

**UNEP GEF PIR Fiscal Year 2010
(1 July 2010 to 30 June 2011)**

1. PROJECT GENERAL INFORMATION

Project Title:	Addressing Transboundary Concerns in the Volta River Basin and its Downstream Coastal Area
Executing Agency:	United Nations Office for Project Services (UNOPS) in close collaboration with UNEP DHI Centre for Water and Environment
Project partners:	<ul style="list-style-type: none"> • Volta Basin Authority • Direction Générale de l'Environnement (Ministère de l'Environnement et la Protection de la Nature) – DGE Bénin • Direction Générale de l'Eau (Ministère de l'Energie et de l'Eau) – DGEau Bénin • Direction Générale des Ressources en Eau (Ministère de l'Agriculture, de l'Hydraulique et des Ressources Halieutiques) DGRE Burkina Faso • Direction Générale de la Conservation de la Nature (Ministère de l'Environnement et du Cadre de Vie) DGCN Burkina Faso • Direction des Ressources en Eau (Ministère de l'Environnement des Eaux et Forêts) Cote d'Ivoire • Direction des Politiques Environnementales et de la Coopération (Ministère de l'Environnement des Eaux et Forêts) Cote d'Ivoire • Water Resources Commission (Ministry of Water Resources, Works and Housing) – WRC Ghana • Environmental Protection Agency (Ministry of Environment Science and Technology) – EPA Ghana • Secrétariat Technique Permanent du Cadre Institutionnel de la Gestion des Questions Environnementales (Ministère de l'Environnement et de l'Assainissement) - STP/CIGQE Mali • Direction Nationale de l'Hydraulique (Ministère de l'Energie, des Mines et de l'Eau) – DNH Mali • Direction de l'Environnement (Ministère de l'Environnement, du Tourisme et des Ressources Forestières) Togo • Direction Générale de l'Eau et de l'Assainissement – DGEA Togo • Interim Guinea Current Convention • Economic Community Of West African States/Water Resources Coordination Centre – ECOWAS/WRCC • EU Volta Project • Volta HYCOS Project • Projet d'Amélioration de la Gouvernance de l'Eau dans le Bassin de la Volta - PAGEV • Global Water Partnership /West Africa Water Partnership - GWP WAWP • Syndicat Interdépartemental pour l'Assainissement de l'Agglomération de Paris (SIAAP) France

Geographical Scope:	Regional/Multi-country (Africa)		
Participating Countries:	Benin, Burkina Faso, Côte d'Ivoire, Ghana, Mali and Togo		
GEF project ID:	1111	IMIS number^{*1}:	GFL/2328-2731-4957
Focal Area(s):	International waters	GEF OP #:	
GEF Strategic Priority/Objective:		GEF approval date*:	7 August 2006
UNEP approval date:	22 May 2007	First Disbursement*:	31 July 2007
Actual start date²:	31 July 2007	Planned duration:	48 months
Intended completion date*:	July 2011	Actual or Expected completion date:	December 2012
Project Type:	FSP	GEF Allocation*:	\$5,347,380
PDF GEF cost*:	\$497,500	PDF co-financing*:	\$151,000
Expected MSP/FSP Co-financing*:	\$10,871,231	Total Cost*:	\$16,867,111
Mid-term review/eval. (planned date):	Not planned yet	Terminal Evaluation (actual date):	N/A
Mid-term review/eval. (actual date):	N/A	No. of revisions*:	1
Date of last Steering Committee meeting:	07-08 April 2011	Date of last Revision*:	January 2009
Disbursement as of 30 June 2011*:	\$3,489,578	Date of financial closure*:	N/A
Date of Completion^{3*}:	N/A	Actual expenditures reported as of 30 June 2011⁴:	\$2,627,432
Total co-financing realized as of 30 June 2011⁵:	US\$ 2,939,829	Actual expenditures entered in IMIS as of 30 June 2011*:	\$1,862,833
Leveraged financing:⁶	Nil		

¹ Fields with an * sign (in yellow) should be filled by the Fund Management Officer

² Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

³ If there was a "Completion Revision" please use the date of the revision.

⁴ Information to be provided by Executing Agency/Project Manager

⁵ Projects which completed mid-term reviews/evaluations or terminal evaluations should attach the completed co-financing table as per GEF format.

⁶ See above note on co-financing and Glossary (Annex 1)

Project summary⁷	<p>This project for integrated management of the Volta River basin, titled “<i>Addressing Transboundary Concerns in the Volta River Basin and its Downstream Coastal Area</i>” has a primary focus on addressing the major environmental problems and issues of the basin causing degradation of the environment by human activities. The long-term goal is to enhance the ability of the countries to plan and manage the Volta catchment areas within their territories and aquatic resources and ecosystems on a sustainable basis. The Project has three main components with associated objectives identified by the root cause analysis carried out during the project preparation process: (i): <i>Build capacity and create a regional institutional framework for the effective management of the Volta Basin</i>; (ii): <i>Develop regional policy, legal and regulatory frameworks for addressing transboundary concerns in the Volta Basin and its downstream coastal areas</i>; and (iii): <i>Initiate national and regional measures to combat transboundary environmental degradation in the Volta Basin</i>. The activities to be undertaken will provide a strong foundation for the long term sustainable environmental management of the Volta Basin. A preliminary Transboundary Diagnostic Analysis (TDA) and a preliminary Strategic Action Programme have been prepared, and these serve as the basis for preparation of this project proposal. The full Global Environment Facility (GEF) project will update and expand the TDA, and will develop a regionally agreed SAP, following clarification of some aspects of the environmental status of the region as well as building grounds for SAP implementation. The project recognizes the complex and interlinked nature of Volta River basin and aims to develop a more sectorally-coordinated management approach, based on IWRM, both at the national and the regional level, with a strong emphasis on an expanded role for all stakeholders within a participatory management framework, especially the private sector. The Project will demonstrate in a replicable manner, integrated land and water management strategies. The demonstrations will stress the development of cross-sectoral management approaches which will address the requirements for institutional realignment and appropriate infrastructure; adoption of new modalities for sectoral participation; enhancement of regional capacity to manage the basin in a sustainable manner; linkages to the social and economic root causes of environmental degradation; and the overall need for sustainability</p>
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Project status FY2009⁸	<p>The project is fully up and running. The Project Management structure consisting of the Project Management Unit, the Regional Project Steering Committee, National Focal Points (institutional and operational focal points) and National Implementation Committees have proven to be effective in ensuring stakeholder involvement at all levels. Implementation of the Project is still largely on course, despite delays in the initiation of certain activities. Also, the project work-plan has been updated in order to address changes required and to keep it abreast with ongoing processes. Much effort is being put in establishing partnerships with other projects, programmes and organisations active in the Volta region in order to enhance project outcomes as well as ensure longer-term sustainability.</p> <p>Upon UNEP recommendation, the second Project Steering Committee meeting was postponed. After initial studies at national and regional</p>
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⁷ As in project document

⁸ Please include additional lines to keep prior year implementation status (if any)

	levels on stakeholder participation, information exchange and institutions, the project is in a position to undertake the TDA, which is a primary activity for the next reporting period.
Project status FY2010	Even if there was an initial delay in signing MOAs with riparian countries, the demonstration projects activities are ongoing: establishment of demo project management bodies, organisation of coordination meetings at national level, ongoing preparation of the inception reports by each country (including revue of demo logframe, work plan and budget), construction of wastewater network in Kara (funded by SIAAP). The Volta Basin Information Sharing System has been developed and national partners trained in its use and population in collaboration with the VBA. After initial studies at national and regional levels on stakeholder participation, information exchange and institutions, the project has initiated the process for TDA finalisation and draft TDA reports have been submitted by national consultants.
Project status FY2011	During the reported period, six national TDA reports have been drafted and reviewed by the PMU and TDA Regional Experts. In view of the regional TDA finalization, the causal chain analysis has been conducted and regional thematic reports on water resources, ecosystems, economy and governance are currently under review. The population of the VB ISS is still going on as planned and the project has contributed to support VBA coordination activities including the establishment of the observatory and implementation of joint activities with key project partners and capacity building activities (training and awareness creation). Despite the initial delays in starting the demonstration projects, their implementation is ongoing though there have been some challenges e.g. in Cote d'Ivoire (owing to security) and Benin (planning activities).
Planned contribution to strategic priorities/targets⁹	The project has been developed based on the GEF International Waters Focal Area- Strategic Priorities in Support of WSSD Outcomes. In particular, the following two priorities are listed: <ul style="list-style-type: none"> • Priority 2. Expand global coverage of foundational capacity building addressing the two key program gaps with a focus on cross-cutting aspects of African transboundary waters and support for targeted learning. • Priority 3. Undertake innovative demonstrations for reducing contaminants and addressing water scarcity issues with a focus on engaging the private sector and testing public-private partnerships. Although specifics on how the GEF Volta project will contribute to addressing these priorities are not stated in the project document, it is clear that most activities of the project fall within the categories of capacity building (in various forms) and demonstration functions (whether through actual demonstration projects or the development of guidelines).

⁹ For Full Size Projects this information is found in the front page of the project Executive Summary; for Medium-Sized Projects the information appears in the MSP brief cover page.

2. PROJECT OBJECTIVE

State the global environmental objective(s) of the project¹⁰

The project's overall objective is to enhance the ability of the riparian countries to plan and manage the Volta River Basin and its downstream coastal area (including aquatic resources and ecosystems) on a sustainable basis, by achieving sustainable capacity and establishing regional institutional frameworks for effective management; developing national and regional priorities; and effective legal, regulatory and institutional frameworks and management tools as a basis for action as well as initiating national and regional measures to achieve sustainable ecosystem management.

The Project has three main components with associated objectives identified by the root cause analysis carried out during the project preparation process and updated during the inception phase as follows:

- Specific Objective n° 1: Build capacity, improve knowledge, and enhance stakeholders involvement to support the effective management of the VRB
- Specific Objective n° 2: Develop river basin legal, regulatory and institutional frameworks and management instruments for addressing transboundary concerns in the Volta River Basin and its downstream coastal area
- Specific Objective n° 3: Demonstrate national and regional measures to combat transboundary environmental degradation in the Volta Basin

Please provide a narrative of progress made towards meeting the project objective(s). Describe any **significant** environmental or other changes attributable to project implementation. Also, please discuss any major challenges to meet the **objectives** or specific project **outcomes** (not more than 300 words)

1. **Specific Objective 1:** During this reporting period the Project Management Unit (PMU) was fully functional and has executed the project in close collaboration with the Interim Volta Basin Authority and with the support of key institutions/partners (National Focal Points, UNEP/DGEF, UNOPS KEOC). The 6 NOFPs appointed by national authorities have provided support to the National Project Coordinators to manage, on a day-to-day basis, the project activities at the country level. The effectiveness of their contribution was monitored by the PMU through the submission of monthly reports approved by the National Project Coordinators. The project staff was trained on UNOPS procedures, rules and regulations and also participated in the training workshop organised by UNOPS KEOC on UNOPS project management methodology and implementation. The 3rd Project Steering Committee Meeting was held in Lomé, Togo in April 2011 and participants were briefed on the status of the implementation of project activities planned for year 2010, the work plan and budget for 2011 and challenges faced by the project since 2008. Support was provided to the VBA for the review and editing of its strategic plan as recommended during the VBA Expert and VBA Council of Ministers meetings. Study reports were disseminated, and used by different project partners and also form a Framework for the TDA and SAP analyses. The project has developed and trained key partners on the Volta Basin Information Sharing System. As part of its collaboration plan with ongoing initiatives, the project has contributed and/or co-organised joint activities with the IUCN/PAGEV and, VB Observatory mainly. The project monitoring and evaluation plan was implemented as per the approved inception report. The main mandatory reports (2010 annual report, 2011 work plan, project implementation report) were prepared by the PMU and approved by the UNEP/DGEF and the PSC.
2. **Specific Objective 2:** The specific objective 2 of the project aims to finalize and agree on a geographically specific, quantitative TDA and contribute to the development of a Strategic Action Programme (SAP) and Action Plan for the National Parts of the VRB (APNP-VRB) that

¹⁰ Or immediate project objective

address issues of priority transboundary concerns. A transboundary diagnostic analysis is an important tool/approach that GEF has adopted towards the development of a Strategic Action Programme. This reporting period was mainly dedicated to the finalisation of the TDA document of the Volta River Basin both at national and regional level with a strong implication of major stakeholders involved in the sustainable management of water and associated environmental resources of the basin. The six national TDA reports drafted by TDA national teams were reviewed by the PMU and TDA Regional Experts. The national TDA validation workshops were held in Benin, Burkina Faso, Ghana, Mali and Togo and the 5 National TDA reports were completed and approved by the PMU and TDA Regional Experts. The national TDA Validation workshop could not be organised in Côte d'Ivoire because of the unstable situation during this reporting period. For each of the priority transboundary problems identified during the CCA workshop, a casual chain analysis was developed: immediate and underlying causes per sector, root causes, environmental impacts and socioeconomic impacts. Guidelines and outlines for TDA thematic reports and the TDA regional document have been updated and discussed with project partners. In view of the finalisation of the regional TDA document, 4 thematic reports on water resources, ecosystem, governance and economy prepared by regional experts are under review.

3. **Specific Objective 3:** Based on the revised Demo Projects documents, discussions with national partners and MOAs signed with countries, national project implementation bodies were established and are implementing the Demo Projects as per updated work plans and budgets. As result of a study funded by MCA Burkina Faso for the development of the early warning system in the framework of the Demo Project 1, the HEC-RAS model has been chosen as the hydrological model for flood forecasting including management, rehabilitation and management of the Lery Dam. Its adaptation to the project area is completed. Testing of the model is ongoing and MCA Burkina Faso will share the first results with key partners in July 2011 and organise training for partners from Mali and Burkina Faso shortly. National Partners in Mali have installed hydro-meteorological equipments and collection of data needed to run the hydrological model is ongoing. With regard to the Demo Project 2, the construction of the wastewater network in Ewawu area (Kara, Togo) funded by the SIAAP is about to be completed, there remains about 400 linear meters out of the 5000 linear meters planned. The report of the study on the appropriate technology for the construction of the small scale treatment plant and its connection to the network in Ewawu area has been reviewed and validated by SIAAP, the GEF Volta Project and Kara Municipality. This includes the review of scenarios and the selection of the appropriate scenario based on the specific context of Kara city. Also MOA has been drafted by the PMU based on UNOPS template and sent to SIAAP colleagues for review and comments. For the implementation of the Demo Project 2 in Benin, a field visit conducted in collaboration with IUCN/PAGEV, Benin National Water Partnership and the National Coordinator and discussions with local stakeholders led to the conclusion that the main concerns and priorities of local stakeholders are: protection of river bank, inadequate fishing practices mainly on the Burkina Faso side of the Pendjari river and, easy access to water and its optimisation for the development of agricultural activities. It is therefore suggested to adjust the project accordingly. To address these issues, the GEF Volta Project will undertake further consultations with IUCN/PAGEV, local stakeholders and national authorities in Benin and Burkina Faso. Basically the PMU envisages developing a code of conduct for the practice of fishery activities and extending PAGEV activities to national parts of the Volta Basin in Benin (protection of river banks, establishment of local water committees). As for the implementation of Demo 2 in Benin, discussions are ongoing with key partners, pending recommendations of the midterm evaluation. With regards to the Demo 3, activities were affected by the long rainy season that occurred in the region this year. In addition to that, the ongoing political situation in Côte d'Ivoire did not allow the implementation of the project activities as planned and this has affected the project implementation even on the Ghanaian side. Support was provided to national institutions in Ghana for a better understanding of key issues addressed by Demo 3. Communities have been organised and trained on how to control bushfire in Ghana. Several consultative meetings and discussions were organised and nurseries established on the Ghana side for subsequent planting in view of river bank protection (according to the project manager about 15000 seedling of different species. Planting activities are planned for the 2nd semester

of 2011.

Please provide a narrative of progress towards the stated GEF Strategic Priorities and Targets if identified in project document ¹¹(not more than 200 words)

Most of the GEF Volta Project activities contribute to addressing the two strategic priorities. Some of the key achievements in this regard are:

- Operationalization of the project: During the reported period the Project Management Unit (PMU) was fully functional and has executed the project in close collaboration with the Interim Volta Basin Authority and with the support of key institutions/partners (National Focal Points, UNEP/GEF, UNOPS KEOC)
- Training of NFP on UNOPS procedures, rules and regulation
- Implementation of collaboration framework signed with the VBA
- Volta basin convention entered into force and accord de siege signed between VBA and Burkina Faso government
- Development of the VB ISS and its ongoing population
- Support provided for the review and editing of VBA Strategic Plan
- Participation, contribution, organisation/co-organisation of joint activities (meetings, workshops, trainings) with project partners: IUCN/PAGEV, VB Observatory, WASCAL, GWSP, VBA, GCLME, etc.
- Regional TDA experts meetings and regional TDA thematic report under review
- Finalisation of national TDA reports
- Implementation of 3 Demo projects as per demo work plans and approved budgets

¹¹ Projects that did not include these in original design are encouraged to the extent possible to retrofit specific targets.

3. RATING PROJECT PERFORMANCE AND RISK

Based on inputs by the Project Manager, the **UNEP Task Manager**¹² will make an overall assessment and provide ratings of:

- (i) Progress towards achieving the project objective(s)- see section 3.1
- (ii) Implementation progress – see section 3.2

Section 3.3 on Risk should be first completed by the Project Manager. The UNEP Task Manager will subsequently enter his/her own ratings in the appropriate column.

3.1 Progress towards achieving the project objective (s)

Note: the project Mid-Term Evaluation was conducted simultaneously with the PIR process. The Evaluator’s assessment of progress towards the project objective has been added to the reporting template.

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
Objective 1: Build capacity, improve knowledge, enhance stakeholders’ involvement to support the effective management of the VRB							
Outcome 1.1: <i>Project Managed and coordinated to partners satisfaction</i>	Project management and co-ordination bodies established	None	PMU and all project organs operational and effective		<ul style="list-style-type: none"> • The PMU is fully functional and executing the project in close collaboration with the Volta Basin Authority and with the support of key institutions/partners (National Focal Points, UNEP/DGEF, UNOPS KEOC) • Participation of project staff in the training workshop organised by UNOPS KEOC on UNOPS project 	<ul style="list-style-type: none"> • The PMU was established in January 2008. • The PSC held its first meeting in May 2008 bringing together representatives from agencies responsible for environment and water resources. • The project task force was formed but subsequently disbanded as a standing structure in view of variable 	MS

¹² For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency.

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>management methodology and implementation (December 2010)</p> <ul style="list-style-type: none"> • 3rd PSC meeting conducted in April 2011. • Several meetings organised at national levels by the NIC (TDA process, National coordination, Demo project, etc) • Contractual agreement for UDC to provide technical assistance to the project signed in August 2010. 	<p>requirements and across themes and over time. Task force members provided input to the TDA process.</p> <ul style="list-style-type: none"> • A contract for technical support from UDC was concluded in August 2010, with four months support anticipated in total compared to 20 months anticipated in the original project document (TOR & budget). • MOUs were established with country partners in September and October 2008; National Coordinators (NCs), National Focal Points (NFPs) and National Operational Focal Points (NOFPs) have been established for each country. • National Implementation Committees have responded to specific tasks but the level of coordination between water resources and 	

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
						environment agencies remains limited.	
Outcome 1.2: <i>Capacity & participation of stakeholders in VRB management strengthened</i>	Ministries of environment and water resources are both represented in the Project Steering Committee		(None)	Ministries of environment and water resources participate in the project activities	For each riparian country, the ministries in charge of water and environment are represented at the PSC and NIC and are participating in the project activities	Both Ministries/agencies are represented at PSC level	S
	All relevant stakeholders participate in project activities and have access to project reports, publications, database, etc	Not existing	All stakeholders identified and their actions understood; MOUs developed to support key collaborations, e.g. VBA, EU Volta project, IUCN PAGEV project		<ul style="list-style-type: none"> List of key stakeholders, ongoing and planned initiatives updated. Stakeholders involved in project activities both at national and regional levels (TDA, trainings, demo project, PSC, NIC, etc.) NOFPs updated new /amended UNOPS procedures, rules and regulations Support provided to VBA for the editing of its programming document and the organisation/preparation of coordination meeting with key partners and first stakeholders forum 	<ul style="list-style-type: none"> Key stakeholders at the regional level have been identified and there is ongoing collaboration with the VBA. VBO and IUCN PAGEV project. In the case of VBA, this has been formalised through a signed collaboration framework. 3 national stakeholder reports were completed. 	MS

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<ul style="list-style-type: none"> • The collaboration with key project partners is ongoing and the project has contributed to, participated in and/or co-organised activities, workshops or meetings with GCLME, GLOWA, IUCN/PAGEV, Volta HYCOS, SIAAP, GWSP, WASCAL, IWMI, Volta Observatory project. • Support provided to IUCN/PAGEV for the review of its 2011 work plan and budget and 2010 annual report • Contribution to the preparation and facilitation of IUCN PAGEV 1st consultative forum of communities in the Oti River Basin held in Kara in November 2010 • Participation in IUCN/PAGEV and Volta basin Observatory steering committee meetings • Support provided to VBA to organise a study and 		

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>exchange visit to ORASECOM in January/February 2011</p> <ul style="list-style-type: none"> • Support provided to IUCN/PAGEV for the preparation of the 4th consultative forums of communities in the Black Volta (including training in monitoring tools to harness adaptive capacity of community to climate change) held in Tenkodogo (Burkina Faso) and Bolgatanga (Ghana) in October 2010 • The GEF Volta Project collaborated with IUCN/PAGEV and VB Observatory to organise the 2nd workshop on Sustainable Groundwater Resources Management held in Ouagadougou in August 2010 • Contribution to the preparation of the Global Water System Project (GWSP) conference on the Global dimension of changes in rivers basins: threats, linkages and 		

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					adaptation (6 – 8 December 2010, Bonn, Germany) <ul style="list-style-type: none"> • Project reports and information widely disseminated • Project leaflet and have been disseminated during the reported period as planned • The Project information brochures were developed (in English and translated to French) and distributed to countries, partners and during different meetings. • Radio and TV interviews held during the PSC meeting in Togo • ToRs for the documentary drafted and shared with identified/recommended producers and quotations received • The Project website was regularly updated during the reported period 		
	Institutions have the capacity to manage and	None	Existing data is inventoried and CHM	Countries contributing data to the	<ul style="list-style-type: none"> • The reports (national and regional) of the study on data inventory and 	<ul style="list-style-type: none"> • National and regional studies on existing data completed. 	MS

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
	monitor data in support of the implementation of SAP and APNP-VRB, and provide coordinated data transfer to VBA observatory		established	CHM	<p>assessment, including data sharing mechanism, training gaps and training plan were disseminated during the reporting period and used as guideline/reference for the preparation of regional TDA reports and other studies conducted by various partners at national and regional levels</p> <ul style="list-style-type: none"> • List of existing metadata within each country updated during the TDA process • Volta Basin Information Sharing System (VB-ISS) development discussed with key project partners • The population of the VB-ISS is on-going: the population is currently being done in coordination with VB Observatory based on information (meta data) available at the observatory (including those received from countries) 	<ul style="list-style-type: none"> • The CHM (VB-ISS) has been established but VBO has not yet confirmed whether it will use the UNEP DEWA platform. • Data is being compiled by the VBO 	

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
	Involvement of stakeholders in SAP and APNP-VRB process and roles detailed in SAP and APNP-VRB documents	None	Stakeholders contribute to the TDA process	Stakeholders have contributed to national and regional SAP processes	<ul style="list-style-type: none"> Plan for involving stakeholders in the TDA/SAP implemented and Stakeholders participated in national/regional TDA workshops, meetings, support to consultants for data collection, etc. Key stakeholders involved are: scientists, resources persons (water resources experts, environmentalists, lawyers, and economist, NGO, decentralised communities, etc. 	Stakeholder contribution to the TDA process has been limited (See section C3 of MTE)	MS
	National institutions have the capacity to implement the SAP and APNP-VRB	None	National institutions and partners understand the TDA and SAP processes	National institutions engaged in TDA and SAP processes and are positioned to implement the SAP	Workshops and meetings organised during the reported period provided an opportunity for knowledge sharing and exchange, including establishment of network between the GEF-Volta Project partners.	<ul style="list-style-type: none"> Training has been provided in the TDA and SAP process <p><i>Capacity to implement the SAP and APNP-VRB is not well represented by these targets</i></p>	MS
Outcome 1.3: <i>Knowledge</i>	VBA database developed and	No database	Equipment procured,	VBA database	<ul style="list-style-type: none"> Volta Basin Information Sharing System (VB-ISS) 	The VB-ISS platform has been developed and VBA	MS

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
<i>base expanded & basin-wide communication mechanism in place</i>	updated at regional and national levels	for VBA exists	development underway.	(CHM) developed by year 4 and functional	discussed with VBA Observatory <ul style="list-style-type: none"> The population of the VB-ISS is on-going: for the moment the population is done in coordination with VB Observatory based on information (meta data) available at the observatory (including those received from countries) Participation and contribution to different coordination meetings for the Observatory organised by the VBA 	has recently requested purchase of ArcGIS	
	Contributions to the establishment of regional Volta Basin Observatory completed and approved by the VBA	Volta Basin Observatory to be established, with funding by French GEF	Existing metadata understood and synthesized	CHM is functional and supports the observatory operations	CHM is functional and supports the observatory operations	<ul style="list-style-type: none"> The VBO has a metadata management system on 'GeoNetwork' open-source software. AFD is providing follow up 	MS
	At least 2 thematic studies carried out	Thematic studies to be identified will fill in		2 thematic studies carried out on water and related	Activity cancelled owing to similar work being undertaken by VBO with ADB funding	<ul style="list-style-type: none"> Resources reallocated: this work was expected to be undertaken by the ECOWAS/WRCU EU project. 	MU

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
		gaps identified by TDA and national experts		natural resources of the Volta River Basin by year 3		<ul style="list-style-type: none"> Draft studies are to be taken up by VBO with AFD support 	
Objective 2: Develop river basin legal, regulatory and institutional frameworks, and management instruments for addressing transboundary concerns in the Volta River Basin and its downstream coastal area							
Outcome 2.1: <i>VRB regional coordination mechanisms supported</i>	VRB Convention into force	Convention signed by the riparian countries	Convention ratified by at least 4 of the riparian countries	VRB convention enters into force and VBA functional	<ul style="list-style-type: none"> Importance of the VRB Convention and its ratification were discussed with high level authorities during different meetings and workshops 5 countries (Benin, Burkina Faso, Ghana, Mali and Togo) have signed and deposited the Ratification document Côte d'Ivoire is yet to ratify the convention 	The Convention entered into force in August 2009	HS
Outcome 2.2: <i>Transboundary Diagnostic Analysis (TDA) updated and finalised</i>	TDA revised, finalized and endorsed by the Project Steering committee	Preliminary TDA prepared under PDF-B phase of the project	TDA endorsed by the project Steering committee by the end of year 2	TDA endorsed by the project Steering committee and informing management	<ul style="list-style-type: none"> 4 thematic meetings organised per country in support to TDA national consultants Six national TDA reports drafted and reviewed by the PMU and TDA Regional Experts 5 of the 6 National TDA reports completed and approved by the PMU 	The TDA has not yet been finalised or endorsed by the PSC (by year 3.5)	MU

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>and TDA Regional Experts</p> <ul style="list-style-type: none"> • Causal Chain Analysis Workshop conducted in view of the Development of the Transboundary Diagnostic Analysis (TDA) of the Volta River Basin held in Akosombo, Ghana (31st August – 2nd September 2010) • 4 Thematic reports drafted by TDA regional experts: Ecosystems, Water resources, Governance and Economy. Review by the PMU is ongoing • ToRs drafted for the recruitment of a new TDA Team leader and posted on UNOPS web site • Investigations ongoing on the recruitment of TDA Team Leader • TDA regional experts meeting held in Ouagadougou Burkina Faso in April 2011: guidelines and outlines of regional reports were 		

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					discussed with TDA regional experts and updated, thematic reports were reviewed. Priority trans-boundary problems identified during the CCA workshop were also discussed		
Outcome 2.3: <i>Action Plans for the National Parts of the VRB (APNP-VRB) developed</i>	APNP-VRB finalised and endorsed at country level	IWRM plans at various stages of development for each country.	Methodology developed and agreed	APNP-VRB endorsed at country level by year 4	<ul style="list-style-type: none"> • APNP-VRB development including methodology and tentative work plan process discussed with VBA and national partners during TDA thematic meeting and national TDA validation workshops, CCA workshop and Regional experts meeting • Transboundary issues to be addressed by the APNP-VRB discussed during national/regional TDA meetings, workshops, CCA workshop and also in national TDA documents and regional thematic reports 	<ul style="list-style-type: none"> • The overall methodology for the SAP TDA process provides partial guidance for the APNP-VRBs • APNP development has not started 	MS
	Key inter-sectoral	Inter-sectoral	APNP-VRB methodology	Issues arising from	<ul style="list-style-type: none"> • The methodology used for TDA, development 	<ul style="list-style-type: none"> • <i>See above</i> The national TDAs 	MU

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
	transboundary issues identified and plan for sectoral harmonisation developed with relevant sectors and agreed for inclusion in IWRM process	harmonization as part of the IWRM process needed in all countries and ongoing and substantial work	includes IWRM considerations; stakeholders understand links between APNP-VRB and SAP processes and IWRM	APNP-VRB process highlighted for mainstreaming into national IWRM processes	<p>reflects IWRM principles and processes</p> <ul style="list-style-type: none"> • National IWRM issues analysed through governance analysis during the TDA process and summarised in the regional thematic report on Governance • IWRM plan finalised in the remaining 3 riparian countries: Benin, Togo, Côte d'Ivoire • Discussion undertaken with national partners on inter-sectoral transboundary issues identified during the TDA process and their integration in national IWRM plans 	provide a foundation for inclusion of IWRM issues	
Outcome 2.4: <i>Strategic Action Programme (SAP) prepared</i>	SAP drafted, finalized and endorsed at ministerial level (Water and Environment Ministers)	No SAP exists for Volta River Basin	Methodology for SAP process developed; national partners trained on TDA/SAP processes	SAP endorsed at ministerial level by the end of year 4	<ul style="list-style-type: none"> • Detailed methodology and work plan for SAP development discussed with VBA and national partners during TDA thematic meeting and national TDA validation workshops, CCA workshop and Regional experts meeting • Transboundary issues to 	<ul style="list-style-type: none"> • Detailed methodology and work plan for SAP development completed • National partners trained 	MU

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					be addressed by the SAP discussed during national/regional TDA meetings, workshops, CCA workshop and also in national TDA documents and regional thematic reports		
	Volta Basin Authority (VBA) adopts SAP into their work plan	Volta River Basin Authority established in 2007 but with no SAP to implement or other strategic planning of activities based on agreed priorities	VBA participates in and advocates for TDA/SAP process	Volta Basin Authority (VBA) adopt SAP into their work plan as mechanism for the implementation of the Volta River Basin Convention by the end of year 4	The VBA has been involved in the establishment and review of national TDA reports and regional thematic reports, national TDA workshops and meetings; Thematic and experts meetings, CCA workshop, updating of ToRs for TDA Team Leader, investigation for the recruitment of a new TDA Team Leader, review of guidelines and outlines for regional thematic reports and regional TDA document, discussions on methodology and work plan for SAP and APNP VRB, etc. for SAP.	<ul style="list-style-type: none"> • VBA Executive Directorate is involved in the TDA /SAP process • VBA collaboration framework includes commitment to endorse the project outcomes 	MS
Objective 3: Demonstrate national and regional measures to combat transboundary environmental degradation in the Volta Basin							
Outcome 3.1: <i>3 Demo Project</i>	3 Demo projects executed resulting in	None	Six demo project starting at the	Six demo projects executed by	Demo Project 1 • National project implementation bodies	<ul style="list-style-type: none"> • Five projects underway with three currently supported financially by 	MU

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
<i>successfully implemented</i>	stress reduction (see demo logframe) and analyzed for their replicability		beginning of year 2	year 4	<p>established in Mali, and functional.</p> <ul style="list-style-type: none"> • Support provided to project team in Mali during the inception phase • Inception report prepared by National partners in Mali, reviewed by the PMU and dissemination is on-going • Organisation of 2 coordination meetings with MCA Burkina Faso and national partners (Mali and Burkina Faso) for the implementation of the Demo Project • As result of a study funded by MCA Burkina Faso and discussed with key partners, the HEC-RAS model has been chosen as hydrological model for flood forecasting including management, and rehabilitation of the Lery Dam. • Adaptation of the hydrological HEC RAS model to the basin area 	<p>the GEF-Volta project.</p> <ul style="list-style-type: none"> • Progress in CI has stalled. 	

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>has been completed. Testing of the model is on-going and MCA Burkina Faso will share the first results with key partners in July 2011 and organise training for partners from Mali and Burkina Faso shortly. National Partners in Mali have installed hydro-meteorological equipment and collection of data needed to run the hydrological model is on-going</p> <ul style="list-style-type: none"> • GIS mapping of the project area in Burkina Faso completed and its extension to the project area in Mali discussed and planned with national partners and MCA Burkina Faso • Budget reallocation for bathymetric measurement in Mali side is on-going <p>Demo Project 2</p> <ul style="list-style-type: none"> • The construction of the wastewater network in Ewawu area (Kara, 		

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>Togo) funded by the SIAAP is on-going and 1300 linear meters were completed during the reporting period.</p> <ul style="list-style-type: none"> • The construction of the wastewater network in Ewawu area (Kara, Togo) funded by the SIAAP is about to be completed, there remains about 400 linear meters out of the 5000 linear meters planned • The Demo area (including constructed network and site identified for the construction of the treatment plant) was visited during a joint mission GEF Volta and IUCN/PAGEV. This offered the opportunity to discuss major water and environmental sanitation issues and plan awareness creation activities with local stakeholders • Field visit conducted in collaboration with 		

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>IUCN/PAGEV, Benin National Water Partnership and the National Coordinator and discussions with local stakeholders led to the conclusion that main concerns and priorities of local stakeholders are: protection of river bank, inadequate fishing practices mainly on Burkina Faso side of the Pendjari river and, easy access to water and its optimisation for the development of agricultural activities. It is therefore suggested to adjust the project accordingly</p> <p>Demo Project 3</p> <ul style="list-style-type: none"> • MOAs prepared and signed with the governments of Côte d'Ivoire and Ghana • National project implementation bodies established and functional. • Organisation of coordination meetings 		

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
					<p>with national partners in Ghana and Côte d'Ivoire for the implementation of the Demo Project</p> <ul style="list-style-type: none"> • Inception phase of the Demo project launched in Ghana and project partners mobilised for activities' implementation • In Ghana: Hotspot identified and being prepared for planting in collaboration with community committees established • In Ghana: Community awareness carried out at project hotspot and initial community entry discussion undertaken to establish community implementation committees <p>Demo Projects. Midterm evaluation³ Demo projects evaluated during the midterm evaluation of the overall project and field visits to project areas in Ghana and Togo</p>		
Outcome	Six national	None	Demonstration	Key issues	Not planned for the		MU

Project Outcomes	Indicator	Baseline	Mid-term target	End of Project Target	Project Manager Report 30 June 2011	Evaluator Report 30 June 2011	Rating
3.2 ¹³ : <i>Replication strategy for demonstration project developed and initiated</i>	Demo projects are prepared to be submitted to co-funding partners		projects underway	in demonstration projects have been identified and incorporated into a replication strategy	reported period		

Overall rating of project progress towards meeting project objective(s) (*To be provided by UNEP GEF Task Manager. Please include columns to reflect all prior year ratings*)

FY2009 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
S/MS	Regional components well underway with quality workplans and processes. Demonstration projects require additional technical support to get quality documents and workplans.
FY2010 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
MS	Regional activities, such as TDA/SAP process, now well underway. Some demos are still significantly delayed. This is common at this stage in a project (and therefore not too worrying), but it is highlighted here especially to focus effort on this during the next critically important year of implementation.
FY2011 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
MU	Implementation challenges (e.g. resignation of TDA Team Leader, security situation in Cote d'Ivoire, various challenges with demos) are now seriously impacting the progress towards achieving project objectives. An additional no cost extension of a year will be necessary to complete the TDA/SAP process and the demo projects.

Action plan to address MS, MU, U and HU rating (*To be completed by UNEP GEF Task Manager in consultation with Project Manager*)

Action(s) to be taken	By whom?	By when?
Following recommendations of the MTE, reallocate project resources to support TDA/SAP process as highest priority	PMU in consultation with partners	December 2011
Following the recommendations of the MTE, reassess the demo projects, scaling back in cases where it is unlikely projects can achieve objectives in remaining period	PMU	December 2011
Rapid recruitment of a new TDA Team Leader; Finalization of the TDA and start of the SAP processes to take place simultaneously so as to recoup lost time	PMU	2011 - 2012

This section should be completed if project progress towards meeting **objectives** was rated MS, MU, U or HU during the previous Project Implementation Review (PIR) or by the Mid-term Review/Evaluation (*To be completed by Project Manager*).

Problem(s) identified in previous PIR	Action(s) taken	By whom	When
Demonstration Projects – During next supervision visit, DGEF and PMU discuss plan for overcoming the remaining challenges with demos and recouping delays.	Demo implementation process accelerated and work plan updated and discussed with national partners, UNEP, PSC members and other key partners Updated demo work plans and budget implemented as planned Support provided to national partners during demo inception phase and when necessary.	Project Management Unit, VBA, National partners and Consultants	July 2010-June2011
Maintain momentum in TDA/SAP process	6 National TDA documents drafted and reviewed 5 National TDA document finalised and validated. The situation in Côte d'Ivoire didn't allow the validation of the national TDA document for the country CCA conducted and incorporated into the regional thematic reports 4 Draft Regional TDA thematic reports under review	Project Management Unit, VBA, National partners and Consultants	July 2010-June2011

3.2 Project implementation progress

Note: the project Mid-Term Evaluation was conducted simultaneously with the PIR process. The Evaluator's assessment of implementation progress has been added to the reporting template.

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
Objective 1: Build capacity, improve knowledge, enhance stakeholders' involvement to support the effective management of the VRB				
<i>Output 1.1: Project Managed and coordinated to partners satisfaction</i>				
Activity 1.1.1. Establish the Project Management Unit and governance system including: PMU, MOUs, PSC, PTF, NFP, NIC etc	Q2-2008	PMU completed- 100% Governance, MOAS, technical support – ongoing	<ul style="list-style-type: none"> - The PMU was established in January 2008. - The PSC held its first meeting in May 2008 bringing together representatives from agencies responsible for environment and water resources. - The project task force was formed but subsequently disbanded as a standing structure in view of variable requirements and across themes and over time. Task force members provided input to the TDA process. - A contract for technical support from UDC was concluded in August 2010, with four months support anticipated in total compared to 20 months anticipated in the original project document (TOR & budget). - MOUs were established with country partners in September and October 2008; National Coordinators (NCs), National Focal Points (NFPs) and National Operational Focal Points (NOFPs) have been established for 	MS

¹⁴ Planned completion dates are from on the 2010 PIR the extension of the project to December 2012

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
			<p>each country.</p> <ul style="list-style-type: none"> - National Implementation Committees have responded to specific tasks but the level of coordination between water resources and environment agencies remains limited. 	
Activity 1.1.2. Develop and implement project monitoring and evaluation plan	Continuous	100% of activities planned for the reported period; M&E plan developed, approved by PSC and currently under implementation	<ul style="list-style-type: none"> - An M&E plan with an accent on reporting was developed as part of the project Inception Report, and is being implemented. 	MS
Activity 1.1.3. Identify linkages with other partners, develop and implement collaboration plan	Continuous	<p>Ongoing</p> <p>100% of activities planned for the reported period; Collaboration with key partners on-going as discussed and planned. The project continues to follow up and when necessary strengthen the initiated collaboration arrangement. VBA has remained the coordinating body for this collaboration</p>	<ul style="list-style-type: none"> - National and regional studies of institutions and on-going initiatives were completed in 2009. There have been on-going discussions with a range of actual and potential partners at regional, national and demonstration project level. - A collaboration framework was signed between the project and the VBA in 2009 and the project was appointed to and signed the framework for the technical and financial partners' consultative group of the VBA in April 2010. There is no specific plan for this collaboration. - The project has worked closely with the IUCN-PAGEV project that is active in 3 basin countries; - Some anticipated collaboration activities were scaled back and budgets reassigned. 	S
Activity 1.1.4. Carry out project reports (inception)	Continuous	<p>Ongoing</p> <p>PIR, Annual reports (2008, 2009, 2010)</p>	<ul style="list-style-type: none"> - The inception report, annual workplans and budgets, detailed annual reports, and PIRs have been completed. While half yearly 	S

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
report, Half Yearly and annual reports)		work plan & budget: completed (100%); Reports prepared as planned and widely disseminated.	reports have not been completed, there has been regular internal reporting to UNOPS and UNEP since the beginning of 2011	
Output 1.2: Capacity & participation of stakeholders in VRB management strengthened				
Activity 1.2.1. Conduct training on TDA/SAP process for NFPs	Q3-2008	Completed (100%)	- Training was conducted in September 2008 with NPCs, NOFPs and task force members, based on IW:Learn Modules.	S
Activity 1.2.2. Analysis of national institutions and stakeholders and preparation of stakeholders involvement plan	Dec-2008	The preparation of the stakeholders' involvement plan is no more part of project activities. This will be developed by the VBA in the framework of its strategic plan.	Activity closed but only partially delivered (60%) - Six national and one regional report on institutional and ongoing initiatives were completed in late 2009. - Stakeholder analysis and engagement plans were completed by national consultants for just 3 countries (Burkina Faso, Mali and Togo); the remaining 3 reports and regional report were cancelled after over a year's delay. - <i>The VBA is expected to pursue development of the stakeholder involvement plan in the framework of its strategic plan and the project is continuing to collaborate with VBA in this area.</i>	MS
Activity 1.2.3. Conduct training sessions for national	Q2-2009	90% of activities planned for the reporting period completed, notably: Contribution/participation to training and awareness workshops organised by	- The project has contributed to a wide range of training and awareness workshops organised by IUCN/PAGEV, the VB Observatory and VBA.	MS

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
institutions and stakeholders on IWRM and IRB management		IUCN/PAGEV, EU Volta, VB Observatory and VBA TORs prepared for training on IRBM and IWRM. Additional training on hold pending the recommendations of the midterm evaluation	- Support was provided to VBA for a Study and Exchange visit to ORASECOM (Orange-Senqu River Commission) in South Africa in early 2011.	
Activity 1.2.4. Conduct training sessions for national institutions on data management and monitoring and, clearinghouse system	Q3-2009	100% Completed No activity planned for the reported period	- Training on the VB ISS was organised on Ouagadougou with the support of UNEP/DEWA in March 2010.	S
Activity 1.2.5. Conduct training on SAP implementation at national and regional levels	Q4-2011	0% N/A, Not planned for the reported period	- <i>This activity is pending development of the TDA and SAP and is likely to be delayed by at least 18 months.</i>	N/A
Output 1.3: Knowledge base expanded & basin-wide communication mechanism in place				
Activity 1.3.1. Conduct study on data inventory and	Dec-2008	Completed (100%) • Study result used for the establishment	- Six national reports and a regional report were completed in December 2008 - The study was used to inform the process to	S

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
assessment		<p>of the VB ISS</p> <ul style="list-style-type: none"> • Study result used by VB Observatory, national partners and national/regional consultants for the finalisation of the TDA • Information related to existing Metadata categories & data hosting institutions updated during the TDA process, shared with VB Observatory and mechanism for the circulation of data and information at national and regional levels discussed with partners during the training on VB ISS. 	<p>establish the VB-ISS. Results have also been used by the national and regional consultants involved in preparation of the TDA</p>	
Activity 1.3.2. Develop hydrological and coastal hydrodynamic model of the Volta basin and its Downstream Coastal Area	June 2010	N/A, This activity has been transferred to the VB Observatory at the end of the EU Volta project and IUCN is providing support to VB Observatory in that regard	<p>10% delivery</p> <ul style="list-style-type: none"> - The modelling work was expected to be taken up under the ECOWAS EU project but was not completed. There is an understanding that this work will be taken up by the VBO. - The GLOWA Volta project can be expected to contribute to better understanding of factors influencing the hydrological cycle. 	MU
Activity 1.3.3. Carry out thematic study on relations between catchments area and stream flow	Q2-2010	N/A; As result of coordination discussions undertaken with the VBA and the EU Volta project, it has been decided to develop the hydrological model and carry out the thematic studies through the implementation of the EU Volta Project and also in framework of the Volta Basin Observatory activities	<p>0%</p> <ul style="list-style-type: none"> - As above 	MU

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
Activity 1.3.4. Carry out thematic study on the relations between Volta basin and its Downstream Coastal Area, using ICARM concept	Q2-2010	N/A; As result of coordination discussions undertaken with the VBA and the EU Volta project, it has been decided to develop the hydrological model and carry out the thematic studies through the implementation of the EU Volta Project and also in the framework of Volta Basin Observatory activities	0% - As above	MU
Activity 1.3.5. Support and/or contribute to studies on the establishment of the Volta Basin Observatory through database, data collection and data sharing protocol	Continuous	Ongoing; The project has contributed to 100% of activities planned in the framework of the VB Observatory. Population of the VB ISS is on-going as planned	- The VBO was established by the VBA. The GEF VRB project is one of severable projects and initiatives providing support for development a data exchange platform and collection and compilation of data; - A platform for Volta Basin Information Sharing System (VB-ISS) is hosted by UNEP http://unepdewaags.unep.org/vbiss3/ - The VBO has yet to decide whether to use the CHM platform proposed by UNEP DEWA and has recently launched a 'Geoportal' with GLOWA Project support.	MS
Activity 1.3.6. Organize one scientific workshop in collaboration with UNESCO	Q3-2011	N/A This activity has been cancelled	- This activity was cancelled in 2009 and funds reallocated.	N/A
Activity 1.3.7. Develop and update project website	Continuous	Ongoing Website updated as planned	- The project website was created and is now hosted by the IW:Learn site that also provides background information on the VRB project on its project database. Some information is dated and there are no recent	MS

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
			updates as a result of technical issues with the IW:Learn platform - See also Section C3 of the Evaluation	
Objective 2: Develop river basin legal, regulatory and institutional frameworks, and management instruments for addressing transboundary concerns in the Volta River Basin and its downstream coastal area				
Output 2.1: VRB regional coordination mechanisms supported				
Activity 2.1.1. Advocate at Ministerial level and through project meetings, workshops and reports, the importance of ratifying the basin convention	Q4-2009	100% VB convention entered into force in 2009	- The VB convention entered into force on 14 August 2009, and has been ratified by all the basin countries except Côte d'Ivoire. - <i>The GEF VRB project has played only a limited role in this process.</i>	S
Activity 2.1.2. Insert and mainstream the TDA, SAP and APNP-VRB into the VBA policies, strategies and plans	Dec 2011	VBA fully participates in the TDA/SAP process	- The collaboration framework signed with the VBA in 2009 anticipates endorsement of the GEF VRB Project activities and outcomes by the VBA - The VBA has been involved in the TDA/SAP process through its executive secretary and national focal points and submitted a letter agreeing to the process in April 2009. - <i>There is potential to explore and programme closer linkages and synergies between the VBA statutory process and TDA endorsement</i>	MS

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
			<i>and SAP process</i>	
Output 2.2: Transboundary Diagnostic Analysis (TDA) updated and finalised				
Activity 2.2.1. Review the preliminary TDA, identify gap and prepare detailed methodology for TDA finalisation and SAP/APNP-VRB development	Dec 2008	Completed (100%)	<ul style="list-style-type: none"> - The review of the preliminary SAP was completed in December 2008, with other African SAPs used to provide a benchmark. - The methodology for TDA finalisation was completed in December 2008 and includes useful suggestions for running an overlapping TDA and SAP Process. 	HS
Activity 2.2.2. Organize starting regional/national workshops with national, regional and international institutions and stakeholders	Q2-Q3-2009	100% completed Not planned for the reported period (completed in Q1 2010)	<ul style="list-style-type: none"> - A regional TDA planning workshop was organised in December 2009 and National TDA workshops were organised in each VRB country in the first quarter of 2010. 	MS
Activity 2.2.3. Update and complete the TDA document including situation analysis and	Dec 2010	Ongoing (80%) <ul style="list-style-type: none"> • National TDA reports finalised & national Validation workshops held in Benin, Burkina Faso, Ghana, Mali and Togo • Causal Chain Analysis completed 	70% completed <ul style="list-style-type: none"> - Detailed guidelines for the national and regional reports were prepared. - Final drafts of the national TDA reports were completed some six months later than expected in November and December 2010 	MU

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
causal chain analysis		<ul style="list-style-type: none"> • Preparation of the regional TDA Document is ongoing • 4 Thematic reports drafted by TDA regional experts • TDA Team Leader has resigned and investigations are ongoing for his replacement by late July 2011 	<p>after an extended review process that reflected the variable quality of the first drafts.</p> <ul style="list-style-type: none"> - These reports, with additional information from previous regional initiatives are considered an adequate basis for developing the regional reports. - National validation workshops were organised in five countries in late 2010; the process of political change made this impracticable for Côte d'Ivoire, - The Causal Chain Analysis (CCA) workshop was held in August/September 2010 - The consultant responsible for producing the overall TDA resigned in early 2011 and a replacement is being recruited by UNOPS. - A regional TDA experts' workshop was organised in May 2011. - Thematic reports on economic development, ecosystems, governance and water resources have been drafted and are being reviewed by the RPC. - <i>Completion of this activity is expected to be delayed by 9-12 months, having already been extended by 12 months in 2010</i> 	
Activity 2.2.4. Organize validation regional workshop with national, regional and international	Dec 2010	N/A for this period	<p>25%</p> <ul style="list-style-type: none"> - Preliminary plans have been made to hold the regional validation workshop in October 2011, though timing may prove ambitious. - <i>Completion of this activity is expected to be delayed by 9-12 months, having already been extended by 12 months in 2010</i> 	MS

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
institutions and stakeholders				
Activity 2.2.5. Submit the TDA document to the PSC and VBA for approval	March 2011	0% N/A for this period	- <i>Completion of this activity is expected to be delayed by 9-12 months, having already been extended by 12 months in 2010</i>	MU
Output 2.3: Action Plans for the National Parts of the VRB (APNP-VRB) developed				
Activity 2.3.1. Organize 6 workshops at country level (with national institutions and stakeholders) as input to the APNP-VRBs elaboration	Q1-2010	N/A for this period	0% - This activity has not started pending completion of the TDA	MU
Activity 2.3.2. Prepare the National Action Plans documents, including APNP-VRBs implementation guideline, monitoring & evaluation system for APNP-VRBs	Q4-2010	N/A for this period	0% - This activity has not started pending completion of the TDA	MU

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
implementation , long term financing strategy for the APNP-VRBs				
Activity 2.3.3. Organize APNP-VRB validation workshops in each riparian country	Q4-2011	N/A for this period	0% - <i>Completion of this activity is expected to be delayed by 9-12 months, having already been extended by 12 months in 2010</i>	MU
Activity 2.3.4. Submit APNP-VRB document to national authorities for endorsement	Q4-2011	N/A for this period	0% - <i>Completion of this activity is expected to be delayed by 9-12 months, having already been extended by 12 months in 2010</i>	MU
Output 2.4: Strategic Action Programme (SAP) prepared			.	
Activity 2.4.1. Organize starting regional/national workshops with national, regional and international institutions and stakeholders	Jan 2011	N/A for this period	0% - <i>Completion of this activity is expected to be delayed by 9-12 months, having already been extended by 12 months in 2010</i>	MU
Activity 2.4.2. Prepare the Strategic Action Programme	Q4-2011	N/A for this period	0% - <i>Completion of these activities is expected to be delayed by 12-18 months</i>	MU

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
document, including SAP implementation guideline, monitoring & evaluation system for SAP implementation , long term financing strategy for the SAP				
Activity 2.4.3. Organize validation regional workshop with national, regional and international institutions and stakeholders	Q4-2011	N/A for this period		N/A
Activity 2.4.4. Submit the SAP document to: i) the Steering Committee for approval and, ii) Ministers in charge of Water and Environment	Q4-2011	N/A for this period		N/A

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
for the endorsement (ideally in conjunction with RBO Ministerial meeting)				
Objective 3: Demonstrate national and regional measures to combat transboundary environmental degradation in the Volta Basin				
Output 3.1: 3 Demo Project successfully implemented			- <i>The completion date on all but activity 3.1.1. was extended by 12 months in 2010</i>	
Activity 3.1.1. Review and update demo project documents (logframe, activities, budget, M&E plan and work plan) and prepare inception reports	Dec 2008	Completed in Q1-2009	Completed - Detailed reviews and updates of the project documentation for each of the demonstration projects were completed in 2009 based on field visits to the sites, taking recent developments into account. The PMU has reported that the work was affected by lack of engagement of national authorities. Nevertheless validation workshops were successfully organised in 2009. - Further adjustments were made to DP1 and DP2 in 2009 based on developments in the first half of the year (<i>See below</i>).	MS
Activity 3.1.2. Implement the Demo project no 1: Joint management by Burkina Faso and Mali of a flow release	Dec 2012	90% of activities planned for the reported period <ul style="list-style-type: none">• HEC-RAS model adapted to project area and testing ongoing• Hydro-meteorological installed in Mali and data collection ongoing in the 2 countries	25% - Activities planned in Burkina Faso were integrated into a wider MCA initiative to support water resources management. - Most of the budget was reallocated to Mali in the framework of the MOA signed for the DP 1 implementation - An MOU was signed with the Government of	Mali: MU BF: N/A

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
warning system in the Sourou river valley (tributary of Black Volta River or Mouhoun)			<p>Mali in May 2010</p> <ul style="list-style-type: none"> - Field activities in Mali got underway in May 2011 with installation of monitoring equipment purchased by the earlier HYCOS project. - The MCA supported work in Burkina Faso is well advanced. - A coordination meeting with the different actors was organised in October 2010 but there is need for follow up to secure firm agreements related to sharing of information and model results 	
Activity 3.1.3. Implement the Demo project no 2: Installing and comparing technological models of waste water treatment in the Cities of Kara (Togo) and Natitingou (Benin)	Dec 2012	<p>80% of activities planned for the reported period</p> <p>As explained in the section 3.1 activities are ongoing as planned. Also discussions are ongoing on action to be taken based on priority issues identified in Benin and this pending a go ahead from UNEP and also midterm evaluation recommendations</p>	<p>30%</p> <ul style="list-style-type: none"> - Construction of the sewerage network in Kara is over 80% completed through SIAAP support. - The GEF VRB project is expected to sign an MOA with SIAAP upon approval of SIAAP Board during its upcoming meeting (September 2011), one year later than originally anticipated. - The Natitingou project was abandoned following a visit of national authorities to the project area in mid-2009 that identified that the priority issue in the area was aquatic weeds. - Discussions have continued with Benin partners for the preparation of a project document for an ecosystem management project with various ideas still under discussion. 	Kara: MS Benin: U

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
Activity 3.1.4. Implement the Demo project no 3: Restoring and protecting the river beds of the Black Volta River (Côte d'Ivoire & Ghana) and its tributaries through participative campaigns of reforestation	Dec 2012	60% of activities planned for the reported period As explained in the section 3.1 activities are ongoing as planned. The only problem is the situation in Côte d'Ivoire which hasn't allowed implementation of activities as planned for the national part of the basin	25% - MOAs were signed with Cote d'Ivoire and Ghana in February 2010. - Project inception was held up in Cote d'Ivoire since as a result of instability caused by the political crisis in 2010 and the first half of 2011. Records related to the project have allegedly been lost and it is unclear whether advanced funds may have to be written off. - A project manager was recruited in Ghana in November 2009 and stationed in the Bole area. Project implementation is on-going.	Ghana: MS CI: MU
Activity 3.1.5. Evaluate the implementation of the three Demo projects	Dec 2012	N/A for this period	N/A - The limited progress in implementation to date has been examined as part of this mid-term review	(N/A)
Output 3.2: Replication strategy for demonstration project developed and initiated			0% <i>These activities have not started pending implementation of the demonstration projects. It is unlikely that there will be results from all of the demonstration projects by mid-2012. Completion dates were extended by 12 months in 2010, except for Activity 3.2.4.</i>	N/A
Activity 3.2.1. Develop a plan for the replication of the Demo projects	Q2-2012	N/A for this period		
Activity 3.2.2. Develop six national Demo projects based on TDA/SAP priorities	Q3-2012	N/A for this period		

Outputs	Planned completion date ¹⁴	Project Manager Status as of 30 June 2011 (%)	Evaluator Comments and Status 30 June 2011	Progress rating
Activity 3.2.3. Submit the replication plan and National Demo Projects to riparian countries for approval	Q3-2012	N/A for this period		
Activity 3.2.4. Incorporate the replication plan in the SAP	Dec-2011	N/A for this period		

Overall project implementation progress ¹⁵ (*To be completed by UNEP GEF Task Manager. Please include columns to reflect prior years' ratings*):

FY2009 rating	Comments/narrative justifying the rating for this FY and any changes (positive or negative) in the rating since the previous reporting period
S	Work well underway, though partners will inevitably introduce some delays.
FY2010 rating	Comments/narrative justifying the rating for this FY and any changes (positive or negative) in the rating since the previous reporting period
MS	Delays and challenges with demos now impacting implementation progress. Getting all of the demos on track (and at the same time, not delaying the SAP process too much) should be main priorities. Some delays in management processes (e.g. vehicle procurement and UDC contract).
FY2011 rating	Comments/narrative justifying the rating for this FY and any changes (positive or negative) in the rating since the previous reporting period
MU	The TDA/SAP process is now significantly delayed and the resignation of the Team Leader will bring additional delays to the process, necessitating an extension of the project. A number of the demonstration projects are now also significantly delayed. Some of these delays (e.g. Cote d'Ivoire) are outside the control of the project, whereas for others (e.g. Benin) additional efforts must be made to establish activities or alternatively they must be abandoned.

¹⁵ Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU)

Action plan to address MS, MU, U and HU rating. *(To be completed by UNEP Task Manager in consultation with Project Manager¹⁶)*

Action(s) to be taken	By whom?	By when?
Following recommendations of the MTE, reallocate project resources to support TDA/SAP process as highest priority	PMU in consultation with partners	December 2011
Following the recommendations of the MTE, reassess the demo projects, scaling back in cases where it is unlikely projects can achieve objectives in remaining period	PMU	December 2011
Rapid recruitment of a new TDA Team Leader; Finalization of the TDA and start of the SAP processes to take place simultaneously so as to recoup lost time	PMU	2011 - 2012

This section should be completed if project **progress** was rated MS, MU, U or HU during the previous Project Implementation Review (PIR) or by the Mid-term Review/Evaluation *(To be completed by Project Manager)*.

Problem(s) identified in previous PIR	Action(s) taken	By whom	When
Demonstration Projects – During next supervision visit, DGEF and PMU discuss plan for overcoming the remaining challenges with demos and recouping delays.	Remaining challenges discussed several times and implementation process accelerated. Despite the delay in starting demo projects, activities are implemented based on updated demo work plans and budgets	PMU in consultation with DGEF	Since Q3 - 2010
Maintain momentum in TDA/SAP process	As presented in section 3.1, there is an improvement. National reports completed, Thematic regional reports under review and TDA finalisation and validation will be completed by end of 2011	PMU	Since Q3 - 2010
Increased information exchange between EA and IA	Monthly briefs, 2011 Quarter brief, missions reports and all relevant information shared with UNEP DGEF by PMU or through UNOPS KEOC	PMU and UNOPS KEOC	Since Q3 - 2010

¹⁶ UNEP Fund Management Officer should also be consulted as appropriate.

3.3. Risk

There are two tables to assess and address risk: the first “risk factor table” to describe and rate risk factors; the second “top risk mitigation plan” should indicate what measures/action will be taken with respect to risks rated **Substantial** or **High** and who is responsible to for it.

RISK FACTOR TABLE													
<p>Project Managers will use this table to summarize risks identified in the Project Document and reflect also any new risks identified in the course of project implementation. The Notes column should be used to provide additional details concerning manifestation of the risk in your specific project, as relevant. The “Notes” column has one section for the Project Manager (PM) and one for the UNEP Task Manager (TM). If the generic risk factors and indicators in the table are not relevant to the project rows should be added. The UNEP Task Manager should provide ratings in the right hand column reflecting his/her own assessment of project risks.</p>													

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating						
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined	
INTERNAL RISK																	
Project management																	
Management structure	Stable with roles and responsibilities clearly defined and understood	Individuals understand their own role but are unsure of responsibilities of others	Unclear responsibilities or overlapping functions which lead to management problems	X						PM: No comments	X						
										TM: No comment							
Governance structure	Steering Committee and/or other project bodies meet periodically and provide effective direction/inputs	Body(ies) meets periodically but guidance/input provided to project is inadequate. TOR unclear	Members lack commitment Committee/body does not fulfil its TOR	X						PM: No comments		X					
										TM: While the PSC fulfils its role of approving the work plan and budget, there is the need for it to take a larger sense of ownership of the project.							

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
Internal communications	Fluid and cordial	Communication process deficient although relationships between team members are good	Lack of adequate communication between team members leading to deterioration of relationships and resentment	X						PM: No comments		X				
										TM:						
Work flow	Project progressing according to work plan	Some changes in project work plan but without major effect on overall timetable	Major delays or changes in work plan or method of implementation	X						PM: No comments			X			
										TM: Significant delays in TDA/SAP process and demos.						
Co-financing	Co-financing is secured and payments are received on time	Is secured but payments are slow and bureaucratic	A substantial part of pledged co-financing may not materialize		X					Countries account for in-kind contribution but some of them still have challenge in mobilising cash contribution. This should not affect the deliverables since cash contribution are in most cases less than 20% of amounts pledged by countries			X			

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
										TM: Agreed. Opportunity to count new initiatives (e.g. new support to Volta Observatory) and countries' contributions to VBA as co-finance.						
Budget	Activities are progressing within planned budget	Minor budget reallocation needed	Reallocation between budget lines exceeding 30% of original budget	X						PM: No comments		X				
										TM: Continued need to extend project activities with the necessary reallocations to sustain PMU activities.						
Financial management	Funds are correctly managed and transparently accounted for	Financial reporting slow or deficient	Serious financial reporting problems or indication of mismanagement of funds	X						PM: No comments		X				
										TM: No comments						
Reporting	Substantive reports are presented in a timely manner and are complete and	Reports are complete and accurate but often delayed or lack critical analysis of	Serious concerns about quality and timeliness of project reporting	X						PM: No comments		X				

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	accurate with a good analysis of project progress and implementation issues	progress and implementation issues								TM: UNOPS reporting format has changed to quarterly reports.						
Stakeholder involvement	Stakeholder analysis done and positive feedback from critical stakeholders and partners	Consultation and participation process seems strong but misses some groups or relevant partners	Symptoms of conflict with critical stakeholders or evidence of apathy and lack of interest from partners or other stakeholders	X						PM: No comments	X					
										TM: No comments						
External communications	Evidence that stakeholders, practitioners and/or the general public understand project and are regularly updated on progress	Communications efforts are taking place but not yet evidence that message is successfully transmitted	Project existence is not known beyond implementation partners or misunderstandings concerning objectives and activities evident	X						PM: No comments		X				
										TM: No comments						
Short term/long term balance	Project is addressing short term needs and	Project is interested in the short term with little	Longer term issues are deliberately ignored or	X						PM: No comments	X					

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	achieving results with a long term perspective, particularly sustainability and replicability	understanding of or interest in the long term	neglected							TM: Too early to tell						
Science and technological issues	Project based on sound science and well established technologies	Project testing approaches, methods or technologies but based on sound analysis of options and risks	Many scientific and /or technological uncertainties		X					PM: No comments		X				
										TM: TDA/SAP methodology is new in the basin and there is a risk that partners do not understand or duplicate planning efforts with, e.g. MasterPlan or IWRM plans. Also uncertainty if new technologies in demo projects will prove useful and sustainable?						
Political influences	Project decisions and choices are not	Signs that some project decisions are politically	Project is subject to a variety of political	X						PM: No comments	X					

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	particularly politically driven	motivated	influences that may jeopardize project objectives							TM: No comments						
Other, please specify. Add rows as necessary																

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
EXTERNAL RISK																
Project context																
Political stability	Political context is stable and safe	Political context is unstable but predictable and not a threat to project implementation	Very disruptive and volatile		X					PM: Countries are stable, but elections bring a risk of slowed project implementation TM: Noted and agreed		X				
Environmental conditions	Project area is not affected by severe weather events or major environmental stress factors	Project area is subject to more or less predictable disasters or changes	Project area has very harsh environmental conditions	X						PM: No comments TM: No comments	X					
Social, cultural and economic factors	There are no evident social, cultural and/or economic issues that may affect project performance and results	Social or economic issues or changes pose challenges to project implementation but mitigation strategies have been developed	Project is highly sensitive to economic fluctuations, to social issues or cultural barriers		X					PM: The overall economic situation makes it difficult for countries to honour co-finance commitments. TM: Agreed.			X			

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
EXTERNAL RISK																
Project context																
Capacity issues	Sound technical and managerial capacity of institutions and other project partners	Weaknesses exist but have been identified and actions is taken to build the necessary capacity	Capacity is very low at all levels and partners require constant support and technical assistance		X					PM: Technical and managerial capacity in most of the project countries is limited. The Project and its partners are addressing this issue with VBA coordination TM: Agreed, no with additional comments			X			
Others, please specify																

If there is a significant (over 50% of risk factors) discrepancy between Project Manager and Task Manager rating, an explanation by the *Task Manager* should be provided below

N/A

TOP RISK MITIGATION PLAN	
Rank – importance of risk	
Risk Statement – potential problem (condition and consequence)	
Action to take – action planned/taken to handle the risk	
Who – person(s) responsible for the action	
Date – date by which action needs to be or was completed	

Rank	Risk Statement ¹⁷		Action to Take	Who	Date
	Condition	Consequence			
1	Delays in TDA/SAP process	Jeopardize the achievement of one of the project's main objectives	Project extension, revision of work plan and budget to prioritize these activities	PMU	By December 2011
2	Delays in Demos	Jeopardizes the achievement of one of the project's main objectives; at this point it is not clear that all demos can reach fruition in the time remaining	Based on MTE recommendations, re-evaluate the feasibility of achieving results at all demo sites within the remaining time period and reprioritize accordingly	PMU	By December 2011

Project overall risk rating (Low, Medium, Substantial or High) (*Please include PIR risk ratings for all prior periods, add columns as necessary*):

FY2011 rating	Comments/narrative justifying the current FY rating and any changes (positive or negative) in the rating since the previous reporting period
Substantial	Delays in the TDA/SAP process during this reporting period signal substantial risk to the project achieving its objective. Some progress in demos since last PIR reporting, but still some delays.
FY2010 rating	Comments/narrative justifying the current FY rating and any changes (positive or negative) in the rating since the previous reporting period
Medium	Significant delays in demo projects and TDA development
FY2009 rating	Comments/narrative justifying the current FY rating and any changes (positive or negative) in the rating since the previous reporting period
Medium	Co-finance uncertainties, capacity issues and delays associated with demo projects put the overall project at medium risk.

¹⁷ Only for Substantial to High risk.

4. RATING MONITORING AND EVALUATION

Based on the answers provided to the questions in 4.1, 4.2 and 4.3 below, the **UNEP Task Manager** will provide ratings for the following aspects of project monitoring and evaluation:

- (i) Overall **quality** of the Monitoring & Evaluation plan
- (ii) Performance in the **implementation** of the M&E plan

4.1. Does the project M&E plan contain the following:

- Baseline information for each outcome-level indicator Yes No
- SMART indicators to track project outcomes Yes No
- A clear distribution of responsibilities for monitoring project progress. Yes No

4.2. Has the project budgeted for the following M&E activities:

- Mid-term review/evaluation Yes No
- Terminal evaluation Yes No
- Any costs associated with collecting and analysing indicators' related information Yes No (as part of the demonstration projects)

Please rate the **quality** of the project M&E plan (use HS, S, MS, MU, U, HU): S

4.3 Has the project:

- Utilized the indicators identified in the M&E plan to track progress in meeting the project objectives; Yes No
- Fulfilled the specified reporting requirements (financial, including on co-financing and auditing, and substantive reports) Yes No
- Completed any scheduled MTR or MTE before or at project implementation mid-point; Yes (MTE ongoing) No
- Applied adaptive management in response to M&E activities Yes No
- Implemented any existing risk mitigation plan (see previous section) Yes No N/A yet

Please rate the performance in **implementing** the M&E plan (use HS, S, MS, MU, U, HU): S

4.4. Please describe activities for monitoring and evaluation carried out during the reporting period¹⁸

- The Project Inception Report was prepared; including the review of the project brief (logframe, activities, work plan, budget, and institutional framework) and the project monitoring and evaluation plan.

¹⁸ Do not include routine project reporting. Examples of M&E activities include stakeholder surveys, field surveys, steering committee meetings to assess project progress, peer review of documentation to ensure quality, etc.

- The 1st Project Steering Committee meeting took place in Mali (May 2008): the Inception report, including the revised project brief and M&E plan was discussed and approved by the Project Steering Committee members
- The 1st National implementation committee meetings were organised in each riparian country and the meetings reports shared with the PMU.
- The half Yearly report, annual report and annual work plan were prepared by the PMU and shared with UNEP and Project partners
- The Monthly reports were prepared by National Operational Focal Points, approved by the National Project Coordinators and shared with the PMU
- The Quarterly financial reports and annual budgets were prepared and discussed with UNEP
- Some technical reports were prepared at national and regional levels as per the project work plan

4.5. Provide information on the quality of baseline information and any effects (positive or negative) on the selection of indicators and the design of other project monitoring activities

Baseline information for the tracking of stress reduction indicators is very limited. For example, data on water quality (N, P, BOD, COD, etc.), sediment yield into rivers, Water flow, Runoff, Infiltration, Evaporation, Precipitation, Basin protection and Vegetation index are scarce, incomplete and sometimes non-existent. This will affect the monitoring of stress reduction indicators and the general state of the environment as a result of the demonstration projects.

4.6. Provide comments on the usefulness and relevance of selected indicators and experiences in the application of the same.

The initial set of indicators as defined in the initial Project Document was found inadequate. A revised set of indicators has been developed and inserted in M&E Plan developed during the inception period. Nevertheless the monitoring of the stress reduction through the implementation of demo projects could be affected by the lack/quality of data and also the capacity of project partners to collect relevant data and information as expected. It is therefore recommended to review and update stress reduction indicators during the implementation of each demo project

4.7. Describe any challenges in obtaining data relevant to the selected indicators; has the project experienced problems to cover costs associated with the tracking of indicators?

The project could experience challenges in obtaining data for stress reduction indicators through the implementation of demo projects. Realistic stress indicators can't be monitored in a so short period allocated to the overall project.

4.8. Describe any changes in the indicators or in the project intervention logic, including an explanation of whether key assumptions¹⁹ are still valid

The fact that the indicators defined in the initial project brief were not appropriate has led to the deep review of the project M&E plan. Even though a proper M&E framework is now in place and functional, stress reduction indicators may be reviewed during the inception phase of the demo projects. Indicators could be updated by the end of the project MTE

4.9. Describe how potential social or environmental negative effects are monitored

Potential social or environmental negative effects will be monitored through the implementation of demo projects

4.10. Please provide any other experiences or lessons relevant to the design and implementation of project monitoring and evaluation plans.

¹⁹ Assumptions refer to elements of the “theory of change” or “intervention logic” (i.e, the problem is a result of A, therefore, if we change B, this will lead to C) and not to pre-conditions for project implementation. It is a common mistake to include statements such as “political will” as an assumption. This is rather a necessary condition to implement the project.

5. PROJECT IMPLEMENTATION EXPERIENCES AND LESSONS

5.1. Please summarize any experiences and/or lessons related to project design and implementation. Please select relevant areas from the list below:

Conditions necessary to achieve global environmental benefits such as (i) institutional, social and financial sustainability; (ii) country ownership; and (iii) stakeholder involvement, including gender issues.

- Institutional arrangements, including project governance: the involvement of national partners from the ministries of water and environment has created opportunity for a better application of IWRM principles. The expansion of this experience at the VBA level will present incremental environmental benefit for the Volta River Basin management
- Engagement of the private sector: the approach by which the project engages with community partners and government institutions is different from the one of private sector. This sometimes constitutes a challenge to finalising financial agreement between the project and private sector like SIAAP for the implementation of the demo project 2 in Togo
- Capacity building: combining capacity building activities with similar project partners helps to reduce capacity building costs while achieving better results. For example the facilitation support provided to IUCN project for training of national partners in Togo, co-organisation of joint workshops with IUCN/PAGEV and VB Observatory on groundwater, agricultural water and Volta Basin Information Sharing system has helped to reduce individual project commitment while reaching expected results
- Scientific and technological issues: addressed through the implementation of demo projects: hydrological model for early warning system in the Sourou basin, construction of wastewater network and treatment plant in view of water pollution control and reduction in Kara, tree planting in view of river bank protection and reduction of soil loss, erosion and river sedimentation
- Interpretation and application of GEF guidelines: The project generally used TDA approach toward the creation of knowledge base to develop the action plan for the basin. This reduces the stress and rigour of reinventing approaches to understand the root cause of the problems in the basin;
- Factors that improve likelihood of outcome sustainability: addressed within the demo 3 through the promotion of improved charcoal production by the women's groups that are traditionally reasonable for charcoal production through tree cuttings
- Factors that encourage replication, including outreach and communications strategies: local stakeholders commitment, involvement and interest, use of local competencies and materials and possibility to replicate IUCN/PAGEV model for community involvement in river bank restoration
- Financial management and co-financing: it has been difficult to mobilise cash co-finance contribution pledged by riparian countries during the project development phase