

**INVITATION FOR EXPRESSIONS OF INTEREST**

**TERMS OF REFERENCE**

**MID-TERM REVIEW**

**IMPLEMENTATION OF THE SOUTHERN AFRICAN DEVELOPMENT COMMUNITY REGIONAL STRATEGIC ACTION PLAN**

**on Integrated Water Resources Development and Management**

**(2016-2020)**

October 2018



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# **I. General Specifications**

# **1.1 Background**

The present Terms of Reference (TOR) define the consulting services necessary to carry out the mid-term review (MTR) of the Southern African Development Community (SADC) Regional Strategic Action Plan (RSAP) IV on Integrated Water Resources Development and Management (IWRDM), 2016-2020[[1]](#footnote-1). The SADC region is characterized by a multiple number of shared watercourses. Most major watercourses in the region are shared by two or more countries. The region has 15 shared river basins, of which 13 are shared only by SADC member states. There are also about 30 shared aquifers that have been identified in the SADC region.

Shared watercourses present tremendous opportunities for cooperation in managing the shared resources for regional economic development and integration. Since the mid-1990s, SADC has adopted a range of regional instruments to support the joint management of shared water resources, including the Protocol on Shared Watercourses and the RSAP on IWRDM.

In 1995, SADC member states adopted the Protocol on Shared Watercourses to provide a framework for managing shared watercourses in the region. The Protocol was revised in 2000 to reflect the principles adopted in the United Nations Convention on the Law of the Non-Navigational Uses of International Watercourses, and to respond to some of the changes in the international comments from member states.

The Revised Protocol came into force in September 2003. The objective of the Protocol is to “foster close and coordinated cooperation in the management, protection and utilization of shared watercourses, and to advance the SADC agenda of regional integration and poverty alleviation.” The principles in the Protocol are operationalized through the RSAP on IWRDM via a series of defined activities.

# **1.2 SADC Regional Strategic Action Plan**

The SADC Protocol on Shared Watercourses is the cooperation framework to guide joint development and management of the resources. The SADC Regional Policy and Strategy for the water sector have been developed and these are implemented through the RSAP on IWRDM to ensure that the aspirations of the Protocol are implemented.

The main objective of the RSAP is to provide a sustainable enabling environment, leadership and coordination in water resources strategic planning, use and infrastructure development through the application of integrated water resources management (IWRM) at member state, regional, river basin and community levels.

The first SADC RSAP (RSAP I: 1999-2004) focused on providing the enabling environment and achieved its objective. RSAP II (2005-2010) focused on infrastructure development while continuing to strengthen the enabling environment and attained its objective. RSAP III (2011 – 2015) was designed to provide an effective and dependable framework that contributed to poverty reduction, regional integration, peace and security, and socioeconomic development.

The goal of the RSAP III was to strengthen the enabling environment for regional water governance, water management and infrastructure development through the application of IWRM. RSAP III built on the work of RSAP I and II of ensuring that the enabling environment is sustained but focusing on infrastructure development. The focus of the current RSAP IV (2016-2020) is to unlock the potential for water and related resources to play its role as an engine and catalyst for socioeconomic development.

# **2.0 SADC Regional Strategic Action Plan IV**

The RSAP IV is implemented by the SADC Secretariat through the Water Division, within the Directorate of Infrastructure and Services. The RSAP IV provides the focus for the SADC Water Sector for the period between January 2016 and December 2020, and aims at implementing priority interventions of the Regional Water Strategy and Regional Water Policy. It also serves as the implementation plan to realize the bigger goals of the water component of the Regional Indicative Strategic Development Plan (RISDP) and the water chapter of the Regional Infrastructure Development Master Plan (RIDMP).

# **2.1 Objective of RSAP IV**

The objective of the RSAP IV (2016-2020) of the SADC Water Program is:

*“To unlock the potential for water (and related resources) to play its role as an engine and catalyst for socioeconomic development through water infrastructure development and management to support water supply and sanitation, energy, food security, and security from water-related disasters with the ultimate goal of contributing towards peace and stability, industrialization, regional integration and poverty eradication.”*

The RSAP IV consists of eight programs, each contributing to the achievement of the RSAP strategic and operational objectives. As a strategic plan, the RSAP is dynamic. While the RSAP goals and objectives should not change over time, the projects and interventions identified at this stage should remain flexible and adjusted as the context changes and results are achieved.

Based on a programmatic approach, the RSAP IV is designed to achieve long-lasting impacts at a broad scale, through the achievement of a series of strategic and operational objectives. The RSAP IV programs are presented following the structure of the strategic framework, starting with programs focussing on water governance to those contributing to infrastructure development and water management.

# **2.2 The RSAP IV Conceptual Framework**

Figure 1 shows the conceptual framework and overview of the RSAP IV and how it contributes to the overall goals of SADC.



*Figure 1. RSAP IV Conceptual Framework.*

The overall objective of the RSAP IV programs and interventions, of which the cluster pillars are governance, infrastructure development and management, and from which the focus areas are derived, is to contribute towards the achievement of the higher level SADC Treaty Goals of poverty eradication, peace and stability, industrialization and regional integration.

To contribute towards the achievement of these SADC Treaty Goals, the RSAP IV interventions focus on facilitating ecological and water infrastructure development for the provision of: *water supply and sanitation services, water for energy and food security, and water for industrial development while enhancing the safety of communities and investments from water-related disasters*. The cluster pillars of the RSAP IV conceptual framework are founded and anchored on a solid base provided by adopting and utilizing the principles and good practices of IWRM, and the use of nexus approaches.

# **3.0 SADC Policy on Strategy Development, Planning, Monitoring and Evaluation**

In February 2012, the SADC Council of Ministers approved the SADC Policy on Strategy Development, Planning, Monitoring and Evaluation to strengthen SADC’s decision-making process regarding priority setting, resource allocation and program management to improve performance towards SADC’s objectives.

The policy defines the critical measures that need to be taken by relevant institutions in relation to strategy development, planning, monitoring and evaluation. In the area of monitoring and evaluation, the policy stipulates that the Secretariat shall undertake monitoring and evaluation on a continuous basis to provide regular feedback on the compliance with commitments, and the consistency between planned and actual performances.

The monitoring and evaluation function of the Secretariat will encompass the assessment of operational plans, which are executed by the Secretariat, as well as the monitoring and evaluation of protocols, which are under the responsibility of member states. The monitoring tasks with regard to protocols will be performed in coordination with member states.

Monitoring and evaluation processes will be undertaken on the basis of internationally recognized professional standards and values, in particular: utility, credibility, transparency, ethical, independence, impartiality and capacity.

In alignment with the SADC Policy on Strategy Development, Planning, Monitoring and Evaluation, this assignment will feed into the Policy’s objectives, which are given below:

1. Consolidate the institutional mechanisms for the SADC Secretariat to *improve its capacity in the area of monitoring and evaluation.*
2. Enhance the capacity of the Secretariat in *mobilizing resources,* and coordinating organizational efforts and stakeholder support towards SADC priorities.
3. Provide effective mechanisms for *reporting progress* towards the achievement of targeted results based on evidence at different levels.
4. Enhance *learning, ownership*, commitment and accountability for results to relevant SADC stakeholders.

# **3.0 Mid-Term Review of the RSAP IV**

The RSAP IV is currently halfway through its implementation period. As part of ongoing monitoring of the SADC water programs and to inform implementation of the RSAP IV activities to 2020, a mid-term review is being commissioned.

# **3.1 Objectives**

The objectives of the mid-term review of the RSAP IV (2016-2020) are as follows:

1. *Inform SADC on the status of the implementation of the RSAP IV programs.*
2. *Inform stakeholders on the status and effectiveness of the RSAP IV.*
3. *Recommend relevant activities for enhancing implementation of RSAP IV activities and programs in response to recent SADC ministerial and heads of state commitments.*
4. *Recommend priority areas for consideration in the RSAP V (2020-2024).*

To achieve these objectives, the Consultant will:

1. *Conduct a mid-term review of the RSAP IV and define the implementation status of RSAP IV interventions.*
2. *Evaluate progress made towards the achievement of the RSAP IV operational objectives.*
3. *Assess the interaction and involvement of the SADC member states in the implementation of the RSAP IV.*
4. *Identify priority areas for consideration in the design and formulation of the activities beyond 2020 as part of the RSAP V.*

# **3.2 Proposed Methodology for the Mid-Term Review of the RSAP IV**

**i. *Define the status of implementation:*** As a first step, the consultant shall identify the following for each intervention selected in the RSAP IV:

 i) Activities implemented.

 ii) Deliverables produced.

iii) Resources mobilized between the period January 2016 and June 2018.

The consultant shall use the *data sheet* provided in Annex 1 of this ToR to compile information on each intervention. The implementation status of each intervention shall be determined on the basis of progress achieved against the indicators/milestones defined in the annex of the RSAP IV. The program implementation status should be presented using the *programmatic overview* presented in Annex 2 of this ToR.

**ii. *Evaluate progress achieved:*** To reflect the focus of SADC on results-based management, the consultant shall also assess the progress made since January 2016 towards the achievement of the operational objectives outlined in the RSAP IV strategic framework (Figure 1).

The level of achievement of each objective shall be determined based on the indicators presented in Annex 3 of this ToR. The consultant shall also take this opportunity to assess the satisfaction level of the relationship between member states, river basin organisations (RBOs) and the SADC Secretariat in relation to the implementation of RSAP IV.

**iv. *Evaluate the sustainability of the program:*** The consultant shall review the commitment of SADC member states to the RSAP, and assess the sustainability and integration of the RSAP IV projects and program outputs and impacts. In addition, the consultant shall evaluate the employment of the subsidiary principle in the execution of the RSAP and its effectiveness.

**v. *Appraise the modes of delivery:*** The consultant shall define and analyze the various modes of delivery adopted by the SADC Secretariat to ensure implementation of the different RSAP programs and interventions. The modes of delivery adopted differ mainly based on the level of responsibility assigned to the SADC Secretariat along a continuum ranging from strategic planning to project implementation. The consultant shall seek feedback from the various stakeholders on their preferred modes of delivery to implement the RSAP IV.

# **3.3 Approach and Methodology**

The mid-term review process should be based on a targeted consultative and participatory process. The process will involve consultations with the relevant stakeholders and end with the validation of the final report by the members of the Water Resources Technical Committee (WRTC).

The initial consultation process is based mainly on in-country visits. During these visits, the consultant shall meet with the stakeholders below, among others:

* SADC Secretariat*:* Staff in the Water Division, the Director of the Directorate on Infrastructure and Services, other Directorates and the Executive Secretary and/or one of his deputies.
* Member States:WRTC members, RSAP Focal Points, and senior staff in the Department of Water Affairs in each member state.
* River Basin Organizations*:* Executive Secretary in each of the four fully-established River Basin Commissions of SADC (Limpopo Watercourse Commission [LIMCOM], Okavango River Basin Commission [OKACOM], Orange-Senque River Commission [ORASECOM] and Zambezi Watercourse Commission [ZAMCOM]), and key representatives of selected Joint Water Commissions, Joint Technical Committees and Joint Water Authorities.
* Implementation agencies: Team leaders of key RSAP IV projects in all three strategic areas (water governance, water management and infrastructure development).
* International cooperating partners: Selected members of the Water Strategy Reference Group (WSRG).

In parallel with the consultations, the consultant shall review all critical documentation relative to the implementation of the RSAP IV, including RSAP project documents, minutes of meetings from WRTC and WSRG, and records of Ministers of Water meetings, among others.

Within the first 2 weeks of the assignment, the consultant shall present the inception report to the project management committee. This report will include a detailed work plan outlining the consultation strategy.

During the analysis and report formulation, the team may carry out further limited consultations aimed at obtaining additional critical information, confirmation of critical facts and views, etc. No extensive visits are foreseen in these consultations. As part of the validation process, the consultant shall organize a regional workshop to present and consolidate the main findings of the MTR.

# **3.4 Deliverables**

The consultant shall produce the following deliverables within the specified period:

* Inception report, including the revised budget, work plan and consultation strategy (within 2 weeks of appointment); the MTR methodology will be presented at a workshop organized by the SADC Secretariat in the first month of inception activities.
* Completed monitoring and evaluation instruments, submitted both in hard and soft copies (submitted with the progress report)
	+ RSAP IV Data Sheets for all interventions.
* Status report, presenting the MTR preliminary results, including the RSAP IV programmatic overview and RSAP IV strategic framework. The report should provide the basis for discussions during the regional workshop, and shall be submitted by the end of the third month of appointment.
* Presentation to WRTC and WSRG (dates to be set by the SADC Secretariat).
* Summary report of the regional workshop (within 2 weeks after the workshop).

Final reportat the end of the sixth month of appointment. The report should present the results of the MTR. The report should be as clear and concise as possible, focus on findings, conclusions and recommendations, and include an executive summary. In organizing the conclusions and recommendations sections, the consultant should account for the implementation period of the RSAP IV and beyond 2018 to 2020. Supporting data and analysis should be annexed. The structure of the report should facilitate the links between body of evidence, analysis and formulation of recommendations.

The consultant shall provide the project management committee at least 2 weeks to review and comment on the various deliverables submitted.

# **4.0 Management Arrangements**

The project will be implemented under the supervision of the Project Management Committee (PMC), which is comprised of the respective SADC Secretariat and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH (GIZ) task managers. The role of the PMC is to provide managerial and governance advice to the consultant as well as to guide the person in the implementation of the project (e.g., visits to member states). The PMC will also provide a forum for reviewing and approving all project documents and deliverables. The consultant shall present the inception report, progress report and final report to the PMC.

# **4.1 Required Experts**

The mid-term review will be led by a senior consultant, supported by a multidisciplinary team of experts. The selected experts should be those who have not been involved in the implementation or management of the current RSAP IV to maintain a certain level of objectivity and independence.

1. Team Leader:The team leader is responsible for:
2. preparing the inception report;
3. carrying out the consultations with the SADC Secretariat and the International Cooperating Partners;
4. analysing the preliminary results; and
5. drafting the status report and final report.

The team leader is also responsible for the overall coordination and implementation of the project. The team leader shall liaise directly with the PMC, and coordinate closely with the SADC Secretariat and GIZ task manager.

1. Water resources management expert: The expert is responsible for carrying out the consultations with member states and shared watercourse institutions. The expert is also responsible for compiling the data and information collected during the consultations, using the SADC monitoring and evaluation instruments presented in the annex 1 and 2 of this TOR.
2. Organizational development expert:The advisor is responsible for supporting the mid-term review in the appraisal of modes of delivery.
3. Monitoring and evaluation expert:The expert shall be responsible for reviewing the SADC monitoring and evaluation system based on the instruments developed by the Water Division and used as part of the consultation process.

# **5.0 Implementation Arrangements**

Personnel: The consulting firm is responsible for providing all the financial and administrative support necessary to ensure the efficient and transparent management of the project.

Travel: The consultant shall assure adequate transportation to the project team throughout the project implementation period.

Workshops: As part of the assignment, the consultant shall organize a regional workshop to validate and consolidate the key findings of the MTR. The workshop will be held in the SADC region, most probably in the Johannesburg area, South Africa, to ensure cost-effectiveness. It is envisaged that this will be a two-day workshop for up to 40 participants from the SADC region.

The consultant shall cover his costs to plan, prepare and participate in the meetings, trainings and workshops (including travel, accommodation and other costs relevant to the consultant team).

**An amount – specified in the contract – is foreseen as budget for stakeholder participation in meetings, trainings and workshops, and disbursed against provision of evidence.**

This amount is to cover the costs for the participation of stakeholders in the above-mentioned meetings as well as in the proposed training sessions (e.g., cost for the meeting venue, travel, accommodation, food, background documentation, materials). The consultant shall present a detailed concept and budget with the inception report.

# **6.0 Scheduling**

The mid-term review of RSAP IV is expected to start in September 2018 and should be completed over a period of 6 months. The review exercise will be executed within the six month time frame.

# **7.0 Preparation of RSAP V**

To avoid gaps between implementation of the RSAP IV and RSAP V, the mid-term review process will be used to inform implementation of RSAP IV activities to 2020 and as a basis to identity priority areas for consideration in the RSAP V, and make the necessary recommendations for consideration in the development of the RSAP V. The RSAP V will be implemented from 2020-2024. It is, therefore, expected that the review will also focus on the future of the RSAP.

# **8.0 Application Requirements and Submission Deadline**

Interested consultants should send the following:

* Interpretation of the Terms of Reference including proposed methodology, work plan and curriculum vitae of the team of consultants.
* Financial proposal.

All documents should be sent by email to:

Mr. Dumisani Ndzebele (dmndzebele@sadc.int) and copied to Ms. Joy Phiri (jphiri@sadc.int)

Application deadline: October 26, 2018 (Friday)

**Annex 1. MTR Implementation Status.**

|  |  |
| --- | --- |
| **RSAP IV-Intervention Data Sheet** |  |
| **Intervention** |  | **Number:** |
|  |  |  |
| **Objective** |  |  |
|  |  |  |
| **Target** |  |  |
|  |  |  |
| **Status** |  |  |
|  |  |  |
| **Finance** |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| **Activities** |  |  |
|  |  |  |
|  |  |  |
| **Deliverables** |  |  |
|  |  |  |
|  |  |  |
| *Use one sheet per intervention. Sources of information include interviews with target stakeholders, and minutes of WRTC and WSRG meetings.* |

**Annex 2. MTR Implementation Status.**

|  |  |  |
| --- | --- | --- |
| **RSAP IV-Programmatic Overview** | **Status** | **Remarks** |
| Program 1 | REGIONAL INSTRUMENTS FOR COOPERATION  |  |  |
| Program 2 | ESTABLISHMENT AND STRENGTHERNING OF OCEANIC STATES COOPERATION AND SHARED WATERCOURSE INSTITUTIONS (SWIs) IN MAINLAND SADC |  |  |
| Program 3 | GENDER MAINSTREAMING, YOUTH AND STAKEHOLDER ENGAGEMENT  |  |  |
| Program 4 | CAPACITY DEVELOPMENT AND RESEARCH  |  |  |
| Program 5 | INFRASTRUCTURE DEVELOPMENT, OPERATION AND MAINTENANCE  |  |  |
| Program 6 | WATER RESOURCES MANAGEMENT FOR SUSTAINABLE DEVELOPMENT |  |  |
| Program 7 | CLIMATE VARIABILITY AND CHANGE |  |  |
| Program 8 | INDUSTRIALIZATION AND NEXUS APPROACHES |  |  |
| *Notes* |  | *Notes: The status of each program is determined based on the aggregated implementation status of its corresponding interventions.* |
| *Status* |  |
| *Achieved* |  |
| *Ongoing* |  |
| *Problem* |  |

**Annex 3. RSAP IV Indicators.**

**Refer to** [**https://www.sadc.int/files/9914/6823/9107/SADC\_Water\_4th\_Regional\_Strategic\_Action\_Plan\_English\_version.pdf**](https://www.sadc.int/files/9914/6823/9107/SADC_Water_4th_Regional_Strategic_Action_Plan_English_version.pdf) **- pages 40-43**

1. <https://www.sadc.int/files/9914/6823/9107/SADC_Water_4th_Regional_Strategic_Action_Plan_English_version.pdf> [↑](#footnote-ref-1)