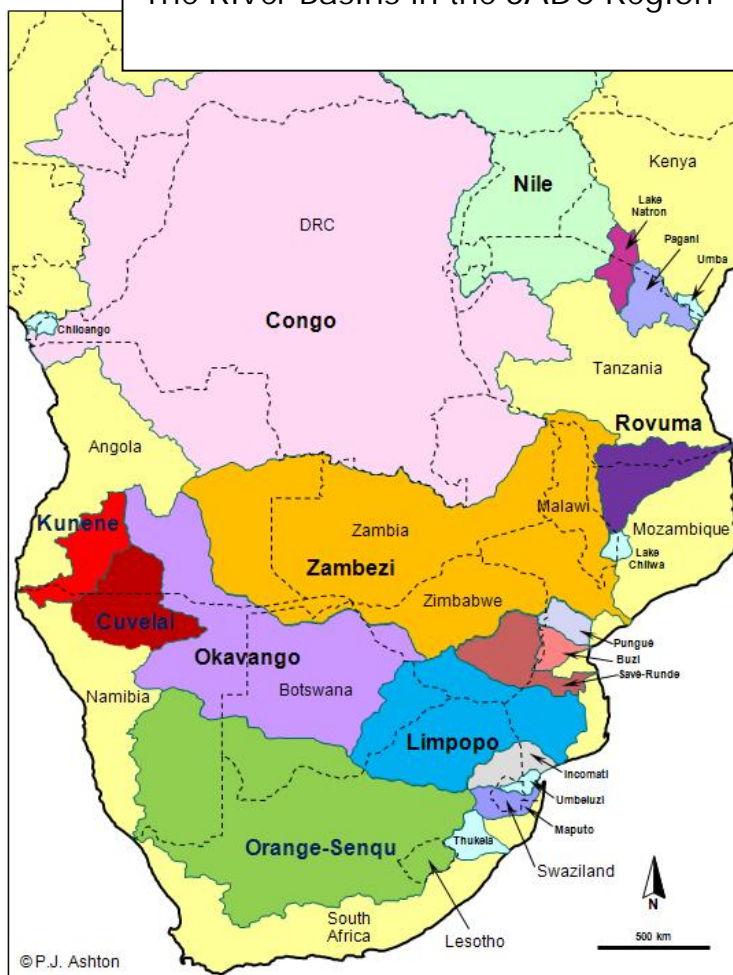


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LIST OF ACRONYMS AND ABBREVIATIONS

AfDB	African Development Bank
AusAID	Australian Agency for International Development
BMU	German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
BMZ	German Federal Ministry for Economic Cooperation and Development
CD	Capacity Development
DANIDA	Danish International Development Agency
DFID	Department for International Development
EC	European Commission
GTZ	German Technical Cooperation Agency
HRD	Human Resource Development
ICP	International Cooperating Partner
IWRM	Integrated Water Resources Management
KfW	German Development Bank
KPA	Key Performance Areas
KWU	Kunene Water Utility (in Angola)
LIMCOM	Limpopo Water Course Commission
MT	PPR Mission Team
NCD	Networking and Cooperation Development
O&M	Operational and Management
OD	Organisational Development
ORASECOM	Orange-Senqu River Commission
OKACOM	Okavango River Basin Commission
PJTC	Programme Permanent Joint Technical Commission
PMU	Programme Management Unit
RBO	River Basin Organisation
RISDP	Regional Indicative Strategic Development Plan of SADC
RSAP	Regional Strategic Action Plan
SADC	Southern African Development Community
SCI	Strategic Change Integration
SD	Systems/Institutional Development
SIDA	Swedish International Development Cooperation Agency
TA	Technical Assistance
TWR	Transboundary Water Resources ("International water resources" is preferred vs. "transboundary", but the latter is used by SADC/GTZ)
TOR	Terms of Reference
WSRG	Water Strategy Reference Group
WD	Water Division of SADC

1. Introduction

The current second phase of the *Transboundary Water Management Programme* runs from October 2008 to March 2011. A third phase is planned to run until December 2015.¹

Transboundary water management is a focal area of German development cooperation with SADC. Germany is currently also the lead *International Cooperating Partner* (ICP) in the SADC water sector that is in charge of the realisation of the international harmonisation agenda. The partner institution for the programme is the SADC Secretariat in Gaborone, Botswana.

In its current second phase, the programme consists of three components, namely (1) Capacity development of the SADC Water Division (2) Capacity development of River Basin Organisations (RBO), and (3) Capacity development of local water governance and transboundary infrastructure. A water infrastructure project of Component 3 is located in the Kunene region in southern Angola / northern Namibia and is implemented in cooperation with the German KfW Development Bank.

The ongoing phase of the programme is co-financed by the UK Department for International Development (DfID) through a *Delegated Cooperation*. As a result, the current programme phase was shortened and aligned with the UK budgetary cycle. Due to the substantial financial up-scaling, a new human resources plan (staff concept) was put in place and additional staff hired.

The budget for the second phase of the Programme amounts to EUR 11,424,000, including the DfID co-financing of GBP 5,000,000. Support includes technical, organisational and procedural advisory services through international, regional and local long-term and short-term experts. There are also material inputs such as office furniture, IT equipment, or vehicles.

The mission team was required to make recommendations on “how best to put all subject-matter knowledge acquired by the programme to good use”. The required information was gleaned from interviews and discussions with SADC and RBO staff, GTZ, DfID, AusAID, USAID, and other interview partners as well as from the study of relevant documents and literature.

With the current programme concept and agenda in mind, the mission team was also required to make recommendations for the next (third) phase, which is earmarked to run for four years (April 2011 – December 2015).

Last, but not least, the review team was required to advise on the usefulness of and options for cooperation with other implementing agencies from Germany or other ICPs.

In addition, there are financial contributions through financial agreements, both to the SADC Secretariat and RBOs. These are being employed to hire staff and consultants or, as in the case of LIMCOM, to run the Interim Secretariat. The financial contribution of KfW is handled separately.

¹ Depending on the realisation of a tripartite partnership between Germany, the UK and Australia. Should the latter two not participate; available German funds suggest a reduced implementation phase of only three years.

Approach and methods applied by the PPR Team

The objective of this PPR was to review and evaluate the programme's past and current contributions and impacts, and to derive at a concept for the next phase (see the ToR of the PPR in Annex 1).

The PPR mission was carried out in Botswana and South Africa from April 12 to 23, 2010: The PPR schedule of the appraisers is outlined in Annex 2 - and the sources for the evaluation (review of key documents, discussions and interviews with various stakeholders) in Annex 3.

Due to the complexity of the programme, and the limited time available for the mission (12-22 April 2010), the PPR team decided to focus their analysis on selected key measures of each of the three components. The PPR team took a broad perspective, and went only into in-depth assessment of certain measures when deemed relevant and necessary in order to understand the true nature and direction of the components.

The PPR team was fully engaged with a lot of information; a large number of reports as well as data about the various components and projects – which altogether illustrated the complexity of the various activities. The Programme Team had designed an agenda that engaged the PPR team directly with relevant actors and stakeholders.

A key-question was: "Which benchmarks should be applied in the assessment of such a comprehensive programme?"

It is evident that there are no simple answers to this, primarily because there are few such 'cooperative transboundary water programmes', which are comparable to this. The PPR team included the following 'benchmarks': (i) OCED DAC criteria for development assistance and (ii) GTZ rules & regulations (application of the current indicators). However, as argued in the report, the existing target system does not cover all aspects of the real impacts achieved – and some additional 'yardsticks' were applied.

Therefore, the PPR team decided to broaden the review, and develop a comparison in relation to 'lessons learned from other similar programmes'. It goes, obviously beyond the scope of this report to fully analyse the progress of the programme in relation to *commonly accepted lessons learned* (see further 'lessons learned' in Annex 4). Furthermore, OECD's "Peace & Security" criteria were also taken into consideration.

The limited time available for this review required strict prioritisation, yet the findings regarding the overall impressions and subsequent direction of the programme are affirmative and substantive but less specific regarding the various projects and their implementation. In the latter case, it was impossible to track specific project implementation in relation to set indicators. In Section 7, some 'indicators' have been proposed (as well as in Annex 9) however a thorough development of new indicators requires substantially greater consultation than was possible during this mission. .

In other words, there are opportunities and limitations with the approach chosen, the final conclusions are, however, affirmative and univocal.

The PPR team consisted of Dr. Jon Martin Trondalen (Professor, Compass Foundation - and team leader) and Ms. Marina Meuss (Senior Water Sector Expert, Planning and Development, GTZ) – with participation from Mr. Ben Davies, UKAID (DFID) (Regional Climate Change Advisor, Southern Africa, UK Embassy, Pretoria) and Mr. Jason Court AusAID (First Secretary, Australian High Commission, Pretoria). Representatives from KfW and InWEnt were planned to join the mission, but due to the airline travel-ban imposed over Europe (volcanic ash), they were not able to attend.

Preparation and implementation of the PPR mission was initiated and organised by Dr. Horst Vogel, Head of the Transboundary Water Management Programme (GTZ), and his team.

2. Summary

The current second phase of the *Transboundary Water Management Programme* runs from October 2008 to March 2011. A third phase is planned to run until December 2015.²

Transboundary water management is a focal area of German development cooperation with SADC. Germany is currently also the *lead International Cooperating Partner* (ICP) in the SADC water sector that is in charge of the realisation of the international harmonisation agenda. The partner institution for the programme is the SADC Secretariat in Gaborone, Botswana.

The mission team was required to make recommendations on “how to put all subject-matter knowledge acquired by the programme into good use”. The required information was gleaned from interviews and discussions with SADC and RBO staff, GTZ, DFID, AusAID, USAID, and other interview partners as well as from the study of relevant documents and literature.

With the current programme concept and agenda in mind, the mission team was also required to make recommendations for the next (third) phase, which is earmarked to run for four years (April 2011 – December 2015).

Last, but not least, the review team was required to advice on the usefulness of and options for cooperation with other implementing agencies from Germany or other donors.

In its current second phase, the programme consists of three components, namely (1) Capacity development of the SADC Water Division (2) Capacity development of River Basin Organisations (RBO), and (3) Capacity development of local water governance and transboundary infrastructure. A water infrastructure project, which is being implemented as part of Component 3, is located in the Kunene

region in southern Angola and northern Namibia respectively. It is being implemented in cooperation with the German KfW Development Bank.

The ongoing phase of the programme is co-financed by the UK Department for International Development (DfID) through a so-called *Delegated Cooperation*.

The budget for the second phase of the programme amounts to EUR 11,424,000, including the DFID co-financing of GBP 5,000,000. Support includes technical, organisational and procedural advisory services through international, regional and local long-term and short-term experts. There are also material inputs such as office furniture, IT equipment, or vehicles.

During the planning workshop that took place April 22, 2010, and which was attended by representatives from GTZ, SADC, RBOs (Kunene PJTC, LIMCOM, and ORASECOM) as well as DFID and AusAID, the PPR mission team presented their assessment of the programme. After their presentations, their findings were discussed and agreed upon by all participants:

In summary, they are:

✓ Relevance: “Are we doing the right thing?”

The programme is an integral part of SADC’s Regional Strategic Action Plan (RSAP). The SADC *Protocol on Shared Watercourses* forms the legal basis of the RSAP: The support to SADC; the establishment and promotion of RBOs, harmonisation of water policies, promotion of regional water infrastructure, and the strengthening of national water management institutions are all strategic issues, which are being targeted by the programme. The significance of the programme is highlighted by its strategic approach and interconnection at three different geographical levels of intervention. The PPR team considers the programme and its current phase to be highly relevant for achieving the development needs, and the highest mark was given (1) concerning its relevance (1 highest – 6 lowest; see 4.2.6).

✓ Effectiveness: “Are we achieving the objectives of the development measures?”

Based on the current indicators of the development measures (as formulated in the offer to BMZ), the PPR team concluded that most of the

² Depending on the realisation of a tripartite partnership between Germany, the UK and Australia: Should the latter two choose not participate; available German funds suggest a reduced implementation phase of only three years.

planned development measures have been achieved or are progressing well. Thanks to the delegated cooperation with DFID, the advisory capacity of the programme was strengthened in a substantial way. This, in turn, was of major importance with regards to the impact the programme made and continues to make, in particular at the *macro* and *meso* levels.

Only in one case, namely the Kunene Water Utility, has progress been slower than initially anticipated. Hence, it was concluded that more attention needs to be paid to this task and also that the respective indicators need to be revised based on past “lessons learned”. To everyone’s satisfaction, the *Kunene Provincial Council* approved the establishment of the Public Water and Sanitation Company³ (days after the 22nd of April 2010 planning workshop). It should, however, be highlighted that the desire for cooperation between Angola and Namibia is very strong, and that the achievements to date and potential future achievements under the program are significant.

It was therefore concluded that the “effectiveness” has been high (mark 2).

✓ Efficiency: “Are the objectives being achieved cost-effectively?”

The programme’s use of resources is highly transparent. Measures are implemented based on joint decision-making by programme partners. This report assesses the overall efficiency of the programme as very high, especially since there are obviously few, if any, other successful international examples that would suggest another and more cost-efficient way of doing business (see Annex 4: “Some lessons learned...”).

No ‘cost-effectiveness review’ has been carried out on neither the investment in infrastructure nor in the SADC WD. There are some examples from the program that appear to have a high output; like use of selected consultants. In order to draw a clear conclusion regarding this criterion, a ‘cost effectiveness review’ would have to be done to ensure that information exists so that efficiency can be better measured.

In addition, the PPR team also argues that if a “peace dividend analysis” had been performed, i.e. by measuring the difference of ‘the cost of doing nothing’ (with possible hostilities) against ‘the cost of the programme’ – then, the *efficiency* would have to be assessed as extraordinarily high. From such a perspective, the programme costs are minimal compared to the potential costs of ‘hostilities’.

A very mark (2) is therefore given.⁴

✓ Overarching development results (Impact)

During the current second phase, significant impacts have been achieved in fostering sustainable transboundary water management. To which extent the programme had direct positive implications for ‘children, women, and the impoverished part’ of the population in the region is hard to measure. However, experience elsewhere indicates that sound water management generally has direct positive impacts on these target groups.

In addition, the contribution to ‘peace and security’ is probably and potentially substantial, although hard to measure: Worldwide experience clearly shows that there are potentially serious negative implications due to the lack of cooperation (regarding transboundary water resources). Based on the current status, the programme’s impact was judged as (very) high (mark [1] 2).

✓ Sustainability: “Are the positive results durable?”

Before outlining the conclusion on this matter, one has to more clearly define what the issue of ‘sustainability’ is all about in a complex programme like this: There are several aspects related to this – such as *sustainability* in relation to:

- *Financial commitment* – from SADC, ICPs, SADC member states and the various RBOs – and even in areas of direct intervention [like in Namibia and Angola]). In general terms, the sustainability should be assessed as high. However, there is uncertainty about the programme’s sustainability in the years to come – due to the long commitment that such complex and multi-dimensional programmes require.
- *Programme Intervention* – in the sense of programmes that are sustainable (both in terms of *operation & maintenance* – as well as yielding the expected results in the long run): Indeed, the programme seems to be sustainable but there is - as is to be expected in the case of such a complex programme - a degree of uncertainty due to changing geo-political conditions in particular, which may adversely affect its sustainability: After all, the SADC Region is *de facto* in a post-conflict situation.

³ Empresa Pública de Águas e Saneamento de Ondjiva, EP

⁴ Please, note that the team did not perform any cost-benefit analysis.

- Ability of member countries to manage the programme initiatives in the long run. There are signs that 'membership commitments' are increasing, e.g. concerning the sharing of costs to operate RBOs. Furthermore, riparian country commitment to the RBOs was strongly demonstrated by the caliber of the people representing each country (and the commitment to cooperating demonstrated by these individuals).
- However, there are several factors that go beyond the control of this programme that will determine how 'deep and committed' cooperation on transboundary water is going to reach.

Based on the abovementioned conclusions, the programme's *sustainability* was judged as high (mark 2).

Besides these positive assessments based on the OECD DAC criteria, it was also concluded that the existing indicators of the programme do not capture the full impact of the programme. In fact, in certain areas, the programme's impacts go further than the indicators envisage, e.g. the long-term effect of regional cooperation and integration even beyond the water sector.

The PPR team recommended that the programme's efforts be continued as it has significant regional and local impacts.

Furthermore, it is strongly recommended that the programme continues the three-level intervention approach, which is of highest strategic relevance and importance.

Lessons learned

The PPR team emphasises the following aspects:

- The up-scaling of the programme has been very successful.
- The programme is playing a pivotal role in regional water cooperation. It gained unique trust through its close relationship with SADC, RBOs, and Member Countries.
- Germany is uniquely positioned as lead ICP to influence and support the SADC Water Division's mandate and mission: A 'sound counterpart relationship'.
- The ICP coordination appears to work well including the web-based ICP collaboration portal and the biannual ICP mapping. There is also a sound and transparent cooperation between Germany (GTZ) and the UK (DFID) in place.
- The GTZ team seems to have "the right people in the right place", which is indicated by the effective working environment in a multidisciplinary manner.

- The multi-level intervention approach is functioning very well since it enables the programme leadership to understand and to react to the complexity and processes that relate to transboundary water cooperation.
- The quality control of consultancies was evaluated as high and diligent.
- Short and medium term planning and implementation security – due to uncertainties with regards to funding commitments.

Recommendations for the third phase

1. The PPR team is convinced that in spite of changes in environmental and political conditions, the programme ought to maintain its main thrust and its overall objective. The overall goal and its related (high level) indicators should also be carried over into the next phase.
2. Furthermore, the intervention approach at three distinct geographical levels should be continued and strengthened and applied throughout the forthcoming phase.
3. The main thrust of the first two components should be continued, strengthened, and refined as and when the need arises.
4. Continue the close and regular interaction with staff of partner organisations to follow up and follow through on agreed actions according to planning.
5. Strong involvement of external consultants, which requires permanent attention to quality control.
6. Plans have to be designed to incorporate the new and emerging issues such as adaptation to climate change, deteriorating water qualities and/ or food security in a systematic and strategic manner.
7. Increased commitment by the Member States of SADC, especially in terms of providing sufficient staff resources. In case there is no increased commitment, expectations should be lowered.
8. Increase the ownership of Member States of different projects by ensuring partner involvement throughout the different phases of the project – including the technical appraisal of proposals.
9. The excellent relationships between the partners require permanent 'nourishing' and strengthening.
10. Increase the activities and outputs concerning awareness-raising and communication further to demonstrate the impacts to Member States and ICPs involved.
11. The programme needs to be based on realistic result-based objectives, realistic result-based component 'outcomes', and

indicators that do not fall short of the real impacts made.

- Detail the *Terms of Reference* for external consultants further without stifling the creativity of consultants.
- Try to reduce outsourcing and engage involved partners more, especially related to more strategic challenges.
- Apply the result-based *Monitoring & Evaluation* system of the lead ICP as a management tool also to the SADC-WD, and strengthen their future Programme Management Unit (PMU) by means of these strategic improvements. The focus of SADC should, however, be more on *Monitoring & Reporting* rather than *Evaluation*.
- There are some expectations among partners and ICPs that indicate that SADC will have a conflict resolution capacity in the future. This, SADC should avoid and, instead, rather focus on facilitating and catalysing - in potential future disputes related to regional water resources.

While developing the new offer (for Phase 3), the emphasis of the three process stages addressed (assessment, development, and implementation) should move from assessment and development towards more implementation (depending on the level of development in the different RBOs).

With regards to the third component, the support to the Kunene PJTC should be extended and strengthened in accordance with the “lessons learned” from other RBOs. Within the third component, further local government projects should be identified and embedded into a programmatic approach so as to demonstrate the importance of RBO management at the national level:

Likewise, pilot projects ought to be implemented to address emerging issues such as adaptation to water scarcity including climate change, food security, political dialogue, or poverty reduction. This will have to be done in order to achieve tangible results on the ground and thus to strengthen the visibility of SADC’s regional water cooperation. In addition, gender mainstreaming and aspects of the (complex) issue of ‘human rights to water’ need to be specifically addressed and communicated through the planned pilot projects.

Agreements on cooperation and, if applicable, co-financing

The current cooperation with DFID (UK) was assessed as very positive and is highly recommended to be continued in the next phase.

DFID emphasised that climate change initiatives should be enhanced - additional funds may be available.

AusAID, who also participated in the programme progress review mission, expressed their appreciation of the programme approach and the apparent success of the programme. Hence, AusAID is seriously considering to join the programme and to co-finance the forthcoming third phase of programme implementation through a Delegated Cooperation.

3. Framework conditions

Programme Background

The SADC Secretariat has established an enabling environment for transboundary water management (TWM) in the SADC Region. As a result, all of the riparian states of the 15 major river basins in SADC have signed agreements on shared water resources, as stipulated in the *SADC Protocol on Shared Watercourses*. However, human and institutional capacities at the regional and river basin level are not yet adequate to achieve sustainable management of transboundary (regional) water resources in accord with the *Regional Strategic Action Plan* (RSAP), i.e. a 'core problem'.

Therefore, the overall objective of the *Transboundary Water Management in SADC programme* is "...to strengthen human and institutional capacities in the SADC Water Sector, in particular regarding strategic programme planning...". The same applies to careful and timely attention to emerging topics such as adaptation to climate change and food security. Core support also includes the development of water and sanitation infrastructure for the sustainable management of complex transboundary water resources in accordance with the Regional Strategic Action Plan for *Integrated Water Resources Management* and Development (RSAP-IWRM). In addition, special attention is being paid to the strengthening of River Basin Organisations (RBOs), the development of basin-wide IWRM plans, training in IWRM, and information and knowledge management including awareness-raising.

The support and interventions provided through the *Transboundary Water Management in SADC programme* is guided by a multi-dimensional approach of capacity development at three geographical levels of intervention (*Macro*: SADC, *Meso*: RBOs, *Micro*: Local Water Governance: The three dimensions of IWRM, namely the development of enabling environments, the strengthening of institutional frameworks, and the development of management instruments are applied at all three geographical levels. In addition, support is being given to a transboundary water supply project (Angola/Namibia).

The support provided by the programme has been pivotal to the institutional strengthening of the SADC Water Division (which is situated within the SADC Directorate of Infrastructure & Services [I&S]). In addition, through the programme, Germany has been tasked with the coordination, harmonisation and alignment of the support provided by all ICPs (donors). Through the same programme, Germany and the UK put into practice requirements of the international harmonization agenda, namely in form of a *Delegated Cooperation*.

Over the years, the *programme* has assisted in the development of capacities at all levels of intervention, in particular at the *macro* level of the SADC Water Division and the *meso* level of River Basin Organisations. For example and thanks to the programme, the Orange-Senqu River Commission (ORASECOM) has an ICP Strategy Committee in place that streamlines ICP support and thus contributes to the development of a joint basin-wide IWRM plan. ORASECOM is highly valued by her member states: All four pay their dues regularly, an achievement that was also facilitated by the programme.

By signing a *Financing and Project Agreement* to finance the Kunene Transboundary Water Supply Project (Angola/Namibia), the *programme* is assisting in the implementation of a regional role-model infrastructure project. It is paving the way for future developments and testing and practicing bi- and multilateral rules and procedures of cooperation.

Water cooperation in a sensitive region

Water is a crucial factor in the social and economic development of the SADC region. The semi-arid countries Botswana and Namibia have the most negative water balance in southern Africa; their water supply situation is indeed pretty dire. According to the *Water Scarcity Index*, they are suffering a critical water shortage. South Africa is expected to reach the same critical situation in about 15 years time.

The greater part of the region is characterised by high rainfall variability, and by recurrent droughts. Population growth and economic development exacerbate the water crisis. Since most of the region's surface and ground waters are fed from 15 major transboundary river basins, the sustainable management of water resources demands the cooperation of all riparian states.

SADC has set herself the goal of regional integration through the cooperation of its 15 member countries in the fields of policy, economy and ecology. In the water sector, SADC has defined this goal in the form of the *Protocol on Shared Watercourses (which is legally binding)* and the *Regional Water Vision, Regional Water Policy, and Regional Water Strategy, all three of which are not legally-binding. Together, however, they lay down the principles that guide the overall cooperation on shared water resources in the SADC Region.* The implementation of these framework specifications, however, is still proceeding slowly.

The reasons for this include local governments that do not function adequately, lack of legal and institutional footing in member countries, and inconsistencies of national water policies with the SADC Protocol of Shared Watercourses, which obstruct cooperative and sustainable solutions. The negative effects arising from these shortcomings hinder the economic and social integration of the countries in the SADC region. They also lead to poor cooperative management of shared water resources and their inefficient use and thus in the long run to growing water scarcity. Continued and possibly increasing population pressure, urbanisation and economic growth are bound to intensify the competition for scarce water resources.

The potential for conflict over water distribution will rise. The poor will have to bear the brunt imposed by inadequate water resources management.

The SADC Water Division and individual RBOs are therefore supported by a great many ICPs: The *Global Water Partnership* provides for cooperation on training in international water rights issues. DANIDA (Denmark) advises SADC on matters such as preparation and implementation of IWRM plans for member countries and in building capacities in the IWRM sector, in particular in the Zambezi catchment. SIDA (Sweden) conducts international training in IWRM for riparians of the Zambezi catchment. SIDA also supports the Okavango Commission secretariat and promotes research for IWRM approaches in southern Africa. The African Development Bank (AfDB) supports implementation of the SADC IWRM Action Plan and promotes the study and management of surface water and groundwater. The bank also advises the mid-Zambezi region on water for nutrition. European Commission (EC) promotion includes building expertise in SADC in producing hydrological maps. The EC also supports implementation of the SADC IWRM Action Plan and strengthens institutional and individual capacities of RBO in the Orange-Senqu catchment area for developing water resources and environmental protection measures. Another important ICP is USAID.

GTZ's prominent role in the SADC water sector provides the programme with opportunities to coordinate and harmonise ICP contributions – opportunities which it used in the first project phase to strengthen the SADC Water Division and to avoid overlapping in support for the RBOs. The project also succeeded in adopting terms of reference for the thematic Water Strategy Reference Group (WSRG). This placed the cooperation between SADC and her ICPs on a qualitatively new and inherently binding basis. TC inputs are coordinated in the WSRG with the aforementioned ICPs.

4. Presentation and assessment of the development measure

This programme is unique in the sense that it has two major strategic objectives:

First, the programme should foster sound transboundary water management that also enhances socio-economic development.

Second, and equally important, the programme has a direct effect on the prevention and potentially the resolution of international water disputes, thereby contributing to regional peace, stability, and security in an otherwise sensitive region.

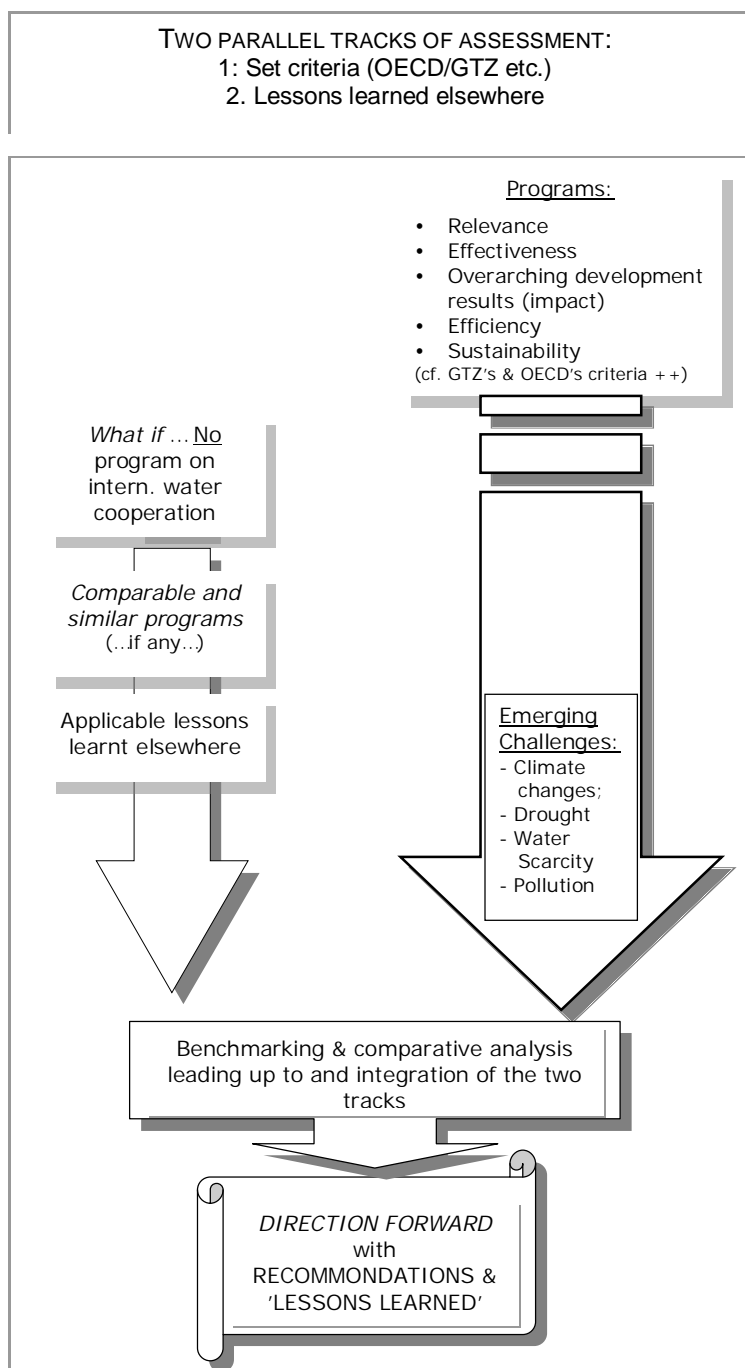
With such broad and strategic overall goals, one could easily and forcefully argue that the set indicators are not covering the full impact of the programme in all sectors and at different geographical levels. Exploration of the full impact of the program at 4.1 (p18). Therefore, a strict assessment of the set objectives/indicators would not reflect the reality – in the sense that there are significant and long-term effects of the programme, which would have been ignored had the assessment not been broadened: Hence, the assessment was widened to also include the following aspects:

The question of *bench-marking*: How to assess such a comprehensive programme in relation to? There seems to be no simple answers to this, primarily because there are few such 'cooperative transboundary water programmes', which are comparable to this. However, there are quite a number of 'transboundary water programmes' in other "sensitive" regions – such as in Central or South-East Asia, South America, Caucasus, and in the Middle East.

Therefore, this review is adding another level of assessment, which involves a comparison in relation to 'lessons learned from other similar programmes' – as illustrated in the flow chart on this page.

However, it goes beyond the scope of this report to analyse the progress of the programme in relation to *commonly accepted lessons learned*. Consequently, a more comprehensive assessment of some such relevant "lessons" is outlined in Annex 4.

The programme is based on an approach to develop capacities in transboundary water institutions in the SADC region at all levels (cf. also OECD's "Peace & Security" in Annex 5). In the current phase, the set objectives and indicators are based on the following 'impact chain':



4.1 Presentation and assessment of the design and the impact chain

Programme Outcome:

The human and institutional capacities for sustainable management of water resources in accordance with the *Regional Strategic Action Plan* (RSAP) in the SADC region and its transboundary river basins are strengthened.

Indicators:

- At least three river basin organisations (RBO) assess the performance of the Water Division of the Southern African Development Community (SADC) positively (in 2008: 0 RBO; survey).
- Water resource management (WRM) in at least two RBOs is carried out according to river-basin-specific IWRM plans (in 2008: 0 RBO; target-performance comparison of plan implementation)
- Gender equality and human rights to water are integrated in SADC's regional transboundary water policies (in 2008: no integration; expert reports).

PHASE-RELATED INDICATORS AND PROGRAMME COMPONENTS

A description of the objectives and indicators are outlined on the next page.

TARGET GROUP(S) AND INTERMEDIARIES

Target groups of the programme are the people of the SADC member countries. Improvement of sustainable water resource management capacities is intended to improve the long-term qualitative and ecological status and the availability of water resources. In addition, the prevention of conflicts and the promotion of peace, stability, and security will have an overall impact on the whole population. At an aggregated level, one could argue that especially children and women would benefit from successful impacts since they are the ones who normally suffer the most from hostilities.

Since the programme emphasises the creation of suitable framework conditions for the management of transboundary waters; the programme is classified as not being specifically oriented to the target groups. Only in the area supplied by the KWU does the programme reach the water user directly via the establishment of a poverty-oriented water supply.

Intermediaries at the various institutional levels are the experts and decision-makers in national ministries, the WBO, the WU, and in the SADC Secretariat.

Methodological approach and components of support

The programme's central methodological approach is through capacity development for the successful management of transboundary waters. The joint German-UK support comprises policy and strategy advisory services; advising on organisational development; drafting protocols and conducting business processes; advising the RBO national delegates; and developing and introducing information systems for shared water resources management and IWRM organisations.

COMPONENT 1: CAPACITY DEVELOPMENT OF SADC WATER DIVISION

Component objective: The institutional capacity of the SADC Water Division is strengthened to maintain and continue the RSAP.

Indicators:

- At least five transboundary water management projects in line with RSAP are implemented on the basis of a results-oriented planning and monitoring system. (2008: 0 projects; project report systems).
- Representatives of at least three RBO assess positively SADC Water Division support in network-building and exchange of best practices (2008: 0 RBO; survey). Representatives of at least three RBO assess positively SADC Water Division support in network-building and exchange of best practices (2008: 0 RBO; survey).
- At least 70 percent of donors assess positively the coordination mechanisms between the SADC Water Division and the donors (2008: 10 percent; survey).
- Adaptation strategies for climate change are incorporated into updating of the RSAP and in the development of IVRM plans of at least two RBO (2008: 0 RBO).

COMPONENT 2: CAPACITY DEVELOPMENT OF RBOs

Component objective: The organisational capacity of RBOs to implement the RSAP is strengthened.

Indicators:

- SADC guidelines (establishment and management of RBO, environmental management, stakeholder participation) are implemented by at least two RBO (2008: 0 RBO; RBO reporting system).
- In at least three catchment areas, riparian countries have reached accord concerning the status of water resources (2008: 0 catchment areas; written documentation of accord).
- The national focal points of at least three RBO in the riparian countries have access in the RBO central databank to all socioeconomic, hydrological and environmental data needed for making management decisions (2008: no databank yet; reporting by national focal points).
- The contents of the River Awareness Kits (RAK) of at least two RBO show that public participation has contributed to their development (2008: no public participation; analysis of RAK).

COMPONENT 3: CAPACITY DEVELOPMENT OF LOCAL WATER GOVERNANCE AND TRANSBOUNDARY INFRASTRUCTURE

Component objective: Local water governance in selected transboundary river basins is improved.

Indicators:

- The Kunene Water Utility (KWU) is operational and equipped with financial, administrative and maintenance business procedures and requisite key personnel (financial, administrative and personnel managers) (2008: KWU does not exist; expert report).
- Poverty-oriented water rates are developed and validated with involvement of communities in the Kunene region (2008: no rates; expert report).
- At least two water utilities (WU) in border towns prepare planning documents jointly (2008: 0 border towns; planning documentation).

The impact chain of the programme takes the following form:

STRATEGY OF COMPONENT 1: CAPACITY DEVELOPMENT OF SADC WATER DIVISION

The programme team provides advice with regards to strategic planning and programmatic activities of SADC members. In assuming the lead ICP role, it also advises SADC in further harmonising ICP contributions. Organisational development advice leads to a critical evaluation of SADC and RBOs' functions and capacities.

At the same time, knowledge and information management processes are introduced and sector networks bolstered. Results monitoring has been successfully introduced into SADC planning activities.

Water policies, strategies, and statutes are being reviewed by the joint SADC-GTZ team including external legal experts to determine the need for harmonisation. In addition, the project provides much needed advice on developing a strategy for adapting to climate change (direct result).

Another element of advice continues to be the integration of principles of equality and the incorporation of the human right to water (i.e. equal access) in a regional transboundary water policy context (outputs). SADC and RBO staff use the outputs of the programme for improving the coordination of ICP contributions within the region; for better planning and observation of all projects and activities planned within the scope of the RSAP as well as for their monitoring (another direct result).

STRATEGY OF COMPONENT 2: CAPACITY DEVELOPMENT OF RBOs

RBOs are advised on putting into practice SADC guidelines for TWMM and on how to approach IWRM planning. RBOs' knowledge and information systems are installed and supported by the relevant IT infrastructure. Processes and structures for exchanging data and information are set up.

Public participation processes, especially in connection with the development of RAKs⁵ are being developed and implemented. The RBOs also benefit from the introduction of results-based monitoring systems (outputs). RBO-staff use the outputs of the programme to intensify data and information sharing and the development and implementation of IWRM plans.

RBOs put the SADC guidelines for TWMM into practice and involve the public in an organised way. Planning and business processes are developed, which facilitate their work. This builds the organisational capacity of RBOs to implement the RSAP (direct result).

STRATEGY OF COMPONENT 3: CAPACITY DEVELOPMENT FOR LOCAL WATER GOVERNANCE AND TRANSBOUNDARY INFRASTRUCTURE

One area receiving programme support is the Kunene border region between Angola and Namibia where, in the context of establishing the KWU (Kunene Water Utility), business and management methods are being developed. The programme also supports the development of decision support systems for transboundary water governance issues and supports planning and implementation of pilot projects (outputs).

Staff of the KWU and other local water utilities or authorities use the outputs of the programme in establishing and operating the KWU and for the implementation of other transboundary water supply projects. Staff of the water authorities or municipalities uses the outputs to develop water governance systems adapted to the local situation. The lessons learned here are passed on to the RBO and SADC levels via the multi-level intervention approach. This upgrades local water governance in selected transboundary river basins (direct result).

The measures planned are aimed at strengthening sustainable IWRM in the region. The partners enhance their management and planning functions in SADC or at river basin level and promote good water governance. This, in combination with the FC (Financial Cooperation) investments, leads to improved human and institutional capacities at regional and river basin

⁵ *River Awareness Kit*

level for the sustainable management of water resources in accord with the RSAP (direct result of overall objective).

A concomitant indirect result of the programme lies in the avoidance or the peaceful settlement of conflicts and clashes over water. Cooperative and sustainable management of water resources also leads to good water governance. Such a highly aggregated result yields an improvement of the quality of life in the river basins since their water resources are *secured* over a longer period of time.

The various components of the *Transboundary Water Programme* include technical, organisational and strategic process advice by international, regional and local long-term and short-term experts as well as material inputs (e.g. office and IT equipment, vehicles).

All ICP contributions to the SADC water sector fall within the framework of the legally-binding Protocol on Shared Watercourses. They are further 'guided' by several legally non-binding water sector documents, namely the regional vision, the regional policy, the regional strategy, and the RSAP. The programme emphasises the organisational development of river basin organisations and political coordination with the member countries. It also supports PPP (Private Public Partnership) measures.

The overall impact chain of the programme was designed in order to increase and strengthen organisational, institutional, and individual capacities at three geographical intervention levels (SADC Region, shared river basins, and locally), and at different process stages (assessment, development, implementation). This truly multi-dimensional approach allows for intervention levels, target ranges, and process stages to work hand in hand so as to raise capacities as a whole.

As a result, transboundary water resources will be managed cooperatively and sustainably (programme outcome).

A concomitant highly aggregated impact of the programme is the avoidance and the peaceful settlement of conflicts and disputes over water. Moreover, cooperative and sustainable management of shared water resources leads to good water governance. Additional impacts consist in an improved quality of life in the river basins through long-term water resources security.

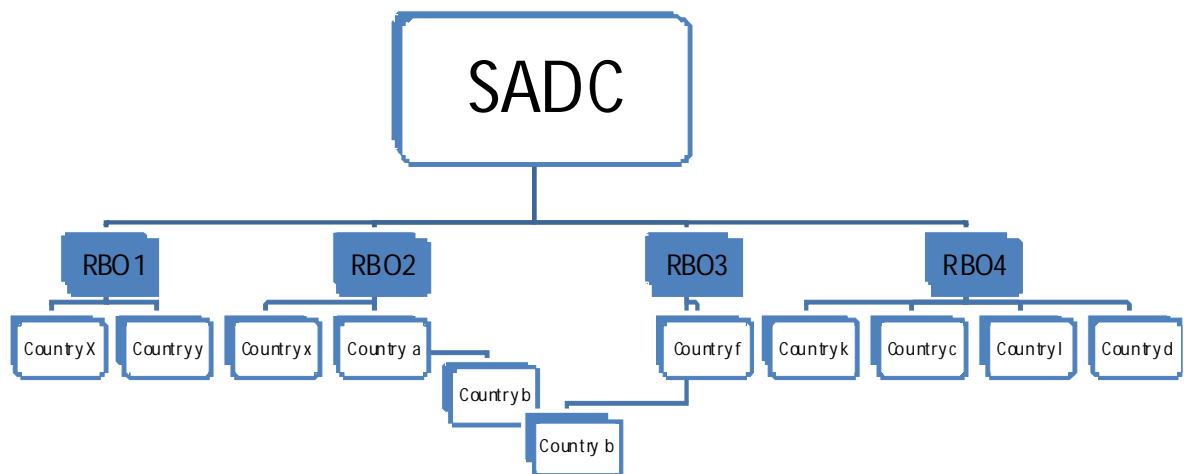
PLAUSIBILITY OF 'BENCHMARKING' — WHAT IS A SUCCESSFUL TRANSBOUNDARY WATER MANAGEMENT PROGRAMME?

As this programme is progressing and with the wisdom of hindsight, it seems easy to state that the so-called *impact chain* is constrained by difficulties in applying benchmarking. It also does not reflect all the impacts made by the programme. With this in mind, the following conclusions were drawn:

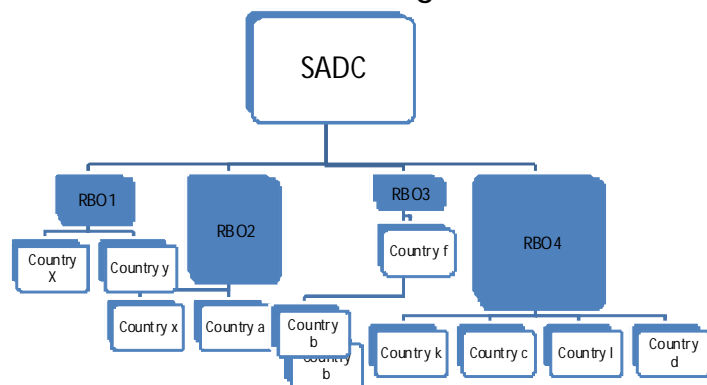
- When this programme is assessed in comparison to how other cooperative transboundary water programmes have evolved (cf. Annex 4), it becomes obvious that the SADC region is in a unique position. Because in most cases, RBOs developed and still develop over decades rather than years, and some of the achievements made by this programme are indeed unique and historic⁶: See illustrations on the next page of evolution of RBOs (growing in terms of institutional capacity) stages 1- 3; as well as changing roles of the regional organisation" (SADC, i.e., reduced role) in relation to (enhancement of) the RBOs.

⁶ From a time-line perspective: Transformation from a conflict to a post-conflict situation — and subsequent establishment of regional cooperation (including RBOs).

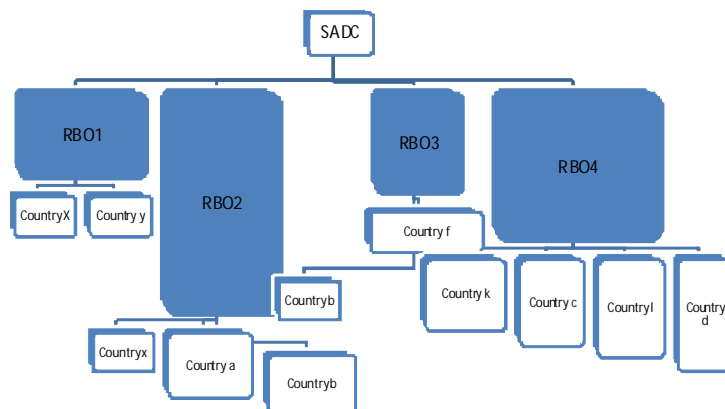
Evolution of a Regional Organisation & RBOs – stage 1



Evolution of a Regional Organisation & RBOs – stage 2



Evolution of a Regional Organisation & RBOs – stage 3



Evolution of a Regional Organisation (SADC) in relation to RBOs:
Stage 1: A strong regional organisation, Stage 2: Varying growth of RBOs, whilst the Regional Organisation is reduced, Stage 3: Stronger RBOS as well as membership commitment.

- The transformation from a conflict-region with highly politicised national and international stakeholders to a post-conflict situation within years rather than decades has been extremely rapid in comparison to international experience.
- For example, the fast establishment of ORASECOM including all member states paying their annual dues regularly as well as the concrete cross-border water cooperation between Angola (end of civil strife in 2003) and Namibia are in fact exceptional both from a historical as well as global perspective.
- The overall outcome of managing transboundary water resources in the SADC region in a sustainable and joint manner requires complex adaptation processes, multiple stakeholder structures as well as functioning RBOs. In light of SADC's overall mandate (see text box below), it is argued here that the overall outcome achieved by the programme is reaching beyond the indicators that form its evaluation basis of this programme.
- The overall outcome must be viewed from a broader perspective. Although some might argue that there could be a gap between the levels of the component outcomes and the overall outcome of the programme. Such an argument, however, would not reduce the overall impact of the stated strategic objectives.
- There seems to be a sound basis to forcefully argue that this programme's capacity development of SADC, her river basin organisations, and local water governance leads to the avoidance and peaceful settlement of conflicts and disputes over water.
- Furthermore, the inclusion of transboundary infrastructure measures does indeed strengthen capacities at all three intervention levels. That doesn't exclude the necessity for a long term perspective and well developed contractual arrangements.
- Likewise, some might argue that "... several initiatives are taken by member states themselves; therefore, progress in the management of transboundary water resources cannot be ascribed to SADC with certainty..."
- This report argues that such a statement is based on limited understanding of what kind of roles a regional organisation, such as SADC should play. Experience from other regions (with transboundary waters) underlines the importance of regional organisations at different stages of "deepening cooperation" (such as more stand-alone RBOs).⁷

The Mandate of SADC's Water Division

The key mandate of the SADC Water Division is to facilitate, monitor and provide strategic guidance to Member States in the implementation of the SADC Regional instruments, in particular the SADC Protocol on shared water courses. This mandate of the Water Division is clearly articulated in Article 5(c) of the protocol as follows:

- Monitor the implementation of this Protocol.
- Liaise with other SADC organs and Shared Watercourse Institutions on matters pertaining to the implementation of this Protocol.
- Provide guidance on the interpretation of this Protocol.
- Advise State Parties on matters pertaining to this Protocol.
- Organise and manage all technical and policy meetings.
- Draft terms of reference for consultancies and manage the execution of those assignments.
- Mobilise or facilitate the mobilisation of financial and technical resources for the implementation of this Protocol.
- Annually submit a status report on the implementation of the Protocol to the Council through the Committee of Water Ministers.
- Keep an inventory of all shared watercourse management institutions and their agreements on shared watercourses within the SADC Region.

Source: Memo from the PPR Mission Team, April 2010

⁷ See more information in Annex 4 ("Lessons learned").

- Furthermore, the assessment of this programme is based on a comprehensive understanding that international cooperation through regional organisations yields benefits to each member state individually as well as collectively: See Annex 6 (“Arguments for Regional versus National Approaches to Cooperation”). Consequently, from a broad regional cooperative perspective, it may be argued that SADC’s WD has performed well beyond the expected “commonly accepted indicators” (as outlined).⁸

PLAUSIBILITY OF OVERALL OBJECTIVE, INDICATORS, AND IMPACT CHAIN

Therefore, the existing target system does not cover all aspects of the real impacts achieved. The present indicators used to monitor the overall objective to ‘manage transboundary water resources in a sustainable and joint manner’ are difficult to operationalise. With this in mind, the following is stated:

- *Overall indicator 1⁹*: is limited because the concept of a “human and institutional capacities for sustainable management of water resources in accord with the RSAP in the SADC region and its transboundary river basins are strengthened” cannot be confined to this indicator. The present indicator only measures the expectations / impressions of some RBOs – and does not measure a direct impact of regional cooperation through the RSAP implementation. The indicator expresses how the role of SADC WD is perceived by the RBOs (measures the “customer satisfaction”) which is only a fragment of the overall objective. Still, the positive feedback on RBO level towards the mandate and support of SADC’s WD is the base for long-term improved regional cooperation.¹⁰
- *Overall indicator 2¹¹* aims to assess IWRM on the basis of two river basins: This is an oversimplification of a complex situation because the preparation, awareness-raising, and the implementation of IWRM are not being captured. Given the fact that the IWRM plans are developed in an exemplary participative manner with stakeholders, the pursued process of developing IWRM plans for the RBOs is in itself an important step to strengthen the institutional and human capacities of river basins. The step towards implementation will be an important milestone for the development of the RBOs themselves.
- *Overall indicator 3¹²*: Access to water and sanitation as a human rights issue has been promoted by the international community in recent years. The notion of “water rights” (as expressed) is vague but it serves the purpose to make sure that the principle of “equality” is safeguarded. With reference to ongoing processes (like UNESCO’s “water rights initiatives”), the objective that gender and (human) rights of people to water are safeguarded is indeed legitimate and relevant: Therefore, these indicators are important to include, but any assessment should include the complexity of the matter.

The plausibility of the indicators is problematic in these types of cooperative/peace/security initiatives.¹³ This is due to a lack of clearly defined benchmarks regarding cooperative programmes of this nature: The indicators express only parts of the “reality” (i.e., progress/ or

⁸ In relation to the set indicators as well as to comparable regional water cooperation in basins world wide.

⁹ At least three river basin organisations (RBO) assess the performance of the Water Division of the Southern African Development Community (SADC) positively.

¹⁰ In 2009 and 2010 the majority of participants of the RBO workshops perceived the performance of the SADC WD as positive and the largest benefit from SADC WD was in 2009; the “Information about new development in water sector” (36 percent of RBO participants) and 2010 “Capacity Building programs” (46 percent) as evaluated by means of questionnaires at both workshops.

¹¹ Integrated Water resource management (IWRM) in at least two RBO is carried out according to river-basin-specific IWRM plans.

¹² Gender equality and human rights to water are integrated in SADC regional transboundary water policies.

¹³ See OCED evaluation criteria of peace and security programmes:

<http://www.oecd.org/dataoecd/36/20/39289596.pdf>

lack of such) that they aim to measure. In other words, this is not a criticism of this programme, but rather an illustration of the challenge in defining appropriate indicators.

4.2 ASSESSMENT ACCORDING TO OECD-DAC CRITERIA

4.2.1 Assessing relevance “Are we doing the right thing?”

The programme is an integral part of SADC’s RSAP. The SADC protocol forms the legally binding foundation of the RSAP. Accordingly, priority measures are the establishment and promotion of river basin organisations, harmonisation of water policies, promotion of regional water infrastructures, and the strengthening of national water management institutions. The significance of the programme emanates from its multi-dimensional approach and interconnection at three different geographical levels of intervention.

The development measures are in full compliance with the overarching policies and strategies of SADC and her partner institutions. Germany is currently also developing a focal area strategy paper that will serve as a guideline for its technical and financial development cooperation in the SADC Region. ICPs meet twice a year with SADC in the thematic Water Strategy Reference Group (WSRG) supported by the programme.

The PPR team considers the programme and its current phase to be highly relevant for achieving the development needs. There are recommendations that could improve the relevance even further (cf. chapter 6), but the overall *relevance* of the programme is assessed as very good (*mark 1*).

4.2.2 Assessing effectiveness “... Are we achieving the objectives of the development measures?”

Procedure requires that the assessment of this complex programme also needs to address the set objectives and indicators. As mentioned above, the programme’s pre-determined “measures” do not really reflect the real development and performance, i.e., the impacts achieved go beyond the set indicators.

It is therefore concluded that most of the development measures have been achieved (except for the delay in the case of the establishment of the Kunene Water Utility [in Component 3]). It should, however, be highlighted that the desire for cooperation between Angola and Namibia is very strong, and that the achievements to date and potential future achievements under the program are significant.

It seems justified to conclude that the “effectiveness” has been very high in most areas – assessed with a *mark 2*.

The current objectives and indicators have been appraised in more detail in the following table.

OVERALL OBJECTIVE (TO BE ACHIEVED BY THE END OF THE PROGRAMME PHASE III (12/2015))

The human and institutional capacities for sustainable management of water resources are in accordance with the *Regional Strategic Action Plan* (RSAP) in the SADC region and its transboundary river basins are strengthened.

No.	Indicators	Status of achievement April 2010
I	At least three river basin organisations (RBO) assess the performance of the Water Division of the Southern African Development Community (SADC) positively (2008:0 RBO; survey)	<p><u>Current situation:</u> Aside from the ongoing support to RBOs, SADC Water Division is organising yearly RBO workshops (4th RBO Workshop April 2010). SADC WD role as a facilitator for transboundary water management is considered as very important on RBO level.</p> <p><u>Achievement of objective:</u> All RBO consulted (esp. ORASECOM, LIMCOM and Kunene PJCT) assess the performance of SADC Water Division as positive and confirm their need for further support until they are “fully developed”. Different stages in development of RBO are taken into consideration in the capacity development support of the programme. The achievement is very good.</p> <p><u>Evidence:</u> At the end of each RBO workshop a questionnaire has been distributed to all participants. The majority of the participants (RBO, ICP) perceive the performance of SADC Water Division as positive.</p>
II	Integrated water resources management (IWRM) in at least two RBO is carried out according to river basin specific IWRM plans (2008: 0 RBO; target performance comparison of plan implementation)	<p><u>Current situation:</u> The development of basin-wide IWRM plans is being supported in close cooperation with other ICPs, in particular in the Orange-Senqu River Basin. Support is also given to LIMCOM (scoping study) and Rovuma (issues paper)—as well as to the Zambezi River Basin (Dam synchronisation and controlled flood release).</p> <p><u>Achievement of objective:</u> Ongoing process. The Orange-Senqu IWRM plan is the most advanced. The development of IWRM plans is part of the CD support to the RBOs and based on a participatory approach. The complex process of data collection and analysis is supported through consultants. This support was scaled up when DFID bought into the programme. By 2015, two basin-wide IWRM plans should be available for ORASECOM and LIMCOM respectively. This will be important to ensure further implementation measures during the forthcoming third phase of the programme. The achievements so far are good.</p> <p><u>Evidence:</u> Interviews, Consultants (WRP) presentation and consultant contracts/ToR</p>
III	Gender equality and human rights to water are integrated in SADC regional transboundary water policies (2008: no integration; expert reports)	<p><u>Current situation:</u> Gender equality is a cross-cutting and an integral part of the SADC “Regional Water Policy” and promoted through SADC WD. In addition, SADC has its own ‘Gender Division’. The human right to water has been promoted in the ‘water policy’ promoting access to water and sanitation.</p> <p><u>Achievement of objective:</u> Principles of the human right to water are part of the policy but are not specifically “branded” as human right to water as there is still an ongoing discussion in the member states about this “wording” and often a misconception between equal access to water and sanitation services and guaranteed access. Due to the importance of these two issues, SADC WD will further support the dialogue on the issue and consider it in the upcoming RSAP III. The achievement is good.</p> <p><u>Evidence:</u> Discussions on planning workshop, SADC Water Policy</p>

Situation April 2010: The RSAP II review is close to completion and will result in recommendations to the SADC Water Division regarding the development of RSAP III. A major finding of the discussion on the draft report has been that the SADC Water Division needs to take a very active role in the RSAP III formulation to ensure realistic targets and the development of a clear vision for the SADC Water Division in the future. Issues such as adaptation to climate change, gender equality, and the human right to water should form an integral part of the process.

COMPONENT 1 CAPACITY DEVELOPMENT OF SADC WATER DIVISION

COMPONENT OBJECTIVE: THE INSTITUTIONAL CAPACITY OF THE SADC WATER DIVISION IS STRENGTHENED TO MAINTAIN AND CONTINUE THE RSAP

No.	Indicators	Status of achievement April 2010
1.1.	At least five transboundary water management projects in line with RSAP are implemented on the basis of a results-oriented planning and monitoring system. (2008:0 projects; project report systems)	<p><u>Current situation:</u> TWM projects are implemented according to the respective project implementation action plans and depending on the individual requirements of the supporting ICPs. SADC WD is conducting an activity monitoring. SADC secretariat is planning to introduce result based monitoring for SADC divisions in the near future. The mid-term review of the RSAPII will help to define the role of SADC WD for monitoring and reporting.</p> <p><u>Achievement of objective:</u> A results-oriented planning and monitoring system is currently established for the Transboundary Water Programme. This will be extended to SADC Water Divisions overall monitoring approach. Compliance with SADC secretariat monitoring approach is ensured through close collaboration. Ongoing progress.</p> <p><u>Evidence:</u> Interviews, TWM Programme result-oriented planning and monitoring matrix.</p>
1.2.	Representatives of at least three RBO assess positively SADC Water Division support in network-building and exchange of best practices (2008:0 RBO; survey)	<p><u>Current situation:</u> See overall objective indicator No. II</p> <p><u>Achievement of objective:</u> Fully achieved</p> <p><u>Evidence:</u> RBO workshop documentation and survey 2009 and 2010.</p>
1.3.	At least 70 percent of donors assess positively the coordination mechanisms between the SADC Water Division and the donors (2008: 10 percent; survey)	<p><u>Current situation:</u> There is a highly transparent and comprehensive ICP coordination in place. Aside from regular meetings of the WSRG (Water Strategy Reference group) practical implementation is taking place (e.g. ICP cooperation regarding the development of a basin-wide Orange-Senqu IWRM plan). To be able to keep this high professional level of donor coordination support constant input from the lead ICP needs to be provided. The ICP environment in the region is fast changing and needs to cover new and emerging issues like adaptation to climate change.</p> <p><u>Achievement of objective:</u> This indicator has been fully achieved (very high level of cooperation).</p> <p><u>Evidence:</u> In the SADC-ICP Online Survey from 2009, 87.5 % of ICPs assessed the coordination mechanism as positive.</p>
1.4.	Adaptation strategies for climate change are incorporated into updating of the RSAP and in the development of IWRM plans of at least two RBO (2008:0 RBO)	<p><u>Current situation:</u> SADC WD takes the lead role in the development of a climate change adaptation strategy. While developing IWRM plans, RBOs are supported to develop strategies for adaptation to climate change, e.g. ORASECOM (GTZ- PIK cooperation (PIK- Potsdam-Institut für Klimafolgenforschung)).</p> <p><u>Achievement of objective:</u> In the mid-term review of RSAPII this issue is considered with high importance and will be included in RSAPIII. SADC WD will be working on the strategy within 2010. Ongoing progress.</p> <p><u>Evidence:</u> ORASECOM modelling, interviews, high importance in the ICP discussions.</p>

COMPONENT 2: CAPACITY DEVELOPMENT OF RBO

COMPONENT OBJECTIVE: THE ORGANISATIONAL CAPACITY OF RBO FOR IMPLEMENTING RSAP IS STRENGTHENED.

2.1	SADC guidelines (establishment and management of RBO, environmental management, stakeholder participation) are implemented by at least two RBO (2008: 0 RBO; RBO reporting system)	<p><u>Current situation:</u> SADC RBO guidelines have been developed and distributed on the occasion of the 4th RBO Workshop. Another guideline on benefit sharing (based on the results of the 4th RBO workshop) is currently in preparation.</p> <p><u>Achievement of objective:</u> SADC guidelines are now available and current support is focussing on the implementation level in RBOs. Ongoing process.</p> <p><u>Evidence:</u> RBO guidelines, participation of RBO workshop, interviews</p>
2.2	In at least three catchment areas, riparian countries have reached accord concerning the status of water resources (2008: 0 catchment areas; written documentation of accord)	<p><u>Current situation:</u> Accord will be reached via RBO IWRM plans for the river basins. As these plans are not yet finalised, no formal accord has been reached at the national level. Member countries, e.g. in ORASECOM, support the IWRM plans by sharing information and making data available (high transparency on data sharing) for the RBO and the IWRM planning team.</p> <p><u>Achievement of objective:</u> Member countries support actively the IWRM planning by making information available. Once the plans are available the next step is to use the available information for commonly accepted measures. Support has been given also to studies focusing on commonly accepted issues like dam synchronisation in the Zambezi River Basin, the establishment of RBO, a scoping study for the Limpopo River Basin or an issues paper on Rovuma River Basin. All measures have been approved by member countries. The achievements so far are good.</p> <p><u>Evidence:</u> Interviews ORASECOM, WRP, RBO guidelines</p>
2.3	The national focal points of at least three RBO in the riparian countries have access in the RBO central databank to all socio-economic, hydrological and environmental data needed for making management decisions (2008: no databank yet; reporting by national focal points)	<p><u>Current situation:</u> RBOs are supported by water officials from the member countries. Formally, national focal points have and will not been formed by the member countries. As IWRM plans and databanks are not completed the databanks are not yet managed at the RBO level (still in the process). Clear communication channels between the SADC WD and the national level have been established with regards to the implementation of the RSAP.</p> <p><u>Achievement of objective:</u> The issue of central databanks is followed up – based on the mandate and development level of RBOs. Websites have been developed or are currently being developed for ORASECOM, LIMCOM, and Kunene PJCT. These will also serve as data sharing platforms for the member countries. Socio-economic, hydrological and environmental data is also made available to stakeholders and decision maker through River Awareness Kits (RAK Orange-Senqu available; for the Kunene and the Limpopo close to completion). Ongoing process.</p> <p><u>Evidence:</u> Interviews, planning workshop, WRP presentation, ORASECOM website, RAK CD</p>
2.4	The contents of the River Awareness Kits (RAK) of at least two RBO show that public participation has contributed to their development (2008: no public participation; analysis of RAK)	<p><u>Current situation:</u> The ORASECOM RAK has been available since September 2009; the RAKs for the Limpopo and Kunene respectively will become available towards the end of 2010. Public participation is ensured through stakeholder workshops at the national level.</p> <p><u>Achievement of objective:</u> The Orange-Senqu RAK has become an important tool for communication and raising awareness for ORASECOM. The RAK has been presented at the Stockholm World Water Week and is also being appreciated by ICPs. Other RBOs show great interest in developing their own RAK. The River Awareness Kit is comprehensive and informative making national information available to all stakeholders (high transparency between member states). Fully achieved.</p> <p><u>Evidence:</u> RAK, Interviews</p>

COMPONENT 3: CAPACITY DEVELOPMENT FOR LOCAL WATER GOVERNANCE AND TRANSBOUNDARY INFRASTRUCTURE

COMPONENT OBJECTIVE: LOCAL WATER GOVERNANCE IN SELECTED TRANSBOUNDARY RIVER BASINS IS IMPROVED

3.1.	The Kunene Water Utility (KWU) is operational and equipped with financial, administrative and maintenance business procedures and requisite key personnel (financial, administrative and personnel managers) (2008: KWU does not exist; expert report)	<p><u>Current situation:</u> After some delays the KWU was approved (April 2010) by the Angolan authorities in the Kunene region. Further approvals will be needed and it can be foreseen that administrative hurdles might delay the formal establishment and staffing of the KWU further. At the same time, major steps have been made to improve the work and cooperation within the PJCT. PJCT conducts regular bi-annual meetings and hired a project manager. The Project Implementation Unit conducts monthly meetings (since January 2009). Highlights of PJCT Capacity Development support were a study tour to the German water sector including the International Commission for the Protection of the Rhine (ICPR), and IWRM training that took place in Ondangwa, Namibia.</p> <p>With respect to the Water Utility Kunene a feasibility study for the KWU has been conducted. The final version was approved in 2009 and has been translated into English to be made available to all stakeholders.</p> <p>The indicator needs to be revised. The information obtained over the last years suggests that the focus should not be on a formally established KWU. Focus should rather be to ensure the establishment of institutional structures for a sustainable management of water supply and sanitation services in the region.</p> <p><u>Achievement of objective:</u></p> <p>KWU is not operational but very important milestones have been achieved. Considering the post-conflict situation in the region, one major achievement is the well functioning PJCT. Further support is needed to ensure the success of this highly important measure. The indicator has not been achieved but important preconditions have been fulfilled.</p> <p><u>Evidence:</u></p> <p>PJCT meeting, Interviews, Planning Workshop, Feasibility Study.</p>
3.2.	Poverty-oriented water rates are developed and validated with involvement of communities in the Kunene region (2008: no rates; expert report)	<p><u>Current situation:</u> Water rates should at least cover the operational costs. At the same time, they need to be poverty-oriented. As water is currently sold by water vendors, customers are charged much higher prices than they will pay once the water is provided by a utility. Therefore prices will reduce in the long run. Water rates can only be calculated once water is available for the utility to sell. The issue has been taken up in the feasibility study.</p> <p><u>Achievement of objective:</u> As long as water supply and sanitation services cannot be provided by the authorities / utility and as long as there is no water for sale, the study on water tariffs is a theoretical exercise. The issue is taken up and will be further followed up. Ongoing process.</p> <p><u>Evidence:</u> Feasibility Study, Interviews and Discussions.</p>
3.3.	At least two water utilities (WU) in border towns prepare planning document jointly (2008: 0 border towns; planning documentation)	<p><u>Current situation:</u> There are no further border town water utilities identified.</p> <p><u>Achievement of objective:</u> In this current second phase, the Transboundary Water Management Programme support focuses on assessment and development processes regarding the SADC WD and RBOs so as to establish strong structures for the future support to the member states. The implementation of regional approaches at national/local level will become more important once the role and mandate of the SADC WD and RBOs are strengthened. Especially RBOs will be able to identify measures with transboundary impact but implemented at national level and based on IWRM plans. The importance of local/national projects should be taken up in the next phase.</p> <p><u>Evidence:</u> see also "Evolution of Regional Organisations". Interviews.</p>

4.2.3 Assessing the overarching development results (impact)

“Are we contributing to the achievement of overarching development results?”

During the current second phase, significant impacts have been achieved in fostering sustainable transboundary water management. To which extent the programme had direct positive effects on children, women and the impoverished part of the population in the region is hard to measure. However, experience elsewhere indicates that sound water management generally has direct positive impacts on these target groups.

Additionally, the contribution to ‘peace and security’ is potentially substantial, although hard to measure: Worldwide experience clearly shows that there are potentially serious negative implications of lack of cooperation (regarding transboundary water resources).¹⁴

From such a perspective and given the appraisal of the above ‘impact chain’, the programme’s impact was assessed as (very) high (mark [1] 2).¹⁵

4.2.4 Assessing efficiency:

“Are the objectives being cost-effectively?”

The use of resources is highly transparent. Measures are demand-driven and implemented based on joint decision-making between programme partners. This report assesses the overall efficiency of the programme as high (mark 2), especially since there are obviously few other international examples that would suggest another and more cost-efficient way of doing it. The highest mark could have been given (1), but this was not done because of lack of accurate data to draw an affirmative conclusion (such as lack of a ‘cost-effectiveness review’). One example from the program that appears to have a high output (in relation to funds) is use of selected consultants which apply already existing knowledge (for example the modelling of the basins covering Orange-Senqu basin [by VWRP]). In addition, there is a high uncertainty regarding ‘alternative ways’ of implementing the programme.¹⁶

In order to draw a clear conclusion regarding this criterion, a ‘cost effectiveness review’ would have to be done to ensure that information exists so that efficiency can be better measured.

EFFICIENCY SEEN FROM A PEACE DIVIDEND PERSPECTIVE:

If a “peace dividend analysis” is performed, i.e., by measuring the difference of ‘the cost of doing nothing’ (with possible hostilities) against ‘the cost of the programme’ – then, the efficiency would have to be assessed as extraordinarily high. Also, from such a perspective the programme costs are minimal compared to the potentially high costs caused by ‘hostilities’.

More specifically, the following comments are given:

¹⁴ Cf. Experience from for example in the Middle East (Trondalen, 2009: Water and Peace for the People”, UNESCO)

¹⁵ One may argue that his statement should be further underpinned by an explicit assessment, but in order to be concurrent with the set structure of the GTZ PPR report, the preceding assessment in 4.1 forms the basis for this conclusion.

¹⁶ This is a so-called « zero-hypothesis », which means that since there are many complex framework conditions; there may be other ways that would have increase the sustainability, but taking the various conditions into account, the PPR team concludes that proper “alternative ways” are hard to define.

Overall, RBOs play a significant role in transboundary water management and they have developed their cooperation further with support from the programme. In light of the current “window of opportunity” in the region (in terms of establishing RBOs and the overall positive cooperative mood), it is probably highly cost-efficient - not only to continue - but to even enhance the programme in order to fully utilise/ capture the cooperative potential: As outlined in the beginning, in future, RBOs are assumed to play an even more significant role in transboundary water management – a potential which is already acknowledged by partners and ICPs alike.

4.2.5 Assessing sustainability

“Are the positive results durable?”

Before outlining the conclusion on this matter, one has to more clearly define what the issue of ‘sustainability’ is all about in the context of a complex programme like this: There are several aspects related to this – such as *sustainability* in relation to:

- *Financial commitment* – from SADC, ICPs, SADC member states, and the various RBOs – and even in areas of direct intervention [like in Namibia and Angola]). In general terms, the sustainability should be assessed as high. However, there is uncertainty about the programme’s sustainability in the years to come – due to the long-time commitment that such complex and multi-dimensional programmes require.
- *Programme Intervention* – in the sense of programmes that are sustainable (both in terms of *operation & maintenance* – as well as yielding the expected results in the long run): The programme seems indeed to be sustainable but there is - of course in such a complex programme - a degree of uncertainty due to changing geo-political conditions in particular, which may influence the sustainability: The SADC Region is *de facto* in a post-conflict situation.
- *Ability of member countries to manage the programme initiatives in the long run.* There are signs that the ‘membership commitments’ are increasing, e.g. concerning the sharing of costs to operate RBOs. However, there are several factors that go beyond the control of this programme that will determine how ‘deep and committed’ cooperation on transboundary water is going to reach.

In the case of the Kunene Water Utility, progress has been slower than initially anticipated. Hence, it was concluded that the project requires even more attention in future and that the respective indicators need to be revised based on the “lessons learned”. However, within days after the April 22nd planning workshop, the *Kunene Provincial Council* approved the establishment of the necessary institution, the *Public Water and Sanitation Company*. Furthermore, the commitment shown by the members representing the RBOs, and the unity of vision, the high desire for cooperation and common purpose indicates that ownership has been taken, and therefore is a very positive sign for sustainability.¹⁷

Given the nature of this very project, sustainability is viewed to be high (*mark 2*).

4.2.6 Overall assessment

It is always a challenge to quantify review findings. However, GTZ rules and regulations require quantification based on the following matrix:¹⁸

¹⁷ Empresa Pública de Águas e Saneamento de Ondjiva, EP

¹⁸ Please, note: The ratings are opposite scales: ‘Criteria’ are descending (1 highest rate – 6 lowest) while “weights” are ascending (3 lowest - 1 highest).

(1) Criterion	(2) Rating for criterion	(3) Weighting for criterion	(4) = (2) x (3) Weighted criterion (automatic)
Relevance	1	3	3
Effectiveness	2	2	4
Impact	2	3	6
Efficiency	2	2	4
Sustainability	2	2	4
Average of the weighted criteria 1 - 5			2
If effectiveness, impact or sustainability are accorded a numerical rating of "4" or poorer, the overall rating will be downgraded to "4" even if the average is better than "4". Under exceptional circumstances, should the sustainability be less important (weighting "1", see assessment grid), the overall rating will not be downgraded.		No, the overall rating is not downgraded.	
Overall rating of the project/programme:			2

4.3 Cross-cutting themes: "Water, Security & Peace-Building"

Most cross-cutting themes are part of the review. There is, however, one theme which is worth highlighting, especially since none of the present indicators covered the "prevention and resolution of water disputes". This nexus is reflected in two important pillars that German Foreign Policy and Development Assistance are built on:

1. "Crisis prevention, conflict transformation, and peace-building"¹⁹, and
2. The German BMZ's Position paper: "Transboundary Water Cooperation".²⁰

Similarly, UK FCO²¹ and DFID in general, seems to share the principles outlined in these documents.

The German Government regards development policy as global peace policy:²² This is based on a broad understanding of security which goes beyond traditional security policy. Development policy is mandated to fight the root causes of poverty, injustice and the destruction of the vital natural resource base on which people depend, as well as to make direct inputs to the peaceful resolution of crises and conflicts rooted in poor development and social transition.

Furthermore, Germany states explicitly that they are one of many bi- and multilateral ICPs, which increasingly sees development cooperation as a contribution to crisis prevention and peaceful conflict management.

¹⁹ See : <http://www.gtz.de/de/dokumente/en-crisis-prevention-and-conflict-management.pdf>

²⁰ See: http://www.bmz.de/en/service/infothek/fach/spezial/Special136e_web.pdf

²¹ British Foreign and Commonwealth Office.

²² See footnote 17 above.

The PPR team argues that the present SADC programme is not only a conceptualization of the set nexus but a concrete operationalisation of more general objectives of peace, stability, and post-conflict development. Both Germany and the UK are advised to communicate the results and lessons learned from the programme to a wider audience – as an example of concretization of the “water & peace nexus” (see text-box below).

Likewise, when new indicators for the components are being developed, one should carefully examine the OECD paper on criteria for evaluating such *nexus*es (see Annex 6).

THE WATER, SECURITY & PEACEBUILDING NEXUS IN A SADC CONTEXT

The *raison d'être* for the programme could be also viewed from a *water-security & peace-building* perspective:

- Water resources as strategic goals: In regions such as SADC access and control of precious water resources is vital also from a security and strategic perspective – even more so in future.
- Water resources as strategic tools: Water resources are under certain condition powerful strategic tools – such as an upstream country's ability to confine the water flow to downstream nations in order to achieve other vital interest, or trade, and even energy supply. In SADC, water, energy, and security are all linked, and some of these linkages are constructively addressed by the programme.
- Water resource inequities as root causes of conflict and insecurity: Growing disparities between water-rich and resource-poor countries in terms of access to and control of the resources has created constant tension in other regions, especially in areas that are heavily dependant on either rainfall or irrigation for food security. Recent research has revealed that there is a close association between risk of conflicts and poverty.

In the case of countries facing fragile food security, water availability will become even more important in future in order to improve general food security as well as strengthening social and economic development. Lack of such progress would have political and even military security implications in the near future.

As water will become increasingly scarce, unequal distribution of essential water resources will render already unstable communities even more insecure – which again, could fuel instability.

- Water resources changes as root causes of conflict vulnerability: As water resources are altered either through human intervention or simple due to natural variations - not least in relation to possible climate changes - scarcity in terms of quality and quantity is going to enhance conflict vulnerabilities. Communities and states in SADC could then be exposed to a perceived risk to its security, which in some instance may have severe implications.

Mitigation of vulnerability is probably a concept, which is worth exploring by both SADC and the GTZ-team since it exhibit states and communities ability to cope with dwindling water resources. Such an approach would enable SADC to develop policy recommendations to countries that are moving towards greater vulnerability for conflicts, instability, and security threats.

All sectors such as energy, agriculture (“food-security”), and other land uses as well as the socio-political-economic environment are intertwined. In general, there is an increased recognition that the potential alterations of water quality and quantity will pose an increasing security threat. In addition to potential global climatic changes, there are two time-relevant global trends that are having an obvious effect on states' and communities' utilisation of water resources and their security. First, the entangled *water-energy-security* nexus is accentuated by sharply rising energy prices, which in turn, at least in the first instances, could have major water implications as well as strategic concerns for countries in the SADC region.

Second, the recent sharp increase of food prices has serious consequences, especially for the impoverished people in part of the region. *Water-food-security* becomes not only relevant but acute in many parts of the world – which in turn are directly linked to food security at a community level as well as national security concerns.

The programme addresses this entangled nexus directly and constructively – and further direction of the programme should reflect these aspects (see proposed indicators in Section 7).

5. Other important issues related to the development measure

5.1 Results-based monitoring system

During the first phase of implementation (October 2005 – September 2008), the *Transboundary Water Management Programme* developed a so-called *Results Monitoring Calendar*. The aim of this management tool was to assist the programme management in the provision of continuous results-based information. However, practical application and experience showed that this tool was insufficient with regards to actual impact monitoring. Hence, the programme undertook major efforts during the current second phase to develop a results-based impact monitoring system. The GTZ team in cooperation with the SADC-WD engaged in a thorough discussion and development process and finally agreed on the major pillars of the new monitoring system.

The current version of the Monitoring & Evaluation overview provides for a good overview of the present development status of all measures. In future, this overview is going to be further enhanced and all information that forms the basis of the system will be made available to all users in the form of individual output sheets. The development of this results-based impact monitoring system was accomplished in a very participatory way and, thus, turned out a meaningful learning exercise for both teams. The lessons learnt will be employed in developing a similar results-based impact monitoring system for the RSAP (see also Annex 8).

Finally, results-based monitoring systems will also be developed for LIMCOM and ORASECOM in 2010.

5.2 A continued consistent strategy towards “Capacity Development”

A pivotal part of the GTZ-implemented programme is capacity development, especially of SADC and RBOs. Because the *Mid-Term Review of SADC’s RSAP 2* discusses in detail the extent to which SADC has fulfilled its mandate and tasks, it seems prudent to underline the importance that the future direction of the programme takes into account the comparative advantages of fostering regional cooperation through continued and, even more importantly; a tailored regional assistance as new framework conditions in the region appear – see the textboxes on next page.

As outlined in chapter 3, when RBOs are becoming “mature” (e.g. featuring Secretariats), the level of effort by SADC’s WD will be reduced - whilst those that are still establishing a cooperation framework will be given more support (depending on the nature of their engagement).²³

This means that in basins with Secretariats like ORASECOM, OKACOM, and LIMCOM, the Water Division ought to play a role of resource mobilization, strategic guidance and sharing of best practices. The enhanced capacity of the RBOs creates opportunities for delegation and implementation at this level.

In the cases of the Save, Buzi and Ruvuma river basins, where cooperation is still not well advanced, more support needs to be given by the Water Division. On a similar note, the Zambezi and Kunene river basins still need strong support from the Water Division due to the complexity of the basin challenges.

²³ Which of course is also a function of the number riparian States sharing the basin.

Rationale for a regional approach to RBOs' Funding

In the future, a structured approach towards mobilization and channelling of resources through SADC has especially an added advantage in the infancies of the RBOs (rather than dealing directly with the RBOs at an early stage in the establishment). In this context, it is of decisive importance that the funds are contractually provided to SADC, but goes directly to the RBO or vendor for efficiency and avoid the bureaucratic processes associated with large institutions.

A very high level of accountability and responsibility should be attained through the regional approach as the recipient RBO is not only accountable to the funding agencies but also to SADC. This entails reporting progress and performance of the recipient RBO to the SADC Ministers of water in their annual meetings. The SADC Ministers of water would not allow any RBO to tarnish the name of SADC by not using the funds appropriately. Such a level of accountability is likely to be achieved through the regional approach.

The SADC approach also intrinsically introduces competitiveness amongst RBOs in accessing funds. SADC Secretariat is unlikely to allocate mobilized funds to a RBO that is a poor performer in utilizing funds and accountability; hence each RBO will automatically try to perform when doing their business.

The profile of the funding ICP is elevated when the support is channelled through SADC since it is formal reflected as supporting 15 countries even though it might be physical supporting a river basin organization with only three Members States.

It further enhances the monitoring of the implementation of the Protocol by SADC by using the window for reporting SADC on their performance in utilising the funds which would clearly indicate progress on Protocol implementation.

The regional approach also improves ICP coordination to avoid 'cherry picking' of river basins leaving other basins unfunded. SADC Secretariat would channel funds to the RBOs that really need the funds and would then utilise it timely. Such a phenomenon has already been observed in the past in the region.

Source: Text derived from SADC to the PPR Mission Team.

Therefore, future strategy should build on operationalisation of these principles through *facilitation, coordination, strategic guidance, honest brokering, and resources mobilization* and to a lesser extent as an implementer of those sensitive interventions that can be better done at the SADC level such as the development of regional instruments.

SADC' WD's support to RBOs is governed by the principles of the RSAP on IWRM –such as the following:

- a) *Additionality*: Only to be engaged if the intervention is adding value to the Member States and/or RBOs
- b) *Variable Geometry*: To allow Member States and/or RBOs to be at different levels of development on a thematic area based on their current priorities
- c) *Subsidiarity*: Implementation to be done by those who are better placed to do so and are at the right level
- d) *Piloting*
- e) *Sustainability*

Source: Text derived from SADC to the PPR Mission Team.

So, what could a long term vision of SADC's WD look like?

Experience from other international river basins organisations shows that the RBOs in the region may evolve through different development stages; ranging from bilateral mechanisms, which address all shared water resources between riparian countries - to basin-wide institutions which are specific to a particular basin and where all the states in that basin are represented.²⁴

²⁴ See also the MID-Term Review Report (2005-2010)

According to the WD (which is fully supported by the PPR team), it is envisaged that realistically in the next 20 years; nearly all the RBOs should have established corporate structures (secretariats) with requisite capacity to run their business efficiently. In such a situation, the role of the WD could shift to a strategic level, which focuses mainly on monitoring the implementation of the Protocol and provide strategic guidance.

Such a long-term vision has to be staffed with dedicated officials: These should include experts who provide planning, monitoring, reporting, legal, and institutional competence. The establishment of a PMU for the management of the RSAP is an urgent requirement – from a short and long-term perspective.

5.3 Cross-cutting issues within the sector network

It is commonly agreed among scholars that “any regional organisation can be stronger than the desire of the member countries”. Such a balance of regional cooperation and the expectations of the member states can only be through an active engagement between SADC’s WD and the countries themselves – whereas realistic strategies and achievement can be reached.

In almost any international river basin cooperation, external funding plays an important part, and the current situation of ICP dependency is probably acceptable for some years but not from a 20-years perspective. Therefore, it is likely that SADC will continue to be dependent on ICP funding for the foreseeable future.

It is important to note that the worldwide trend regarding ICP engagement links to programmatic support, which provides much greater flexibility, and would be ideal for the RSAP and the Water Division.²⁵ This is creating a mutual relationship whereby the ICPs must clearly articulate their requirements to SADC’s WD – not only after programme support but rather prior to and during programme implementation.

5.4 Other issues related to development measure: Emerging issues

Any regional cooperation has to tackle “everyday tasks” as well as to constantly look forward and adapt to changing conditions. This is the case for SADC, RBOs, and member-states – and the challenges vary for each of them: This is probably the crux of the matter in an international cooperation.

During the consultations as well as in the general PPR, the following issues were defined to be of relevance for the set actors (above) – see textbox:

Each issue is complex in itself, and requires particular attention. One urgent issue, however, is adaptation to climate change: The Ministers’ Council of SADC as well as ICPs have expressed willingness to provide financial assistance to climate change projects, which makes it urgent to develop a strategy for climate change adaptation soonest.

1. Food security
2. Political Dialogues
3. Climate change:
 - à Droughts
 - à Benefit Sharing
 - à Ecosystem Approach
 - à Water Scarcity
4. Pollution (water quality deterioration)
5. Poverty Reduction
6. Conflict Resolution
7. Public-Private Partnership

SADC’s WD, in cooperation with the lead ICP, is going to develop this strategy in 2010.

²⁵ See the “Mid-Term Review of the RASP 2005 -2010”.

6. Learning processes, lessons learned, and recommendations

The PPR offers an opportunity for the programme team, the development partners, and the ICPs, to reflect on the lessons learned as a basis for strategising the next phase of the programme (cf. chapter 3 – about the selected approach of this PPR).

There are various ways for presenting such “self-learning lessons”, especially in relation to governance and programme leadership; but in the following, the findings which are shared by both the programme leadership and the mission team are outlined in four linked categories (by answering the following questions):

1. What works – see all three components as a whole?
2. What are the main challenges?

Then, and equally important, it is to attempt to answer the following questions:

3. Recommendations: How to overcome these challenges?

The programme team took a very positive and constructive self-reflective role in developing the following response together with the PPR team. Please, note that there were a few additional aspects raised in the PPR workshop (on April 22nd – as outlined in Annex 8, “Agreed Minutes of the PPR Workshop”), however, to make sure that the PPR team reflects their findings in a precise manner, the following ‘lessons’ are highlighted:

1. What works – see all three components as a whole?

- ü The up-scaling of the programme has been very successful.
- ü The programme is playing a central part in regional transboundary cooperation.
- ü GTZ/DFID is uniquely positioned as a *lead ICP* in influencing and supporting SADC’s (Water Division) mandate and mission: A ‘sound counterpart relationship.’
- ü DFID’s contribution allowed for substantial up-scaling of the programme – which enabled the scope and size of the activities to get reinforced synergy (e.g., develop substantive content [such as river basins models as input to the decision-making process] under the establishing phase of the RBOs).
- ü Close partnership with the RBOs.
- ü Unique trust in relation to SADC, RBOs, and member countries (of SADC).
- ü Seems to have the right people in the right place (effective working environment in a multidisciplinary manner).
- ü Multilevel approach which is enabling the programme leadership to understand and react to the complexity and processes that relate to transboundary water cooperation.
- ü The “donor” harmonisation seems to work well (including ICP portal and “donor” mapping).
- ü Very good quality control of consultancies.
- ü Sound and transparent cooperation between GTZ and DFID.

2. What are the main challenges?

To answer these questions (above), one has to accept that there are challenges ahead in such a complex programme:

- ü Continue to assist SADC Water Division's capacity to improve *Monitoring & Reporting*.
- ü The indicators do not fully reflect the real impact of the programme, i.e., they should be expanded and refined to encapsulate the full impact of the programme.
- ü Strong involvement of external consultants – which is, however, necessary.
- ü Continue to closely and regularly interact with partner staff on agreed actions.
- ü Short- and medium term planning and implementation (due to uncertainties about funding commitment).
- ü How to incorporate in a systematic and strategic manner the new and emerging issues (like climate changes, droughts, deteriorating water qualities, food security)?
- ü Some expectations among partners and ICPs that SADC will have a conflict resolution capacity in the future.

3. Recommendations: How to overcome these challenges?

There is of course, no panacea of how to overcome the challenges but following commonly accepted recommendations may provide for some answers.

- ü Increased membership commitment of SADC, especially in terms of providing sufficient staff resources. In case staff resources are not being provided, expectations should be lowered (probably most realistic).
- ü Increase the ownership (of the member states) of the different projects by ensuring partner involvement throughout the different phases of the project (development); including the technical evaluation of proposals.
- ü Ensure sufficient funding – through continued and essential support from DFID and potentially from AusAID
- ü The good work in nurturing the relationships between the partners has to continue.
- ü The programme should continue to refine realistic result-based objectives, realistic result-based component outcomes, and indicators that actually measure the full impact.
- ü The programme concept should continue to be oriented along the multi-level approach in order to ensure synergies between SADC, RBOs and projects (in the member countries) at the local levels.
- ü Slowly reduce outsourcing and engage partners, especially related to more strategic challenges.
- ü Improve the tailoring of terms of reference for external consultants.
- ü Apply the M&E system as a management tool not only for ICPs but also for SADC (see above: M&R) – strengthening PMU.
- ü Assist SADC to act as a facilitator – and not as a mediator – in potential international disputes related to regional water resources.

Finally, and as a summing up, the programme is advised to continue its ongoing efforts in developing regional capacities, especially with regards to:

- Human Resource Development/Training
- Organisational Development
- Networking and Partnerships
- Systems and Policy Development Result orientation
- Multi-level approach
- 'Pro-poor focus'; especially take into account DFID's principled approach.
- Avoid substitution of SADC functions by GTZ.

Conceptual approach for the third phase:

The programme leadership is encouraged to refine and develop more tailored "outcomes" with associated *indicators* under each of the three components (see also proposal in Section 7, p.41).

IMPACT CHAINS:

Component 1: Capacity Development of the SADC Water Division:

The "impact chain" of the programme could take the following form: The programme team provides advice with regards to planning and coordination activities of SADC members.

The MT advises SADC to further harmonise ICP contributions through the establishment of the PMU – although, *monitoring & reporting* is emphasised (versus *evaluation*; which we believe should be done by the ICPs directly) – along following lines:

- ü Concurrently, knowledge and information management processes are introduced and sector networks bolstered. Communication strategy to be implemented.
- ü Results *monitoring* is introduced as a principle into SADC planning (cf. strengthened in RSAP III).
- ü The development of an "integration strategy for adapting to climate change" should be given high priority.
- ü An important element of advising continues to be the integration of principles of equality and the incorporation of the human right to water (equal access) in the transboundary water policy of the region.
- ü SADC should be prepared to play a different role according to the various development phases and paths of RBOs.
- ü SADC and RBO staff has to continually strive for better coordination of ICP contributions within the region; for better planning and observation of all projects and activities planned within the scope of the RSAP as well as for their monitoring.
- ü PMU must be implemented and 'organisational development' needs to be incorporated into the SADC Water Division in order to ensure that required capacities will be available in the long term.

Regarding role of SADC in "conflict resolution" of water disputes:

SADC's water protocol outlines the WD's mandate in emergency situation to provide information for prevention, mitigation and elimination of water related disputes – there is also an article on dispute-settlement (article 7) that states that the SADC *Tribunal* should be contacted if disputes are not settled:

The ICPs should assist SADC to act as a facilitator – and not as a mediator in upcoming international disputes related to water. SADC is advised to develop a strategic collaboration approach with her ICPs, which, among other aspects ought to include prevention, settlement, and resolutions of water disputes:

- Role of SADC, RBOs, ICPs, Member countries, and role of others.

SADC is well advised to enhance the "negotiation and conflict resolution skills" of both the staff of SADC the RBOs and their member countries.

Component 2: Capacity Development of RBOs

As outlined in the beginning, different RBOs will evolve and, therefore, grow in different steps. Hence, RBOs are expected to assume an increasingly important role in transboundary basin cooperative management. In the following, even though the terminology RBO is used, similar approaches are true for example for PJCT and others: the programme should assist them to:

- Take a step-by-step approach and do not develop a too ambitious programme (which they can hardly fulfil).
- Vigorously try to identify bankable and implementable projects (on the ground) – in order to make the obvious benefits visible to the people of the member countries – as well as to gain credibility (as a RBO).
- Apply the newly developed SADC-RBO guidelines, which call for the involvement of the public and important stakeholders in an organised way.
- Install and support RBO knowledge and information systems including the required IT infrastructure to ensure proper data management and analysis for decision making at the RBO level and for the member states.
- Strengthen the processes for exchanging data and information further.
- Continue to implement public participation processes, especially in connection with the development of RAKs.
- Apply results-based monitoring systems throughout.
- Use the outputs of the programme to intensify data and information-sharing as well as the development and implementation of basin-wide IWRM plans.
- Put the SADC-RBO guidelines into practice so that the organisational capacity of RBOs to plan and implement transboundary water management effectively and efficiently.

Component 3:

“Capacity development for local water governance and transboundary infrastructure”

- The Kunene project offers a unique opportunity to reach critical targets groups²⁶ with positive impacts from providing basic ‘water & sanitation’ to this region. This aspect should be further emphasised as activities are implemented on the ground.
- RBOs need to be supported in identifying national/local projects with transboundary impact. These projects ought to be prioritised and agreed on by all member states (e.g., the ‘Lesotho wetlands project’).
- SADC could act like a clearinghouse in transmitting “lessons learned” to other water authorities or municipalities, which could apply the water governance systems adapted to the local conditions. The lessons learned here would be passed on via the multi-level programme approach at the RBO and SADC levels.
- The measures planned up to the end of the overall project term are to contribute to anchoring sustainable IWRM in the region. Partners should continue to enhance their management and planning functions in SADC or at river basin levels, and to promote good water governance. In combination with the FC investments, this will lead to improved human and institutional capacities at regional and river basin level for sustain-able management of water resources in accord with the RSAP.

²⁶ I.e., impoverished part of the population and women & children.

- As stated from the outset, the enormous potential of this programme lies in demonstrating to the public that “international cooperation pays off”. In addition, it is a concrete measure to prevent conflicts.
- Furthermore, the co-operative and sustainable management of water resources also leads to good water governance.

The highly aggregated impacts consist of an improvement of the socio-economic conditions in the river basins, in that their water resources are secure over a long time.

Key data of the phase under review and recommendations for the new phase

The following matrix will be finally revised by GTZ.

IN THE PHASE UNDER REVIEW	RECOMMENDATIONS FOR THE NEW PHASE
Programme title	
Transboundary Water Management in SADC	Transboundary Water Management in SADC
Programme area	
SADC region: This is a supra-regional programme that includes the 14 member countries of SADC (Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Zambia, Zimbabwe, Republic of South Africa, Swaziland, Tanzania). In Component 2 individual RBO are advised, each of which has to do with part of the SADC membership. Component 3 is related especially to the Kunene region between Namibia and Angola.	SADC region (Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, RSA, Swaziland, United Republic of Tanzania, Zambia, Zimbabwe)
Lead executing agency	
SADC Secretariat	SADC Secretariat
Implementing organisation(s) in the partner countries	
SADC Water Division Secretariat, the RBOs LIMCOM and ORASECOM as well as national sector Ministries and Water Utilities of the riparian countries	SADC Water Division Secretariat, the RBOs LIMCOM, ORASECOM, Rovuma JWC, Kunene PJCT, ZAMCOM as well as national sector Ministries, organisations and water utilities in riparian countries
Duration	

01.10.2008 to 31.03.2011	01.04.2011 planned up to 31.12.2015
Target group/intermediaries	
<p>Target groups of the programme are the people of the SADC member countries. Improvement of sustainable water resource management capacities is intended to improve the long-term qualitative and ecological status and availability of water resources. Since the programme emphasises first of all the creation of suitable framework conditions for management of transboundary waters, the programme is classified as not being oriented to the target groups. Only in the area supplied by the KWU does the programme reach the water user directly via establishment of a poverty-oriented water supply.</p> <p>Intermediaries at the various institutional levels are the experts and decision-makers in national ministries, the WBO, the WU and in the SADC Secretariat.</p>	<p>Target groups of the programme are the people of the SADC member countries. Improvement of sustainable water resource management capacities is intended to improve the long-term qualitative and ecological status and the availability of water resources. In addition, the prevention of conflicts and the promotion of peace, stability, and security will have an overall impact on the whole population. At an aggregated level, one could argue that especially children and women would benefit from successful impacts since they are the ones who normally suffer the most from hostilities. Since the programme emphasises the creation of suitable framework conditions for the management of transboundary waters; the programme is classified as not being specifically oriented to the target groups. Only in the area supplied by the KWU does the programme reach the water user directly via the establishment of a poverty-oriented water supply.</p> <p>Intermediaries at the various institutional levels are the experts and decision-makers in national ministries, RBOs, water utilities, and in the SADC Secretariat.</p>
Development-policy status	
<p>The objective of the programme is to contribute directly to the implementation of the RSAP through increasing the capacities of the intermediaries (relevance). The significance of the programme lies in its approach at various intervention levels (SADC Secretariat, RBO, local levels). This strategy distinguishes it clearly and favourably from the approaches of other donors. The programme is part of a programme-based approach at SADC. German DC, represented by TC, is the current lead donor in SADC's water sector.</p> <p>The programme is oriented to the UN Millennium Declaration and its specification at the World Summit for Sustainable Development 2002 in Johannesburg, since it creates the preconditions for sustainable management of water resources in the SADC region. It is in accord with the objectives and priority approach points of the German Government in the Program of Action 2015 (good governance and long-term protection of vital resources). The programme, by building human and institutional capacities, makes a direct contribution to implementing Agenda 21</p>	<p>Within the framework of NEPAD, African Development Bank and AMCOW (African Ministers Council on Water) new structures for water policy dialogue have been put in place. German Development Cooperation in SADC supports the transboundary water management within the framework of the <i>Regional Indicative Strategic Development Plan- RISDP (revised in 2007)</i> – under the result: “Infrastructure for regional integration” taking into account the mounting pressure on the scarce water resources through climate change. The framework for transboundary water management has been defined in the SADC “<i>Revised Protocol on Shared Watercourses</i> (2002), the regional SADC-Water Policy (2006) and the “<i>Regional Strategic Action Plan on Integrated Water Resources Development and Management RSAP</i>”.</p> <p>The goal of the RSAP-IWRM in its current second phase (2005-2010) is to realise the vision of SADC members contained in <i>Water in the 21st Century</i> (“equitable and sustainable utilisation of water for social and environmental justice,</p>

(Chapter 18, protecting freshwater resources).

The programme takes into account the strategic orientation to BMZ profile-building in the sub-Saharan Africa region. It follows the specifications of the profile building block, transboundary WRM. The water sector is a priority area of German DC in the Africa NA portfolio. The principles and objectives of BMZ sector concept Water (2006) and of the position paper, Transboundary Water Cooperation (2006), are considered in planning and implementation. TWM is one of three priority areas of German cooperation with SADC (see most recently in the protocol of government negotiations 2006).

regional integration and economic benefit for present and future generations"). The RSAP is based on the IWRM principles and includes four strategic objectives: (1) Regional Water Resources Development Planning and Management (2) Infrastructure Development (3) Water Governance (4) Capacity Building. For the upcoming third phase (plan currently under review) further priority areas are under discussion (a) Adaptation to climate change (b) Poverty reduction and food security (c) Eco-systems and IWRM (d) Benefit sharing and cross sector cooperation (e.g. Hydropower, Irrigation) (e) Conflict resolution and peace building (f) Financing mechanisms.

The objective of the programme is to contribute directly to the implementation of the RSAP-IWRM through increasing the capacities of the intermediaries (**relevance**). The **significance** of the programme lies in its approach at various intervention levels (SADC Secretariat, RBO, local levels). This strategy distinguishes it clearly and favourably from the approaches of other donors. The programme is part of a programme-based approach at SADC. German DC, represented by TC, is the current lead donor in SADC's water sector.

The programme takes into account the strategic orientation to BMZ in the sub-Saharan Africa region (BMZ Konzept für die deutsche Entwicklungspolitik Zusammenarbeit SADC, October 2009). The water sector is a priority area of German DC in the Africa NA portfolio. The principles and objectives of BMZ sector concept Water (2006) and of the position paper, Transboundary Water Cooperation (2006), are considered in planning and implementation. Transboundary Water Management is one of three priority areas of German cooperation with SADC.

The programme is oriented to the UN Millennium Declaration and its specification at the World Summit for Sustainable Development 2002 in Johannesburg, since it creates the preconditions for sustainable management of water resources in the SADC region. It is in accord with the objectives and priority approach points of the German Government in the Program of Action 2015 (good governance and long-term protection of vital resources). The programme, by building human and institutional capacities, makes a direct contribution to implementing Agenda 21 (Chapter 18, protecting freshwater resources).

Results chain(s)

The programme's central methodological approach is through capacity development for management of transboundary waters. Here the programme operates at various levels: at the river basin level, RBO such as LIMCOM and ORASECOM are supported, at regional level the SADC secretariat, and at national level the water ministries and lower authorities and water utilities. The German TC contribution comprises policy and strategy advisory services, advising on organisational development, drafting protocols and conducting business processes, advising the RBO national spokespersons and developing and introducing information systems for water supply/wastewater disposal and WRM organisations.

Component 1: Capacity Development of the SADC Water Division: The programme team provides advising in regard to planning and coordination activities of SADC members. In assuming the lead donor role, TC also advises SADC in further harmonising donor contributions. Organisational development advising leads to a critical evaluation of SADC and RBO functions and capacities. Concurrently, knowledge and information management processes are introduced and sector networks bolstered. Results monitoring is introduced as a principle into SADC planning activities. Policies, strategies and statutes in regard to water are reviewed by legal experts to determine the need for harmonisation. In addition, the programme advises on developing a strategy for adapting to climate change. An important element of advising continues to be integration of principles of equality and the incorporation of the human right to water (equal access) in the transboundary water policy of the region (outputs). SADC and RBO staff use the outputs of the programme for better coordination of donor contributions within the region, for better planning and observation of all programmes and activities planned in the scope of RSAP as well as for their monitoring. Water policies, strategies and laws are harmonised. SADC is empowered to assess options for a climate-change adaptation strategy, for dealing with climatic variables and for injecting them into the regional debate. The principles of equality and the human right to water are to be integrated into the transboundary water policies of the region. This in turn strengthens the institutional capacity of the SADC Water Division to sustain and set forth the RSAP (direct result).

Component 2: RBO capacity development: RBO are advised on putting into practice SADC

The programme's central methodological approach is through capacity development for the successful management of transboundary waters. The support comprises policy and strategy advisory services on the level of SADC Water Division (e.g. on RSAP II review, RSAP III implementation), organisational development, communication strategies as well as adaptation to climate change. ICPs adopt RSAP III as the guiding framework for their interventions. RBOs support differs depending on their stage of development. Through water resources management plans RBOs will be enabled to develop common understanding on priority measures for the respective basin and develop bankable transboundary water projects. These basin plans will be reflected on the local level by the respective national governments and the implementation of transboundary pilot projects demonstrating concepts of e.g. benefit sharing, adaptation to climate change, food security.

The overall impact chain of the programme is designed in order to increase and strengthen organisational, institutional, and individual capacities at three geographical intervention levels (SADC Region, shared river basins, and locally), and at different process stages (assessment, development, implementation). This multi-dimensional approach allows for intervention levels, target ranges, and process stages to work hand in hand so as to raise capacities as a whole. As a result, transboundary water resources will be managed cooperatively and sustainably. An indirect result of the programme is the avoidance and the peaceful settlement of conflicts and disputes over water. Moreover, cooperative and sustainable management of shared water resources leads to good water governance. This fosters an improved quality of life in the river basins through long-term water resources security (highly aggregated result).

The detailed impact chains will be elaborated at a later stage.

guidelines for TWM and on how to approach IWRM planning. RBO knowledge and information systems are installed and supported by the relevant IT infrastructure. Processes for exchanging data and information are set up. Citizen participation processes, especially respecting the development of RAK, are developed and implemented. The RBO benefit as well from the introduction of results-monitoring systems (outputs). RBO staff use the outputs of the programme to intensify data and information sharing and the development and implementation of IWRM plans it underlies. RBO put the SADC guidelines for TWM into practice and involve the public in an organised way. Planning and business processes are developed that facilitate their work. This builds the organisational capacity of RBO to implement the RSAP (direct result).

Component 3: Capacity development for local water governance and transboundary infrastructure: One area receiving programme team support is the Kunene region where, in the context of consolidating KWU, business and management methods are developed and poverty-oriented water rates are agreed. On the other hand, additional, still-to-be-determined border towns are supported in planning and developing transboundary water supply projects. The programme devises decision support systems for transboundary water governance issues and supports planning and implementation of pilot projects (outputs). Staff of KWU and other local water utilities or authorities uses the outputs of the programme in establishing and operating the KWU and for the implementation of other transboundary water supply projects. Staff of the water authorities or municipalities uses the outputs to develop water governance systems adapted to the local situation. The lessons learned here are passed on via the multi-level programme approach at the RBO and SADC levels. This upgrades local water governance in selected transboundary river basins (direct result).

The measures planned up to the end of the overall programme term are to contribute to anchoring sustainable WRM in the region. The partners enhance their management and planning functions in SADC or at river basin level and promote good water governance. In combination with the FC investments, this leads to improved human and institutional capacities at regional and river basin level for sustainable management of water resources in accord with RSAP (direct result of overall objective).

The concomitant indirect result of the programme lies in avoidance or peaceful settlement of conflicts and clashes over water. The cooperative and sustainable management of water resources

<p>also leads to good water governance. The highly aggregated result consists of an improvement of life quality in the river basins, in that their water resources are secure over the long term.</p>	
<p>Objectives and indicators</p>	
<p>Overall objective: The human and institutional capacities for sustainable management of water resources in accord with the Regional Strategic Action Plan (RSAP) in the SADC region and its transboundary river basins are strengthened.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • At least three river basin organisations (RBO) assess the performance of the Water Division of the Southern African Development Community (SADC) positively (2008: 0 RBO; survey). • Water resource management (WRM) in at least two RBO is carried out according to river-basin-specific IWRM plans (2008: 0 RBO; target-performance comparison of plan implementation) • Gender equality and human rights to water are integrated in SADC regional transboundary water policies (2008: no integration; expert reports). 	<p>Overall objective and indicator will be taken over in the next phase of the programme.</p>
<p>Component 1: Capacity development of SADC Water Division</p> <p>Component objective: The institutional capacity of the SADC Water Division is strengthened to maintain and continue the RSAP.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • At least five transboundary water management projects in line with RSAP are implemented on the basis of a results-oriented planning and monitoring system. (2008: 0 projects; project report systems). • Representatives of at least three RBO assess positively SADC Water Division support in network-building and exchange of best practices (2008: 0 RBO; survey). • At least 70 percent of donors assess positively the coordination mechanisms between the SADC Water Division and the donors (2008: 10 percent; survey). • Adaptation strategies for climate change are incorporated into updating of the RSAP and in the development of IWRM plans of at least two RBO (2008: 0 RBO) 	<p>Component 1: Capacity development of SADC Water Division</p> <p>Component objective: The institutional capacity of the SADC Water Division to support RBOs and their respective member states in TWM is strengthened.</p> <p>Major fields of Programme intervention:</p> <ul style="list-style-type: none"> • Support to implementation of regional instruments (e.g. RSAP III) • Support to updating institutional framework on adaptation to climate change • Support to effective ICPs coordination (e.g. harmonised ICP contributions to RSAP) • Support to communication strategies (also on issues like gender or human rights to water) • Support SADC Water Division to assist member states and RBOs (e.g. water resources management planning, stakeholder participation, facilitate mobilisation of financial and technical resources)

<p>Component 2: Capacity development of RBO</p> <p>Component objective: The organisational capacity of RBO for implementing RSAP is strengthened.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • SADC guidelines (establishment and management of RBO, environmental management, stakeholder participation) are implemented by at least two RBO (2008: 0 RBO; RBO reporting system). • In at least three catchment areas, riparian countries have reached accord concerning the status of water resources (2008: 0 catchment areas; written documentation of accord). • The national focal points of at least three RBO in the riparian countries have access in the RBO central databank to all socioeconomic, hydrological and environmental data needed for making management decisions (2008: no databank yet; reporting by national focal points). • The contents of the River Awareness Kits (RAK) of at least two RBO show that public participation has contributed to their development (2008: no public participation; analysis of RAK). 	<p>Component 2: Capacity development of RBO</p> <p>Component objective: The capacities of RBOs to manage shared water resources are strengthened.</p> <p>Major fields of Programme intervention:</p> <ul style="list-style-type: none"> • Support RBOs to intensify data and information sharing between member states (e.g. development and implementation of IWRM plans) • Support RBOs to develop and support implementation of bankable TWM projects • Support RBOs to reach agreements between riparian states on basin-wide IWRM issues (e.g. status of their water resources and of TWM projects) • Support to application of RBO guidelines • Support public participation and communication (e.g. RAK) • Support to benefit sharing arrangements between member states
<p>Component 3: Capacity development for local water governance and transboundary infrastructure</p> <p>Component objective: Local water governance in selected transboundary river basins is improved.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • The Kunene Water Utility (KWU) is operational and equipped with financial, administrative and maintenance business procedures and requisite key personnel (financial, administrative and personnel managers) (2008: KWU does not exist; expert report). • Poverty-oriented water rates are developed and validated with involvement of communities in the Kunene region (2008: no rates; expert report). • At least two water utilities (WU) in border towns prepare planning documents jointly (2008: 0 border towns; planning documentation). 	<p>Component 3: Capacity development for local water governance and transboundary infrastructure.</p> <p>Component objective: Local water governance measures in selected transboundary river basins are implemented.</p> <p>Major fields of Programme intervention:</p> <ul style="list-style-type: none"> • Support to the identification and planning of TWM pilot projects based on RBOs water resources management plans • Support to the implementation of TWM pilot projects with benefits on common interests of member states (e.g. issues such as water supply and sanitation, adaptation to climate change, food security, poverty reduction) • Support to Kunene PJCT to establish sustainable operations and management services (KWU)

Cooperation partner (DC/IC/PPP)

Cooperation with other TC projects

Within the scope of the transboundary WRM activity area, the programme cooperates through regular meetings and reciprocal project visits by partner staff with the projects Transboundary Water Management in the Congo Basin (PN 2005.2193.0), Nile Water Initiative: Planning and Management of Water Resources in the Nile Basin (PN 2005.2053.6), Support for the Autorité du Bassin du Fleuve Niger (ABN) (PN 2006.2088.0). All projects are concerned with aspects of IWRM, and in part with data and information management and harmonising national structures and guidelines. The interface for all TC measures supporting transboundary water management in Africa is the project for Cooperation between River Basin Organisations (PN 2004.2041.4) which interlinks river basin organisations so that they can exchange expertise in transboundary water management and devise good practices.

Cooperation takes place with the bilateral projects Managing Namibian Water Resources (PN 2006.2008.8) in Namibia and CP Programme for Reform of the Water Sector in Zambia (PN 2005.2125.2). Themes raised in this connection include intensifying coordination and use of synergies in advising national institutions (sector ministries, focal points of RBO, etc.)

Cooperation with other DC instruments

Cooperation is planned with InWent Capacity Building International, Germany, in conducting regional training in the field of conflict management and conflict prevention as part of the River Basin Dialogue project.

Interaction with other DC projects

Its leading role in the SADC water sector provides the programme with opportunities to coordinate and harmonise donor contributions – opportunities which it used in the first programme phase to coordinate strengthening of the SADC Water Division and to avoid overlapping in support for RBO. The programme also succeeded in adopting terms of reference for the donors forming the Water Strategy Reference Group (WSRG) including SADC. This placed the cooperation between SADC and its donors on a qualitatively new and inherently binding basis.

The Global Water Partnership provides for cooperation on training in international water rights issues. Danida (Denmark) advises SADC on matters such as preparation and implementation of IWRM plans for member countries and in building capacities in the IWRM sector, in particular those of RBO in the Zambezi catchment. Sida (Sweden) conducts international training in IWRM for riparians of the Zambezi

Following the Paris Declaration the *Windhoek Declaration on a new Partnership between the Southern African Development Community and the International Cooperating Partners* (2006) has been setting the framework for improved cooperation between SADC and ICPs. The implementation of the *Windhoek Declaration*, for example by introduction of thematic groups chaired by SADC, was successfully implemented in the water sector (e.g. Water Resources Technical Committee (WRTC) and Water Strategy Reference Group (WSRG)). The delegation of the “Lead ICP” is given to Germany.

Through delegated cooperation of DFID to the Programme harmonisation of ICP inputs has been successfully practiced. Further discussion with DFID and AusAID are ongoing on the cooperation possibilities for the new programme phase.

Needs to be further elaborated (see also current phase).

catchment. Sida also supports the Okavango Commission secretariat and promotes research for IWRM approaches in southern Africa. The African Development Bank (AfDB) supports implementation of the SADC IWRM Action Plan and promotes the study and management of surface water and groundwater. The bank also advises the mid-Zambezi region on water for nutrition. European Commission (EC) promotion includes building expertise in SADC in producing hydrological maps. The EC also supports implementation of the SADC IWRM Action Plan and strengthens institutional and individual capacities of RBO in the Orange-Senqu catchment area for developing water resources and environmental protection measures. TC inputs are coordinated in the WSRG with the aforementioned donors.

Inputs of major actors

Partner inputs

As lead executing agency, the SADC Secretariat's Water Division supplies a fulltime programme coordinator and further experts for training measures. The Division continues to bear the immediate costs of office space and infrastructure (in all, about EUR 200,000). ORASECOM, LIMCOM, ZAMCOM and KWU will gradually take over the running costs of the secretariats and office space and each will provide a fulltime coordinator for the programme. (in all, about EUR 200,000). In addition, depending on needs, qualified staff will be available to implement the programme. Total partner inputs amount to ca. EUR 600,000.

KfW

Cooperation has been agreed with KfW Entwicklungsbank (KfW development bank) on implementing Component 3. KfW finances the planning and construction of a transboundary water supply project in the Kunene region. GTZ supports the relevant WU, the KWU, in initiating the project and in building institutional and human capacities.

Cofinancing agreements

DFID has a cofinancing agreement (delegated cooperation) with the programme. With the additional funds, the programme will support the strengthening of RBO, the preparation and implementation of IWRM plans in transboundary river basins and the involvement of the civil society. A second line of action is raising awareness among politicians and policy-makers for the necessity of joint water management in transboundary river basins and the involvement of water users and their needs in the decision-

Partner inputs

As lead executing agency, the SADC Secretariat's Water Division supplies a fulltime programme coordinator and further experts for training measures. ORASECOM, LIMCOM, ZAMCOM and KWU will gradually take over the running costs of the secretariats and office space and each will provide a fulltime coordinator for the programme. In addition, depending on needs, qualified staff will be available to implement the programme.

KfW

Cooperation will be continued on implementation of the water supply project in the Kunene region and support to PJCT.

Cofinancing agreements or cooperations need to be further elaborated.

<p>making process.</p> <p>Since the programme concerns the organisational development of a river basin commission and political coordination with the member countries, no PPP measures are currently planned (PPP-0). Possibilities in this respect will be checked during implementation.</p>	<p>PPP-0 (see ongoing phase)</p>
<p>Cross cutting themes</p>	
<p>The direct programme inputs provide for mainstreaming equality principles and firmly establishing the human right to water (equal access) in the transboundary water policies of the region. Positive results will arise particularly through enhancing the role of women who are employees or volunteer workers in the water sector or who are enabled to spend less time in fetching water. Equal rights to participate in the planned vocational and post-basic training programmes are guaranteed. Gender-specific components are also planned in the scope of mainstreaming activities combating HIV/AIDS. The programme is consequently to be classified G-1.</p> <p>The programme is to make certain that the SADC Secretariat and RBO can palpably influence national political processes and activities related to transboundary waters in the region. By bringing their influence to bear, the SADC Secretariat and RBO promote mutually coordinated and sustainable management of transboundary water resources, contributing to the strengthening of participation and good governance (PD/GG-1).</p> <p>Among the objectives of the IWRM principle laid down in a SADC strategy paper are ecological sustainability, protection of biological diversity and conservation of the natural resource, water. The hoped-for positive impacts on the ecology of the catchment basin are the indirect results of the programme. This means that the programme is classified as ER-1, and there is no need for action.</p> <p>All donor contributions to SADC are oriented to the four strategy documents in the water sector: the TWM protocol, the regional vision, the regional policy and strategy and the RSAP (PJF-1).</p> <p>Sustainable management of water resources has positive impacts on the social situation of the population and leads to regional economic growth. The way of life, earnings structure and livelihood of the poor (rural) population in particular depend on an adequate supply of</p>	<p>Gender-specific measures focus on the regional SADC gender policy. In the future phase more focus will be given on mainstreaming gender issues on the different levels of intervention also in the support pilot measures on water supply and sanitation (GG-1).</p> <p>The programme is to make certain that the SADC Secretariat and RBO can palpably influence national political processes and activities related to transboundary waters in the region. By bringing their influence to bear, the SADC Secretariat and RBO promote mutually coordinated and sustainable management of transboundary water resources, contributing to the strengthening of participation, good governance and human rights to water (PG-1).</p> <p>Among the objectives of the IWRM principle laid down in a SADC strategy paper are ecological sustainability, protection of biological diversity and conservation of the natural resource, water. The hoped-for positive impacts on the ecology of the catchment basin are the indirect results of the programme. This means that the programme is classified as UR-1. There is no need for action.</p> <p>Even though the programme supports measures on IWRM and the protection of water resources it is not significantly contributing to the implementation of reducing desertification in the region. The programme is classified as DES-0.</p> <p>The programme will contribute to SADC strategy on the protection of biological diversity and conservation with regard to distribution of lessons learnt and implementation of pilot projects (e.g. protection of wetlands). The programme is classified as BTR-1.</p> <p>In the next phase the programme will even give more input to development of climate change adaptation strategies and implementation of measure on the RBO level. Focus is adaptation with regard to IWRM and not mitigation. The programme is classified as KLM-0 and KLA-1</p> <p>Even though sustainable management of water resources has positive impacts on economic growth no measures focus on the trade development TD-0.</p>

water for small-scale irrigation and household use. Using adequate planning and WRM against the degradation of river basins in SADC secures the subsistence basis of the population. The programme starts primarily at the macro and sector levels. It is anticipated that the poor benefit from the indirect and development policy results (**CPR**). Direct target group relevance is present only in component 3, where poverty-oriented water rates are specifically provided for (human right to water).

Jointly coordinated and sustainable water resources management systems, just like regional infrastructure projects, have positive effects on regional economic growth and reduce conflict potential. Individual SADC member countries such as the DR Congo, Angola or Zimbabwe have heightened conflict potential or are post-conflict countries. Activities in these countries are carried out with conflict awareness, particularly through establishment and use of thematic and sector-policy networks in the region. The conflict over allocation of the scarce water resources is channelled into a political negotiating process. The work of the programme contributes in this way to crisis prevention and conflict management in the region (**C-0**).

The programme is fully in line with SADC policies and strategies. Measures are coordinated and implemented in close cooperation with KfW and other ICPs and the role of the lead ICP successfully implemented. Leadership of the coordination process lies with SADC (**PBA-1**).

The programme supports capacity development for local water governance with focus on human rights to water and pro-poor. Direct impact on the target group will be possible via pilot projects especially in the Kunene water supply and sanitation measures. As the infrastructure development necessary to increase access of the poor to water is still not yet implemented, the programme is anticipated to have a more indirect impact on the poor (**EPA**).

The programme is supporting the integration of cross sector issues like food security in the policy advice and RBO project developments. But there are no specific measure focusing on rural development (**LE-0**).

The programme fosters sound transboundary management that also enhances socio-economic development. But equally important is the direct effect on the prevention and potentially the resolution of international water disputes, thereby contributing to regional peace, stability and security. Individual SADC member countries such as the DR Congo, Angola or Zimbabwe have heightened conflict potential or are post-conflict countries. Activities in these countries are carried out with conflict awareness, particularly through establishment and use of thematic and sector-policy networks in the region. The conflict over allocation of the scarce water resources is channelled into a political negotiating process. The work of the programme contributes in this way to crisis prevention and conflict management in the region (**KR-0**).

Risks

- Weakening of SADC's political role can slow or prevent implementation of the GWM protocol (medium risk).
- Political conflicts between riparian countries can lessen the will or the capacities for cooperation (high risk).
- If individual riparian countries or members reduce their contributions to RBO or to SADC, the scope for action by the organisations shrinks accordingly (medium risk).
- Should the SADC Secretariat, RBO or national institutions fail to provide adequate human resources to carry out the programme, the common goals would be endangered (high risk).
- In order to build up the KWU within the period planned and get it into operating condition, the

Concerning the risks, those of the current second phase were reconfirmed and the risks for the activities in the Kunene Transboundary water supply project stressed:

- Weakening of SADC's political role can slow down or prevent implementation of the protocol (*medium risk*).
- Political conflicts between riparian states can lessen the will or the capacities for cooperation (*high risk*).
- If individual riparian or members states reduce their contributions to RBOs or to SADC, the scope for action by the organisations will shrink accordingly (*medium risk*).
- Should the SADC Secretariat, RBOs, or national institutions, fail to provide adequate human resources to carry out the programme,

<p>Spanish and FC investments should be implemented according to plan (high risk).</p>	<p>the common goals would be endangered (<i>high risk</i>).</p> <ul style="list-style-type: none"> • In order to build up the Kunene Water Utility (KWU) within the period planned and to get it to operate, the Spanish and FC investments should be implemented according to plan. • Human resources need to be made available to operate the KWU (<i>high risk</i>).
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[LESSONS LEARNED FOR GTZ PRODUCTS (TO BE FILLED IN BY GTZ)]

7. Proposed objectives and indicators for further discussion

As stated in the introduction of this report, the PPR team firmly believes that the programme-team together with GTZ-HQ, and in consultations with DFID (and potentially AusAID), should develop and agree on objectives measured by realistic indicators. Despite of this, the PPR team in cooperation with the Programme team proposes some indicators. However, as this report has attempted to communicate, there are no simple indicators that fully capture the real impact of the programme. Therefore, some addition 'qualitative indicators' are outlined in Annex 9 - which are broad enough to capture the whole range of impacts of the programme.

Overall objective:

The individual, organisational, and institutional capacities regarding transboundary water resources management are strengthened at three geographical levels of intervention (SADC, RBO, and Local)

Overall indicators:

1. International Cooperating Partners (ICPs) adopt the RSAP III as the guiding framework for their interventions in the SADC Water Sector.
2. Adaptation to climate change is an integral part of the hydro-political and the institutional framework of transboundary water resources management in the SADC Region.
3. Gender mainstreaming and the human right to water are integrated into the institutional frameworks of transboundary water resources management in SADC member states.

Component 1	Component 2	Component 3
Capacity Development of the SADC Water Division	Capacity Development of River Basins Organisations (RBO)	Capacity Development of Local Water Governance and Transboundary Water Infrastructure
Indicators	Indicators	Indicators
SADC-WD assists member states in the preparation of at least five bankable transboundary water infrastructure projects by 2015.	Agreement has been reached by riparian states in at least three Transboundary river basins on the status of their shared water resources	At least three pilot projects are being implemented that demonstrate the benefits of addressing topical issues such as water supply and sanitation, climate change, food security, poverty reduction or political dialogue within the regional framework of IWRM
Lessons learned during the implementation of the regional instruments (i.e. Protocol, RISDP, RSAP) are reported biannually to the Water Resources Technical Committee (WRTC) and the Water Strategy Reference Group (WSRG).	Benefit-sharing arrangements have been prepared jointly in two transboundary river basins.	The Kunene Water Utility is operational and functional with at least five professional staff in place.
SADC-WD facilitates the mobilisation of financial and/or technical resources for five RBOs.	At least two River Awareness Kits (RAKs) are being actively employed in the development of basin-wide IWRM plans.	At least three additional SADC member states agree on the establishment of International Water Units.
SADC-WD facilitates the development of basin-wide IWRM plans in three shared river basins and ensures that key stakeholders are involved throughout so that the shared water resources can be utilised in an equitable and reasonable way.	The SADC-RBO guidelines are being realized and utilized by at least three RBOs.	At least three regional-national project cooperation agreements are being implemented by 2015 that strengthen the regional-national nexus of (German) development cooperation.

8. Annexes to the PPR report

- Annex 1 Terms of Reference for the PPR appraisers**
- Annex 2 PPR procedure / time schedule**
- Annex 3 Sources of information: List of reviewed documents and reports**
- Annex 4 Some relevant lessons learned from successful management of transboundary resources**
- Annex 5 OECD: Evaluating conflict prevention and peacebuilding activities**
- Annex 6 Arguments for Regional *versus* National Approaches to Cooperation**
- Annex 7 Summary of findings of results-based monitoring**
- Annex 8 Agreed Minutes of PPR**
- Annex 9 Some qualitative indicators**

ANNEX 1

Terms of Reference for the Project Progress Review (PPR) of the Technical Cooperation Programme “Transboundary Water Management in SADC”

1 Introduction

The current second phase of the GTZ-implemented SADC Transboundary Water Management Programme runs from October 2008 to March 2011. A third phase is planned to run until 2014.

Transboundary water management is a focal area of German development cooperation with SADC. Germany is currently also the lead International Cooperating Partner (ICP) in the SADC water sector that is in charge of the realisation of the international harmonisation agenda. The partner institution for the programme is the SADC Secretariat in Gaborone, Botswana. A joint Sector Strategy Paper (SSP) will be developed in 2010. The Project Progress Review (PPR) will feed into this process.

In its current second phase, the programme consists of three components, namely (1) Capacity development of the SADC Water Division (2) Capacity development of River Basin Organisations (RBO), and (3) Capacity development of local water governance and transboundary infrastructure. Component 3 in the Kunene region in southern Angola and northern Namibia respectively is being implemented in cooperation with the KfW Development Bank.

The current second phase of the programme is co-financed by the UK Department for International Development (DIFD) through a so-called Delegated Cooperation. As a result, the current programme phase was shortened and aligned with the UK budgetary cycle. Due to the substantial financial up scaling, a staff establishment was also put in place.

Both KfW and DIFD will participate in the PPR.

The budget for the second phase of the programme amounts to EUR 11,424,000, including the DIFD co-financing of EUR 6,306,000 (or GBP 5,000,000 respectively). German support includes technical, organisational and procedural advisory services through international, regional and local long-term and short-term experts. There are also material inputs such as office equipment, IT, or vehicles).

In addition, there are financial contributions through financial agreements, both to the SADC Secretariat and RBOs. These are being employed to hire staff and consultants or, as in the case of LIMCOM, to run the Interim Secretariat.

The financial contribution of KfW is handled separately.

2 Programme background

The SADC Secretariat has established an enabling environment for TWM in the SADC Region. As a result, all of the 15 major river basins in SADC have signed agreements on shared water resources, as stipulated in the SADC Protocol on Shared Watercourses. However, human and institutional capacities at the regional and river basin level are not yet adequate to achieve sustainable management of transboundary (regional) water resources in accord with the Regional Strategic Action Plan (RSAP) (core problem).

Therefore, the overall objective of German support to the SADC Water Sector is to strengthen human and institutional capacities and to develop water and sanitation infrastructure for the sustainable management of complex transboundary water resources in accordance with the Regional Strategic Action Plan for Integrated Water Resources Management and Development (RSAP-IWRM). Focus is on strengthening River Basin Organisations (RBO), the development of basin-wide IWRM plans, training in IWRM, and information and knowledge management including awareness-raising.

The support and interventions provided through German development cooperation in the SADC Water Sector is guided by a multi-level approach of capacity development at various levels of intervention (Macro: SADC, Meso: RBOs, Micro: Local Water Governance) and based on the three dimensions of Integrated Water Resources Management (IWRM), namely the development of enabling environments, the strengthening of institutional frameworks, and the development of management instruments. In addition, infrastructure projects are being financed. Coupled with the carrying out of ICP coordination and harmonisation, this carefully grafted multi-dimensional approach provides for the basis to successfully contribute to the sustainable and equitable utilization of transboundary (shared) water resources.

The support provided by Germany has been pivotal to the institutional strengthening of the SADC Water Division, which is situated within the SADC Directorate of Infrastructure & Services (I&S). Also, through the Transboundary Water Management in SADC programme, Germany has been tasked with the coordination, harmonisation and alignment of the support provided by ICPs (donors). Through the same programme, Germany puts into practice requirements of the international harmonisation agenda, namely in form of a Delegated Cooperation with the UK Department for International Development (DFID).

Over the years, Germany has assisted in the development of capacities at all levels of intervention, in particular at the macro level of the SADC Water Division and the meso level of River Basin Organisations. The Orange-Senqu River Basin Commission (ORASECOM), for example, has an ICP Strategy Committee in place that streamlines ICP support and thus contributes to the development of a joint basin-wide IWRM plan. ORASECOM is highly valued by her member states: all four pay their dues regularly, an achievement that was also facilitated by Germany.

By signing a Financing and Project Agreement to finance the Kunene Transboundary Water Supply Project (Angola/Namibia), Germany is assisting in the implementation of one of the most important regional infrastructure projects. As a pilot project in implementation of a cross-border water supply - negotiated at RBO level - it is paving the way for future developments and testing and practising bi- and multilateral rules and procedures of cooperation.

3 Project Progress Review (PPR)

The objective of the PPR is to review and evaluate the programmes' past and current contributions and impacts, and to derive at a concept for the next phase. The resultant assessment ought to take into account the change processes that have taken place in the field of transboundary water management during the period under review. Based on this, the professional quality of planning, the level of achievement, and the impacts made need to be evaluated.

The mission team is also required to make recommendations on how best to put all subject-matter knowledge acquired by the programme to good use. The required information will be gleaned from interviews and discussions with GTZ and SADC staff and other interview partners as well as from the study of relevant documents and literature.

Coming from the current programme concept and agenda, the mission team is required to make recommendations for the next third phase, which is earmarked to run for three years (April 2011 - March 2014). In this context, the mission team is expected to submit proposals for future components and activities in line with the strategies of both the SADC and the BMZ. The proposals also need to include concrete advice on future objectives and their respective indicators.

Last but not least, the review team is required to advice on the usefulness of and options for cooperation with other implementing agencies, be they from Germany or other donors.

4 Tasks

The PPR has to be implemented in line with GTZ's rules and regulations (OuR) that is the Guidelines on the Project Progress Review (PPR) dated May 2008.

List of Tasks:

- Identification of important changes in the SADC water sector during the current programme phase including relevant institutional changes.
- Identification of future challenges for SADC, which may be addressed successfully through GTZ's modes of delivery including direct technical assistance and capacity developments.
- Analysis of performance and verification of the current situation based on the level of achievement of objectives.
- Analysis of impacts that were to be expected and those that were actually made, in particular with regards to the application and utilization of the services rendered.
- Comparison of the impacts made through the services rendered versus the objectives set out to be achieved and their respective indicators.
- Assessment of how the programme contributes to:
 - Sustainable development,
 - Poverty reduction, and food security,
 - Adaptation to climate change (as per the BMZ guideline for climate check through climate proofing and, if necessary, emission saving),
 - Strengthening of the ecosystem approach as part of IWRM,
 - Benefit sharing and the creation of synergies across sectors (e.g. hydropower, irrigation),
 - Conflict resolution,
 - The achievement of the Millennium Development Goals (MDG).
- Thoroughly address other important issues related to the development measure such as:
 - Results-based monitoring and evaluation (M&E) system
 - Capacity development including GTZ's management model Capacity WORKS
- Evaluation of changes of framework conditions and of those factors that might have caused the changes.
- Assessment of the cooperation with other German implementing agencies such as InWEnt and KfW and/or with other organisations.
- Reality check on whether or not the programme is on the prescribed or right track.
- Identification of methods, instruments, and experiences that might be useful to other projects and/or programmes elsewhere and, if so, how they may be utilized.
- Evaluation of the current programme concept and advice on the future concept based on the German Water Strategy and the development cooperation concept for SADC.
- Recommendations for the new phase need to take cognizance of the following:
 - Determinant factors: RSAP 3, Delegated Cooperation with DFID, Kunene component
 - Multi-level approach: SADC, RBOs, National (Local)
 - Emerging priorities: Climate change, Food security
 - Aid effectiveness: Ownership, Alignment, Harmonisation, Result management
- Formulation of core services and their respective activities.
- Proposal for a potential new overall objective, component objectives and indicators.
- Advice on the future organizational structure and staff concept.
- Clarification of future cooperations with other German implementing agencies and/or ICPs (e.g. DFID).
- Clarification of partner contributions.
- Presentation to and discussion of the preliminary results and proposals with SADC and carrying out of a 1-day planning workshop to be attended by relevant parties.

5 Methodology

The above tasks are expected to be executed through the following approach:

- Study of relevant project documents prior to departure.
- Coordination of dates with the Head of Programme in Gaborone, Botswana.
- Implementation of the review in the SADC Region according to the specifications laid down in these TOR and based on the Guidelines on the Project Progress Review (PPR) dated May 2008.
- Interviews and discussions in the SADC Region (Head of Programme will designate relevant interlocutors).
- Presentation and discussion of the preliminary results and recommendations at the planning workshop on Thursday, April 22, 2010, including an assessment according to OECD-DAC criteria and cross-cutting themes.
- Drafting of a Memorandum of Understanding regarding the essential recommendations made by the PPR mission team.

- Development of a PPR short report in English based on the generic structure in the Guidelines on the PPR.
- Development of the PPR report in English based on the generic structure in the Guidelines on the PPR.
- Filling in of the PPR impact monitoring form.

6 Contract

A project progress review (PPR) will be conducted for the development measure **Transboundary Water Management in SADC** (PN 2008.2115.7). The PPR is a process of reflection in which all actors involved in the development measure take part and which is accompanied by at least one external appraiser.

The objective of the PPR is to gain important insights and knowledge that will contribute to the planning and steering of the next phase (provided the PPR recommends the implementation of a further phase). The PPR is based on the GTZ Orientation and Rules (O+R) and the Guidelines on Project Progress Review dated May 2008.

The contracting party hereby contracts the services of **Prof. Dr. Jon Martin Trondalen** (mission leader, policy and strategy advisor, and report coordination) as an external appraiser. He will be supported by **Marina Meuss** (Water Sector Expert, Planning and Development, GTZ), who will advise him on all PPR requirements and GTZ rules and regulations (OuR). She will also assist him in report writing.

In addition, **Ben Davies**, Climate Change Advisor with DFID South Africa, will be joining the mission team for the duration of the review. Ben Davies is an experienced DFID advisor with extensive experience in Africa as well as Asia and he specialises in livelihoods, natural resources and climate change and will thus be an asset to the design team. He will also cover the DFID review specificities.

Preparation and implementation of the PPR will be supported by **Dr. Horst Vogel**, Head of the Transboundary Water Management Programme (GTZ) and German Water Sector Coordinator in the SADC Region (BMZ). Logistic and administrative support will be provided by the entire GTZ Team.

6.1. Services provided by the PPR appraisers

Within the scope of the PPR and complementary to the above tasks (Chapter 4), the appraisers render the following specific services:

Prof. Dr. Jon Martin Trondalen:

- Coordination of the team of appraisers and overall responsible for the PPR.
- Coordination of the reporting in close collaboration with Marina Meuss and submission of the PPR report as well as the PPR brief.
- Preparing the Minutes of Meeting to be jointly agreed upon at the end of the Planning Workshop, which is going to take place on Thursday, April 22, 2010.
- Analysing and identifying the major changes in the water sector during the current Programme Phase (e.g. framework conditions) and identification of future challenges to the partner agencies.
- Review of the Programme with regard to SADC development goals in the water sector.
- Review of the Programme with regard to the ongoing PASP (priority area strategy paper) process.
- Review of the Programme and its components with regard to institutional aspects:
 - a. Partner landscape
 - b. Internal organisation
 - c. Flexibility of the German contribution
 - d. Capacity development of partner institutions
 - e. Strategic and policy level of the water sector
 - f. Coordinating mechanisms with other German development organisations
 - g. Coordinating mechanisms with other donors/lenders and complementarities of the German contribution
- Review of the programme with regard to OECD-DAC criteria and GTZ cross-cutting issues as well as the Paris and Windhoek Declarations, the Accra Agenda for Action, and assessment of possibilities for a Programme Based Approach (PBA)

- Review of the impact chains and assessment of the indicators and possibly adjustment of some indicators
- Review external review or evaluation reports and identification of fields of action
- Review ownership of partners on programme level and contribution of partner agencies
- Identifying the organisational structure of the German contribution and identify possible improvements to ensure maximum flexibility, high efficiency and effectiveness as well as ownership by the partners
- Proposal to improve components or extend activities to new fields
- Review other important issues related to the development measure (e.g. Capacity WORKS, impact monitoring, climate proofing) and propose follow up.
- Advise on and present a comprehensive staff concept.
- Advise on and prepare an overall financial concept.

Marina Meuss:

- Contributing to review of the programme and its components from an IWRM perspective in transboundary river basins.
- Contributing to the review of the programme with regard to the OECD-DAC criteria and GTZ's cross cutting issues.
- Contributing to the review of the impact chains and assessment of indicators and possible adjustment of some indicators.
- Contributing to the review of external reports and identification of action fields.
- Contributing to the review of the programme with regard to the activities of other German cooperating development organisations.
- Contributing to the review of the programme and its components with regard to donor coordination and harmonisation.
- Identifying further developments and paradigms the programme needs to address in the next and subsequent phases.
- Contributing to the staff concept and the financial concept respectively.
- Contributing to the review of the current programme interventions with regard to the five success factors of Capacity WORKS and identifying priority areas to be addressed by the programme during the third phase.
- In charge of the climate proofing documentation.
- Contributing to the review of measures taken with regard to Knowledge Management and possible measure to be taken in the future.
- Contribute to all chapters of the short and full PPR report after conclusive consultation and in agreement with Prof. Trondalen.
- Coordinate with KfW, DED, CIM with regard to the BMZ programme proposal structure (PV), Part A and the respective Part B.
- Preparation of the BMZ offer, ensuring quality check at GTZ HQ, based on the PPR Report.
- Preparation of the ZAK documents.

Dr. Klaus von Mitzlaff

- Preparation of PPR Workshop
- Facilitation of PPR Workshop
- Documentation of Workshop
- Facilitate Debriefing Meeting

7 Dates

The PPR will be conducted during the following time period:

Project Progress Review (PPR)

4th Annual SADC-RBO Workshop

Planning Workshop

Reporting dates:

Submission of Draft of PPR report:

Comments by GTZ, German DOs, DIFID and Partners.

Submission of Final report:

Other documents agreed:

Submission of draft BMZ offer by PuE

ZAK

Submission of final BMZ offer by PuE

12-23 April 2010

20-21 April 2010

2. April 2010 PPR

22nd April 2010

30 April 2010

28 May 2010

11 June 2010

June 2010

July 2010

August 2010

ANNEX 2

PPR procedure /time schedule: 12th-22nd April 2010

Date	Day	Programme	Remarks
11 April	Sun	09:20hrs: Arrival Ms Meuss (GTZ-HQ)	Accommodation at the Cresta Lodge Samora Machel Drive, Gaborone Tel. +267 397 5375 Fax: +267 390 0635
12 April	Mon	13hrs: Arrival Prof Trondalen (Mission Head) and B. Davies (DFID-SA) 14-18hrs: Meeting with GTZ team	GTZ Fairgrounds Offices Plot 50362, Gaborone Tel.: +267 310 2520 Drivers: DK: +267 7211 4640 Jane: +267 7211 7390 Receptionist: Lebopo: +267 7455 0697 Administrator: Seraphi: +267 7211 3642
13 April	Tue	09-13hrs: Meeting with SADC Water Division, Directorate of Infrastructure & Services (I&S)	SADC House, Gaborone Plot 54835, CBD Square
14 April	Wed	07-11hrs: Drive to Pretoria 12hrs: Team up with Mr J. Court (AusAID) at the Austrian G. Gsthse 13-17hrs: Meeting with LIMCOM 18-20hrs: Meeting/Dinner with CSIR (Drs P. Manders & E. Archer)	The PPR team will be in Gauteng, RSA, for three days to hold discussions with relevant stakeholders. During this time, the team will be staying at the Austrian Gourmet Guesthouse, 180 Anderson Street, Brooklyn, Pretoria Tel.: +27 (0)12 362 0200 Cell: +27 (0)82 531 4439 E-Mail: agourmet@mweb.co.za
15 April	Thu	09-10hrs: Visit Mr P. Conze (GTZ) 10:30-12hrs: Meeting with USAID (B. Chrystal & D. Robinson) 12-14hrs: Meeting/Lunch with IPS (P. Fray) 14-16hrs: Meeting with WYG (Dr Ch. Reeve – Presentation RSAP2 Review)	
16 April	Fri	09-12hrs: WRP Engineering (Phase II Support ORASECOM) Flight to Durban (15:10-16:15hrs)	Green Park Estate, Greenkloof, Pretoria http://www.wrp.co.za/ Accommodation in Durban: The Garden Court Southern Sun, Marine Parade Tel: +27 31 337 3341 (Contact Norma) E-Mail: normam@southernsun.com
17 April	Sat	09-13:30hrs: Meeting with ORASECOM Return flight to Gaborone via Jo'burg (15:40-16:50, 18:45-19:45hrs)	Arrival of Kunene PJTC in Gaborone Accommodation at the Metcourt Inn Tel: +267 363 7907 (Contact Pinkie) E-Mail: metres@grandpalm.bw
18 April	Sun	09:30hrs-15:30hrs: Meeting PPR/SADC/GTZ with Kunene PJTC (GICC: Room San Ta Wani)	The venue for all meetings and workshops to be held 18-21 April 2010 is going to be the Gaborone International Convention Centre (GICC).

19 April	Mon	11-13hrs: Meet with DHI Group (Danida project formulation team)	Discussions and meetings in Gaborone, e.g. with selected RBO Workshop participants. GICC: Room San Ta Wani
20 April	Tue	08-09hrs: RBO Workshop Registration 09h-17hrs: 4 th SADC-RBO Workshop 19-22hrs: Dinner reception	<u>Venue:</u> Gaborone International Convention Centre <u>Topic:</u> "Benefit sharing in the context of transboundary water resources management and development"
21 April	Wed	8:30-16hrs: 4 th SADC-RBO Workshop 07:30-8:30hrs: Business breakfast PPR/GTZ with K. von Mitzlaff (Facilitator SADC-GTZ Planning Workshop, April 22) 12:30-14:00hrs: Business lunch PPR & GTZ Team (Grand Palm Hotel) 19-21hrs: Business dinner PPR/GTZ with H. McLeod (DFID-SA)	
22 April	Thu	08:30-16:30hrs: SADC-GTZ Planning Workshop (Phase 3: Apr2011-Mar2014)	Participation also from RBOs (Kunene PJTC, ORASECOM, LIMCOM), DFID, AusAID, and possibly KfW and InWEnt (provided there are going to be flights out of Europe soon) <u>Venue:</u> Phakalane Golf Estate, Tsodilo Suite 1, Tel.: +267 393 0000, Fax: +267 315 9663 E-Mail: banqueting@phakalane.co.bw Website: http://www.phakalane.com/



LIMPOPO WATERCOURSE COMMISSION - LIMCOM

SADC-GTZ Support Phase II Review meeting with LIMCOM

14th April 2010, 13.00-17.00 hours

Agenda

13.00 – 13.30 Opening Session

1. Welcome.
2. Introductions
3. Purpose of Review and time line.

13.30 – 14.30 Review of Support to LIMCOM (Main achievements and challenges)

1. Historical
2. Secretariat Establishment
3. TWM Training Seminar
4. Scoping Study
5. River Awareness Kit
6. Other areas of support.
7. Questions and answers.

14.30 – 15.00 Tea/Coffee Break

15.00 – 16.30 Future areas of support

1. Continuation of IWRM Planning
2. Awareness raising and other areas of support
3. GTZ strategic areas of support and time frame for Phase III

16.30 – 17.00 Way forward and closing

Visiting Programme WRP Consulting Engineers (Pty) Ltd. – ORASECOM

Friday, April 16, 2010, 9 AM – 12 Noon

A. INTRODUCTION

1. An overview of the Orange-Senqu river basin and ORASECOM (15 minutes)
2. Phase 1 work (20 minutes)
3. The ORASECOM field trip (10 minutes)

TOTAL 35 minutes

B. PHASE 2 Objectives / Project design / Cooperation with other ICPs

1. Phase 2 objectives and how they fit in with GTZ cooperation objectives (ORASECOM and SADC) (15 minutes)
2. Overview of the Phase 2 work and how it contributes to the objectives and key issues (good cooperation with member states, process of continuous review and comment etc) (15 minutes)
3. Cooperation and interaction with other ICPs/projects (10 minutes)

TOTAL 40 minutes

C. "Detailed review of Phase 2 Work"

- 1 – 6 Each Work package, objectives, progress, team responsible

TOTAL 45 minutes

D. Monitoring and Evaluation

1. Project progress – external and internal deliverables
2. Of results, meeting objectives and contribution to overall GTZ cooperation objectives

TOTAL 20 minutes

DISCUSSION 30 minutes

ESTIMATED TOTAL TIME ± 3 Hours



Sharing the Water Resources of the Orange-Senqu River

SADC-GTZ Support Phase II Review meeting with ORASECOM

Durban. 17th April 2010.

Draft Agenda

09:00 – 09:30 Opening Session

1. Welcome.
2. Introductions.
3. Purpose of Review and time line.

09:30 – 10:30 Review of Support to ORASECOM (Main achievements and challenges)

4. Historical
5. Secretariat Establishment
6. Phase I IWRM Planning
7. Phase II IWRM Planning
8. Other areas of support.
9. Questions and answers.

10:30 – 11:00 Tea/Coffee Break

11:00 – 13:00 Future areas of support

10. Continuation of IWRM Planning
11. Awareness raising and other areas of support
12. GTZ strategic areas of support and time frame for Phase III

13:00 – 13:30

13. Way forward and closing.



**SADC-GTZ Support Phase II Review meeting with
Permanent Joint Technical Commission of the Kunene River Basin (PJTC)
Gaborone. 18th April 2010.**

Draft Agenda

09:00 – 10:30 Opening Session

14. Welcome.
15. Introductions
16. Purpose of Review and time line
17. Short presentations:
 - Overview: The Cunene Transboundary Water Supply Project, (Thomas Kellner, GTZ)
 - The Permanent Joint Technical Commission of the Kunene River Basin (Dr. K. Tjipangandjara, NAMWATER, PJTC, Task Force Calueque and Carolino Mendes, GABHIC, PJTC, Task Force Calueque)
 - Technical Aspects: The Cunene Transboundary Water Supply Project, (Axel Gibelhauser, Consortium SETEC-GAUFF-WML)

10:30 – 11:00 Tea/Coffee Break

11:00 – 12:30 Review of Support to PJTC

18. Historical
19. Capacity development PJTC, TWM Training Seminar, Study Tour Rhine River
20. River Awareness Kit
21. Support to Water Utility Kunene Province
22. Questions and answers.

12:30 – 14:00 Lunch Break

14:00 – 15:00 Future areas of support

23. Continuation of IWRM capacity development for PJTC
24. Continuation of Support to Water Utility Kunene Province
25. Awareness rising for Ondjiva and Xangongo areas and Calueque
26. GTZ strategic areas of support and time frame for Phase III

15:00 – 15:30

27. Way forward and closing.

ANNEX 3

Sources of Information: List of reviewed documents and reports

- AHT group and Hatfield consultants, February 2010: *Trans-boundary water management in SADC* (Development of river awareness kits for Limpopo and Kunene river basins). Progress report II.
- AHT group and Hatfield consultants, *Limpopo, River Awareness Kit*.
- Bertrand Meinier, Ph. D. Concept note: *Benefit sharing in SADC – Making bigger and thicker trans-boundary water resources*.
- Björn Richter, GTZ, Gaborone, 27.04.2010: *Arguments for Regional vs. National Programs*. (Memorandum).
- Danube Watch, February 2009: *The magazine of the Danube River*.
- DFID, 21 May 2008, *Trans-boundary water management programme in the SADC region*. (Memorandum of the understanding on a delegated cooperation between UK, Ireland and Germany).
- DFID, GTZ and the Federal Ministry for Economic Cooperation and Development (BMZ), *Conceptualizing Policy Harmonization in the SADC Water Sector*.
- Dr. Horst M Vogel, 24 July 2009: *Work on climate change in the SADC water sector*, Email correspondence regarding SADC water sector.
- Dr. Kenneth Msibi, 27 April 2010: *Regional Approach to River Basin Management through River Basin Organizations*. A memorandum to the PPR mission team.
- Federal Ministry of Economic Cooperation and Development, 2008: *Transboundary Water Cooperation*, A BMZ Position Paper, [Special 136]
- GANTT chart, 03.03.2010, Excel sheet, *ORASECOM PROGRAMME IMPLEMENTATION PLAN*
- GTZ, 2008: *Guidelines on the Project Progress Review (PPR)*, Eschborn
- GTZ, April 27th, 2010: *Questionnaire for Annex of the PPR Report* (Key questions for assessing joint results-based monitoring).
- GTZ, Offer: *On the implementation of the project Transboundary Water Management in SADC*
- GTZ, SADC, CSIR, SIWI, & PA: *The trans-boundary waters opportunity analysis as a tool for RBO's*.
- GTZ Transwater SADC, Information leaflet (storytelling, flyer)
- GTZ-SADC, 2009/2010: *Annual program implementation plan*. (EXCEL sheet with all financial information)
- Horst M. Vogel and Phera Ramoeli, April 2009: *Activities of international cooperation partners in trans-boundary water cooperation in the SADC region*.
- IPS Africa, December 2008 – November 2009: *The Southern Africa water wire* (report).
- LBPTC, January 2010: *Joint Limpopo river basin study, scoping face. Final/main report*.
- M&E system, 15 March 2010: *GTZ Trans-boundary Water Management in SADC. (Phase II 2008 – 2011)*.
- OEDC, 2008: *Guidance on evaluating conflict prevention and peace building activities* [Factsheet].
- Offer from GTZ to BMZ - project nr 2008.2115.7: *Working draft for application period*.
- ORASECOM, 30 August to 12 September 2009. Orange/Senqu river: *Field visit. Volume I*
- ORASECOM, 30 August to 12 September 2009. Orange/Senqu river: *Field visit. Volume II*
- ORASECOM, January-December 2009: *Newsletter*.

- Paula Fray, September 29- October 1 2009: *Southern Africa water wire, reporting integrated water resources management training workshop.*
- SADC: Policy brief: *Mainstreaming Climate Change Adaptation in the regional water programme of the SADC Region.*
- Republic of Mozambique and the United Republic of Tanzania (Joint water commission). October 2008: *Final Report. Rovuma river basin, Issues paper.*
- SADC, 17 July 2009, Report: *SADC Ministers Review Implementation of Strategic Plan on Water.*
- SADC, 2005-2010: *Mid-term review of the regional strategic action plan on integrated water resources development and management.*
- SADC: *A Concept Note on Benefit Sharing in Trans-boundary Watercourses in the Southern African Development Community*
- SADC, EU, UNDP, June 2005: *Regional strategic action plan on integrated water resources development and management.*
- SADC, GTZ and the Federal Republic of Germany: *Awareness entrainment.*
- SADC, GTZ, USAID, INWENT, 23rd of January 2007: *Strengthening river basin Organizations (RBO's) in the SADC region. Programme document, final.*
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ANNEX 4

Some relevant lessons learned from successful management of transboundary resources²⁷

The SADC member countries reckon that enhancing regional and national capacities of transboundary water management is a high priority.²⁸

There are of course several reasons for this situation, and as indicated above, it goes beyond the scope of this report to go into detailed analysis, except to raise matters that could enable the GTZ/ICP to assist countries to build appropriate capacities in relation to the transboundary water challenges.

Many scholars reply to questions from politicians and high-level decision-makers that there are many 'lessons learned from other water basins that are worth replicating.'²⁹ Intellectually, the special nature of transboundary water resources in the SADC region should be mirrored to other so-called 'success-stories' outside the region. One should, however, take a realistic view that the *special conditions in the region require special arrangements*.³⁰ That does not exclude highlighting the applicability of some lessons learned and their relevance to Southern Africa.

Instead of going straight to a discussion of "successful" institutional building, it seems wise to look at how to foster consensus-building and cooperation among the countries. Therefore, in the following, the 'lessons learned' will start with some relative broad observations and then narrowed down to more specific issues:³¹

1.0 Some workable principles in setting up and developing a consensus-building process

In many ways, how a consensus-building / negotiation process is crafted out, is an expression of both an explicit attitude (and values) and *modus operandi*. There seems to be some important principles that are applicable in striving to develop national capacity to manage transboundary resources:

§ *Understanding and being sensitive to the political and cultural context* of the dispute is important, especially for Third Parties and international actors like SADC.

§ *Problem identification* and understanding of positions and interests must be done prior to, and during the negotiations (such as; what are the main questions? What data do we need to answer those questions, and how reliable and valid are these data?).

²⁷ This annex reflects some of Compass Foundation's copyrighted material.

²⁸ Cf. SADC Ministers Review of Implementation of Strategic Plan on Water (17th of July, 2009) in Maputo.

²⁹ See for example as reported from UNESCO's PCCP various publications: [UNESCO-IHP](#), [PCCP Series volumes Water security and peace - A synthesis of studies prepared under the PCCP-Water for Peace process](#), William J. Cosgrove; and [Conflict and Cooperation in the Management of International Freshwater Resources: A Global Review](#), and Erik Moster's article on:

http://waterwiki.net/index.php/Water_Conflict_and_Cooperation/Lessons_Learned

Report from the Danish Foreign Ministry's expert meeting:

http://www.danishwaterforum.dk/events/Transboundary_2007/Workshop%20Paper%20-%201-2%20March%20-%20final.pdf

³⁰ As reflected in Trondalen's publication: Trondalen, 2008.

³¹ The following text is derived from: Trondalen, 2008.

§ *Development of common understanding of collective concerns* requires that there is some basic understanding about the core water issues, or at least a willingness to clarify them by discussion of data, projections, and models.

§ *Providing factual information and water data for an interest-based negotiation* (versus bargaining process).

§ *Mobilising existing experience* through government agencies, resources people, and NGOs.³²

§ *Involving the public* could be quite difficult because the *processes* by nature are not “open” and transparent. Experience from other regions has, however, shown that lack of public ownership to agreements may severely hamper their implementation.

2.0 Some Common errors

Sometimes, common errors are easier to identify than the successes. Irrespectively of political, cultural, political, and technical complexity, there are at least four major findings that are applicable for a negotiator and to a delegation as a whole:

- *Countries do not listen* or even understand the concerns of the other party, especially when the talks are getting jammed or tense.
- *Focusing on the adversary's positions - ignoring interests*: This sounds simple, but is unfortunately very true in real life situations.
- *Lack of information and knowledge* of relevant water management issues is also unfortunately typical. The consequences of this are in most cases disastrous in terms of reaching an agreement. Most unskilled negotiators will block proposals and develop a defensive and reactive behavioural approach because they do not know the implications of what to agree on.
- *Limiting options* (inventing vs. deciding) is often a consequence of the latter point. However, a delegation may have substantial knowledge about the matter, but its mindset is not right. *Inventing options* are more of an attitude than technical understanding. If the head of a delegation, or anyone in the team that do not have either the power for inventing/deciding on options or the ability, they will probably not reach a solution unless exceptionally long time is used (probably in term of years rather than months).

3.0 How to change a grid-locked situation (if and when it develops) between watercourse countries?

There are hardly any panaceas for changing grid-locked situations, especially in the SADC region where the interests of the riparian countries are so much intertwined, but the following factors are generally expressed in more academic literature, and confirmed through experience by the Authors:

- New substantive water information; or rather, new information provided to key-decision makers.
- New trade-offs between two or more of the countries (could be trade, energy, or even political capital).
- Changed political general climate or relationships —either bi- or multilaterally.
- New external ‘power-brokers’ (extra-regional Parties).

Quite often, the broader political conditions are beyond the influence of negotiators and delegates, but in relation to changeable factors; an interesting question is; what are the underestimated factors that hamper progress on grid-locked situations?

4.0 Underestimated factors in international water negotiations

The role of an individual negotiator: Experience has shown that “able negotiators are able to negotiate”: The much referred academic discussion of “smart”, “hard or tough”, or even “soft” negotiators is of more academic value than a practical one: Negotiators that both understand the substance and have talents in dealing with complex issues as well as personal relation-ships are — without doubt — the best envoys for the respective countries.

³² Such as the Global Water Partnership Southern Africa.

Lack of political support and understanding of challenges related to resolution of water disputes.

5.0 What is the role of international organisations in resolving international water disputes?

From a historic perspective, it seems clear that international organisations have many important institutional resources that could be called upon to prevent and resolve IWC. Some international organisations are suited to preventing and avoiding IWC, while others are better equipped to assist with settlement and resolution.

For example *small, specialised organisations* are generally successful in the first stages of a reconciliation or resolution process, but may lack the authority and resources to carry out implementation.

Larger established organisations with broad mandates and substantial resources for implementation may lack the expertise needed to craft out “tricky” solutions at an early stage.

Several criteria for “success” seem to emerge: While some of the following criteria play a key role at just one particular stage, others are important for every stage of the process:³³

- § Legitimacy is an important criterion for success at all stages. Not only must the organisation be considered legitimate by its member nations, but the membership should also reflect legitimate interests.
- § Credibility, which is closely related to legitimacy, has to be perceived. This can be achieved by having multiple sponsors and by maintaining a neutral forum for discussing matters within the organisation's jurisdiction. Credibility is more often attributed to established organisations than to newly created ones.
- § A clear specific mandate, which explicitly stresses the environment, can assist IWC problem solving. Organisations with broad mandates often function as vehicles for political expression rather than as effective mechanisms for conflict resolution (e.g., the SADC).
- § Membership commitment is important, especially in smaller organisations. Member nations must realise that they have the most to gain when the organisations function effectively and agreements are reached and implemented. SADC is in fact a good example.
- § Access to appropriate scientific water information and expertise is crucial for prevention of IWC as well as the pre-negotiation stage. With water resources conflicts in particular, accurate, up-to-date information is necessary for determining both the scope of the problem and the direction of the solution (SADC and the World Bank enjoy access to significant resources in this respect).
- § Standard setting and co-ordinating are important for long-lasting solutions (cf. preceding chapter). At a time when global frameworks are in their infancy, national and regional organisations frequently devise their own standards that may conflict with other regional and national standards (as in the case of those set by the UN Economic Commission of Europe).

Compliance is crucial to the implementation of any water agreement and to the lasting resolution of a conflict:

- § Smaller organizations may reach solutions based on scientific evidence and negotiation processes, but often lack the authority to implement them.
- § Larger organizations may be able to encourage compliance through economic sanctions, penalties, or expulsion (for example the OAU).
- § The ability to generate funding may also be a determining factor for the ultimate outcome of the implementation of an agreement (as in the case of World Bank and UNDP's Nile Basin Initiative).

An often overlooked fact is that in cases where water data and information is insufficient to resolve the specific issues, countries could agree on joint investigation to obtain new information. Such collaborative efforts are important milestones in confidence building as well as during negotiations – which is also demonstrating the transparency of the process.

³³ Trollidalen [Trondalen], J.M. 1997. “Troubled Waters in the Middle East. The Process towards the First Regional Water Declaration between Jordan, Palestinian Authority, and Israel”. In: *Natural Resources Forum – A United Nations Journal*, 21(2), May 1997 Special issue.

6.0 Some lessons learned in building national capacity in transboundary water management

At a global level, quite a few riparian countries have over the years meticulously been building institutions to enhance efficiency and effectiveness of management of transboundary waters. Some of the lessons learned are as follow:³⁴

- Trust, as reflected in data sharing and joint planning, is a hallmark of any sustainable water sharing arrangement: Building trust is a fundamental issue which must be interwoven into any cooperative efforts.
- Once international institutions are in place, they are tremendously resilient over time, even between otherwise hostile riparian nations, and even as conflict is waged over other issues.
- An approach to creating institutions to share of the benefits of water in a basin rather than focusing on allocating the limited water resources is proving useful in some cases (e.g. in the Nile Basin³⁵ and the Mekong Basin³⁶) and offers hope for the future.

The significance of building institutions, both in effective transboundary water management and in preventive hydro-diplomacy, cannot be over-emphasized, and following lessons may help shape future policy and institution-building programmes in the SADC region:

- *Long-term planning in building institutions:* Countries should build national institutions with a long-term perspective that are also tailored to transboundary water resource management as well: The German experience with the riparian countries of the Rhine River Basin³⁷ is one such example.
- *Adaptable management structure:* Effective institutional management structures incorporate a certain level of flexibility, allowing for public input, changing basin priorities, and new information and monitoring technologies. The adaptability of management structures must also extend to non-signatory riparian states, by incorporating provisions addressing their needs, rights, and potential accession. The International Joint Commission (United States–Canada) has been particularly successful in dealing with such an evolving agenda of issues.
- *Clear and flexible criteria for water allocations and quality:* Allocations, which are at the heart of most water disputes, are a function of water quantity and quality as well as political fiat. Thus, effective institutions must identify clear allocation schedules and water quality standards that simultaneously provide for extreme hydrological events, new understanding of basin dynamics, and changing societal values. Additionally, riparian states may consider prioritizing uses throughout the basin. Establishing catchment-wide water precedents may not only help to avert inter-riparian conflicts over water use, but also protect the environmental health of the basin as a whole.
- Sharing can be perceived as a threat to sovereignty, so mechanisms which include tradeoffs are needed and which respect a nation's right to manage its own water.³⁸ Therefore, the still vague notion of *equitable distribution of benefits* is at the root of some of the world's most successful institutions. The idea concerns the distribution of benefits from water use – whether from hydropower, agriculture, economic development, aesthetics, or the preservation of healthy aquatic ecosystems – not the raw resource of water itself. Distributing water use benefits allows for 'positive-sum' agreements, whereas dividing the water itself may create winners and losers. Multi-resource linkages may offer more opportunities for creative solutions to be generated, allowing for greater economic efficiency through a "basket" of benefits. The Colombia River Basin Treaty (United States–Canada) provides an example of such an approach.
- *Detailed conflict resolution mechanisms:* Many basins continue to experience disputes even after a treaty is negotiated and signed. Thus, incorporating clear mechanisms for resolving conflicts is a

³⁴ This section is based on [UNESCO-IHP, PCCP Series volumes Water security and peace - A synthesis of studies prepared under the PCCP-Water for Peace process](#), William J. Cosgrove; and [Conflict and Cooperation in the Management of International Freshwater Resources: A Global Review](#), Erik Mostertin: http://waterwiki.net/index.php/Water_Conflict_and_Cooperation/Lessons_Learned

³⁵ http://waterwiki.net/index.php/Water_Conflict_and_Cooperation/Nile_River_Basin

³⁶ http://waterwiki.net/index.php/Water_Conflict_and_Cooperation/Mekong_River_Basin

³⁷ http://waterwiki.net/index.php/Water_Conflict_and_Cooperation/Rhine_River_Basin

³⁸ Cf.: http://www.danishwaterforum.dk/events/Transboundary_2007/Workshop%20Paper%20-%201-2%20March%20-%20final.pdf

prerequisite for effective, long-term basin management. The Rhine River basin is a good, example of a case where treaties are in place but disputes still arise from time to time.

As most examples of hydro-diplomacy involve support from the inter-national community, one may have to conclude that encouragement and participation by them is an essential ingredient for success – and in this context, a stimulus for SADC for an active engagement.

7.0 Some Well Functioning Institutions

Internationally, there are many functioning institutions with a range of mechanisms and practices. These vary from meetings of the stakeholders to discuss issues to a high level of transboundary water resources management. The *Permanent Indus Commission* and the *Permanent Water Commission for Namibia and South Africa* have little power to allocate water resources and basically run regular consultative meetings.

The 100 years old *International Joint Commission (IJC)*³⁹ between Canada and the United States and the *International Boundary and Water Commission (IBWC)*⁴⁰ between the United States and Mexico both has dedicated, but separate staffs. The IJC monitors developments in the basins for which it is responsible and responds to questions referred to it by the two governments. The IBWC has somewhat more authority.

While their powers differ, both influence individual and joint decisions in the United States and Canada. In the end it is the degree of joint functions such as joint diagnosis, joint planning, joint operations, and joint monitoring that really determines the level of integration.

The *Organisation pour la Mise en Valeur de Fleuve Sénégal (OMVS)*⁴¹, *IBWC*, the *Niger Basin Authority*,⁴² and *Kagera Basin Organisation* have some authority to plan development and some degree of authority to execute the plans. The *Tennessee Valley Authority (TVA)*⁴³ while not international is a good example of a highly integrated organization.

Others, like *Lake Chad Basin Commission*⁴⁴, are limited to technical committees that gather data and information, and make but do not implement plans. The *Intergovernmental Coordinating Committee of River Plate Basin*⁴⁵ and the *Elbe Commission* in Europe gather technical data and have limited authority to make plans and recommendations. However, as noted earlier in the case of the IJC, even an organization limited to gathering data and information can achieve a great deal of authority and influence over decisions to allocate resources, implement policies and construct infrastructure. A *Joint River Committee* established for the *Ganges River*⁴⁶ has, among other mandates, to seek to resolve disputes. Its main mechanism is the use of *Joint Expert Committees*. These committees have equal numbers of Indians and Bangladeshis. Unlike some other expert commissions, these committees do not include a neutral party from outside the region.

The realities of water quantity required to meet increasing economic development, interdependence, sustainability, and population growth seem to push many water professionals to prefer institutions with as much power to manage the resource as possible. Legitimate and important political realities such as national sovereignty issues, especially in the SADC region, generally create resistance to such regional water management notions. The flexibility of organisations to respond to water flow fluctuations and to accommodate future uses has been central to recent successful negotiations of international environmental regimes.

8.0 “Transferable lessons” to the SADC region in international and national capacity building

1. *International transboundary water management is becoming increasingly important for peace and security.*

³⁹ <http://bwt.ijc.org>

⁴⁰ <http://www.ibwc.state.gov>

⁴¹ <http://www.omvs.org>

⁴² http://en.wikipedia.org/wiki/Niger_Basin_Authority

⁴³ <http://www.tva.gov>

⁴⁴ http://waterwiki.net/index.php/Lake_Chad

⁴⁵ http://waterwiki.net/index.php/La_Plata

⁴⁶ <http://waterwiki.net/index.php/Ganges-Brahmaputra-Meghna>

As water scarcity is increasing and climate change becomes more likely, cooperation of transboundary water resources is essential in reducing the risks of instability and a conflict preventive mean.

2. International transboundary water management is becoming increasingly important for meeting basic water needs and providing food security.

Due to population growth and other drivers of demand, water scarcity will increase drastically in the coming decades. Effective national and transboundary water management is needed in order to meet the needs of present and future generations and protect the environment.

3. There is no single best way to manage transboundary water resources.

The best way to manage transboundary waters depends on a large number of factors such as hydrology, the national and international political situation, the cultures of the countries concerned, and the types of management issues. Consequently, what may work in one context does not necessarily work in another.

4. Commissions or other arrangements should be constructed internationally and nationally where the main stakeholders can meet.

Main stakeholders should be able to meet and discuss issues, exchange data and information; and develop confidence-building measures. International commissions or 'expert groups' offer good platforms for this. However, links with lower level governments should be maintained or established as well since effective implementation of international agreements often depends on actions at such levels. Similarly, links should be established with government sectors such as agriculture and power production and with NGOs and individual industries, farmers, and consumers. This could be done for instance through national water councils, informal consultations, and water users' associations.

5. Transboundary water agreements should have a sufficiently broad scope.

Ideally, international agreements should have a comprehensive scope and cover all aspects of international freshwater management. This would facilitate optimal utilisation and protection of the resource at stake. In practice, and especially in the SADC region, agreements often have a narrow scope because they are usually developed in response to pressing problems and disputes, and agreements with a narrow scope are often easier to reach and implement – despite their shortcomings. Nonetheless, there are limits to this form of pragmatism. Agreements regulating surface water use may result in groundwater over-exploitation; agreements allocating water quantities without referring to the quality may result in serious problems if water quality does deteriorate; and agreements furthering one water use sector may harm other water use sectors even more.

A possible way out of this dilemma is a combination of a broad framework agreement and more specific agreements for individual issues – as mutual trust and confidence in existing agreements is building.

6. The single most effective strategy for reaching agreements is the wish to develop and maintain good relations and reciprocity.⁴⁷

Historically, it is hard to reach sound agreements on transboundary water in the region. By far the most effective strategy is the wish to maintain good neighbouring relations and reciprocity. If relations are good, countries are normally willing to compromise on points that are more important for the other countries than for themselves, as they can expect the other countries to respond in kind. In such cases, there is less need for strict compliance mechanisms and transboundary management can react more flexibly and quickly to changing circumstances. If relations are good, most of the water disputes could be resolved, or at least serious escalation can be prevented.

7. Joint or internationally coordinated research can improve the scientific–technical quality of international agreements; unilateral research usually cannot.

The countries concerned should not only agree upon international agreements, the agreements should also make sense. They should be based on sound scientific knowledge. Research conducted

⁴⁷ Some would possibly ask whether this is a strategy or a motivating force: The Author firmly believes that it is such a 'motivating force' that successfully underpins a sound strategy.

or controlled by one country may not be very useful in this respect. Even if scientifically perfect, such research is unlikely to be accepted by the other countries concerned as they were not involved in defining the terms of reference and cannot be certain of its quality. The only way out of this is to conduct joint or internationally coordinated research. International commissions can play an important role in this.

The research may want to focus on the best feasible solution rather than the optimal solution, since some solution is often better than no solution at all.

8. As many stakeholders as possible should participate in institutional development.

As many stakeholders should participate in institutional development, directly or indirectly, including lower level governments and civic society. In this way different points of view and more information can be incorporated in the resulting institutions, fewer negative side effects will occur, and the legitimacy and effectiveness of the institutions will be enhanced.

9. Step-by-step approach

It seems to be a unanimous perception among experts on transboundary water management that a step-by-step approach is necessary to establish cooperation.⁴⁸

One would expect that the first stage of cooperation would require new institutions – such as a treaty, compact, or agreement. However, experience suggests information exchange (e.g., hydrological data sets and establishment of monitoring programmes) may be an appropriate way to start to build confidence between water entities. Such a process may start with relatively basic functions such as engagement of relevant institutions within the basin, issue identification, crisis response, data sharing, modelling, and joint project feasibility studies. As the relationship develops between riparians, more substantial and comprehensive tasks can be undertaken.⁴⁹

One has to be realistic in the sense that even establishing a joint monitoring programme (even without an institution), there are major hurdles to overcome.⁵⁰

From an academic point of view, one could continue to describe lessons learned from outside the region, but as this experience is better understood, a more relevant question in this context is: Which lessons are highly applicable to the SADC region – as a whole, or only to the specific basins within SADC?

⁴⁸ See also: http://www.danishwaterforum.dk/events/Transboundary_2007/Workshop%20Paper%20-%201-2%20March%20-%20final.pdf and Trondalen, 2008

⁴⁹ See also Trondalen, 1997.

⁵⁰ There are some lessons learned from establishing and operating water monitoring systems, for example from CESAR and Compass Foundation's experience in the Middle East (proved upon request), as well as see also: *Convention on the Protection and Use of Transboundary Watercourses and International Lakes: Joining hands across borders: First Assessment of Transboundary Rivers, Lakes and Groundwaters*, UNECE, 2007

ANNEX 5

OECD: EVALUATING CONFLICT PREVENTION and PEACEBUILDING ACTIVITIES

<http://www.oecd.org/dataoecd/36/20/39289596.pdf>

OECD has acknowledged that “peace and security” programmes are hard to evaluate and learn from: “... Still, there is also recognition of the obstacles faced by those undertaking evaluations in conflict settings. Assessing and demonstrating the impacts of work in this field remains a challenge ...”.

In the following, some aspects are highlighted from this OECD Factsheet on evaluation which has direct relevance to this PPR:

Support evaluators and those commissioning evaluations by:

- providing more clarity on key emerging concepts in this field;
- suggesting techniques for the use of current and complete conflict analyses, to help strengthen evaluation of the relevance of activities in a particular conflict context;
- demonstrating the importance of assessing assumptions about how peace can be achieved (theories of change);
- stimulating critical thinking about, and strategies for, demonstrating impacts on key conflict and peace dynamics;
- specifying how the DAC Criteria for Evaluating Development Assistance can be adapted to this field;
- furnishing advice and principles on how to evaluate ethically and successfully in conflict environments; and
- providing guidance on dealing with common problems in this field, including: contradictory and/or unavailable data; dangerous and rapidly evolving contexts; a lack of clearly defined objectives for these activities; a lack of consensus on effective strategies; and partner government involvement in the conflict.

Help conflict prevention and peacebuilding practitioners and policy makers by:

- promoting the use of evaluation, as well as monitoring, as tools to improve learning and accountability, and ultimately enhance the effectiveness of conflict prevention and peacebuilding interventions;
- encouraging rigorous analysis and critical thinking about what actually contributes to peace and what does not;
- providing lessons about operational design, beyond those provided through audit and monitoring;
- helping to refine theories about the causes and dynamics of conflict, which will in turn lead to better designed interventions;
- providing specific tips on drafting Terms of Reference and picking effective teams for conflict, peace and security activity evaluations;
- supporting more strategic approaches that link programme, policies and projects;
- promoting harmonisation of donor assistance; and encouraging coordination and coherence amongst the various government entities including security, military, trade, private, development, humanitarian, and peacebuilding fields.

ANNEX 6

Arguments for Regional *versus* National Approaches to Cooperation⁵¹

Regional integration is a worldwide phenomenon that increases the interactions between the states and creates new forms of organisation, coexisting with traditional forms of state-led organisations at the national level. This phenomenon arose after World War II in the wake of rapidly growing global trade and economic cooperation. This process intensified sharply all over the world during the 1980s with the formation of regional economic communities such as the EAC, SADC, ECOWAS in Africa, ASEAN in Asia, and MERCOSUR in Latin America. Scholars call this second wave “New Regionalism”.

The formation of these regional bodies was due to changes of the global governance system that is (1) a shift from bi- to multilateral actors (e.g. European Union), (2) the decreasing integration potential of the USA, (3) a strong restructuring of the nation-state economies towards global economic integration, (4) threats towards the stability of multilateral trade policies, and (5) long-term strategy shifts in developing countries to liberal market economies. Based on these developments, following benefits of regional integrations for member states are often mentioned:⁵²

- The establishment of an institutional setup for cooperation on international natural resources (water, forestry, environment, fossils resources)
- The strengthening of trade integration in the region
- The creation of an appropriate enabling environment for private sector development
- The development of infrastructure programme in support of economic growth and regional integration
- The development of strong public sector institutions and good governance
- The reduction of social exclusion and the development of an inclusive civil society
- Contribution to peace and security in the region
- The building of environment programmes at the regional level
- The strengthening of the region’s interaction with other regions of the world.

In this context, regional programme support by ICPs can foster regional integration. They are mainly supporting three key elements that cannot be achieved by member states alone:

- Foster intra-regional trade and cooperation on international natural resources (through regional economic communities)
- Develop peace, stability, and security (while applying the concept of “democratic peace”)
- Building blocks of global governance (for UN or even AU governance)

The above benefits of regional programmes can also be seen and measured in the SADC water sector as more than 70 percent of its water resources are shared between two or more countries in 15 major internationally shared (transboundary) river basins. There is therefore an intrinsic need for regional cooperation to address the various water stresses in the region. German and UK support mainly facilitates regional networking and partnering, the development of basin-wide IWRM plans, training in IWRM, and information and knowledge management including the exchange of best practices.

It follows a multi-level approach of capacity development interventions at the macro level (SADC Region), the *meso* level (river basin organisations), and the *micro* level (local water governance).

⁵¹ This annex is derived from one of the GTZ’s programme officers, Mr. Björn Richter contribution regarding regional versus national approaches to international water cooperation.

⁵² Luk van Langenhoeve, 2003: „Regional Integration and Global Governance” in UN-Unexions, UN University Tokyo, p. 5

ANNEX 7

Summary of the result-based monitoring Key questions for assessing joint results- based monitoring

1. Understanding (shared image, acceptance, and objectives)

Are all actors aware of the monitoring system and do they understand it?

The current monitoring system was developed between February and October 2009 in close cooperation with the SADC Water Division. For this to materialize, four joint workshops were held. Hence, the partner is fully aware of the M+E system, which includes several Excel-based management tools (Gantt chart, milestone tracking, and budget overview). The SADC-WD as well as ORASECOM and LIMCOM even requested further assistance from the GTZ team to develop own systems based on the GTZ experiences.

Do the actors grasp the design of the development measure? Do the actors share a common view of the development measure?

As the approach of the GTZ programme is highly partner oriented, the objectives and indicators were jointly developed and are equally jointly implemented. Hence, the partner shares a common view of the development measure.

Is there a common understanding of the sense and purpose of monitoring? Does it find acceptance in the team and among the partners? To what extent is monitoring understood as a central task of contract and cooperation management?

Again, because the M+E system was jointly developed by the SADC-WD and the GTZ team, all involved are aware of the tools and all appreciate monitoring and evaluation as central tasks of such a programme. Within the GTZ team there is one dedicated team member who is responsible for further developing the M+E system including the various management tools. And, as mentioned above, the SADC-WD, ORASECOM and LIMCOM have requested the GTZ team to assist them in developing their own M+E systems based on the GTZ experience and tools.

2. Structure

Is there a structured and continuous approach with regard to monitoring?

The programme recruited a dedicated staff member (junior expert) to further develop the M+E system. In practice, however, monitoring is approached as a team effort. Also, as part of all weekly team meetings, the M+E tools are discussed and are further developed as and when the need arises (e.g. new contracts, fluctuation of exchange rates).

The M+E spreadsheet provides for a thorough overview of the entire programme and all its outputs and direct results. This tool is being used a lot in day-to-day work and also serves to inform all partners about the GTZ involvement. Besides the M+E overview, the various management tools, all Excel based, allow for close contract and financial monitoring on a daily basis.

Have baseline data been adequately recorded? If not, in which fields and how can this be compensated?

The programme is mainly starting from zero baselines therefore this question is not so relevant for the success of the M+E system. The few baselines with values from the beginning were recorded before.

Have monitoring tasks and responsibilities been defined? To what extent does monitoring determine roles, tasks and responsibilities in the team?

As mentioned above, M+E is seen as crosscutting team task and, therefore, all team members are responsible for monitoring their fields of responsibility. In addition, one officer is in charge of coordinating M+E in the programme and to further develop all M+E developed and employed by the programme.

After the current PPR mission, the results and recommendations of the PPR mission will be used to further develop the M+E overview and to add qualitative and quantitative indicators to measure the outputs.

Are there organisational structures or agreements (meetings, bylaws, rules) in place to process or use data or monitoring results?

During all weekly team meetings, the M+E tools are discussed and updated when and where required. Therefore, there is a weekly process, which has impact also on the design of the tools – as seen by the PPR mission.

3. Attribution (steering, reporting, results and risks)

Are decision-making and steering within the development measure transparent for all actors, and are they based on documented evidence and/or monitoring results?

Since all M+E tools are being discussed and updated as part of the weekly team meetings, all results are 100 percent transparent both to the GTZ team members as well as to the various partner staff (SADC-WD, RBOs). Therefore decisions are based on M+E qualitative results.

Can a close link be drawn between progress reports and monitoring? Are progress reports based on the monitoring results? Are monitoring methods adequately and comprehensibly documented in the progress reports?

The latest progress report was developed on the basis of the above M+E tools. The latter are also adequately and fully documented in the progress report.

Is the connection between activities/outputs and the results clearly described and explained (at or for the various levels)?

As mentioned before all outputs and their interlinkages are part and parcel of the M+E overview. The GTZ team members also consider it a big bonus to have the programme described in such a way.

4. Continuity

Do the actors feel that they are informed promptly about the progress, status and development of the development measure?

The M+E system is being employed permanently, as was also evidenced during the PPR mission.

Are the organisational structures in place to ensure monitoring by the partner after the completion of the development measure?

As mentioned before, SADC requested assistance to develop her own system based on the GTZ approach. Also, LIMCOM and ORASECOM asked for assistance and the respective work is going to commence in June 2010.

This cooperation will include teaming up again with the GTZ-SADC programme “Strengthening the Secretariat”, which is developing a SADC Secretariat-wide M+E system integrating the water sector’s system as a pilot.

5. Environment

Are vital developments, risks and actors (stakeholders, particularly partner governments) in the environment of the development measure systematically observed?

The developments, risks and actors are being observed during the weekly team meetings and recorded afterwards in the progress reports.

Is there joint monitoring of the indirect results with other donors?

Since the Head of Programme has also been entrusted with the role of lead ICP, the GTZ implemented programme reports bi-annually on all ICP involvement in the SADC water sector. In addition, the so called *Transwater Capacity Cube* is being employed to harmonize ICP cooperation in line with the *SADC Windhoek Declaration on a New Partnership between the Southern African Development Community and the International Cooperating Partners* (2006).

6. Documentation

Was the information for the PPR itself well prepared and transparent throughout the process?

All M+E tools were introduced to the PPR team during the very first meeting on Monday, April 12, 2010, and again employed throughout the PPR mission when meeting with other stakeholders.

Have the results and risks been properly and comprehensively documented? Are the results chains and cause / effect hypotheses clear?

Results and risks are documented in the progress reports and in the minutes of the weekly team meetings. The result chain and the cause and effects hypotheses are clear to all staff since they were part of the joint SADC-GTZ planning workshops.

Are data and information on indicators and milestones provided promptly and in the course of the year?

As mentioned before, the overall M+E system includes all indicators and progress milestones are being discussed on a weekly basis throughout the year.

ANNEX 8

Agreed Minutes of the Meeting



Minutes of Meeting

“SADC-GTZ/DFID Planning Workshop”, 22th April 2010, Phakalane, Botswana

Transboundary Water Management in SADC Programme

The parties signing hereunder declare that they agree with the findings and recommendations summarised in the April 22nd, 2010, PPR-workshop. These minutes shall serve the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH as the basis for preparing the offer for the 3rd phase of the programme for consideration by the German Federal Ministry for Economic Cooperation and Development (BMZ) and the UK Department for International Development (DFID).

These minutes do not represent a formal programme agreement but rather reflect the assessment of the progress review of the appraisal mission as well as the results of the subsequent discussion. They are not binding to either party to the extent that formal approval is subject to agreement by the SADC Authorities concerned, by BMZ, and potentially by DFID.

Gaborone, 30th April 2010

Signed, on behalf of SADC:

.....
Phera Ramoeli
Senior Water Programme Officer

Signed, on behalf of GTZ:

.....
Dr. Horst M. Vogel
Head of Programme

Signed, on behalf of DFID:

.....
Helena McLeod
Head Resilient Livelihoods Theme

1. Introduction

The current second phase of the GTZ-implemented Transboundary Water Management in SADC programme runs from October 2008 to March 2011. A third phase is planned to run until 2014, or else 2015, depending on the availability of funds from DFID.

Transboundary water management is a focal area of German development cooperation with the Southern African Development Community (SADC). Germany is currently also the lead International Cooperating Partner (ICP) in the SADC water sector, i.e., in charge of the realisation of the international harmonisation agenda. The partner institution for the programme is the SADC Secretariat in Gaborone, Botswana. A joint Sector Strategy Paper (SSP) will be developed in 2010 by Germany. The Programme Progress Review (PPR) will feed into this process.

In its current (second) phase, the programme consists of three components, namely (1) Capacity development of the SADC Water Division (2) Capacity development of River Basin Organisations (RBO), and (3) Capacity development of local water governance and transboundary infrastructure. As part of the third component support is given to the Kunene region in southern Angola and northern Namibia respectively. This measure is implemented in cooperation with the KfW Development Bank. The current second phase of the programme is co-financed by the UK Department for International Development (DFID) through a so-called 'Delegated Cooperation'. As a result, the current programme phase was aligned to the UK budgetary cycle, which also meant that the current phase was shortened by half a year (end of Phase II in March 2011 rather than in September 2011). Due to the substantial scaling up made possible by DFID, a new staff concept was also put in place.

Besides DFID, AusAID also participated in the April 2010 PPR-appraisal mission. KfW and InWEnt had planned to participate in the concluding planning workshop, but were not able to attend due to the volcano ash and the subsequent closure of the European airspace.

The budget for the current second phase (October 2008 – March 2011) of the programme amounts to EUR 11.424,000 including the DFID co-financing (GBP 5.000'000). Overall support includes technical, organisational and procedural advisory services through international, regional and local long-term and short-term experts. There are also material inputs such as office furniture, IT equipment, and vehicles. In addition, there are financial contributions through financial agreements (FA), both to the SADC Secretariat and RBOs. The FA are being employed to hire staff and consultants or, as in the case of LIMCOM, to run the Interim Secretariat in Maputo, Mozambique. The financial contribution of EUR 12.000,000 by KfW is complementary to the programme, but handled separately.

2. Programme Background

The SADC Secretariat has established an enabling environment for transboundary water management (TWM) in the SADC Region. As a result, all of the 15 major river basins in SADC have signed agreements on shared water resources, as stipulated in the SADC Protocol on Shared Watercourses. However, human and institutional capacities at the regional and river basin level are not yet adequate to achieve sustainable management of transboundary (regional) water resources. To address these challenges the overall objective of the joint German-British support to the SADC Water Sector is to strengthen human and institutional capacities and to develop water and sanitation infrastructure for the sustainable management of complex transboundary water resources in accordance with the Regional Strategic Action Plan for Integrated Water Resources Management and Development (RSAP-IWRM). Focus is on strengthening River Basin Organisations (RBOs), the development of basin-wide IWRM plans, training in IWRM, information and knowledge management including awareness-raising, and support to the national level in implementing projects of transboundary relevance.

The support and interventions provided through the programme is guided by a strategic multi-level approach of capacity development at various levels of intervention (Macro: SADC, Meso: RBOs, Micro: Local Water Governance). Based on the three dimensions of Integrated Water Resources Management (IWRM), namely the development of enabling environments, the institutional frameworks are strengthened as well as development of management instruments. In addition, infrastructure projects are being supported. Coupled with the implementation of ICP coordination and harmonisation, this carefully

grafted multi-dimensional approach provides for the basis to successfully contribute to the sustainable and equitable utilisation of transboundary water resources in the SADC Region.

The support provided by the programme has been pivotal to the institutional strengthening of the SADC Water Division, which is part of the SADC Directorate of Infrastructure & Services (I&S). Through the same programme, Germany and the UK put into practice requirements of the international harmonisation agenda, namely in the form of a 'Delegated Cooperation'. The teaming up between Germany and the UK raised the effectiveness of the programme substantially. It also raised its strategic and programmatic leverage considerably. Last but not least, it freed scarce resources at the SADC Secretariat.

Over the years, the programme has assisted in the development of capacities at all levels of intervention, in particular at the macro level of the SADC Water Division and the meso level of River Basin Organisations. For example, the Orange-Senqu River Basin Commission (ORASECOM) has an ICP Strategy Committee in place that streamlines ICP support and thus contributes to the development of a joint basin-wide IWRM plan. ORASECOM is highly valued by her member states: all four states (Botswana, Lesotho, Namibia and South Africa) pay their dues regularly, an achievement that was facilitated by the programme.

By signing a Financing and Project Agreement to finance the Kunene Transboundary Water Supply Project (between Angola and Namibia), Germany is assisting in the implementation of one of the most important regional infrastructure projects. As a SADC pilot project in the implementation of a cross-border water supply - negotiated at RBO level - it is paving the way for future developments and testing and practising bi- and multilateral rules and procedures of cooperation.

3. Reason for the Programme Progress Review (PPR), operational procedures and actors

The objective of the PPR, which took place from 12th until 22nd April 2010 in Gaborone (Republic of Botswana) as well as in Pretoria and Durban (Republic of South Africa), was to review and to evaluate the past and current contributions and impacts of the programmes, and to finally obtain input for the preparation of an offer for the forthcoming third implementation phase. The evaluation was required to take into account the change processes that have taken place in the field of transboundary water management during the period under review. Based on this, the professional quality of planning, the level of achievement, and the impacts made had to be evaluated. The PPR mission was carried out in line with GTZ rules and regulations. It also incorporated the 4th SADC-RBO workshop (20–21 April 2010) in Gaborone (Botswana). The mission team consisted of the following participants:

- Prof. Dr. Jon Martin Trondalen, Compass Foundation, Head of PPR team
- Mrs. Marina Meuss, GTZ Planning and Development, Senior Water Advisor
- Mrs. Helena McLeod and Ben Davies, DFID Southern Africa
- Mr. Jason Court, AusAID, South Africa

The mission team was also required to make recommendations on how best to put all subject-matter knowledge acquired by the programme to good use that is the PPR was expected to advise on a workable and promising outreach approach. The required information was gleaned from interviews and discussions with GTZ and SADC staff, RBO representatives, and several other interview partners as well as from the study of relevant documents and literature.

Based on the current programme concept and agenda, the mission team was required to make recommendations for the forthcoming third phase, which is earmarked to run four years. In this context, the mission team was expected to submit proposals regarding future components and activities. These proposals need to include concrete advice on future objectives and their respective indicators. Last but not least, the review team was required to advise on the usefulness of and options for cooperation with other implementing agencies – be they from Germany or other International Cooperating Partners (ICPs).

4. Assessment of the second programme phase

During the planning workshop that took place 22nd of April 2010 and which was attended by representatives from GTZ, SADC, RBOs (Kunene PJTC, LIMCOM, and ORASECOM) as well as DFID

and AusAID, the PPR mission team presented their assessment of the programme. In accordance with GTZ and DFID regulations, the OECD-DAC criteria were employed by the PPR team for the appraisal. After their presentations, their findings were discussed and agreed upon by all participants:

✓ Relevance

The programme is an integral part of SADC's Regional Strategic Action Plan (RSAP). The SADC Protocol on Shared Watercourses forms the legal basis of the RSAP. Accordingly, priority measures are the establishment and promotion of river basin organisations, harmonisation of water policies, promotion of regional hydro-engineering infrastructure, and the strengthening of national water management institutions. The significance of the programme is highlighted by its strategic approach and interconnection at three different levels of intervention. All participants agreed that the programme and its current phase are highly relevant for achieving the overall objectives as formulated in the previous offer to BMZ.

✓ Effectiveness

Participants agreed that the programme's current indicators fall short of reflecting the real achievements and impacts made, and that the actual accomplishments in certain areas of interventions went beyond the preset yardsticks. Hence, if only the current indicators were to be applied; one would conclude that most of the planned development measures have been achieved or are progressing in a positive manner. Thanks to the DFID support, the advisory capacity of the programme has been strengthened in a substantial way. This, in turn, was of major importance with regards to the impact the programme continues to make, in particular at the macro and meso levels. It was therefore concluded that the "effectiveness" has been high.

✓ Efficiency

The use of resources is highly transparent. Measures are implemented based on mutual agreements between programme partners. Participants agreed that the overall efficiency has been high, especially since there are obviously few other international examples that can demonstrate another and more cost-efficient way of doing things.

✓ Overarching development results (Impact)

Impacts to be achieved during the current second phase are aimed at sustainable transboundary water management including positive implications for children, women and the impoverished part of the population in the region. Additionally, the contribution to 'peace and security' is probably and potentially substantial, although hard to measure, world wide experience clearly shows that there are potentially serious negative implications of lack of cooperation (regarding transboundary water resources). Based on the current status, the programme's impact was judged as most satisfactory.

✓ Sustainability

The issue of 'sustainability' is a challenge in any complex programme like this. There are several aspects related to this – such as *sustainability* in relation to:

- *Financial* commitment – both from SADC, ICPs, and member countries of SADC and the various RBOs – and even in areas of direct intervention [like in Namibia and Angola]. In general terms, the sustainability should be assessed as high. However, there is uncertainty about the programme's sustainability in the years to come – due to the long time horizon of such programme s
- *Programme Intervention* – in the sense of programmes that are sustainable (both in terms of *operation & maintenance* – as well as yielding the expected results in the long run): The programme seems indeed to be sustainable, but there is - of course in such a complex programme - a degree of uncertainty due to geo-political conditions in particular, which may influence the sustainability: The SADC Region is *de facto* in a post-conflict situation.⁵³
- *Ability of member countries to manage the programme initiatives in the long run.* There are signs that the 'membership commitments' are increasing, for example concerning the sharing of costs to operate RBOs. But there are several factors that go beyond the control of this programme that will determine how 'deep and committed' cooperation on transboundary waters is going to go.

⁵³ Peace was achieved in Angola only as recently as 2003.

Besides these positive assessments based on the OECD DAC criteria, it was also concluded that the existing indicators of the programme do not capture the full impact that the programme makes. In fact, in certain areas, the programme's impacts go beyond of what the indicators envisage. In yet other areas, in particular in the case of the Kunene Water Utility, progress has been slower than anticipated. Hence, it was concluded that the respective indicators need to be revised based on the "lessons learned" and the findings of the review mission. In component three, the set-up of the Kunene Water Utility was delayed because the timeline envisaged seemed too optimistic. However, as pronounced by the Programme leadership (in the 22nd of April 2010 planning workshop), the *Kunene Provincial Council* has now approved the establishment of the Public Water and Sanitation Company.⁵⁴

The PPR team and the workshop participants alike recommended that the programme's efforts be continued as it has a high local impact with significant regional implications.

The workshop specifically recommended that the programme continues the three-level intervention approach, which is of highest strategic relevance and importance.

4.1 Lessons learned

Based on the findings of the PPR mission, participants discussed the "lessons learned" from the second programme phase under review and agreed on the following strengths:

- The up-scaling of the programme has been very successful.
- The programme is playing a pivotal part in regional water cooperation. It gained unique trust through its close relationship with SADC, RBOs, and Member Countries.
- GTZ/DFID is uniquely positioned as lead ICP to influence and support the SADC Water Division's mandate and mission: A 'sound counterpart relationship'. The ICP coordination appeared to work well including the web-based ICP collaboration portal and the biannual ICP mapping. There is also a sound and transparent cooperation between GTZ and DFID in place.
- The GTZ team seems to have the right people in the right place, which is indicated by the effective working environment in a multidisciplinary manner.
- The multi-level approach was appreciated, which is enabling the programme leadership to understand and react to the complexity and processes that relate to transboundary water cooperation.
- The quality control of consultancies was evaluated as satisfactory.

Besides these strengths participants agreed in their discussions also on the following main challenges, which should be addressed in the next phase:

- The 'Monitoring & Reporting' capacity of the SADC Water Division needs significant improvement.
- The indicators fall short of the real impact made by the programme.
- Heavy reliance on external consultants.
- Closely and regularly interact with partner staff on agreed actions.
- Short- and medium term planning and implementation – due to uncertainties about funding commitment.
- How to incorporate in a systematic and strategic manner the new and emerging issues such as adaptation to climate change, droughts, deteriorating water qualities and food security.
- Some expectations among partners and ICPs indicate that SADC will have a conflict resolution capacity in the future.

⁵⁴ Empresa Pública de Águas e Saneamento de Ondjiva, EP

The answers to these questions are recommendations that should be considered seriously as the programme is evolving. There are, however, no simple panaceas of how to overcome these challenges. Some critical factors, however, were identified by the PPR-team/participants:

- Increased Member States commitment of SADC, especially in terms of providing sufficient staff resources. In case there is no further commitment forthcoming, expectations should be lowered.
- Increase the ownership of the Member States of different projects by ensuring partner involvement throughout the different phases of the project –including the technical evaluation of proposals.
- The relationships between the partners have to be further strengthened.
- Increase the activities and outputs concerning awareness-raising and communication to demonstrate the impacts to Member States and ICPs involved.
- The programme needs to be based on realistic result-based objectives, realistic result-based component outcomes, and indicators that do not fall short of the real impacts made.
- The programme concept should continue along the strategic 3-level intervention approach in order to ensure synergies between SADC, RBOs, and at the national level.
- Slowly reduce outsourcing and engage involved partners more, especially related to more strategic challenges.
- Improve the tailoring of the Terms of Reference for external consultants.
- Apply the result-based Monitoring & Evaluation system of the lead ICP as a management tool not only for ICPs, but also for the SADC-WD, and strengthen their future Programme Management Unit (PMU) by means of these strategic improvements.
- Assist SADC to act as a facilitator – and not as a mediator – in potentially future international disputes related to regional water resources.

5. Recommendations for the third phase

There was consensus among all the participants that in spite of the changing environment and political conditions, the programme ought to maintain its main thrust and its overall objective. The overall goal and its related (high level) indicators should also be carried over into the next phase. Furthermore, the 3- (geographical) level intervention approach should be continued and strengthened and applied throughout the forthcoming phase.

The main thrust of the first two components should be continued, strengthened, and refined. While developing the new offer, indicators should be developed to better measure the overall impacts. Focus should be on strengthening the institutional capacities of the SADC Water Division and of RBOs respectively. The emphasis within the three process stages (assessment, development, and implementation) should move from assessment and development towards more implementation (depending on the level of development in different RBOs). With regards to the third component, the workshop concluded that this component needs closer follow-up in order to fulfil its objectives. The support to the Kunene PJTC should be extended and strengthened in accordance with the “lessons learned” from other RBOs. Within the third component, further local government projects should be identified to demonstrate the importance of RBO management at the national level.

Likewise, there was broad consensus that pilot projects ought to be implemented to address emerging issues such as adaptation to water scarcity including climate change, food security, political dialogues, and poverty reduction. This will have to be done in order to achieve tangible results on the ground and thus to strengthen the visibility of SADC’s regional water cooperation. In addition, gender mainstreaming and aspects of the (complex) issue of the human right to water need to be specifically addressed and communicated through the planned pilot projects.

5.1 Results chains, objectives and indicators for the development measure

The result chains and indicators of components one and two respectively should be maintained and broadened. The result chains and indicators of the third component need to be further developed and discussed with SADC and ICPs during the course of developing the programme proposal for Phase III.

5.2 Agreements on cooperation and, if applicable, co-financing

The current cooperation with DFID (UK) was assessed as very positive and all parties agreed that this model should be continued for the next phase. DFID emphasised that climate change initiatives should be enhanced - additional funds may be available. AusAID, who also participated in the programme progress review mission, expressed their appreciation of the programme approach and the success of the programme. Hence, AusAID seriously considers joining the programme and to also co-finance the forthcoming third phase of programme implementation through a Delegated Cooperation.

5.3 Lead executing agencies and national implementing organisations

Partner organisations include the SADC Secretariat, in particular the Water Division, the RBOs ORASECOM and LIMCOM and possibly additional ones, as well as the national sector ministries and the water utilities of riparian countries. It is the task of the SADC Secretariat to monitor implementation of the Protocol on Shared Watercourses and to coordinate development cooperation with the SADC. The RBOs provide a forum for consultation and coordination between the riparian states to promote integrated water resources management and development within the river basins.

5.4 Target groups and intermediaries

Target groups of the programme are the people of the SADC member countries. Improvement of sustainable water resource management capacities is intended to improve the long-term qualitative and ecological status and availability of shared water resources. Intermediaries at the various institutional levels are the experts and decision-makers in national ministries, RBOs, water utilities, and in the SADC Secretariat.

5.5 Programme area

This is a supra-regional programme that covers the 12 mainland member countries of SADC (Angola, Botswana, DR Congo, Lesotho, Malawi, Mozambique, Namibia, Zambia, Zimbabwe, South Africa, Swaziland, and Tanzania). As part of the second component, individual RBOs are receiving advice. The third component is strongly related to the implementation of local demonstration measures (e.g. Kunene/Cuvelai between Namibia and Angola).

5.6 Time of Operation

Programme planning is based on a 10-year term that is October 2005 to December 2015. Hence, the third phase is anticipated to run over a 4-year period from May 2011 until December 2015. However, this is dependent on the realization of a tripartite partnership between Germany, the UK and Australia. Should the latter two not participate; available German funds suggest a reduced third implementation phase of only three years.

5.7 Risks of the development cooperation measure

Concerning the risks, those of the current second phase were reconfirmed and the risks for the activities in the Kunene Transboundary water supply project stressed:

- Weakening of SADC's political role can slow down or prevent implementation of the protocol (*medium risk*).
- Political instability and conflicts between riparian states can lessen the will or the capacities for cooperation (*high risk*).
- If individual riparian or members states reduce their contributions to RBOs or to SADC, the scope for action by the organisations will shrink accordingly (*medium risk*).
- Should the SADC Secretariat, RBOs, or national institutions, fail to provide adequate human resources to carry out the programme, the common goals would be endangered (*high risk*).
- In order to build up the Kunene Water Utility (KWU) within the period planned and to get it to operate, the Spanish and FC investments should be implemented according to plan. Human resources need to be made available to operate the KWU (*high risk*).



In Delegated Cooperation with:



5.8 Staff concept

The German Federal Ministry for Economic Cooperation and Development (BMZ) committed up to EUR 6,000,000 in 2010 for the third phase (2011-2015). Since DFID and AusAID did not yet commit themselves, the GTZ staff concept based on the commitment made by the German government includes three seconded international experts only.

ANNEX 9

Some qualitative indicators

The inherent contradictions between 'concrete and tangible indicators' and 'qualitative indicators' are hard to reconcile in a report like this. However, only as an illustration of how one could measure the full impact of the programme, some of the following indicators are broad enough to serve such a purpose:

COMPONENT 1: CAPACITY DEVELOPMENT OF SADC WATER DIVISION

Component objective: The institutional capacity of the SADC Water Division is strengthened to maintain and continue the RSAP.

Indicators:

- According to commonly accepted scientific standards; SADC is acting as a catalyst for regional water cooperation in line with its mandate.
- SADC is able to strategically integrate and react to emerging issues like:
 - Food security
 - Political Dialogues
 - Climate change:
 - Droughts
 - Benefit Sharing
 - Ecosystem Approach
 - Water Scarcity
 - Pollution (water quality deterioration)
 - Poverty Reduction
 - Conflict Prevention
 - Public-Private Partnership
- According to accepted international standards, *Monitor and report* programmes that they are accountable for - to member states and ICPS.
- Fostering development of RBOs which proves to be sustainable.

COMPONENT 2: CAPACITY DEVELOPMENT OF RBOs

Component objective: The organisational capacity of RBO for implementing RSAP is strengthened.

Indicators:

- SADC guidelines (establishment and management of RBO, environmental management, stakeholder participation) are implemented by the enabled RBOs.
- Established RBOs are able to grow (in relation to international accepted standards of such organisations).
- New RBOs are established when the political ramifications are conducive for such capacity building.
- RBOs deliver tangible products to the satisfaction of the riparians states, especially in relation to emerging issues like 'climate change'.
- RBOs promote cooperation and stability at a regional and sub-regional level.

COMPONENT 3: CAPACITY DEVELOPMENT FOR LOCAL WATER GOVERNANCE AND TRANSBOUNDARY INFRASTRUCTURE

Component objective: Local water governance in selected transboundary river basins is improved.

Indicators:

- The Kunene Water Utility (KWU) is operational and equipped with financial, administrative and maintenance business procedures and requisite key personnel.
- Gender and poverty focus is maintained and materialised.
- The 'lessons learned' from this role-model project is attempted to be replicated in at least one, preferable two other basins.
- Integrate some selected climate change components in one of the local infrastructure projects



In Delegated Cooperation with:



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PROJECT PROGRESS REVIEW (PPR) –SECOND PHASE 2008 -2011

TECHNICAL COOPERATION PROGRAMME TRANSBOUNDARY WATER MANAGEMENT IN SADC

FINAL REPORT, JUNE 2010

