



Mid-term Review of “Support to the Orange-Senqu River Strategic Action Programme Implementation” project

Atlas Project ID/Award ID :00100063

Atlas Output ID/Project ID :00103199

PIMS: 5506

GEF ID: 9054

Implementing Agency: United Nations Development Programme

Executing Agency: Orange-Senqu River Basin Commission (ORASECOM)

Focal Area: Water and Ocean

Region: Africa

Countries: South Africa, Botswana, Namibia and Lesotho

Project Starting Date: 5 March 2019

Project End Date: 31 August 2024

Mid-term Review Report

May-June, 2022

Dr. Arun Rijal (Independent International Consultant)

Ms. Belynda Petrie (Independent National Consultant)

Mid-term Review of the project

“Support to the Orange-Senqu River Strategic Action Programme Implementation”

Atlas Project ID/Award ID :00100063

Atlas Output ID/Project ID :00103199

PIMS: 5506

GEF ID: 9054

Implementing Agency: United Nations Development Programme

Executing Agency: Orange-Senqu River Basin Commission (ORASECOM)

Project Starting Date:5 March 2019

Project End Date: 31 August 2024

Evaluation Team

Dr. Arun Rijal, (Independent International Consultant)

Ms. Belynda Petrie (Independent National Consultant)

Mid-term Review Report

May –June 2022

ACKNOWLEDGEMENTS

Staff and stakeholders from all four countries related to the project “Support to the Orange-Senqu River Strategy Action Programme Implementation” were very supportive and with their cooperation we were able to produce this report. Everyone shared their time and ideas to make this review process a success. Many people were consulted – and the names of all who contributed are included in the list of names annexed to this report. All questions asked were answered and all the points raised were discussed. The ORASECOM project team helped in coordinating and arranging the meetings and field visits.

We are very thankful to Residence Representative and Deputy Residence Representative of UNDP in four project countries for ensuring the implementation of evaluation exercise and Dr. Janice Golding, Program Manager UNDP, for speaking to us and providing information about the project. Thanks also goes to Mr. Lenka Thamae, Executive Secretary ORASECOM for sharing information and explaining various issues related to project. We would further like to thank government delegations from Botswana, Lesotho, Namibia and South Africa for openly sharing their observations and providing valuable suggestions. All project village chiefs and beneficiaries were very cooperative and shared their views openly and this review has benefited from their information and cooperation.

The views expressed in this report are intended to offer an overview of, and some of the lessons learned from this Project. We have tried to balance our thoughts and to offer fair perspectives of what was observed and learned from people far more knowledgeable about the Project and its context than we will ever be.

And finally, we are very happy to learn with great admiration the dedication and enthusiasm that so many people from the four project countries bring to their work in addressing issues related to the Orange-Senqu River and its territories for the conservation of biodiversity, economic development and environmental protection. We would like to thank them and wish them every success in their continuing endeavours.

Ms. Belynda Petrie
National Consultant
South Africa

Arun Rijal, Ph.D.
International Consultant
Nepal

18th June 2022

Table of Contents

Acknowledgement.....	iii
Table of Contents.....	iv
Acronyms and Terms	<u>iv</u> ^v i
Executive Summary	viii
1. Introduction.....	<u>Error!</u>
<u>Bookmark not defined.</u>¹	
1.1 Purpose of the Evaluation	1
1.2 Scope, Methodology & Ethics	1
1.3 Data collection and Analysis.....	2
1.4 Ethisc	3
1.5 Limitation.....	3
1.6 Structure of the Evaluation Report	3
2 Project Description and Background Context	4
2.1 Project Start and duration, including milestones.....	4
2.2 Development Context	4
2.3 Problem that project sought to address	5
2.4 Project Description and Strategy	5
2.5 Project Implementation Arrangements	6
2.6 Project timing and milestones	7
2.7 Main stakeholders.....	8
2.8 Theory of Change	8
3 Findings	11
3.1 Project Strategy	11
3.1.1 Project Design/Formulation	11
3.1.2 ResultFramework	12
3.2 Progress Towards Results	12
3.2.1 Progress towards outcome analysis	12
3.2.2 Remaining barriers to achieving the projects objective	22
3.3 Project Implementation and Adaptive Management.....	22
3.3.1 Management Arrangement.....	22
3.3.2 Work Planning	24
3.3.3 Project Finance and co-finance.....	24
3.3.4 Project-level Monitoring and Evaluation system.....	27
3.3.5 Stakeholder engagement	29
3.3.6 Social and Environmental Standard (Safegurad).....	30
3.3.7 Reporting.....	30
3.3.8 Communications and knowledge management	31
3.4 Sustainability.....	31
4.4.1 Financial risks to sustianability.....	31

4.4.2	Socio-economic risk to sustainability	32
4.4.3	Institutional framework and governance risks to sustainability.....	32
4.4.4	Environmental risks to sustainability.....	33
5	Conclusion, Recommendation	33
5.1	Conclusion.....	33
5.2	Recommendation.....	36
	Annex I: Terms of Reference for Mid-term Review	40
	Annex II: MTR evaluation matrix.....	56
	Annex III: Example Questionnaire or Interview Guide used for data collection	60
	Annex IV: Rating Scales.....	63
	Annex V: MTR mission itinerary	64
	Annex VI: List of persons interviewed.....	65
	Annex VII: List of documents reviewed.....	66
	Annex VIII: Co-financing table	68
	Annex IX: Signed UNEG Code of Conduct form.....	69
	Annex X: Signed MTR final report clearance form	70
	Annex XI: Summary Field Visits	71
	Annex XII: Summary Evaluation of Project Achievements by Objective and Outcomes.....	72
	Annex XII: Audit Trail	124

ACRONYMS AND TERMS

AWP	Annual Work Plan
BCC	Benguela Current Convention
CBO	Community Based Organisation
CEO	Chief Executive Officer
COVID-19	Coronavirus disease of 2019
CPAP	Country Program Action Plan
CTA	Chief Technical Advisor
DFID	Department of International Development (UK)
DSS	Decision Support System
DWA	Department of Water Affairs
GEF	Global Environment Facility
GII	Gender Inequality Index
GIS	Geographical Information System
GIZ	Deutsche Gesellschaft Fur International Zusammenarbeit
GMI	Groundwater Management Institute
GPS	Global Positioning System
GWP-SA	Global Water Partnership Southern Africa
Ha	Hectare
ICM	Integrated Catchment Management
ICMP	Integrated Catchment Management Project
INGO	International Non-governmental Organization
IP	Implementing Partner
IWRM	Integrated Water Resource Management
JBS	Joint Basin Survey
M&E	Monitoring and Evaluation
MTR	Mid-term Review
NGO	Non-Government Organisation
ORASECOM	Orange-Senqu River Commission
OSRM	Orange Senqu River Mouth
PES	Payment for Ecosystem Services
PIR	Project Implementation Review
PM	Project Manager
PPP	Public Private Partnership
PMU	Project Management Unit
ProDoc	Project Document
OSRM	Orange-Senqu River Mouth
PSC	Project Steering Committee
RF	Results Framework
RSAC	Regional Strategic Action Plan
RWP	Regional Water Policy
RWS	Regional Water Strategy
SADC	Southern African Development Community
SAP	Strategic Action Programme
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Achievable, Relevant, Time-bound.

TDA	Transboundary Diagnostic Analysis
ToC	Theory of Change
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDPCO	UNDP Country Office
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organisation
WIS	Water Information System

Exchange Rates applied to calculating project spend

US\$1= 12.20 Botswana Pula
 US\$1=15.93 Lesotho Loti
 US\$1=15.93 Namibian Dollars
 US\$1=15.90 South African Rand

Tables

Table no. 1: Project Information table	viii
Table no. 2: Achievement Summary and rating.....	xi
Table no. 3: Review of Outcomes to impacts at MTR level	15
Table no. 4: MTR's rating project performance	19
Table no. 5: Total disbursement of funds against budgeted	25
Table no. 6: Climate finance delivery	26

EXECUTIVE SUMMARY

1. The Monitoring and Evaluation Policy at the project level in UNDP/GEF has two overarching objectives, namely to promote accountability for the achievement of the objectives through the assessment of results, effectiveness, processes and performance of the partners involved in the project activities; and to promote learning, feedback and knowledge sharing on results and lessons learned among the GEF and its partners, as basis for decision-making on policies, strategies, programme management, and projects and to improve knowledge and performance. With this in mind, this Mid-term Review (MTR) has been initiated by UNDP South Africa as the GEF Implementation Agency for the “Support to the Orange-Senqu River Strategic Action Programme Implementation” Project to measure the effectiveness and efficiency of the Project activities in relation to the stated objectives, to collate lessons learned and to assess its relevance to the current socio-economic situation.

Project Information Table

2. Table 1: As per requirements for MTR, the Project Summary Table is provided below:

Project Title	“Support to the Orange-Senqu River Strategic Action Programme Implementation”		
UNDP Project ID (PIMS #):	5506	PIF Approval Date:	4 June 2015
GEF Project ID (PMIS #):	9054	CEO Endorsement Date:	19 Nov 2018
Atlas Project ID/Award ID: Atlas Output ID/project ID:	00100063 00103199	Project Document (ProDoc) Signature Date (date project began):	12 April 2019
Country(ies):	South Africa, Botswana, Namibia, Lesotho	Inception Workshop date:	20 Nov 2019
Region:	Africa	LPAC date	13 July 2016
Focal Area:	International Water	Midterm Review completion date:	July 2022
GEF Focal Area Strategic Objective:	Water and Ocean	Planned closing date:	31 August 2024
Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]:	GEF Trust Fund		
Executing Agency/ Implementing Partner:	ORASECOM		
Other execution partners:	Ministry of Agriculture, Water and Land Reform, Namibia, Ministry of Land Management, Water and Sanitation Services, Botswana, Ministry of Water, Lesotho and Ministry of Forestry, Fisheries and Environment, South Africa.		
Project Financing	Committed at CEO endorsement (US\$)	Available at Mid-term Review (US\$)	
[1] GEF financing:	10,815,137	4,377,261	
[2] UNDP contribution:	400,000		
[3] Government (Botswana)	6,982,000	2,042,000	
[4] Government (Lesotho)	47,877,343	76,210,343	
[5] Government (Namibia)	18,917,001	18,917,001	
[6] Government (South Africa)	286,107,600		
[7] ORASECOM	1,876,000	1,752,798	
[8] GIZ	981,0488	6,672,000	
[9] GWP-SA]:	568,500		
[10] UK DFID/CRIDF	855,000		
Total Co-financing	364,474,492		
PROJECT TOTAL COSTS [1+6]	375,289,629	109,971,403	

Note: Besides GEF, all other contributions are in-kind.

Brief Description of the Project

3. The Orange-Senqu River originates from the highlands of Lesotho and runs for over 2300km to the Atlantic Ocean. The total catchment area is 972,783km² and encompasses all of Lesotho, the majority of South Africa and large parts of Botswana and Namibia. The largest part of the basin (64.2%) falls within South Africa and 3.4% of the basin in Lesotho but contributes 41.5% of the systems surface runoff. This river basin is a highly complex and integrated water resource system characterised by a high degree of regulation and a large number of major inter-basin transfers. The most significant inter-basin transfers include the transfer of water from the Lesotho highlands to the Vaal sub-basin and from the Gariep Dam on the Orange River to the Eastern Cape.
4. Poor land management coupled with agriculture and mining in parts of the Orange-Senqu River basin has led to loss of wetland storage and aquifer recharge, increased sediment loads, deteriorating water resources quality, increased distribution and abundance of alien invasive plants, loss of biodiversity and lowered land productivity. Moreover, dividing of the land into smaller pieces is also making land less productive. In some parts of the basin, livestock production is in decline, opportunities for community-based natural resource management and alternative livelihood options are inadequately considered. Land degradation is generally perceived as a problem in the basin, and Lesotho specially regards this as a high priority challenge. Several areas of the basin are of significant importance for their biodiversity conservation. The Drakensberg Maloti Mountains are a biodiversity hotspot of high-altitude flora, of which 30% of an estimated 3,100 species are endemic to this area. This endemic zone also supports an extensive network of high altitude wetland bogs and sponges, crucial in the hydrological cycle of the Senqu River and its tributaries. The lower Orange Qenqu River passes through the Succulent Karoo biome which contains the highest diversity of arid flora globally and is also a declared biodiversity hotspot. The river basin also supports a number of declared Ramsar sites. Some of these wetlands of conservation importance are under threats. The volume of water and frequency and timing of floods have been altered.
5. Water is extracted for irrigation, industry and mining, urban use and livestock farming and these increasing demand for water has risked the ecosystems. This has also affected the ground water. The information on flows and a deteriorating situation is lacking. Cross-cutting issues related to assuring water supply that contribute to the problem include i) inefficient use across most water-use sectors; ii) losses of water due to poor maintenance and aging infrastructure; iii) a limited appreciation of the value of water among many users; and iv) insufficient demand-management interventions and incentives to use less water. Additional trans-boundary elements which contribute to the problem are: i) the transfer of water out of the system; ii) deteriorating water quality; iii) limited research and implementation of alternative sources and improved technologies; and iv) reduced recharge to groundwater.
6. The project has been built on the TDA which has carried out the necessary causal chain analysis in order to identify the trans-boundary threats to the sustainable development and management of the water resources of the Orange-Senqu Basin. There are some barriers that is preventing the removal of the threats to sustainable development/management of the basins water and related resources. The SAP through a stakeholder-driven process across all four countries, with discussions at the national and regional levels, drawn up an action plan aimed at removing these barriers, thus ensuring that the required changed can happen. The barriers are: i) limited basin-wide understanding of available resources, ii) limited potential for additional yields of water in the system, iii) deteriorated quality of water resources, iv) adverse effects of a changed hydrological regime, v) environmental degradation and unsustainable land use.
7. **Project Objective:** Strengthening joint management capacity for the basin-wide IWRM implementation and demonstrating environmental and socioeconomic benefits of ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River basin and the resilience of ecosystems.

8. The project aims to attain its objective through four outcomes:

Component 1: Institutional and policy reform and technical capacity building towards enhanced transboundary basin planning and joint management (Component 1, or Institutional/policy Reform and Capacity Building).

Component 2: Reducing stress on Water Resources Quality (Component 2, or Water Resource Quality)

Component 3: Addressing Changes to the Hydrological Regime through the source-to-sea application (Component 3, or Hydrological Regime).

Component 4: Addressing Land Degradation through community-based ecosystem management (Component 4, or Community-based Ecosystem Management).

9. The project is implemented in four countries namely, Botswana, Lesotho, Namibia and South Africa. This project started on the 5th of March 2019 and concludes on the 31 August 2024. The project implementation is led by the Orange-Senqu River Basin Commission (ORASECOM) in cooperation with UNDP-GEF. Total project duration is 5 years and total budget is US\$375,289,629.

10. The Project is executed by the Orange-Senqu River Commission (ORASECOM) and with support from the UNDP Country Offices (UNDP COs). The ORASECOM (inclusive of the four Member States and the Secretariat), as the implementing partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of GEF resources.

11. **PROGRESS SUMMARY**

Progress made in SAP implementation by the MTR point is summarised against each component, while detail that underlies this progress is provided throughout this report.

Component 1: Institutional/policy Reform and Capacity Building

- Significant progress made towards the endorsement of transboundary ESA guidelines
- ORASECOM approved the creation of the Communication Expert post in the Secretariat and Communication and knowledge management expert is on board with clear ToR.
-
- Promoted implementation of the ORASECOM extensive stakeholder engagement plan
- Joint Basin Planning- draft mode.
- Discussion initiated with the Governments of Lesotho and South Africa, NGOs and private sector on the possibility of establishing a Public Private Partnership (PPP) and Payment of Ecosystem Services (PES) schemes.
- Active participation in global and regional knowledge management and learning activities.
- Draft report on PES scheme available for discussion.

Component 2: Water Resource Quality

- A Joint Basin Survey (JBS) was successfully conducted by the Member States, ORASECOM Secretariat and the consulting company
- 10% of the stations in the basin have started reporting on water quality.
- Laboratory benchmarking is completed with 9 national participating laboratories.
- Draft strategy including pollution points (sources) in lower Mohokare and pollution levels/risks information proposed.
- Key issues were identified including sedimentation, municipal waste, unmanaged waste etc.

- Textile industry actors have installed waste water treatment facilities which has significantly reduced pollution.
- Implementation of desalination technology has taken place (almost complete).

Component 3: Hydrological Regime

- New dam was built on the fish river – Neckartal Dam
- Alternate solutions to the removal of the causeway were proposed and accepted by stakeholders.
- PSC recommended for formalisation of the River mouth management plan.
- A baseline report on the OSR mouth identified sites for monitoring nutrient load.

Component 4: Community-based Ecosystem Management

- Notable achievement has been securing a buy in from the Forestry Ministry in Namibia regarding the rehabilitation and clearing programme
- Baseline assessments have been undertaken on distribution and abundance of Prosopis, options for harvesting, legal & institutional mechanisms and economic opportunities.
- The project is now working on Environmental Impact Assessment (EIA), drafting environmental and forest management plans before clearing can commence.

12. KEY PROBLEM AREAS

- Program implementation is taking place mainly through the water ministries, whereas ministries for environment are also instrumental to program success and sustainability
- Inadequate levels of national ownership, for example through national budget allocations for key initiatives, such as the Joint Basin Surveys, will constrain sustainability
- The absence of a sustainable and agreed solution for water resource quality management, and political will of each Member State is challenging coherent, transboundary water resource quality management
- The absence of a data sharing protocol is constraining data management and sharing arrangements
- Public Private Partnerships and Payment for Ecosystem Services models are not integrated into programme oversight/management arrangements
- Fragmented consultancy procurement is over-burdening the PMU and Secretariat, while also yielding less optimal results
- Tracking of the Water Information System and of the programme in general is not sufficiently strong, thus curtailing ORASECOM's ability to fine-tune progress management
- Some indicators in the results framework are not SMART which further limits progress management, and M&E
- Communication and knowledge management has strengthened, however, the position for the Communication Expert is not permanent and this will likely hinder program sustainability

MTR Ratings & Achievement Summary Table

13. As per UNDP requirements for MTR, the Mid-term Review Rating Table as derived through the MTR process for this project is provided below:

Table 2: Achievement Summary and Rating

Measure		MTR Rating	Achievement Description
Project Strategy		N/A	The project strategy has useful components and underlying ideas was also relevant. However, activities were not moved forward as per expectations. Few targets were also not clear.

Progress Towards Result	Objective	MS	Progress made against a range of outputs (JBS, trainings, planning for resource modeling and identification of RQOs) towards achieving objectives. Some interventions have not happened (management plan for OSRM, institutionalization still to be cemented around some of the interventions to ensure sustainability. Socio-economic analysis has not been conducted and concept paper on benefit sharing among basin population and gender indicators are not developed and monitored.
	Outcome 1	MS	Baseline review, models (PES, PPP) considered and discussed, female representative identified for training, good participation in workshop, stakeholders engagement plan developed. But ORASECOM report has not been produced to showcase achievements and challenges, website not updated, ORASECOM plan is not completed, development of conclusion and recommendation from SAP 1 implementation is not done, resource planning session is not held, data sharing protocol no in place etc.
	Outcome 2	MS	JBS 3 done and is part of system and MS are collecting data, pollution points identified, textile industries installed waste treatment plant, groundwater assessment done, 2 desalination plants established, but procedure for harmonization of E-flows is not developed.
	Outcome 3	MU	Old earth-moving equipment, alien invasive plants are not removed. Procedures for harmonization of E-flows implementation have not been developed nor agreed. A new dam developed on the fish river. Baseline study for development of management plan has not been initiated.
	Outcome 4	MU	Invasive species clearing plan is in place but not initiated, invasive species clearing products are assessed and market assessment is also done but these plans are not assuring sustainability.
Project Implementation & Adaptive Management		MS	There has been staff turnover, Covid also affected implementation of trainings, ground assessments and meetings. Local NGO/company/consultant recruited to adopt to the situation for implementation.
Sustainability		ML	Financial and socio-economic sustainability is moderately likely while environmental and institutional sustainability is likely.

Note: MS-Moderately Satisfactory, MU-Moderately Unsatisfactory, L-Likely, ML-Moderately Likely. Justification of rating is given in Annex IX.

Summary Conclusion

14. The project was able to accomplish a few of the targeted activities and these could contribute towards creating environment for addressing the issues of the Orange-Senqu River and basin areas ecosystem. A key, enabler of these achievements has been the good progress made toward strengthening the collaboration between the Member States, through the program, for joint management of the basin. To address the river and water degradation problems, the project aimed to intervene in four areas: awareness generation/capacity enhancement, implementation of integrated river and wetland management, monitoring of river/ground water and economic incentives for local communities dependent on the river. The project was able to conduct the joint basin survey (JBS) involving Member States. To address the pollution problem of Mohokare river, a draft strategy is prepared as part of baseline assessment and it will be further discussed for broad stakeholder inputs for addressing complex pollution challenges on this river. The project has completed two solar-powered desalination plants in South-eastern part of Botswana. Botswana also piloted livelihood elements (horticulture and small livestock production to support local communities). The project conducted a baseline and situational assessment to identify and prioritise rehabilitation actions for the Orange-River Mouth. A formalized River mouth management plan is in place

on the South African side but may need further revision. Similarly, interim integrated Transboundary Management Plan (for Namibia and South Africa) was developed in the past but never officially adopted and now the project is going to re-active it.

15. For knowledge management, the project hired an expert who will develop knowledge management programs. The project has supported participation in several global and regional knowledge sharing platforms and this provided opportunities for project staffs to share on project and also learn from others presentations.
16. The project was designed with provision for appropriate management arrangements. However, based on the interviews conducted in this exercise and using triangulation methods to verify, it was noted that in the initial phases, the project team faced with challenges generated by the mobility restrictions owing to COVID-19. The issue was addressed through alternative arrangements of conducting some of the activities virtually. The project has been underpinned by good science and a technical approach of good calibre and this helped to maintain technical standard of the interventions.
17. To make the outcomes and interventions sustainable, the project is discussing with the Governments of Lesotho and South Africa, NGOs, Private sector working in the area between Lesotho and South Africa on the Orange Senqu River on the possibility of establishing of Public Private Partnerships (PPP) and Payment for Ecosystem Services (PES) schemes and a draft report is ready for discussion among ORASECOM structures. The project has also initiated discussions with GIZ on the Lesotho Integrated Catchment Management Project (ICMP) funded by the Government of Lesotho, the Government of Germany and the EU to formulate a PES initiatives involving public and private sectors from these countries.

18. Recommendations

- All activities that are behind the target should be moved in fast tracks to ensure that by the end of the project targets are attained. Signing of agreements should be given priority because that will affect the follow up activities.
- PPP should be treated together with PES and PPP project should be included in the finance committee's scope of work. ORASECOM should analyse the performances of the contractor before renewing the contract and new agreement should include PES elements of training. New contract should also include capacitating of the finance committee of PES and promotion of peer learning component. It should also include provision of need assessment to design the training package and trainings should prioritize women with equal number.
- Revising and developing updated SAP and country-specific Action Plans for the next 5 years should be done by the end of 2022 taking account of changes in the Basin and with emphasis on key drivers (populations, climate change, poverty) as well as developments such as the Botswana-Lesotho water transfers.
- Transboundary Environmental and Social Assessment guidelines should be implemented and for this secretariat prompt South Africa for a response and also ORASECOM strengthen its relationship with relevant Ministries to ensure that countries are aligned in terms of progress. Gender balance should be maintained in workshops representation.
- Regarding rehabilitation and management of critical ecosystem of the Orange-Senqu River Mouth, it is recommended to revise the scope of the work to include RAMSAR site status reinstatement and to conduct piloting for rehabilitation of the salt marshes with community employment. The recommendations for developing JMP should be implemented through working closely with DFFE, South Africa.

Detailed Recommendations are given on pages 36-39.

1 Introduction

1.1 Purpose of the MTR and objectives

19. As per UNDP/GEF's guidance for initiating and implementing Mid-term Reviews (MTR) of UNDP supported projects that have received grant financing from the GEF, this MTR has the following complementary purposes:
- To assess the relevance and appropriateness of the project in terms of achieving the outputs as per the project document.
 - To review the effectiveness and efficiency of the project in terms of the implementation of activities that achieve outputs and outcomes, following up on lessons learned.
 - To promote accountability and transparency, and to assess and disclose the extent of the project accomplishments.
 - To synthesize lessons (if any) that can help to improve the selection, design and implementation of future UNDP activities.
 - To analyse the sustainability of the results of the project.
20. This is designed to enhance compliance with both UNDP/GEF evaluation policies and procedural requirements, which are consistent and mutually reinforcing, and use common standards. It also responds to UNDP requirements to ensure that the MTR of GEF-financed projects should include ratings of the project's relevance, effectiveness, efficiency, monitoring and evaluation implementation as well as the sustainability of results (outputs and outcomes).
21. By adopting "UNDP/GEF's guidance for Conducting MTR of UNDP-Supported Projects", this MTR responds to both the UNDP and GEF requirements for such reviews.

1.2 Scope & Methodology

22. This MTR was carried out by the independent consultants and was initiated by UNDP South Africa as the Implementing Agency for the "Support to the Orange-Senqu River Strategic Action Programme (SAP) Implementation" projects to measure the effectiveness and efficiency of the project activities in relation to the stated purpose, and to collate lessons learned.
23. The MTR was conducted over a period of 40 days between 19th November 2021 and 30th June 2022 by an international consultant and a national consultant. Delays were experienced in the procurement of the local consultant, and in gathering the final data and information needed for this report. The scope was determined by the terms of reference ([Annex I](#)) which were closely followed. Full details of the objectives of the MTR can be found in the ToR, but the review has concentrated on assessing the concept and design of the project; its implementation in terms of quality and timeliness of inputs, financial planning, and monitoring and evaluation; the efficiency and effectiveness of activities carried out and the objectives and outcomes achieved, the likely sustainability of its results, and the involvement of stakeholders. Stakeholders were interviewed in all four Member States and against each of the four components, and all the countries were visited, including to conduct fieldwork in the sites for the demonstration projects under component 4 (except for the OSRM). All comments were addressed to ensure a fair hearing to all parties and responses to comments are listed in Audit Trail ([Annex XIII](#)).
24. The review was conducted following a participatory approach to provide it with sufficient evidence upon which to base conclusions:

Wherever possible the MTR Consultants have tried to evaluate issues according to the criteria listed in the “Guidance for conducting Mid-term Review of *UNDP/GEF- supported project*”, namely:

Relevance – the extent to which the activity is suited to local and national development priorities and organisational policies, including changes over time, as well as the extent to which the project is in line with the UNDP Operational Programmes or the strategic priorities under which the project was funded.

Effectiveness – the extent to which an objective has been achieved or how likely it is to be achieved.

Efficiency – the extent to which results have been delivered with the least costly resources possible.

Results – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention. In UNDP terms, results include direct project outputs, short-to medium term outcomes, and longer-term impact including global environmental benefits, replication effects and other, local effects.

Sustainability – the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. The projects need to be environmentally as well as financially and socially sustainable.

25. The project results were measured against achievement of indicators and the results framework, and guided by the review questions (Annex III).
26. In addition, other scales have been used to cover sustainability (Annex -IVii), monitoring and evaluation, and to assess impacts. The Review of Outcomes to Impacts (ROtI) method also requires ratings to be made for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. The rating scale is given in Annex IV- iii while Annex IV shows how the two letter ratings for “achievement of outcomes” and “progress towards intermediate states” translate into ratings for the “overall likelihood of impact achievement” on a six-point scale. A rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project which moves the double letter rating up one space in the six-point scale. Comments/suggestions from reviewers are addressed and changes made are mentioned in the Audit Trail in Annex XIII.
27. The results of the evaluation were conveyed to UNDP and other project stakeholders.

1.3 Data Collection & Analysis

28. The project documents were reviewed to generate information on the project design. Similarly, the project proposals and work plans were analysed to assess the achievement or performance against planned activities. The financial documents and spread sheets were analysed to study the expenses against the provisioned budget for each component. Information on the accomplishment of activities and monitoring and feedback mechanisms were analysed from annual reports and review of various project documents. The co-financing provisioned in the ProDoc (also in agreement documents) and actual co-financing available was compared to see if the committed amount of in-kind contribution was available to the project or not. The information generated from these various sources were confirmed through the interviews (both face-to-face and virtually) with the stakeholders and further analysed by the consultants, using the methodology as provided for in the MTR Terms of Reference (ToR). The water ministries in each Member State were interviewed, given their instrumental and official role for project implementation. Ministries for environment and for forestry were also interviewed in the project countries where applicable. Stakeholders at a community level were interviewed in each project demonstration site, with the exception of OSRM communities. Due to a COVID-19 related visa provision for 14 days quarantine, it was not possible for the international consultant to make field visits to Lesotho for site information gathering and validation purposes level. The national consultant conducted the

Lesotho field visits, gathered and verified information and conducted all the interviews (in total with 16 stakeholders). Sites selection and sample size determination was based on the availability of time and also easier to plan the route. The international consultant joined virtually when possible to interview Lesotho team. All field visits were done by the consultants and some interviews were conducted virtually. Detail field visit itinerary and persons interviewed are annexed (Annex V & Annex VI).

1.4 Ethics

28. The review was conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG) “Ethical Guidelines for Evaluations”. The assessments were independent, impartial and rigorous, and the reviewers maintained personal and professional integrity.

1.5 Limitations

29. Due to the COVID-19 pandemic (Omicron variant) and the recruitment process of the national consultant, the MTR was delayed from the planned date. Furthermore, language barriers limited the extent to which the Consultants were able engage directly with community level beneficiaries. The Consultants interviewed only those who could speak in English and few other community members with the help of local leaders. The interviews with community level stakeholders and other officials (officers from the district level offices) were conducted with the help of project staff. The international consultant could not visit Lesotho due to COVID-19 restrictions, but the national consultant visited Lesotho.

1.6 Structure of the Evaluation Report

30. The MTR report is structured in line with UNDP’s guidance and covers the following Sections:

The project description and development context (this includes project design, its rationale and development context, the problems the project sought to address, the objectives, establishment of baseline data, key stakeholders and expected results)

Findings (Results of implementation and comparison with the targets as set)

- Project Design / Formulation
- Project Implementation
- Project Results

Conclusions, Recommendations & Lessons

Annexes.

2 Project Description and Background Context

2.1 Project Start, Duration and Policy Context

31. The SADC Regional Water Policy (RWP) and the Regional Water Strategy (RWS) lay down the regionally agreed policy guidelines concerning water resources management. The RWS gives effect to the RWP and this is done primarily through the SADC Regional Strategic Action Plans (RSAP) as well as through the implementation of national IWRM plans. The Revised SADC Protocol provides the basis for transboundary water management in the SADC region, whereas the RWP and RWS are important guideline documents. The Revised SADC Protocol is the framework agreement for transboundary water management in the region and does so by providing a suite of generic rules for managing these shared rivers. The Revised SADC Protocol thus, as a framework agreement provides the general direction and principles for any future watercourse agreements concluded in the SADC region, and importantly allows for a basin to reflect key aspects and characteristics that are pertinent within their own agreement.
32. The ORASECOM Agreement was concluded in November 2000 and was ratified by Botswana, Lesotho, Namibia and South Africa during the same year. The objective of the Council is indicated as “technical advisor to the Parties on matters relating to the development, utilisation and conservation of the water resources in the River System. (ORASECOM 2000). Article 5 of the agreement details the matters upon which the Council make recommendations. These are specifically relevant to the Council and it is critical to note that the international legal rules that inform water management in the Orange-Senqu Basin and the framework within which the Commission needs to provide its advice are contained within the SADC Revised Protocol and the bilateral agreements, and not within the ORASECOM Agreement.
33. A range of studies and projects implemented since 2004 have in some way contributed to the creation of a solid foundation on which to implement the regional IWRM Plan, of which the SAP forms a part. In 2014, the IWRM Plan and the Strategic Action Programme (SAP) for the Orange-Senqu Basin were finalised and endorsed. Work on these two key projects had started in 2005. The SAP and country environmental action plans constitute the third component of the IWRM Plan, i.e. actions related to addressing environmental degradation.

2.2 Development Context

34. The Orange-Senqu River Basin originates in the highlands of Lesotho and runs for about 2,300km to the Atlantic Ocean on the border between Namibia and South Africa. As indicated above, in 2000, the Orange-Senqu River riparian states signed the agreement to promote transboundary cooperation through establishing the Orange-Senqu River Commission (ORASECOM).
35. ORASECOM, with support from UNDP, managed to leverage financial support from GEF to implement selected priority activities of the SAP. The UNDP-GEF project titled, “Support to the Orange-Senqu River Strategic Action Programme Implementation” was designed to be implemented by UNDP and executed by ORASECOM over 5 years and to support ORASECOM and its Member States to implement the SAP. The investment from GEF is US\$10,815,137. The project has been built on the Transboundary Diagnostic Analysis (TDA). The TDA carried out the necessary causal chain analyses to identify the transboundary threats to the sustainable development and management of the water resources of the Orange-Senqu Basin. Having identified and understood the threats and their causes, it was possible for Basin stakeholders to identify the barriers which are preventing the removal of these threats, so that sustainable development/management of the basin water and related resources can proceed.

2.3 Problems that the Project sought to Address

- Limited Basin-wide understanding of available resources.
- Limited potential for additional yields of water in the system.
- Deteriorating quality of water resources.
- Adverse effects of a changed hydrological regime.
- Environmental degradation and unsustainable land use.

2.4 Project Description and Strategy

36. The overall objective of the SAP implementation project is the strengthening of joint management capacity for implementation of the Basin-wide IWRM Plan and demonstrating environmental and socioeconomic benefits of ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River Basin. The project is implemented through 4 components:

Component 1 Outcomes: The objective of Component 1 is to contribute to the enhanced transboundary basin planning and joint management of the Basin. Realisation of this objective will especially contribute to the removal of barrier 1 - limited basin-wide understanding of the available resources - but also to the removal of the other 4 barriers resultant to improved management.

Component 2 Outcomes: The outcomes of this component are mainly aimed at addressing Barrier 3 - the deteriorated quality of water resources. Focus is on industrial pollution and groundwater resources, but the importance of water quality monitoring is emphasised. The component also addresses Barrier 2 - the limited potential for additional yields in the system, by looking at how groundwater resources can be better used and protected.

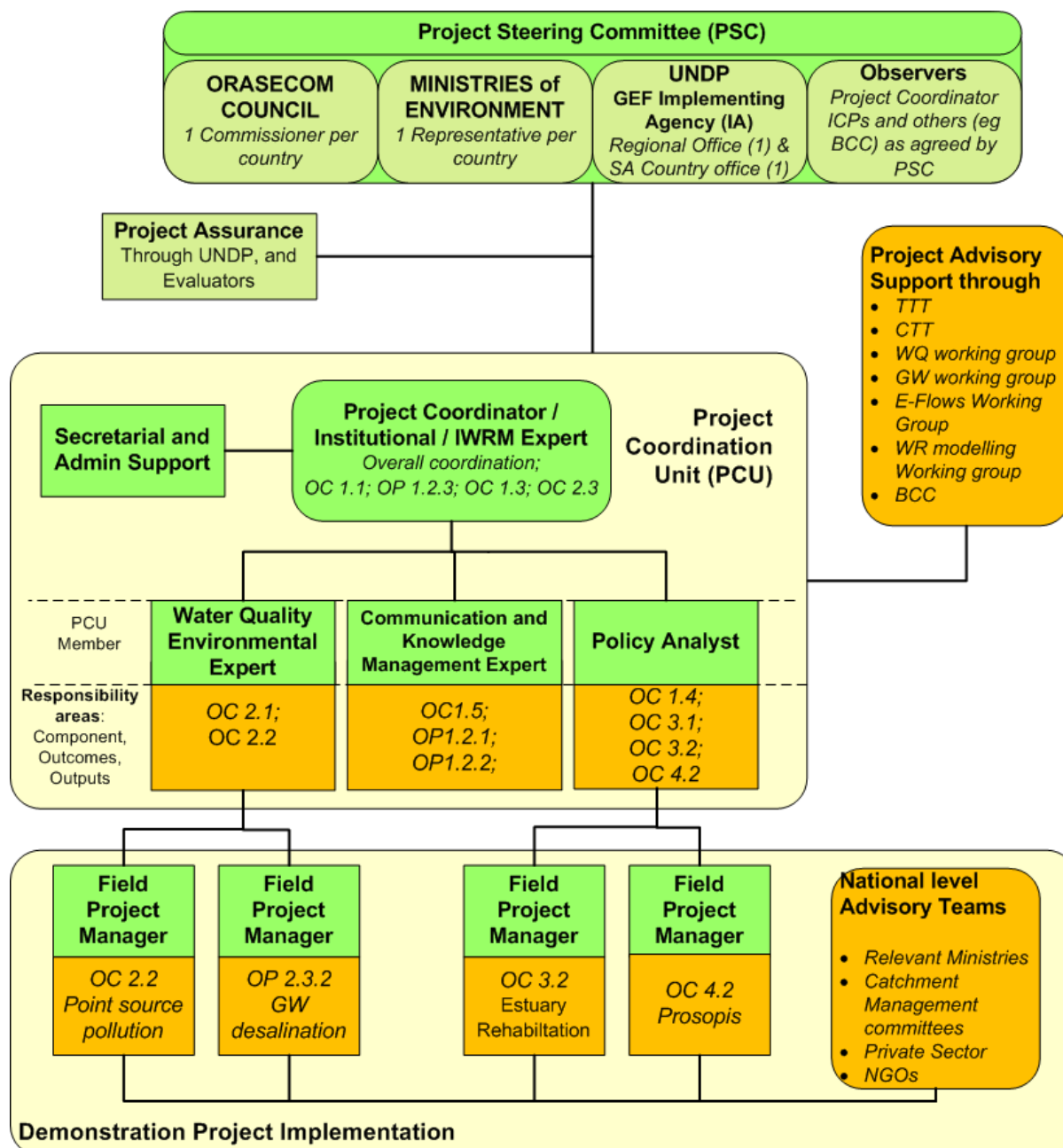
Component 3 Outcomes: Component 3 focuses on addressing changes to the hydrological regime through the application of the “Source-to-Sea concept”. This will contribute in a critical way to the removal of Barrier 4 - the adverse effects of a changed hydrological regime. As indicated in Section II, the hydrological regime has been highly altered over time. Key focus areas in this regard include agreement on environmental flows and their implementation, and the implementation of measures to sustainably rehabilitate the Orange-Senqu River Mouth (OSRM) system.

37. **Component 4 Outcomes:** This component concerns improved land productivity and improved living conditions through community-based sustainable land management. The focus area under this project is to control invasive species in pilot areas on the Fish River in Namibia and the lower Orange in both Namibia and South Africa.

38. The project is being implemented in the Orange-Senqu river and its Basin areas in four countries (Botswana, Lesotho, Namibia and South Africa). It commenced on the 1st May 2019 and was planned to end on 31st August 2024. Through implementing its priority actions in the Orange-Senqu River, the SAP seeks to strengthen joint management capacity for basin-wide IWRM implementation, and to demonstrate the environmental and socioeconomic benefits of ecosystem-based approach to water resources management.

2.5 Project Implementation Arrangements

39. The original project implementation arrangements envisaged that the project would be implemented by the UNDP as the GEF Implementing Agency and the ORASECOM as the implementing Partner (Executing Agency). ORASECOM Secretariat has been engaging the Member States for national level coordination through established structures, i.e. nominated Leaders of Delegation in all the countries. The Leaders of Delegations are typically from ministries of water. The ministries of environment, as GEF Focal Ministries have not been fully engaged in some of the member states, as originally envisaged. The environmental ministries are therefore consulted and engaged through the water ministries but the effectiveness of this coordination was found to be inadequate. NGOs and other development partners have been the key implementing partners. The original project organisation structure as presented in the project document is shown below:



40. As the GEF Implementing Agency, the role of the UNDP includes monitoring the implementation of the project, reviewing progress in the realisation of the project outputs, and ensuring the proper use of UNDP/GEF funds. Working in close coordination with the Ministry of Environment, UNDP provides support services to the project – including procurement, contracting of service providers, human resource management, and financial services – in accordance with the letter of Agreement for the provision of support services between ORASECOM and UNDP. The description of the implementation arrangement in the project document indicates that the costs of the support services are covered by TRAC funds. The UNDP also ensures conformance with UNDP Programme and Operational Policies and Procedures and UNDP Result-Based Management (RBM) Guidelines.
41. UNDP also has a project assurance role, supported by both the country offices and the UNDP regional office for Southern Africa based in Pretoria (now moved to Addis Ababa), South Africa. The UNDP-GEF Technical Advisor provided technical and strategic guidance to the project team.
42. ORASECOM, as the Implementing Partner (IP), is responsible for the following functions: i) coordinating activities to ensure the delivery of agreed outcomes; ii) facilitating organisation of project events, missions of international consultants and project trips; iii) facilitating access to data and information required for project implementation; iv) providing inputs into the project's annual work-plans and reports; v) coordinating interventions financed by GEF/UNDP with other parallel interventions and; vi) coordinating and liaising with central and local authorities involved in project implementation. It is also directly responsible for creating the enabling conditions for implementation of all project activities, including coordinating with the other ministries at the national level and Executive Authorities in each of the targeted areas.
43. Day-to-day management of the project is carried out by a full-time Project Coordinator, who is supported by other support staff. More on the Project Management Unit (PMU) is described in sub-section 4.5.1 of this report.
44. The Project Steering Committee (PSC) serves as the executive decision-making body for the project, providing overall guidance and policy direction for the implementation of the project, and delivering advice on appropriate strategies for ensuring project sustainability. The PSC Council comprises the UNDP GEF Technical Advisor, UNDP SA, a Commissioner (s) from each Member, and observers. The Secretariat/PMU provides secretarial services. The PSC is chaired by the prevailing Chair of the Council, noting that this is a rotational position.

2.6 Project Timing and Milestones

Activities	Milestone
PIF Approval Date	4 June 2015
LPAC date	13 July 2016
CEO Endorse Date	19 November 2018
Project Document Signature Date (project start date)	12 April 2019
Date of Inception Workshop	20 November 2019
First GEF fund Disbursement Date	7 May 2019

Planned start date	5 March 2019
Planned end date	31 August 2024
Expected Date of Mid-term Review	12 January 2022
Actual Mid-term Review date	April 2022
Terminal Evaluation Date	June-July 2024
Planned Closing Date	12 October 2024

2.7 Main Stakeholders

45. Stakeholders to be involved in the project implementation were identified at the project formulation phase with clear roles and responsibilities. Stakeholders were identified based on their strengths and their relevancy to the project. Extensive consultations were conducted with these stakeholders during the Inception Workshop (20 November 2019) and throughout the project implementation. A wide range of stakeholders including NGOs, INGOs, Community institutions, academic institutions, and government agencies were involved in the project development process, and roles and responsibilities were clearly documented in the project implementation plan (see sub-chapter 2.9 Stakeholder involvement plan of the ProDoc). The project development exercise was led by ORASECOM. Stakeholders of the project includes:

- ORASECOM Secretariat
- ORASECOM teams in all the countries
- Ministry of Water of Botswana and Departments
- Ministry of Water of Namibia and Departments
- Ministry of Water of South Africa and Departments
- Ministry of Water of Lesotho and Departments
- UNDP
- GEF
- GIZ
- Local level governments in all project sites of each countries
- Community groups
- Consulting companies
- CRIDF (UKAID)
- GWP-SA
- CapNet
- AfDB

2.8 Theory of Change

46. This project was built on the Transboundary Diagnostic Analysis (TDA) conducted by ORASECOM in 2014. TDA carried out an analysis of the causal chain in order to identify the transboundary threats, and their causes, to sustainable development and management of water resources in the Orange-Senqu Basin. This analysis also helped to analyse the barriers that prevent the threats from being addressed – and the Strategic Action Plan (SAP) was developed with the aim of removing these barriers. The barriers that have been identified are the following:

- Limited basin-wide understanding of available resources;
- Limited potential for additional yields of water in the system;
- Deteriorated quality of water resources;
- Adverse effects of a changed hydrological regime;
- Environmental degradation and unsustainable land use.

47. Through a consultative process, SAP and riparian countries' Action Plans were developed to address the priority problem areas identified by the TDA, and specific actions and activities were formulated in this project proposal to remove identified barriers. Targets spanning a 10-year period were developed to address these problems and they are outlined as follows:

- Targets for addressing increasing water demand:
 - Improved basin-wide hydrometeorological and geohydrological monitoring systems are established and data shared by the Member States.
 - Recommendations for transboundary environmental assessments are reviewed and adopted by the basin (member) states.
 - Pilot initiatives for improving on-farm water efficiency are upscaled and implemented in priority areas.
 - Potential for alternative options to meet water demand (demand management, expanded wastewater treatment, conjunctive re-use of surface and groundwater, etc.) in the basin have been defined.
 - Understanding of groundwater use potential enhanced, and efficiency of use improved
- Targets for addressing declining quality of water resources:
 - Objectives of basin-wide water resources quality defined, and monitoring system established/enhanced.
 - Tools/incentives for reduced agrochemical application in the agriculture sector developed and implemented in pilot areas.
 - Innovative methods for improvement of water resources quality identified and implemented in pilot sites
- Targets for addressing changes to the hydrological regime:
 - Basin-wide environmental flows regime agreed and implementation ongoing.
 - Integrated management plan for the Orange–Senqu River Mouth (Ramsar site) developed and implementation ongoing.
- Targets for addressing increasing land degradation:
 - Local-level monitoring systems for rangeland conditions (including alien invasive species) developed and implemented.
 - Catchment-protection initiatives upscaled and implemented in priority areas across the basin.
 - Suitable rehabilitation methods and technologies for degraded areas of significance developed and implemented.
 - Monitoring systems relevant to climate change maintained.

48. The project aims to achieve the objectives of this project through four Components:

Component 1: Institutional and policy reform and technical capacity building towards enhanced transboundary basin planning and joint management.

Component 2: Reducing stress on Water Resources Quality.

Component 3: Addressing Changes to the Hydrological Regime through the source-to-sea application.

Component 4: Addressing Land Degradation through community-based ecosystem management.

49. Component 1 will contribute to enhancing transboundary basin planning and joint management of the basin. This primarily involves addressing the limitations in basin-wide understanding of available resources and to address the remaining, through enhanced management of threats and drivers. Component 2 will mainly address the issues related to deteriorating quality of water resources with a focus on industrial pollution and groundwater resources – but the importance of water quality monitoring will be given emphasis. This component will also address the limited potential for additional yields in the system by looking at how groundwater resources can be better used and protected. Component 3 will focus on addressing changes to the Hydrological Regime through the application of the “Source-to-Sea concept”. This will help address the adverse effects of a changed hydrological regime. Key areas will include an agreement on environmental flows and their implementation, and the implementation of measures to sustainably rehabilitate the Orange-Senqu River Source. The final component will contribute to improved land productivity and improved living conditions through community-based sustainable land management. The focus will be to control invasive species in pilot areas on the Fish River in Namibia and the lower Orange River in both Namibia and South Africa.
50. A number of outcomes, outputs and specific tasks are developed to make the changes required to achieve the above-mentioned component objectives. The detailed outcome, outputs and actions are listed in the results framework as well as the annual workplans.

3 Findings

3.1 Project Strategy

3.1.1 Project Design

51. The project was designed to address the identified problem by strengthening Orange-Senqu River and basin areas' management effectiveness and sustainable land use practices. It also aimed to make resource management inclusive and collaborative which will achieve the dual benefit of leading to sustainable river management and improving the livelihoods of affected communities. The project intervention at the broader level is achieving the objective of enhancing systemic and institutional capacities for collaborative planning and management of the process and initiatives for livelihood enhancement, sustainable river and land management, and the removal of threats/barriers, including through strengthened governance. The project strategy remains relevant to national development priorities and plans of participating countries, following alignment that took place in the original project design and against the TDA. The country priorities, as evidenced in national strategies and action plans, continue to highlight barriers and priorities as identified in the SAP at the time of this MTR.
52. The project has a Strategic Result Framework with clear outputs and activities and some, but not all indicators are SMART. Those that are not SMART (examples given in para 55) need to be revised to ensure effective monitoring of implementation and achievements by ORASECOM. Gender issues were discussed during project design and few gender indicators are included in the RF. To promote a basin wide ecosystem approach, the project was designed to work at the national level in each Member State, with the aim of working to develop the capacity of communities, national and local level authorities, to generate awareness amongst communities/authorities, to implement participatory management practices to address threats to the Orange-Senqu River and its basin areas, to improve the flow of clean water, and to improve the livelihood of local inhabitants. The project was also designed to work at a transboundary level by improving coordination in order to address threats at a broader level.
53. The implementing and executing institutions were involved in the project from the project design phase and the design involved a thorough analysis of the capacities and interests of various partners. The project was designed based on a threat and management capacity analysis and it also incorporated knowledge from TDA and experience and information from other initiatives in each country in the project sites. The roles and responsibilities of the implementing partners and other institutions were clearly defined in the project design. Hence to address the identified problem, the project was designed to apply the following activities:
- (i) Establish working relationships between officials from the water sector and environmental sector in all 4 countries;
 - (ii) Develop a Data Sharing Protocol;
 - (iii) Conduct and institutionalise joint basin survey;
 - (iv) Train individuals from Member States in PES;
 - (v) Conduct training on enhanced ground water Information System;
 - (vi) Conduct an interstate water resources modelling/planning exercise for relevant officers from Member States;
 - (vii) Conduct an assessment of groundwater including aquifer potential maps through a partnership between UNDP/GEF and ORASECOM project and the World Bank funded Saline/Brackish Water project in Botswana.

- (viii) Develop baseline to map the point source pollution;
- (ix) Design the appropriate desalination technology;
- (x) Develop an integrated Transboundary Management Plan;
- (xi) Map and determine the coverage/density and spread of Prosopis in the project area in Orange-Fish River.
- (xii) Income generating activities developed and implemented;
- (xiii) Implement monitoring and evaluation programme and adaptive management programme for E-flows.
- (xiv) Establish baseline pollution levels to monitor impact of the project intervention.

3.1.2 Strategic Results Framework

54. The project objective is the strengthening of the joint management capacity for implementation of the basin-wide IWRM Plan, and demonstrating the environmental and socioeconomic benefits of an ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River basin. The Result Framework (RF) has a single objective, 4 components and 11 outcomes. The outcome and outputs are aligned with the objective of the project. The focus of each component is described under 3.2 & 3.7.
55. Some, but not all of the indicators in the result framework are relevant, precise and SMART (Specific; Measurable; Achievable and attributable; Relevant and realistic; Time-bound, timely, tractable and targeted) and there is gender disaggregation in many but not all of the indicators. Furthermore, some indicators have low levels of gender aspiration and are not fully aligned with the ORASECOM Gender Strategy. Indicator for improvement in ecosystem status is measurement of approved e-flows but does not mention exactly to what level of e-flow. For the activity of building of capacity of ORASECOM Secretariat in PES, indicator does not clearly mention on what aspect of PES. Another indicator is regular consulting WIS and increasing access but it does not mention any levels. There are no related indicators or information requirements in the WIS. Indicator related to sharing of lessons by at least 3 countries each year does not mentioned the level of forum in which lessons will be shared. Indicators has not mentioned clearly on types of outreach materials to be produced. Also regarding water quality monitoring, what parameters should be monitored are not mentioned. All are based on sound scientific monitoring protocols using the most relevant measures for a given criteria.
56. There were four risks identified in the project document and no additional risks identified at any other stage. Of these risks, 2 are regulatory, 1 strategic and 1 operational. All the risks and assumptions outlined in the project document were logical and robust. This helped in identifying appropriate activities and required precautionary measures to address them. Arrangements for all risks and assumptions were made, and with these arrangements the project was able to implement activities effectively and work towards the achievement of the targets. As per standard UNDP requirements, the project had provision of monitoring risks quarterly and report status of risks to the UNDP Country Office which is recorded in the UNDP Atlas risk log.

3.2 Progress Towards Results

3.2.1 Progress towards outcomes analysis

Attainment of Objectives:

57. The project made an effort to address the environmental issues of the Orange-Senqu River Basin, and the barriers to improving water and basin management were also identified in the problem analysis. It

aimed to contribute to enhanced technical and institutional capacity in mainstreaming sustainable water and basin management into plans and programmes at the national and local levels, raising awareness and the capacity of communities on environmental values of restoration of river and basin ecosystem and natural resource management measures. The following project outputs were delivered:

Within Component 1:

- ORASECOM and the Benguela Current Commission undertook a joint mission from the 18th to the 23rd of April 2021 within the South-South Cooperation framework and the Source-to-Sea concept to share experiences on water quality monitoring. The two RBOs continue to share information and knowledge for enhanced cooperation and efficient use of resources and avoid duplication of water quality sampling in commonly shared areas around the Orange-Senqu River Mouth area.
- Two Private-Public Partnerships (PPP) were identified (Letseng Diamond Mine of Lesotho & NAMDEB Diamond Mine of Namibia) for water resources management.
- A draft report on transboundary PES was developed (after discussion it will be finalised and implemented).
- Consultant hiring process was initiated to facilitate PES program.
- Project hired a communication and knowledge management expert with a clear ToR to support knowledge management.
- The project facilitated communication among ORASECOM stakeholders through the provision of internet mobile data and video conferencing equipment.
- Enhanced South-South Cooperation.
- A consultant was hired to facilitate development of basin-wide water resources monitoring.
- Initiated use of WIS by researchers and stakeholders from four countries.
- Initiated discussion on strengthening of the transboundary environmental monitoring network and ensuring that the network is reporting via the WIS.

Within Component 2:

- Basin-wide reporting by stations on water quality (10% stations reporting).
- Developed groundwater model, inclusive groundwater maps and well protection zones.
- Identified pollution point sources and associated risks.
- Hired consultant to monitor basin-wide water resources system.
- Developed groundwater model, inclusive groundwater maps and well protection zones.
- Established solar-powered desalination plants in Botswana.
- As adaptation and preservation techniques, Botswana introduced livelihood elements (horticulture and support to small stock production).

Within Component 3:

- The Orange-Senqu River Mouth (OSRM) and river management plan was developed by South Africa, for the South African side of the system.
- An integrated situational analysis and transboundary management plan for Namibia and South Africa was developed (but has not yet endorsed) to rehabilitate the Orange-Senqu River Mouth (OSRM) which includes a plan for reinstating the Ramsar wetland site status, which was lost in 1995.
- Developed baseline report on nutrient load in selected points of the river.

Within Component 4:

- A clearing programme was put into place following extensive stakeholder consultation – with the Forestry Ministry in Namibia on board.

58. A summary of the project's achievements is given below, followed by an outline of the attainment of objectives. Thereafter a Review of Outcomes to Impacts is provided in Table 3, as well as a brief discussion on the verifiable impacts. A summary evaluation of the project Outputs is given in Table 4 followed by a more detailed description. A detailed evaluation of the level of achievements made against the indicators of success contained in the result framework is given in Annex XII.

Summary of Achievements

59. **Within Component 1**, to identify the possibility of establishing PPP and PES schemes and developing draft agreements, the project initiated discussion with the governments of Lesotho and South Africa, as well as NGOs and private sector firms working in these countries. It is realised that institutionalisation is still required however, in order to reinforce certain interventions. A consultant was hired to conduct a literature review and make recommendations for two potential PPP models. A draft report was developed for discussion among ORASECOM structures. Discussion was initiated with GIZ on the Integrated Catchment Management (ICM) funded by the government of Lesotho, government of Germany and the EU, to formulate a PES initiative involving Lesotho and South Africa's public and private sector entities. Discussion on the strengthening of the transboundary environmental monitoring network and ensuring that the network is reporting via the WIS was also initiated. To support knowledge management, the project hired a communication and knowledge management expert. The project organised/supported regional knowledge management and learning activities for supporting South-South cooperation. However, the lack of a knowledge management plan meant learning materials were not produced strategically. Opportunities were also taken to share knowledge on water desalination, integrated water resource management and water quality monitoring. The project promoted reporting through basin-wide monitoring and disseminating findings through the ORASECOM WIS. Already, 10% of the stations are reporting through WIS. However, no tracking mechanism exists, and no system of reporting is in place. Under Outcome 2: The joint basin survey (JBS) was conducted by the Member States, ORASECOM Secretariat, and the consulting company. Further, samples from about 50 sites around the Upper Orange and Senqu, Lower Orange and Vaal sections of the river were collected, in tandem with regular monitoring of aquatic ecosystem health. **Within Component 2**, for JBS 3, new monitoring tools micro-plastics, eDNA and radiological analysis were added. Also, groundwater systems were monitored. Laboratory Benchmarking was successfully completed with nine national laboratories participating in the exercise. Two solar-powered desalination plants have been established in Botswana. **Within Component 3**, baseline and situational assessment was undertaken to identify and prioritise rehabilitation actions for the Orange River Mouth and the restoration of Ramsar site status. The assessment presented recommendations and an implementation plan. The project has developed a River Management Plan for the South African side. Similarly, the project is reactivating the Transboundary Management Plan (Namibia and South Africa) that was previously developed. **Within Component 4**, a clearing programme was put into place following extensive stakeholder consultation. However, obstacles include the fact that some of the land is privately owned. Despite this, the Forestry Ministry in Namibia has ostensibly lent its support to the programme which is a major success.

Overall, the project has achieved a few of the key global and local environmental objectives, as demonstrated in the project tracking tool, and yielded limited global environmental benefits. The

project can be presented as “average practice” in terms of its design and key achievements to date. For example, three Joint Basin Surveys (JBS) have been conducted, strengthening data collection and sharing, and capacities. Moreover, collaboration and cooperative management has been strengthened across the basin through the JBS and other initiatives. Hence, the attainment of objectives and results is evaluated as **Moderately Satisfactory**.

Objective Indicators

60. A single Project Objective was articulated in the results framework with a development objective. The project objective was “Strengthening joint management capacity for the basin-wide IWRM implementation and demonstrating environmental and socio-economic benefits for ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River basin and resilience of ecosystems”.
61. The project aimed to achieve its stated objective through 4 outcomes, 11 sub-outcome and 39 outputs. Full details and an evaluation of achievements against targets are provided in Annex XII. The project was able to accomplish few of the mid-term level targeted activities.

TABLE 3: Review of outcomes to impacts at project Mid-term level

Component and Outcome	Findings	Review of Outcomes to Impacts
Site Level Outcomes		
Component 1: Institutional/policy Reform and Capacity Building		
Outcome 1.1: ORASECOM's capacity to develop innovative financing schemes strengthened.	<ul style="list-style-type: none"> Initiated discussions with the Govt. of Lesotho and South Africa and private sector entities working in the area on possibility of establishment of PPP and PES schemes. Consultant was contracted to conduct a literature study and make recommendations for potential PPP models and PES models. A draft report is ready for discussion. 	BC (Likely)
Outcome 1.2: ORASECOM's joint basin planning capacity strengthened through improved data and information management and basin management support systems	<ul style="list-style-type: none"> Researchers and stakeholders in the 4 countries are using WIS but number of hits are still limited. Discussions on strengthening of the trans-boundary environmental monitoring network and ensuring that the network is reporting via the WIS have taken place. 	BC (Moderately Likely)
Outcome 1.3: SAP and country-specific Action Plans revised and updated for next 5-year cycle.	<ul style="list-style-type: none"> Not initiated yet as countries have lacked the capacities to do this. Based on stakeholder interviews, it is anticipated however that the action plans will retain the current priorities, while specific action plans should be informed by the outcomes of this MTR. 	BC (Moderately Likely)
Outcome 1.4: Transboundary Environmental and Social Assessment Guidelines endorsed by Basin.	<ul style="list-style-type: none"> Initiated and conducted the review and updating of the transboundary environmental and social assessment guidelines and circulated to the Member States for comment. ToR developed to enlist the services of a consultant who has updated the guidelines and who will support a participatory process for concluding and adopting the guidelines. 	BC (Moderately Likely)

Component and Outcome	Findings	Review of Outcomes to Impacts
Outcome 1.5: ORASECOM's capacity on communication, knowledge management, south-south cooperation enhanced.	<ul style="list-style-type: none"> A communication and knowledge management expert is on board with clear ToR. This is a contract position and consideration should be given to making the position permanent to the Secretariat. Not doing so could severely curtail sustainability. The project supported participation and organisation of regional seminar/workshops to support South-South Cooperation. 	BC (Moderately Likely)
Component 2: Water Resource Quality		
Outcome 2.1: Basin-wide water resources quality monitoring system established.	<ul style="list-style-type: none"> Consultant is hired to facilitate development of basin wide water resources monitoring system. The DSS developed by OKACOM is considered an excellent benchmark of regional good practice. 10% of the stations reporting through ORASECOM WIS, which is much lower than the 30% target for the midterm of the project. Joint Basin Survey (JBS) was successfully conducted by the Member States and collected samples from 50 sites and across multiple surveys, which also included aquatic ecosystem health information. In addition to collecting important data, the JBS has also served to strengthen national capacities across all Member States, and to promote transboundary collaboration. 	BB (Likely)
Outcome 2.2: Point source pollution in Lower Mohokare catchment reduced and improved industry standards implemented.	<ul style="list-style-type: none"> Draft strategy proposed as part of baseline assessment which requires board stakeholder input in order to address the complex pollution challenges on the Mohokare River. The perspectives of different but relevant Lesotho stakeholders vary at times on drivers of the problems, and on the solutions to address these. A wastewater treatment facility has been installed, and is operational, at the major textile operation, which has reduced the spread of industrial pollutants into the catchment. However, other sources of pollution and sedimentation persist, including from sewage, municipal solid waste and littering, and from increasing and mining activities that support the local construction industry. Data collection and monitoring stalled approximately 10 years ago as a result of resource and capacity constraints, and lack of prioritisation of this activity as a result of low political will. Data collection and monitoring is however pivotal to the pollution solution, as this enables evidence for decision making and accountability. 	BB (Likely)
Outcome 2.3: Quality and quantity of groundwater resources determined and low-cost groundwater desalination plants piloted in Botswana implemented.	<ul style="list-style-type: none"> A groundwater model is under development. Pollution point sources and associated risks were assessed. Two, pilot containerized, solar-powered desalination plants have been completed in the South-eastern part of Botswana. The Botswana demonstration introduced livelihood elements (horticulture and support to small stock production). 	AB (Highly Likely)
Component 3: Hydrological Regime		

Component and Outcome	Findings	Review of Outcomes to Impacts
Outcome 3.1: Basin-wide environmental Flows regime agreed and implementation supported.	<ul style="list-style-type: none"> • EFR regimes are being determined for Neckertal Dam in Namibia. • Key nodes for EFR implementation across all basin countries have been identified. • Mechanism to implement EFR regimes at strategic nodes needs to be put in place in conjunction with the harmonisation process. • The ToR for the consultant needs to be revised to include a focus on transboundary objectives as this is currently not included as a key focus. 	BC (Moderately Likely)
Outcome 3.2: Critical ecosystem of the Orange-Senqu River Mouth rehabilitated and sustainably managed.	<ul style="list-style-type: none"> • A formalised OSRM Management Plan has been in place on the South Africa side since 2015. • A baseline and situational assessment were undertaken to identify and prioritise joint rehabilitation actions by both Namibia and South Africa for the OSRM. The assessment also presented recommendations and an implementation plan and the latter should be urgently formally endorsed by the two countries. • Transboundary management plan (for Namibia and South Africa) was developed in the past but never officially adopted/signed. This needs urgent re-activation. • Transboundary management of the OSRM has been challenging for more than two decades, although some smaller successes have been attained, for example through a joint irrigation board for water irrigation management between the two Member States • A baseline report for rehabilitation of the river mouth has been developed and consulted on across both countries (individually and collectively). The proposed plan was approved by stakeholders in a joint consultation workshop in 2020 and the plan then formed the basis of the ToR for the current consultancy. • The consultancy's ToR should be revised to focus on reinstating Ramsar wetland status, so as to enable financial flows for the larger rehabilitation project. It should also test the methods proposed in the baseline study for marshland rehabilitation. • This project is not able to finance the larger rehabilitation project as resources for doing this were underestimated at project design phase. • The indicators for removing the causeway and remnant mining equipment should be amended as this is no longer a pertinent target. 	AB (Highly Likely) ¹
Component 4: Community-based Ecosystem Management		

¹ Assessment rating given on the basis that the related recommendations will be followed.

Component and Outcome	Findings	Review of Outcomes to Impacts
Outcome 4.1: Invasive species controlled through integrated management in pilot areas in the Orange–Fish River basin and livelihood options based on invasive species control developed.	<ul style="list-style-type: none"> • Reports are available on invasive species and solutions for control and management. Namibia has developed implementation plans and livelihoods options. • Livelihood generation opportunities have been identified in some sites. • Management and implementation arrangements have been put in place in most sites. • Implementation arrangements in the sites that include privately owned farms and in national parks sites are more challenging to arrive at. Recommendations have been proposed by the MTR consultants to address these challenges. 	BB (Likely)

Note: See Annex IV to understand the interpretation of outcome to impact score letters.

62. The project initiated discussions with the Government of Lesotho and South Africa, and private sector firms working in the area, on the possibility of establishing of PPP and PES schemes. A consultant was hired to conduct a literature review and make recommendations for potential PPP and PES models and a draft report is now ready for discussion. Researchers and stakeholders in the four project countries are using WIS which strengthens the capacity for evidence-based planning. Discussion is also ongoing regarding the strengthening of the transboundary environmental monitoring network and ensuring that the network is reporting via the WIS and 10% of the stations are reporting through ORASECOM WIS. A communication and knowledge management expert is on board to promote awareness among the local communities and also to increase South-South cooperation. Similarly, the project also supported the organisation of a regional meeting for knowledge sharing. The project has hired a consultant to facilitate development of a basin-wide water resources monitoring system. A Joint Basin Survey (JBS) was successfully conducted by the Member States and collected samples from 50 sites which also included aquatic ecosystem health information. A draft strategy was proposed as part of a baseline assessment which requires broad stakeholder input in order to address the complex pollution challenges on the Mokare River. The project assessed pollution point sources and associated risks and has identified the urgent need to reinstate and upgrade monitoring stations and data collection and reporting. It has also identified the need for instituting an artificial wetland system to filter effluent, such as from the Maseru sewage plant, before it enters the river on the Lesotho side. Two, pilot containerized, solar-powered desalination plants have been completed in the South-eastern part of Botswana. The Botswana demonstration introduced livelihood elements (horticulture and support for small stock production). A baseline and situational assessment was undertaken to identify and prioritise rehabilitation action for the Orange-River Mouth. The assessment also presented recommendations and an implementation plan. Similarly, a groundwater model is under development. The formalised river mouth management plan is in place on the South Africa side. A transboundary management plan (for Namibia and South Africa) was developed in the past but never officially adopted/signed, and now the intention is to re-activate this plan. A baseline report for rehabilitation of the river mouth has been developed and consulted on with stakeholder countries, both nationally and collectively.
63. Implementing project activities through communities' participation – and wherever possible employment creation and enterprise development increases awareness, builds capacity and improves the likelihood of sustainability of initiatives including through local ownership. Documentation and dissemination of information on the project activities helps knowledge sharing for the benefit of large populations from various countries who face river degradation and basin ecosystem related risks, and to address risks of a transboundary nature. Similarly, mainstreaming river and groundwater management Support to the Orange-Senqu River Strategic Action Programme Implementation – MTR Report

and accountability practices in local development planning and regulatory enforcement will help to mitigate risks and make the results of the project sustainable.

As a result of the review of outcomes to impacts, the overall likelihood of impacts being achieved is **Likely**. Hence the project is expected to achieve some of its environmental targets, such as for improving water quality, enhancing transboundary environmental assessments, and engaging communities in ecosystem management through improved livelihoods. The removal and management of alien invasive species is a critical success factor and efforts to do this need to be accelerated. The project is also likely to yield environmental benefits by improving the efficiency of water use in the agriculture sector, managing wetland areas, and reducing effluent into the system. Hence its effectiveness is evaluated as Moderately **Satisfactory**.

Ratings

64. As per UNDP guidelines, the MTR ratings are consolidated in Table 4 below.

Table 4: Mid-term Review's Rating Project Performance

Criterion	Comments	Rating
Monitoring and Evaluation		
Overall quality of M&E	The design of M&E was up to standard with a fully itemised cost plan included in the project document covering the various M&E steps, including the allocation of responsibilities. Some indicators should be revised to be SMART and this will enhance M&E. Progress tracking should track against outcomes and not just outputs and activities.	Moderately Satisfactory
M&E design at project start up	As above.	Satisfactory
M&E Plan Implementation	M&E implementation was moderately satisfactory both internal monitoring and monitoring of progress and impact. Progress monitoring supported was affected by COVID-19 and constrained by poor indicators in some aspects. Constraints are further evident in the depth of M&E which is not typically conducted at the outcome level – and only at the output and indicator level. This is evidenced in the project tracking tool. This tool is however regularly applied and is proving to be an effective means of engaging ORASECOM in project tracking and progress reporting.	Moderately Satisfactory
IA & EA Execution:		
Overall quality of project implementation / execution	The Project implementation was affected by the COVID-19 pandemic – particularly the activities of 2020. Later, some of the activities were conducted virtually. Mainly field-based activities and transboundary interactions were seriously affected which resulted in incompleteness of several activities that were set for the mid-term point.	Moderately Satisfactory
Executing Agencies execution	ORASECOM and the Commissioners from the water ministries made an effort to meet the targets but due to a situation that was beyond their control, were not able to complete some of the targeted activities. Furthermore, the low levels of participation of the environmental ministries, due to the revised implementation structure and protocols in place, is constraining implementation. Strong relationships need to be built with the environmental ministries	Moderately Satisfactory
Implementing Agency execution	The Implementing Agency linked very well with ORASECOM and water ministries from all countries, and was actively involved in the project guidance, especially at the PSC level and provided some level of supervision and backstopping to the project.	Satisfactory
Outcomes		
Overall quality of project outcomes	Overall quality is of good although some outcomes that are important are lagging and amendments are needed to various ToR to strengthen the outcomes. Some of the activities were completed (few not completed).	Moderately Satisfactory
Relevance	The project interventions – to strengthen joint management capacity for implementation of the basin-wide IWRM Plan, through implementation of SAP priority actions in the Orange-Senqu River basin to address issues of the river and basin areas – were congruent with national priorities, and remain pertinent in light of the current level of threats and ground situations.	Satisfactory
Effectiveness	A review of outcomes to impacts (ROtI) shows the overall likelihood of impacts being achieved is Moderately Likely. Since many activities are not completed and several yet to start. Agreements on some documents (socio-economic monitoring of all basin areas, benefit distribution etc) has to be reached and those are very crucial for the effective implementation of the interventions.	Moderately Satisfactory
Cost-effectiveness (Efficiency)	Comparing the project expenses and achievement indicates that it is not cost-effective. About 40% budget is spent but achievement is less than 40%.	Moderately Satisfactory
Sustainability:		

Criterion	Comments	Rating
Overall likelihood of risks to Sustainability	Governments of the four project countries are committed, and outsourcing efforts are being made to secure more funding for upscaling the lessons from this project to other areas of the basin. Efforts are also being made to adjust safety measures, as well as monitoring and managing provisions in the local laws. Local government authorities and communities trained in various aspects related to water management and monitoring. Awareness generation programs have, and will continue to be, conducted to generate awareness at all levels. ORASECOM secretariat will continue its activities beyond the project life, and protection of Orange Senqu River remains a priority for all governments – so they will continue their efforts beyond the life of this project. Sustainability will be negatively impacted by not securing a communications expert beyond the Lifecycle of this project as the lessons and knowledge will need to be disseminated well beyond to contribute to project sustainability. Furthermore, institutionalising key project outcomes and activities, such as the JBS is pivotal to long term project sustainability.	Likely
Financial resources	Governments of project counties are committed to continue prioritising the Orange-Senqu River and surrounds in order to decrease pollution, increase water flow, improve the river and basin ecosystems, and provide economic incentives to local communities dependent on the river. Governments are likely to continue allocating budget spending for their activities but not assured.	Moderately Likely
Socio-economic	Communities were made aware of the management of water and ecosystems, and the sustainable utilisation of local resources for economic benefits through the demonstration projects such as for desalination and horticulture. However, efforts are needed to document and share these benefits and to upscale the successful projects with community members that are not direct beneficiaries. Gender balance is being achieved and this is institutionalised in some countries, such as Botswana. The demo projects are found to not be large enough in size of funding/facility. This needs to be captured in lessons learned, along with business models that are working.	Moderately Likely
Institutional framework and governance	Social and political stability, improved institutional capacity at the national and local levels, and strengthened legal status of basin management and restoration of degraded land, will make the result of the project sustainable. Training local communities and establishing community groups for management of water desalinisation plants and management of the Prosopis species. will establish the sustainability of the project results.	Likely
Environmental	The project itself is designed to address environmental risks and it has improved the environmental condition of the basin and the river. Threat related to water utilisation was addressed and water pollution reduced.	Likely
Impact:		
Environmental status improvement	Improved treatment of effluent from industries, restoration of the marshes and decrease in consumption of water by mining and other industries could contribute to the improvement of river and surrounding basin environment. Improvement in water use efficiency and use of water from alternative sources (after desalinisation) will contribute to the improved flow of water in the river. The development of a knowledge base contributes to evidence-based planning and management. Similarly, policy arrangements and development of local stewardship for river and basin restoration and management contributes to sustainable impacts.	Likely
Environmental stress reduction	Climate-smart restoration practices, treatment of industrial effluent, decrease in use of pesticides and chemical fertilizer in the basin areas, and greater water use efficiency – including use of water from alternative sources – contributes to a reduction in stress on the Orange-Senqu River. Generation of awareness among communities and local authorities also contributes to stress reduction. Project intends to decrease organic pollution in water.	Likely

Criterion	Comments	Rating
Progress towards stress/status change	Involvement of communities for management of the river and basin areas, improvements in the monitoring system, promotion of evidence-based planning and a demonstration of economic benefits related to the sustainable use of local ecosystem resources is expected to contribute to a reduction in threats related to the degradation the basin, and threats induced by climate change. Similarly, improvement in water use and a decrease in pollution from industries and mines also contributes to stress reduction and changing the threat status of the river, basin and entire ecosystem. Demo projects need to demonstrate, document and disseminate benefits and the successful projects need to be upscaled. Similarly, management of invasive species needs to be accelerated to ensure that negative environmental consequences that could negate these progress made, are not incurred.	Likely
Overall Project Results		Moderately Satisfactory

Achievement of Project Outputs & Outcomes

65. This section provides an overview of the main achievements of the project. Considering the results achieved under each of the outcomes, and the progress towards the overall objective, the project effectiveness is rated as **Moderately Satisfactory**. The project generated numerous significant results, fulfilling many of the planned activities. The project objective was stated as *“Strengthening of joint management capacity for implementation of the basin-wide plan and demonstrating environmental and socio-economic benefits of ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River basin.”*

The project supported community-based water management to conserve river and basin biodiversity by incorporating activities such as the monitoring of water quality for both ground water as well as river water, desalinisation of ground water for consumption by livestock and villagers, management of Prosopis (planned), encouraging the mining industry (and others) to decrease river pollution, support local communities in their economy through horticulture activities, and generate awareness among communities and government staff for effective management of the river and basin ecosystem. These approaches were applied in selected pilot sites, and ground water desalinisation has successfully demonstrated a participatory approach of sustainable ground water management through cooperation between government staff and local communities. Most of the project outputs are ranked individually as **Moderately Satisfactory**; hence overall achievement of outputs and activities is evaluated as **Moderately Satisfactory**. Only a few of the project outcomes have been achieved, hence achievement of outcomes of the project is also rated as **Moderately Satisfactory**, and overall project is also rated as **Moderately Satisfactory**.

3.2.2 Remaining barriers to achieving the project objective

66. There were significant disruptions in all sectors during the COVID-19 pandemic and some of the project activities have had to be paused and re-evaluated according to the past and current constraints, including limitations on travel and gatherings of people. Obstructions due to the COVID-19 pandemic still exist, although to a much lesser extent than those faced in 2020. Though the project has adopted alternative means to address these problems, some activities still require a physical presence on the ground. The

project has implemented a strategy of involving NGOs, community members, and companies or individual consultants to implement some of the planned activities at national level and at demonstration sites. There is also a plan to develop a protocol to conduct surveys, as well as for data collection and analysis. Similarly, the intention is to proceed with in-person meetings by making COVID-19 tests and vaccinations compulsory. The durability of results achieved by the project will largely depend on the strengthened capacities of the relevant authorities, and prioritisation by the governments. The project also needs to focus on involving local communities, economic incentives related to river management and rehabilitation activities, and stimulating private sector engagement. Many of the targets of the Mid-term point have not been achieved, and there are also targets of second half (beyond MTR point) so the project needs to exempt implementation process to achieve all targeted outputs so that by the end project objective will be achieved.

3.3 Project Implementation and Adaptive Management

3.3.1 Management Arrangements

67. The project implementing partner for this project is Orange-Senqu River Commission (ORASECOM). ORASECOM is responsible and accountable for managing the project; including the monitoring and evaluation of the project interventions, achieving project outcomes, and ensuring effective use of UNDP resources. The management arrangements were presented to, and discussed with, stakeholders including the ORASECOM technical task team during a workshop held between the 28th and 29th of April 2016.
68. Project Steering Committee (PSC): The project Steering Committee is the highest decision-making body for the overall project. It is responsible for establishing consensus, making management decisions when guidance is required by the project coordinator – including recommendations for UNDP/Implementing Partner approval of the project plans and revisions – and addressing any project level grievances. In order to ensure UNDP’s ultimate accountability, PSC makes decisions in accordance with standards that ensure management for development results, best value for money, fairness, integrity, transparency, and effective international competition.
69. UNDP provided a three-tier supervision, oversight, and quality assurance role. UNDP supervision was accomplished through standard procedures and undertaken competently. Key aspects of supervision were made through UNDP’s involvement in communication with ORASECOM, MoE from project countries, and other stakeholders. The UNDP CO from each country, through its Energy and Environment Unit, was heavily involved in regular issues such as the review and approval of work plans and budgets, review of progress and performance against such work plans, and completion of the tracking tools. Annual and quarterly planning of activities was done on time with active participation of stakeholders – including the Technical Advisor (TA). TA also provided support in the quality assessment of all products coming from the project team and consultants. Similarly, risk management options were identified in close consultation with partners and experts and the project was able to manage risk efficiently.
70. During the project initiation meetings, UNDP’s project assurance role and oversight was presented and discussed in detail and endorsed. The project implementation was led by ORASECOM in coordination with the water ministries of each project country. There was very good communication and coordination between implementing and executing agencies, although the role of and relationships with the environmental ministries need to be strengthened. Regular meetings were conducted to discuss the progress and constraints of the project. UNDP had ensured high-quality technical and financial

implementation of the project through its local office in each country. ORASECOM was responsible for monitoring and ensuring the proper use of the GEF and other partners' funds. It was further responsible for timely reporting of implementation progress as well as the undertaking of mandatory and non-mandatory evaluations. All services for the procurement of goods and services, and the recruitment of personnel were conducted in accordance with UNDP procedures, rules and regulations. The Project Management Unit (PMU) was formed to coordinate and manage the project activities, and it facilitated the achievement of targeted results on time. It was also responsible for delivering adequate and appropriate management practices, program planning and proper implementation and timely reporting. The project was implemented through a PMU which had one Project Coordinator and Programme Manager, and several support staff (IT, admin/finance staff, driver, and field coordinators). The project utilised the water ministries of each country at the national level to implement activities and monitoring. A risk management strategy was developed through a detailed analysis of issues, involving all partners and experts, and was effectively implemented. The project hired qualified experts to conduct studies and conduct demonstrations at the sites level. The capacity of the relevant government and community groups was enhanced for strengthening performance.

Risk Management

71. Due to the COVID-19 pandemic, the project faced a moderate risk of not achieving its expected outputs in a timely manner due to delays in the implementation of some activities. Restrictions due to the COVID-19 pandemic affected travel, physical training, and meetings with beneficiaries and stakeholders. Activities like the preparation of the Project Social and Environmental Safeguards management plans were delayed because the consultant was not able to travel to the sites and freely interact with the community, or engage in capacity building of officers from the state parties in water resources modelling/planning. Further, there were no regional, interstate water resources modelling/planning exercises organised and no training in transboundary environmental monitoring. Neither was the use of WIS organised as ORASECOM could not find a trainer who could offer courses virtually. Establishing a baseline in terms of water related socioeconomic benefits at each demonstration site was delayed because travelling to conduct surveys was not possible. Also, the project coordinator resigned on 30 June 2021 which affected project implementation because it took some time to recruit a new coordinator. The new coordinator also had to understand and update herself on the project. To adapt to the situation, the project conducted some meetings and workshops virtually. The groundwater taskforce, surface water taskforce, communication teams, ORASECOM team, and technical team regularly met virtually for capacity building and information sharing.
72. To adapt to the situation and avoid further delays in project activities implementation, the project developed a strategy which included recruiting local NGOs, and companies or individual consultants, to implement some of the planned activities at national level and at demonstration sites, as well as to conduct the training of project beneficiaries and stakeholders virtually with training modules produced and shared with the trainees in advance. It was also decided to develop protocols for data collection and to conduct surveys. Virtual training for data collectors was conducted, and portals created for data entry analysis were presented. The project secured support to get internet and the necessary equipment and tools for the online communication required as part of the regular regional consultations. For the meetings that required in-person attendance, the respective COVID-19 tests and vaccinations were made compulsory.

3.3.2 Work Planning

73. The GEF endorsed the project for implementation on 19 November 2018, and the governments of four pilot countries approved the project document on 12 April 2019 – the official project start date. The project implementation was delayed by approximately eight months, with the inception workshop held on 20 November 2019. The project progress reports indicate that the delay was due to staff recruitment and shorting out implementation arrangements. Delivery of the first instalment from GEF took place on 7 May 2019. By the MTR point a total of US\$ 4,377,261, i.e., 40.5% of the GEF funds, have been spent. The project strategy and results framework were thoroughly reviewed during the project inception workshop, and annual planning was also done. There were no major changes made to the result framework during the inception workshop.
74. The COVID-19 pandemic in 2020 posed challenges to work planning. Adaptive management measures have been implemented in response to the COVID-19 pandemic but there remains a high level of uncertainty regarding the duration and possible recurrence of the crisis over the short to medium term.

3.3.3 Finance and co-finance

75. The total project cost as per the project document was US\$375,289,629, which includes US\$10,815,137 in cash and US\$364,474,492 in kind. The GEF contribution to the total project cost was expected to be US\$10,815,137 in cash, while the governments of the four project countries, in addition to ORASECOM, UNDP (CapNet), GIZ, GWP-SA, UK DFID/CRIDF, were expected to make in kind contributions of US\$364,474,492. Of the committed amount from GEF (US\$10,815,137), the actual amount received by the mid-term point was US\$4,815,137. Of the in-kind contribution, only information of contribution from the Government of Lesotho (US\$76,210,343) and from GIZ (US\$6,672,000) was available.
76. The executing and implementing agencies closely monitored financial transactions and program implementation processes. The project conducted auditing every year and its presented financial transactions and audit report did not reveal any major issues. The financial transactions were monitored by ORASECOM as well as UNDP as part of their standard monitoring practices.
77. As per the project document, the project management costs (PMC) (cash) were within the budgeted amount and none of the expenses have exceeded the budgeted amount in any phase. Information on the project country government contributions for management was not available (only the US\$76,210,343 equivalent in-kind contribution from Lesotho). Total spending by the mid-term point was US\$4,377,261 in cash and US\$82,882,343 in kind. Committed co-financing by the governments and other organisations was US\$364,474,492, which creates a co-financing ratio of 3:97 (donor: govts & other organisations), which is a very good ratio in terms of good practice. The project expenses were fully covered by donor-funded cash.

Table 5 Total disbursement of funds (US\$) against budgeted as per Project Document.

	Cash/in-kind	Budgeted US\$	Actual expenses (by MTR point) US\$	Due amount US\$
GEF	Cash	10,815,137		6,437 876

			4,377,261 (40.5%)	
Government of Botswana	In-kind	6,892,000	2,042,000	4,850,000
Government of Lesotho	In-kind	47,877,343	76,210,343	(+) 28,333 000
Government of Namibia	In-kind	18,917,001	18,917,001	0
Government of South Africa	In-kind	286,107,600	?	?
ORASECOM	In-kind	1,876,000	1752,798	123,202
UNDP CapNet	In-kind	400,000	?	?
UK DFID CRIDF	In-kind	855,000		
GIZ	In-kind	981,048	6,672,000	(+) 5,690,952
GWP-Southern Africa	In-kind	568,500		
Total		375,289,629	109,971,403	45,434,730

Source: ORASECOM Secretariat

Table 5 shows the actual funds spent from the GEF funds. These show clearly that the actual expenses have not exceeded the budgeted amount. Analysis of budgeted and actual expenditure does not show any major differences. The expenses correspond to work accomplishment in those respective phases.

78. Governments' in-kind contribution covered the cost of the project office rooms; contribution to ORASECOM Secretariat; support for participation in ORASECOM programmes (surveys, data analysis, reporting, planning etc.); water supply and socioeconomic development; water (ecosystem) quality monitoring at the national and transboundary levels; investments into infrastructure for water quality monitoring such as hydrometric stations; water use planning; water allocation; pollution control at national and transboundary level; overall water resources and catchment management (management of wetlands; addressing land degradation including invasive species; cost of electricity, telecommunications; government staff salaries and costs of the time contribution by the PS and his team and chair of the PSC and technical support; transport to travel to and around the project sites, etc. The exact figure of governments' and other organisations' in-kind contribution was not available (except for Lesotho and GIZ).
79. GIZ support was dedicated to integrated catchment management in Lesotho which included activities like rehabilitation of degraded rangelands; updating and harmonising relevant policies and legislation for ensuring effective management of catchment areas; sustainable financing mechanisms to support catchment management; skills and knowledge transfer and; awareness and behaviour change and catchment monitoring. In collaboration with ORASECOM, GIZ supported documentation for upscaling of good practices from transboundary IWRM flagships on ecosystem-based and nexus approaches, generation of awareness-raising and behaviour change activities, regional learning and exchange and private sector investment.

80. At all times, the chair of the PSC has been kept abreast of the project's progress through good reporting and this has allowed the necessary budget revisions to be made on a sound basis. Similarly, the link between the Ministry of Environment and the UNDP CO in each country has been efficient in ensuring that budget replenishments have been timely as far as practicable. It is learned that as UNDP CapNet money has to be spent in Covid-19, it was not available for the project. Similarly, UK DFID support was linked to their ongoing project which completed before this project was initiated so their support could not be received. GWA SA information was not available.

Coherence in climate finance delivery with other multilateral entities

81. Several partners are working with ORASECOM to contribute to the Orange-Senqu River Basin program, and the ORASECOM Secretariat has maintained high-level coordination with them. Joint meetings were organised on a regular basis with international partners to avoid duplication and maintain cooperation among the partners. Secretariat conducted monitoring of all projects within the basin and made all partners aware of ongoing activities in the basin. The SAP benefited from the International Cooperation Partners (IPCs) because it was implemented by ORASECOM, and the ORASECOM Secretariat coordinated and maintained cooperation of all projects implemented in the basin. Multilateral entities involved in the Orange-Senqu Basin, and their areas of support and financial contribution, are tabled below:

Table 6: climate finance delivery

Funding Agency	Area of Support	Amount	Time Frame
UNDP GEF	Implementation of priority areas from the Strategic Action Plan and National Action Plans.	US\$ 10.8 million	2017 – 2022
GIZ	Institutional strengthening and implementation of components of the IWRM Plan: clarifying the notification process, exploring sustainable financing for the Secretariat, establishing a ground water information system, documenting ground water recharge on transboundary and key aquifers, joint ground water surveys, gender mainstreaming, and internship.	600,000 Euro (continuously being updated based on emerging priorities)	2016 – 2019
African Development Bank (NEPAD and AWF)	Developing a climate resilient investment plan; components of feasibility study for the dam and conveyance to supply parts of southern Lesotho, a corridor in South Africa, and delivering +/- 3 cubic metres of water per second to Botswana. The infrastructure project under feasibility is entitled Lesotho-Botswana Water Transfer Project	3.5 million Euro	2017 – 2020
SIWI – EU Africa Water Partnership Project	Institutional and governance model for implementing the Lesotho-Botswana Water Transfer Project.	300,000 Euro	2017 – 2019
CRIDF - additional	Financing model for the Lesotho-Botswana Water Transfer Project	Under negotiation	2018-2019

World Bank	Components of feasibility of the Lesotho-Botswana Water Transfer Project	US\$ 1.5 million (under negotiation)	2018 – 2020
UNESCO/SDC	Stampriet Transboundary Aquifer System (STAS) Groundwater Resources Governance Improvement Project	US\$ 860,000	2013-2019

3.3.4 Project-level monitoring and evaluation systems

M&E Design

82. The project design included a good monitoring and evaluation (M&E) plan which is comprehensive in its depth and scope. The project had a results framework to monitor achievements and the results framework had clear objectives and components, was appropriate with regards to the relevant issues, and was designed with consideration for the timeframe of the project. The output targets were also very realistic compared to the budget and timeframe. A detailed survey was conducted, following standard scientific procedures, to identify the most vulnerable sites which helped in identifying locality for interventions. Roles and responsibilities of the partners were made clear from the project design phase. The indicators of the log-frame were all Specific, Measurable, Attributable and Relevant, Achievable and Realistic, and Time-bound. The inception workshops were conducted before initiating project activities. All activities were listed and explained with clear responsibilities. Baselines were already set in the Project Document and were gender disaggregated (except few). The inclusion of indicators for each activity was not only appropriate and useful for evaluation but also good for management purposes. The activity targets have given priority to women in training, alternative livelihood activities and management of Orange-Senqu River and basin areas.

The design of the M&E framework was fully itemised and adequately costed in the Project Document, covering all the various M&E steps – including the allocation of responsibilities and provision for monitoring of technical aspects. The feedback mechanisms were also **Satisfactory**. Similarly, targets were realistic for the timeframe, noting the impacts of COVID-19. Some indicators need to be SMART aligned, which will also aid the M&E process. Monitoring and evaluation design has been evaluated as **Moderately Satisfactory**.

M&E Implementation

83. Monitoring and evaluation of the project activities has been undertaken in varying detail at three levels:
- Progress monitoring
 - Internal activity monitoring
 - Impact monitoring
84. Progress monitoring has been good and was being done through annual reporting by the UNDP CO and augmented by project site visits, for example to the OSRM and Botswana. The annual work plans have been developed at the end of each phase with inputs from the project staff and the UNDP CO. The annual work plans were then submitted for endorsement by the PSC. The implementing team has also been in regular communication with the UNDP CO and ORASECOM regarding progress, the work Support to the Orange-Senqu River Strategic Action Programme Implementation – MTR Report

plan, and its implementation. They also visited project sites in each country for monitoring project implementation. The indicators from the result framework were realistic and effective in measuring progress and performance. Project management has also ensured that the UNDP CO from each country received annual progress reports providing updates on the status of planned activities, the status of the overall project schedule, and deliverables completed. The report format contained quantitative estimates of project progress based on financial disbursements. The UNDP CO from each country generated its own quarterly financial reports from Atlas. These expenditure records, together with Atlas disbursement records of any direct payments, served as a basis for expenditure monitoring and budget revisions – the latter taking place bi-annually following the disbursement progress and changes in the operational work plan, and also on an *ad hoc* basis depending upon the rate of delivery.

85. The UNDP forwarded annual reports to the UNDP Regional Coordination Unit, and also uploaded all the information in Atlas. The annual reports cover major findings and observations from the period March to February (some reports were from January to December). Like other UNDP projects, PIR was prepared each year. All key reports were presented to PSC members ahead of their meeting, and through these means, key national ministries and national government have been kept abreast of the project's implementation progress.
86. The Project Management Unit (PMU), ORASECOM and the UNDP have maintained a close working relationship, meeting or talking with the project staff members on an almost regular basis to discuss implementation issues and problems.
87. The project's risk assessment has been updated annually by the UNDP and ORASECOM, with the main risks identified, along with adequate management responses and person responsible (termed the risk "owner"), which in most cases differs from the person who identified the risk. The project has provided for this MTR and a Terminal Evaluation. The project had allocated sufficient budget for Monitoring and Evaluation. The M&E budget was US\$ 308,000 from GEF budget and US\$198,000 co-financing.
88. Internal activity monitoring undertaken by UNDP CO (of each country), Ministry of Environment (of each country), ORASECOM, and the PMU appears to have been good – comprising a range of mechanisms to keep people informed of the situation and to respond quickly and effectively to any areas of concern. Many methods were used to track progress, and implementation has been guided by the Annual Work Plan. The project has formalised communication for monitoring procedures and the members were also in frequent contact.
89. Impact monitoring has been well-developed, with formal protocols in place to measure the functioning of improved management, evidence-based planning, decreased levels of pollution, improved land management, and efficient use of water. However, assessments to examine the impacts were not initiated until the mid-term point. Undoubtedly, this has arisen due to the scientific background of the project design team, enhanced by the technical staff and managers. As is most often the case, adaptive management of the project has been influenced to a much greater extent by external variables – and overcoming the problems (or seizing the opportunities) that these have presented – than by responding to internal monitoring.

M&E implementation has been **moderately satisfactory**, with progress monitoring and internal activity monitoring. Field monitoring was affected by COVID-19 restrictions. The risk assessments and feedback system were good, and the consultant considers it to be "good practice"; hence the implementation of monitoring and evaluation has been evaluated as **Moderately Satisfactory**.

3.3.5 Stakeholder engagement

90. At the project development phase, the project development team undertook extensive consultations with a wide range of stakeholders from national government bodies, non-government institutions, INGOs, local government bodies and academic institutions from all four states through a series of opinion polls, presentations, interviews, group discussions, site visits and workshops. These wide-ranging consultations were undertaken to ensure that stakeholders at all levels are aware of the project and its objectives and that they assist in the identification of threats to the Orange-Senqu River, the basin areas, and biodiversity in general. A thorough assessment of the relevance, experience, and capacity of implementing partners from each country and other stakeholders was also conducted. This assessment helped to utilise the strength of the implementing partners and also to develop capacity enhancement programs. The project design, determining criteria for potential sites, and site selection, were carried out with stakeholder participation.
91. The project was executed by ORASECOM and implemented in partnership with the MoE of each country. The other responsible parties by virtue of their mandates were: national departments of water, local NGOs, civil society organisations, various local governments, academic institutions, communities, and consultants.

Gender Equity and Women Empowerment/Cross-cutting issues

92. The gender aspect was given high priority from the project development phase. The Gender Inequality Index (GII), which analyses three critical elements that reflect gender inequalities (reproductive health, empowerment, and participation in the labour force), was used to measure gender-based inequalities. Based on the Human Development Report of 2013, these four countries exhibit a similar GII index but there is more diversity within each criteria (see ProDoc). The project document utilised challenges, related to water resource management in the Orange-Senqu River basin, identified for gender mainstreaming during consultative meetings with ORASECOM Member States that took place in August 2014. Gender mainstreaming was endorsed during the regional meeting in May 2014 by the ORASECOM Member States and included in the IWRM plan for ORASECOM. The strategy also included an implementation plan for strategic level gender interventions.
93. The UNDP-GEF project's gender mainstreaming efforts were guided by the ORASECOM Gender Mainstreaming Strategy and contributed to its implementation both at the basin and national levels. The Local Project Appraisal Committee meeting held on 13 July 2016 proposed, and approved, interventions for the UNDP-GEF project, which included gender mainstreaming and a clear set of indicators to track progress. The meetings helped to generate clarity and understanding on the importance of gender and the pivotal role that women play in the provision, management and safeguarding of water at a local, community and user level. However, knowledge regarding gender mainstreaming for transboundary water resources management practices through a transboundary, basin wide IWRM Plan needs to be strengthened.
94. The project also prepared a Gender Action Plan to contribute to the implementation of the ORASECOM Gender Mainstreaming Strategy through various project activities under all components. The enterprise that will be developed on the clearing of Prosopis (Outcome 4.1) is intended to empower women groups at the demonstration sites in Namibia. Outcome 2.2 has a policy component which deliberately promotes women empowerment at all stages of the demonstration project. The guidelines for the support of Support to the Orange-Senqu River Strategic Action Programme Implementation – MTR Report

livelihood activities around the water desalination plants in Botswana have a clause to ensure that 60% of the beneficiaries will be women and youths. The project meetings always included gender considerations in order to generate greater participation from women and youths, and to provide them with an opportunity to present their own views. Involvement of women in project activities has also been helpful in community mobilisation to support the project, and helped lower the cost of construction for two desalination plants – through the provision of labour.

3.3.6 Social and Environmental Standards

95. The UNDP environment and social safeguard requirements were strictly adhered to during the development of this project. At the design phase, the project assessed environmental and social issues and threats to natural resources – including river and rangelands biodiversity and the impact of unsustainable water use practices and livelihoods in the project area. In accordance with the UNDP Social and Environmental Screening Procedure, the project is categorised as moderate risk and it is not expected to have any major adverse environmental or social impacts. It has given priority to the social norms that were considered while identifying activities and implementation modalities. Based on the information from these assessments, programs were developed to address threats to biodiversity, agriculture, and livelihoods. Similarly, it was identified that one of the main causes of threat to the river and basin areas was the poor local economy, high dependency on the river, and unsustainable use of river water and ground water. To address these problems the project developed sustainable water use practices, decreasing water use by industries, decreasing pollution, addressing invasive species, conserving biodiversity, and providing economic incentives to poor communities – with a focus on women and youth. Moreover, the project also created a provision for the participation of local communities in the project activities to make sure that the project results would be sustainable. The activities ensured that no harm comes to any local, social and cultural values. Similarly, conservation efforts will improve the environment of the area and also safeguard water and livelihoods.
96. The project aimed to achieve improved water resources management in the transboundary Orange-Senqu River basin using the ecosystem-based approach. With the intention being that the project interventions will result in improved ecosystems in the targeted areas by reducing risks to environmental sustainability (Principle 3 of SESP). The project made efforts to mainstream gender, and empower women and girls across all interventions and for that the project implemented the ORASECOM Gender Mainstreaming Strategy which contributed to improved gender equality and women's empowerment (Principle 2 of SESP).

3.3.7 Reporting

97. Three Project Implementation Reports (PIR) have been prepared, and four PSC meetings were held by mid-term. Adaptive management changes, e.g., delays in initiating the project implementation, have been covered in the PIR's. Adaptive management changes to the project strategy were discussed and documented in the project inception report. Adaptive management measures associated with the current COVID-19 pandemic have been implemented and will need to be further considered during the second

half of the project. Apart from the PIR reports, there are a number of reports generated on the project, including progress reports by the specialist consultants recruited by the project.

3.3.8 Communications and Knowledge Management

98. The institutional capacity review of ORASECOM identified communication as a weakness of the commission. Hence this project has activities to strengthen the communication capacity of ORASECOM. Component 1 (Outcome 1.5) is to have activities to contribute to enhancing transboundary basin planning and joint management of the basin. M&E and the adaptive management process is strongly linked to the development of good communication channels that will permit feedback from stakeholders and mechanisms to react to this feedback. The outcome of this component will contribute to addressing barrier 1, and also cut across the other barriers – since improved communication and knowledge management will support all aspects of improved resource management. Similarly, the M&E and adaptive management processes are strongly linked to the development of good communication channels that will permit feedback from stakeholders and mechanisms to react to this feedback. Already (after recommendations of institutional review), the ORASECOM Secretariat has recruited a communication expert. For the communication program, the project has allocated US\$250,000.
99. The project also hired a communications and knowledge management expert who started work on the 1st of August 2019. Moreover, the project started to deliver on implementation strategy, specifically through revision of the ORASECOM website. The project also made a presentation on the project outcomes and outputs in the knowledge sharing webinars. The project also supported the ORASECOM delegation in attending the 2019 World Water Week in Stockholm from the 25th to the 30th of August 2019 – where ORASECOM featured in sessions. The project coordinator participated in the 5th Targeted Regional Workshop for GEF IW Projects and Partners in Africa that was held in Gaborone, Botswana from the 27th to the 30th of May 2019 – where lessons and experiences were shared in Integrated Water Resources Management. The project has also established video conferencing facilities at the Secretariat to enable continuity in communication and contact between the Secretariat and delegations – especially crucial during the height the Covid-19 pandemic. Further, this helped ensure the convening of virtual meetings as required. The project also facilitated the production of promotional materials (T-shirts, brochures and banners) for the World Wetlands Day in Namibia for February 2020.

3.4 Sustainability

100. The project interventions are at three levels i.e., i) at the multi-national level, ii) at the national level and iii) at the community level. The results from all three levels are likely to be sustainable.

3.4.1 Financial risk to Sustainability:

101. The outlook for the long-term financial sustainability of the project appears good as the governments of each country have given it high priority and UNDP is interested in continuing their support for this initiative. Government agencies mentioned that their support will continue to enhance the results of the project and they are interested in replicating activities like water desalinisation, Prosopis management, and basin management in new areas. Since the project is in line with the governments' priorities, they may allocate budget spending to replicate the good practices from this project. The project is also seeing Support to the Orange-Senqu River Strategic Action Programme Implementation – MTR Report

opportunities to arrange financing for river and basin ecosystem management through schemes like PES services and also by involving the public and private sectors in such activities, through formal or informal PPP arrangements. Further work is needed to realise these opportunities which are in the very early stages of development and uptake. Notably, there are no PES systems that have been successfully implemented in the southern African region to date, despite two decades of research and piloting. PPPs, particularly of a formal nature, have also proven difficult to implement as the regulatory requirements are stringent in some countries and regarded as prohibitive by some stakeholders, although there are lessons that can be extracted from SADC's transboundary demonstration projects as implemented under the Regional Strategic Action Plan (RSAP). Financial sustainability is therefore **Moderately Likely**, assuming that the key challenges to PES and PPPs are overcome through targeted interventions.

3.4.2 Socioeconomic risk to Sustainability:

102. The social sustainability of the project appears good. The awareness-raising activities have certainly been beneficial and undoubtedly changed people's minds at the national and community levels with regards to river basin management, climate change risks, and adaptation practices. The empowerment of local communities through awareness raising (planned) and supporting the household economy with increased income from horticulture, Prosopis management, rehabilitation activities, and providing desalinated water for livestock and also for consumption by communities (excess amount), has been one of the lynchpins which could lead to behavioural change. This has created a supportive environment, and as a result, enjoys an increasingly wide support base which could be an attraction for other agencies to replicate the good practices. The beneficiary groups of the demonstration projects are however not large enough and a critical mass needs to be attained in order to realise and demonstrate socio-economic benefits and to ensure community based eco-system management. Therefore, the socioeconomic sustainability is rated as **Moderately Likely**.

3.4.3 Institutional and Governance risk to Sustainability:

103. The institutional sustainability of the project is good. The project helped communities to establish a greenhouse and provided seeds for horticulture activities to assist the rural economy. Providing desalinated water for the livestock will also help to increase income from livestock. This will help to generate local support for basin management activities. The project worked with the water ministries, and through them and to some extent with the environment ministries, to manage the basin and to address water related problems. Government authorities are sensitised to the management of water flow and the reduction of pollution in the river, for the improvement of the entire basin ecosystem. This could contribute to emphasising river basin ecosystem management in government's priorities and planning. Similarly, all the ORASECOM Member States have robust environmental policies and laws, and the project results are guided by these laws and policies. Note, however, that these laws and policies are not always harmonised between countries, indicating differentiated policy priorities between countries that can at times limit joint management initiatives. The project is developing transboundary Environmental Assessment Guidelines to guide water development and management projects. Therefore, the institutional sustainability is ranked as **Likely**.

3.4.4 Environmental risk to Sustainability:

104. .Environment sustainability is one of the most important elements of the project strategy. The project achievements will directly reduce climate change-related and development related risks and improve ecosystem of the river and basin areas for maintaining ecological functions. The capacity development and evidence-based planning to mainstream river and basin management could help make the project outcomes sustainable. Moreover, involvement of local communities, community-based organisations, NGOs and private sectors entities contributes to the maintenance of the river and basin ecosystem. The project outcomes will contribute to the maintenance of the ecological functions of the river and the basin areas – and the community and private sector will also develop a sense of stewardship for maintaining the river and basin areas. The project activities also help to reduce river and land degradation. Hence the environmental sustainability is deemed to be **Likely**.

The overall sustainability of the project results is ranked as **Moderately Likely**.

3.5 Conclusion

105. The project was able to accomplish a few of the mid-term targets, although restrictions on travelling and gathering due to the COVID-19 pandemic affected the implementation of several activities. To address the water and ecosystem degradation problems, the project intervened in four areas: awareness generation, enhancing capacity of relevant institutions in ground and river water monitoring, restoration of rangeland ecosystems, and providing economic incentives through various programs. The project was able to make significant improvement in inter-governmental collaboration (transboundary). The project developed two potential PPP and PES models which are under discussion; however, countries have asked for an awareness program (training) on PPP and PES models before confirming the implementation of these models. In this regard, the project has also initiated a discussion with GIZ on the Lesotho Integrated Catchment Management Project (ICMP) – funded by the Government of Lesotho, the Government of Germany, and the EU – towards the formation of a PES initiative involving Lesotho and South African public and private sectors. The project has initiated a discussion on strengthening the transboundary environmental monitoring network and ensuring the network will report via WIS. The project has hired a communication and knowledge management expert to facilitate communication and knowledge management activities for awareness generation at different levels. For knowledge sharing, the project has contributed to South-South cooperation and knowledge exchange through supporting participation in regional knowledge management and learning activities. In line with this, the project also financed a revision of the ORASECOM website in order to update relevant information. The project also facilitated communication among ORASECOM stakeholders – especially through the provision of internet mobile data and video conferencing equipment. Video conference facilities have been established at the Secretariat to enable continuity in communication and contact between the Secretariat and delegations (which was particularly useful during the peak of the Covid-19 pandemic). The project has piloted two solar-powered desalination plants in Botswana of which one is complete and ready for testing, and the other is at the final stage of equipment fitting and is expected to be operational within a few weeks. This will help address water scarcity in the Botswana basin villages by supporting horticulture and livestock, and providing clean drinking water for two villages. A baseline and situational assessment was undertaken to identify and prioritise rehabilitation actions for the Orange River Mouth and this study has also provided a recommendation and implementation plan. As per these recommendations a contractor was awarded a 12-month contract to implement a pilot-size rehabilitation project over an area of about 30 hectares in Alexander Bay, in the Northern Cape province of South

Africa, and bordering Namibia. The pilot rehabilitation work will include: soil stabilisation through environmentally friendly methods such as the installation of erosion control blankets and erosion control cylinders; replanting of dune vegetation using a mix of wetland vegetation species and; designing and implementing an irrigation system to sustain the replanted vegetation.

106. South Africa has a formalised River Mouth Management Plan in place; however, it needs revision, including with updates from the transboundary situation analysis and management plan developed by consultants with ORASECOM in 2020. An interim Integrated Transboundary Management Plan (for Namibia and South Africa) was developed under the project but has not been officially adopted so the intention is now to revise the plan and come to an agreement between South Africa and Namibia. The issue of the selected indicator estuarine species was briefly discussed in July 2019 during the OSRM Steering Committee meeting but did not reach a conclusion, with the plan being to conclude in the next meeting. To study the change in nutrient loads in river water a baseline report for the rehabilitation of the river mouth was developed, and based on this, a ToR has also been developed. The project is not able to initiate *Prosopis* management activities in Namibia due to an inability to decide on a suitable model. The project team is still seeking information on the models and their results – from South Africa and elsewhere.
107. A basin-wide water resource monitoring system is being developed with the help of a consultant and this will help provide basin-wide water quality information on a regular basis – which will be important for ensuring that planning is more evidence-based. The project also conducted a Joint Basin Survey (JBS) in 50 sites in the Upper Orange, Senqu, Lower Orange, and Vaal sections of the river. The survey included monitoring of aquatic ecosystem health (fish, macro-invertebrates, water quality, diatoms) for the entire river system. This monitoring – besides regular monitoring – included three new monitoring tools: microplastics, eDNA, and radiological analysis. The project also completed laboratory benchmarking with nine national laboratories that participated in the monitoring exercise.
108. A baseline study was undertaken, and the report has been finalised. This study identified pollution hotspots (with GPS references), mapped the sources of pollution, and identified initial measures to address these challenges. A draft strategy is proposed as part of the baseline assessment, but it needs further input from stakeholders to address the complex pollution challenges on the Mohokare River. Similarly, the contractor was engaged to undertake a groundwater assessment in the Molopo basin, and a groundwater model is under development. Implementation of pollution reduction measures has been delayed. In 2020, the project was affected for some time due to the COVID-19 pandemic. But, with the help of local community and government, it was able to accomplish a few of the targeted activities. The project has been underpinned by good science and a technical approach of high calibre, which helped maintain the technical standard of the interventions. It has established an information system on surface and groundwater for promoting evidence-based development planning of the governments from the project countries. From a gender perspective the project was found to be gender friendly, because among the beneficiaries, 60% were women. Some of the activities of the first half (MTR point) were not completed (detail informed in the Appendices). The project has not been able to identify appropriate PES schemes, and has not been able to increase the number of stakeholders who use WIS, SAP 2 and country-based Action Plans for the next 5-year cycle of the programme. Transboundary ESA guidelines have been developed but not yet adopted, and only 10% of the basin-wide stations are reporting, noting that the MT target was 30%. The DSS is not ready and therefore could not be reviewed, and the baseline pollution level at selected point-sources has not been established. Procedures for the harmonisation of E-flows hydrology and ecosystem and resources use across all Member States has not been established and the proposals for mechanisms for implementing E-flows for all sites have yet to be agreed. Finally, the rehabilitation of the OSRM has not taken place and a plan has still to be finalised for implementing

this process. In this regard, the indicator for removing the remnant causeway and old earth-moving equipment needs to be amended as the associated studies, which had been conducted by the MTR period have recommended alternate rehabilitation pathways that were agreed by stakeholders to the OSRM. Lastly, the removal of estuarine alien species not started and the Prosopis clearing programme has still to commence (still not able to finalise model to remove Prosopis). With this, very few income generating activities have been initiated, although these have been identified.

109. To make the outcomes and interventions sustainable, the project is going to form community groups. They will be trained in basin management and income generation activities like rehabilitation activities, horticulture, and management of Prosopis. The project activities will also link various institutions, from a national to grassroots level, including government agencies, local authorities, and communities – generating benefits for sustainability. The participatory model developed by this project can be used for the restoration of the river, other wetlands, and basin ecosystems, and has also addressed water related problems. The program needs to be expanded to cover further areas within the basin. This model will be useful for several other parts of the river, especially when it comes to addressing water related threats and for conserving the river and basin ecosystem.

3.6 Recommendations

Rec.No.	MTR Recommendation	Entity Responsible	Time frame
Relevance/Up scaling			
1	PPP should be treated together with PES and PPP project should be included in the finance committee's scope of work. ORASECOM should analyse the performances of the contractor before renewing the contract and new agreement should include PES elements of training. New contract should also include capacitating of the finance committee of PES and promotion of peer learning component. It should also include provision of need assessment to design the training package and trainings should prioritize women with equal number.	ORASECOM	In the second half of the project. Initiate from July 2022.
2	Information generated on pollution and groundwater monitoring should be shared with the government of Botswana so that they will arrange pollution monitoring with their own resources to continue pollution monitoring where ORASECOM could play role of facilitator. Develop and promote community based waste water management model.	ORASECOM, Botswana team.	Initiation should start from July 2022.
Design			
3	It is recommended to develop and implement knowledge management strategy and plan of actions and make a permanent arrangement (permanent staff, regular updating etc.) for effective and sustainable knowledge management. There should be a system for regularly updating the websites with knowledge products and progress of ORASECOM progress. Also public outreach activities which is underway be finalized in the 3rd quarter of 2022. Similarly, ORASECOM reports should be produced by mid-2023 and thereafter every 2 years and be disseminated to wide audiences besides Ministries.	ORASECOM	Between July-December 2022

4	It is recommended to develop a concrete plan of action with standard indicators to manage pollution more efficiently and cost-effectively. The target may need to be reviewed and for remaining pollutants, other potential donors should be approached. The source points of pollution should be monitored and reported regularly.	ORASECOM	Between July-December 2022
5	Invasive species controlling should be done through conservancy model because economic benefits from removing of Prosopis is only possible for the first year and only in the areas where the trees with timber value or wood value exists. ORASECOM should work with NUST who has experience from research on Prosopis. Namibia intends to develop a system for monitoring groundwater level to track the effectiveness of Prosopis clearing on water level and this could be shared with all countries so that they could benefit from it. For the field level monitoring and documentation, post graduate students could be included.	ORASECOM	From July 2022
6	Regarding rehabilitation and management of critical ecosystem of the Orange-Senqu River Mouth, it is recommended to revise the scope of the work to include RAMSAR site status reinstatement and to conduct piloting for rehabilitation of the salt marshes with community employment. The recommendations for developing JMP should be implemented through working closely with DFFE, South Africa.	ORASECOM,	Initiation should start from 3 rd quarter of 2022.
7	Install data monitoring stations along the strategic points of the Lesotho side of the Mokare river and facilitate a constructive working relationship between ORASECOM and ICMP.	ORASECOM and the Ministry of Water, Lesotho.	Initiate from the 3 rd Quarter of 2022.
8	Design reporting arrangements between Lesotho and South Africa on data monitoring, impacts of pollution and pollution management, and of	ORASECOM and Ministries of Water and Environment of Lesotho and South Africa.	Initiate form July 2022.

	industrial development and mitigation of the impacts thereof between countries.		
	Revising and developing updated SAP and country-specific Action Plans for the next 5years should be done by the end of 2022 taking account of changes in the Basin and with emphasis on key drivers (populations, climate change, poverty) as well as developments such as the Botswana-Lesotho water transfers.	ORASECOM	Initiate from July 2022.
Implementation/Management			
9	It is recommended to link Google Analytics to the WIS site to track hits and that administrator monitor and report on routinely basis to ORASECOM. Indicators in the WIS should be clear and gender considered. Also raise resources for the other stations and for linking data therefrom to the WIS. Identify priority stations (upper catchments of the basin) for incremental implementation. Develop and agree (sign) data sharing protocol between the member states.	UNDP, ORASECOM	Immediately after MTR.
10	Data sharing between countries was found facing technical problem. There are many lessons from UNDP/GEF projects on data sharing from different parts of the globe. UNDP through its global network should help to share lessons for successful data management projects from other countries. Before these, it is recommended to ORASECOM make data sharing agreements with protocol of data sharing between the Member States.	ORASECOM/UNDP	Initiate form July-August 2022.
11	All activities that are behind the target should be moved in fast tracks to ensure that by the end of the project targets are attained. Signing of agreements should be given priority because that will affect the follow up activities.	ORASECOM	Initiate from July 2022.

12	Transboundary Environmental and Social Assessment guidelines should be implemented and for this secretariat prompt South Africa for a response and also ORASECOM strengthen its relationship with relevant Ministries to ensure that countries are aligned in terms of progress. Gender balance should be maintained in workshops representation.	ORASECOM	From July 2022.
13	Namibia team was unclear on the baseline study and rehabilitation of the OSRM (who is operating what and how?). A recommendation is to implement pre-agreed joint management and implementation arrangements and train the officials and communities of both countries on implementation interventions. This training should integrate country specific data.	ORASECOM	Immediately after the MTR and the relevance and design recommendations outlined above.
14	Recommended to develop a ToR and commission consultant in the 3rd quarter of 2022 to analyse social and environmental benefits of all interventions with gender priority, balanced benefit distribution (sharing) and including indicators across interventions implement in M&E of the project activities. M&E should also include impact monitoring.	ORASECOM	3 rd Quarter of 2022.

ANNEX I: TERMS OF REFERENCE FOR MID-TERM REVIEW

UNDP-GEF ORASECOM SAP Implementation Project

Midterm Review Terms of Reference

BASIC CONTRACT INFORMATION

Location: Orange-Senqu River Basin Commission State Parties (Botswana, Lesotho, Namibia and South Africa)

Application Deadline: 03rd September 2021

Type of Contract: Individual Contract (**Local Consultant**) Post

Level: Regional Consultant

Languages Required: English

Estimated Starting Date: (9th September 2021)

Duration of Initial Contract: 5 Months (40 Consultancy days spread over 5 months)

BACKGROUND

A. Project Title: Support to the Orange-Senqu River Basin Strategic Action Programme (SAP) Implementation (PIMS# 5506)

B. Project Description

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled *Support to the Orange-Senqu River Basin Strategic Action Programme (SAP) Implementation* (PIMS# 5506) implemented through the *Orange-Senqu River Basin Commission (ORASECOM)*, which is to be undertaken in 2021. The project started on the 1st May 2019 and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (<https://intranet.undp.org/unit/office/eo/SitePages/gef-evaluation-guidelines.aspx>) specifically: *(COVID) UNDP-GEF-MTR-TOR-Template-June2020 ENGLISH JobsSite (3)*.

PROJECT BACKGROUND INFORMATION

The Orange-Senqu River Basin originates in the highlands of Lesotho and runs for about 2300 km to its mouth on the Atlantic Ocean on the border between Namibia/South Africa. In 2000, the Orange-Senqu River basin state parties signed the agreement to promote transboundary cooperation that gave birth to the Orange-Senqu River Commission (ORASECOM).

ORASECOM, with support from UNDP, managed to secure further financial support from GEF to implement selected priority activities of SAP. The UNDP-GEF project titled, Support to the Orange-Senqu River Strategic Action Programme Implementation, will be implemented by UNDP and executed by ORASECOM in the next 5 years to support ORASECOM and its member states to implement SAP. The Investment from GEF is **US\$ 10,815,137**. The project has been built on the TDA which has carried out the necessary causal chain analyses in order to identify the transboundary threats to the sustainable development and management

of the water resources of the Orange-Senqu Basin. Having identified and understood the threats and their causes, it was possible to identify the barriers which are preventing the removal of these threats, so that sustainable development/management of the basins water and related resources can proceed.

The overall objective of the SAP Implementation project is the strengthening of joint management capacity for implementation of the basin-wide IWRM Plan and demonstrating environmental and socioeconomic benefits of ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River basin. The project is implemented through 4 Components.

Component 1 Outcomes

The objective of Component 1 is to contribute to the enhanced transboundary basin planning and joint management of the basin. Realisation of this objective will especially contribute to the removal of Barrier 1, the limited basin-wide understanding of the available resources but also to removal of the other 4 barriers because of improved management. There are several targeted outcomes for Component 1.

Outcome 1.1: ORASECOM's capacity to develop innovative financing schemes strengthened.

Outcome 1.2: ORASECOM's joint basin planning capacity strengthened through improved data and information management and basin management support systems.

Outcome 1.3: SAP and country-specific Action Plans revised and updated for next 5-year cycle.

Outcome 1.4: Transboundary Environmental and Social Assessment Guidelines endorsed by Basin States.

Outcome 1.5: ORASECOM's capacity on communication, knowledge management, south-south cooperation enhanced.

Component 2 Outcomes

The outcomes of Component 2 are mainly aimed at addressing Barrier 3, the deteriorated quality of water resources. Focus is on industrial pollution and groundwater resources but the importance of water quality monitoring is given emphasis. The component also address Barrier 2, the limited potential for additional yields in the system by looking at how groundwater resource can be better used and protected.

Outcome 2.1: Basin-wide water resources quality monitoring system established

Outcome 2.2: Point source pollution in Lower Mohokare Catchment reduced and improved industry standards implemented.

Outcome 2.3: Quantity and quality of groundwater resources determined and low-cost groundwater desalination plants piloted in Botswana.

Component 3 Outcomes

Component 3 focuses on Addressing Changes to the Hydrological Regime through the application of the "Source-to-Sea concept". This will contribute in a critical way to the removal of Barrier 4, the adverse effects of a changed hydrological regime. As indicated in Section II, the hydrological regime has been highly altered.

Key areas will include agreement on environmental flows and their implementation and the implementation of measures to sustainably rehabilitate the Orange-Senqu River Mouth.

Outcome 3.1: Basin-wide environmental Flows regime agreed, and implementation supported.

Outcome 3.2: Critical ecosystem of the Orange-Senqu River Mouth rehabilitated and sustainably managed.

Component 4 Outcome

Component 4 concerns improved land productivity and improved living conditions through community-based sustainable land management. The focus area under this project will be on the control of invasive species in pilot areas on the Fish River in Namibia and the lower Orange in both Namibia and South Africa.

Outcome 4.1: Invasive species controlled through integrated management in pilot areas in the Orange–Fish River basin and livelihood options based on invasive species control developed.

Output 4.1.1: Distribution and abundance of invasive species in the basin determined and mapped
Output 4.1.2: Prosopis in pilot areas cleared

The work required to realise this output will be planned and designed together with Output 4.1.3.

Output 4.1.3: Economic opportunities based on alien clearing created

The project had a smooth start of its implementation in May 2019 and was expected to make good progress by June 2020, but the COVID-19 significantly distorted the project's 2020 work plan. E.g. the Joint Basin Survey, which was one of major output of 2020, had to be shifted from this year to the next year. Baseline establishment work for all demonstration sites have been put on hold because of the movement restrictions. 4 consortia of consultants were procured in time for each of them to start working at the 4 different demonstration sites from 1 March 2020, but they have been put on hold. Since COVID-19, very few field work trips have been authorized in most of 2020 and 2021. The project is highly relevant to the needs of the basin and closely aligned to the ORASECOM SAP implementation. It is on track; however, under some Outcomes the progress is behind the workplan, largely due to COVID-19. Realizing that the impacts of COVID-19 will not go away soon, the project has learnt to work more efficiently through virtual means and in this regard has supported the stakeholders from the 4 state parties with procurement of internet data. Additionally, the project has had to ensure that each international consultant hired during this period has a collaborating local consultant so that activities continue even with travel restrictions since most of the restrictions are around international travel.

Brief overview of the institutional structure of the Orange-Senqu River Basin Commission (ORASECOM)

The UNDP-GEF support to the Strategic Action Programme (SAP) implementation project is coordinated by ORASECOM Secretariat through the Project Management Unit (PMU). Since the project is supporting implementation of the SAP, all ORASECOM relevant structures, briefly presented below, have a role on the implementation of the project in line with their respective mandates.

The MINISTER'S FORUM

The Forum of Parties is comprised of Ministries responsible for water in the four Member States. The Forum initiated regular (annual) "Ordinary" meetings in 2011 and has since been incorporated into the ORASECOM Agreement as a structure of the Commission, in its revised version, signed in 2018.

The ORASECOM COUNCIL

The Council is the principal organ responsible for defining and guiding policy as well as for the general supervision of the activities of ORASECOM. The Agreement establishes Council as a technical advisor to the Parties on matters relating to the development, utilization, and conservation of the water resources in the River System. The Parties may also assign other functions pertaining to the development and utilization of water resources to the Commission. Article 5 of the Agreement empowers Council to take all measures to make recommendations on *inter alia*; water availability in the basin, equitable and reasonable sharing of water, studies on the development of the River System, the extent to which stakeholders should be involved in management of the system, the prevention of pollution and the control of aquatic weeds and plans for emergency situations.

All recommendations provided by Council to Parties must be contained in a report, signed by the leader of each Delegation. These reports must also include estimates of the cost of implementing the recommendation

and may suggest how these costs may be apportioned between the Parties. Recommendations to Parties must therefore not only indicate what must be done, but also how it must be done.

Technical Task Teams

The Commission mostly works through a subcommittees system of four Task Teams (Technical, Communications, Legal and Financial) of which the members are technical experts or advisors nominated by each delegation. Technical working groups are formed as required. Their work is facilitated by a Permanent Secretariat with offices established in South Africa.

ORASECOM Secretariat

The ORASECOM Secretariat is an organ of ORASECOM, with the legal capacity and mandate to assist ORASECOM in implementing its decisions. It also provides administrative, financial and general secretarial services support and assumes an instrumental role in information sharing and communication. The Secretariat is responsible for the day-to-day operations of ORASECOM and is based in Centurion, South Africa. ORASECOM Secretariat core staff includes the Executive Secretary (ES), who heads the Secretariat, The Water Resources Officer, Finance and Administrative Officer and the Administrative Assistant. As and when projects funding is available, the Secretariat is complimented by Project based staff.

Institutional arrangements of the project, relevant partners and stakeholders

The project is implemented by UNDP and executed by ORASECOM; an Inter-Governmental Organization (IGO) established by the four state parties.

The Project Management Unit (PMU) is hosted in the ORASECOM Secretariat. The PMU is comprised of a Project Coordinator, Water Quality Environmental Expert, Communications and knowledge Management Specialist and a Project Administrative and Finance Officer. For the project implementation to follow as closely as possible to the ORASECOM's institutional structure presented above, and avoid the creation of project-specific implementation structures, the project reports through the various task teams of ORASECOM and a Project Steering Committee

The Project Steering Committee (PSC) provides oversight and strategic guidance to the project. The Project Steering Committee has 10 Permanent Members, as follows: 4 Commissioners to represent ORASECOM Council (one Commissioner per state Party), 4 Representatives of Department of Environment from the 4 state parties and 2 UNDP officials (UNDP, as GEF Implementing Agency to be represented by officer responsible from the UNDP Regional Office and the officer responsible from the South Africa country office). The Host ORASECOM Commissioner Chairs the PSC

The PSC is responsible for making management decisions for the project when guidance is required by the Project Coordinator. Its roles include (i) to review the project progress, approve budgets and financial reports, and review and approve outputs as requested, (ii) to provide strategic guidance and policy directions to project implementation and to (iii) ensure the relevance of the project by making sure that the project is well aligned to national policies and priorities of the countries and the basin it supports.

The ORASECOM Task teams assures the PSC that the project is being implemented effectively, ensures the quality of technical outputs from the project, and assists in the implementation of national and regional activities. It supports the ORASECOM Secretariat to coordinate the UNDP-GEF project with other ORASECOM initiatives supported by other partners and/or carried out by the countries or ORASECOM themselves to ensure the effective delivery of the ORASECOM Programme and the ORASECOM SAP

Implementation. The ORASECOM Task composition comprises of technical specialists from the four ORASECOM state parties. The roles and responsibilities of the Task Teams includes: (i) ensuring the technical quality of the final project deliverables through the review of ToRs and project deliverables at the draft stage, as requested by the Project Coordinator, (ii) critically examine submitted consultancy and research work to ensure product quality, and (iii) serve as a source of objective technical advice to all those involved at the policy, planning, management and implementation levels. The Technical task Teams are accountable to the ORASECOM COUNCIL and accessible to the PMU (entrusted to contribute in their respective areas of expertise).

As indicated in the background above, COVID 19 has had a negative impact in the implementation of activities due to restricted travel. This has meant that the consultants, Project team and stakeholders from government and non-governmental institutions have had to put away travel to demonstration sites and so on. As of 27th July 2021, South Africa has had 2,383,490 confirmed cases of COVID-19 with 70,018 deaths, reported to WHO. As of 26 July 2021, a total of 6,384,382 vaccine doses have been administered (<https://covid19.who.int/region/afro/country/za>). South Africa has a population of 60,041,994 (<https://www.google.com/search?q=south+africa+population+in+2021>). As of 27th July 2021, Botswana has had 102,124 COVID 19 positive cases and 1485 deaths out of a population of 2,397,241 (<https://www.google.com/search?q=population+of+botswana+2021>). As of 27th July 2021, Namibia there have been 116,964 confirmed cases of COVID-19 with 2,834 deaths, reported to WHO. As of 26 July 2021, a total of 170,973 vaccine doses have been administered (<https://covid19.who.int/region/afro/country/nambia>). Namibia has a population of 2,587,344 (<https://www.google.com/search?q=namibia+population+2021>). As of 27 July 2021, Lesotho has had 12,880 confirmed cases of COVID-19 with 363 deaths, reported to WHO. As of 26 July 2021, a total of 72,948 vaccine doses have been administered. Lesotho has a population of 2,159,079 (<https://www.google.com/search?q=lesotho+population+2021>).

C. MTR Purpose

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability. Further, the MTR will assess the impact of COVID 19 on the implementation of the project and make recommendations on necessary changes in order for the project to still continue to make reasonable level of implementation progress even with the COVID 19 pandemic situation.

DUTIES AND RESPONSIBILITIES

D. MTR Approach & Methodology

The MTR must provide evidence-based information that is credible, reliable, and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/ Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature and Energy (NCE) Regional Technical Advisor, direct beneficiary and other key stakeholders. Engagement of stakeholders is vital to a successful MTR.² Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to (ORASECOM commissioners, Project Steering Committee members, Departments of water; Departments of Environment in all the 4 ORASECOM countries, Department of Forestry in Namibia; The National stakeholders Forums in each of the 4 state parties; District Leadership; Traditional leaders in Bokspit area of Botswana, Oranjemund City Council, The NAMDEB Diamond Mine in Namibia, Alexkor Diamond Mine in South Africa, Letseng Diamond Mine in Lesotho); executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. In terms of relevant International Cooperating Partners (Africa Development Bank funded Lesotho-Botswana Water Transfer Project, Lesotho European Union funded Integrated Catchment Management project, Global Water Partnerships, Climate Resilient Infrastructure Development Facility – CRIDF, among others); Additionally, the MTR team is expected to conduct field missions to (Botswana, Lesotho, Namibia, and South Africa and Namibia including the following project sites (Botswana (Kgalagadi District), Lesotho (Caledon-Mohokare catchment), Namibia (Karas Region) and South Africa and Namibia (Orange River mouth in Alexander Bay and Oranjemund)). If the field mission does not take place, stakeholders will assemble in selected places to interact virtually with the consultants at the following places (Tsabong for Botswana; Keetmanshoop for the Namibia Prosopis site; Maseru for the Caledon-Mohokare site; Alexander Bay for the South African side of the River Mouth site and Oranjemund for the Namibian side of the Orange River mouth site.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues such as vulnerable group and persons with disability, and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR should be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders, and the MTR team.

Consultants are highly encouraged to travel to the sites. However, in case COVID 19 travel restrictions will still be in place during the undertaking of the Mid-Term Evaluation, UNDP South Africa and ORASECOM will ensure that virtual meetings are arranged. This will include interviews with key stakeholders at project sites to enable the MTR consultants to get an actual feel of the situation on the ground. This immediate implication of the COVID 19 situation is that the MTR consultants will need to do a lot of desk review. Additionally, the project management unit will need to submit all the necessary documents so that the consultants are able to form a clear picture about the progress made on the project from the documentation.

The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure (SESP)), the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area Core Indicators/Tracking Tools

¹ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

² For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach³ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

The final MTR report must describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to each of the ORASECOM state parties has been restricted since 28th March 2020 and travel within each of the countries is also restricted. The 4 countries have kept moving up and down across the 5 alert levels of COVID-19. If it is not possible to travel to or within the ORASECOM states for the MTR mission then the MTR team should develop a methodology that takes into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

If all or part of the MTR is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final MTR report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. Equally, qualified, and independent national consultants can be hired to undertake the MTR and interviews in country as long as it is safe to do so.

E. Detailed Scope of the MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

1. Project Strategy

Project Design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated

³ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

into the project design? Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?

- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, considered during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
- Review the impact COVID 19 has had on project implementation. What more could have been achieved in terms of project implementation had it not been for the COVID 19 pandemic that restricted travel?
- If there are major areas of concern, recommended for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

2. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red). Compare and analyse the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

3. Project Implementation and Adaptive Management

Management Arrangements

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.

- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Work Planning

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
		TOTAL			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file.)

Project-level monitoring and evaluation systems

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?

- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

Stakeholder Engagement

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
 - The project's overall safeguards risk categorization.
 - The identified types of risks⁴ (in the SESP).
 - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

Reporting

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

⁴ Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

Communications & Knowledge Management

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

4. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. The MTR consultant/team should make no more than 15 recommendations total.

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See the TOR Annexes for the Rating Table and ratings scales.

F. Expected Outputs and Deliverables

The MTR team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than **2 weeks** before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: (20th September 2021)
- MTR Field mission: 4th October to 5th November 2021
- Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: (9th November 2021)
- Draft MTR Report: MTR team submits the draft full report with annexes **within 3 weeks** of the MTR mission. Completion date: (26th November 2021)
- Final Report*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit **within 1 week** of receiving UNDP comments on draft. Completion date: (17th December 2021)

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

G. Institutional Arrangements

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is *UNDP South Africa Country Office (CO)*.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements **within the ORASECOM** state parties for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits. The Project team and ORASECOM will be responsible for arranging all virtual meetings to ensure that the MTR consultant have as much access to the project area as possible within the limitations of COVID19.

H. Duration of the Work

The total duration of the MTR will be approximately 40 days over a time period of 20 weeks starting 02 September 2021 and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
27 th August 2021	Application closes (through existing roster)
3 rd September 2021	Selection of MTR Team
9 th September 2021	Starting date for the MTR Consultants
11 th September 2021	Prep the MTR Team (handover of Project Documents)
The week of 13 – 17 September 2021 (3 days)	Document review and preparing MTR Inception Report
The week of 20 – 24 September 2021 (3 days)	Finalization and Validation of MTR Inception Report - latest start of MTR mission
4 th October – 5 th November 2021 (25 days)	MTR mission: stakeholder meetings, interviews, field visits
9 th November 2021(1 day)	MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission.
The week of 15-19 November 2021 (exact date to be confirmed) (1 day)	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission (presentation of preliminary findings to the Project Steering Committee during ORASECOM Week)
The week of 22-26 November 2021 (3 days)	Preparing draft report
13 -17 December 2021 (2 days)	Incorporating audit trail from feedback on draft report/Finalization of MTR report.
10 and 14 January 2022 (2 days)	Preparation & Issue of Management Response
31 January 2022	Expected date of full MTR completion

The date start of contract is (9th September 2021).

I. Duty Station

The International Consultant will be located at the ORASECOM Secretariat if travel is possible. In addition, the International Consultant will work with a local consultant who will be hired from within the 4 ORASECOM state parties. The work of the local consultant will be to complement the work of the international consultant including undertaking site visits wherever travel will be possible.

Travel:

- International travel will be required to (South Africa, Lesotho, Botswana and Namibia) during the MTR mission;
- The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: <https://training.dss.un.org/courses/login/index.php> . These training modules at this secure internet site are accessible to Consultants, which allows for registration with private email.
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

REQUIRED SKILLS AND EXPERIENCE

J. Qualifications of the Successful Applicants

A team of two independent consultants will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas:

Education (20)

- A Minimum of Master's degree in natural resources management, water resources management, natural sciences, environmental management, environment, development studies, or other closely related field; (20 points) or other closely related field

Experience (70):

- Recent experience with result-based management evaluation methodologies; (10 points)
- Experience applying SMART targets and reconstructing or validating baseline scenarios; (10 points)
- Competence in adaptive management, as applied to in trans-boundary water management, integrated water management, biodiversity and ecosystems, hydrology or related fields for at least 10 years; (10 points)
- Experience in evaluating projects UNDP GEF Project (Mid Term or Terminal Reviews); 10
- Experience working in (*Orange-Senqu basin*) (10 points)
- Work experience in relevant technical areas for at least 10 years; (5 Points)
- Demonstrated understanding of issues related to gender and international waters/transboundary water management; experience in gender sensitive evaluation and analysis (10 points)
- Excellent communication skills.
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset (5 points);
- Experience with implementing evaluations remotely will be considered an asset.

Language (10 Points)

- Fluency in written and spoken English. (10 points)

K. Ethics

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

L. Schedule of Payments

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail Criteria for issuing the final payment of 40 %
- The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

APPLICATION PROCESS

M. Recommended Presentation of Offer

- Letter of Confirmation of Interest and Availability** using the [template⁵](#) provided by UNDP;
- CV and a Personal History Form** ([P11 form⁶](#));
- Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the email address ONLY : bid.pretoria@undp.org indicating the following reference “ Regional Consultant for the *Support to the Orange-Senqu River Basin Strategic Action Programme Implementation* project Midterm Review” by **12 noon Pretoria time (GMT+2) by the 03rd September 2021**. Incomplete applications will be excluded from further consideration.

N. Criteria for Selection of the Best Offer

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the technically qualified least costly proposal that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

O. Annexes to the MTR ToR

Include *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* and other existing literature or documents that will help candidates gain a better understanding of the project situation and the work required.

Annexes include: (reference ToR Annexes in Annex 3 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

- **List of documents to be reviewed by the MTR Team**

- Guidelines on Contents for the Midterm Review Report
- Midterm Review Evaluative Matrix Template
- UNEG Code of Conduct for Evaluators/Midterm Review Consultants
- MTR Required Ratings Table and Ratings Scales
- MTR Report Clearance Form
- Audit Trail Template
- Progress Towards Results Matrix and MTR Ratings & Achievement Summary Tables (in Word)
- GEF Co-Financing Template (in Word)

5

<https://intranet.undp.org/unit/born/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

⁶ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

ANNEX II: EVALUATION QUESTION MATRIX

<u>Evaluation Criteria/Questions</u>	<u>Indicators</u>	<u>Sources</u>	<u>Methodology</u>
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Relevance: How does the project related to the main objective of the GEF focal area, country priorities and to the environment and development priorities at the local, regional and national level?	<ul style="list-style-type: none"> • Project objectives and activities related to objective of GEF focal area and priorities at national, local and regional level • Consistency and contribution to GEF focal area objectives and to national development strategies • Stakeholder views on project significance and potential impact related to the project objective 	<ul style="list-style-type: none"> • Project documents, report vs GEF document and Government development plans • Interview with authorities at different level 	<ul style="list-style-type: none"> • Project report review in the light of GEF document and government's national development priorities • Interviews with relevant personnel
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Achievements: Are there indications that the project has completed its mid-term targets that contributed to, or enabled progress towards PPPs identified and draft agreements in place, two trans boundary PES identified and draft agreement in place, wide range of stakeholders in all four basin states have started using WIS, 50% of trans boundary environmental monitoring network is reporting via the WIS, expertise with all four basin states are able to adjust and run the water resources models independently and draft tras-boundary ESA guidelines available for discussion. Is active participation in regional knowledge management	<ul style="list-style-type: none"> • Information on successful implementation of PPPs identified and draft agreement in place. • Two trans-boundary PES identified and draft agreement in place. • Wide range of stakeholders from basin states started using WIN. • ESA guidelines available. • Basin-wide water resources quality system is operating and providing information on regular basis. • ESA guidelines available for discussion. • Active participation of RBO and RECs in knowledge 	<ul style="list-style-type: none"> • Project Reports • Interview with stakeholders. • Observation in the field. 	<ul style="list-style-type: none"> • Review of project reports/documents. • Interaction with local to national level stakeholders. • Field observation.

<p>and learning activities among RBO and RECs organised by ANBO? Is Basin-wide water resources quality system is operating and providing information on a regular basis? Is pollution points sources in Lower Mohokare all mapped and pollution levels/risks identified? Is draft Comprehensive assessment of groundwater including aquifer potential maps showing sustainable yields and water quality completed? Is appropriate desalination technology identified? Are communities fully sensitised with the environmental and socioeconomic benefits of conservation and prevention technologies? Are all existing flows work on hydrology and ecosystem and resources use harmonized across all basin states? Is remnant causeway and old earth-moving equipment removed? Has agreement made in income generating activities and implementation initiated? Is result framework appropriate to analyse the progress towards the development objectives? Are activities and indicators SMART?</p>	<p>management and learning activities.</p> <ul style="list-style-type: none"> • Pollution points sources in Lower Mohokare mapped and pollution level/risks identified. • Draft comprehensive assessment of groundwater including aquifer potential maps showing sustainable yields and water quality completed. • Appropriate desalination technology identified. • Communities fully sensitised with the environmental and socioeconomic and environmental benefits of conservation and prevention technology. • All existing flows work on hydrology and ecosystem and resources use harmonised across all 4 basin states. • Agreement made in income generating activities and implementation initiated. 		
<p>Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting and project communications supporting the project's implementation?</p>			
<p>Efficiency: Was the project implemented efficiently in-line with international and national norms and standards?</p>	<ul style="list-style-type: none"> • Reasonableness of the costs relative to scale of outputs generated • Efficiencies in project delivery modalities Consistency and 	<ul style="list-style-type: none"> • Financial statements • Project structure and function • Project document and annual reports 	<ul style="list-style-type: none"> • Analysis of financial statements. • Analysis of project structure and functionalities

	contribution to GEF focal area objectives and to national development strategies <ul style="list-style-type: none"> • Changes in project circumstances that may have affected the project relevance and effectiveness 	<ul style="list-style-type: none"> • Experience of project staffs and other relevant stakeholders 	<ul style="list-style-type: none"> • Analysis of project circumstances in project document (past and present) • Interaction with relevant stakeholders
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?	<ul style="list-style-type: none"> • Level of achievement of expected outcomes or objectives to date • Long term changes in basin management practices and monitoring, pollution monitoring and management, trans-boundary agreement and information management practices and awareness that can be attributable to the project • Enhanced capacity of relevant institutions • Favourable management option and effective implementation of efficient and sustainable river and basin management. • Participation of women in all activities of the project 	<ul style="list-style-type: none"> • Change in the ground situation observed. • Policy/strategy or program formulation activities included women and their issues incorporated. • Policies/strategies/ programs effectively implemented • Institutions strengthened 	<ul style="list-style-type: none"> • Report with information on effective implementation of activities and strategies • Report on intuition setup • Interaction with the policy level people to ground level communities and field staffs. • Polity document review report. • Field verification of activities
Impacts: Are there indications that the project has contributed to, or enabled progress towards management of river and basin, increased awareness among the communities, sustainable water use management visible?	<ul style="list-style-type: none"> • Improved monitoring. • Increase in knowledge among communities regarding river and basin management, alternative income generation activities and river and ground water monitoring. • Measurable improvements in river water flow, pollution situation and use of water 	<ul style="list-style-type: none"> • Project Reports • Interview with stakeholders. • Observation in the field. 	<ul style="list-style-type: none"> • Review of project reports/documents. • Interaction with local to national level stakeholders. • Field observation.
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

<p>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</p>	<ul style="list-style-type: none"> • Degree to which outputs and outcomes are embedded within the institutional framework (policy, laws, organizations, procedures) • Implementation of measures to assist financial sustainability of project results • Observable changes in attitudes, beliefs and behaviours as a result of the project • Change in knowledge among the local communities • Measurable improvements from baseline levels in knowledge and skills of targeted staffs. 	<ul style="list-style-type: none"> • Project report • Observation in the field • Interview with stakeholders 	<ul style="list-style-type: none"> • Review of project reports. • Observation in the field to see impact on the ground • Interaction with stakeholders
--	---	---	---

ANNEX III: EXAMPLE QUESTIONNAIRE

Project Strategy Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provided the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Reviewing how the project addressed country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country?
- Reviewing decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design.
- If there are major areas of concern, recommend areas for improvement in future initiatives

ii. Framework/Logframe:

- Undertake a critical analysis of the project's logframe targets indicators, assess how "SMART" the midterm and end-of-project targets were (Specific, Measurable, Attainable, Relevant, Time-bound),
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future, catalyze beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved resilience etc.
- Examine whether broader development and gender aspects of the project are being monitored effectively.

iii. Relevance, Effectiveness and Efficiency

- Were the context, problem, needs and priorities well analysed and reviewed during project initiation?
- Were the planned project objectives and outcomes relevant and realistic to the situation on the ground?
- Is the project strategy and intervention logic coherent and realistic? Does the strategy and intervention logic hold or did it need to be adjusted?
- Do outputs link to intended outcomes which link to broader paradigm shift objectives of the project?
- Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- Are the outputs being achieved in a timely manner? Is this achievement supportive of the strategy and pathways identified?
- What and how much progress has been made towards achieving the overall outputs and outcomes of the project (including contributing factors and constraints)?
- To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the UNDP-GEF investment criteria (including contributing factors and constraints)?
- How realistic are the risks and assumptions of the project?
- How did the project deal with issues and risks in implementation?
- To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?
- Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?
- Was the project's governance mechanisms functioning efficiently?
- To what extent did the design of the project help or hinder achieving its own goals?
- Were there clear objectives, outcome and strategy? How were these used in performance management and progress reporting?
- Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management? To what extent and how did the project apply adaptive management?
- What, if any, alternative strategies would have been more effective in achieving the project objectives?

vi. Management Arrangements

13. GEF Partner Agency (UNDP) execution factors will include:

- Whether there is an appropriate focus on results
- The adequacy of UNDP support to the Executing Agency/Implementing Partner and Project Team
- Quality and timeliness of technical support to the Executing Agency/Implementing Partner and Project Team
- Candour and realism in annual reporting
- The quality of risk management
- Responsiveness of the managing parties to significant implementation problems (if any)
- Any salient issues regarding project duration, for instance to note project delays, and how they may have affected project outcomes and sustainability
- Adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure.

14. Executing Agency/Implementing Partner's execution factors will include:

- Whether there is an appropriate focus on results and timeliness?
- Adequacy of management inputs and processes, including budgeting and procurement
- Quality of risk management
- Candor and realism in reporting
- Government ownership
- Adequate mitigation and management of environmental and social risks as identified through the UNDP

vii. Work Plan

- Review any delays in project start-up and implementation, identify the causes and examine if they were solved.
- Identify if work-planning process were results-based.
- Examine the use of the project's results framework/logframe as a management tool and review any changes made to it since the project start.

viii. Finance and Co-Finance

- Whether strong financial controls have been established that allowed the project management to make informed decisions regarding the budget at any time and allow for the timely flow of funds and the payment of satisfactory project deliverables.
- Variances between planned and actual expenditures.
- Whether the project demonstrated due diligence in the management of funds, including annual audits.
- Any changes made to fund allocations because of budget revisions and the appropriateness and relevance of such revisions.

ix. Project level M&E Systems

- The quality of the Monitoring and Evaluation (M&E) plan's implementation: Was the M&E plan sufficiently budgeted and funded during project preparation and implementation thus far?
- The appropriateness of the M&E systems to the project's specific context.
- Did the monitoring tools provide the necessary information? Did they involve key partners? Were they aligned or mainstreamed with national systems? Did they use existing information? Were they efficient? Were they cost-effective? Were additional tools required?
- The extent to which the Project Team was using inclusive, innovative, and participatory monitoring systems
- The extent to which follow-up actions, and/or adaptive management, were taken in response to the PIRs
- The extent to which development objectives were built into monitoring systems: How were perspectives of women and men involved and affected by the project monitored and assessed? How were relevant groups' (including women, children, elderly, disabled, and poor) involvement with the project and the impact on them monitored?
- Adequacy of mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure

x. Stakeholder Engagement

15. MTR will include Stakeholder involvement regarding:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?

- Participation and country-driven processes: Did local and national government stakeholders support the objectives of the project? Did they continue to have an active role in project decision-making that supported efficient and effective project implementation?
- Participation and public awareness: How have stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives? Were there any limitations to stakeholder awareness of project outcomes or to stakeholder participation in project activities? Was there invested interest of stakeholders in the project's long-term success and sustainability?

xi. Reporting

16. The findings section of the MTR report on reporting will include:

- Assess how adaptive management changes have been reported by the Project Team and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs?), and suggest trainings etc. if needed.
- Assess how the PIRs have been shared with the Project Board and other key stakeholders.
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners and incorporated into project implementation.

xii. Communications

17. The MTR report section on communications will include:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of the communication loop? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and long-term investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?).

ANNEX IV. RATING SCALES

i) Criteria used to evaluate the Project by the Mid-term Review Team

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Moderately Satisfactory (MS)	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
Moderately Unsatisfactory (MU)	Project is expected to achieve some of its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

ii) Scale used to evaluate the sustainability of the Project

Likely (L)	There are no risks affecting this dimension of sustainability.
Moderately Likely (ML)	There are moderate risks that affect this dimension of sustainability.
Moderately Unlikely (MU)	There are significant risks that affect this dimension of sustainability.
Unlikely (U)	There are severe risks that affect this dimension of sustainability.

iii) Rating scale for outcomes and progress towards “intermediate states”

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

NOTE: If the outcomes above scored C or D, there are no need to continue forward to score intermediate stages given that achievement of such is then not possible.

iv) Rating scale for the “overall likelihood of impact achievement”.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA BB+	BB AC+ BC+	AC BC	AD+ BD+	AD BD C	D

ANNEX V: ITINERARY OF ACTIVITIES OF THE MID-TERM REVIEW MISSION

Date, time and venue	Meeting	Role in ORASECOM/project	Comments
Botswana, 1 March to 5 March			
1 March Arrival in Gaborone			
Wednesday 2; 09h00 Venue TBC	Meet ORASECOM ES and PMU (Viviane & Mike)	Executing Agency	
Wednesday 2; 11h30 Venue TBC	Meeting with sectoral representatives from Botswana at national level	Various ORASECOM structures (members of PSC, Task Teams, Working Groups) Leading implementation at national level	Thato to invite and Botsalo to organize venue
3 March; 07h00	Travel to Tsabong	Consultants and PMU	Mike to do logistics
3 March; 14h00 Venue TBC	Meeting with sectoral representatives from Botswana – local level	Implementation of the demo project	Force to do logistics
4 March; 07h00	Travel to Rappelspan and Struizendam to meet with beneficiaries	Implementation of the demo project and interaction with beneficiaries	Force to do logistics
4 March; 15h00	Drive to Upington	Consultants and PMU	Mike to do logistics
5 March	Fly from Upington to Johannesburg	Consultants and PMU	Monica to do logistics in consultation with UNDP
6 March 09h00	Meeting with sectoral representatives from South Africa	Various ORASECOM structures (members of PSC, Task Teams, Working Groups) Leading implementation at national level	Monica to do logistics in consultation with Tinashe
8 March	Fly to from Johannesburg to Windhoek, Namibia		Monica to do logistics in consultation with UNDP
Windhoek Namibia (arrive on 8 March and depart on 9 March)			
9 March 09h00	Meeting with sectoral representatives from Namibia	Consultants	Mike to do logistics in consultation with Elise
10 March	Fly to Lesotho (via Johannesburg)	Consultants	Monica to do logistics in consultation with UNDP
Maseru Lesotho (arrive on 11 March, depart 13 March)			
12 March 09h00	Meeting with sectoral representatives from Namibia	Consultants	Mike to do logistics in consultation with Nthathakane
13 March	Fly to final destinations	Consultants	Monica to do logistics in consultation with UNDP
14 March Virtual	Debriefing with UNDP, Virtual	Consultants & PMU	Consultants to arrange

ANNEX VI: PERSONS INTERVIEWED

Date and meeting	People met
28 March PM – Briefing meeting with UNDP and ORASECOM	Janice Golding-UNDP, Sangsun Kwon - UNDP Viviane Kinyaga -ORASECOM, Mike Ramaano -ORASECOM, Monica Rakhuhu -ORASECOM, Rapule Pule -ORASECOM
March 29, 022	Simbotwe Mwiya – Former Project Manager Lenka Thamae – Executive Secretary ORASECOM
30 March – Meeting with Department of Forestry, Fisheries and Environment (DFFE)	Mbulelo Dopollo Ruwen Pillay Tabisile Mhlana Umesh Bahadur
31 March to 1 April - Lesotho	ORASECOM Commissioner, DWA Nthathi Toae (DWA, Hydrologist) Sephoko Sepono (DWA, Assistant Hydrologist) Ntsiuoa Phaskisa (DWA, Hydrologist) Phaella Leketa (COW, Water Resource Engineer) Mammeli Makhate (DOE, Senior Environmental Officer) Matsolo Migudi (ICM Coordination Unit, Deputy Coordinator)
4 April AM – Meeting with Botswana delegation in Gaborone	Bogadi Mathangwane Botsalo Thamuku Nchidzi Mmolawa Thato Setloboko
5 April- Struizedam & Rappelspann	Force Ramasuswana David Matthys- Chief of Rappelspan village Isaac Jacobus – Chief of Struizendam village Mosei Hermonus Vandeen –Beneficiary of livestock program Chrislianh Jood – Beneficiary of Livestock program
7 April – Visit Gibeon and Mariental	Linus Tobias Ms Catherine Boois – Acting Village Chief of Gbeon village Council
7 April – Meeting with Namibia delegation	Elise Mbandeka-Water Environment Technical Task Team Linus Tobias- Basin support officer
8 April – Meeting with Namibian delegation on Prosopis Project	Ndira Nashipili- Deputy Director, Basin Management Nicco Masule – Technical Task Team, MOE Maria Amakali – Director, Dept. of Water Affairs Selma Kalili – Water Resource Quality WG Michael Otsub – Forestry and Tourism, MOE Pune Amwaama – Communication Task Team Msyhrws Hambabi – Water Resource Quality WG Gttie Mulokosh – Groundwater Hydrology Committee Edward Godfried – Groundwater Hydrology Committee Alfeus Mases – Surface water Hydrology Committee
29 th April – Meeting with PES and PPP Consultants	Dr Jane Turpie (PES consultant, Anchor Environmental) Mr. Christian Gable (PPP consultant, Rebel Group) Mr. Michael Leushuis (PPP consultant)
17 th May – Virtual meeting with DWS, South Africa	Tinashe Chizema – ORASECOM Water Environment Technical Task Team Kwaze Majola – Water and Ecosystem Directorate; OSRM rehabilitation Jorg van Wyk – Orange Vaal System Water Quality Representative; ORASECOM Water Resource Quality Working Group

ANNEX VII: DOCUMENTS REVIEWED

1. Project Document PIMS 5506
2. Project Cooperation Agreement
3. Project Brief for the UNDP GEF ORASEOM SAP Implementation Project
4. UNDP ORASEOM Signed LOA 22 Feb 2019
5. First Quarterly Report 2021
6. Second Quarterly Report 2021
7. 4th PSC draft minutes 27 Jul 2021
8. Inception Report November 2019
9. Quarterly Report for Fourth Quarter 2019 Comp Pics
10. Quarterly Report for Third Quarter 2019
11. 2020 Annual Report
12. Draft Quarterly Report 4th Quarter Dec 2020
13. Quarterly Report 2nd Quarter 2020
14. Quarterly Report 1st Quarter 2020
15. Quarterly Report 3rd Quarter 2020
16. Quarterly Report 1st Quarter 2021
17. Quarterly Report 2nd Quarter 2021
18. Final Micro assessment review-ORASECOM
19. ORSECOM (13)
20. ORASECOM Micro Assessment Report
21. South Africa -100063 Support to the Orange Senqu River Strategic Action Programme Audit Report 2020 (3)
22. South Africa -103199- Orange Senqu river (ORASECOM- Final 2019
23. UNDP GEF Final Report
24. UNDP ORASECOM 103199
25. UNDP ORASECOM 103199 Spot Check report final
26. 1st PSC signed minutes 2 Dec 2019
27. 2nd PSC signed minutes 28 July 2020
28. 3rd PSC signed minutes 11 Dec 2020
29. 4th PSC draft minutes 27 Jul 2021
30. 2020 GEF PIR
31. 2021 GEF PIR
32. BTOR Field visit to the desalination demonstration site in Botswana
33. BTOR ORSECOM BCC event and meetings with Namibian Government
34. BTOR UNDP South Africa Monitoring Field Visit to the desalination demonstration sites
35. Draft annual report 2021
36. Draft Quarterly report 1st quarter 2021
37. Draft quarterly report 2nd quarter 2021
38. Draft ToR for updating of ESA guidelines for Orasecom
39. Quarterly report 3rd 2021
40. Transboundary aquifers monitoring Framework report V3.0
41. Appendix I- Climate Data
42. Appendix II- Summary of Boreholes data in Molopo Sub-Basin
43. Appendix III- Water Quality Data in the Project Area
44. Appendix IV- Time Series Plots- Observation Boreholes
45. Appendix V- Hydrocensus Data
46. Appendix VI- Current Status of Treatment Plants in the Project Areas
47. Appendix VII- High Precision GPS Survey Results
48. Appendix VIII –Boreholes Camera Survey Results
49. BOP- Geotechnical Consulting Services
50. Draft Inception Report (Botswana)
51. Signed Contract for groundwater assessment for Molopo Sub-basin in Botswana
52. Inception meeting minutes

53. Final Terms of Reference for Development of Basin-wide agreed Environmental Flow Regime for ORASECOM
54. Inception Meeting EFR Neckartal Dam
55. JBS3 AEH Report ORASECOM 005-2022
56. JBS3 Interlab appendices 25.02.2022
57. JBS3 Interlaboratory Benchmarking Report Draft without Appndices 25.02.2022
58. JBS3 SES Report ORASECOM 022


ANNEX VIII: CO-FINANCING TABLE

	Cash/in-kind	Budgeted US\$	Actual expenses (by MTR point) US\$	Due amount US\$
GEF	Cash	10,815,137	4,377,261 (40.5%)	6,437 876
Government of Botswana	In-kind	6,892,000	2,042,000	4,850,000
Government of Lesotho	In-kind	47,877,343	76,210,343	(+) 28,333 000
Government of Namibia	In-kind	18,917,001	18,917,001	
Government of South Africa	In-kind	286,107,600	?	?
ORASECOM	In-kind	1,876,000	1752,798	123,202
UNDP CapNet	In-kind	400,000	?	?
UK DFID CRIDF	In-kind	855,000		
GIZ	In-kind	981,048	6,672,000	(+) 5,690,952
GWP-Southern Africa	In-kind	568,500		
Total		375,289,629		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form ¹	
Agreement to abide by the Code of Conduct for Evaluation in the UN System	
Name of Consultant: <u>Arun Rijal</u>	
Name of Consultancy Organization (where relevant): _____	
I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.	
Signed at <u>placeonline</u>	 Kathmandu, 08.11.2021
Signature: _____	

ANNEX X: MTR REPORT CLEARANCE FORM

Mid-term Review Report for *(Project Title & UNDP PIMS ID)* **Reviewed and Cleared By:**

Commissioning Unit (M&E Focal Point)

Name: _____

Signature: _____

Date: _____

Regional Technical Advisor (Nature, Climate and Energy)

Name: _____

Signature: _____

Date: _____

ANNEX XI: SUMMARY OF INTERVIEWS AND FIELD VISITS

The MTR mission was initiated from 27th March with arrival International Consultant (IC) to Pretoria, South Africa. On 28th March International consultant had MTR briefing meeting with Ms. Janice Golding, Ms. Viviane Kinyaga, Mr. Mike Ramaano, Mr. Sangsun Knon, Mr. Rapule Pule and Ms. Monica Rakhulu. On 29th International Consultant had virtual meeting with Mr. Simbotwe Mwiya, former coordinator of the project and acquired information on his experience with the project. Same day also IC also had virtual meeting with Mr. Lenka Kinyaga, Secretary of ORASECOM. On 30th International Consultant had meeting with Department of Forestry, Fisheries and Environment (DFFE) team and discussed on their contribution to the project and challenges they faced during implementation of activities. On the 29th April, the National consultant had a meeting with ORASECOM Secretariat and the Consultants for the PES and PPP projects, the Rebel Group and Anchor Environmental. On the 17th May, the National Consultant had a virtual meeting with the South African Department of Water and Sanitation team (Mr Tinashe Chizema, Mr Kwazi Majola, Mr Jurg van Wyk).

Due to 14 days quarantine requirements, International consultant could not visit Lesotho but attended meetings virtually. National consultant had meeting with ORASECOM team members in Lesotho and also made field visits. The Lesotho, meetings involved ORASECOM Commissioner, DWA, Nthati Toae (DWA, Hydrologist), Sephooko Sepono (DWA, Assistant Hydrologist), Ntsiuoa Phaskisa (DWA, Hydrologist), Phaella Leketa (COW, Water Resource Engineer), Mammeli Makhate (DOE, Senior Environmental Officer) and Matsolo Migudi (ICM Coordination Unit, Deputy Coordinator).

Lesotho, 31st March and 1st April 2022

The national consultant visited Lesotho on 31 March and 1st April 2022 to conduct site visits and meetings. The Lesotho ORASECOM team members and the national consultant visited various pollution sites on the Mohokare River (illegal waste dump on the riverbank, the Maseru sewage facility located just above the river, the confluence between the channel, the river, and the municipal wastewater entry point, and Formosa Textiles which makes denim textiles, to see their wastewater treatment facility). Sand mine operations were also viewed.

Botswana and Namibia

International Consultant travelled to Botswana on 3rd April 2022 and had meeting with Botswana delegation in Gaborone on 4th April and discussed on progress, challenges and strategies to implement remaining activities. After meeting, IC travelled from Gaborone, and the National Consultant from Cape Town and Upington, to Struizedam village. On 5th April IC and National Consultant had meeting with Village Chiefs and beneficiaries of Struizedam and Rappelspann villages and also observed different activities conducted by the project in these two villages. On the 6th IC travelled to Upington and stayed overnight. On 7th IC travelled to Namibia and observed activities in Gibeon and Mariental. IC also had meeting with Ms Catherine Boois, acting Village Council Chief. In the afternoon of 7th and morning of 8th April, International Consultants had meeting with Namibia delegation (Ministry of Environment, Ministry of Water Resources and departments under these ministries). National Consultant also joined in the meeting of the 8th April. International Consultant travelled back to South Africa on 8th and on 9th left Johannesburg for Nepal.

More information on field mission and pictures will be submitted as a separate file.

ANNEX XII: SUMMARY EVALUATION OF PROJECT ACHIEVEMENTS BY OBJECTIVES AND OUTCOMES

The Project Result Framework in the Project Document was reviewed in the Inception Report. The present evaluation matrix uses the version contained in the Inception Report and also used by the MTR.

KEY:

GREEN = Indicators show achievement successful at the middle of the Project.

YELLOW = Indicators show achievement nearly successful at the middle of the Project.

RED = Indicators not achieved at the Middle of Project.

HATCHED COLOUR = estimate; situation either unclear or indicator inadequate to make a firm assessment against.

Project Objective: To strengthen joint management capacity for the basin-wide IWRM implementation and demonstrating environmental and socioeconomic benefits of ecosystem-based approach to water resources management through the implementation of SAP priority action in the Orange-Senqu River basin and the resilience of ecosystems.”

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
Objective: Strengthening joint management capacity for the basin-wide IWRM implementation and demonstrating environmental and socioeconomic benefits of ecosystem-based approach to water resources management through the implementation of SAP priority actions in the Orange-Senqu River basin and the resilience of ecosystems							
Number of countries fully capacitated and participating actively in transboundary monitoring, planning and management of the basin's water resources	Only South Africa is adequately capacitated. Lesotho and Namibia have experience on application of water resources modelling and allocation models	On track	All four countries have attended capacity building in all aspects of transboundary planning and management including Training courses on surface water modelling for resource planning, managing deteriorating water resource quality, determining environmental water requirements, etc.	All four countries participating actively in and contributing to transboundary monitoring, planning and management of the basin's water resources		Moderately Satisfactory	Baseline limited to resource modelling whereas the SAP is about transboundary governance and planning. Indicators need to be altered as indicated in relevant points in this annex, so as to be SMART and in keeping with the recommended direction of some of

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>the project interventions.</p> <p>Progress has been made against a range of outputs, such as the JBS, trainings, planning for resource modelling and identification of RQOs. Some interventions have not happened, such as the joint management plan for OSRM.</p> <p>Institutionalisation has still to be cemented around some of the interventions to ensure sustainability.</p> <p><i>This is critical and is recommended as a core and priority focus for ORASECOM in the remainder of this project.</i></p> <p><i>With this, it is recommended that mechanisms for</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p><i>national ownership e.g. national budgets for JBS etc. be established.</i></p> <p><i>Working Groups should be given clear workplans with budgets (e.g. WR WG).</i></p> <p><i>Recommended that ORASECOM completes data sharing arrangements and agrees a data sharing protocol across the MS.</i></p>
Level and spatial and gender-sensitive distribution of water-related socio-economic benefits	<ul style="list-style-type: none"> Water accounts developed under the IWRM Plan show that benefits are far from optimal and skewed towards South Africa The basin-wide IWRM Plan embraces the importance of gender mainstreaming, but not concrete actions 	On track	An economic analysis of socioeconomic benefits expected through project interventions.	Socioeconomic benefits realized through project interventions, including PES, monitored and reported, in total benefits, spatial and sector distribution, and in a sex-disaggregated manner.		Unsatisfactory	<p>The target is not SMART. It is not specific, measurable, action oriented or time bound. The baseline is disconnected from the indicator.</p> <p>A socio-economic analysis has not been conducted and although the demonstration projects have socio-economic dimension, benefits</p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
	<p>yet to be taken to realize it.</p> <ul style="list-style-type: none"> Few sex-disaggregated data or gender sensitive indicators in place to measure how water-related socioeconomic benefits are currently shared (baseline) or should be distributed (targets). 						<p>have not yet been demonstrated.</p> <p>Recommend that a TOR be developed and consultant commissioned in the 3rd quarter of 2022 to analyse (quantified) SE benefits (including through gender lens) of various interventions. This information should then be applied to M&E and demo project implementation.</p>
		On track	Gender Action Plan strengthened with an analysis of expected socioeconomic benefits through gender mainstreaming efforts by the project.	Gender Action Plan resourced and implemented in partnership with ORASECOM, its member states, and its partners.		Unsatisfactory	<p>Recommend that ORASECOM use the above SE study to strengthen its Gender Action Plan and implement through projects. At a higher level, the Women Diplomacy Network will be important to leverage.</p>
		On track	Concept paper outlining how measures, such as	More than 50% of all beneficiary groups report a		Highly Unsatisfactory	Concept paper has not been developed.

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
			transboundary PES, may contribute to benefit sharing among basin populations	high level of satisfaction with project results in terms of improved livelihoods			<i>Recommended that the Benefit Sharing analysis be included in the above SE analysis and study.</i>
		On track	A set of gender-sensitive indicators to be monitored and sex-disaggregated data collection agreed to establish the baseline and measure the progress in gender mainstreaming and women empowerment impacts of the project interventions.	Monitoring of gender-sensitive indicators and sex-disaggregated data collection fully integrated into the existing monitoring exercises by ORASECOM and member states (not supported by the project).		Highly Unsatisfactory	These have not been developed and monitored. <i>Recommend that the above SE study includes the identification of relevant and key indicators. These should then be included in monitoring indicators across interventions, particularly at demonstration project level.</i>
Status of ecosystems at designated points on the river system disaggregated into a number of approved E-Flow indicators (flow variation, minimum flows,	Ecosystems are degraded to below targets at several locations including the Orange River Mouth as measured by basket of approved indicators	On track	Plan agreed and in place to improve ecosystem status at all designated locations within the demonstration sites.	Sustainable improvement in ecosystem status is measured at the project intervention sites, measured by approved E-Flows indicators		Moderately Unsatisfactory	Plan for the OSRM rehabilitation has been developed and consulted on with all MS, including through a regional workshop where consensus was reached. Nutrient load points have

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
biodiversity, ecosystem services, water quality etc)							been identified as have the related RQOs. The basin-wise E-flow work has not started but the project is supporting Namibia to determine E-flows downstream of the Neckertal Dam This new dam (which was commissioned in 2020) was build on a tributary of the ORS River and would therefore have transboundary impacts (being determined through studies initiated by the project). The work on E-flows in Namibia is progressing well.
Outcome 1.1: ORASECOM's capacity to develop innovative financing schemes strengthened							
Number of water resources management related PPPs (WDM and others) implemented in the basin: of	<ul style="list-style-type: none"> Several WDM-related PPP implemented successfully in SA (outside of the basin). 	On track	At least two PPPs identified and draft agreements in place	At least two successful PPP implemented with ORASECOM support		Moderately unsatisfactory	Some progress has been made – baseline review, models considered and a discussion on the models with, and training of MS is

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
transboundary nature and in which ORASECOM has played key role	<ul style="list-style-type: none"> ORASECOM played key role in the successful PPP for WDM and PES in Ekurhuleni, SA, with support from GIZ. (It took over 3 years and significant efforts to realize and mature one successful PPP case.) Ongoing efforts in Maseru. 						<p>planned and forthcoming.</p> <p>No institutional arrangements in place, with the result that this is not prioritised.</p> <p><i>Recommend that the PPP project is included in the finance committee's scope of work.</i></p>
Number of TB water resources management related WDM and PESs implemented in the basin where ORASECOM has played a role	No TB PES yet implemented	On track	At least two transboundary PES identified and draft agreements in place	At least two transboundary PES implemented with ORASECOM support		Moderately Satisfactory	Some progress has been made, similar to that for PPPs.
Level of human resources capacity within ORASECOM Secretariat in promoting and implementing PES	No specialist PES capacity within ORASECOM Secretariat	On track	One professional within ORASECOM Secretariat fully capacitated in PES processes and implementation.	Technical capacity built by the project maintained and fully integrated into the ORASECOM Secretariat's internal capacity.		Moderately Satisfactory	<p>An ORASECOM official was capacitated and subsequently passed away.</p> <p><i>Recommended that the consultants contract extension / rehire includes</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>capacitating the finance committee on PES. In future, all such capacitation processes should be at the institutional rather than the individual level.</i>
		On track		Able to share their experience in PES with other RBOs and others at various knowledge exchange fora.		Moderately Satisfactory	<i>Recommend that ORASECOM starts exchanges with other RBOs immediately. This peer learning component should be included in an extension of Anchor Environmental contract.</i>
Availability of promotional material such as guides/case study documentation aimed at facilitating PPPs and PES	Limited promotional material by way of guides/case studies are available (related to the basin/region).	On track	Promotional material for OS Basin, aimed at attracting interest in PES and supporting rapid take-up is comprehensive and available (role of WIS)	ORASECOM and member states promote PPPs and PES, using the promotional materials, routinely as part of their regular activities.		Unsatisfactory	Promotional materials have not been developed. Promotional material in the PPP and PES should be developed and Anchor Environmental issues also in these materials, Development of promotional

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							materials should consider PES and PPP plans.
Outcome 1.2: ORASECOM's joint basin planning capacity strengthened through improved data and information management and basin management support systems							
Level of usefulness and relevance of the ORASECOM WIS (# hits and #registered users)	<ul style="list-style-type: none"> WIS is in operation but limited in scope No gender-sensitive indicators/information available on WIS 	Off track	<ul style="list-style-type: none"> Wide range of stakeholders in all four basin states have started using the WIS 	<ul style="list-style-type: none"> WIS is regularly consulted (access increasing) by wide range of stakeholders in all four basin states and beyond. 		Moderately Unsatisfactory	<p>To date, only some Namibian users are evident and none in the other countries. There is no tracking mechanism in place and nor is there a system for reporting in place.</p> <p><i>Recommend that Google Analytics be linked to the site to track hits and that the administrator monitors and reports on this routinely to ORASECOM.</i></p>
		Off track	Gender-sensitive indicators and information included in WIS.	Gender mainstreaming and women empowerment progress in all four countries in the basin measured by an agreed indicators can be tracked in WIS.		Highly unsatisfactory	<p>There are no related indicators or information requirements in the WIS.</p> <p><i>Recommend that clear indicators be developed and</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>integrated in WIS immediately, drawing on the ORASECOM Gender Strategy, and with a view to building a baseline.</i>
% of agreed transboundary environmental monitoring stations that are reporting and integrated into ORASECOM WIS.	Not yet operational in the ORASECOM WIS	Off track	50% of transboundary environmental monitoring network is reporting via the WIS	Entire transboundary environmental monitoring network is reporting via the WIS.		Highly Unsatisfactory	<p>To date, there are no stations reporting into the WIS. One T/B station is likely to be in place by end of project, between Lesotho and South Africa (Groundtruth is working on this under contract to ORASECOM). Nine T/B units have just been identified by the MS. Plan to set up WQ objectives for all the nine stations but financial resources are only available for one station.</p> <p>Real time data is not being fed into the WIS and this interface still needs to be developed. Only historical data</p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>is available on the WIS and it collects data from national authorities. A data sharing protocol is not yet in place between the MS.</p> <p>As shown in 2.1 below, stations /units have been identified but not installed. It is impossible to achieve these targets in the absence thereof.</p> <p><i>Recommend that resources be raised for the other stations and for linking the data therefrom to the WIS. Stations may need to be rolled out incrementally, and priority stations (e.g. in upper catchments of the Basin) should be identified for incremental implementation.</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>Recommend that a Data Sharing Protocol be signed between the MS and that ORASECOM draw on other RBO examples and lessons learned, e.g. OKACOM's signed Data Sharing Protocol (in addition to learning from their DSS experiences and successes).</i>
Number of successful interstate water resources modelling/ planning exercises with at least 3 countries present taking place in a year	This exercise was partially carried out during preparatory phase of the Orange-Senqu IWRM Plan but has not been continued	Off track	Minimum of one well-organized session per year attended by at least 3 of the basin states and facilitated by ORASECOM Secretariat	Minimum of one well-organized session per year attended by all four of the basin states and facilitated by ORASECOM Secretariat		Unsatisfactory	ORASECOM has not held a resource planning session with MS. Aqualinks is subcontracted to do this. A key challenge is that the consultants and countries identified the hydrological needs of each MS rather than the hydrological needs of the Basin. It has been resolved that Aqualinks will provide training to all MS on water
Level of capacity of ORASECOM Secretariat and individual countries in water	Capacity-building at the national and regional level has been provided during preparatory phase of the Orange-Senqu IWRM Plan	Off track	Expertise, with all four basin states are able to adjust and run the water resources models independently	As per mid-term, but with at least 2 professionals per country fully versed in operation of the models		Unsatisfactory	

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
resources modelling/planning	and some of this capacity remains						resource modelling, followed by the first session to run the model in or by October 2022. Aqualinks contract still has continuity beyond the 2022 training and modelling session. <i>Recommend that the needs assessment and training be conducted within Aqualinks existing contractual timeframe.</i>
		Off track	At least one trainee from each country is woman.	At least one trainee from each country is a woman.		Satisfactory	One female representative has been identified by each of Botswana, Lesotho and Namibia. South Africa has not put forward a female representative. The target is found to be inadequate. <i>Recommend that the end of project target be increased to read “ 50% of</i>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>trainees from each country are women”</i>
Outcome 1.3: SAP and country-specific Action Plans revised and updated for next 5-year cycle							
Agreement reached on conclusions and recommendations coming out of SAP1 implementation	Not yet done (planned for towards the end of SAP 1 implementation)	On track	Preliminary conclusions drafted	Agreement reached on conclusions and recommendations coming out of SAP1 implementation and endorsed by ORASECOM Council		Highly unsatisfactory	This process has neither taken place nor started. A key reason is that ORASECOM’s schedule is full and capacities are low. <i>Recommend this be done by end 2022, particularly to take account of changes in the Basin and to place emphasis on key drivers (population, climate change, poverty) as well as developments such as the Botswana – Lesotho water transfers.</i>
Agreement reached on stakeholder-driven SAP 2 and country-based	Not yet done (planned for towards the end of SAP 1 implementation)	On track	Concept Note drafted outlining key elements of SAP 2	Agreement reached (signed off by ORASECOM Council) on stakeholder-driven SAP 2 and country-		Highly unsatisfactory	<i>As above</i>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
Action Plans for next 5-year cycle				based action plans for next 5-year cycle			
		On track	Expected gender mainstreaming and women empowerment impacts of SAP2 implementation explicitly included in draft Concept Notes			Highly unsatisfactory	<i>As above, and in line with the Gender Strategy.</i>
Outcome 1.4: Transboundary Environmental and Social Assessment Guidelines endorsed by Basin States							
# of representatives of countries and of ORASECOM Secretariat capacitated on ESA guidelines, including gender mainstreaming	<ul style="list-style-type: none">Limited capacity on ESA guidelines and gender mainstreaming within the water sectorLimited interaction between officials from water sector and environmental sector	On track	≥ 2 representatives of countries and of ORASECOM Secretariat capacitated on ESA guidelines, including gender mainstreaming	≥ 4 representatives of countries and of ORASECOM Secretariat capacitated on ESA guidelines, including gender mainstreaming, including representatives from Ministry in charge of environment.		Moderately Satisfactory	Developed ToR to include reviewing and approving of guidelines and to develop national capacities. MS highlighted that this was not needed. Rather, the MS wanted T/B guidelines that align with MS legislation. ORASECOM has a contract in place with SAIEA, and through this has reviewed the guidelines. These now need to be taken through two regional workshops (a technical review workshop, followed

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							by a workshop to endorse the guidelines). All countries have submitted comments and South Africa has still to come on board. <i>Recommend that the Secretariat prompt South Africa for a response and that gender balance is attained in both workshops.</i>
Endorsement of transboundary ESA guidelines	<ul style="list-style-type: none"> ESA guidelines limited to implications of the Revised Protocol on shared Watercourses in the SADC Scientific work required to prepare draft TB ESA guidelines available 	On track	Draft transboundary ESA guidelines available for discussion	Transboundary ESA guidelines agreed and endorsed by ORASECOM Council		Moderately Satisfactory	ORASECOM's plan is to conclude by end 2022
		On track	Gender Analysis fully integrated into the draft ESA guidelines.			Moderately Satisfactory	ORASECOM's plan is to conclude by end 2022 <i>Recommend that gender analysis is urgently done and integrated.</i>
		On track	Proper and sufficient advocacy work among	Transboundary ESA guidelines recognized by Ministries in charge of		Satisfactory	Only South Africa is not on board. Progress is being

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
			Ministries in charge of ESA conducted.	environment management of all four countries.			made toward addressing this. <i>Recommend that ORASECOM strengthen its relationships with relevant Ministries to ensure that countries are aligned in terms of progress (pertains to this and other relevant activities).</i>
		On track	Negotiation towards endorsement of the guidelines well underway.			Moderately Satisfactory	South Africa has not yet reviewed the guidelines; delays have been experienced in holding the technical workshop which has been cancelled twice because of the low response from South Africa.
Outcome 1.5: ORASECOM's capacity on communication, knowledge management, south-south cooperation enhanced							
ORASECOM Capacity on Communication and Knowledge Management	<ul style="list-style-type: none">No Communication Expert in the ORASECOM Secretariat.	On track	A Communication Expert fully active with clear TOR and tangible deliverables in the Secretariat supported by the project.	A Communication Expert fully active with clear TOR and tangible deliverables in the Secretariat financed by the ORASECOM budget.		Moderately Satisfactory	An expert was recruited and a replacement recruitment process is underway (the incumbent passed away). This however

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
	<ul style="list-style-type: none"> ORASECO M approved a creation of the Communication Expert post in the ORASECOM Secretariat as recommended by its Institutional Review. 						<p>is a contract post that terminates at the end of the project, raising questions of sustainability.</p> <p>Recommend that a permanent contract be put in place to ensure sustainability and effectiveness (continuity, communication of results and project outcomes beyond the project lifecycle, etc.).</p>
Enhanced South-South Cooperation	<ul style="list-style-type: none"> Participation in and contribution to key global and regional knowledge sharing platforms (e.g. Stockholm World Water Week, Africa Water Week, ANBO General Assembly, etc.) 	On track	Active participation in regional knowledge management and learning activities among RBOs and RECs organized by ANBO (with support from the UNDP-GEF ANBO Project)	At least one learning workshop hosted by ORASECOM to share its experience with ANBO stakeholders (RBOs, LBOs, Groundwater Commissions, RECs, AMCOW) in partnership with ANBO.		Satisfactory	<p>Participation is high but impact is unknown.</p> <p>Recommend that M&E include impact monitoring (e.g. papers published; resources mobilised, etc.).</p>
	<ul style="list-style-type: none"> Contribution to global and regional knowledge management 	On track	In addition to active participation and contribution to global and regional knowledge management activities	In addition to active participation to workshops and conferences and active presence in SNS, at least three IW: Experience		Moderately Satisfactory	ORASECOM participated in an IW:LEARN seminar on Source to Sea concept and small

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
	activities organized by GEF IW:LEARN limited to participation in conferences and workshops (e.g. GEF IW Conferences, IW:LEARN Regional Workshops)		organized by GEF IW:LEARN, active communication and outreach activities launched, especially using SNS.	Notes produced disseminating lessons learned and best practices on SAP Implementation and innovative approaches, such as TB-ESA Guidelines, TB-PES, PPP.			scale desalination. Materials for ORASECOM and MS have not been generated from this participation. <i>Recommend that KPIs of all staff require event participation related outputs such as knowledge briefs, infographics, presentations, etc. - at least one per event. Further recommend that ORASECOM Secretariat develops a process for determining what gets published on the website and disseminated to a broader stakeholder group.</i>
Enhanced Communication with ORASECOM stakeholders	• ORASECOM website regularly updated.	On track	ORASECOM website regularly updated, linked to SNS updates.	ORASECOM website regularly updated, linked to SNS updates and videos from demonstration sites showcasing results.		Moderately satisfactory	Website is not being updated. However, improvements have been made to the website. <i>Recommend that a system be</i>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
	<ul style="list-style-type: none"> Public outreach activities organized in four basin states around the World Water Day in four riparian states on ad hoc basis. Public outreach activities organized in four basin states in conjunction with the 5-yearly Joint Basin Survey. 						<i>established, with approval filters and processes, for regularly updating the website with knowledge products (see above) and that the site is regularly updated with ORASECOM progress, to include photos of demo projects following site visits etc..</i>
	<ul style="list-style-type: none"> No periodical ORASECOM report beyond the occasional production of (quarterly) newsletter supported by externally funded projects. 	On track	ORASECOM providing outreach materials on SAP/NAP implementation to member states to support organizing the Outreach activities in four riparian states around the World Water Day, World Wetland Day and/or the World Environment Day.	ORASECOM providing outreach materials to promote SAP implementation and its progress to member states to support organizing the outreach activities in four riparian states around the World Water Day, World Wetland Day and/ or the World Environment Day.		Moderately satisfactory	2 videos were produced and ORASECOM took Ministers to Lesotho and South Africa . One video is on rangeland rehabilitation in Lesotho and some booklets were developed on desalination plants. ORESECOM does not have a knowledge management (KM) plan and does not produce materials strategically,

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>systematically, or consistently. This is found to be a lost opportunity.</p> <p><i>Recommend that a KM strategy and plan be put in place that is informed in part by the stakeholder plan below. The KM strategy and plan should be link to the M&E system so as to monitor impact of effective KM.</i></p>
		On track	Public outreach activities planned for the Joint Basin Survey in 2020	Public outreach activities conducted during the Joint Basin Survey in 2020.		Satisfactory	<p>Stakeholder engagement plan was developed.</p> <p>Video and coffee table book underway. Zoom dialogues held with schools across the Basin on pollution, etc.</p> <p><i>Recommend that the work currently underway be finalised in the 3rd Quarter of 2022.</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
		On track	ORASECOM Report produced biennially (timed for the Forum of Parties, if biennially) to showcase ORASECOM's achievements and challenges and increase its transparency and accountability.	Production of ORASECOM Report institutionalized in the ORASECOM budget.		Highly unsatisfactory	Informants have reported that this activity has not commenced and there is no evidence of this report having been developed. <i>Recommend that the report be done by mid-2023, and every 2 years thereafter. The report should be targeted at the Ministers - this is important for increasing Basin visibility and awareness of basin-wide management and collaboration.</i>
Outcome 2.1: Basin-wide water resources quality monitoring system established							
Agreement reached on basin-wide monitoring locations and parameters	Good progress has been made on this as part of preparatory work for IWRM Plan and for basin-wide survey	Off track	Basin-wide water resources quality system is operating and providing information on a regular basis	Basin-wide water resources quality system is operating and providing information on a regular basis without any support from the project.		Satisfactory	JBS is part of this system and MS are collecting data. Recommendations will go to the Ministers through a consultative process – concluded by end of 2022.

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>Unit locations identified but still to be finalised (countries agreed on these in the last meeting of mid-2022). Water quality parameters and objectives have also been identified but these still need to be presented to and endorsed by MS. Guidelines still to be developed.</p> <p><i>Recommend that ORASECOM prioritises and fast tracks this process to ensure that the end of project target can be attained.</i></p>
Sustainable financing system in place	Relevant monitoring activities conducted by four riparian states identified, which should provide a basis of sustainability to the basin-wide water resources quality monitoring system.	Off track	Agreements drafted to be signed with the four countries to integrate the basin-wide water resources quality monitoring system into their respective national monitoring exercises funded by the national budget.	Necessary agreement(s) signed to ensure the financial sustainability of the basin-wide water resources monitoring system.		Moderately Satisfactory	<p>JBS concluded; data collection taking place in MS; agreements not drafted but would be better to have in place between all MS rather than with each MS.</p> <p><i>Recommend that a ToR and a</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>workplan be developed and agreed for the Water Resource Quality WG as the targeted agreement.</i>
# basin-wide stations reporting regularly/ continuously	No stations in the basin currently report through the ORASECOM WIS	Off track	30% of stations in the basin have started reporting	At least 75% of stations reporting		Moderately unsatisfactory	<p>One unit being implemented under the project and while it will comprise a number of stations, it will not represent the 30% target across the Basin.</p> <p><i>Recommend that MS agree to provide data from any existing stations that apply to the Basin, and furthermore, that MS mobilise resources, with ORASECOM's support, for installing/upgrading the priority identified units. This should further be discussed at ORASECOM Secretariat level, to unpack what is</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>meant by the stations/ expectation from this indicator.</i>
Level of confidence in WQ monitoring and reporting	Significant confidence has been established through the 2nd 5-yearly Joint Basin-wide Survey.	Off track	3rd 5-yearly Joint Basin-wide Survey completed or in progress, enhancing the level of confidence in WQ monitoring and reporting among the riparian countries.	Strengthened institutional capacity due to improved systems, monitoring compliance and reporting		Satisfactory	<p>JBS 3 was undertaken, building capacities, awareness and collecting data. A measure of confidence is not available.</p> <p><i>Recommend that MS make financial resources available through annual plans and budgets for ongoing data collection and WQ monitoring and reporting and that MS be asked to report to Council on budgets and progress.</i></p>
Regularity of dissemination of information on WQ to relevant parties	No regular dissemination of data	Off track	Information collected at 50% of stations readily available	Up-to-date situation/results accessible through ORASECOM WIS		Moderately Unsatisfactory	<p>The target does not align with the indicator</p> <p>No information is being (or currently can be) disseminated from the WIS – these will be needed</p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							for the end of project policy briefs <i>Recommend changing end term target to “WQ results are up to date, available on WIS, and reported to Council”. Progress should be reported annually to Council and results should be published in the Bi-annual Report for Ministers.</i>
		Off track		Policy briefs on Water Quality information and trend developed and disseminated to senior decision makers of all countries.	No Mid-Term target		
		Off track		Water Quality information developed for dissemination among general public through website and public events.	No Mid-Term target		
Outcome 2.2: Point source pollution in Lower Mohokare catchment reduced and improved industry standards implemented							

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
% of pollution point sources on Lower Mohokare mapped and associated risks quantified	Some information exists from a limited sampling programme	On track	Pollution points sources in Lower Mohokare all mapped and pollution levels/risks identified	System in place to regularly monitor and update the location of pollution points sources in Lower Mohokare and pollution levels/risks without project support.		Satisfactory	Points were identified and the aim is to address the key issues (sedimentation; municipal waste; unmanaged waste). <i>Recommend that a clear sustainability solution and political will be established as a critical success factor. Collaborate with other funders such as EU to elaborate and implement such sustainability goals.</i>
% of areas where impacts of pit latrines, mines, sand mining have been localized and understood.	Problem is recognized but no rigorous sampling or mapping carried out	On track	Impact of pit latrines, mining and sand mining on water quality quantified and localized at selected sampling/monitoring points			Moderately satisfactory	Problem and locations are understood, but consensus has not been reached on the problems. <i>The above recommendation applies.</i>
Existent of agreed comprehensive strategy and DSS	No comprehensive or joined up strategy is in place	On track	Draft strategy agreed and in place. Plan and DSS	Comprehensive strategies, plan and DSS agreed and in place to support proper management of solid		Moderately unsatisfactory	<i>Recommend RQOs be reviewed to include linking and facilitating the</i>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
to support management			designed and ready for stakeholder discussion	waste, sand mining issues, etc., with a financial sustainability plan.			<i>strategy and plan. An appropriate consultancy needs to be recruited to design the DSS. Recommend that ORASECOM review OKACOM's DSS system for lessons learned in terms of its structure, quality and how progress was made.</i>
Levels of pollution at key reference points on the Mohokare River	Knowledge / regular monitoring limited to two or three points on the Mohokare / Caledon catchment.	On track	Pollution level at selected point-sources before the project interventions established (baseline).	Improved industry management system in place.		Satisfactory	Problems are known but the solutions for addressing the problems are not in place. <i>Recommend that clear action is taken, with a plan in place as to how to manage pollution more effectively. Further recommend that the end project target be revised. This needs to target specific industries (new developments need standards in place derived from</i>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>baseline survey to inform how they operate. Mines should also be considered in this regard. Propose that this target be revised to read: “Pollution levels at selected point-sources (new and existing) understood before the site point project is established, and ongoing monitoring and reporting is in place”</i>
		On track	Pollution reduction targets agreed with the industries for short-(by the end of the project), medium-, and long-terms.	Point-source pollution reduced at the project intervention sites to the short-term target level established before the mid-term of the project.		Moderately satisfactory	Textile industry actors have installed waste water treatment facilities and pollution from these facilities has reduced substantially. Managing new industrial developments, mines and the textile plants requires agreed standards and

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>transparency of reporting etc.</p> <p><i>Recommend that standards be drafted, and reviewed and agreed by key polluters. The ICMU provides a multistakeholder platform for facilitating the review and agreement on standards.</i></p>
		On track	Targeted industries have started implementation of pollution reduction measures	Medium- and long-term target for ambient water quality in the Lower Mohokere catchment agreed with key stakeholders.		Satisfactory	<p>Textile industry action has taken place. However, further targeting of new industry developments is needed, while a lack of political agreement on sources of pollution persists.</p> <p><i>Recommend that industries are well mapped and targeted. ICMU is recommended platform for engagement and</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>consensus building in this regard.</i>
		On track	Medium- and long-term target for ambient water quality in the Lower Mohokere catchment (esp. at ecologically sensitive areas) proposed for discussion with key stakeholders.	Ambient water quality in the Lower Mohokere catchment monitored periodically as part of the basin-wide water quality monitoring efforts (link to Outcome 2.1)		Moderately Unsatisfactory	<p>The target have not been identified. Lesotho had South African Scoring System (SASS) training (for generating information on river health). This training could underpin/inform the development of the target, which should also be linked with RQOs.</p> <p><i>Recommend that targets be developed as a high priority, and that these be set against RQO objectives.</i></p>
Outcome 2.3: Quality and quantity of groundwater resources determined and low-cost groundwater desalination plants piloted in Botswana implemented							
% of overall area for which groundwater assessment is complete and	Only limited areas have been evaluated. Exact % to be determined during Inception Phase	On track	Draft Comprehensive assessment of groundwater including aquifer potential maps showing sustainable yields and water quality.	Comprehensive assessment of groundwater including aquifer potential maps showing sustainable yields and water quality.		Satisfactory	Comprehensive assessment done, but aquifer potential maps are a work in progress. These are

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
aquifer potential maps available							expected to be available mid-2022.
% of pollution points sources and associated risks, assessed and understood.	Only a few points have been evaluated. Exact % to be determined during Inception Phase	On track	Inventory of pollution point sources and understanding of associated risks	Evaluation complete		Satisfactory	<p>Inventory and risk assessment complete.</p> <p><i>Recommend that Govt. of Botswana be accordingly informed, and a pollution monitoring plan and database be developed, agreed and adopted by Government, with own resources. ORASECOM can play a small, facilitative role in this regard.</i></p> <p><i>Further recommend that the end of project target be adjusted to be more specific and measurable. The target should reflect the percentage of pollution points that would be assessed, understood and reported on.</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
# demonstration sites for which appropriate desalination technology successfully and sustainably implemented	None listed	On track	Implementation of appropriate desalination technology started	Appropriate desalination technology successfully and sustainably implemented at ≥ 3 demonstration sites		Satisfactory	Implementation in two sites is almost complete. The process, costs and challenges experienced in implementing in 2 sites suggests that the end of project target is unrealistic with the resources available to the project, while the lessons learned from the demonstration sites are valuable across the Basin. It is evident that ORASECOM had under-budgeted during project design and although they have run out of money, more work still needs to be done. For instance, a benchmark project in Namibia (outside of the Basin) cost USD5m (probably with more beneficiaries), whereas ORASECOM had

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>1.4m for this project after the groundwater assessment was done.</p> <p>It is further observed that Demonstration projects are not a core function of ORASECOM, but are rather intended to stimulate MS interest in funding such interventions.</p> <p><i>Recommend that ORASECOM develop sustainability models (e.g. community owned security); resolve waste water management issues (salt) and resolve the institutional arrangements (to include resolving water use issues – agriculture vs human).</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
		On track	Implementation of appropriate desalination technology started			Satisfactory	Implementation has taken place, but there are questions around the appropriateness of the technology in terms of its cost effectiveness and its application (the technology deployed is good for human use but not for agriculture). Furthermore, the issues of who operates and maintains needs to be resolved. For example the project has highlighted that the this falls outside of the Department of Agriculture's mandate and scope. Above recommendation applies.
% of communities to have adopted conservation and preservation techniques	Only a few communities using conservation and preservation techniques, exact % to be determined	On track	Communities fully sensitized with the environmental and socioeconomic benefits of conservation and preservation techniques;	Use of conservation and preservation techniques widely adopted (by >50% of communities)		Moderately unsatisfactory	The target does not align with the indicator, nor with the outcome. Govt. has a country wide livestock

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
	during Inception Phase		trained as necessary; techniques adapted to local conditions and contexts as necessary.				<p>initiative, currently under review. Govt. has noted that 10-15 goats is not enough to lift people out of poverty and is now considering allocating 50 goats rather than 10 (based on govt. conducted research). Can only be replicated by Govt under socio-economic strategies and they are already doing that. Govt has a target to triple livestock in next 10 years. Going to invest in replicating at a high rate with small scale farmers. The project implementation started late so it was hard for ORASECOM to keep pace with what Govt was doing.</p> <p><i>Recommend that the target be revised to refer to beneficiaries rather than participants,</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p><i>noting that the target is those without water access.</i></p> <p><i>Furthermore, water for horticulture if successful should be replicated in backyards etc. and it is recommended that this model be documented and scaled up accordingly.</i></p> <p><i>Recommend that the criteria for selecting beneficiaries (e.g. goats allocation) be examined and adjusted.</i></p> <p><i>Recommend benefits be assessed and benefits, lessons learned and business models be documented and disseminated and used for replication and upscaling.</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
		On track	At least 50% of community members trained are female.			Satisfactory	<p>The gender target was achieved in the selection of participants for horticulture and livestock training. This criteria needs to be applied ongoing, and including for the desalination plants. There were challenges in that the sample size of beneficiaries was small because of resource availability. However, the Govt of Botswana already has related criteria in place – priority for women and youth (under 35) plus those with disabilities.</p> <p><i>Recommend that training is available for women (noting that Govt. is doing this) through local enterprise authority.</i></p>
Outcome 3.1: Basin-wide environmental Flows regime agreed and implementation supported							

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
# nodes for which hydrology and ecosystem and resources use are measured have been harmonized	Work was already completed for the 52 e-flows nodes but using different methodologies and at different times. Harmonization is incomplete	Off track	All existing e-flows work on hydrology and ecosystem and resources use harmonized across all basin states	Fully harmonized nodes across all basin states are in use.		Moderately Unsatisfactory	Procedures for harmonisation of E-flows implementation have not been developed nor agreed upon, therefore implementation of e-flows which draws off existing e-flow methods in MS has not commenced. ORASECOM tried to recruit a consultant but was unsuccessful. Priorities have since been clarified through consultation with Member States, and the ToR need to be revised. Furthermore, a new dam was built on the Fish River, Neckartal Dam. Determination of E-Flows for this dam were prioritised. The Project recruited a Consultant (Knight Piesold) to undertake the E-Flow study for

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>Neckartal. The process is well underway, a wet season survey has been completed, socio-economic assessment will be conducted from July 2022 and the dry season survey by September 2022. ORASECOM still needs to review the past transboundary e-flows, facilitate prioritisation of sites to focus on and conduct the harmonisation exercise.</p> <p><i>Recommend that the ToR are revised and updated accordingly (to include a focus on transparency objectives) and a Consultant be recruited by the last quarter of 2022.</i></p>
% of reaches on which there is	There is agreement on E-flows for several reaches but	Off track	Proposal on basin-wide E-flow regime prepared and	Basin-wide E-flow regime agreed by all basin states through a consultative		Moderately Unsatisfactory	As above

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
agreement on E-flow requirements	not all. Some agreements are not formalized.		agreed at the technical working group level	process and agreement endorsed by the ORASECOM Council.			
% of reaches for which mechanism to ensure E-flows have been agreed	Mechanisms are in place in some parts (eg releases from dams in Lesotho) but have not been developed for practical application elsewhere	Off track	Proposals on mechanisms for implementation of E-Flows agreed for all sites	Mechanisms for E-flows implemented and operational.		Moderately Unsatisfactory	As above
% of reaches for which monitoring and evaluation and adaptive management systems have been developed and agreed	Monitoring and evaluation is limited to a limited number of reaches (d/s of Lesotho Dams, Vaal River	Off track	Proposals on monitoring and evaluation and adaptive management systems agreed at the technical working group level	Monitoring and Evaluation programme and Adaptive Management Programme for E-flows agreed and implemented		Moderately Unsatisfactory	As above. M&E needs to be put in place in conjunction with the harmonisation process.
Outcome 3.2: Critical ecosystem of the Orange-Senqu River Mouth rehabilitated and sustainably managed							
Presence/non-presence of causeway, old earth-moving equipment, alien invasive plants in flood plain	Remnants of old causeway, old earth-moving equipment, alien invasive plants in flood plain affecting estuarine environment	On track	Remnant causeway and old earth-moving equipment removed	Remnant causeway and old earth-moving equipment have been removed and alien invasive plants in the flood plain controlled		Unsatisfactory	The causeway has not been removed, but alternate solutions to doing this were proposed and accepted by stakeholders in 2020. The alternate solutions were premised on a detailed study

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>conducted by ORASECOM and its Consultant which recommended alternative solutions that would have greater impact for OSRM system rehabilitation. Consultations at national and regional levels endorsed these recommendations and ORASECOM commissioned consultants to implement the agreed plan. The recently appointed consultants were then asked to conduct further surveys to inform a revised implementation plan and scope of work. The results of the survey are not yet available. Currently there is no clear scope of work on top of which the activity was under-</p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>budgeted during project design.</p> <p>ORASECOM does not have sufficient resources for this initiative and needs to leverage additional funding.</p> <p>The targets for this indicator need to be revised in accordance with the accepted recommendation to rather rehabilitate the salt marshes and reinstate RAMSAR status, through community engagement and employment.</p> <p><i>Recommend revising the targets as oriented toward the implementation plan. Strongly recommend that ORASECOM submits the implementation plan to RAMSAR to initiate and reinstate site status.</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p><i>RAMSAR site status will assist ORASECOM in leveraging the additional resources it needs to fully and sustainably rehabilitate the OSRM.</i></p> <p><i>It is therefore recommended that the scope of work (Consultants TOR) be revised to include RAMSAR site status reinstatement and to conduct small pilot/test exercises for rehabilitation of the salt marshes with community employment. With this, it is recommended that the Consultants for the Baseline Study and Implementation Plan be consulted on the revisions to the ToR.</i></p>
Agreement (yes/no) on	Preliminary management plan is available	On track	Formalized mouth management plan is agreed and in place			Moderately unsatisfactory	Baseline study and recommendations project included a

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
formalized mouth management plan							<p>proposed process for developing a joint management plan and governance and institutional arrangements. This has not been taken further. It is noted however, that the PSC approved the recommendation in 2020.</p> <p><i>Recommend that the recommendations for developing the JMP be actioned, including through working closely with DFFE, South Africa.</i></p>
Status of selected key indicator estuarine species	Selected indicator estuarine species are in collapsed state	On track	Recovery started	Status of over-exploited/ collapsed estuarine species returned to levels of 1991		Highly Unsatisfactory	<p>Recovery has not started.</p> <p><i>The above recommendation applies.</i></p>
Level of nutrient load in return flows and in river at selected points	Nutrient loads unacceptably high during dry season	On track	Reduction of nutrient levels has started	Nutrient load in return flows d/s of Vioolsdrift reduced to minimal levels & water quality improved to acceptable levels		Moderately Satisfactory	Nutrient load points have been identified. Activities for reduction of loads commencing through the work

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>programme of the JIA. Namibians have put measures in place. The primary problem is at Aussenkeer. DFFE has been monitoring that area (last was late last year) and has been working with farmers and the JIA to reduce loads.</p> <p>The RQO process has identified points along lower Orange and these have been agreed as being: Oranjemund; Noordoewer; Aussenkeer – in addition to points the department already monitors.</p> <p><i>Recommend that DFFE and DWS are both partners and that this is clearly articulated in the Joint Management Plan's institutional arrangements on the South African</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>side. Further recommend close collaboration with BCC on JMP.</i>
Outcome 4.1: Invasive species controlled through integrated management in pilot areas in the Orange–Fish River basin and livelihood options based on invasive species control developed							
Hectares of new invasion and rehabilitation after clearing	Baseline level of invasion to be determined during inception phase	On track	Clearing programme is underway with reduction of Prosopis visible	Prosopis invasion reduced to < 25% of baseline level in at least 50,000ha of land area		Moderately Satisfactory	The clearing programme plan in place and 4 sites have been selected for clearing. Stakeholder consultation has taken place in all 4 sites and models for stakeholder engagement and institutional arrangements are in place. These vary across the sites. Mareintaal still has an issue with land. Some of the land is privately owned by farmers. An EIA is required for areas > 10,000ha. Advice from environmental affairs is to do EIAs regardless of site size. TOR for this is currently being

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<p>developed by ORASECOM. A big achievement has been getting buy in of Forestry Ministry in Namibia. Ready to start clearing in Ais Ais. Still need management plans for Driehoek and Gibeon. Mareintaal needs a land solution. A national Steering Committee is being established to oversee the project in Namibia (represented by Environmental Affairs and Forestry ministries, and 4 communities. ToR for EIAs, management plan and steering committee in place for all 4 sites.</p> <p><i>Recommend that a conservancy model be considered as a solution to the private farmer ownership issue in Marientaal.</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>Further recommend that a post graduate student (Doctoral or full thesis Masters student(s) be recruited as part of implementation and documentation across all sites.</i>
		On track		At least 30% of cleared land rehabilitated/restored with natural vegetation			
Annual income of communities involved in the project, with beneficiaries data disaggregated by sex	<ul style="list-style-type: none"> No income currently derived from Prosopis clearance. No communities systematically involved in Prosopis control efforts in Namibia. 	On track	Income generating activities agreed and started	Costs of community inputs covered by income generated to ensure the financial sustainability of the activities beyond the project lifetime.		Unsatisfactory	<p>The products from invasive clearing have been identified, and a market assessment conducted. Models have been proposed for stakeholder engagement and the investment costs have been identified. While the groundwork has been thoroughly conducted, income generation has not yet started.</p> <p><i>Recommend that commencement be accelerated through</i></p>

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
							<i>the post graduate student recruitment. ORASECOM should partner with NAST which has already done research on Prosopis. Further recommend that benefits be documented as part of Post Grad TOR. It will be critical to have someone on the ground for this project to succeed and therefore the Post Grad should be required to spend most of her/his time in the field.</i>
				Socioeconomic status (improvement) of participating communities monitored and recorded.			<i>Recommend that the socio-economic monitoring is included in the Post Grad ToR.</i>
% of women involved in control project and livelihood benefits	No projects currently in place	On track	> 50% of project team / beneficiaries are women	Socioeconomic status of women participating in the project activities improved and recorded.		Moderately unsatisfactory	This will be integral to project implementation.

Indicator	Baseline Level	Level in first PIR (self-reported)	Midterm level target	End of term target	Midterm level & assessment	Achievement rating	Justification for rating
Change in water table at selected sites	Impact on groundwater not quantified (to be done during Inception)	On track	Water level monitoring system in place	Groundwater level regularly monitored to track the effectiveness of Prosopis clearing activities on the water level in the long-run.		Moderately Unsatisfactory	<i>Recommend a system is designed and implemented in line with clearing. Link to existing monitoring of boreholes in Namibia.</i>

ANNEX XIII: UNDP MTR REPORT AUDIT TRAIL

**To the comments received in March 2022 from the Mid-term Review of the project titled,
“Support to the Orange-Senqu River Strategic Action Programme Implementation”**

The following comments were provided in track changes to the draft Mid-term Review report; they are referenced by institution (“Author” column) and track change comment number (“#” column):

Author	#/Date	Para No./ comment location	Comment/Feedback on the draft MTR report	MTR Team’s response and actions taken

Audit Trail is submitted as a separate file.