



Addressing Transboundary Concerns in the Volta River Basin and its Downstream Coastal Area

Detailed methodology for TDA finalisation and SAP development

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List of abbreviations and acronyms

Abbreviation	Definition
APNP-VRB	Action Plans for the National Parts of the Volta River Basin
EcoQOs	Ecological Quality Objectives
PMU	Project Management Unit
SAP	Strategic Action Programme
TDA	Transboundary Diagnostic Analysis
UNEP-GEF	United Nations Environment Programme – Global Environment Facility
UNOPS	United Nations Office for Project Support
VBA	Volta Basin Authority

1. Introduction

1. The “Addressing Transboundary Concerns in the Volta River Basin and its downstream coastal areas” Project is a joint initiative of the Governments of Benin, Burkina Faso, Cote d’Ivoire, Ghana, Mali and Togo. The project is funded by the Global Environment Facility (GEF), implemented by the United Nations Environment Programme (UNEP) and executed by the United Nations Office for Project Support (UNOPS).
2. The project is required to produce a final Transboundary Diagnostic Analysis (TDA) for the basin as well as a Strategic Action Programme (SAP) and corresponding Action Plans for the National Parts of the Volta River Basin (APNP-VRB).
3. The TDA is a scientific-technical baseline document, on the basis of the findings of which the SAP will be developed.
4. The SAP is a negotiated (between the basin states) action programme identifying activities and investments over an agreed period of time (usually 20 years), which address the priority problem areas identified in the TDA and are aimed at achieving the sustainable development objectives for basin agreed on by the governments and other stakeholders of the basin states.
5. This report provides a detailed methodology for the finalisation of the TDA for the Volta basin as well as the development of SAP for the basin and corresponding APNP-VRB for each basin state.

2. Proposed methodology for the development of TDA and SAP documents

2.1 Observations and guiding principles

6. This methodology for TDA gap filling and SAP development proposes a number of changes to the current project work plan and timetable. The proposed changes are based on the following observations:

2.1.1 *Combination of activities/ creation of synergies*

7. Based on an assessment of the products required to be delivered by the project and the corresponding budget it appears that available funding for TDA and APNP-VRB/ SAP development activities as well as stakeholder workshops etc. is tight. It is therefore essential that activities are combined wherever possible and appropriate in order to save costs and create synergies between different project activities.
8. The nature of the tasks (i.e. TDA finalisation, APNP-VRB/ SAP development) allows for, not to say requires, the combination of a number of activities in order to gain maximum benefit from stakeholder input, thereby creating synergies and costs savings as a by-product. See further details in section 2.1.2 and 2.1.3 as well as the TDA/ APNP-VRB/ SAP development work plan below.

2.1.2 *Parallel development of APNP-VRB and SAP*

9. The development of the Action Plans for the National Parts of the Volta River Basin (APNP-VRB) and the Strategic Action Programme (SAP) need to go in parallel. It is a characteristic of the APNP-VRB that they contain:
 - stand-alone national activities, and
 - the national component of basin-wide (SAP) activities
10. Given the inter-dependency between the respective APNP-VRB and the SAP it is not feasible to complete the development of the APNP-VRB (activity 2.2) before the completion of the SAP development (activity 2.3) as currently foreseen in the project work plan. Instead they need to be developed over the same time period and in the end be agreed on by the countries together with the SAP. This approach will also reduce the number of national and regional workshops required

and allow for more meaningful input from stakeholders (see 3.1.3 below).

2.1.3 Stakeholder participation activities and TDA, APNP-VRB/SAP development

11. The involvement of stakeholders in the development of the final TDA as well as the APNP-VRB and the SAP is a critical component to achieve buy-in and create the basis for the effective implementation of the APNP-VRB and SAP activities on the ground in the future. It is therefore recommended that the stakeholder involvement activities of the project (all activities under result area R 1.3 (p40/41) of inception report; and to some extent activities under result area R 1.2 (p.40 of inception report)) become closely aligned and integrated with the TDA finalisation and APNP-VRB/ SAP development.
12. In practice it is proposed that stakeholders are involved in the TDA finalisation process and APNP-VRB/ SAP development from the beginning and throughout the process in order to capitalise on the combined expertise of stakeholders and derive maximum benefit from their inputs.
13. In this context it is proposed (see description of detailed steps and work plan below) that the TDA finalisation and APNP-VRB/SAP development process run in parallel until the completion of the TDA (which will be before the completion of the APNP-VRB/SAP development). All national and regional stakeholder workshops conducted during this period are envisaged to be dual-purpose workshops where stakeholders give input to the TDA (as a technical document) as well as the APNP-VRB and SAP (as activity and investment plans).
14. Conducting such dual-purpose workshops has been successfully carried out in other basins (e.g. Okavango basin) and ensures that :
 - the scientific-technical document (TDA) benefits from stakeholder expertise and knowledge
 - the activities proposed for the APNP-VRB and SAP correspond meaningfully to the problem issues identified in the TDA
 - the APNP-VRB and SAP respond to stakeholder needs (incl. government plans and policies)
 - stakeholder fatigue resulting from too many meetings/ workshops is avoided
 - project funds are used most efficiently as TDA and APNP-VRB/SAP workshops are conducted separately and in isolation

2.1.4 Role of other regional initiatives

15. As described above the SAP is a comprehensive plan of activities and investments for the basin for the next (probably) 20 years.
16. It is therefore essential that other ongoing projects in the basin are consulted on an ongoing basis and their input is continuously sought in the development of the APNP-VRB and SAP in order to avoid overlap and create synergies.

2.1.5 Role of governments and VBA

17. The SAP and respective APNP-VRB ultimately need to be endorsed and signed by the governments of the basin states. Likewise, the implementation of the SAP and APNP-VRB is ultimately the responsibility of the basin state governments. It is therefore vital that the governments, through the designated Ministries, are continuously updated of the SAP development process and are part of the process on an ongoing basis. It is therefore highly desirable, not to say essential, that relevant government representatives are present at and provide input to the national and regional workshops.
18. VBA has been created as the responsible body where cooperation between the basin states takes place and pertinent basin management issues are discussed between the basin states. It is therefore also essential that VBA is continuously informed about the APNP-VRB/SAP development process and that VBA representatives are present at and provide input to the national and regional

workshops.

2.1.6 Linkages between TDA and SAP team

19. It is recommended that the APNP-VRB/ SAP development is undertaken by a team of consultants. One lead consultant should be appointed who has the responsibility of delivering the 6 APNP-VRBs and the SAP. The APNP-VRB/ SAP consultant should be supported by a team of regional experts (e.g. water resources management expert, socio-economic expert, governance expert) to ensure that an appropriate diversity of technical expertise is available for the APNP-VRB-SAP development.
20. Since the TDA and the APNP-VRBs/ SAP are closely linked and their development, according to this methodology, is undertaken partly in parallel, it is recommended that there are strong linkages between the TDA and the APNP-VRB/ SAP development team. Ideally at least one member of the TDA team should also be part of the APNP-VRB/ SAP development team.

2.2 Detailed steps

21. In line with the above observations and guiding principles, the following detailed steps are to be undertaken (see also below work plan and time table, indicating each of the methodological steps and required activities).
22. **Step 1: Contracting of consultants:** as an initial step the consultancies for the TDA integration team and the national TDA teams need to be advertised, the consultants selected and contracted in.
23. **Step 2: Detailed planning meeting:** following the selection process the TDA integration team, country team leaders of the national TDA teams and the PMU and other relevant project structures as determined by the PMU need to meet for an intensive planning meeting. Given the parallel development of the TDA and SAP and the important linkages between the two processes it is essential that the PMU and contracted consultants jointly develop a cohesive and structured approach to the development of the two documents. It is foreseen that the project structures at regional and national level (NFP, NIC) are playing a strong role in the practical coordination of the TDA and APNP-VRB/SAP development activities, particularly the relevant workshops etc.. The detailed planning meeting needs to ensure that a clear allocation of roles and responsibilities between project structures and contracted consultants and coordination lines with the PMU are agreed on in order to ensure maximum efficiency.
24. **Step 3: First round of national TDA workshops:** a first round of national stakeholder workshops in each of the six basin states will be conducted to provide input to the TDA finalization. In detail, the workshops function to gather stakeholder input on issues such as :
 - Get stakeholder input on problems identified in the preliminary TDA (are the issues still valid? have improved? have worsened?)
 - Identify possible new information/ data that has become available
 - Agree on possible stakeholder support to the country teams (provision of information etc.)
25. This will allow the country TDA teams to focus their activities and make use in the best possible way of the assistance and knowledge that stakeholders can provide.
26. **Step 4: Compilation of TDA information/ data and development of country reports:** with the input, guidance and assistance received from stakeholders the national TDA teams in all six countries, under the leadership of the country team leader and in consultation with the TDA coordinator, undertake the necessary studies and compile required information and data and prepare comprehensive draft country reports.
27. **Step 5: Contracting of SAP consultants:** the consultancies for the SAP development team need to be advertised, the consultants selected and contracted in.
28. **Step 6: First round of national SAP workshops:** a first SAP workshop will be conducted in

each basin state. This serves to gain stakeholder input for the development of an initial (probably very rough) list of activities required to address the identified problems. For this it is required that the SAP consultant develops an overview list of the identified problem areas in the preliminary TDA and activities identified in the pre-SAP. Stakeholders will then give their input on activities and investments that are required and feasible.

29. This ensures that the relevant stakeholders are part of the APNP-VRB/SAP process from the beginning and do not need to be brought on board only towards the end of the process, which would make obtaining their acceptance and buy-in more difficult. At the same time the initial list of activities will provide the SAP consultant with a good basis for compiling a matrix comparison of APNP-VRB activities in the respective countries and initial SAP activities based on that (see more detailed explanation under Step 7 below).
30. **Step 7: Development of APNP-VRB/SAP outlines, activity lists and preliminary project clusters:** in parallel to the development of the TDA country reports the APNP-VRB /SAP consultants will compile an initial activity list for each of the countries, based on the input from stakeholders at the national workshop¹. The initial activity list forms the basis for the first (rough) draft of the APNP-VRB.
31. The APNP-VRB/SAP consultant will develop a comparative matrix of the activity lists compiled in each of the countries. This will allow identifying issues occurring in each of the countries (or at least a number of them) and which thus could be included in the SAP. Based on the comparative analysis a first (rough) draft of the SAP will be developed, with the activities packaged in thematic clusters that allow for the subsequent development of project proposal for the implementation of these activities.
32. The initial APNP-VRB and SAP drafts will assist for more focused development of the APNP-VRB and SAP as they are refined in later stages of the process. They also assist in getting more detailed, structured and cohesive input from stakeholders during later workshops.
33. **Step 8: Evaluation of TDA country reports:** the draft country reports are submitted to and evaluated by TDA integration team – if and where information is still lacking or changes need to be made to the country reports the TDA integration team will task the country teams to address those issues with guidance from the TDA integration team.
34. **Step 9: Addressing review comments and filling remaining TDA information gaps:** the country TDA teams address the review comments received from the TDA integration team and fill remaining information gaps.
35. **Step 10: Development of draft TDA:** the TDA integration team develops the draft TDA with using the input from the six TDA country reports.
36. **Step 11: Second round of national workshop:** the second round of national workshops is conducted, again as dual-purpose workshops seeking input to the validation of the TDA and further input for the APNP-VRB/ SAP development.
37. At these workshops the respective TDA country reports and the draft TDA are presented to the stakeholders and their comments and input sought. At the same time prioritisation of transboundary problems (in a more aggregated format than in the preliminary TDA) is agreed on jointly with the stakeholders.
38. The draft APNP-VRB and SAP with initial thematic activity clusters are presented to the

¹ Note that it is an option, should that be required for budget reasons, that the APNP-VRB/SAP consultant does not attend all national workshops and instead provides supporting documents for the NFP to conduct the workshops. The workshop results (initial activity lists etc.) would then be submitted to the consultant for the development of the comparative matrix and APNP-VRB and SAP outlines.

stakeholders and, based on the prioritisation of transboundary problems in the TDA, further refined.

39. **Step 12: External review of TDA:** a review of the draft TDA by external technical experts is conducted.
40. **Step 13: Development of draft final TDA:** based on the input from the national TDA validation workshops and the external technical review the TDA integration team develops the draft final TDA for validation at a regional workshop.
41. **Step 14: Development of draft APNP-VRB and draft SAP:** Based on the stakeholder contributions from the second round of national workshops the APNP-VRB/ SAP consultant develops further refined draft APNP-VRB and SAP.
42. **Step 15: Regional TDA validation and SAP development workshop (incl. EcoQOs):** a regional stakeholder workshop (with stakeholders from all basin states as well as relevant regional stakeholders – e.g. VBA, other regional projects) is conducted as a dual-purpose workshop seeking input to the TDA and the SAP development workshop. This workshop serves to validate the findings of the draft final TDA and agree on a final prioritisation of transboundary problems (to which the final SAP will correspond).
43. Based on the agreed prioritisation in the TDA of transboundary problems the proposed (clustered) list of SAP activities will be further refined and developed into a cohesive list that adequately responds to the problems prioritised in the TDA.
44. Importantly, for the further development of the draft SAP, input from the regional stakeholders will be sought concerning additional regional issues that might not have been raised in the national workshops (e.g. ways to strengthen the role of VBA, other issues of regional integration that should form part of the SAP).
45. Lastly, the regional workshop will be used to agree on environmental quality objectives for the basin, which the SAP aims to achieve².
46. **Step 16: Finalization of TDA and submission for endorsement:** based on the final stakeholder input from the regional validation workshop the TDA integration team finalises the TDA and submits it to the PMU for endorsement by the six basin states.
47. **Step 17: Finalization of APNP-VRB and SAP:** based on the stakeholder input from the regional workshop the APNP-VRB/SAP consultant develops final drafts of the six APNP-VRB and of the SAP.
48. **Step 18: Third round of national workshops:** a third round of national stakeholder meetings is conducted. These workshops serve to validate the respective draft APNP-VRB and the draft SAP. Since the APNP-VRB is the national plan (including the national component of SAP activities) it is important to get national endorsement before submitting the final draft APNP-VRB and SAP for regional validation and endorsement.
49. **Step 19: Regional SAP validation workshop:** following the country level validation and endorsement the draft APNP-VRB and draft SAP are presented to regional stakeholders for final validation and endorsement. Should any further changes to any documents be required after the workshop these will be made by the APNP-VRB/SAP consultant prior to submitting the final draft APNP-VRB and SAP for the Ministerial Meeting.

² It is herewith noted that “traditional” GEF methodology focuses only on the development of EcoQOs. Increasingly though, there is an understanding that a SAP should also address social and economic problems as these contribute directly to environmental degradation. Hence, it is an option to identify social and economic objectives for the basin (and corresponding APNP-VRB and SAP activities) as well.

50. **Step 20: Ministerial SAP endorsement meeting and signing of SAP document:** a Ministerial Meeting will be conducted where the draft final SAP (and APNP-VRB) are presented for endorsement by all six basin states and subsequent signing of the SAP document by the Ministers.
51. **Step 21: Donor conference:** a donor conference is conducted where the signed SAP is presented to international donors and commitments for funding the various SAP components are sought³.

³ It is not clear from the project inception report whether or not conducting the donor conference is part of the project deliverables. As conducting the donor conference is regularly part of the project, it has been listed here as the final component of the methodology.

3. Annex: TDA and SAP development work plan

Step # of detailed methodology	Activities	2009				2010				2011				Comments
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1	Contracting of TDA integration team		T											
	Contracting of TDA country teams		T											
2	Joint planning meeting between TDA integration team, country team leaders, PMU and relevant project structures as determined by PMU (eg. NCU etc.)		T											
3	Organize 6 country TDA workshops		T	T										
4	National level information and data collection and progressive development of country reports		T	T	T									
5	Contracting of SAP consultants			S										
6	Organize 6 country APNV-VRB/ SAP workshops				S	S								
7	Development of initial APNV-VRB/ SAP outlines, activity lists and preliminary project clusters				S	S								
8	Evaluation of draft country reports by TDA integration team					T								
9	Addressing review comments of TDA integration team and fill remaining information gaps (if any)						T							
10	Development of draft TDA by TDA integration team						T							
11	6 national TDA validation workshops incl. prioritization of transboundary problems						X							combined national TDA validation and APNP-VRB/SAP development workshops
	6 national SAP development workshops						X							

		2009				2010				2011				Comments
12	Review of draft TDA by external technical experts							T						
13	Development of draft final TDA by TDA integration team							T						
14	Development of 6 draft APNP-VRBs and draft SAP						S	S	S					
15	Regional TDA validation workshop								X					combined TDA validation and SAP development workshop
	Regional SAP development workshop								X					
16	Submission of final TDA and country endorsement											T		
17	Finalization of draft APNP-VRBs and draft SAP									S	S	S		
18	6 national APNP-VRB/ SAP validation workshops											S		
19	Regional SAP validation workshop and development of final draft APNP-VRBs/ SAP for presentation at Ministerial Meeting											S		
20	Ministerial SAP endorsement meeting												S	
21	Donor conference												S	Not part of project?
	Integration of SAP into VRB work plan													

T = TDA activity

S= SAP activity

X = Combined TDA and SAP development activity