

*ORNL Technical Assistance to USAID to Foster Sustainable  
Environmental Management in Southern Africa<sup>1</sup>*

**Trip Report: Support to USAID/Southern Africa for Program Design  
24 February–14 March, 2008  
Keith Kline, Temporary Duty (TDY) to Botswana**

**Primary Activities**

Assigned duties for this TDY included: (a) technical assistance to USAID to conduct consultations with OKACOM, SADC, IRBM, Embassy, donors and other stakeholders on recommended actions and extension plans for 2009-12; (b) develop a draft concept document reflecting the stakeholder input for the next phase of the Regional Environment Program through 2013; (c) assist as necessary with consultations during the 2<sup>nd</sup> SADC Regional River Basin Organization (RBO) workshop; (d) review issues and status of field activities focusing on biodiversity protection in the central Okavango basin (southeastern Angola and Caprivi); (e) coordinate inputs from design team members to develop preliminary draft elements for new program design; and (f) assist with other issues as requested by USAID CTO (See TDY Scope of Work, Attached).

The tasks noted above were completed and results are reflected in the products developed in collaboration with the CTO and design team members – Chris Schaan (USAID Botswana Field Office/CTO), Tim Resch (USAID AFR/SD) and Marc Andreini (USAID/EGAT/Water).

**Results**

A design team was identified and organized with specific roles for members. Background information was distributed and schedules coordinated to facilitate work toward completion of the assigned tasks. The following **products were developed and delivered in collaboration with USAID, CTO, design team and partners:**

1. Draft concept paper (versions 1-15, so far) reflecting iterative process of interviews, consultations and evolving USAID guidance. The March 12 draft concept paper was presented to USAID Mission Management in Pretoria 13 March. It was subsequently revised three times to reflect Mission comments, team guidance and additional guidance from Washington AFR/SD. Current draft (March 31) is attached.
2. Design schedule and action plan for use in procurement planning, financial planning, and for discussing next steps with partners.
3. “Design Assumptions” document (multiple versions) that provided guidance for the design team while attempting to reconfirm USAID-approved design parameters. The

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parameters changed repeatedly during the course of the TDY. The current set of design assumptions (March 31) are attached but remain subject to change by USAID.

4. Draft illustrative budgets under multiple funding scenarios, allocated according to the USG Foreign Assistance Framework Elements and sub-elements, and based on information provided by USAID about assumed funding levels. Current illustrative budget and allocations (March 31) were provided to CTO and design team.
5. Multiple spreadsheets illustrating a range of potential allocations of the WSSH earmark and the corresponding maximum amount that could be attributed from the remainder of the program related to watershed management, regional water governance and water security, under different assumptions for the design, funding levels and earmark definitions.
6. Draft language and illustrative budgets for potential activities and results associated with a new HIV/AIDS component within the regional environmental program.
7. Worked with CTO to revise “Regional Criteria” paper to reflect inclusion of water earmark funds and possibility of support for non-presence countries through the regional platform. See “*What is Regional and Appropriate for Support under USAID/Southern Africa Environment Program Element*” of March 2008 (attached).
8. Design consultations with RCO (K.Howard) and documentation of key issues and recommendations for implementing mechanism and selection procedures (email exchanges with CTO).
9. Documented consultations with SADC on the illustrative activities to be considered in the design (meeting minutes from SADC Water Division and SADC biodiversity/TFCA rep; follow-up CTO email with revised concept paper).
10. Proposed reporting and PMP indicators for the design, consistent with earmarks and the Framework for Foreign Assistance.
11. Assist CTO with other activities that arose during course of TDY (NDP-10 Water Conservation program proposal submitted to DWA; Zimbabwe issue, NPC roles, etc.)

Future actions (identified during the TDY but pending due to other priorities, including repeated efforts to address changing earmark definition issues and instructions:

- a) “Consultative” messages tailored for specific stakeholder groups (USAID bilateral missions, State and Embassy; potential IQC bidders; OKACOM, SADC; other donors and stakeholders) to inform them of the proposed design process and draft concept paper for regional environmental activities.
- b) Monitor and verify evolving Mission Strategic Plan (Gaborone) for consistency with USAID regional programs.
- c) Draft language for inclusion in future SADC Amendment for obligation of 2008 funding.
- d) Review IRBM reporting and status of PMP indicators from prior TDY. Verify data validity and establish “baseline” for new design. Review status and utility of indicators ref. “organizations engaged...to reduce environmental threats” and “people trained in NRM” indicators.
- e) Draft Action Memo for approval of the draft design, solicitation package, and indicators for FY09 and beyond.

## **Observations:**

Interviews generally reconfirmed evaluation results: based on success and progress to date, the USAID program should “stay the course” to provide continuity to activities initiated in the first phase of the Okavango basin project to protect biodiversity and improve water management. Stakeholders were unanimously enthusiastic about the possibility of expanding assistance to include WSS.

Biodiversity tasks under the current program reflect major investments to build foundations for future work. This component is currently making tremendous progress and is considered exemplary both within the SADC region and for Angola. The project has demonstrated unique capacity to work within challenging circumstances while creating models that local, regional and national institutions hope to replicate.

The WSS component represents a new opportunity for the regional program that is responsive to priorities and needs under the SADC agreement. This will be the first time that the USG in Southern Africa embarks in this sector and SADC and member states are very enthusiastic. Other donors were keen to investigate opportunities for partnerships.

Parties consulted identified the following WSS sector constraints in the region that the proposed USAID program might help address:

- Lack of good projects
- Lack of implementation capacity
- Lack of maintenance and management of new and old systems
- Huge losses in existing systems (40-50% of water supply “unaccounted” for at the meter; plus another 40-50% loss is estimated after the meter. Reducing these losses could theoretically double the number of households with improved access to safe water supply.

**Opportunities:** Many projects were identified that are developing plans for future activities or currently offer WSS resources (e.g. for infrastructure) that require complementary funding to support future implementation.

- USAID and GTZ are collaborating to fund a series of studies prioritized by RBOs in the SADC region, in topics related to ecological flow requirements, cost and benefit sharing, sustainable financing, institutional development, effective flood/drought management strategies, RBO service roles, and others.
- ADB and MCC are conducting “strategic environmental assessments” for agricultural development activities along the Okavango in Namibia and Angola. Despite titles, both assessments appear to be limited and lack capacity/funds to implement results for biodiversity protection.
- The GEF-Environmental Protection Okavango (EPSMO) project is developing a Strategic Action Plan for the basin.

- Sida is initiating a regional demand management program that will fund projects through a facility administered by the Development Bank of South Africa, which would benefit from a complementary project activity to identify, develop and support management of ‘bankable’ projects in the field.
- ADB, the EU Water Facility, UNDP, KfW, MCC and several other donors report funding in programs for WSS infrastructure, but lack of support to develop good projects and to insure sustainable management after they are built.

The recent progress with biodiversity tasks, programs mentioned above, and ongoing strategic planning and land use management activities supported by the current project, offer a suite of potential prioritized biodiversity protection and water management activities that could be supported under the next phase of this program. The concept paper attempts to reflect these opportunities, as prioritized by stakeholders interviewed.

**Recommendations:**

- a) Issue periodic updates and consultative messages to stakeholders to maintain contact, build sense of ownership, and communicate how inputs received on the design process are being addressed or incorporated.
- b) Post appropriate information (evaluation documents, draft concept paper as approved for comment) on FRAME web-page to insure fair access.
- c) Facilitate approvals and take steps per timeline in the “Environment Element Program Management and Design Plan” (uncertainty around earmarks has creating a delay in planned design consultation process).
- d) Accelerate formal notification to ARD Inc. of intent to extend the contract for six months and describe any confirmed new work (TEC) expected during the remainder of contract.
- e) Provide guidance to ARD Inc. for ongoing program to facilitate a smooth transition process. This may include a review of disposition plans for all durable goods and equipment reflecting transfers as appropriate to follow-on project implementation team.

**Attachments:**

Abstract

Summary: Itinerary and activity highlights

TDY scope of work (3 Jan 2008)

Regional Definition and Criteria (draft March 2008)

Concept Paper (draft 31 March, source sensitive information delivered to CTO)

Design Assumptions (draft 31 March, source sensitive information delivered to CTO)

Illustrative activity budget (source sensitive information delivered to CTO)

Partial list of contacts in design process (Excel spreadsheet)

Distribution: CTO Chris Schaan; J.LaRosa, Gaborone Field Office; James Watson, USAID/Pretoria; design team. Deliverables available from CTO or upon request from ORNL. [End Trip Report body]

**Attachment:** Abstract (ORNL-51 FTR)

Assisted to organize and lead a design team (C.Schaan, T.Resch, M.Andreini) in consultations with over 60 individuals representing stakeholders and possible collaborators in the future regional program for water management, biodiversity protection and WSS. Parties interviewed included USAID and Embassy officials, other donors, representatives from regional organizations such as SADC, OKACOM, ANBO, ZAMCOM, LIMCOM and local government representatives within the proposed project area. Drafted design team products for review and comments while incorporating input from consultations and evolving guidance from USAID. Iterative drafts of a suite of design documents were prepared for CTO: concept paper for discussion and public comment, regional criteria for the program, illustrative budgets and design planning parameters. Developed an outline and initial content for other elements of the solicitation package.

A broad consensus among stakeholders was identified on several design issues:

- USAID should provide continuity to activities initiated 2005-2009 in the Okavango basin. Maintaining a river basin focus within the geographic framework of KAZA remains an effective strategy for focusing limited resources on transboundary water management and biodiversity issues.
- Program results must support development priorities and Millennium Development Goals (MDGs) such as poverty reduction, access to safe water, and a healthy environment.
- Enthusiastic support for possible program expansion to include a new Water Supply and Sanitation (WSS) component – the first of its kind for the USAID-SADC partnership. Linking environmental objectives with WSS service provision is key strategic goal.
- USAID needs to insure appropriate processes are followed to strengthen and maintain local “ownership” of the program.
- Building local capacity and sustainability are commonly identified as key needs and strategic program goals across nations and cooperating partners in the region.
- Many current and planned projects were identified that would benefit from the regional support envisioned in the new WSS component. Partnering with other donors offers opportunities to achieve key indicators with increased flexibility in years of uncertain funding but demands more attention for program coordination and management.
- Current biodiversity efforts – exemplary but incipient – are laying foundations for future activities.
- Technical areas where several stakeholders recommended action include: systems for sharing costs and benefits, NRM accounting, WSS system management and revenues for sustainability, invasive species (esp. aquatic plants), RBO maturation, and improved policy and regulatory framework, esp. for EIA procedures.
- Donor coordination remains extremely important due to many potential interfaces among programs.

[end abstract]

## **Trip Report Attachment**

### **Summary itinerary and activity highlights**

*Additional hand-written notes and supporting documents are on file or with the CTO in Gaborone.*

24 Feb: Sunday, depart Oak Ridge

25 Feb: Travel. Arrive in *Gaborone, Botswana* (spent travel time reviewing background documents and preparing second draft concept paper)

26 Feb:

Entrance briefings and meetings with USAID, IRBM; review plans, draft concept paper and assumptions document, schedules and modified travel plans. Informed that the field trip to Caprivi was canceled due to circumstances beyond team control.

27 Feb:

SADC Water Division meetings (prepare presentation, materials, agenda; notes). Key points: SADC is enthusiastic about WSS, capacity building, and partnering with other donors. SADC sees its role in WSS as being limited to specific areas where it has comparative advantages as regional entity: broker between sources of funding and needs at regional level; promoter of best management approaches, accounting for water (incl. among countries and across borders) and best practices for institutional arrangements. SADC noted several sources of funding for WSS infrastructure (such as KfW and EU) and the need for technical assistance to complement these programs. SADC was very supportive of the draft concept paper with few changes – at their suggestion, the draft was modified to add notes on invasive aquatic weeds, ecological flows, financing and transfrontier WSS projects. SADC agreed to review the revised draft incorporating their comments (sent to SADC 2/28) and encouraged USAID to discuss the concept paper with potential partners and stakeholders at the upcoming RBO workshop to get further feedback.

US Embassy Regional Environmental Officer Anthony Woods. Reviewed concept paper and received full support. Discussed funding and earmark issues. Discussed Mission Strategic Plan (draft); subsequently reviewed it and provided recommended changes to reflect the program being designed. Also made courtesy calls with Econ Officer and small projects manager (Stoneciphers).

Incorporated SADC and Mission comments into draft and sent revised version to SADC for review.

28 Feb:

SADC Biodiversity and TFCA rep, Thato Morule: supportive of concept paper and topics. Suggested linkages with priorities in SADC strategy (these were reviewed and verified to fit fairly well, including community involvement in planning, invasive species issues and increase trans-frontier mutual aid and cooperation in fire management). Noted NEPAD interest in supporting TFCA and RBO mechanisms to strengthen regional integration for sustainable, environmentally

sound development. Concerns include (a) lack of protocol and consistency for EIA processes in region; (b) need to strengthen coordination among various groups, efforts and organizations working in common geographic areas.

SADC Agriculture, Food and Natural Resources – Simon Mwali, coordinator for AfDB projects for agricultural and infrastructure development in mid-Okavango and upper Zambezi basins. Noted support for irrigation schemes in Okavango and dams and water extraction infrastructure on the Zambezi. Market access (improved roads and bridges) also seen as critical; possible support for bridge on Kavango between Namibia and Angola. Indicated that Namibia completed a strategic environmental plan for the AfDB project there.

HIV/AIDS (RHAP) in Botswana, USAID project manager, Joan Larosa. Encouraged use of HIV/AIDS funding in the new design and program. Discussed several possible activities appropriate to support prevention and access to better information and awareness in remote project areas. Resulting ideas were developed into a new component description in current concept paper.

IRBM team (S.McCormick, N.Kgengwenyane, B.Bergman, L.Verissimo). This session was to update design team on current project activities, plans and expected accomplishments at the end of the existing contract. Discussion focused on significant progress and activities underway for biodiversity objectives, with a briefing from the field team (on short visit to Gaborone) including 3-hour PPT presentation. Separate notes and the presentation available.

Most of southern Angola region is to be managed as a reserve but boundaries, classifications, regulations, enforcement are not established. Livelihoods and protein in area depend on natural resources (fish, wildlife, edible plants, fruits, reeds). Importance of community participation in protected area and land use planning, impacts of extensive and repeated fires, food shortages, elephant conflicts, settlement patterns, economic factors (most demand for Angolan natural resources is from Namibia), urgent needs for water and health services, diversity of habitats, species inventories expanding known species in the area by nearly 100%, building local skills and data sets...

Also discussed: relationships with OKACOM, the May Commission meeting, GEF project and relationships including future Strategic Action Plan (SAP), KAZA activities, and exit strategies for the current program.

29 Feb:

GTZ – Horst Vogel, Regional River Basin activities. Very enthusiastic about potential for USAID to continue program, collaborations with GTZ (several to date) and expansion to WSS. Noted need to continue close donor coordination in WSS and plan to include this topic in next WSRG meeting (probably in May). Discussed timing of future funding available from KFW for WSS infrastructure and

potential partnering with USAID. GTZ looking at Ruvuma and preparing an issues paper in coordination with SADC-ADB project (see Observations above).

Regroup with Chris and plan for following week. Review inputs from other donors via email. Work on incorporating comments into draft concept paper.

1 Mar (Saturday):

IRBM and biodiversity activities (McCormick, Bergman, Schaan, Kline). Continued briefing with ARD team, including their plans for the remainder of the year and proposed activities under a 6 month extension envisioned by USAID to March 2009 (see separate document with CTO). Key needs for future biodiversity protection include: (a) build capacity, clarify roles and institutionalize processes at various levels, linking community organizations through appropriate channels up to NCUs, Basin Wide Forum and regional bodies; (b) continue and expand inventories of species, habitat and land use in the upper basin and develop appropriate land use and management plans; (c) improve policy framework and enforcement for forestry products and wildlife, including improved collaboration among organizations with institutional presence in biologically important border areas (such as Okavango-Kwando-Capriivi zone) to implementation corresponding SADC protocols; (d) coordination to develop strategic trans-boundary land use planning for the three nations in that zone, especially to address needs for effective wildlife corridors that facilitate economic development and reduce human-wildlife conflicts; (e) better understanding of threats to freshwater ecosystems and riparian zones along with effective means and political will to address threats; (f) better planning for settlement, infrastructure and services (water, health, education) to fit regional strategic land use plans and long-term development goals;

Tim Resch arrived; met at airport; initial briefing.

2 Mar (Sunday):

Biodiversity discussions and powerpoint presentation (Bergman, Verissimo, Resch, Kline). This session was designed to bring Tim up to speed on program activities, covering the topics above and entering into more detail on community NRM issues and needs for long-term support for CBNRM in the project area, especially in Angola which lacks experience and adequate regulatory frameworks. Also discussed: local NGOs, their roles, status and capacity building needs; recent workshops (community mapping, planning elephant management); data collection, management and storage; land tenure and other policy issues; KAZA and Peace Parks; and status and future for CBNRM in Namibia (where Tim had just participated in a final program appraisal).

3 Mar (Mon):

Team meeting to review schedule, plan interviews, roles and responsibilities; review changing design assumptions; research earmark definition issues; review project documents and conduct phone and email consultations with parties unavailable

for interviews. Also discussed contracting mechanism options, “roads not taken” issues and points to add to concept paper and eventual RFTOP package. Developed plan for use of two IQCs (PLACE and Water-II) that have four primary contractors in common.

Discussed geographic focus with general consensus to begin with current Okavango basin with option to expand to approximate boundaries of KAZA while noting that participation of Zimbabwe will require alternate sources of funding until policy situation changes. Immediate opportunity for expansion is the upper Kwando-Luiana wetlands sub-basin that borders the Okavango to the east. Based on the intersection of biodiversity and water goals, other potential basins of interest include Limpopo and Ruvuma.

Developed list of questions, issues and draft message to RCO regarding contracting.

4 Mar:

Steve Johnson, consultant and former program manager for several donors including USAID working with SADC, CBNRM and environmental issues in the region (wildlife, fisheries, forestry, tourism). Presently supporting strategic planning for KAZA. Listed key drivers of biological change in Delta area as: communities, fire, tourism, elephants, and cattle. Discussed regional issues, recent policy changes, CBNRM organization challenges and needs for capacity strengthening (esp. in Botswana and Angola), role of SADC, need for long term commitment and follow-up with NRM programs. Notes that KAZA needs major boost but process is politically sensitive and complicated by Zimbabwe policies. Botswana MEWT (wildlife dept) has new GIS platform and this should be integrated with regional strategic planning for wildlife management and corridors. Agricultural (veterinary fence) and settlement issues are impacting future options.

*[Remaining meeting notes abbreviated here due to time/space constraints.]*

S.McCormick – IRBM – follow-up on issues, next steps, and introduction to Tim Resch. Important to provide continuity to the community based work along Kavango and the protected areas planning process and procedures in Angola.

Dept of Environment Affairs (DEA), Botswana (see separate list of staff participants and documents shared)

Stevie Monna, DEA Director and OKACOM Commissioner, Botswana: supported general concept as proposed; liked inclusion of invasive species; encouraged emphasis on improved demand management to reduce losses and inefficiencies in water (and other resource) use. Concerned with contamination of limited available fresh water supplies. Also interested in cost and benefit sharing across boundaries. Noted several new initiatives for conservation funding in Botswana.

Portia Segomelo, DEA and OKACOM-OBSC. Supported concept and encouraged building upon current activities and linking to emerging programs: OKACOM strategic plan and task forces, BWF, ODMF, and CBNRM to build more effective linkages between communities and other levels of government. Recommends strengthening enforcement capacity, regulatory frameworks and institutional capacity to use EIA and NRM accounting as tools for decision makers.

David \_\_\_ DEA noted need to assist ZAMCOM to move forward with its mandates. Shared and discussed 11 priorities from the Botswana NBSAP process.

5 Mar

Peace Parks Foundation, Sedia Modise and Nidhi Gureja, TFCA Support Program and acting executive secretary for KAZA. Long discussion on status of KAZA, the technical advisory committee, MOU among member states, KAZA protocol for project approval and implementation, issues of Secretariat location, need to link with other programs and communities, need to simplify procedures and define boundaries. KAZA working groups forming for sectors such as WSS. Present funding is from KfW and EU (DGIS). Need to better define relationship among regional programs and activities such as RBOs vis-à-vis KAZA.

Ruud Jensen, DEA-UNDP program - interest in getting conservation funds operational and effective; also in the concept of public-private partnerships for water and energy conservation (see below).

B.K Paya, Dept Water Affairs (DWA) – via email with Schaan: sent draft concept for NDP-10 project to develop conservation program similar to that of US FEMP, “leadership by example” using private sector TA and financing based on guaranteed savings. Proposal also shared with G.Gabaake.

6 Mar

Team break-out to discuss earmark issues and allocations, concept paper activity priorities, practical areas for integration of biodiversity and WSS, and propose path forward (Moremi village gorge).

Compiling notes and preparing next draft concept paper and budgets.

7 Mar

Ambassador Kate Canavan, Gaborone. As U.S. Representative to SADC, the Ambassador strongly supports the concept paper and proposal to strengthen activities under the SADC agreement including the addition of a WSS component. Very pleased with linkage to the HIV/AIDS program. Ambassador stressed logic and importance of staffing the Botswana Field Office and linkages between this program, REHO, OKACOM, SADC and other donor partners such as GTZ – all with regional programs based in Botswana. .” Noted that the Embassy has an unfilled Pol/Econ slot and USAID has unfilled positions for field office. The Ambassador expressed hope that USAID management in Washington would solve the funding issue for the Trade Hub without sacrificing this new initiative –

“we should not rob Peter to pay Paul.”

Writing (concept paper and related documents) Team meeting with Chris and Tim to review next steps. Tim shared a long term vision based on improving community governance of natural resources coupled with strategic landscape planning within the KAZA TFCA area.

Exit briefing and task review – Tim Resch departs Gaborone.

8 Mar (Sat):

Gabaake Gabaake, P.S. Rural Development, Senior OKACOM Commissioner.

Enthusiastic about follow-on work as “exciting opportunity” but emphasizes importance of following processes to insure local ownership, including clear structured involvement of OKACOM in design and decision process. GG recommended that participation of OKACOM be formal and documented and that the new program continue effective approaches such as PIC and strategic planning workshops.

9 Mar (Sun):

Schaan and Kline meet to review current concept paper, need for focus to avoid over-extending, institutional roles and approval processes (per GG comments), work pending, plans for arrival of Marc Andreini and final week scheduling.

Marc arrives. Meet at airport. Initial briefing (informal with braii) at Chris’s home.

10-12 Mar

The SADC RBO Workshop included nearly 100 representatives from the region’s river basin organizations and member states. The team met informally with many of the participants, particularly commissioners and technical staff from proposed program areas, to discuss the concept paper and future program options (ANBO, OKACOM, LIMCOM, ORASECOM, ZAMCOM, OBSC, etc.).

Andreini and Kline reviewed past interviews and inputs with focus on water section and related opportunities. Began to develop illustrative budget tables for water activities.

Sida, Therese Sjomander-Magnusson: Acknowledged effective collaboration of Sida and USAID under current program and expressed interest to continue in the future.

Several potential areas for collaboration as Sida supports Eco-San and other regional water activities. One area in particular is the new regional demand management program with Development Bank of South Africa which could benefit from a complementary project activity supported by USAID for capacity building. This is initially a 3-year, \$4m program focused on poor, peri-urban and rural areas, with likelihood to continue another 3-5 years. Increasing access to WSS (as an MDG) is a shared indicator for Sida and USAID.

SADC – Deputy Executive Secretary, Joao Cajolo: Strong supporter of current biodiversity efforts and very enthusiastic about the new program concept and WSS component. Concerned about climate change increasing intensity of floods and droughts and the increasing importance of “joint management strategies” and equitable allocation mechanisms for shared river basins per SADC protocol.

African Development Bank (AfDB), Edgert Schroten: Very interested in potential collaboration. AfDB is doing assessments of WSS in 30 African nations. Africa Water Facility has ample and growing funds for infrastructure but lacking bankable projects and follow-up technical assistance to insure proper system management and revenue generation are established for sustainability. Several different approaches being tried in different nations with interesting results and lessons to share in the region regarding use of the Water Facility, contracting options, local involvement, etc. Coordination with other AfDB projects impacting water is minimal (e.g. irrigation and agricultural development competing with water for human consumption). Projects such as Water-Aid are developing procedures to improve assessment of needs and identify priority areas for WSS investment. The issue of comparability among nations is not nearly as important as the need for good technical data for planning within a given nation. Over next ten years water is increasingly important for most major development sectors: energy, mining, tourism, health, and agriculture.

EU, Charles Reeves: a big problem in Southern Africa is the quality of water that crosses borders and is used for drinking supplies. One aspect is the need to rehabilitate treatment plants; just as important is training operators. Sharing knowledge between countries is crucial - some have made progress whilst others are falling behind - include policy, legislation, planning, use of appropriate technology, gender, HIV/AIDS, environment, decentralization, governance, civil society involvement etc. as it relates to WSS. Look at knowledge hub in South Africa (WIN-SA - <http://www.win-sa.org.za/>) as example that might be extended to SADC.

Angola-OKACOM/OBSC (Andrade, Pinheiro): Interested in continuation of program and offered to facilitate an OKACOM letter to USAID. Concerned about need for follow-up and support of several activities that were initiated under current program. Angola recently held a major forum to look at WSS development activities (Carlos to share minutes). Needs for more capacity in WSS project design and management and sustainable operation of systems. Interest in potential exchanges with other Portuguese speaking countries (Mozambique, Portugal, Brazil). Reviewed basic concept and received favorable response. Noted importance of providing a written draft in Portuguese for comment and discussed options to facilitate OKACOM approval in event the May meeting is postponed.

Namibia-OBSC: Conducted standard briefing on the concept paper with the representative from Windhoek who is new to the program (Shadrack Luyanga) and agreed to inform counterparts in Namibia.

UNDP Akiko Yamamoto [akiko.yamamoto@undp.org] regional water governance coordinator based in Pretoria: Notes need to maintain donor coordination, data in country matrix for WSS projects and ongoing UNDP water governance program in the region (mostly pilot scale) – and several potential areas to collaborate in future. Also discussed possible relationships with several GEF supported activities in the region for IWRM, CapNet, Regional Service Center, Botswana demand management, pilot projects for utilities and governance and administration of \$7m WSS project for Angola.

World Bank, Piers Cross: noted that funding is available for infrastructure but a lot more investment is needed to build local capacity to tap these resources and implement sustainable projects.

SADC-EU collaboration, Tom Farrington, Program Management Advisor: recommends caution in applying current SADC donor matrix for the water sector (as it is work in progress) and suggests coordinating with ORASECOM which is advancing with multiple sources of donor funding.

Developed agenda for meeting in Pretoria; sent it along with current concept paper, design assumptions and “regional criteria” definition.

Reviewed water concept paper activities with Marc and revised language with focus on fitting proposed illustrative activity descriptions with earmark definition, criteria and categories.

Prepare presentations and revised drafts for OBSC and OKACOM meeting. Subsequently prepared various revised drafts for team review and submission to USAID/Pretoria prior to briefing on 3/13.

EU –Mikael (Micky) Melin (discussions with Schaan) and other discussion held by Resch and Andreini are not included here.

13 March: AM flight to Johannesburg, *South Africa*. Support CTO with morning briefing for USAID Mission in Pretoria. Received feedback on concept paper and earmark issues (and conducted follow-up with USAID technical offices in Washington upon return).

13 March (evening) – drive back to Johannesburg airport and depart South Africa.

14 March: Travel -- Return to Oak Ridge.

\*\* List of Contacts – see Excel table for partial list of people met, interviewed  
Note: pending meeting with SADC Nyambe Nyambe (who was out of town)

[End summary itinerary and activity highlights]

## **Attachment**

### **Defining what is “Regional” and Appropriate for Support under the USAID/Southern Africa Regional Environment Program Revised Draft March, 2008**

#### USAID Guidance

USAID defines regional programs as “those that serve regional goals and are not identified with a specific bilateral program.”<sup>2</sup> Regional programs must meet at least one of the following criteria:

1. Provide support to regional organizations such as African Union, SADC, River Basin Organizations (RBOs)<sup>3</sup>
2. Provide support to activities that serve a group of countries, such as regional training centers

Regional activities are those that advance the objectives of foreign assistance but transcend a single country's borders and are addressed outside a bilateral country strategy. The activities should reflect strategic value-added and or economies of scale due to the use of a regional platform.

In special cases (when explicitly authorized and funded), regional platforms also manage assistance to countries within the region that do not have USAID Mission presence. These are referred to as “non-presence countries” (NPCs).

The objectives of the Regional Environmental Program are defined in annual Operational Plans and Mission Strategic Plans. Additional guidance includes the Agreement with SADC for the water sector and environment and the current Performance Management Plan. These documents are consistent with the definition for regional programs above. Work performed under this program should be designed to generate measurable results with regional impacts.

#### Environment and Water Program for Southern Africa Guidance

Support for improved management of shared river basins, water resources, provision of improved water and sanitation services, and biodiversity conservation in a river basin landscape, that is managed through the regional platform for Southern Africa, should demonstrate clear linkages to:

- a) Regional priorities (defined by SADC, corresponding RBOs or other regional institution) for river basin and water resource management, conservation of regionally (or globally) threatened species and ecosystems<sup>4</sup> (as defined by IUCN and regional collaborators), and support for water supply and sanitation programs that can be most effectively provided through a regional mechanism.
- b) Leadership by or through regional counterpart organizations (SADC, RBOs, or others).

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<sup>2</sup> From U.S. Foreign Assistance Reform web site: <http://inside.usaid.gov/A/F/programs.html>  
“Guidance - Global, Regional, and Central Programs”

<sup>3</sup> See expanded definition of “support to regional organizations” on page 2 of this paper.

<sup>4</sup> Note that freshwater ecosystems are recognized as the most threatened biome on the planet, and the stress on these ecosystems is extremely high in Southern Africa.

- c) Actions that address prioritized threats to ecosystem services, water sources, water sustainability/security, and biodiversity that could impact a target river basin or transcend national boundaries.
- d) Geographic locations prioritized regionally as biologically important areas.
- e) Approaches that reinforce a “shared resource, shared benefits” concept by involving all riparian states (cost and benefit sharing across borders).
- f) Processes that strengthen effective linkages between and among regional organizations (SADC, OKACOM), national organizations, provincial and local authorities – showing how these linkages can add value.
- g) Demonstrating the capacity for regional platforms to build consensus, mitigate conflict, and more effectively address issues of mutual interest than a single nation could if working alone.
- h) Actions that take place in an upstream nation, but are actively supported by down-stream nations due to expected sharing of benefits.
- i) Processes that build regional constituencies for IWRDM, biodiversity conservation and effective RBO services.
- j) Actions that are “owned” and supported by multiple riparian states and involve key stakeholders from multiple nations in the process of design, implementation, and assessing activity progress and impacts.
- k) Demonstrated respect for the ‘subsidiarity principle:’ a regional program should not support work that can be better and more appropriately done bilaterally.
- l) Activities such as regional training and specialized technical assistance that show significant economies of scale.
- m) Support for multi-national groups and organizations established to address trans-boundary natural resource management, water concerns and biodiversity issues.

“Support to regional organizations” may include support to regional organizations through multi-country networks, commissions and task forces that span the region and enjoy recognition by an official or sponsoring regional organization. Such networks support effective implementation of regional agreements and SADC protocols. Implementation may often be undertaken by public and private partnerships that work within the SADC framework.

Concerning economies of scale, in addition to training, there may be appropriate roles for regional platforms to provide technical assistance on best practices and harmonization for regional standards, policies, procedures, regulations, etc. Any activity of this nature would need to be done under an appropriate regional institutional framework (SADC) and in close coordination with national counterparts (and bilateral missions), and other ICPs where appropriate.

Finally, a regional platform can add unique value by collaborating with bilateral programs (and bilateral USAID missions) in developing constituencies along watersheds and wildlife corridors that transcend one nation’s boundaries. Constituency building across a group of countries that share common natural resources can lead to increased ownership and shared responsibility, respect for other “users” across borders, build confidence among various stakeholders, support more efficient use of soil and water, and demonstrate measurable improvements with trans-boundary impacts through planning and cooperation among groups sharing the watershed. A necessary part of multinational watershed planning is consultation and buy-in by the people living in the watershed and all those that use or impact on the basins resources.

**ATTACHMENT: Scope of Work for TDY**

*ORNL Technical Assistance to USAID to Foster Sustainable  
Environmental Management in Southern Africa<sup>5</sup>*

**Task Description**

**K. Kline Temporary Duty (TDY) to Southern Africa February-March**

Prepared in consultation with Chris Schaan, NRM Program Manager in the USAID Regional Botswana Field Office for Southern Africa (Gaborone) - Program for Improved Management of Shared River Basins

January 3, 2008

*Summary for Country Clearance Request: Keith Kline, US Citizen, o/a February 25-March 14, 2008, to support USAID environmental program planning and design (Gaborone).*

**1. Background**

The PASA Agreement between USAID and ORNL is designed to provide technical support to USAID Regional Programs in Southern Africa for: (1) evaluation and follow-on design for the regional natural resources program; (2) the Agreement with the Southern Africa Development Community (SADC) for the water sector; (3) Okavango basin biodiversity protection; (4) technical assistance, research, analysis and information upon request to support the Mission to achieve environmental program objectives; and (5) corresponding reporting. PASA procedures<sup>6</sup>: (a) Effort is based on written requests from the designated USAID Cognizant Technical Officer (CTO); (b) international travel requires prior Country Clearance; (c) travel that initiates in the U.S. is the responsibility of ORNL while travel within the region originating from Johannesburg and Gaborone may be arranged by USAID; and (d) deliverables will be presented to the CTO for acceptance.

**2. Tasks**

This trip will provide technical assistance to USAID to conduct and document consultations with OKACOM, SADC and other stakeholders on recommended actions and extension plans for 2009-12; develop a draft concept document with stakeholder input for the continuation of the Regional Environment Program through 2012; assist with facilitation of the 2<sup>nd</sup> SADC Regional River Basin Organization (RBO) workshop; review issues and field activities in the central Okavango basin (southeastern Angola and Caprivi); and assist with other issues as requested by USAID CTO.

<sup>5</sup> Work performed per terms of USAID/Southern Africa Award 690-P-00-06-00118-00, Oak Ridge National Laboratory (ORNL), Environmental Sciences Division, Oak Ridge, TN 37831, under Department of Energy Contract # DE-AC05-00OR22725 with UT/Battelle. USAID CTO: Chris Schaan, [cschaan@usaid.gov](mailto:cschaan@usaid.gov). ORNL technical contacts: Keith Kline, Principal Investigator [KlineKL@ornl.gov](mailto:KlineKL@ornl.gov); and Dr. Tom Wilbanks, Group Leader and Supervisor [WilbanksTJ@ornl.gov](mailto:WilbanksTJ@ornl.gov).

<sup>6</sup> See PASA Statement of Work, section 4.

Specifically: The primary purpose of this trip is to support the Mission with the consultations and documentation necessary to develop a design for the continuation of the regional environmental program based on assumed funding through 2012 of approximately \$1.8m per year, for implementation of activities through 2013. The design will incorporate a transition period in FY2009. The final product will be a draft project description appropriate for consideration and eventual incorporation with solicitation documents to facilitate next steps for USAID and partners to select the services of an implementing partner.

Other activities are expected to include (to degree time and logistics permit):

- a) Visit field activities in Mucusso, Rundu and environs and assist the Mission and partners to assess what is working best, what is not, degree of fit with the definitions for USAID Environment Element, biodiversity and “regional” programs, and begin to identify what should be continued if a future phase of the program were approved.
- b) Assist with facilitation, preparations and documentation (if necessary) of the SADC RBO Workshop scheduled for March 10-11. This will include support for the regional program manager to present proposed design concepts to participants.
- c) Work with USAID and others as appropriate to assist in developing a plan and implement "next steps" to obtain approvals and move forward with the solicitation process for the next phase.
- d) Support USAID to conduct discussions with SADC to plan and budget for jointly agreed activities (those consistent with both SADC and Mission priorities) for funds remaining in present program as well as for the next phase of the program.
- e) Review progress in implementing recommendations from last visit including M&E requirements and related reporting.
- f) Review timelines and procurement options for the follow-on activities and define key approvals and decisions needed to permit continuity of implementation beginning no later than February, 2009.
- g) Support USAID/Southern Africa Environment program briefing in Pretoria, South Africa (proposed for morning of March 13). And other activities upon request from the Mission.

Approach: Activities under the PASA shall be designed and implemented in consultation with the CTO to contribute to USAID development principles including: (a) ownership—promote local stakeholder participation throughout the process; (b) capacity-building—involve local institutions in a manner that transfers technical skills; (c) sustainability; (d) selectivity—identify approaches that produce enduring impacts; (e) partnerships—insure

close collaboration with other donors, USAID Missions, NGO partners, governments, etc.; and (f) results—focus limited resources to achieve clearly defined, measurable and strategic results.

### **3. Proposed Itinerary**

24 Feb: Sunday, depart Oak Ridge

25 Feb: Monday, arrive in *Gaborone, Botswana* (evening)

26 Feb: Tuesday, Gaborone (entrance briefings and meetings with USAID, Embassy, IRBM team, others as appropriate)

27 Feb: Begin internal trip (overland) toward Caprivi-Rundu-Mucusso; stop-over in *Shakawe, Botswana*.

28 Feb - 1 Mar: Visit field work in Caprivi-Rundu-Mucusso.

1-2 March: Return with stop-over in *Shakawe, Botswana*.

3-11 March: *Gaborone, Botswana* (design scope, terms of reference, interviews with OKACOM, OBSC, SADC, Sida, GTZ etc. Finalize doc for presentation in RBO workshop, lead discussions; document feedback on design concepts from stakeholders).

11-12 March: RBO Workshop, Gaborone.

13 March: Early AM flight to Johannesburg, *South Africa*. Support CTO with morning briefing for USAID Mission in Pretoria. Get feedback on design plans and guidance for meeting deadlines.

13 March (4 PM) – Johannesburg airport: depart South Africa for return to Oak Ridge.

14 March: Return to Oak Ridge.

### **4. Proposed Deliverables**

- 4.1. Draft description of program continuation for use in consultations with stakeholders.
- 4.2. Observations and recommendations related to field trip to Mucusso area.
- 4.3 Draft briefing documents and presentations on the proposed design and program status – for stakeholders and USAID Pretoria.
- 4.3. Notes from key meetings and consultations, especially SADC and RBO workshop.
- 4.4. Final draft project concept paper incorporating feedback from USAID and partners, appropriate for eventual incorporation in solicitation documents for next phase.
- 4.5. Updated procurement and decision point timeline for timely contracting of an implementing partner for the next phase.
- 4.6 Trip Report covering other activities, observations and recommendations.

The above SOW and itinerary for the TDY may be modified based on written instruction from the USAID CTO and acceptance by ORNL.