**Portfolio Name**: Green Portfolio (A Green Botswana)

**Portfolio Number:**

**Start Date:** 1 March 2022 **End Date:** December 2026 **PAC Meeting date:** 22nd April 2022

**Projects Included in the Portfolio:**

|  |  |  |
| --- | --- | --- |
| **Project Names** | **Project Number** | **Implementing Partner** |
| 1. A Green Botswana |  | MET |
| 1. Kgalagadi and Ghanzi Dryland Ecosystem Project | 103617 | MET |
| 1. Production and utilization of biogas from Agro-waste | 101976 | MET & MME |
| 1. Okavango SAP Implementation | 96121 | MET |
| 1. BIOFIN Initiative | 108633 | MET |
| 1. Climate Promise | 104461 | MET |
| 1. Flagship Project: Towards a strong, inclusive and sustainable business sector (in Prosperity portfolio) | Appendix | BCM & MOE |

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| **Brief Description** |
| The Green Portfolio will continue to support the Ministry of Environment, Natural Resources Conservation and Tourism (MENT), with the aim to contribute towards improved environmental sustainability and improved resilience to climate change and disaster risk reduction. The policy framework for this support is founded in the Botswana Government’s National Development Plans and its Vision 2036; and the United Nations’ Sustainable Development Goals (SDGs). The context within which this support will be provided is one of a country that is vulnerable to the projected impacts of climate change, where the trade-offs between economic development and the environment are not adequately managed, where there is poor compliance with environmental policies and laws, few legally recognised environmental rights and remedies, unsustainable land use practices are common and data and knowledge management to support sound decision-making is lacking. Within this context the Environment and Climate Change Portfolio will provide support through:   * Implementation of appropriate climate change adaptation and mitigation strategies * Development and implementation of Innovative and sustainable range and land management strategies * Effective management of biodiversity and wildlife resources in line with international conventions * Effective implementation of sustainable and fully integrated environmental management policies and strategies   The challenges related to environment and climate change are multifaceted with significant impacts on the ability of people to lift themselves out of poverty. This in turn exacerbates people’s vulnerability to the effects of climate change. Governing the country’s rich and diverse natural resources is an increasingly complex challenge and in a globalised world of interconnected nations, economies and people, managing environmental threats, particularly those that cross political borders such as air pollution and biodiversity loss, require new global, regional, national and local responses involving a wide range of stakeholders. Effective environmental governance at all levels is therefore critical, in finding solutions to these challenges as it considers the role of all actors that impact the environment. Given the scale and complexity of the issues to be addressed, the portfolio will ensure that responses are developed through active participation from government, citizens, scientists and or academia, private sectors, Community Based Organisations (CBOs), Civil Society Organisation (CSOs) and the donor community. Multi-stakeholder cooperation is critical to achieving effective governance that would help Botswana to move towards a Green economy. |

Contributing Outcome(s) (UNDAF/CPD, RPD or SP):

Indicative Output(s) with gender marker2:

Project 1:

Project 2:

Project 3:

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| **Total resources required:** | $16,000,000.00 | |
| **Total resources allocated:** |  | |
| **UNDP TRAC:** | $581,000 |
| **Donor:** |  |
| **Government:** | $335,436 |
| **In-Kind:** |  |
| **Unfunded:** | $15,083,564 | |

Agreed by (signatures)[[1]](#footnote-2):

|  |  |
| --- | --- |
| Government | UNDP |
| Ministry of Finance  Print Name: | Print Name: |
| Date: | Date: |

|  |
| --- |
| Implementing Partner |
| Print Name: |
| Date: |
| Institution: Ministry of Environment and Tourism (MET) |

# Development Challenge (1/4 page – 2 pages recommended)

**Background**

Botswana is well-regarded for its multi-party democracy, free and fair elections, solid rule of law, impressive economic growth and political stability. A deeper analysis, however, reveals societal fractures, dynamics and pressing concerns—exacerbated by the COVID-19 crisis—across the governance-environment-economy continuum that pose risks to these development gains. In addition, the timeliness, coverage and direct policy relevance of data, and knowledge management need to be enhanced to support sound decision-making.

The most important issues in *governance* pertain to social and political inclusion, access to justice, transparency and accountability, as well as cross-cutting aspects linked to the governance of land, natural resources and climate change, as well as that of public and private economic activity.

On the *economic* front, Botswana experiences high levels of poverty, inequality and unemployment. The economy is insufficiently diversified to drive development sustainably beyond the current Upper Middle-Income level and the private sector has yet to take its rightful place as the engine of growth. The country also needs to manage the complex trade-offs between economic development and the environment, notably address unsustainable land use and natural resource practices.

As for *environmental* aspects, Botswana is vulnerable to the projected impacts of climate change and—despite commendable progress—also further biodiversity loss. The country faces gaps in compliance with environmental policies and laws, as well as in legally recognised and enforced environmental rights and remedies. Improved policies are needed to achieve environmental sustainability, resilience to climate change and to reduce disaster risks.

In sum, Botswana’s significant achievements go hand-in-hand with complex challenges. The UNDP Country Programme theory of change is based on the principle of a ‘punctuated equilibrium’ in which gradually evolving dynamics and key challenges such as climate change are interspersed by sudden-onset, and increasingly unpredictable, crises as seen with the recent COVID-19 pandemic. Causes and effects within this theory of change are understood from a complex systems perspective. Designing successful responses to turn adverse causal loops into pathways for positive change requires a number of capabilities in developing new anticipatory systems approaches, designing and facilitating system transformation with expanded spheres of collaboration and partnerships to move past siloed, linear problem-solving approaches. People are engaging with information, institutions and society in entirely new, and increasingly digital, ways and institutions have to nimbly adapt with increasing speed. The Country Office’s portfolio approach to programming therefore aims to address in an integrated manner the whole range of pivotal interrelated development challenges to achieve a green, just and prosperous Botswana in pursuit of the SDGs and Vision 2036.

**Delivering through integrated portfolio programming**

The guiding principle and intent of the Country Programme theory of change is to achieve *transformational change* for a green, just and prosperous Botswana.

The design of the three integrated portfolios builds upon lessons learnt from the Mid-Term Review of the Country Programme in November 2019, the Independent Country Programme Review of 2020, and the 2021 Country Programme Development process. As a result, the portfolios emphasise more downstream engagement to strengthen development outcomes as well as gender and human rights responsiveness, and to broaden partnerships and innovation to achieve impact at scale. Of key relevance to the design are the following considerations:

* **Inclusion and participation** must be at the heart of any intervention across the portfolios, from design to implementation, adaptation and evaluation.
* **Human rights-based** programming and the principle of leaving no-one behind (LNOB) must be mainstreamed.
* Similarly, **gender, youth and disability**aspectsmust not be ‘siloed’ in individual projects but mainstreamed across all of the CO’s work and given sufficient financial and human resources.
* **Innovation** is a prerequisite for achieving transformational change. Portfolio design and implementation need to seize the opportunities to innovate. To this end, staff and partners from different areas will collaborate, explore and experiment with new ideas, tools and approaches.
* **Results-based programming** backed up by a robust theory of change is a critical anchor for the development and implementation of the portfolio.
* **Programming** needs to be more catalytic by overcoming internal and external siloes and working more coherently using the opened-up architecture of CO portfolios.
* **Monitoring**of portfolio results needs to become more robust through adaptive learning and evaluation mechanisms that generate pointers on how to adjust course.
* **Relevant, disaggregated data** need to be generated to facilitate this. Innovation here can include the use of big data and machine learning to analyze large datasets.
* **Continuous learning and adaptation** is needed with stakeholders and influencers to solicit feedback on implementation, approach and priorities to facilitate anticipatory and agile decision-making, ensuring that investments are directed at core development challenges with transformational outcomes as envisaged.

Diagram

Description automatically generated

These elements add up to a ***hybrid, integrated approach to programming*** through portfolios. This entails integrated governance and management structures that are driven by learning from data, analysis, continuous reflection, and consequent adaptation that ensures a risk-informed and future-driven implementation of the 5-year Country Programme Document. It is designed to strengthen programmatic coherence, use resources more effectively and build a granular understanding of how interventions relate to the broader systems we engage in and alter ‘punctuated equilibrium’.

For this to be effective, the governance structure will be used as a platform for engagement and collaboration with a view to

1. Unpack complexity and its evolving risks through a systematic process of exploring and learning.
2. De-risk innovation and experimentation by generating a set of complementary and mutually reinforcing interventions.
3. Guide the portfolios in their strategic intent, core assets and capabilities to leverage impact and identify areas of investment and interventions to focus on.

Dynamic portfolio management leveraging foresight and sensemaking techniques will allow the Country Office and Implementing Partners to generate the requisite data, insights and analysis for shaping the frameworks, mechanisms and tools for longer-term system transformation in a complex environment. The scope and process for this are further outlined in the TORs of the Portfolio Steering Committee and respective Technical Working Groups.

**Development Context**

Botswana is a land-locked semi-arid country with approximately 70% of its 581,730 km2 being made up by the Kalahari Desert. With a population of just over 2.3 million people, relatively small compared to the size of the country, it is one of the most sparsely populated countries in the world. It is a predominantly flat country with the most outstanding features being the Okavango Delta in the northwest and the Makgadikgadi Salt Pan in the north. It has no major perennial river systems within the country but is bordered by, and contributes to, the Limpopo River along its south-eastern border with South Africa, and the Chobe River as its northern border with Namibia. Ecologically, the country is blessed with a rich natural resource base and, in addition to the desert habitat of the Kalahari and the world-renowned wetland system of the Okavango Delta, there are savannahs and grasslands; all hosting a diversity of flora and fauna. A large proportion of this natural heritage is conserved in a network of national parks and game reserves. These protected areas cover a total of more than 29% of the country’s surface area which substantially exceeds the Aichi Target of 17%. Based on this rich natural heritage, the country is a popular destination for tourism, which contributes substantially to the GDP, alongside the mining and beef sectors.

Although the country appears to be prosperous, being recognised globally as a middle-income country, it is extremely vulnerable. Research has shown that Botswana is among African Countries that will experience the most extreme changes in temperature and precipitation under global warming scenarios of 1.5°C - 3°C above pre-industrial levels. These changes will have significant negative impacts on the biodiversity, the water sector, health and cropping and livestock sector. This, therefore, require specific sectoral policies with clear adaptation plans that limit exposure and economic and social suffering. Botswana has taken major steps to formulate and implement measures to adapt to and mitigate climate change, with steps informed by the country’s commitment of a 15% reduction of Greenhouse Gas (GHG) emissions relative to 2030 BAU emissions.

An over-reliance on groundwater for irrigation, and the minimal amount of arable land places the country, in a very tenuous situation in the face of these projections; and it is imperative to restore degraded lands to adapt to the projected changes. Only 5% of Botswana’s surface area is arable land, which is very limited and rural communities struggle to produce crops in these marginal conditions. The interface between people and wildlife is a challenge with the main problems occurring between carnivores and livestock, and elephants and crop lands. To further exacerbate the wildlife management challenges in the country, the relevant authorities have limited resources, and their management effectiveness needs to be enhanced. According to the IUCN (2020) study on the state of protected and conserved areas in Eastern and Southern Africa, protected areas in this region face a significant financing and resourcing challenge, especially those areas that protect large and wide-ranging mammals, such as rhino, elephant, lion, and wild dog. This situation prevails because there is a fundamental lack of understanding of the value of these areas as national and regional assets, and this lack of investment is leading to their depreciation with consequential costs being passed on to society. The heavy dependence on donor funding to fill this financing deficit urgently needs to be addressed so that the country can secure the integrity of its natural heritage and realise the massive returns on investment that are possible given the full value of this natural resource.

Lastly, Botswana needs an enhanced, capacity to implement sound environmental management decisions that are in the interests of sustainability and prosperity. The current legislative programme for environmental management is limited to impact assessments and does not provide the enabling environment for pro-active environmental management planning or the legal protection of environmental rights and remedies. One of the key lessons that the world has learned from the Covid-19 pandemic, is that nature-based solutions are key to future prosperity. Forward thinking, and pro-active environmental planning, must provide for this, while also addressing the externalities associated with the rapid growth experienced by the country, notably waste management, an over-dependence on non-renewable energy, unabated emissions of greenhouse gases deteriorating water resources due to poor waste-water management, and effluent discharge. A premium need to be placed on environmental and social justice, and the empowerment of people to claim their environmental rights through legal remedies. The legal and policy framework needs to be strengthened to support this transformation.

# Strategy (1/2 page - 3 pages recommended)

The Portfolio strategy is aligned to the pillars of the Government of Botswana-UN Cooperative Framework and the UNDP Country Programme Document (CPD). Guided by these strategic documents the portfolio will work with the Ministry of Environment, Natural Resources Conservation and Tourism (MENT) and through it with other state and non-state actors to champion projects. The projects will respond to a specific focus identified globally, regionally, or nationally with a focus on environment, energy, and sustainable development. A significant part of the resources needed will be mobilised from vertical funds.

The portfolio is formulated with the realization that natural resources are embedded in complex social-ecological systems with a multitude of variables, functions and subsystems dynamically interacting across multiple levels and scales. And therefore, the complexities of environmental problems and the social-ecological systems in which they are rooted require a different kind of problem analysis as well as project design and implementation, away from single-problem projects. Effective environmental policies and programmes need to be informed by a comprehensive understanding of the biophysical, legal, social and economic processes of a system, their complex interactions, and how they respond to different changes. Given the scale and complexity of building resilience to climate change in Botswana, responses will be developed through highly inclusive and participatory approaches linking government, citizens, scientists and or academia, the private sector, Community-Based Organisations (CBOs), Civil Society Organisation (CSOs) and the donor community. Consistent with human rights-based approaches and the ‘leave no one behind’ principle enshrined in the SDGs, there will be a specific and particular focus on inclusion of vulnerable and marginalised populations, for example, women, youth, people with disabilities, Indigenous and ethnically diverse remote and rural populations. The projects will ensure broad stakeholder engagement to facilitate co-production of knowledge that is valuable for sustaining resilience.

The underlying logic linking together the inputs and activities to the outcomes of the portfolio is premised on research and was created inductively through a consultation process which culminated with causal loop diagrams. The goal theory of change (TOC) statement is therefore, summarised as follows: If national capacities to implement appropriate climate change adaptation and mitigation strategies are strengthened, environmental rights and remedies enshrined in law, environmental management planning and policy development are gender inclusive and responsive and local communities’ capabilities to integrate permaculture and agroecology principles and practices as well as other research-based innovations are supported; then improvements in the management of natural capital and communal lands will in turn increase their value and have a positive impact on the quality of life because there will be an increased level of resilience to shocks. when communities and decision-makers understand the link between ecosystem health and functionality and socio-economic resilience, only then is there a chance that negative trends may be reversed.

To ensure successful implementation of the portfolio, UNDP will continue to leverage its convening power and mobilize technical and financial capacity to strengthen its work in building the capacity of the relevant Ministries at the National and District levels while also facilitating multi-sectoral and multi-stakeholder engagements. Through innovative partnerships and in close collaboration with a broad range of stakeholders, UNDP will ensure that policy responses and mitigation and adaptation strategies are reflective of the fact that different vulnerable and marginalised groups experience climate change, poverty and economic growth differently and individuals may face multiple and diverse forms of marginalisation and exclusion. This will allow an inclusive approach to addressing broader development issues such as enhancement of national capacities for evidence-based policy and decision making and ensuring measures and strategies are in place to examine climate change, disaster risk reduction and mitigation, and environmental degradation, as well as their effects on health, livelihoods, poverty, environmental, economic, social and cultural rights, and development.

In recognition, of the strong support required by the country to achieve a, green, just and prosperous Botswana, the strategic interventions of all the three portfolios will be cross leveraged, to ensure exploitation of opportunities that will magnify impact. A holistic portfolio approach will foster and fully exploit the potential interrelationships which are grounded on the instrumental connectivity of strategic interventions in terms of sharing common beneficiaries, objectives and resources. The coordinated approach to portfolio implementation will bring immediate synergies and harness economies of scale so that sustainable economic opportunities are improved, capacity at institutional levels is strengthened, legal and institutional reforms to enshrine rights and remedies and to ensure inclusive and sustainable solutions are adopted, policies and programmes for climate change adaptation, disaster risks reduction and access to clean and sustainable energy are enforced and laws, policies and systems are introduced to support transition to a low-carbon economy.

Designed on the principles of inclusion, participation, accountability, and transparency the portfolio will be flexible and adaptable throughout the programme cycle to remain relevant to specific and emerging national needs and priorities through periodic reviews, studies, and surveys. Programmatic and operational synergies within UNDP will also be stepped up to contribute to the CPD outcomes and SDGs in a coherent, effective, efficient, and sustainable manner. In respect of the above, the portfolio will strategically engage all relevant development partners to consolidate gains on development interventions and further leverage transformational change. The Portfolio is also anchored on the strong political will to continue to take measures to address the underlying causes of socio-economic and environmental development challenges, harnessing innovative digital technologies, digital transformation and data management approaches, as well as potential investment in data collection and research. All initiatives supported will ensure that innovative actions and high-quality results are documented and showcased as lessons, replicated, and scaled up for development change to be as symmetric as possible. Concerted efforts to ensure sustainability of development results and continuity of interventions with clear exit strategies based on adequate capacity development and/or institutionalization of mechanisms and processes will be mainstreamed at both institutional and national levels.

# Results and Partnerships (1.5 - 5 pages recommended)

***Expected Results***

The expected results of the portfolio are presented within the context of the approved UNDP Country Programme Document. The CPD sets out the portfolio’s work in Botswana for the next 5 years (2022-2026) to focus on the following Outputs:

* Implementation of appropriate climate change adaptation and mitigation strategies are strengthened.
* Innovative and sustainable range and land management strategies are developed and implemented.
* Biodiversity and wildlife resources are managed effectively.
* Sustainable and fully integrated environmental management policies and strategies are implemented effectively

**Output 1**: National capacities to implement appropriate climate change adaptation and mitigation strategies are strengthened. This result will be achieved through the implementation of strategies that address a) reductions in greenhouse gas emissions, b) the promotion of the use of clean fuels and energy efficient technologies, c) ecosystem-based adaption, and d) monitoring and evaluation. The indicators relevant to these four strategic thrusts have been used to guide the formulation of implementation strategies and are included as they appear in the CPD Results and Resources Programme at beginning of each section. Any interventions that work towards reducing poor rural communities’ dependence on biomass will have multiple benefits, with some of the more important being:

1. a reduction in the rates of resource-depletion and habitat destruction.
2. an improvement in the ambient air quality within homesteads and the resultant reduction in associated respiratory ailments.
3. improved quality of life as more time is available for female members of the family units, who traditionally are those who are responsible for gathering fuel wood, to invest in the lives of their children.
4. an improved standard of life resulting from increased energy access in rural areas and sales of organic fertiliser; and
5. an increase in the access to and usage of renewable and clean energy sources resulting in a reduction of greenhouse gas emissions.
6. robust Monitoring Reporting and Verification (MRV) system for implementation of the Nationally Determined Contributions (NDCs) in Botswana will enable transparent and climate-informed policy decision-making as the country transition to a low-carbon and climate-resilient economy. An MRV system is also fundamental to meet the reporting requirements of the United Nations Framework Convention on Climate Change (UNFCCC).

It is, therefore, critical to work closely with the industrial sector, marginalised and vulnerable groups and poor rural communities in order to obtain the best possible returns on investments and have the greatest chance of reaching GHG emission reduction targets. In this way, the interventions may also cover the full spectrum of clean energy technologies from massive solar photovoltaic systems at the industrial scale, to the use of fuel-efficient cook stoves at the community level. Further to this, a concerted effort needs to be made to ascertain that waste is managed efficiently and effectively as a sustainable resource to produce useful outputs such as clean energy.

**Output 2:** Capacities of departments and communities strengthened to develop and implement innovative and sustainable rangeland and agricultural management strategies. The results of this output will be realised through the implementation of strategies that address a) the current unsustainable range management practices that are prevalent in the country, b) the need to integrate climate smart techniques into dry land crop farming, and c) the development of early warning systems aimed at facilitating pro-active measures being put in place to avoid climate change related disaster risks. The implementation of sustainable range management strategies in Botswana has substantial potential for enhancing economic, social and natural resilience to projected climate change impacts while simultaneously addressing the impacts of unsustainable range management practices. The resultant benefits of such strategies include among others:

1. Increased food security owing to the improvement in innovative non-irrigated farming techniques which would result in production of sustainable and diverse crops.
2. Improved rangelands that will allow for an increased demand for free-range grass-fed beef thus contributing to GDP and formation of value chains which will in turn strengthen resilience of the economy
3. Improved quality of life as biodiversity is improved resulting in creation of more resilient communities

**Output 3:** National institutions and local communities have strengthened technical capacities to conserve and manage biodiversity and wildlife in line with international conventions. This will be achieved through implementation of strategies that address the effective management of the country’s protected areas, the increased employment of the population in the wildlife economy, and efforts to reduce the incidence of wildlife poaching both within and outside of protected areas.

1. Produce comprehensive ecosystem goods and services valuations of each of the national parks and use the outputs of the management planning processes to derive an indication of the country’s return on investment. Use this as a means to lobby and justify increasing government support for the implementation of the management plans, and to identify income-generating opportunities within the context of the BIOFIN project. Also use the valuation and the BIOFIN approach to develop business plans for each of the national parks while applying the guidelines provided in the IUCN Best Practice Protected Area Guidelines Series No. 28 of 201828.
2. Support the national parks in implementation of their business plans, facilitate linkages with relevant private sector players and investors, and assist in the development of funding proposals necessary to provide the financial resources for those aspects of the management plans which are unable to draw private sector investment or lack government support.
3. Support the national parks in addressing the dynamics negatively affecting management effectiveness, particularly those associated with management capacity; be this related to human resources, skills, equipment, the facilitation of stakeholder engagement processes, etc.
4. Building on the experiences gained for implementation of the above strategies, and particularly those associated with the assessment of the values of each of the country’s protected areas, compile a Policy Brief that ‘makes the case’ for increased country support for and investment into the effective management of the national parks and protected areas. Through the combination of the management, planning and valuation processes, it will be possible to provide a robust and defendable indication of the return on investment that is possible from these national assets, and to illustrate to relevant national decision-makers, the wisdom behind such investments.

**Output 4:** National capacities strengthened to develop and implement gender-responsive, environmental and disaster management policies and strategies will be achieved through the development of the appropriate legal and policy frameworks, improved waste management and the development and implementation of Strategic Environmental Assessments at the district level. The effective implementation of robust environmental management legal and policy frameworks allows for addressing of environmental injustices, mostly impacting on marginalised groups. The above rationale will be realised through:

1. Comprehensive review of the existing legal and policy framework for environmental management, using a human rights-based approach and global best practice as a benchmark. Facilitate inclusive and participatory engagement of relevant role-players and stakeholders in the process, particularly to present findings from the review, and recommendations for the strengthening of the legal and policy framework. Included in this process must be representatives of the judiciary in order to build their understanding of the role they can play in the upholding of the frameworks. This process needs to be carried through to the point where existing laws are reformed, new legislation is promulgated, and relevant policies, and related actions plans, are developed and the community educated on their rights and remedies under the new legal and policy framework.
2. As soon as the above process has reached a point where the upgraded legal and policy framework has become sufficiently defined, carry out a capacity needs assessment of Department of Environmental Affairs (DEA) at the national level, and of local government at the district levels, with a focus on what human resources and skills levels are required in order to fulfil the requirements of the upgraded legal and policy frameworks. The assessment must derive clear recommendations to address any gaps that are identified. Thereafter, it will be responsibility of the DEA and local government to put processes in place to address these gaps in the short to medium-term.
3. Develop and implement a M&E programme (including civic led monitoring and transparency portals) that is able to measure the extent of uptake with, and compliance to, the legal and policy frameworks, with specific attention to the alleviation of environmental injustice towards marginalised groups, particularly vulnerable and marginalised populations. Ensure that the capacity assessment, and development processes, take M&E, and reporting capacity, into account so that DEA are able to produce meaningful reports using disaggregated data and citing the progress made towards uptake and compliance.
4. In conjunction with existing environmental awareness campaigns of DEA, develop and implement those with a specific focus on ensuring a broad awareness and understanding of the new environmental management legal and policy frameworks. It will be important to ensure that the legal profession and the judiciary are included as a target audience, and that these campaigns are repeated on an annual basis for at least for the duration of this project.

**Resources Required to Achieve the Results**

The guiding principle and intent of the CPD theory of change is to achieve *transformational change for* a green, just and prosperous Botswana. To deliver on the results mentioned above, and in the context of an Upper Middle-Income Country, technical capacity geared towards building the capacity of national partner institutions constitutes the key input to drive results with lasting impact. The technical expertise will be used to support activities and processes that deliver change, augmenting the existing capacity of partner institutions. This expertise will be deployed in activities and processes that both drive innovation and new ways of working as well as those that facilitate wider uptake of strategies for broader impacts thereby, realizing economies of scale. Given the central role that Environment and Sustainable Development is envisaged to play under the theory of change spelt out earlier, the technical support will critically enable partner institutions to be able to engage across sectors and across different levels with an integrated mindset.

In addition to locally based expertise, the global expertise in and outside the UNDP network will be engaged, including the Regional Service Centre and other country offices. Additionally, partnerships with other institutions with experience in the project’s delivery areas will also be engaged. The locally based expertise will especially be used to broker partnerships across state and non-state partners to realize results and impact.

**Partnerships**

While the Ministry of Environment Natural Resources Conservation and Tourism (MENT) is the main implementing partner, delivery of the project results will involve working with multiple partners for greater impact. The ultimate results involve actions and changes at different points in the impact pathway, including at intermediate levels. Also, there are several pathways to the results, some requiring policy changes to stimulate action and others requiring autonomous action by businesses and community initiatives seeking to enhance their competitiveness and value while others will involve a combination.

The partnerships that will be identified to drive change will not be stand-alone nor linear but will be based on multi-stakeholder linkages and platforms that enable these partners to complement each other. Similarly, the roles of different partners will be defined by the specific components of the projects, with some taking on the roles of main drivers, other conveners while others will be part of the technical advisory systems that the project will use to facilitate buy-in, ownership, accountability, and oversight.

***Risks and Assumptions***

In developing the portfolio interventions, key assumptions have been made and these include that: implementing partner will maintain strong leadership and ownership of the project interventions at the executive level for the portfolio to have broader impact across other sectors, 2) sufficient funding will be available to begin implementation, 3) partnerships between relevant stakeholders exist and will increase; and 4) the skills base to implement these strategies will increase with the knock-on being a reduction in unemployment 5) that the projects will build the capacity of IPs, through knowledge transfer and skills from external experts leading to lasting results and sustainability and 6) that local communities have the skills, experience, local knowledge and networks to undertake locally appropriate activities that increase resilience and reduce vulnerability to a range of factors, including climate change

A key risk is that the Implementing partners may fail to champion the project interventions especially at policy level resulting in lack of ownership, scaling up and replication. Failure of IPs to champion the projects will also weaken project governance structures, contribute to unequal sharing of benefits which will in turn affect participation of other key stakeholders. Implementing partners staff not actively involved in the substantive management and implementation of project activities but would rather take a back seat and wait for finished products to be delivered by UNDP*.*

***Stakeholder Engagement***

The ultimate beneficiaries are the local communities, particularly vulnerable and marginalised groups, and the environment that sustains their livelihoods and the economy. The main forms of stakeholder engagement that will be employed, consistent with the theory of change are:

Stakeholder platforms: consisting of the key partners and major stakeholder groups will be used for continuous engagement on recurring or long-term issues. Existing platforms such as NDP Thematic Working Groups, National Climate Change Committee and others will be used as the first option to avoid duplications.

Project-specific committees/working groups: As required for each intervention, and where existing platforms cannot play the required role due to technical expert needs or geographical location, or for efficient decision making, specific committees or working groups will be used to engage specific stakeholders. These include technical reference groups, project steering committees and others.

Consultation fora and events: In certain cases, stakeholder consultations will be undertaken through fora or events that are specific to an activity taking place e.g., getting inputs from communities on a strategy or policy being developed.

Partner platforms and events: Key partners of projects being implemented will also have their own platforms that will be used to engage with stakeholders who participate in such fora. These will be leveraged to ensure that the project has a wider reach, uses innovative approaches to engage stakeholders and to minimize stakeholder fatigue. Specific focus will be placed on outreach and engagement with vulnerable and marginalised groups in an affirmative action measure to actively encourage participation in forums. In some cases, this will require additional capacity building and training to ensure the participation is meaningful and civil society capacity for inclusive engagement is built.

In all cases, UNDP will ensure that platforms, events, and fora are representative of different stakeholder groups, including civil society, women, youth and others.

***South-South and Triangular Cooperation (SSC/TrC)***

South to South and Triangular Cooperation will be facilitated through sharing of experiences with other countries implementing initiatives in geopolitical, social and environmental contexts similar and or relevant to the projects in Botswana. To bring the voice of Botswana to global and regional fora, the portfolio will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on Climate Change through regional programmes. The projects will also support and encourage SSTrC to ensure knowledge exchanges, technology transfers, peer support, and neighbourhood initiatives, as well as countries forming common development agendas and seeking collective solutions. The project will explore possibilities for South-South cooperation within the framework of the sectoral and intergovernmental networks in which Botswana participates.

***Knowledge***

Knowledge management will be a critical focus of the portfolio during implementation of the various projects as this promotes visibility while providing the linkages between implementation, policy making and Monitoring and Evaluation. All outputs under the various projects will rely on the improved co-generation, sharing and consumption of knowledge and knowledge products. This will include building the capacity of relevant ministries, district offices and local communities to improve the packaging and dissemination of new knowledge. Small scale farmers will also benefit from improved market information and strengthened value chains related to climate-resilient agricultural technologies, while communal livestock producers are expected to gain improved knowledge on rangeland management. Lastly, improved advisories are expected to contribute significantly to the knowledge of decision-makers and small-scale farmers on future climate impacts and adaptation options.

***Sustainability and Scaling Up***

The Portfolio is designed around the principles of sustainability and replicability. Firstly, all projects’ outputs will build upon existing government initiatives and programmes. The aim is not to create new institutions, entities or procedures that would require external funding beyond project implementation. All project outputs are aimed at strengthening the capacity of government and stakeholders particularly rural communities to adapt to the impacts of climate change. This capacity will be maintained in the long-term through: i) the establishment of training modules and by training relevant government staff on climate-resilient technologies and practices, ii) catalysing private sector to develop business models appropriate for the small-scale farmers, and iii) utilizing digital technologies to develop innovative solutions in support of ECC initiatives, facilitate communication, data collection analysis and management, and broader access to information, including broader access for vulnerable and marginalised groups that may otherwise not be able to participate. Capacity will be further maintained through the strengthening of knowledge generation and sharing, including the development of vertical and horizontal linkages between local communities and government. This strengthening will sustainably increase the overall capacity of local communities for climate-responsive planning and the implementation of adaptation measures.

The climate-resilient technologies and practices promoted through the various initiatives will also mitigate the reduction in food production and revenues that would otherwise occur as droughts increase in frequency and severity. The projects supported under the portfolio will also have positive impacts on the livelihoods of vulnerable groups and act as a powerful incentive to promote the continuous adoption of climate-resilient practices beyond the lifetime of the initiatives. This will be further supported by integrating the climate-resilient production into existing natural resources value chains. Lastly, private sector involvement, wherever possible, will ensure that successful technologies and practices implemented through the projects will be replicated and scaled up within a competitive market environment. Underpinning the overall sustainability of the abovementioned points will be a commitment from government and the beneficiary communities to the operations and maintenance of all physical interventions. Strengthened cross-sectoral linkages between ministries and local communities will also contribute to long-term monitoring of project impacts. In particular, the knowledge-sharing platform that will be established will enable the monitoring of differential successes of various adaptation measures. Such improved monitoring will enable the long-term adaptive management of climate change impacts in Botswana.

Scaling up is highly dependent on the buy-in and uptake of proposals and innovations by stakeholders beyond the immediate partners. Packaging and communicating successful activities and how they can be adapted to different situations will be key to promoting uptake and replicability. Recognition of best practices and rewarding champions with visibility in the private sector will also help promote uptake and scaling up.

# Portfolio Management

***Cost Efficiency and Effectiveness***

Efforts will be made to combine meetings of different initiatives or activities to minimize costs and reduce participant burn-out. Missions will be planned such that they can accomplish multiple purposes thereby reducing costs. Equally, missions and meetings of the projects will be planned and synchronized with those of other projects/programmes. A key cost- reduction measure that will be employed will be making use of partners’ already scheduled events to undertake planned activities such as consultations and trainings, instead of the project organizing its own events. These will, therefore, be denominated as the contributions of partners to project costs. Moreover, meetings, workshops and other project related events will be held virtually whenever this will not challenge the effectiveness and quality of outcomes.

***Portfolio Management***

The portfolio will be implemented by the Government of Botswana, largely through the Ministry of Environment Natural Resources Conservation and Tourism using support to National Implementation Modality (NIM). Project management responsibilities will be shared between MENT (through the Permanent Secretary or the Deputy Permanent Secretary) and UNDP (through the Resident Representative), while the day-to-day management of the projects will be undertaken by UNDP’s Programme Specialist: Environment and Climate Change, who is responsible for facilitating project planning and reporting. All activities will be specified in an Annual Work Plan that is developed for each year running January to December. For specific initiatives under the projects, UNDP technical expertise will be placed in the Government offices to provide strategic technical support to existing government personnel. Operational management of the project, such as procurement, will be undertaken using the UNDP procurement procedures, and managed by the UNDP Operations Manager. This will follow a procurement plan that is developed for each project’s annual work-plan.

| Multi-Project Portfolio Results Framework[[2]](#footnote-3) **Intended Outcome as stated in the UNDAF/country programme:** | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Outcome indicators as stated in the UNDAF/country programmes, including baseline and targets:** | | | | | | | | | | | |
| **Applicable Output(s) from the UNDP Strategic Plan:** | | | | | | | | | | | |
| **Portfolio Title and Atlas Portfolio Number:**  **Project Titles and Atlas Project Numbers of Constituent Projects:** | | | | | | | | | | | |
| **EXPECTED OUTPUTS** | **OUTPUT INDICATORS[[3]](#footnote-4)** | **DATA SOURCE** | **BASELINE** | | TARGETS (by frequency of data collection) | | | | | | DATA COLLECTION METHODS & RISKS |
| **Value** | **Year** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year …** | FINAL |
| **Output 1**  *Implementation of appropriate climate change adaptation and mitigation strategies are strengthened* | 1.1 Level of Emissions from Green House Gases | *MENT* | 81307 Gg of CO2 eq | 2010 |  |  |  |  | *2026* | 7346 Gg of CO2 eq | Department of Energy Progress Reports, Stats Botswana reports, National communications Reports |
| 1.2% of population with primary reliance on clean energy and technology | *MMGE* | *<10%* | *2021* |  |  |  |  | *2026* | 50%, on grid>30% | Department of Energy Progress Reports, Stats Botswana reports, National communications Reports |
| 1.3 Extent of ecosystem-based adaptation (EBA) criterion included in planning legislation and land use master planning guidelines***.*** | *MENT* | *Low* | *2021* |  |  |  |  | *2026* | High | MLWS reports and Integrated Land Use plans, Spatial plans, MENT Reports, MOA and MoFE |
| 1.4 Accurate and complete data on the contribution of climate change adaptation and mitigation is available and contributing to national reporting requirements |  | No | 2021 |  |  |  |  | *2026* | Yes | National and District Disaster coordination and preparedness reports, National Communication Reports, NDC Report |
| **Output 2**  Innovative and sustainable range and land management strategies are developed and implemented. | 2.1 # of livestock management associations implementing the range management strategies per district. |  | 3 | 2021 |  |  |  |  | *2026* | 5 | MENT, MOAFS, BITRI, National CSOs, UN, FAO  MENT |
| 2.2 % of farmers (disaggregated by gender, age and PwD) implementing climate smart agricultural principles and practice in non-irrigated crop production. |  | 20% | 2021 |  |  |  |  | *2026* | 50% |
| 2.2 Existence of a functional and integrated national climate information and disaster early warning system (contributing to IRRF 3.1) |  | *No* | *2021* |  |  |  |  | *2026* | Yes |
| ***Output 3***Biodiversity and wildlife resources are managed effectively. | 3.1 PA management effectiveness scores show a persistent increase year-on-year |  | *0* | *2021* |  |  |  |  | *2026* | 67% | MENT  Local CSOs and CBOs  UN and others: |
| 3.2 % increase in the number of local people employed in the wildlife economy (disaggregated by gender, age and PwD). |  | *tbd* | *2021* |  |  |  |  | *2026* | 50% |
| 3.3 % decrease in the incidence of poaching within and outside Protected Areas |  | *tbd* | *2021* |  |  |  |  | *2026* | 50% |
| **Output 4** Sustainable and fully integrated environmental management policies and strategies are implemented effectively | # of gender-responsive legislative frameworks with costed action plans to address environmental management challenges |  | *0* | *2021* |  |  |  |  | *2026* | 3 | MENT  CSOs: National CSOs  UN and others: FAO |
| % reduction in the volume of waste going to landfills. |  | *0* | *2021* |  |  |  |  | *2026* | 10% |
| # of District SEAs which are integrated into relevant local government planning tools |  | *0* | *2021* |  |  |  |  | *2026* | 5 |

# Monitoring And Evaluation

In accordance with UNDP’s programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

**Monitoring Plan**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Monitoring Activity** | **Purpose** | **Frequency** | **Expected Action** | **Partners**  **(if joint)** | **Cost**  **(if any)** |
| **Track results progress** | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the portfolio in achieving the agreed outputs. | Quarterly, or in the frequency required for each indicator. | Slower than expected progress will be addressed by portfolio management. | UNDP,  MENT |  |
| **Monitor and Manage Risk** | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk register. This includes monitoring measures and plans that may have been required as per UNDP’s Social and Environmental Standards. Audits will be conducted in accordance with UNDP’s audit policy to manage financial risk. | Quarterly | Risks are identified by portfolio management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. | UNDP  MENT |  |
| **Learn** | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the portfolio. | At least annually | Relevant lessons are captured by the portfolio team and used to inform management decisions. | UNDP  Programme Specialist, TA, MENT, private  sector partners, CSO, CBOs |  |
| **Annual Portfolio/Project Quality Assurance** | The quality of the portfolio will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the portfolio. | Annually | Areas of strength and weakness will be reviewed by portfolio management and used to inform decisions to improve portfolio performance. | UNDP |  |
| **Review and Make Course Corrections** | Internal review of data and evidence from all monitoring actions to inform decision making. | At least annually | Performance data, risks, lessons and quality will be discussed by the portfolio board and used to make course corrections. | UNDP, MENT |  |
| **Portfolio Report** | A progress report will be presented to the Portfolio Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk register with mitigation measures, and any evaluation or review reports prepared over the period. | Annually, and at the end of the project (final report) |  | UNDP, MENT |  |
| **Portfolio Review (Project Board)** | The portfolio’s governance mechanism (i.e., project board) will hold regular portfolio reviews to assess the performance of the portfolio and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the portfolio and its constituent projects. In the portfolio’s final year, the Project Board shall hold an end-of portfolio review to capture lessons learned and discuss opportunities for scaling up and to socialize portfolio results and lessons learned with relevant audiences. | Specify frequency (i.e., at least annually) | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified. | PSC, UNDP, MENT |  |

**Evaluation Plan[[4]](#footnote-5)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Evaluation Title** | **Partners (if joint)** | **Related Strategic Plan Output** | **UNDAF/CPD Outcome** | **Planned Completion Date** | **Key Evaluation Stakeholders** | **Cost and Source of Funding** |
| e.g., Mid-Term Evaluation |  |  |  |  |  |  |

# Multi-Year Work Plan By Project[[5]](#footnote-6),[[6]](#footnote-7)

*A separate, subsidiary multi-year work plan must be prepared for each project with an Implementing Partner.* ***Only the contribution by one project/IP should be present in any one subsidiary work plan.*** *Joint results are included in the joint Results Framework. All workplans together will yield the joint results framework. The respective work plans may be annexed to the project document. All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s).*

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **EXPECTED OUTPUTS** | **PLANNED ACTIVITIES** | **Planned Budget by Year** | | | | | **RESPONSIBLE PARTY** | **PLANNED BUDGET** | | |
| Y1 | Y2 | Y3 | | Y4 | Funding Source | Budget Description | Amount |
| **Output 1:** Implementation of appropriate climate change adaptation and mitigation strategies are strengthened  *Gender marker:2* | * 1. Support resource mobilisation efforts of departments and ministries towards climate change adaptation and mitigation | 40 | 80 | 40 | | 40 | UNDP/MENT/MMGE | GEF |  | 200 |
| * 1. Review, revision and formulation of key environment and energy related policies and/or strategies using an inclusive and participatory approach | 30 | 20 | 20 | | 20 | UNDP/MENT/MMGE |  | 80 |
| * 1. Facilitate multi-stakeholder dialogues and access to information on key policy issues in environment and energy sectors with support of a digital platform | 15 | 20 | 20 | | 20 | UNDP/MENT/MMGE |  | 75 |
| * 1. Support the design and implementation of a robust monitoring, reporting and verification system in close collaboration with the key actors in the industrial sector, in order to track trends in GHG emissions. | 0 | 50 | 20 | | 20 | UNDP/MENT/MMGE |  | 90 |
| * 1. Pilot clean and renewable energy solutions focusing on access to affordable and low-tech solutions for both vulnerable rural communities and urban consumers | 20 | 30 | 20 | | 30 | UNDP/MENT/MMGE |  | 100 |
| * 1. Improve collection, analysis, compilation and access to climate data and information for enhanced decision-making at all levels | 50 | 50 | 50 | | 50 | UNDP/MENT/MOA |  | 200 |
| * 1. Build capacity and support government institutions in their effective participation in and reporting to global environmental processes, platforms and negotiations using a human right based inclusive and participatory approach | 40 | 40 | 40 | | 40 | UNDP/MENT/MOA/MMGE |  | 160 |
| **Sub-Total for Output 1** | | | | | | | | | **905** |
| **Output 2:** Innovative and sustainable range and land management strategies are developed and implemented.  *Gender marker:2* | 2.1. Pilot new approaches in scalable land restoration and mixed livelihood systems aimed at improving range condition and flow of ecosystem services to support  livelihoods of local communities | 30 | 30 | 30 | | 30 | UNDP/MENT/MOA | GEF |  | 120 |
| 2.2. Support setting up of a multi-stakeholder forum for  mainstreaming SLM issues in  national and regional policies,  plans and strategies including capacity building for meaningful participation of vulnerable and marginalised groups in the forum | 10 | 10 | 10 | | 10 |  | 40 |
| 2.3 Pilot new approaches in fire management and support development of a digital solution for monitoring of range  condition and productivity | 20 | 20 | 20 | | 20 |  | 80 |
| 2.4 Improve access of small-scale farmers to markets for crops and livestock products | 0 | 50 | 50 | | 50 |  | 150 |
| Sub-Total for Output 2 | | | | | |  | |  | **390** |
| **Output 3:** Biodiversity and wildlife resources are managed effectively.  Gender marker:2 | 3.1. Support relevant Ministries to domesticate relevant international, regional policies and frameworks, and to mainstream inclusive environmental policies and programming. | 60 | 20 | 20 | 20 | | MENT/MLWS | GEF |  | 110 |
| 3.2 Support feasibility studies to inform natural resources management decisions | 15 | 20 | 20 | 20 | |  | 75 |
| 3.3 Conduct economic valorisation studies of key ecosystem services and develop associated value-chains | 10 | 25 | 25 | 10 | |  | 70 |
| 3.4 Develop project concept notes and proposals for area-based resilience projects | 20 | 20 | 20 | 20 | |  | 120 |
| 3.5 Document and package knowledge products from piloted initiatives | 20 | 20 | 10 | 10 | |  | 60 |
| Sub-Total for Output 3 | | | | | |  |  |  | **410** |
| **Output 4:** Sustainable and fully integrated environmental management policies and strategies are implemented effectively.  Gender Marker:2 | 4.1 Support development of an integrated environmental management strategy and action plan (undertake a waste feasibility study, identifying how to achieve best practice waste management e.g., waste-to-energy) | 30 | 25 | 10 | 10 | | MENT-DWMPC | GEF |  | 75 |
| 4.2 Support roll out of the integrated Waste Management Bill (IWMB) including value chains of waste management | 30 | 30 | 30 | 30 | |  | 120 |
| 4.3 Augment existing education efforts by designing and implementing an education and behavioural change campaign to reduce the quantity of recyclables in landfills e.g., waste separation/sorting facilities | 50 | 30 | 10 | 10 | |  | 100 |
| 4.4 Show case piloted environmental best practices through various media platforms (waste valorisation projects) | 5 | 5 | 5 | 5 | |  | 20 |
| 4.6 Support efforts of DWMPC and WUC in reuse of wastewater | 10 | 10 |  |  | |  |  |  | 20 |
| 4.8 Support private sector in market access for organic fertiliser from garden waste and wastewater sludge | 5 | 5 | 5 | 5 | |  |  |  | 20 |
|  | **Sub-Total for Output 4** | | | | | |  |  |  | 355 |
| **Evaluation** *(as relevant)* | **EVALUATION** |  |  |  | | 40 |  |  |  | 40 |
| **Output 5**: General Management Support | 5.1. Support project quality assurance | 10 | 10 | 10 | | 10 |  |  |  | 40 |
| 4.3. Attend special meetings and events organized by regional office, HQ or partners outside country for capacity development, planning and reporting | 10 | 10 | 10 | | 10 |  |  |  | 40 |
| 4.4. Resource events organized by partners | 10 | 10 | 10 | | 10 |  |  |  | 40 |
| 4.5. Resources, stationery, communication and equipment for offices in partner institutions | 5 | 5 | 5 | | 5 |  |  |  | 20 |
| Pay salaries for programme staff | 250 | 250 | 250 | | 250 |  |  |  | 1000 |
|  | **Sub-Total Output 5** |  |  |  | |  |  |  |  | 1180 |
| **PROJECT TOTAL BUDGET** |  |  |  |  | |  |  |  |  | **3,240** |

# Governance and Management Arrangements

The Permanent Secretary in the Ministry of Environment Natural Resources Conservation and Tourism (MENT) is the senior beneficiary, while UNDP Resident Representative is the Senior Supplier. They report the main results of the project to the National Project Steering Committee in line with monitoring and reporting progress of the UNCF.

The UNDP Programme Specialist for Environment and Climate Change is the Project manager, responsible for the day-to-day activities of the projects. The Programme will be supported by a Programme Analysist and a Finance and Administration Assistant. Additional support that may be required will be identified during formulation of the projects, considering its comparative advantages. The cost for services provided by the coordinating office will be covered by the project budget.

**Portfolio Project Board**

**Green Portfolio Organisation Structure**

**Senior Beneficiary**

*Permanent Secretary MENT*

**Senior Supplier**

*UNDP-Resident Representative*

*UNDP Programme Specialist*

*Waste Management Officer*

Programme Analyst

Finance & Admin. Assistant

Climate Change Project Manager

SLM Project Manager

Biodiversity Project Manager

Portfolio **Manager**

This role is appointed by the Portfolio Project Board to coordinate, on behalf of the Portfolio Project Board, the day-to-day collaborative efforts at the overall portfolio level. The portfolio manager plays a key role in implementing and coordinating the delivery of the programme and:

* Overseeing project teams who are part of the portfolio
* Will liaise with the Implementing Partners of the various projects in the portfolio
* Facilitating communication and coordination among projects that are part of the portfolio and beyond
* Compiling joint reports, with specific inputs from each project
* Preparing for and convening portfolio project board meetings
* Facilitating joint activities, as needed, and
* Coordinating and commissioning evaluations.

# Legal Context

**Option a. Where the country has signed the** [**Standard Basic Assistance Agreement (SBAA)**](http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date).   All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [Ministry of Environment and Tourism] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

# Risk Management

**Option a. Government Entity (NIM)**

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
2. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried.
3. assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.
4. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.
5. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml>.
6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).
7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a)UNDP Policy on Fraud and other Corrupt Practices and (b)UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner’s (and its consultants’, responsible parties’, subcontractors’ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

1. *Choose one of the three following options:*

*Option 1:*UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner’s obligations under this Project Document.

*Option 2:*The Implementing Partner agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Option 3:* UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

1. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
3. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

**Special Clauses***.* In case of government cost-sharing/financing through the project, the following clauses should be included:

1. The schedule of payments and UNDP bank account details.
2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.
3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.
4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.
5. All financial accounts and statements shall be expressed in United States dollars.
6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.
7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph [] above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.
8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

1. […%] cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
2. Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.
3. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
4. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.”

# ANNEXES

1. **Project Quality Assurance Report for the portfolio**
2. **Social and Environmental Screening Template**
3. **Risk Analysis**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **Description** | **Risk Category** | **Probability x Impact**  **=Risk Level** | **Risk Treatment / Management Measures** | **Risk Owner** |
|  | Leave no one behind:  The risk of the programmatic focus on digitalisation is that those who cannot access or afford internet or digital devices may be left behind and further marginalised from access to information and services. | Social and Environmental | P = 4  I = 3  RL: 12 | This risk will be tolerated since the benefits of digitalisation are potentially transformative and UNDP will continue to advocate for universal access to internet including for those in rural and remote areas and for people with disabilities and others with communication accessibility issues. | Programme manager |
|  | Inequalities– potential unintended consequences of increasing inequalities | Social and environmental | P=2  I=3  RL: 6 | UNDP will apply an inequality lens to its analysis, design and interventions to reduce the risk of investments in transformational change inadvertently widening these inequalities. UNDP will draw upon regional experts and the GPN for strategic and technical guidance. Consistent application of UNDP’s Gender Marker and Social and Environmental Standards and Accountability Mechanism will be important. |  |
|  | The integrated programme modality used for the implementation of this programme offers opportunity for better synergies, pooling of resources, greater efficiencies and a reduced coordination burden on implementing partners. However, the integrated programme approach also poses certain risks including lack of coherence in delivery and coordination which would defeat the purpose of an integrated approach. | Operational | P = 4  I = 4  RL = 16 | To mitigate this risk, clear roles and responsibilities, work planning and reporting and accountability arrangements will be agreed and overseen by Deputy Resident Representative, to ensure coordination and coherence, avoid gaps and duplications to maximize opportunities and synergies of the integrated approach. | Deputy Resident Representative |
|  | Human resources – availability of personnel with specific and scarce skill sets in a timely manner and the ability of UNDP Botswana to attract and retain the best talent. | Operational | P=3  I = 4  RL = 12 | Risk mitigation measures include reliance upon global, regional and local rosters of experts who can be recruited within a short time frame.  For UNDP to be prepared to lead complex system transformation it needs to build capabilities for system transformations, disruptions and institutional renewals, investing in partnerships and platforms that can yield data and insights which enable actors to explore the nature of future challenges and deliver collective solutions. | Programme manager |
|  | Change / turnover in Government including relating to general elections are scheduled for 2024 and may result in some change or turnover | Political | P=5  I=5  RL =25 | Political economy analysis will be conducted including close engagement with election platforms SONA budget and other indicators |  |
|  | Dis-engagement of key stakeholders and / or implementing partners or suspension or cancellation of activities or suspension of fundingdue to sensitivities of working in the human rights / governance space | Political | P=3  I=4  RL=12 | The programme engages with a range of sensitive human rights and governance issues at the international and domestic levels. A deeper engagement with civil society actors whos objectives may not always align with Government objectives may place pressure on relationships with Government implementing partners including the co-signatory to the programme document. This will require close management of relationships and clarity of roles and responsibilities and the programme strategy and theory of change in this programme document. UNDP will foster a broad range of external partnerships with organisations who can |  |
|  | Changes in legal and policy context that positively impact the programme objectives | Political | P=3  I=3  RL=9 | UNDP will enhance this opportunity by providing technical support as required to promote best practice and conformity with international standards. |  |
|  | Changes in the legal and policy context that negatively impact the programme objectives | Political | P=3  I=3  RL=9 | UNDP will mitigate the risk by adjusting planned activities accordingly. |  |
|  | DIM / NIM implementation modality / capacity of the implementing partners – UNDP Botswana Country Office operates under a national implementation modality (NIM) meaning that responsibility for implementation and delivery rests primarily with the implementing partners. However, the implementation capacity of implementing partners often results in direct implementation by UNDP, placing pressure on the UNDP procurement and operations systems and shifting the focus of support from capacity development and technical support to implementation support. | Organizational/ Strategic | P=5  I=3  RL=15 | UNDP has capacity development at its core, both for state and non-state partners, and is thus well positioned to scale or focus its support according to the capacities and/or capacity gaps of its main partners. Safeguards are in place to micro-assess and monitor implementing partners’ capacities and ensure a Harmonised Approaches to Cash Transfers (HACT) and Partner Capacity Assessment Tool (PCAT) such that the risk of partners being unable to absorb assistance is mitigated to the fullest extent possible.  The programme will be nationally executed and implemented through mutually agreed modalities based on the most efficient and cost-effective manner. High level national ownership and participation in governance and coordination mechanisms will be ensured from the programme inception. In cases where national execution is not possible, the modality may be replaced by direct execution to enable effective delivery of results and in response to force majeure. Harmonized Approach to Cash Transfers (HACT) will be used in a coordinated fashion with other UN agencies to manage financial risks. Cost definitions and classifications for programme and development effectiveness will be charged to the concerned projects. |  |
|  | Mindset shift and cultural change | Social | P=5  I=4  RL= 20 | The transformative change outlined in this Programme is bold and UNDP must be sensitive and cognisant of this in its design and roll-out of its portfolio, ensuring the participation of all through co-creation, providing a platform for dialogue and local leadership, and identifying and enabling the signals and levers of change. |  |
|  | Resistance to change Part of the Programme’s interventions focus on reforming laws, policies, programmes, systems and work practices, as well as challenging entrenched notions related to gender stereotypes, human rights and power structures. Achieving this change is a difficult and slow process, as there are often vested interests and entrenched differences of opinion. | Social | P=5  I=4  RL=20 | UNDP will identify ‘champions of change’ and conduct political economy analysis of the interests and motivations of key decision makers.  The programme will apply a ‘gender transformational approach’ that focuses on, i.a., changing attitudes and behaviours of strategically placed individuals in institutions (‘champions) and encouraging and creating opportunities for individuals to actively challenge gender norms. |  |
|  | Covid-19 or other pandemic – the covid-19 pandemic has already caused social, economic and political disruption, the imposition of a State of Emergency and various restrictions on movement and assembly as health and safety measures. | Safety and Security | P=5  I=2  RL=10 | UNDP will mitigate the risk through flexible programming including pivoting to virtual or hybrid meetings and engagements as required.  UNDP has adopted a flexible and agile approach, leveraging digital solutions, ways of working and systems to deliver results. Anticipatory decision-making, regular reviews and broadened partnerships accompanied by capacity development will strengthen resilience within the programme and minimize negative shocks. |  |
|  | Impact of covid 19 on human resources (UNDP and implementing partners) | Operational | P=3  I=3  RL=9 | UNDP will continue to monitor its business continuity plan to mitigate the risks of illness or absence of key staff due to covid-19 or other unanticipated events. The integrated approach to programme design will also allow better transfer of staff as needed between programmes to provide stop gap support as required. The programme activities will have in-built flexibility and adaptability to accommodate any absences of staff in implementing partners due to covid-19. |  |
|  | **Constraints on civic space –** one programme objective is to support the empowerment of civil society and any constraints on civic space including the operations of civil society organisations may impact programme implementation |  | P=5  I=3  RL=15 | Constraints may be legal, security and safety, financial or other resource constraints as well as restrictions on freedom of assembly, freedom of expression or freedom of movement, for example. |  |
|  | **Digital infrastructure constraints in implementing partners** |  | P=4  I=4  RL=16 | UNDP will mitigate the risk of lack of IT infrastructure, including internet, affecting programme delivery by making a budgetary allowance for providing this support as needed to enable accessibility. |  |
|  | **Resource mobilisation** |  |  | Due to upper middle-income status the existing resource mobilisation and financial strategies will be developed including non-state actors, private sector and non-state actors. |  |
|  | **Corruption** | Political | P=3  I=4  RL = 12 | UNDP will support digitalizing systems and processes to improve efficiency, transparency and accountability. Furthermore, UNDP will support public access to data and public education on the belief that empowered citizens can make informed decisions. |  |
|  | **Transition and exit strategy –** potentialdependency created in implementing partners where UNDP acts as ‘implementer’ with no defined exit strategy | Operational | P=3  I=  RL=6 | Communications with partners will be clear to ensure that the transition and exit strategy is well communicated and these elements are well integrated into the programme. |  |

1. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
2. **Portfolio Project Board Terms of Reference and TORs of key management positions**

The Project Board (also called Project Steering Committee) is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed*.*

Specific responsibilities of the Project Board include:

* Provide overall guidance and direction to the projects, ensuring they remain within any specified constraints;
* Address project issues as raised by the project managers;
* Provide guidance on new project risks and agree on possible mitigation and management actions to address specific risks.
* Agree on project manager’s tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the project manager’s tolerances are exceeded.
* Advise on major and minor amendments to the project within the parameters set by UNDP-GEF.
* Ensure coordination between various donor and government-funded projects and programmes.
* Ensure coordination with various government agencies and their participation in project activities.
* Track and monitor co-financing of projects.
* Review the project progress, assess performance, and appraise the Annual Work Plan
* Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
* Review combined delivery reports prior to certification by the implementing partner.
* Provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
* Address project-level grievances.
* Approve the project Inception Report and End of project Report corresponding lessons learned.
* Review the final project report package during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.
* Ensure highest levels of transparency and take all measures to avoid any real or perceived conflicts of interest.

The composition of the Project Board will include the following roles:

1. **Project Executive**: The Project Executive is Permanent Secretary (PS) in the Ministry of Environment Natural Resources Conservation and Tourism. The PS will chair the Steering Committee (PSC) which will be responsible for providing high level policy guidance for the project. It will also undertake management-related and technical decisions for the project. The PSC tasks will include inter alia approval of project plans, Annual Work Plans (AWPs) and any proposed revisions, in line with adaptive management and UNDP/GEF guidelines. The committee will ensure a continued cohesion between the projects and the mandate of the implementing partners. It will also provide additional linkages and interactions with high-level policy components within the Government. The PSC will approve the responsibilities of the PM and intervene when conflicts within the project and between project members arise.
2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often civil society representative(s) can fulfil this role. The Beneficiary representative (s) is/are:
3. Development Partner(s): Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the project.
4. Project Assurance: UNDP performs the quality assurance and supports the Project Boards and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed, and conflict of interest issues are monitored and addressed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. UNDP provides a three – tier oversight services involving the UNDP Country Offices and UNDP at regional and headquarters levels. Project assurance is totally independent of project execution.

1. Note: This document, including the signature page, may be customized as needed.

   2 The Gender Marker measures how much a project invests in gender equality and women’s empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality) [↑](#footnote-ref-2)
2. Multiple projects/IPs can contribute to the same output and can share the same indicators. UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project. [↑](#footnote-ref-3)
3. It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant. [↑](#footnote-ref-4)
4. Optional, if needed [↑](#footnote-ref-5)
5. Cost definitions and classifications for programme and development effectiveness costs to be charged to the projects are defined in the Executive Board decision DP/2010/32 [↑](#footnote-ref-6)
6. Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years. [↑](#footnote-ref-7)