



**INITIATION PLAN
FOR PROJECT PREPARATION GRANT (PPG)**

Project Title: Development of the Full-sized Regional Project titled “Support to the Cubango-Okavango River Basin Strategic Action Programme Implementation”

Countries: Angola, Botswana and Namibia

Initiation Plan Start Date: 25 November 2013

Initiation Plan End Date: 30th October 2014

Programme Period: 2010 – 2014
PPG Title: Development of the Full-sized Regional Project, titled “Support to the Cubango-Okavango River Basin Strategic Action Programme Implementation”
ATLAS AWARD ID: 00077088
ATLAS Project ID: 00088097
PIMS Project ID: 4755
Duration: 12 months
Management Arrangement: Direct Implementation (DIM) by UNDP Botswana

Total budget:	USD 260,000
Allocated resources:	USD 260,000
• GEF	USD200,000
• UNDP (Angola)	USD20,000
• OKACOM	USD10,000
• Govt of Angola	USD10,000
• Govt of Botswana	USD10,000
• Govt of Namibia	USD10,000

AGREED BY UNDP RESIDENT REPRESENTATIVE
Resident Representative *Jane M. Sibany* Signature *[Signature]* Date: day/month/year *22/11/2013*
DRR (P/O)

A. Brief Description of Initiation Plan

1. The overall goal of the full sized project is to strengthen the joint management and cooperative decision making capacity of the Cubango-Okavango River basin states on the optimal utilization of natural resources in the basin, with the aim to support the socio-economic development of the basin communities while sustaining the health of the basin ecosystems.

2. The full sized project has three components with the following outcomes:

Component 1 Basin Development and Management Framework: A shared long-term basin development vision and concept of a development space, and strengthened management framework including enhanced OKACOM mandates.

Component 2 Environmentally Conscious Livelihoods and Socio-Economic Development - Demonstration Projects: Environmentally-sound socioeconomic development piloted in the basin to allow the basin population to improve their socioeconomic status with minimum adverse impacts to and enhanced protection of the basin ecosystem. Replicable strategies to realize food security, inclusive growth, enhanced income generation, gender empowerment, climate change adaptation and resilient development in the basin, demonstrated through pilot projects.

Component 3 Integrated Water Resource Management: Basin's capacity to manage transboundary water resources based on the IWRM principles enhanced, supporting the Basin Development and Management Framework Harmonized assessment of water quantity and quality developed with agreed common objectives and standards

3. The Preparatory Phase, governed by this Initiation Plan, will commence November 2013 and will be completed no later than the end of October 2014. The main outputs of the Preparatory Phase include: 1) the fully developed full-sized project document, including the logframe, workplan, budget, M&E framework, and project governance structure, 2) Request for CEO Endorsement, 3) a complete set of co-financing letters supporting all co-financing indicated in the Request for CEO Endorsement Request, and 4) a partner coordination matrix that outlines major (transboundary) initiatives supporting the OKACOM and the implementation of the Okavango River Basin Strategic Action Programme.

4. The expected outputs of the Preparatory Phase will be attained through implementing the following activities in close consultation with OKACOM and its member states under the guidance of UNDP:

1. Review of technical documents and studies in key areas, including Decision Support System development, a concept note for the Payment for Ecological Services discussed at the Okavango Biodiversity Task Force, Water Audit study submitted to the OKACOM, a five-year SAP implementation plan of OKACOM (2012-2017), OKACOM institutional functional analysis.
2. Stakeholder consultation and identification, design and consensus on project activities.
3. Identification and preliminary design of pilot projects, including defining implementation and management measures for each pilot project.
4. Identification of co-financing projects/initiatives at both national and transboundary levels, development of a coordination matrix that outlines major (transboundary) initiatives supporting the SAP (NAP) implementation.
5. Development of the M&E framework for the project implementation.



6. Development of the project governance structure, including the identification of the GEF Executing Agency (or UNDP Implementing Partner) for the full-sized project, taking into account the outcomes and recommendations of the system-based audit conducted by SIDA for the OKACOM's executing capacity.
 7. Project document drafting in accordance with the UNDP-GEF template
 8. Request for CEO Endorsement Request drafting in accordance with the GEF template, including the Response Matrix for comments received from GEF Secretariat, STAP, and GEF Council members on PIF.
 9. Securing co-financing letters
 10. Validation workshop
 11. Finalization of the UNDP Project Document and GEF Request for CEO Endorsement and submission to GEF Secretariat for CEO endorsement
5. The expected timing of the submission to GEF Secretariat is August 2014 to secure the GEF CEO Endorsement by November 2014.

B. Project Preparation Activities

6. The baseline studies will include a detailed review of:
- TDA, SAP, and NAPs for all basin countries and its supporting documents prepared under the previous GEF intervention and UNDP follow-up support;
 - Reports and products of the USAID SAREP project, active since 2009 and scheduled to finish May 2015;
 - Past and planned SIDA support to the OKACOM secretariat; and
 - FAO basin water audit, completed in July 2013
 - GEF-financed SADC Groundwater Project Phase II (PIF) and SADC Water Sector Regional Strategic Action Plan
7. In addition, there are a few potential transboundary initiatives as well as numerous other relevant studies, of various scales, that have been undertaken and will have bearing on project design, particularly in the national context. Complementarities and synergies with potential co-financing projects will be explored during the preparatory phase. Identification of national initiatives will be guided by the OBSC members of respective countries.
8. Studies will be undertaken to identify the four different type of pilot projects in the region. This work will be done principally by national consultants and will involve site visits. In designing and selecting the pilots there will be an equitable distribution of responsibilities between the three basin countries.
9. Regarding the design of pilot projects on human/wildlife conflict, it is recognized that conflicts may increase with the promotion of wildlife tourism, if not managed property; thus, the project will support the development of human/wildlife conflict mitigation and management strategies. The UNDP-GEF will build on the ongoing USAID SAREP work in the development of the Management-Oriented Monitoring System (MOMS) which records incidents and helps identify hotspots and their causes.
10. The USAID SAREP project has provided the main technical assistance to the OKACOM Secretariat in the past three years and key areas of integration for the GEF project will be the development of the Decision Support System/Decision Framework, studies on Payment for Environmental Services,



the information Management System and the design of the pilot projects, based on what is outlined in the PIF.

11. Specific studies will be required for the development of the Payment for Ecological Services activity under component 1 and under the IWRM component 3, which will need to be tightly structured and linked to the national planning processes.

12. During the PPG stage, following the technical review of relevant documents and before drafting of the project document, consultations will be held with OKACOM and the key stakeholders in the three basin countries. It is important to obtain the national project perspectives, while still maintaining the project's transboundary focus, and taking account in the design of potential disparities. This is particularly important in component 3. Consultation will include both Government and Non-Government stakeholders as well as partner organizations. In addition there will be on-going consultations with potential co-funding partners throughout this period of project development.

13. During the preparatory phase, UNDP-GEF will work with the OKACOM secretariat to initiate the development of a monitoring and evaluation framework, including reporting procedures, for implementation of the SAP and component NAPs. It should be noted that this is not the same as the M&E framework to be produced for the GEF project as part of the project document (see below).

14. Every effort will be made to avoid overlaps and duplication of activities. During the PPG stage establishment of a partner coordination platform is envisaged with the aim of increasing the coordination capacity of OKACOM. A coordination matrix will be developed to show how different partners are complementary and provide optimal support and show where support gaps exist. This will be done initially over OKACOM's 5 year SAP implementation planning period (2012-2016). During the full sized project the matrix will be regularly updated with inputs by partners under the coordination of OKACOM¹.

15. Regarding the executing arrangement, it is proposed that the full-sized project will be implemented by OKACOM. During the PPG stage UNDP Botswana Country Office will assess OKACOM's capacity as per its rules and procedures set out for selecting a UNDP Implementing Partner. The findings and recommendations from the system-based audit which was undertaken by SIDA will inform this process.

16. A draft project document will be prepared fully in accordance with the requirements of UNDP-GEF and the GEF template. The elements will include:

- Project description
- Project Results Framework
- Monitoring and Evaluation Plan
- Sustainability plan
- Management Arrangements
- Stakeholder consultations
- Detailed project budget and work plan

¹ It is hoped that a multi-sectoral Investment Opportunity Analysis for the basin will be carried financed by the Cooperation in International Waters in Africa (CIWA). It will be fully integrated into the partner coordination matrix once CIWA's approval is secured.

JS

17. The draft document will be distributed to the stakeholders three weeks prior to a verification meeting. At the meeting the stakeholders will have the opportunity to comment and propose amendments to the draft document.

18. The final draft document will be submitted to UNDP-GEF by the end of July in time for country endorsement and submission to the GEF secretariat in August. GEF CEO endorsement is anticipated in November 2014.

19. The provisional workplan for the Preparatory Phase is as follows:

- November/December 2013 – Recruitment of the project development consultant(s)
- December 2013/January 2014 – Technical review
- February 2014 – Preparatory Phase Inception Workshop
- February 2014 – Preparation of SAP M&E framework plan and coordination matrix.
Establishment of coordination platform
- March 2014 – Pilot project site visits
- March 2014 – Stakeholder consultation in the three basin countries
- April/May 2014 - Draft project document prepared and submitted stakeholders
- June 2014 – Verification meeting
- July 2014 – Final draft document submitted to UNDP and countries
- August 2014 – Document submitted to GEF Sec.
- August –November 2014 - Responses to GEF comments
- November 2014 – GEF CEO endorsement

20. The timeline for the Preparatory Phase is limited; therefore, implementation will be undertaken by a consulting firm or consortia of firms with experience of GEF project preparation and the region. The contract will be awarded by the end of December 2013.

ds

Total Budget and Work Plan

Award ID:	00077088
Award Title:	Development of the Full-sized Regional Project titled "Support to the Cubango-Okavango River Basin Strategic Action Programme Implementation" (PIMS:4755)
Business Unit:	BTW10
Project Title:	Development of the Full-sized Regional Project titled "Support to the Cubango-Okavango River Basin Strategic Action Programme Implementation"
Project ID:	00088097
Implementing Partner (Executing Agency)	UNDP

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Total (USD)
Scoping and formulation of a UNDP project document for a GEF-financed project titled "Support to the Cubango-Okavango River Basin Strategic Action Programme Implementation"	UNDP	62000	GEF	71200	International Consultants	5,000	60,000	65,000
				71300	Local Consultants	0	85,000	85,000
				71600	Travel	0	25,000	25,000
				74500	Miscellaneous	0	5,000	5,000
				75700	Workshops	0	20,000	20,000
PROJECT TOTAL						\$5,000	\$195,000	\$200,000

MS