



NBI Overarching Strategic Plan 2012 – 2016

NBI Secretariat
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Table of Contents

List of abbreviations and acronyms	iii
EXECUTIVE SUMMARY	iv
Part 1: STRATEGIC PLANNING for the NILE BASIN INITIATIVE	1
1.1 About NBI	1
1.2 Challenges of the Nile River Basin	1
1.3 The 1999 NBI Strategic Action Program	2
1.4 Rationale for this Plan	2
1.5 A Family of Strategic Plans	3
1.6 The NBI and Nile-SEC Strategic Planning Processes	4
Part 2: SITUATION ANALYSIS	5
2.1 The Strategic Setting for the Overarching NBI Strategic Plan	5
2.2 Current NBI Situation and Operating Context	6
Part 3: NBI STRATEGIC FRAMEWORK	10
3.1 Vision	10
3.2 Mission/Objectives	10
Part 4: STRATEGIC RESPONSE – THE 2012-2016 PLAN	11
4.1 Strategic Directions for 2012-2016	11
4.2 NBI Overarching Short-term Priorities	13
4.3 NBI Overarching Strategic Objectives – 2010-2016	14
4.4 Core Functions and Programs	15
4.5 Roles and Responsibilities within NBI	16
4.6 Strategic Directions for the NBI Centres	19
4.7 Risks Matrix	21
Executive Summary-NBI-Secretariat Strategic Plan (2012-2016)	22
Executive Summary-NELSAP Strategic Plan (2012-2016)	27
i. Nile Secretariat (US \$ million)	30
ii. NELSAP-CU Annualized Budget 2013-2017 (US \$ million)	31
iii. ENTRO: Financial Requirements During the Strategic Plan Period	32
References and NBI Contact Information	33

List of abbreviations and acronyms

CFA	Cooperative Framework Agreement
COM	Council Of Ministers
DSS	Decision Support System
EN	Eastern Nile
ENCOM	Eastern Nile Council of Ministers
ENPM	Eastern Nile Planning Model
ENSAP	Eastern Nile Subsidiary Action Program
ENSAPT	Eastern Nile Subsidiary Action Program Team
ENTRO	Eastern Nile Technical Regional Office – Addis Ababa
IDS	Institutional Design Study
ISP	Institutional Strengthening Project
IWRM	Integrated Water Resources Management
KM	Knowledge Management
MOU	Memorandum of Understanding
MTR	Mid Term Review
NEL	Nile Equatorial Lakes
NRBC	Nile River Basin Commission
NBD	Nile Basin Discourse
NBDF	Nile Basin Development Forum
NBI	Nile Basin Initiative
NBTF	Nile Basin Trust Fund
NBSF	Nile Basin Sustainability Framework
NEL-COM	Nile Equatorial Lakes Council of Ministers
NEL-TAC	Nile Equatorial Lakes Technical Advisory Committee
NELSAP	Nile Equatorial Lakes Subsidiary Action Programme
NELSAP-CU	NELSAP Coordination Unit - Kigali
NELTAC	Nile Equatorial Lakes Technical Advisory Committee
NFP	National Focal Point
Nile-SEC	NBI Secretariat (Headquarter in Entebbe)
Nile-TAC	Nile Technical Advisory Committee
Nile-COM	Nile Basin Council of Ministers
PSD	Project Strategic Direction
RBO	River Basin Organization
SAP	Subsidiary Action Program
STS	Short-term Strategy
SVP	Shared Vision Program
SWOT	Strengths, Weaknesses, Opportunities, Threats

EXECUTIVE SUMMARY

Planning Principles

This over-arching strategic plan is concerned with the transitional NBI institutions and remains firmly guided by the 1999 Strategic Action Program Guidelines and subsequent Nile-COM directions.

The planning process is driven by Nile-TAC and is consultative in nature.

The overarching plan is primarily a direction-setting plan. It takes into account the current NBI situation and operating environment, formulates short-term priorities and strategic objectives to address this situation in the light of the 1999 NBI Objectives, and then concludes by setting short-term strategic directions for all three NBI Centres.

As a centre-piece of the 2012-2016 strategy, the overarching plan defines core basin-wide NBI programs and functions and the division of these across the NBI Centres, but it does not prescribe implementation details; these are the responsibility of the individual NBI Centres.

1 - Situation Analysis

Analysis of the current situation in which NBI finds itself has been informed by all available sources – NBI’s own strengths, weaknesses, opportunities and threats (SWOT) analysis, Nile-TAC consultations, the ISP Institutional Design Study and so on. Resulting observations to date can be summarised as: NBI is doing remarkably well and is achieving valued and tangible results, but much remains to be done. There are no internal weaknesses which cannot be overcome, but significant challenges exist in consolidating gains to date and in securing a sustainable future.

2 - Broad Strategic Response

The overall strategic responses to the current situation is to maintain the drive towards getting actual development projects happening, and to shape 2012-2016 as a period of consolidation with a primary focus on delivering tangible benefits all aimed towards the Nile Vision.

This primary and singular concentration for NBI on delivering tangible benefits during this period of Consolidating and Delivering has three elements:

- ▷ Deliver more, with emphasis on targeting poverty
- ▷ Improve the way the NBI Centres do this delivery
- ▷ Oil the wheels of basin cooperation to improve the enabling environment

To facilitate this strategic focus, with its simple goal of ‘Doing more and doing it better’, this overarching plan does four things;

- a. It identifies internal Short-term Priorities to guide all of NBI;
- b. It sets Strategic Objectives to achieve this concentration on tangible benefits;
- c. It redefines the core NBI Programs and the fundamental functions within each Program, then redefines the roles and responsibilities of the NBI Centres to improve efficiency and effectiveness; and
- d. It concludes by setting mandatory Short-term Strategic Directions for the three NBI Centres which are designed to facilitate achievement of the Strategic Objectives for 2012-2016.

3 - NBI Overarching Strategic Objectives 2012-2016

From careful consideration of the overall focus for the planning period and the detailed guiding priorities lying behind an intensified concentration on tangible benefits, NBI has formulated a set of Strategic Objectives to be achieved across the Nile Basin. They are:

- a. The level and degree of cooperation between the member countries raised.
- b. The impact, reputation and effectiveness of the Subsidiary Action Programs intensified.
- c. National Focal Points reinforced and effective.
- d. The architecture of a single NBI integrated knowledge management system established and operational.
- e. Member country commitment up scaled.
- f. Nile-SEC is streamlined into a professional and highly focussed secretariat (by end 2012, within ISP).
- g. Financial sustainability ensured through formulation and implementation of financial sustainability plan.

4 - Core Functions and Programs

As a first step in achieving the Strategic Objectives, NBI has re-focused its fundamental functions to ensure that NBI concentrates on the goal of delivering and increasing tangible benefits. These core functions, arrived at through a consultative process, have been stripped down to only those most relevant to the Nile Vision and the 1999 Objectives, eliminating any extraneous activities.

The core functions are grouped into three NBI Core Programs. These are accompanied by various support functions which do not form a program of their own but are spread as overheads across the Core Programs. The Programs are shown in the box:

5 - Redefined Roles and Responsibilities for NBI Centres

To improve the division and clarity of roles and responsibilities within NBI, a short set of design principles has been adopted within the overriding principle of 'One basin, one NBI'. They are:

- Subsidiarity
- Fostering of local ownership
- Clarity of purpose
- Clear delineation of roles and responsibilities

Applying these principles to the NBI, three levels emerge:

NBI Program Areas	
	Basin Cooperation Program
	<i>Program Objective:</i> To facilitate, support and nurture cooperation amongst the Nile Basin countries so as to promote timely and efficient joint actions required for securing benefit from the common Nile Basin water resources.
	Water Resource Management Program
	<i>Program Objective:</i> To assess, manage and safeguard the water resource base that supports the peoples of the Nile Basin through applying the principles of knowledge-based IWRM to water development planning and assessment.
	Water Resource Development Program
	<i>Program Objective:</i> To identify, prepare and facilitate investment in trans-boundary water development projects and programs whilst avoiding negative impacts on the health of the Nile Basin's resources through applying the principles of IWRM.

- ▷ The NBI Secretariat, now confined to a primary role of facilitating Basin Cooperation, and core functions of coordinating, monitoring and reporting basin-wide, and driving the Water Resource Management Program by developing basin-wide policies and strategies;
- ▷ The two Subsidiary Action Program Centres with continuing core functions of driving the Water Resource Development Program which supports their member countries through identifying and preparing joint trans-boundary water-related projects, then facilitating investment in implementation by the relevant countries;
- ▷ Appropriate institutions at national levels (such as Ministries and line agencies) or multi-country levels (such as sub-basin RBOs) that implement projects including activities such as design, construction, operations and asset management and maintenance.

Importantly, this has streamlined and re-focused the roles and responsibilities of the NBI Secretariat compared with those being fostered by the current NBI Institutional Strengthening Project which had assumed an imminent CFA with a comparatively broad, almost 'head office' role for Nile-SEC. Instead, this overarching plan proposes significant autonomy for the SAP Centres under their governance structure, whilst Nile-SEC retreats from service provision for the SAPs to a more strategic role in fostering basin cooperation and knowledge-based water resource management.

This will require a strategic re-structuring of Nile-SEC and also means that Nile-SEC has a quite different range of stakeholders compared to those of the SAP Centres. Nile-SEC will concentrate on high-level strategic engagement with ministries of member government, development partners and civil society, whilst SAP Centres will focus mostly on tactical engagement built around project needs.

6- A New Phase for the Strategic Action Program

Whilst the Policy Guidelines of the Strategic Action Program of 1999 continue to define NBI's primary guiding principles, a new phase for the Program has been created by the ending of SVP Projects.

Essentially this new phase continues the role of the SAP Centres, though intensified through "Doing more and doing it better", and redefines the strategic role of Nile-SEC as illustrated below.

7 - Strategic Directions for the NBI Centres 2012-2016

Flowing from the over-arching Strategic Objectives, the NBI Strategic Plan concludes by specifying the strategic directions to be adopted by the NBI centres in formulating their own plans. These are:

STRATEGIC DIRECTIONS for the NBI SECRETARIAT 2012-2016

The NBI Secretariat in its strategic planning, management and operations is required to contribute towards the NBI Overarching Strategic Objectives for 2012-2016; and, in particular to:

- Maintain a continuing focus on institutional strengthening, including successfully completing the Institutional Strengthening Project on time and within budget (ending December 2012).
- Give immediate priority to setting a path towards financial sustainability for all of NBI by driving and completing an NBI Financial Sustainability Plan informed by findings and recommendations of the Institutional design Study.
- Build a strong focus on enhancing the Secretariat's own financial sustainability through keeping Nile-SEC 'lean and mean', well-managed and producing only priority deliverables.

- Change the culture of the Secretariat to that of a business unit which is driven by its clients' needs and which has the strategic skills to secure funding for client services.
- Focus on its lead role in two core programs:
 - Basin Cooperation Program: The 2012-2016 focus is to be on supporting, nurturing and fostering basin-wide cooperation so as to enhance and consolidate the ability of NBI to pursue the Objectives of the Nile River Basin Strategic Action Plan. This includes achieving enhanced member country commitment in accord with NBI Strategic Objectives. It also includes fostering continuously improved and proactive support to NBI governance bodies, and in exploring ways in which NBI can contribute to inter-country dialogue and better engage the Basin community.
 - Water Resources Management Program: The 2012-2016 focus is to be on building and operationalising an accessible, interactive knowledge base and system that will facilitate optimal water resource management and development through provision of comprehensive information and scenario analysis in accord with the 2012-16 NBI Strategic Objectives.
- Take the lead role in improving the operations and robustness of National Focal Points in accord with NBI Strategic Objectives.
- Focus on support of national ministries and line agencies and on SAPs in their tasks of facilitating water resources development through both ongoing capacity building and through consultative development of appropriate trans-boundary guidelines within the Nile Basin Sustainability Framework.

STRATEGIC DIRECTIONS for the SAP CENTRES 2012-2016

The NBI Centres in their strategic planning, management and operations are required to contribute towards the NBI Overarching Strategic Objectives for 2012-2016; and, in particular to:

- Consolidate and build on the Institutional Strengthening Project, seeking to increase impact, and operational efficiency and effectiveness through appropriate Centre-specific strategies in accord with NBI Strategic Objectives.
- Focus, in coordination with Nile-SEC, on achieving financial sustainability for the Centres, including especially sustainability of the support services, both technical and administrative. This focus should include specific strategies for enhancing effectiveness of SAP resource mobilisation.
- Maintain strong focus on strengthening the lead role in the Water Resource Development Program with Centre-specific strategies which intensify and add value to the sub-Basin projects, including enhancing the SAP tasks of facilitating the identification, preparation, financing, and implementation of 'on the ground' assets together with institutions aimed at integrated water resources management.
- Support the Water Resource Management Program, in coordination with Nile-SEC, through operationalising IWRM in the sub-Basins. This includes coordinating and working with Nile-SEC in the establishment and operationalising of a single NBI integrated knowledge management system in which the SAPs form critically important nodes.
- Support the Basin Cooperation Program, in coordination with Nile-SEC, through nurturing sub-basin cooperation, working to extend communications to Basin-wide matters, and maintaining an enhanced focus on consultation and participation.

Support Nile-SEC in its task of improving the operations and robustness of National Focal Points through using the networking and communications skills of SAP personnel.

The NBI-Wide Program Budget (2012/2013-2016/17.

The NBI Centres have developed their respective projects in a Programmatic Framework. The indicative proposed annual budgets for the programs over a five-year period are summarized in the box below and detailed in the charts in Appendix B.

Summary of NBI Budget request to implement the 5-year Strategic Plan (US \$ million)

Year	2013	2014	2015	2016	2017	Grand Total
Nile-SEC	7.38	11.14	12.91	17.44	10.43	59.3
NELSAP – CU	41.17	33.3	28.03	7.36	5.19	117.44
ENTRO	7.22	12	27	27	26	99.22
NBI Total	55.77	56.44	67.94	51.8	41.62	275.96

NILE BASIN INITIATIVE

NBI OVERARCHING STRATEGIC PLAN 2012-2016

Part 1: STRATEGIC PLANNING for the NILE BASIN INITIATIVE

1.1 About NBI

The Nile Basin Initiative (NBI) is a regional partnership for spurring growth and addressing the critical challenges of the Nile River Basin. Countries of the Nile Basin jointly established the NBI in 1999 to harness the potential gains of cooperative management and development of the Nile Basin. The partnership continues to be led by the riparian states of the Nile. It is built around a shared belief that countries can achieve better outcomes for all the peoples of the Basin through cooperation rather than competition. At the heart of this challenge is the imperative to eradicate poverty.

NBI Shared Vision

To achieve sustainable socio-economic development through equitable utilization of, and benefit from, the common Nile Basin Water resources.

NBI Governance includes the Nile Council of Ministers of Water Affairs of the NBI countries (Nile-COM) as the overall decision making body; the Nile Technical Advisory Committee (Nile-TAC) which provides the technical guidance to NBI and advises the Nile Council of Ministers. Professional day to day management includes the Nile Basin Initiative Secretariat (Nile-SEC) which is located in Entebbe, Uganda, and two subsidiary programs regional coordinating offices located in Addis Ababa, Ethiopia (ENTRO) and in Kigali, Rwanda (NELSAP-CU).

1.2 Challenges of the Nile River Basin

The Nile River is the World's longest river, travelling more than 6700 Kilometres from the farthest source of its headwaters of the Kagera Basin in Rwanda and Burundi through Lake Victoria to its delta in Egypt on the Mediterranean Sea. It is a great regional resource and global asset of generational heritage. The Nile Basin covers about 3 million square kilometres, which represents about ten percent of Africa's land mass area. The river plays a central role in human settlement and in the development of a rich diversity of cultures and livelihoods. The basin includes world class environmental assets such as the Sudd in South Sudan.

At the dawn of the Millennium, the population was estimated to be 160 million within the basin, and 300 million in the basin countries. The population is expected to double by 2025, exerting more pressure on the basin finite water resources.

Countries of the Nile basin are faced with a multitude of challenges despite the endowment of the Nile Basin water resources. Poverty is rampant and food insecurity is common due to rainfall variability both within seasons and over longer periods. There is, as yet, inadequate infrastructure to store water and regulate stream flow for productive uses. Water related shocks like floods and droughts, compounded by the climate change, pose a challenge to the basin. The region is faced with unsustainable environmental conditions, low access to water and sanitation services and

electric power. The region also has a history of tensions and instability both between states and internal to states.

1.3 The 1999 NBI Strategic Action Program

At the commencement of the Initiative, the Council of Ministers was concerned to ensure that tangible benefits of the new cooperation between the Basin states appeared as early as possible. To do this, the first NBI Strategic Action Program, which was launched in February, 1999, had two parts:

- A Shared Vision Program (SVP) comprising a series of inter-related projects spread across the Basin aimed at building cooperation and building capacity for what we know these days as integrated water resource management (IWRM) – all in a trans-boundary context.
- A Subsidiary Action Program (SAP) aimed at early concrete investments ‘on the ground’. This operates in two distinct sub-regions – the Eastern Nile region and the Nile Equatorial Lakes region – though connected by the common thread of the Nile River.

To guide NBI, Nile-COM formulated a set of objectives for the Strategic Action Program to enable all actions to be directed to the common cause in a common manner. The objectives are:

- To develop the water resources of the Nile Basin in a sustainable and equitable way to ensure prosperity, security and peace for all its peoples.
- To ensure efficient water management and the optimal use of resources.
- To ensure cooperation and joint action between the riparian countries, seeking win-win gains.
- To target poverty eradication and promote economic integration.
- To ensure that the program results in a move from planning to action.

Of eight projects within SVP, six are now completed and closed, with the remaining two due for completion at the end of 2012.

In addition, and separated from the Strategic Action Program, Nile-COM has been pursuing the formulation of a Cooperative Framework Agreement (CFA) between the Nile Basin countries which will elaborate the principles above through establishing a robust, common framework and create permanent institutions to replace the current transitional arrangements of the NBI.

To ensure that NBI has the capabilities to move into the future an Institutional Strengthening Project (ISP), is being implemented since 2008, designed to grow NBI’s abilities in readiness for the ultimate transition to the intended Nile River Basin Commission (NRBC) under the CFA. As with the SVP, the ISP is also due to terminate in December 2012.

The Nile countries acknowledge with gratitude the substantial support of a range of Development Partners who have supported the NBI on its journey and have underwritten its endeavours.

1.4 Rationale for this Plan

Since its inception in February 1999, the NBI has made progress that can fairly be assessed as not being matched by many river basins around the world. The level of cooperation has visibly improved

from initial wariness to a strong and mutual sense that the cooperation is valuable and that it produces tangible, beneficial results. However, NBI is at crossroads, as the Shared Vision Program projects draw to a close and the Institutional Strengthening Project has a short period to run. At the same time, the CFA has not come to fruition as rapidly as might have been hoped for and is clearly going to take at least a few more years before it ultimately comes into force.

Taking into account the delay in the establishment of the Nile River Basin Commission (NRBC), and with the present NBI funding base from Development Partners due to end, there is need for a constructive strategic path ahead for NBI in the next few years that ensures, firstly, that the benefits of cooperation continue to accrue across the Basin with an NBI remaining ready for the CFA, and, secondly, with an NBI that continues to attract support from Development Partners.

The remainder of this document outlines the principles NBI has used in formulating this constructive path ahead, and then describes the priorities and strategies designed to continue to bring real, on-the-ground benefits to the peoples of the Basin in accord with NBI Shared Vision.

1.5 A Family of Strategic Plans

Until now the Nile-SEC and the two Subsidiary Action Programs have independently created their own specific strategic plans. During this time the three entities were largely occupied by their early establishment and capability strengthening. With this formative period largely completed, and with the SVP projects ending, the time has come to approach strategic planning in an integrated and holistic way.

NBI has therefore created a synergistic set of plans within the Strategic Action Program 1999, for which this document comprises the overarching Nile Basin Initiative Strategic Plan. It sets required strategic directions for the three operating Offices of NBI. The Offices have flexibility in crafting their specific strategic plans, including business and activity planning, but have to stay within the strategic directions and focus strongly on the NBI Short-term Priorities within this overarching Plan.

The purpose of this NBI Overarching Strategic Plan is to set the Short-term Priorities and NBI Strategic Objectives.

A key feature of the NBI Strategic Plan is the extent to which the NBI core functions have been elaborated and clarified with the clear division of roles and responsibilities across the three NBI Centres. This has been accompanied by a marked change from a standalone approach to a more coherent and holistic program-based approach. This change is most marked in Nile-SEC which until now has principally exercised the roles of NBI Secretariat and project manager for SVP projects.

The figure below demonstrates the family of strategic plans. The planning horizon, 2012-2016, has been chosen to cover the possible period ahead of a CFA entering into force. As this period is not able to be predicted precisely, the overarching NBI Strategic Plan has been formulated so as to have the flexibility to be reviewed rapidly as and when needed to align with the actual progress of the CFA.

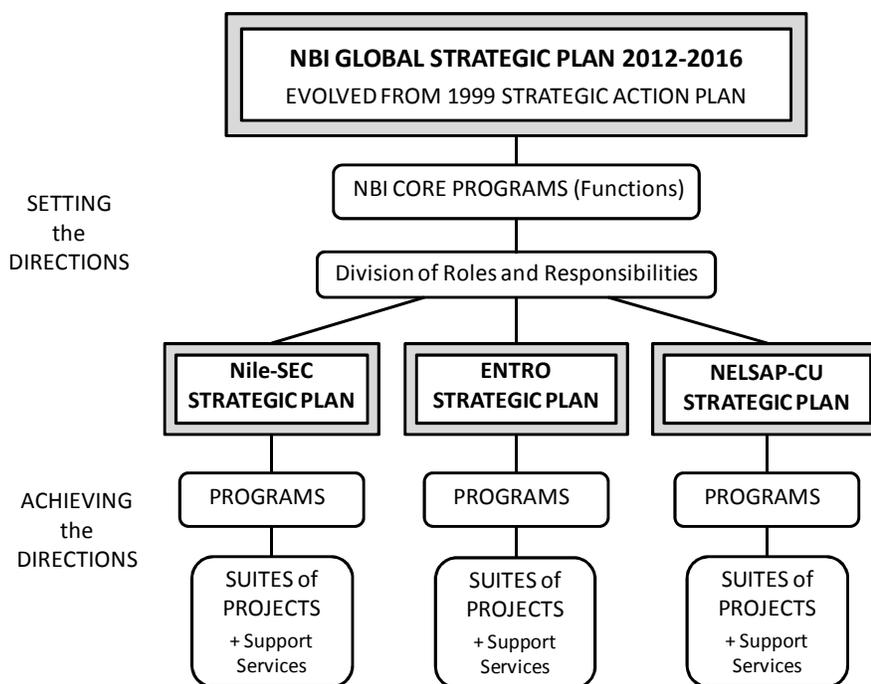


Figure 1: NBI projects all flow strategically from the 1999 Strategic Action Plan

The distinguishing feature of this ‘family of plans’ approach is that the proposed implementation processes for the detailed strategies are contained wholly within the individual NBI Centre Plans. These include all details of projects and planned activities, together with the business planning and work planning needed for success. A brief summary of each Centre Strategic Plan can be found at Appendix A, and a high-level aggregation of programs and budgets across NBI can be found at Appendix B. This overarching plan simply analyses the broad strategic imperatives for NBI over the period 2012-2016 in the light of its mandate, and then sets specific short-term strategic directions for the Centres to follow. These strategic directions for the Centres are formulated so as to not constrain innovation at these Offices.

1.6 The NBI and Nile-SEC Strategic Planning Processes

NBI has adopted a clear and logical path in developing this basin-wide Strategic Plan. Working from first principles, the planning for the short-term, that is for 2012-2016, has been carried out by Nile-TAC through a logical series of steps. In brief, these were processes of review, followed by a re-setting of short-term priorities, culminating in formulation of the broad, overarching set of NBI Objectives strategically formulated to achieve these priorities. This overarching plan concludes by setting Strategic Directions for 2012-2016 to shape the strategic planning of each of the three NBI Centres through the following steps:

- A review and restatement of the purpose for which NBI exists and the policies which guide its achievement of that purpose – i.e. a confirmation of **Broad Goals**;
- A review of what have been achieved so far and what remains to be done;
- Identification of matters, both internal and external, which impinge on NBI capability to pursue its core purpose – all the above done through a Situational Analysis;

- A consequent reformulation of 2012-16 priorities – i.e. a setting of **Short-term Priorities**; and
- Formulation of a strategic set of **NBI Strategic Objectives** for achieving these priorities as efficiently and effectively as possible.
- Setting in motion the implementation of this plan by issuing **Short-term Strategic Directions** to be followed and reported on by each of the three NBI Centres.

Finally, this overarching NBI Strategic Plan has been built around clarity, simplicity, consultation, and a determination to avoid over-reaching or being over-ambitious. NBI wants to *visibly* succeed.

Maintaining the Focus on NBI Mandated Objectives

At a time when the CFA has yet to come into force, it is critical that NBI continues to observe the existing mandate as originally articulated in 1999 and later expanded upon by subsequent Nile-COM decisions. To ensure this, NBI has followed three simple rules:

- * All Plans are to lie within the parameters of the transitional NBI. That is, the Plans should be detached from progress with the CFA, whilst still compatible with an eventual CFA.
- * The NBI Overarching Strategic Plan must clearly flow from Nile-COM decisions, particularly the 1999 document, *Policy Guidelines for the Nile River Basin Strategic Action Program*, but also including all subsequent relevant decisions.
- * Plans for the three NBI Centres must clearly flow from the NBI Strategic Plan, though Subsidiary Action Programs can exercise more flexibility to meet their respective sub-basin preferences and needs.

In addition, some key parts of the common terminology of strategic planning have been harmonised and standardised across NBI so as to aid comparison of plans and to make possible the aggregation of matters such as work plans, budgets and so forth across the Basin and across NBI.

Part 2: SITUATION ANALYSIS

2.1 The Strategic Setting for the Overarching NBI Strategic Plan

The strategic setting for NBI at the end of 2011, that is, at the start of this Plan, is that the basin-wide Cooperative Framework Agreement has yet to come into force and will need some more time. At the same time, all countries have continued to recognise the benefits of basin-wide cooperation and, in particular, the critical role of NBI in promoting both cooperation and tangible investment in water management and development. This means that NBI must analyse its current situation and formulate its strategic response on the basis that the NBI Shared Vision and the Policy Guidelines still set direction and boundaries for the transiting NBI. Operating details have been refined over the years, most recently by the ISP, but the 1999 Objectives and Guidelines remain.

This analysis of the situation in which NBI presently finds itself, including the making of relevant strategic forecasts, has been informed by all available sources. These have included NBI's own strengths, weaknesses, opportunities and threats (SWOT) analysis, observations made within the Institutional Design Study (IDS) which is proceeding as a part of the Institutional Strengthening Project, input from external advisers, and NBI's continued monitoring of its operating environment and of assessed trends within this environment.

It might be noted that the transitional NBI institution is already, in fact, a river basin organisation; that is, NBI is an organisation engaged in the practice of water resources management and development based on a river basin. The term ‘river basin organisation’ is thus used in this document as a purely generic term and should not be construed as reserved for the upcoming NRBC.

2.2 Current NBI Situation and Operating Context

Box 1: NBI Situation Analysis (SWOT)

<p style="text-align: center;"><u>Internal STRENGTHS</u></p> <ul style="list-style-type: none"> • Clear Vision and policy guidelines • Only basin-wide institution for cooperation relating to water resources management and development • Well-defined and well operating vertical governance structure • Strong, ongoing will and commitment to continuing NBI cooperation • Evolving knowledge base, • Strong technical expertise growing, • Networking and ‘branding’ growing • Investment growing across NBI • SAPs are strong, effective, and capable of operating as semi-autonomous bodies • Harmonisation of management systems well-advanced and operating 	<p style="text-align: center;"><u>Internal WEAKNESSES</u></p> <ul style="list-style-type: none"> • No established ‘summit’ on NBI matters • Insufficient capacity or strategy in place currently for ongoing financial sustainability (independent of NBTF) • Limited diplomatic freedom of movement of NBI personnel across the basin relating to NBI business – NBI visas need facilitation • NBI not legally recognised in all jurisdictions (creates financial and other impediments/difficulties) • Inadequate participation in external/ international forums • Organisational development and HR development (all aspects) not yet comprehensive and well-established across NBI • Data management and ready access to information not yet comprehensively operational across the 3 centres, or available to public (in appropriately controlled environments)
<p style="text-align: center;"><u>OPPORTUNITIES in the Environment</u></p> <ul style="list-style-type: none"> • Wide range of stakeholders continuing to engage • Growing bi-lateral constructive cooperation among NBI countries • Opportunity to use external bodies to harmonise with NBI policies and objectives (‘outsourcing’) • Opportunity created by SAP successes etc to begin more strategic and timely external communications and marketing 	<p style="text-align: center;"><u>External THREATS</u></p> <ul style="list-style-type: none"> • Uncertain stability across the region (though improving as bi-lateral cooperation grows) • Current delays and issues relating to CFA (unsure nature of future enabling environment) • Proliferation of external bodies with mandates that overlap that of NBI • Uncertain world-wide economic climate.

NBI Successes

The first general observation to be made here is that at an NBI-wide level, strength is apparent in the progress made in creating what might be termed the ‘building blocks’ of river basin management:

- A clear Vision and overall Policy Guideline exist;
- Well-defined vertical governance structures are in place and generally operating;
- Knowledge, expertise and investment are all growing;
- Harmonised management systems are well-advanced and operating; and
- A strong, ongoing will and commitment to continuing NBI cooperation exists despite current political difficulties.

In terms of moving from planning to action there has been notable success in the level of investment in water resources development that has been facilitated by the Subsidiary Action Programs exercising their primary role of supporting identification, preparation and implementation of trans-boundary projects. Current statistics show that one dollar of pre-investment support by the Subsidiary Action Programs is typically resulting in over ten dollars of investment being mobilised by the involved countries. Total NBI-assisted or NBI-facilitated investment exceeds USD1.2 billion – investment that would not be occurring now without NBI.

In particular, there has been extraordinary success in facilitating the cooperation of trans-boundary power trade and in facilitating investment by member countries in the necessary power inter-connection and transmission infrastructure. Benefits to the Nile Basin are immense.

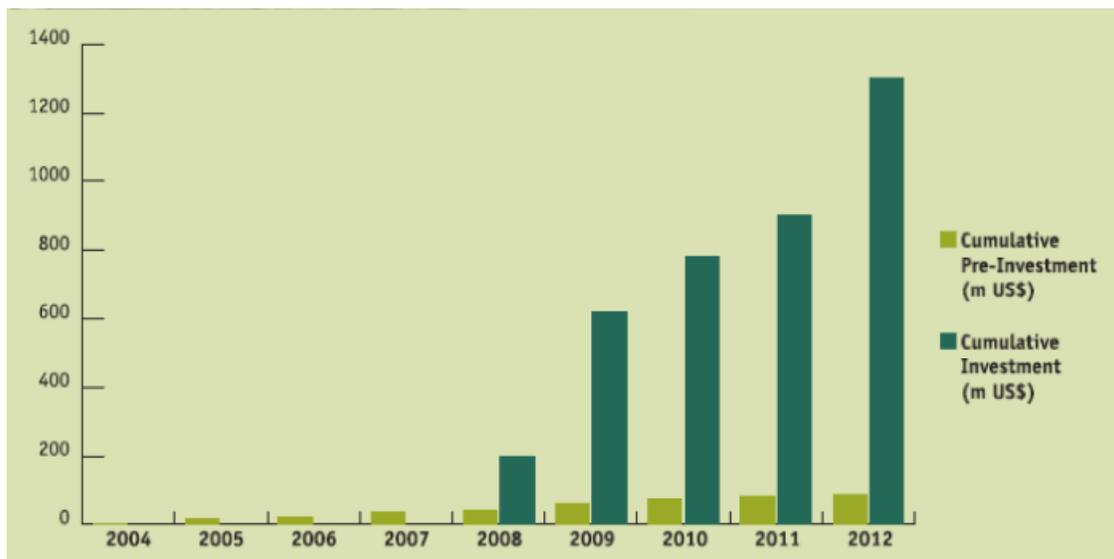


Figure 2: Country investment leveraged by NBI pre-investment funding

Financial Sustainability of NBI

A vexed and difficult issue identified by every analysis is that of the long-term financial sustainability of NBI itself. Although identified for some time, it remains a largely unresolved matter. It cannot remain so for much longer because of the fact that current funding, largely provided through the World Bank-managed Nile Basin Trust Fund (NBTF), terminates as at the end of December 2012. Financial sustainability is thus a matter of the utmost urgency, especially for Nile-SEC which has been highly dependent on support from the NBTF.

The underlying causes for the absence of a viable financial sustainability strategy are twofold. Firstly, the NBI institution responsible for initiating and formulating such a strategy, Nile-SEC, has been otherwise engaged with delivering SVP projects and expected an early transitioning into NRBC, which will now take some time and process to materialize. Secondly, short term senior staff tenure and high turnover have not generated a resource mobilisation culture within the Secretariat.

Basin-wide Cooperation

During 2010, it was realized that the desired basin-wide Cooperative Framework Agreement will not be effected within a short time. However, the Strategic Action Program had been carefully devised to be independent of such political processes and that this separation was established from the outset in order that there would be as few impediments as possible in being able to demonstrate the benefits of basin-wide cooperation through early achievements of tangible investments 'on the ground'. Countries and, in particular, the Ministers of Water Affairs have recently all made statements reiterating an unchanged commitment to Nile Basin cooperation. This confirms that NBI can, and should, continue to pursue the objectives of the 1999 Strategic Action Plan, but it does pose some strategic management challenges in relation to day to day operations in situations where the governance bodies are experiencing difficulties.

A major identified strength is that NBI is the only Basin-wide institution that exists for cooperation relating to water resources management and development. Despite this, NBI is still in the process of establishing a well-recognised 'summit' on NBI matters, and does not yet participate widely in external and international forums to the extent desired to build NBI reputation and credibility. Nonetheless it is fair to say that NBI has a strong and growing general recognition or 'brand'.

At the same time, there is still much to achieve in setting up systems generally for efficient operations – for example, improving diplomatic freedom of movement of NBI personnel. This was not given high priority previously because of the belief that the CFA was imminent, but now needs attention. In the same vein, NELSAP needs to now be more autonomous– similar to ENSAP.

A significant source of weakness and threats arises from the fact that cooperation at sub-Basin level is stronger and more active than across the whole of the Nile Basin. This means that many challenges still lie ahead in implementing the 'One NBI' approach – the approach which the Nile Basin Discourse summarises as "One Nile – One Family". It is clear that the meaning of 'One NBI' is not well articulated or understood among all NBI stakeholders, though operationally much has been achieved in the recent past. Clarifying the concept and Identifying the gaps must be a start point in making progress on this vital matter which can help as 'glue' to hold basin cooperation together.

The IDS has revealed a proliferation of external bodies with mandates which in various ways have some overlaps with that of NBI, although none are specific to the Nile Basin in the same way that NBI is. This poses a challenge in reaching harmonised working arrangements with appropriate bodies, particularly in the light of present status of the CFA which has yet to come into force.

A substantial weakness at present is the limited effectiveness of the system of National Focal Points, often referred to as National Offices. They form an absolute key to international communications to and from NBI and its member countries and, in particular, to national ministries and line agencies. They are also vital in supporting and briefing their TAC members so that the business of Nile-TAC is conducted in a well-informed and efficient manner. The strength and capacity of the National Focal Points is of variable extent across the Basin and is a matter requiring to be addressed.

Ironically, the underlying cause for this weakness persisting some 12 years after the launch of NBI is seen to largely have come from the very success of SVP which achieved national focal points/coordinators for all its projects. With so many points of contact and communication operating, the need for a strengthened - single ongoing NBI National Focal Point in each country, as foreshadowed and envisaged in the CFA, was readily overlooked or given low priority. Clearly, the time has come to rectify this.

Organisational Effectiveness

Something of a weakness at present lies in the fact that NBI has not yet completed the transition from a project-focussed operation – as was initially needed to manage the SVP and the SAP programs – to an organisation built around comprehensive programs which align to key strategic directions and which shape both the organisation structure and its management systems. Referring to management systems, a further weakness exists in that delegation is limited and ad hoc. There is, at present, no comprehensive delegation policy. Without this, the efficiency of the organisation suffers. This is particularly evident in the case of Nile-SEC where the Executive Director is frequently required to travel away from headquarters due to the quasi-diplomatic nature of his/her key functions. There appears to be no serious impediment to formulating a workable delegation policy for NBI.

A notable gap in Nile Basin water resource management and development systems is seen as the absence as yet of a fully-functioning Basin-wide, community-accessible, interactive, and intelligent knowledge base. A limited Nile Information System has been launched and good progress is being made, but the challenge now exists to create the global sophisticated system required in this day and age. NBI is starting to address the need for this indispensable global approach, and it will be a focus during 2012-2016. Otherwise there is a risk of NBI becoming 'data-rich but information-poor'.

As noted, the Subsidiary Action Programs continue to be a major success and are seen to have created significant opportunities to build upon their success and to further consolidate NBI's contribution to the well-being of the Nile Basin and its peoples. A wide range of stakeholders are continuing to engage and there are clear opportunities to be more cost effective by having the work of NBI achieved, selectively, through external bodies, including national line Ministries, rather than directly by NBI personnel. At basin-level there is a case for strengthening and further engaging with the Nile Basin Discourse so as to visibly cement in place a viable and robust participation of civil society.

However, there is a current risk to this continued success in the case of ENTRO where the political difficulties related to CFA process are having effects on ENSAP governance. There is presently some urgency in formulating politically-acceptable strategies for maintaining the momentum of technical cooperation and in continuing its demonstrable benefits.

There is a notable disparity in development and consolidation of the two SAP offices compared to that of Nile-SEC. Essentially, this arises from the comparatively tangible nature of the roles of the two SAPs (made very clear in the Policy Principles agreed and promulgated by the Nile Council of Ministers in 1999) when contrasted with Nile-SEC's more diffuse role over the same time period, which comprised organisational and administrative secretariat functions only, in addition to providing a home for the SVP Coordination Project, together with two other SVP projects.

This disparity places the relatively nascent and yet to develop Nile-SEC at a disadvantage when compared with the SAPs which have enjoyed a much longer period of establishment and consolidation in matters such as initial envisioning, in strategic planning and policy development, in project management, in resource mobilisation, and in technical support capabilities, and so forth.

Other Key Observations

There is some risk in the potential loss of certain gains made through SVP if the appropriate follow-up and mainstreaming remains of limited adequacy. The underlying cause is seen as arising from the previously noted under development of Nile-SEC at the time of closure of most SVP projects. There was simply no operating 'home' for many SVP products and thus the products have been 'on hold' or in storage. NBI thus has a challenge in formulating projects for the post-2012 period that, among other things, will mitigate this risk of losing intellectual assets and other gains made under SVP projects. This may be taken as an opportunity to develop a programmatic growth along this line.

As is common in international river basins, the matter of sovereign rights continues to provide challenges in achieving good levels of commitment and action in sharing all relevant information. Desired outcomes are dependent on countries' sovereign interests, priorities and expectations, which are varied, and sometimes not aligned with those of NBI. The absence as yet of a CFA in force has limited the extent to which cooperation can proceed without being stalled by reluctance associated with matters of sovereignty. Nonetheless, the shared commitment to cooperation has resulted recently in such successes as *Nile Basin Interim Procedure for Data and Information Sharing and Exchange*, and *Guideline for implementing the Interim procedures*. NBI could also consider engaging countries in further harmonizing water policies to address policy related gaps.

Summary

To summarise, NBI is doing remarkably well and is achieving valued and tangible results, but much remains to be done. There are no internal weaknesses which cannot be overcome, but there are nonetheless significant challenges in consolidating gains to date and in securing a sustainable future.

In Part 3 of this overarching plan the progress made are briefly summarized against the Objectives of the Strategic Action Program 1999, as a first step in formulating NBI's strategic response to the challenges (Part 4).

Part 3: NBI STRATEGIC FRAMEWORK

As noted in the introduction, NBI has adopted a clear and logical path in developing this basin-wide Strategic Plan. Using simplicity as a key guiding principle, the current context of NBI and its priorities were reviewed and a plan or strategy formulated for pursuing these priorities over the Plan period. The planning framework for this strategy formulation has been set by the Council of Ministers as advised by the Technical Advisory Committee. It comprises an agreed and authorised vision, a statement of NBI's overarching objectives (often referred to as a mission statement), and guiding policies which set the parameters for NBI's operations.

As a testament to the original Council of Ministers the NBI Vision and the NBI Mission remain unchanged and as clear and focussed as when first formulated in early 1999. They are:

3.1 Vision

To achieve sustainable socio-economic development through equitable utilization of,
and benefit from, the common Nile Basin water resources

3.2 Mission/Objectives

The objectives of the Nile Basin Initiative are:

- To develop the Nile Basin water resources in a sustainable and equitable way to ensure prosperity, security, and peace for all its peoples
- To ensure efficient water management and the optimal use of the resources
- To ensure cooperation and joint action between the riparian countries, seeking win-win gains
- To target poverty eradication and promote economic integration
- To ensure that the program results in a move from planning to action.

Part 4: STRATEGIC RESPONSE – THE 2012-2016 PLAN

The situational analysis in Part 2 shows that whilst the hoped-for basin-wide CFA may still be some time away, there is a multitude of relevant tasks for NBI in the short-term which will deliver benefits regardless of the actual progress with the eventual CFA. With the establishment phase of NBI largely achieved, and the intense strengthening phase of the ISP drawing to a close, the strategic emphasis must now be on increased delivery of tangible benefits to the peoples of the Nile Basin, whilst still striving for improved efficiency and effectiveness in this delivery. NBI is now entering a period of consolidation and product delivery.



Figure 3: The institutional journey of NBI as it delivers the Nile Shared Vision

4.1 Strategic Directions for 2012-2016

NBI focus for 2012-2016

The Situational Analysis has revealed that NBI is producing intended and desirable products, but remains capable of improvement. NBI’s focus then for 2012-2016 is to increase productivity, especially in water development, but to seek to be more efficient and effective across the board.

NBI will do this through an emphasis on performance enhancement and on increasing the impact of the Subsidiary Action Programs plus a streamlining of the Secretariat to focus almost exclusively on basin cooperation and on water resource management. This focus is designed to ensure that NBI achieves the greatest possible success in progress towards the Nile Shared Vision.

For the whole-of-basin Nile Basin Initiative, three elements of NBI focus have been identified for this period of ‘Consolidation and Delivering’. These are, in plain language:

- ▷ Deliver more, with emphasis on targeting poverty
- ▷ Improve the way the NBI Centres do this delivery
- ▷ Uplift basin cooperation to improve the enabling environment

“Doing more, and doing it better”

The NBI focus for 2012-2016 is therefore centred on delivering the highest priority outcomes or ‘products’ required by the member countries to the extent possible within the existing NBI mandate.

This focus is conditional upon NBI and, in particular, Nile-SEC moving with urgency to establish financial sustainability. The immediate establishment of a system of recovery of indirect costs is of the highest priority. This must be rapidly followed by a comprehensive financial sustainability plan.

A new phase for the NBI Strategic Action Program

The finalisation and closure of the Shared Vision Program projects does not mean that the 1999 NBI Strategic Action Program is finished, but it does mean that it is entering a new phase where the outputs of the SVP are operationalised and merged into the functions of the NBI Centres.

For the Subsidiary Action Programs, the post-SVP and post-ISP period marks the opportunity to further refine and expand their role in facilitation of on the ground investments in water resource development – arguably the primary reason for the establishment of NBI. For Nile-SEC, this period represents a change in role from managing the SVP to operationalising and improving their fundamental role in providing and supporting the unique platform for basin dialogue represented by NBI, and becoming the centre for the intelligent and interactive basin-wide knowledge base that is vital to underpin the development programs. The NBI Strategic Action is thus transitioning into a ‘Consolidation and Delivering’ phase.

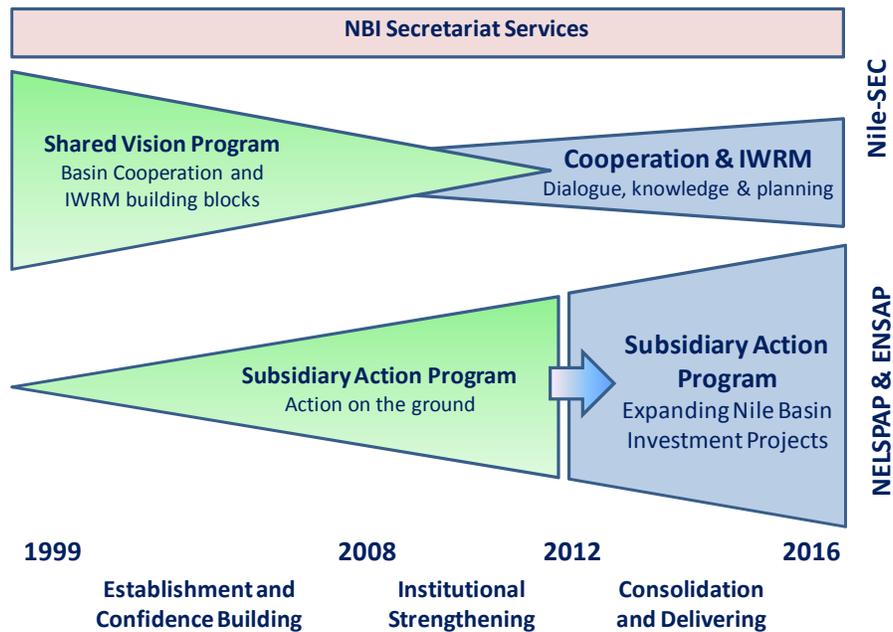


Figure 4 A new phase of the NBI Strategic Action Program

4.2 NBI Overarching Short-term Priorities

The following Table is an abbreviated summary of the proposed priorities for 2012-2016 derived from consideration of strengths, weaknesses, opportunities and threats as revealed by the Situation Analysis and from consideration of the progress against the NBI Objectives of 1999.

Table 1: Summary of the NBI Situation and the Short-term Strategic Response

NBI Objectives, 1999	Status/Achievements as at 2011	NBI Short-term Priorities
<p>1 - To develop the water resources of the Nile Basin in a sustainable and equitable way to ensure prosperity, security and peace for all its peoples.</p>	<p>This remains a long-term Objective.</p> <p>The Subsidiary Action Programs are preparing investment projects based on best practices that ensure sustainability and equity in order to promote prosperity, security and peace for all Nile people</p> <p>The Shared Vision Program has created the tools to perform quantifiable scenario analyses and thus be able to do water planning which allows evaluation of proposals for developing the Nile water resources in a sustainable and equitable way.</p> <p>Social, environmental and economic sustainability is a routine feature in the consideration and design of all NBI direct and facilitated projects.</p>	<p>Give high priority to securing financial sustainability of NBI.</p> <p>Promote the benefits that the Subsidiary Action Program is already delivering to the Basin.</p> <p>Continue to foster and strengthen Basin cooperation and dialogue generally.</p> <p>Continue to build the knowledge base, especially of Nile Basin hydrology in order to underpin an information-rich dialogue on water development.</p>
<p>2 - To ensure efficient water management and the optimal use of resources.</p>	<p>The Shared Vision Program explored efficiency in agricultural water use and has developed analytical tools capable of guiding development planning towards optimal use. The Program also pursued the adoption of best practice and capacity building in water management policies.</p>	<p>Complete establishment of the water resources management unit at Nile-SEC and accelerate its work contributing towards this Objective.</p> <p>Accelerate an enhanced organisational effectiveness of Nile-SEC so as to better underpin NBI cooperation and proactive knowledge-based IWRM.</p>
<p>3 - To ensure cooperation and joint action between the riparian countries, seeking win-win gains.</p>	<p>Across the Basin, the Subsidiary Action Program is resulting in a growing number and an increasing scale of joint actions and developments.</p>	<p>Demonstrate the successes and value that NBI brings in catalysing joint developments.</p> <p>Foster and strengthen National Focal Points for better dialogue and more involvement of line ministries.</p> <p>Use the strong existing cooperation at sub-Basin level to promote improved whole-of-Basin dialogue.</p> <p>Explore and grow external liaison and cooperation with appropriate regional institutions</p>
<p>4 - To target poverty eradication and promote economic integration.</p>	<p>This remains a long-term Objective, many of the projects such as the watershed management projects are highly relevant to the poor.</p>	<p>Diversify scope of the Subsidiary Action Program and explore the use of NBI as a platform for Basin dialogue on matters such as agricultural trade.</p>
<p>5 - To ensure that the</p>	<p>The design of the NBI Strategic Action</p>	<p>Consolidate, expand and improve the</p>

program results in a move from planning to action.	Program was such that this Objective began to be increasingly met within a few years of the start of NBI.	functioning of the Subsidiary Action Program and increase tangible results seen to contribute to Objective 1.
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4.3 NBI Overarching Strategic Objectives – 2010-2016

To ensure that NBI Short-term Priorities for 2012-2016 are translated into action, seven Strategic Objectives have been set. These are built around NBI concentration on performance enhancement through increasing the impact of the Subsidiary Action Programs, coupled with a streamlining of the Secretariat to focus on basin cooperation and water resource management. ‘Doing more, and doing it better’.

Box 2: NBI Overarching Specific Objectives – 2012-2016

1. **The level and degree of cooperation between the member countries raised.** This is to be pursued through a more proactive NBI Secretariat; through promoting wider use of the unique platform for inter-country dialogue provided by NBI; through actively encouraging the current sub-Basin cooperative discourse and actions to extend across whole-of-Basin matters; through establishing judicious links with appropriate regional institutions; and through strategic engagement of relevant parts of civil society.
2. **The impact, reputation and effectiveness of the Subsidiary Action Programs intensified.** This is to be pursued through continuing to build solid technical capabilities; through a focus on efficiency and cost-effectiveness; through more proactive promotion of development and resource mobilisation; through reinforcing well-chosen avenues of communication and engagement; and through applying the principles of concentration of force by strategic targeting of interventions and projects with most potential for meeting NBI Objectives.
3. **National Focal Points reinforced and effective.** This is to be achieved through promoting and making known their importance to NBI communications and operations; through training and strengthening aimed at levelling NFP capacities across the Basin; through establishing a twice-yearly NFP Forum; and through formulating and applying guidelines for efficient conduct of NBI business by constructive engagement and use of the NFPs.
4. **The architecture of a single NBI integrated knowledge management system established and operational.** This will have intelligent access portals and interactive capabilities which meets the needs of NBI Centres, member countries, decision-makers, and the Basin community.
5. **Member country commitment up scaled.** This is to be pursued through demonstrating the tangible benefits accruing across the Nile Basin countries, and through communicating the added value of joint projects together with the mutual benefits flowing from cooperative actions in water resource management.
6. **Nile-SEC is streamlined into a professional, and highly focussed secretariat (by end 2012, within ISP).** The Secretariat can then swiftly concentrate its efforts on actively raising the level, intensity and effectiveness of Nile Basin cooperation and inter-country dialogue, and on providing and applying knowledge-based integrated water resources management to underpin this dialogue and to enable and encourage water planning that achieves optimal use and win-win gains.
7. **Financial sustainability ensured through formulation and implementation of financial sustainability plan.** This will cover both income generation for NBI core functions and resource mobilisation for investments facilitated through the Subsidiary Action Program. Independent of the plan, an immediate start is required on recovery of indirect costs.

4.4 Core Functions and Programs

From the components of the Institutional Strengthening Project, from considerations arising from the Institutional Design Study, and from a desire for focus and clarity, the NBI has identified and adopted a set of core functions. These are broad functions although specific in their application, and potentially encompass most of river basin management. NBI has therefore developed a simple program structure which adds value by separating core functions into logical groups. Although only some elements of the possible range of activities within any of these functions can be achieved at any particular time, the generic nature of these functions and the linked programs should serve NBI well into the future. In addition, they reflect modern IWRM practice.

The three Core Programs encompass all of the core functions of the NBI as discussed and elaborated by its governance bodies during 2011. These are accompanied by core support functions, or 'corporate services'. These corporate services do not form a specific program but are instead a set of essential management overheads with costs to be spread across the Core Programs.

The three NBI Programs are:

Basin Cooperation Program

Program Objective: To facilitate, support and nurture cooperation amongst the Nile Basin countries so as to promote timely and efficient joint actions required for securing benefit from the common Nile Basin water resources.

Program Description: The NBI actively provides and operates a unique platform for inter-country dialogue and negotiation by Nile Basin Ministers of Water Affairs and senior officials on issues of sustainable water management and development. NBI facilitates regional liaison among water-related interests and renders it more effective through the provision of strategic information.

Water Resource Management Program

Program Objective: To assess, manage and safeguard the water resource base that supports the peoples of the Nile Basin through applying the principles of knowledge-based IWRM to water development planning and assessment.

Program Description: The NBI monitors and assesses the water and related natural resources of the Nile Basin so as to provide its member countries with a shared knowledge base and an interactive information system. The NBI maintains and operates analytical and scenario evaluation systems that support sustainable management of the basin's water resources.

Water Resource Development Program

Program Objective: To identify, prepare and facilitate investment in Regional/trans-boundary water development projects and programs whilst avoiding negative impacts on the health of the Nile Basin's resources through applying the principles of IWRM.

Program Description: The NBI assists its member countries to achieve cooperative/joint water development projects and management programs through supporting the identification of development opportunities, the preparation of projects and facilitation of investment which then enables member countries to implement the projects.

4.5 Roles and Responsibilities within NBI

An important part of achieving a well-focused organisation which operates at minimum cost is to ensure that there is clarity of roles and responsibilities between the units of the organisation. This is even more important in NBI where the three NBI Centres are widely separated by geography and other factors. The institutional separation of the roles of water resource management (with an emphasis on sustainability of the resource) and of water resource development (with an emphasis on utilisation of the resource) is also an important principle of modern water management.

From the outset, NBI has been driven by a primary guiding philosophy often expressed as 'One basin, one NBI'. This encapsulates the clear view of the Council of Ministers that there is an imperative to oversight this single, if complex, hydrological entity by a single cooperative institution. It was precisely this philosophy which gave rise to the NBI and its Shared Vision.

To improve the division and clarity of roles and responsibilities within NBI, a short set of design principles has been adopted within the over-riding principle of 'One basin, one NBI'. They derive directly from the 1999 Strategic Action Program Policy Guidelines, and are:

- Subsidiarity
- Fostering of local ownership
- Clarity of purpose
- Clear delineation of roles and responsibilities

Applying these principles to the NBI, and adopting a philosophy of systematic evolution rather than potentially disruptive fundamental reorganisation, the existing basin-wide model of three generic levels has been further refined. The model confirms present transitional arrangements and would be expected to be able to be readily adapted to whatever future emerges subsequent to the CFA coming to force.

The roles of the Centres of the Nile Basin Strategic Action Program are thus:

- ▷ The NBI Secretariat with its primary role of facilitating Basin Cooperation, and its core functions of coordinating, monitoring and reporting basin-wide, and driving the Water Resource Management Program by developing basin-wide strategies and policies;
- ▷ The two Subsidiary Action Program Centres with core functions of driving the Water Resource Development Program by supporting their member countries by identifying, preparing and facilitating investment in Regional/ trans-boundary water-related projects;
- ▷ Appropriate institutions at national levels (such as Ministries and line agencies) or multi-country levels (such as sub-basin RBOs) that implement projects including activities such as design, construction, operations and asset management and maintenance.

From all of the foregoing, and applying the NBI Strategic Objectives, the following table shows the complementary and clarified roles and responsibilities, or 'division of labour', within NBI. All functions and responsibilities are in conformity with the 1999 Policy Guidelines and subsequent Nile-COM decisions. The table does not include details of national arrangements, or details of the support or 'corporate' functions. The latter are essentially similar at each Centre, with Nile-SEC maintaining a coordinating role where appropriate and being responsible for harmonised procedures where these are relevant and for preparing NBI consolidated reporting. Nile-SEC is

responsible for acquiring funds for its basin-wide functions and the Subsidiary Action Programs are responsible for facilitating investment resource mobilisation for their respective development projects.

Table 2: Roles and Responsibilities across the NBI Centres

BASIN COOPERATION PROGRAM – Functional Responsibilities	
Nile-SEC Functions and Activities	NELSAP and ENSAP Functions and Activities
<p>Secretariat:</p> <ul style="list-style-type: none"> Provide a dedicated professional, proactive secretarial and logistical support service to basin-wide governing bodies (Nile-COM and Nile-TAC). 	<p>Secretariat:</p> <ul style="list-style-type: none"> Provide professional and proactive secretarial and logistical support services to the sub-basin governing bodies (COM and TAC / ENSAPT).
<p>NBI Cooperation and Institutional Arrangements:</p> <ul style="list-style-type: none"> Provide and support a basin-wide platform for countries' and key stakeholders' dialogue for improved regional cooperation. Promote legal foundation of NBI cooperation through agreements and MOUs. Build and nurture commitment to regional cooperation (Benefit sharing, value added, etc) 	<p>NBI Cooperation and Institutional Arrangements:</p> <ul style="list-style-type: none"> Provide and support a sub-basin platform for countries' and key stakeholders' dialogue for improved cooperation. Promote legal foundation of NBI cooperation through subsidiary agreements and MOUs. Build and nurture commitment to sub-regional cooperation (Benefit sharing, value added, etc)
<p>External Relations and Strategic Communications:</p> <ul style="list-style-type: none"> Network and forge strategic alliances (for advocacy, resource mobilization, cooperation, etc.) Foster strong links with peak civil society bodies Promote and perform basin-wide strategic communication with line ministries and agencies Perform basin-wide proactive Development Partner liaison and strategic dialogue Secure and manage financing of basin-wide programs 	<p>External Relations and Strategic Communications:</p> <ul style="list-style-type: none"> Network and forge strategic alliances (for advocacy, resource mobilization, cooperation, etc.) Foster community communications and participation Promote and perform basin-wide communication with line ministries and agencies Perform Development Partner liaison Facilitate resource mobilisation for sub-basin water development projects
WATER RESOURCE MANAGEMENT PROGRAM – Functional Responsibilities	
Nile-SEC Functions and Activities	NELSAP and ENSAP Functions and Activities
<p>Policy and strategy development:</p> <ul style="list-style-type: none"> Develop NBI regional policies and strategies. Support member countries to incorporate trans-boundary best practices in their national policies Monitor the development plans of sub basins (Sub-sidiary Action Programs for conformity with agreed policies and guidelines, and monitor application. 	<p>Guideline development:</p> <ul style="list-style-type: none"> Develop guidelines based on overall NBI policies, build capacity in member countries. Operationalise guidelines in NBI projects. <i>Sub-Basin specific strategies may be developed on a case by case basis.</i>
<p>Basin wide knowledge management:</p> <ul style="list-style-type: none"> Establish and maintain regional knowledge base, including collection and updating of geographic, hydrographic, hydrological, climatic, environmental, social, and economic data, including GIS/RS data, .. Establish and maintain analytic tools, database 	<p>Sub-basin knowledge management and planning:</p> <ul style="list-style-type: none"> Use the DSS and other tools (e.g. ENPM) to generate scenarios to identify and analyse potential projects Collect, consolidate, and integrate sub regional information into the regional knowledge base Facilitate data and information sharing and

<p>systems for WRM and knowledge management.</p> <ul style="list-style-type: none"> Facilitate data & information sharing and exchange among NBI offices and member countries. 	<p>exchange for specific project development purposes (with SEC).</p>
<p>Basin wide management and monitoring:</p> <ul style="list-style-type: none"> Manage the basin-wide resource monitoring and assessment strategy Report periodically on state of the Basin Perform analysis and provide strategic direction for the development of the basin 	<p>Sub-basin management and monitoring:</p> <ul style="list-style-type: none"> Coordinate sub-basin resource monitoring and assessment in conformity with the basin-wide strategy. Formulate sub-basin responses to issues identified through resource assessment.
<p>WATER RESOURCE DEVELOPMENT PROGRAM – Functional Responsibilities</p>	
<p>Nile-SEC Functions and Activities</p>	<p>NELSAP and ENSAP Functions and Activities</p>
<p>Project identification:</p> <p><i>No direct roles, other than in the Nile-SEC Coordinated basin-wide development function of this Program.</i></p>	<p>Project identification:</p> <ul style="list-style-type: none"> Develop project concepts & identify potential projects Development comprehensive selected Project Identification Documents Perform and maintain regional consultation and development communication Conduct strategic-level environmental and social assessments Facilitate capacity building for member countries
<p>Project preparation:</p> <p><i>No direct roles, other than in the Nile-SEC Coordinated basin-wide development function of this Program.</i></p>	<p>Project preparation:</p> <ul style="list-style-type: none"> Conduct pre-feasibility and feasibility studies Conduct environmental and social impact studies Facilitate project design Perform and maintain project specific regional consultation and development communication Integrate project financing into the project cycle (transaction advisory support).
<p>Support to SAP's role in project implementation:</p> <ul style="list-style-type: none"> As appropriate, support SAPs through: <ul style="list-style-type: none"> Strategic engagement of country policy makers, Monitoring and evaluation, Supervision, Reporting, Communication. 	<p>Support to countries in project implementation:</p> <ul style="list-style-type: none"> As required, support countries in: <ul style="list-style-type: none"> Regional consultation and development communication, Capacity building, Monitoring and evaluation, Supervision, Experience sharing Identification / dissemination of best practices.)
<p>Coordinated basin-wide development:</p> <ul style="list-style-type: none"> Coordinate basin wide development planning. Aggregate sub basin plans into a basin wide development plan Oversight and support as needed the development of sub basin cooperative arrangements, including treaties, MOUs etc Provide support, as needed, to consensus building 	<p>Coordinated basin development:</p> <ul style="list-style-type: none"> Coordinate development planning between sub-basin organisations as required Assist and facilitate the development of inter-basin cooperative arrangements, communications and dialogue between sub-basin organisations as required.

at sub basin level and between basins.	
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4.6 Strategic Directions for the NBI Centres

Whilst the 2012-2016 Strategic Plans of the three NBI Centres necessarily contain much that is unique to their particular situation and role, these individual Strategic Plans all follow and conform to the set of NBI Overarching Strategic Objectives 2012-2016 (Refer 4.3). This provides a consistent and coherent focus for all NBI activities across all of the Nile Basin.

To achieve this consistent and coherent focus, this NBI Overarching Strategic Plan concludes by setting a series of Strategic Directions for the NBI Secretariat and for the Subsidiary Action Program Centres that each are obliged to observe. Figure 5 below shows the flow of strategic logic.

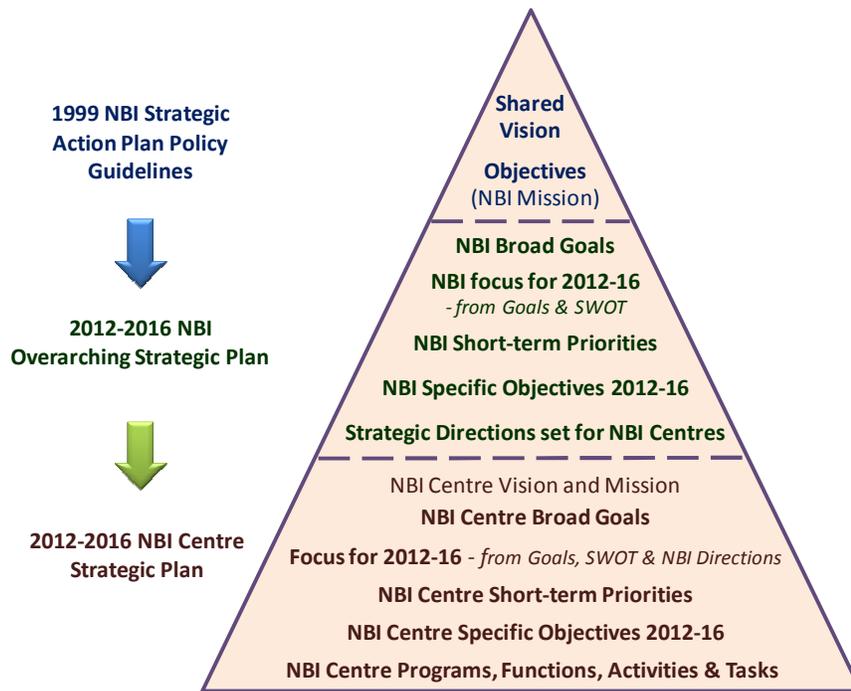


Figure 5: Flow of Logic for Strategic Directions of NBI Centres

(Note – This uses NBI Standard Terminology)

Short-term Strategic Directions for the NBI Secretariat:

In order to maintain a consistent and coherent NBI focus the NBI Secretariat in its strategic planning, management and operations is required to do everything possible and essential to contribute towards the achievement of the NBI Overarching Strategic Objectives for 2012-2016; and, in particular, the Secretariat is required to:

- Maintain a continuing focus on institutional strengthening, including successfully completing the Institutional Strengthening Project on time and within budget.

- Give immediate priority to setting a path towards financial sustainability for all of NBI by driving and completing an NBI Financial Sustainability Plan informed by the findings and recommendations of the Institutional design Study.
 - Build a strong focus on enhancing the Secretariat's own financial sustainability through keeping Nile-SEC 'lean and mean', well-managed and producing only priority deliverables.
 - Change the culture of the Secretariat to that of a business unit which is driven by its clients' needs and which has the strategic skills to secure funding for client services.
- Focus on its lead role in two core programs:
 - Basin Cooperation Program: The 2012-2016 focus is to be on supporting, nurturing and fostering basin-wide cooperation so as to enhance and consolidate the ability of NBI to pursue the Objectives of the Nile River Basin Strategic Action Plan. This includes achieving enhanced member country commitment in accord with NBI Strategic Objectives. It also includes fostering continuously improved and proactive support to NBI governance bodies, and in exploring ways in which NBI can contribute to inter-country dialogue and better engage the Basin community.
 - Water Resources Management Program: The 2012-2016 focus is to be on building and operationalising an accessible, interactive knowledge base and system that will facilitate optimal water resource management and development through provision of comprehensive information and scenario analysis in accord with the 2012-16 NBI Strategic Objectives.
- Take the lead role in improving the operations and robustness of National Focal Points in accord with NBI Strategic Objectives.
- Focus on support of national ministries and line agencies and on SAPs in their tasks of facilitating water resources development through both ongoing capacity building and through consultative development of appropriate trans-boundary guidelines within the Nile Basin Sustainability Framework.

Short-term Strategic Directions for the Subsidiary Action Programs:

In order to maintain a consistent and coherent NBI focus the Subsidiary Action Program Centres in their strategic planning, management and operations are required to do everything possible and essential to contribute towards the achievement of the NBI Overarching Strategic Objectives for 2012-2016; and, in particular, the Centres are required to:

- Consolidate and build on the Institutional Strengthening Project, seeking to increase impact, and operational efficiency and effectiveness through appropriate Centre-specific strategies in accord with NBI Strategic Objectives.
- Focus, in coordination with Nile-SEC, on achieving financial sustainability for the Centre, including especially sustainability of the support services, both technical and administrative. This focus should include specific strategies for enhancing effectiveness of SAP resource mobilisation.
- Maintain strong focus on strengthening the lead role in the Water Resource Development Program with Centre-specific strategies which intensify and add value to the sub-Basin projects, including enhancing the SAP tasks of facilitating the identification, preparation, financing, and

implementation of on the ground assets and institutions aimed at integrated water resources management.

- Support the Water Resource Management Program, in coordination with Nile-SEC, through operationalising IWRM in the sub-Basins. This includes coordinating and working with Nile-SEC in the establishment and operationalising of a single NBI integrated knowledge management system in which the Subsidiary Action Programs form critically important nodes.
- Support the Basin Cooperation Program, in coordination with Nile-SEC, through nurturing sub-basin cooperation, working to extend communications to Basin-wide matters, and maintaining an enhanced focus on consultation and participation.
- Support Nile-SEC in its task of improving the operations and robustness of National Focal Points through using the networking and communications skills of SAP personnel.

4.7 Risks Matrix

The risks to implementing the planned programs and the NBI institutional future have been identified and analysed. Possible mitigation measures are identified and highlighted in the following chart.

Item	Risks	Probability of Occurrence	Impact	Rating of Risk	Mitigation Measures
1	Impacts of political track on implementation of planned programs and projects	M	M	M	<ul style="list-style-type: none"> • Intensify consultations and information sharing with partners and countries; • Adopt alternative implementation modalities with focus on building trust, capacity and knowledge base. • Upscale the demonstration of benefits to all basin countries of optimal water resources management through basin-wide and inclusive operations; • Promote inclusive member country engagement in the technical track
2	Likelihood of Institutional smooth transitioning from NBI (Nile-SEC, and Subsidiary Action programs) to NRBC	M	M/H	M	<ul style="list-style-type: none"> • Support countries (through e.g. IDS Phase 2 studies) in the assessment of options and planning for smooth institutional transitioning from the current NBI to NRBC.

Appendix A: Summary of NBI - Center Specific Strategic Plans

Executive Summary-NBI-Secretariat Strategic Plan (2012-2016)

Background and Rationale

The Nile Basin Initiative is a regional partnership led by riparian states of the Nile built around a shared belief that countries can eradicate poverty, reverse environmental degradation and spur growth for all peoples of the basin through cooperation rather than competition. This partnership was built around a shared vision. To ensure tangible benefits the 1999 Strategic Action Program was launched comprising of two programs: a) the Shared Vision Program, whose 8 projects are mostly completed with two of these ending by end 2012 and b) the Subsidiary Action Program which is actively under operation at two subsidiary levels.

NBI Governance includes the Nile Council of Ministers of Water Affairs of the NBI countries (Nile-COM) as the overall decision making body; the Nile Technical Advisory Committee (Nile-TAC) which provides the technical guidance to NBI and advises the Nile Council of Ministers. Day to day management includes the Nile Basin Initiative Secretariat (Nile-SEC) which is located in Entebbe, Uganda, and two subsidiary programs regional coordinating offices located in Addis Ababa, Ethiopia (ENTRO) and in Kigali, Rwanda (NELSAP-CU). Parallel to the Strategic Action Plan, Nile-COM has been pursuing the formulation of a Cooperative Framework (CFA) between the basin countries to develop a common legal framework and create permanent institutions to replace the current transitional arrangements of the NBI.

NBI Shared Vision

To achieve sustainable socio-economic development through equitable utilization of, and benefit from, the common Nile Basin Water resources.

As defined by Nile-COM in 2002, Nile-SEC has two primary roles: a) Supporting Nile Basin Cooperation through providing Secretariat services to Nile-TAC and Nile-COM in the execution of their functions within NBI, and through fostering the enabling environment for cooperation through communications, networking, basin-wide forums and the like; and, b) Supporting and coordinating other basin-wide activities flowing from the Shared Vision Program, principally through fostering basin-wide integrated water resources management (IWRM).

By the time, the Shared Vision Program was concluding, it became evident that the expected transformation of the NBI into the permanent River Basin Commission will not take place in a short period, as the CFA process will take time before it is enforced. Accordingly, Nile-TAC commissioned the preparation of the NBI Overarching Strategic Plan and the Nile-SEC specific Strategic Plan, guided by the former, linked to the 1999 Strategic Action Program and through a participatory process.

Situation Analysis

The analysis of the current situation of the NBI was carried out using the *Shared Vision* and the *Policy Guidelines for the Nile River Basin Strategic Action Program* as direction setters. Through SWOT analysis, Nile –SEC’s strength was identified to include: well defined governance structure, only

platform for basin-wide cooperation,..., The weaknesses included, need to have a refocused structure, improved internal communication, financial sustainability, beyond 2012, when NBTF closes, inadequate delegation policy, insufficient capacity for funds sourcing...

Strategic Framework

Within the broad mandate of the of the 1999 Strategic Action Plan, the specific driving elements for strategic planning for the Nile-Sec are given in the NBI Overarching Strategic Plan defining 2012-2016 as a period of consolidation and delivering.. This is to focus on 3 short-term strategic directions comprising: a) focus on institutional sustainability, b)focus in its lead role in two core programs: Basin Cooperation Program and Water Resources Management Program, and c) focus on support to national ministries and SAPs in their tasks for water resources development.

Vision: “A professionally managed and sustainable secretariat serving the NBI countries to achieve their shared vision for the Nile Basin”

Mission: “To proactively support and service Nile-TAC and Nile-COM; to foster basin-wide cooperation; and to support and coordinate basin-wide activities flowing from the Shared Vision Program.”

Broad Goal: This Strategic Plan is aimed at ensuring that Nile-Sec is re-invigorated and re-focused with its current mandate, and to perform functions and produce results that maximize its value and contribution to the pursuit of the Nile Basin

From the situation analysis, 6 short-term priorities and corresponding specific objectives have been derived

Short-term Priorities	Specific Objectives 2012-16
<ul style="list-style-type: none"> • Continue to foster and strengthen Basin cooperation and dialogue • Explore external liaison and cooperation with appropriate regional institutions 	1. To raise the level and degree of cooperation between the riparian countries
Foster and strengthen National Focal Points for better dialogue and more involvement of line ministries.	2. To reinforce the effectiveness of National Focal Points (NFPs)
Continue to build the knowledge base, especially of Nile Basin hydrology in order to underpin an information-rich dialogue on water development.	3. To establish and operate NBI integrated knowledge management system
Demonstrate the successes and value that NBI brings in identification of basin-wide opportunities, in catalysing joint investments, and in facilitating information exchange.	4. To achieve an enhanced member country commitment.
<ul style="list-style-type: none"> • Complete establishment of the water resources management unit • Accelerate an enhanced organisational effectiveness so as to better underpin NBI cooperation and proactive knowledge-based IWRM 	5. To establish and operationalise the architecture of a single NBI integrated knowledge management system
Give high priority to securing financial sustainability	6. To formulate and implement a financial sustainability plan

Four short-term strategies are formulated:

- Concentrate on nurturing co-operation;
- Aim at becoming the prime centre of excellence as a basin-wide knowledge base;
- Support NFPs and SAPs in their tasks related to Water resources development;
- Stay focussed on enhancing financial sustainability

Work Program and Deliverables

Work program and deliverables have been elaborated along 3 program areas and 1 for corporate services, together with strategic objectives deliverables and cost estimates:

- Basin Cooperation Program
- Water Resources Management Program
- Water Resources Development Program

➤ Corporate Services (across the programs)

Implementation and Monitoring

Financing strategy and budget has been prepared. The organizational structure of Nile-Sec is proposed to be flexible to suit the activities to be taken. The implementation of this strategic Plan will be monitored through a results monitoring Framework which will be developed in line with the NBI Results chain.



Executive Summary: ENTRO 2012-2016 Strategic Plan Eastern Nile Technical Regional Office (ENTRO)

Looking back: trans-boundary context and rationale

One of the principles informing the **Nile Basin Initiative (NBI)**, a nine country transitional basin institution, is “**subsidiarity**” which allows the lowest appropriate level of action to exploit (or otherwise overcome) unique shared sub-basin hydrologic and other potentials (or constraints). **The Eastern Nile Subsidiary Action Program (ENSAP)** – comprising Egypt, Ethiopia and Sudan – is one of two such subsidiary programs of the NBI. ENSAP was established in 1999 to realize the NBI shared vision of achieving “**sustainable socio-economic development through the equitable utilization and benefit from the common Nile Basin water resources**”. Eastern Nile though linked to and forming one hydrologic unit of the entire Nile Basin, nevertheless bears unique features, making a compelling case for the three countries to form ENSAP. These features include hydrologic; topographic; land degradation and environmental problems; cultural-historical; demographic; geographic and finally economic.

ENTRO, the Eastern Nile Technical Regional Office, headquartered in Addis Ababa, Ethiopia, is the executive arm of ENSAP. Fundamental changes - external to ENTRO but critical to its continuing effective functioning, even existence - are taking place. ENTRO thus needs to creatively adapt and respond to these changes. Indeed this is nothing new. ENTRO produced its first strategic plan in 2005 which guided it through the following five years (2006-2010). This second strategic plan, initiated on the basis of ENCOM (Eastern Nile Council of Ministers of Water Resources) 2009 Extraordinary Meeting instruction, is anticipated to guide ENTRO through 2012-2016.



Looking in and out: the SWOT analysis

Process and output: A one-day retreat of the entire ENTRO staff assessed the accomplishments of the first 2006-2010 strategic plan and drew lessons of experience. A SWOT analysis identified ENTRO’s internal weaknesses (e.g. lack of comprehensive resource mobilization strategy) and strengths (competent and committed staff; action on the ground-project being implemented;

establishment of ENTRO country offices in the Eastern Nile countries; operationalization of IWRM principles, etc.); threats (e.g. collapse of the boundary between cooperation/ NBI and the negotiation/political tracks and its spill over onto ENTRO operations) and opportunities (growing bilateral cooperation among EN countries, increasing recognition of the threat of Climate Change). A draft of the strategic plan is ready and wider consultation (with governmental, non-governmental and development partners) on the document is being planned.

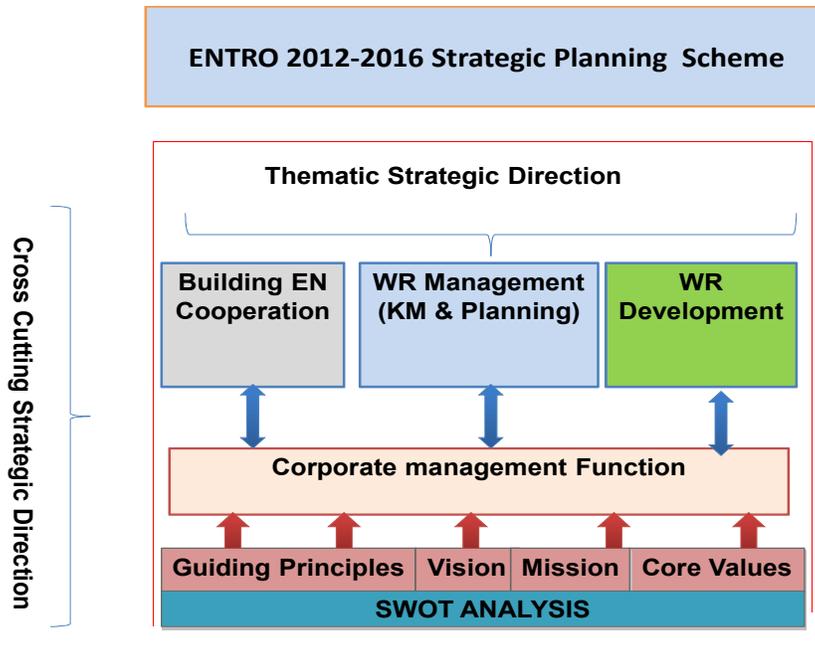
Values: ENTRO’s **RIGHT** values (**R**egional orientation; focus on environment and people; **I**nitiative, dynamism and creativity, **G**ender balance, equity, respect for diversity; **H**onesty, excellence and professionalism; **T**eam work, participation and partnership) are maintained.

Mission: “ENTRO promotes trans-boundary cooperation in participatory sustainable development and management of the common Eastern Nile Water resources”

Vision: In the next five years ENTRO envisions itself to be a “credible sub-basin institution trusted and respected by the Eastern Nile countries and development partners, whereby they seek its expertise in sustainable cooperative transboundary water resources development to foster regional integration”.

Operational guiding principles: this fourth dimension affirms ENTRO’s transboundary dimension. They include: (a) water resources as entry point for win-win outcomes, benefit sharing and no significant harm (b) transboundary value addition – beyond what Eastern Nile countries can achieve on their own. (c) Sustainability – ensuring inter-generational; social and environmental; technical and economic/financial sustainability.

Looking forward and beyond: Strategic positioning



ENTRO 2012-2016 Strategic Planning

Key strategies: ENTRO will employ the following strategies to achieve its goals: building know-how and show-how competencies; operationalizing IWRM; demonstrating transboundary value addition; ensuring resource sustainability of ENTRO; mitigating impact of CFA-related threats.

Strategic directions : Two categories of strategic directions have been formulated: thematic (4) and cross-cutting (1). The strategic directions determine the major trajectory ENTRO pursues to achieve realize its mission.

A. **Cross-cutting strategic direction (1):** these are ENTRO’s strategic concerns and always inform and animate all ENTRO’ actions – at whatever level. These include; mainstreaming social development (e.g., stakeholder involvement, social safeguards, networking, development communication); environment (e.g. environmental management, safeguards); climate change adaptation; capacity building and resource mobilization.

B. **Thematic strategic directions (4):** Informed and guided by the cross –cutting strategic directions, this category includes four core domains or thematic areas on which ENTRO will concentrate in the next five years. These consist of **building EN cooperation, EN water resources planning and management; EN water resources development and corporate management** – essentially ENTRO’s core functions.

Specific objectives and primary tasks under each one of the five strategic directions have been worked out. A Monitoring and Evaluation Framework has also been provided.

Executive Summary-NELSAP Strategic Plan (2012-2016)

Background

The NELSAP Strategic Plan (2012-2016) has been compiled through a collaborative process with NELSAP staff and stakeholder representatives. The role and mandate of NELSAP-CU remains to ‘facilitate, support and strengthen the identification, preparation and implementation processes for NELSAP projects for the benefit of all riparian countries.’

In light of this continuing and strengthening role, the primary objective of the NELSAP Strategic Plan 2012-2016 is *to promote the optimal and well-balanced management and development of the NELSAP region’s water resources while ensuring that the impacts of our interventions do not negatively impinge on the health of the basin’s resources including that of the lakes and river systems.*

This requires re-focused medium-term strategic goals and other programmatic/supporting interventions geared toward the realization of both the NBI Shared Vision and the NELSAP mandate, which is to ‘contribute to the eradication of poverty, to promote rapid and sustained economic growth, and to reverse environmental degradation’ in the NEL region in a participatory manner. Such options should ensure efficiency, value addition, rationalization and economy in resources utilization.

The Strategic Plan continues to support the three tracks of the previous 2005 – 2010 Strategic Plan (Scaling Up Strategy) and should be viewed as a structured proposal for business improvement in NELSAP and to support decision-making by NEL-COM.

Vision

The vision of NELSAP is to *‘contribute to the eradication of poverty, to promote rapid and sustained economic growth, and to reverse environmental degradation’* in the Nile Equatorial Lakes Region.

Mandate

NELSAP’s mandate is to *‘facilitate, support and strengthen the identification, preparation and implementation processes for NELSAP projects for the benefit of all riparian countries’*

(NELSAP Policy Guidelines, Annex 2)

Scope

NELSAP oversees the implementation of jointly identified projects and promotes cooperative inter-country and in-country investment projects related to the common use of the Nile Basin’s water resources.

Operating Environment

NELSAP receives its mandate from member countries through NEL-COM and operates as a subsidiary programme under NBI. NELSAP activities are coordinated through NELSAP-CU, based in Kigali, Rwanda in close association with country representatives. Over the years, NELSAP has served as a powerful platform to promote and facilitate regional and national projects.

Constraints and Opportunities

There is a need to streamline the functional arrangements between the NBI Secretariat (Nile-SEC) based in Entebbe, Uganda and NELSAP-CU based in Kigali. The delegation of certain functions to NELSAP-CU and a stronger oversight function by the Nile-SEC could bring about greater efficiencies.

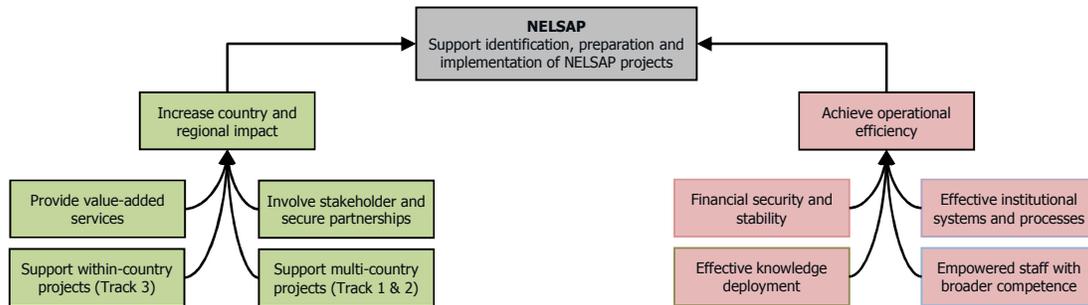
Strategic Framework

The medium-term strategy comprises of a three-tiered strategic framework conceptualized in terms of: 1) Focus Areas; 2) Strategic Objectives and 3) Programmatic Goals. In the first tier, the strategy identifies two high-level focus areas, one of which targets operational outcomes and the other, the impact of NELSAP activities. Underneath each focus area, four strategic objectives are outlined in the second tier, each of which contains programmatic goals in the third tier, which operationalizes the respective strategic objective and direct implementation activities.

- *Focus area 1* supports the implementation of multi-country and within-country investment projects to increase country and regional impact.
 1. *Strategic objective 1*: To involve stakeholders and secure partnerships, which is critical to achieving regional and country-level impact.
 2. *Strategic objective 2*: To provide value-added services relating to knowledge-based services that could typically generate income for NELSAP-CU and deliver greater value to countries and financiers.
 3. *Strategic objective 3*: Support for multi-country projects (Track 1 & 2) - as outlined in the Scaling Up Strategy
 4. *Strategic objective 4*: Support for within-country projects (Track 3) - as outlined in the Scaling Up Strategy.

- *Focus area 2* allows NELSAP-CU to achieve operational efficiency through strengthening relationship with member countries, NBI structures, financiers and stakeholders.
 1. *Strategic objective 1*: To develop effective institutional systems and processes.
 2. *Strategic objective 2*: To have empowered staff with broader competence to deliver value to member countries.
 3. *Strategic objective 3*: Financial security and stability.
 4. *Strategic objective 4*: Effective knowledge deployment.

These high-level strategic focus areas and strategic objectives are summarized in the following flow diagram:



The Strategic Framework also outlines and prioritizes specific actions over the next 5 years. The Framework furthermore includes a NELSAP business case with the relevant costing for the identified and prioritized strategic goals and programmatic goals, an implementation schedule, monitoring and evaluation framework and indicative institutional and financial sustainability options. Such options should ensure efficiency, value addition, rationalization and economy in resources utilization.

Budget

This document also provides a detailed budget of the Strategic Plan over the five-year period. A budget summary is provided below:

Cost of running NELSAP-CU and Sub-Basins (US\$)						
Centre	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
NELSAP-CU Core Costs	968,000	997,000	1,027,000	1,058,000	1,090,000	5,140,000
NELSAP-CU Project Costs	674,000	694,000	715,000	736,000	758,000	3,577,000
Sub-Total	1,642,000	1,691,000	1,742,000	1,794,000	1,848,000	8,717,000
Sub-Basins	1,948,000	2,006,000	2,067,000	2,129,000	2,193,000	10,343,000
TOTAL	3,590,000	3,697,000	3,809,000	3,923,000	4,041,000	19,060,000

Recommendations

This strategic plan suggests that NELSAP's impact can be significantly increased by considering other modes of action including lobbying for regional (water-related) development and playing a stronger role in catalyzing development in the region. A concerted effort is also needed to engage financiers and stakeholders to convey a message of how NELSAP can support countries and the region to meet their development objectives and act as a mechanism for financiers to achieve their investment strategies. NELSAP capacity can; in addition, be deployed to regional benefit through the provision of specialist services on a contract basis, therefore not only facilitating development processes, but build and deploy significant technical capacity in the region. Diversification of the financier pool should also be considered.

The staffing situation at NELSAP-CU has drastically improved over the past five years. There is however, room to improve the profile of the staff cadre by attracting excellent people; refining staff functions and roles; clarify reporting and supervision; and increase technical capacity, particularly in infrastructure development and decisions support systems.

**Appendix B:
NBI Indicative Budgets (July 2012- June 2017)**

i. Nile Secretariat (US \$ million)

Program	Sub-program	2013	2014	2015	2016	2017	Sub-total	Manag't fee	Total
Facilitating Cooperation	1. Secretariat	0.6	0.5	0.5	0.5	0.5	2.6	-	2.60
	2. Platform for Cooperation	1.2	1.2	1.29	0.8	0.5	4.99	0.50	5.49
	3. Cooperation in the Power Sector: i) Establishment of Technology Centre of Excellence (\$5.53 M); 4. ii) Basin-wide Power Dev. Strategy (\$6.01M)	NBI making effort to secure funding through various sources outside NBTF							
Water Resource Management	5. Basin Monitoring	1.45	2.7	2.7	8.1	6.3	21.25	2.13	23.38
	6. Knowledge Base	1.06	1.58	0.7	0.95	0.78	5.07	0.51	5.58
	7. Analysis	1.35	1.8	2.7	2.25	1	9.1	0.91	10.01
	8. Water Policy Support	0.35	0.65	1	1		3	0.30	3.30
	9. Technical capacity for trans-boundary ecosystem management	0.7	1.3	2.25	1.75		6	0.60	6.60
	10. Awareness for sustainable use of trans-boundary environmental resources	0.6	0.9	1.1	1	0.9	4.5	0.45	4.95
Nile-SEC	Sub-total	7.31	10.63	12.24	16.35	9.98	56.51	5.39	59.30 [60.84] ¹
Management fee	10% (less Secretariat sub-program)	0.67	1.01	1.17	1.59	0.95	5.39		
Nile-SEC	Grand Total	7.38	11.14	12.91	17.44	10.43	59.30		
Funding secured or under processing									
GIZ –Extension of ongoing Support to Water Resources Management (KM, Policy) (1.3)									
CIWA (under consideration)									
		2.51	2.52	3.0	3.0	3.0	14.03		
Nile-SEC	NET Total Required	4.87	8.62	9.91	14.44	7.43	45.27	5.39	

¹ Including Power Projects

ii. NELSAP-CU Annualized Budget 2013-2017 (US \$ million)

Sub-Program	Project	2013	2014	2015	2016	2017	Total
Power Development and Trade	Preparation of power transmission lines & interconnections	3.0	2.5	2.5	2.0	1.7	11.7
	Operationalizing NELSAP Regional Interconnected Power Grid	1.0	1.0	1.0	-	-	3.0
	Preparation of Hydropower Projects	3.0	2.6	2.6	2.4	2.4	13.0
Water Resources Management	NEL WRD: Feasibility Studies and Detailed design for Multipurpose WRD projects arising from the Multi sectoral Investment Opportunity Analysis studies,	12.0	9.0	9.0	-	-	30.0
	Kagera Project: (i) Feasibility studies and detailed designs for 4 medium sized dams in Kagera Basin and (ii) Feasibility study for basin Small Hydropower Development program	4.8	3.6	3.6	-	-	12.0
	Sio-Malaba-Malakisi: Feasibility study and detailed design for Angolola dam for Energy, municipal water supply and energy development - Kenya/Uganda	3.0	3.0	-	-	-	6.0
	Mara Project: Feasibility studies and detailed designs for two medium scale storage multipurpose dams (Norera & Borenga) for energy production, water supply and irrigation development	2.0	2.0	2.0	-	-	6.0
Climate Change Adaptation Mainstreaming	NEL Climate Adaptation: Feasibility Studies and detailed design for three Climate proofed Water infrastructure Investment projects	3.0	2.0	-	-	-	5.0
Agricultural Trade and Productivity	RATP: Development of a food security strategy for the NEL countries in the context of climate change.	1.5	-	-	-	-	1.5
	RATP: Feasibility/Detailed design studies/ESIAs/RAPs for 4 irrigation dam sites in Kenya, Uganda, Rwanda & Burundi.	4.8	4.6	4.3	4.3	-	18.0
	RATP: Dissemination of best practices in water harvesting and small holder irrigation	1.0	1.0	1.0	-	-	3.0
	RATP: Feasibility studies for cross-border trade options for improved food security and promotion and application of water footprint for food security and water saving in NEL countries.	1.1	1.0	1.0	-	-	3.1
Sub-Regional capacity Building	NELSAP Program Coordination: Support to multi-country cooperative project identification, preparation, resource mobilization and implementation supervision.	0.968	0.997	1.027	1.058	1.09	5.14
	NELSAP – CU Total	41.17	33.30	28.03	7.36	5.19	117.44

Some of the results are proposed for NBTf/CIWA funding with a total financial proposal of \$ 5.4 million over 1.5 to 2 years during phase 1 (2013 - 2014) and a further \$ 9 million during CIWA phase 2 (2015 - 2019).

iii. ENTRO: Financial Requirements During the Strategic Plan Period

(Excluding existing projects) Mill. US \$

High level Results	2012/13	2013/14	2014/15	2015/16	2016/17	Total
1. Enhanced flood preparedness and early warning in the Eastern Nile through the implementation of Flood Preparedness and Early Warning II (partly funded by countries)	-	3.20	9.50	8.40	10.76	31.86
2. Regional support to flood forecasting provided and community flood preparedness augmented	1.28	1.55	2.39	1.71	0.03	6.96
3. Large Scale Joint Basin Development						
3.1 Identification, Preparation and facilitated implementation of Large-scale Joint Basin Development Project achieved	-	-	1.30	2.20	3.50	7.00
3.2. Power Interconnection & Trade Facilitated	1.00	1.50	2.50	0.50	0.50	6.00
3.3. EN Dam Safety Framework developed	1.25	0.75	-	-	-	2.00
3.4. Development communication on infrastructure and power trade conducted	0.25	0.35	0.30	0.30	0.30	1.50
4. Baro-Akobo-Sobat Multipurpose Project						
4.1. Up streaming social and environmental issues in options assessment for Baro-Akobo-Sobat Multipurpose Water Resources Planning and Development achieved – (AfDB grant pledge)	2.34	0.50	0.40	-	-	3.24
4.2. Detailed preparation of Baro-Akobo-Sobat Multipurpose Water Resources (BAS) Project conducted (Gap)	-	-	1.50	2.30	3.25	7.05
5. Watershed investment Projects to address the Interplay between poverty and environmental degradation in the EN region prepared	0.30	0.50	2.51	2.29	1.61	7.21
6. Improved irrigation water utilization and productivity in the EN region promoted	-	0.80	1.80	2.27	0.93	5.80
7. Planning, Information and Knowledge Development promoted	0.30	0.75	1.50	1.73	2.42	6.70
8.1 ENSAP Climate Change Response strengthened		1.50	1.60	3.50	1.80	8.40
9. Sustainable ENSAP Environment Management promoted	0.20	0.20	0.70	0.20	0.15	1.45
10. ENSAP Stakeholder Interactions enhanced	0.10	0.10	0.70	1.30	0.55	2.75
11. ENTRO corporate capacity strengthened	0.20	0.30	0.30	0.30	0.20	1.30
ENTRO Total	7.22	12.00	27.00	27.00	26.00	99.22

Funds in pipe line

- Up streaming social and environmental issues in options assessment for Baro-Akobo-Sobat is possible to be funded by African Development Bank. All the quality check process is passed and the project for Euro 2 million (\$3.24) is at the final stage of being approved
- Some of the results are proposed for NBTF/CIWA funding with a total financial proposal of \$ 5.0 million over 1.5 to 2 years during phase 1 (2013 - 2014) and a further \$ 9 million during CIWA phase 2 (2015 - 2019).

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8. NELSAP Strategic Plan 2012-2016
9. Elaboration of NBI Consolidated Program Concept 2012/13-2016/17

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