Acknowledgements

With this page, the GEF IW:LEARN project would like to acknowledge the contribution of key project stakeholders to the successful completion of this manual and its companion Project Management manual. Both would not have been a success without this important support from key people, for which the project is eternally grateful.

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Summary

This is the third of three volumes that makes up the GEF Transboundary Diagnostic Analysis/Strategic Action Programme Manual.

Volume 1 presents an introduction to International Waters and the TDA/SAP approach. It describes what International Waters are and why are they important, and why the GEF is interested in them. It then outlines the TDA/SAP approach as a tool for IW management, presents a brief history of the TDA/SAP approach, gives examples of the TDA/SAP approach in action and finally describes the current GEF approved version of the TDA/SAP approach.

Volume 2 delves deeper into the TDA/SAP process. It presents a ‘How to’ Guide to TDA/SAP development – a simple, non prescriptive stepwise approach that many projects have followed over the last 10 years, including references and links to best practices and experiences from a wealth of completed and on-going projects.

This volume focuses in on planning the TDA/SAP process. In particular, it looks at the key steps in managing the TDA and the SAP and meeting/workshop design to ensure the TDA and the SAP processes are as collaborative as possible.
1. Introduction

Crucial to the development of an effective TDA and SAP is the planning process that underpins it. Each project will manage the TDA and SAP development processes differently. This Chapter describes a simple stepwise process for planning for and managing the TDA and the SAP based on the experiences of a number of recent IW projects. Its intention is not to be prescriptive, rather to give an indication of the planning and management activities required.

This Chapter describes the key planning steps both for the TDA and SAP development phases, including:

- Key milestones
- Finance and budgeting
- Setting up the development teams
- Meetings and workshops
- Stakeholder/public involvement/participation

It also introduces checklists of actions that are required during the TDA and SAP phases with an indication of who is likely to be the lead individual or organisation for the action, who else is involved and who approves the action.

**BOX 1: MANAGING EXPECTATIONS**

A key aspect of planning the TDA/SAP process is about managing expectations.

The complexity and level of detail of the TDA and SAP developed during the project will be a reflection of the time, funds and human resources available and it may be necessary to carefully manage the expectations of not only project staff and TDA/SAP Development Team members but also the steering committee, key stakeholders in the participating countries and the respective implementing and executing agencies.

More details on managing expectations can be found in the Project Management Manual.

2. Key TDA management steps

2.1 Setting Key TDA milestones

The key milestones for the development of the TDA are:

- Create workplan and budget*
- Form TDA development team and hire consultants
- Training workshop on the TDA/SAP process
- TDA launch meeting
- Causal chain analysis workshop

* This should include an agreement on how the TDA process will be undertaken and at what level. For example, will the TDA be conducted nationally and then combined at the water system level or will it start at the water system level? This will impact the workplan and budget.
- Development of thematic reports
- Thematic report meeting
- Drafting the TDA
- Final TDA review meeting and SAP linkage
- Adoption by steering committee

These milestones are presented in a simple checklist in Table 1, below, together with an indication of who is likely to be the lead individual or organisation for the action, and who else is involved and approves the action.

**Table 1: Checklist of milestones and responsibilities for TDA development**

<table>
<thead>
<tr>
<th>Activity</th>
<th>PM</th>
<th>PSC</th>
<th>DT</th>
<th>EC</th>
<th>Countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create workplan and budget</td>
<td>L</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Form TDA development team</td>
<td>L</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training workshop on the TDA/SAP process</td>
<td>X</td>
<td>X</td>
<td>L</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TDA Launch meeting</td>
<td>L</td>
<td>X</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Causal chain analysis workshop</td>
<td>X</td>
<td>X</td>
<td>L</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Development of thematic reports</td>
<td>L</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Thematic report meeting</td>
<td>X</td>
<td>X</td>
<td>L</td>
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<tr>
<td>Drafting the TDA</td>
<td>X</td>
<td>X</td>
<td>L</td>
<td></td>
<td></td>
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<tr>
<td>Final TDA review meeting and SAP linkage</td>
<td>X</td>
<td>X</td>
<td>L</td>
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<tr>
<td>Adoption by steering committee</td>
<td>L</td>
<td>X</td>
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</tbody>
</table>

Key:
- PM – Project Manager
- PSC – Project Steering Committee
- DT – TDA Development Team
- EC – Expert/Consultant
- Countries – Participating countries

L – Lead; X – involved

A generic Gantt chart showing key TDA development milestones for a typical 5-country project is shown in Table 3 below.

### 2.2 Defining the timeframe for TDA development

The time frame for the development of the TDA will vary from project to project. Some projects have completed the activity within a year whilst other projects can take much longer. Much will depend on the number of participating countries, the complexity of the project and the budget available. However, it is important to remember that the TDA is not the main outcome of the TDA/SAP Process - it’s just one step on the path to develop and endorse the SAP - so ensure the time is used efficiently and effectively. Ideally the TDA process should take around 12 - 15 months to complete. Examples of typical TDA development times are presented in the Table 2.

**Table 2: Typical TDA development times**

<table>
<thead>
<tr>
<th>Project</th>
<th>TDA Development time (months)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Black Sea (BSERP)</td>
<td>22</td>
</tr>
<tr>
<td>Kura-Aras River Basin</td>
<td>12</td>
</tr>
<tr>
<td>Guinea Current LME</td>
<td>24</td>
</tr>
<tr>
<td>Yellow Sea LME</td>
<td>18</td>
</tr>
<tr>
<td>Orange Sengu River Basin</td>
<td>12</td>
</tr>
<tr>
<td>Lake Chad</td>
<td>16</td>
</tr>
<tr>
<td>Dnipro River Basin</td>
<td>15</td>
</tr>
<tr>
<td>Rio de la Plata (FREPLATA)</td>
<td>18</td>
</tr>
</tbody>
</table>
Table 3: Gantt chart showing key TDA development milestones for a typical 5-country project

<table>
<thead>
<tr>
<th>Activity</th>
<th>Month</th>
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<tbody>
<tr>
<td>Develop workplan and budget</td>
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<tr>
<td>Form TDA development team and hire consultants</td>
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<tr>
<td>Training Workshop on the SAP Process</td>
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<tr>
<td>TDA Inception meeting</td>
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<tr>
<td>Causal Chain Analysis Workshop</td>
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<tr>
<td>Development of thematic reports</td>
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<tr>
<td>Thematic Report Meeting</td>
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<tr>
<td>TDA Drafting process</td>
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<tr>
<td>Final TDA review meeting and SAP linkage</td>
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<tr>
<td>Review by Steering Committee</td>
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</table>

* Denotes a meeting or workshop
2.3 Finance and Budgeting

Good financing and budgeting is a challenge to most IW projects and consequently TDA/SAP development. The Project Implementation Plan will have already defined the budget for the TDA component. Consequently, it is important not to be over ambitious - be realistic with the funds available.

More information on Money Matters can be found in the GEF IW Project Management Manual.

2.4 Setting up the TDA development team

The TDA Development Team should be a broadly representative technical body that represents the countries participating in the project and that will participate in the key development steps for the TDA. It is likely that this team will also participate in early development steps of the SAP.

Broad representation does not mean selection of the best academic scientific experts - academia generally represents one stakeholder group - it is important to ensure that the TDA Development Team is representative of all key stakeholders. There are two important reasons for this, outlined in the Box 2 below.

**BOX 2: STAKEHOLDER INCLUSION DURING THE SAP PROCESS**

There are 2 key reasons why it is important that all key stakeholder groups are engaged during the SAP process (either through consultation or direct participation):

1. If the TDA or SAP development process is captured by a particular stakeholder group or groups, the consensus building process will be compromised
2. SAP implementation can fail if stakeholders (for example, industries being regulated) are excluded from either the TDA or the SAP development.

Experts for the Development Team can come from a range of organisations, including:

- Key ministries or government departments
- Government agencies
- Corporate entities
- Trade organisations
- NGOs
- Civil society
- Academia and research organisations
- Regional Commissions

The make up of the Development Team should be as interdisciplinary as possible. It should include, or have access to:

- Natural scientists – based on appropriate disciplines for the water system in question
- Social scientists – including social assessment/participation experts
- Economists – e.g. fisheries economists; environmental economists
- Legal experts – water based legislation and regulations
- Policy experts – Governance and institutions

If additional expertise is required, the Development Team and the Project Manager should recommend it.
It is important that the TDA Development Team is well represented by all the above groups. Often, it is difficult to find suitable economists. In contrast, it is usually easy to find willing natural scientists, and it is tempting to form the Development Team from this group. However, economists and social scientists play a key part in describing the socio-economic consequences of the transboundary problems.

In general the TDA Development Team will number between 10 and 20 participants (depending on the number of participating countries, the complexity of the project and the budget available), although it is likely that not all team members will be active at any one time. An example of the expertise in the Black Sea TDA Development Team is given in Figure 1, below. As can be seen, there is a disparity between the numbers of team members from each participating country, in part due to the level of political buy-in from the countries.

Figure 1: Expertise Types for the Black Sea TDA Development Team (2007 BSERP Project)

2.5 Meetings and Workshops

A series of meetings or workshops are likely to be held during the TDA development phase – the number and style of which will vary from project to project according to the time, funds and human resources available.

This Section presents an example of a meeting and workshop programme that contains 5 events to be run during the TDA development phase, although it is possible to reduce that number to as little as 2 events by undertaking more tasks at a particular meeting or increasing the length of the meetings or workshops. The 5 events are:

1. Training Workshop on the TDA/SAP process
2. TDA Launch Meeting
3. Causal Chain Analysis Workshop
4. Thematic or National Report Meeting
5. TDA Review Meeting

2.5.1 Training Workshop on the TDA/SAP process
During this workshop, the TDA development team participate in a 2 to 3 day training course† on the GEF TDA/SAP process. The training course is based on this manual and will give the participants a good working understanding of the key steps for both the TDA development and SAP formulation.

The training course is ideally delivered at the water system level (i.e. involving all the participating countries) to allow the participants to gain insights and different perceptions on the water system and the TDA/SAP process. However, it is possible to deliver the training at a national or even sub-national level as a means of selecting key national representatives to the process.

2.5.2 TDA Launch Meeting
The TDA Launch (or kick-off) meeting, often combined with the TDA/SAP Training Workshop described above brings together key national representatives from the participating countries, many of which will have been involved in the TDA/SAP training course and are likely to continue to work on the development of the TDA and the subsequent SAP. The main objectives of the meeting, through two workshops will be to initiate the process of:

- Identifying the priority transboundary problems
- Identifying the impacts of the priority problems

More details on the structure of these workshops can be found in Annex 1. Whilst the TDA Development Team and the Project Manager are together it is also sensible to have a TDA Planning meeting during which the team:

- Identifies the next steps in the TDA development process
- Agrees the scope of the TDA document
- Develops a high level table of contents.

An example of a TDA table of contents is given in Annex 2.

2.5.3 Causal Chain Analysis Workshop
The objective of this workshop is to produce a comprehensive list of immediate, underlying and root causes for the priority transboundary problems with information on linkages between different levels, which the TDA development team has reached a consensus on.

The Causal Chain Analysis Workshop could be combined with the inception meeting if time allows, although in order to ensure that the outputs from the transboundary problem and impacts workshops are more fully developed, a separate causal chain meeting is advisable.

To compromise, it is possible to get basic causal chain information during the inception meeting and then either run a more focused causal chain meeting further into the process or task a regional consultant to produce first draft causal chains, to be presented at the thematic report workshop (see below for more details on this workshop).

More details on the structure of the causal chain workshop can be found in Annex 1.

† Please visit [http://manuals.iwlearn.net/tda-sap-methodology](http://manuals.iwlearn.net/tda-sap-methodology) for more information.
2.5.4 Thematic/National report workshop
The main source of supporting information for the TDA will be national or thematic (synthesis) reports. These are likely to be drafted by selected consultants or national experts from the TDA development team with each report using a similar structure.

The purpose of the Report Workshop is to enable the TDA development team to: review and comment on the draft thematic or national reports presented by the consultants; to make suggestions for improvement; and if possible accept the reports as concrete inputs to the next phase of the TDA development. More details on national or thematic (synthesis) reports can be found in Volume 2.

2.5.5 TDA Review meeting
The objective of this meeting is two-fold:
- To review the draft TDA document
- To identify the key leverage points in the TDA

Review of the draft TDA document The various workshops, meetings and reports conducted during the TDA development will have produced a great deal of material that will be integrated into one document – the TDA. Details on the integration and TDA drafting can be found in Volume 2. The draft TDA document should be thoroughly reviewed by the TDA development team and key stakeholders to ensure it is fit-for-purpose and can be adopted by the project steering committee. It is advisable to ensure that copies of the TDA document are circulated well in advance of this meeting to ensure the review process is successful.

There may also be a need for a national consultation on the TDA document, either before or after the TDA development team has reviewed it. Potentially, this could add a great deal of time to the process but it would ensure that there is full consensus between the participating countries.

Identification of the key leverage points in the TDA This workshop is a critical linking step between the TDA and the SAP. The TDA development team, and other key stakeholders need to review the transboundary problems, impacts, causal chains and governance analysis and identify key leverage points. For example, where in this map of cause-and-effect relationships, interventions could appear that have the largest potential for the broadest possible, positive influence on water system. More details on the structure of this workshop can be found in Annex 1.

2.5.6 Adoption by the Steering Committee
The draft TDA document should be thoroughly reviewed by the TDA Development team and key stakeholders to ensure it is fit-for-purpose and can be adopted by the project steering committee. It is advisable to ensure that copies of the TDA document are circulated well in advance of this meeting to ensure the review process is successful.

To ensure that the TDA is adopted by the project steering committee, it is important for the Project Manager to carefully develop the meeting agenda and well manage the steering committee meeting. Key agenda points for the TDA should include:
- General overview of the TDA components
- The TDA development process
- Discussion of the TDA contents
- Linkage between the TDA and the SAP development process

GOVERNMENT ACCEPTANCE
According to the GEF and the Implementing Agencies, the TDA should be a non-negotiated document – that is it should be a technical document, agreed to by the TDA development team and the PCU and adopted by the Steering Committee. However, experience has show that in reality, this is frequently not the case. Often, governments will want to examine and approve the TDA. Although this is not ideal, it is a reality and the project will need to take this into account.
3. Key SAP management steps

3.1 Setting key SAP development milestones

The key milestones for the development of the SAP are:

- Develop workplan and budget
- Form SAP development team and hire consultants
- Training workshop on the TDA/SAP process
- Strategic thinking workshop 1 (visions and goals)
- Strategic thinking workshop 2 (Ideas and opportunities and options)
- National and regional consultation process
- Drafting the SAP
- Final SAP review meeting
- SAP endorsement

These milestones are presented in a simple checklist in Table 4, below, together with an indication of who is likely to be the lead individual or organisation for the action, and who else is involved and approves the action.

Table 4: Checklist of milestones and responsibilities for SAP development

<table>
<thead>
<tr>
<th>Activity</th>
<th>PM</th>
<th>PSC</th>
<th>DT</th>
<th>EC</th>
<th>Countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop workplan and budget</td>
<td>L</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Form SAP development team and hire consultants</td>
<td>L</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Training workshop on the TDA/SAP process</td>
<td>X</td>
<td></td>
<td>L</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Strategic thinking workshop 1 (visions and goals)</td>
<td>X</td>
<td></td>
<td>X</td>
<td>L</td>
<td></td>
</tr>
<tr>
<td>Strategic thinking workshop 2 (Ideas and opportunities and options)</td>
<td>X</td>
<td></td>
<td>X</td>
<td>L</td>
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</tr>
<tr>
<td>National and regional consultation process</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Drafting the SAP</td>
<td>L</td>
<td></td>
<td>X</td>
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<tr>
<td>Final SAP review meeting</td>
<td>L</td>
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<tr>
<td>Adoption by steering committee</td>
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<td>X</td>
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</tbody>
</table>

Key: L – Lead; X – involved

A generic Gantt chart showing key SAP Development milestones for a typical 5-country project is shown in the Table 5 below.
Table 5: Gantt chart showing key SAP Development milestones for a typical 5-country project

| Activity                                                                 | Month | 1    | 2    | 3    | 4    | 5    | 6    | 7    | 8    | 9    | 10   | 11   | 12   | 13   |
|--------------------------------------------------------------------------|-------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| Develop workplan and budget                                             |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| Form SAP development team and hire consultants                          |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| Training Workshop on the SAP Process                                    |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| Strategic thinking workshop 1 (Visions and Goals)                       |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| Strategic thinking workshop 2 (Ideas and opportunities and options)     |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| National and regional consultation process                              |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| SAP Drafting process                                                    |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| Final SAP review meeting                                                |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| Review by Steering Committee                                            |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |
| SAP endorsement *                                                       |       |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |

* Denotes a meeting or workshop

* This figure is indicative. It is likely that SAP endorsement will take longer than 2 months.
3.2 Defining the timeframe for SAP development

As with the TDA development process, the time frame for the development of the SAP will vary from project to project. Some projects have completed the activity within a year whilst other projects can take much longer. Again, much will depend on the number of participating countries, the complexity of the project and the budget available. Ideally SAP development should take about 12 to 18 months, although it might span more than one GEF intervention (e.g. the SAP document, or a technical draft of the SAP might be produced during one GEF project, along with the TDA, whilst further SAP development, endorsement and implementation might occur during subsequent projects. Examples of typical SAP development times are presented in Table 6.

Table 6: Typical SAP development times

<table>
<thead>
<tr>
<th>Project</th>
<th>SAP Development time (months)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Black Sea</td>
<td>12*</td>
</tr>
<tr>
<td>Guinea Current LME</td>
<td>24</td>
</tr>
<tr>
<td>Yellow Sea LME</td>
<td>24</td>
</tr>
<tr>
<td>Nubian Aquifer</td>
<td>12*</td>
</tr>
<tr>
<td>Lake Chad</td>
<td>12*</td>
</tr>
<tr>
<td>Dnipro River Basin</td>
<td>18</td>
</tr>
<tr>
<td>Rio de la Plata</td>
<td>18</td>
</tr>
</tbody>
</table>

* Technical draft only – not endorsed

3.3 Finance and Budgeting

Good financing and budgeting is a challenge to most IW projects and consequently TDA/SAP development. The Project Implementation Plan will define the budget for the SAP component of any given project. Consequently, it is important to be aware of what is possible and what is not in terms of SAP ambition and have a good understanding of how the respective governments will use the SAP. For example, can the SAP be an outline or technical SAP such as those produced for the Prespa Lakes or the Black Sea? Or does it need to be a much more detailed with specific actions to implement (e.g. Dnipro River Basin)?

In other words, how the SAP is developed and how it will be used will have a significant effect on the budget needed. More information on Money Matters can be found in the GEF IW Project Management Manual.

3.4 Setting up the SAP development team

The SAP Development Team is a broadly representative body of experts and stakeholders that will participate in the key development steps for the SAP. The SAP Development Team should contain key members of the TDA Development Team to ensure continuity within the overall TDA/SAP process – in fact it is very likely that the first steps in the SAP development will be solely undertaken by the TDA Development team.

As with the TDA Development Team, broad representation does not mean selection of the best academic scientific experts. It is important to ensure that the SAP Development Team is representative
of all key stakeholders. Two key reasons for this are outlined in the Section 2.4 above. Experts for the SAP Development Team can come from a range of organisations, including:

- Key ministries or government departments
- Government agencies
- Corporate entities
- Trade organisations
- NGOs
- Academia and research organisations
- Regional Commissions

The make up of the Development Team should be as interdisciplinary as possible. It should include a good mix of natural scientists, social scientists, economists, legal experts and policy experts. It is important that the SAP Development Team is well represented by all the above groups. In particular, the Team will need good economists, policy, and legal experts – these specialists are likely to play key roles in the SAP development. If additional expertise is required, the Development Team and the Project Manager should recommend it.

In general the SAP Development Team will number between 10 and 20 participants (depending on the number of participating countries, the complexity of the project and the budget available), although not all team members will be active at any one time.

3.4.1 Training Workshop on SAP Development
In this workshop, the SAP development team participate in a 2 day training course on the GEF TDA/SAP Process and in particular the SAP development steps\(^\d\). The training course is based on this manual and will give the participants a good working understanding of the key steps for both the TDA development and SAP formulation.

The training course is ideally delivered at the water system level (i.e. involving all the participating countries) to allow the participants to gain insights and different perceptions on the water system and the TDA/SAP process. However, it is possible to deliver the training at a national or even sub-national level as a means of selecting key national representatives to the process.

Whilst the SAP Development Team and the Project Manager are together it is also sensible to have a SAP Planning meeting during which the team:

- Agrees the scope/limitations of the SAP process
- Identifies the next steps for the SAP development
- Develops a high level table of contents (an example of which is given in Annex 3).

3.4.2 Strategic thinking workshop 1: Vision and Goals
The first SAP strategic thinking meeting brings together the SAP Development Team, made up of key national representatives from the participating countries, many of which will have been involved in the TDA development phase. The meeting consists of 2 workshops based around:

- Defining a Vision for the water system; and
- Developing draft Goals to achieve the Vision

More details on the structure of the workshops can be found in Annex 1. This meeting should also be used to brief the SAP development team on the next steps in the SAP development process. Feedback on the proposed process should be actively encouraged.

\(^\d\) Please visit [http://manuals.iwlearn.net/tda-sap-methodology](http://manuals.iwlearn.net/tda-sap-methodology) for more information.
3.4.3 Strategic thinking meeting 2: Ideas and opportunities and setting options

The second strategic thinking meeting consists of 2 workshops based around:

- Brainstorming Innovative Ideas, Opportunities and Solutions that could be introduced that target the leverage points and meet the goals identified in the previous meeting
- Identifying Options or Alternatives that best meet the needs and realities of the region.

The overall outcome of the meeting will be an elaborated table of specific alternative ideas, opportunities or solutions that will provide the basis for more detailed in-country studies and discussions on options or alternatives.

It is possible to combine this meeting with the first strategic thinking meeting, although in order to ensure that the outputs from the vision and goals workshops are well developed, a separate strategic thinking meeting for brainstorming ideas and opportunities and setting options is advisable.

More details on the structure of the workshops can be found in Annex 1

3.4.4 National Consultation Process

There are likely to be three types of meeting during this phase:

- Economic, political and social evaluation of alternatives
- SAP integration
- Action planning

Meetings to evaluate alternatives

In order to ensure that each participating country reviews the outputs of the strategic thinking process - in particular the vision, goals and suggested options/alternatives - and conducts a thorough evaluation of the feasibility of the alternatives from a national perspective.

A series of country-based meetings, attended by SAP Development Team members representing the particular country, key national stakeholders, and the Project Manager and Project staff should be initiated.

It is likely that further in-depth meetings will be needed at key ministries and other stakeholders in each country. The level of input from stakeholders will vary between countries and consequently the approach used will need to be customised accordingly.

More details on the national and regional consultation process can be found in Volume 2.

SAP integration meetings

There will need to be high-level meetings with key ministries and stakeholders involved with national development planning to ensure the SAP is fully integrated into national development plans and vice versa.

In particular, the meetings should focus on:

- Integration/Implementation strategies
- Legal and Institutional Frameworks
- Investment priorities

As with the national consultation meetings described above, the level of input from stakeholders will vary between countries and the approach used will need to be customised accordingly in terms of meetings, workshops etc. More details on SAP integration can be found in Volume 2.
**National action planning meeting**

One of the core outcomes when drafting a SAP is to develop it in a way that is easily translatable into action, both regionally (at the water system level) and nationally. It is important that the SAP addresses not only the high-level initiatives and over-arching goals (predominantly at the water system level), but that they get articulated (translated) into short term actions that will be required to achieve the programme (predominantly at the national level). Action planning also includes specifying national responsibilities, budgets, timelines and priorities with each objective and action. It should also include methods to monitor and evaluate the SAP.

Therefore, it is advisable at this stage to ensure there is high-level national input to the action planning process. Again, the level of input from stakeholders will vary between countries and the approach used will need to be customised accordingly in terms of meetings, workshops etc.

**3.4.5 SAP action planning meeting**

This meeting should bring together key SAP Development Team members, together with the Project Manager and staff of the Project Management Unit to synthesise the outputs from the strategic thinking phase and national consultation process described above (evaluation of alternatives, SAP integration, action planning) and finalise the action planning process. Details on action planning can be found in Volume 2 (Action Planning).

**3.4.6 SAP Review meeting**

The various workshops, meetings and consultations conducted during the SAP development will have produced a great deal of material that will need to be integrated into one document – the SAP. Details on SAP drafting can be found in Volume 2. The objective of this meeting to ensure that, once drafted, the SAP document is thoroughly reviewed by the SAP development team and key stakeholders to ensure it is:

- Fit-for-purpose;
- At a stage to be adopted by the project steering committee; and
- Is likely to be endorsed by the participating countries.

It is advisable to ensure that copies of the SAP document are circulated well in advance of this meeting to ensure the review process is successful.

**3.4.7 Steps towards SAP endorsement**

The steps towards SAP endorsement will be different for each project and the process can quite often be difficult and time-consuming. However, to ensure that the process is as straightforward as possible, it is important to ensure that the Project Manager, key members of the SAP development team, country focal points and the steering committee carefully coordinate the steps towards endorsement.

This could include the arrangement of high-level meetings with senior officials from the key ministries in each country to ensure that there is general consensus towards the SAP and its endorsement.
Annex 1: Workshop Examples

Contents:

1: Identifying and prioritising transboundary problems
2: Determining environmental and socio-economic impacts
3: Developing causal chains
4: Identifying leverage points
5: Vision for the water system
6: Review and development of draft goals
7: Brainstorming ideas and opportunities
8: Reviewing options and alternatives
Workshop Example 1: Identifying and prioritising transboundary problems

Length of workshop:
Approximately 3 hours of the first TDA Development Workshop.

Structure:
Plenary with the full TDA Development Team.

Purpose:
To reach a consensus between the TDA Development Team of the priority transboundary problems affecting the water system.

The task:
1. With the aid of a good facilitator, the TDA Development Team is encouraged to brainstorm a complete list of the transboundary problems for the water system. The facilitator should prompt and write ALL answers on a flip chart or white board.

2. Once a list has been created, encourage the team to focus in on the real transboundary environmental problems (many in the list are likely to be governance causes or impacts).

3. If time is available, identify the geographical scale of each problem and how strongly transboundary the problems are – a number of problems are likely to be shared rather than transboundary.

4. Finally get the team members to prioritise the problems based on a set of easily understandable criteria using printed score sheets. Each team member should score the transboundary problems individually.

Transboundary Problem Prioritisation Criteria:
Examples of prioritisation criteria are shown below. This list is not prescriptive – types of criteria will be dependent on the transboundary system being studied.

- Transboundary nature of a problem – geographical and temporal scale.
- Future risk of the problem.
- Relationship with other transboundary problems.
- Expected multiple benefits that might be achieved by addressing a problem.
- Lack of perceived progress in addressing/solving a problem at the national level.
- Recognised multi-country water conflicts.
- Reversibility/irreversibility of the problem

Based on a set of defined criteria, assign a score to each transboundary problem between 0 (no importance), 1 (low importance), 2 (moderate importance) and 3 (high importance) to determine the relevance of the problem from the perspective of the present day and a pre-defined point in the future (e.g. 25 years) based on a business as usual scenario.

Report back and discussion:
Summarise the results in a spreadsheet and present to the team for discussion. Conduct a critical discussion on the outputs and ensure a rapporteur captures all comments.

Outputs:
- List of transboundary problems, complete with information on geographical scale
- Agreed set of Transboundary Problem Prioritisation Criteria
- Detailed list of prioritised transboundary problems with scoring data
- Annotated list of comments from TDA Development Team
Workshop Example 2: Determining environmental and socio-economic impacts

Length of workshop:
Approximately 4 hours of the first TDA Development Workshop.

Structure:
Initially in plenary to describe the process followed by small breakout groups. After plenary, TDA Development Team members divide into groups of between 3 and 8. Groups can be by discipline, transboundary problem or mixed. It is important not to organise by country if at all possible.

Preferably, the Project Manager will define the groups prior to the workshop. At the end of the group work, each working group should report back in plenary.

Purpose:
To reach a consensus between the TDA Development Team of the key environmental and socio-economic impacts for each priority transboundary problem.

The task:
1. Each group: Decide on a facilitator/chair, a rapporteur and ensure all members know each other.

2. Take one of the priority transboundary problems and identify:
   - The environmental impacts
   - The direct and indirect socio-economic impacts
   - Make linkages between impacts and other transboundary problems
   - Identify geographical location(s) of impacts/consequences

3. Allow a set time period for each transboundary problem, e.g. 30 minutes

Report back and discussion:
In plenary, ask for feedback from each group. Limit the time for each group (e.g. 5 minutes) and keep a close eye on timekeeping. Allow time for a critical discussion within the group and ensure a rapporteur captures all comments.

Outputs:
- Comprehensive list of environmental and socio-impacts for the priority transboundary problems with information on linkages between impacts and problems
- Information on geographical location(s) of impacts
- Annotated list of discussion comments from TDA Development Team
Workshop Example 3: Developing causal chains

Length of workshop:
At least one-day of the second TDA Development Workshop

Structure:
Initially in plenary to describe the process followed by small breakout groups. After plenary, TDA Development Team members divide into groups of between 3 and 8 each taking responsibility for a transboundary problem. Mixed discipline groups work well – ensure that the group members working on this process cover all the areas of expertise needed. In addition to natural scientists, social, legal, political and economic experts will be required. Preferably, the Project Manager will define the groups prior to the workshop. At the end of the group work, each working group should report back in plenary.

Purpose:
To reach a consensus between the TDA Development Team of the immediate, underlying and root causes for each priority transboundary problem.

The task:
Each group:

1. Decide on a facilitator/chair, a rapporteur and ensure all members know each other.
2. Review the priority transboundary problems and their associated environmental and socio-economic impacts.
3. For each transboundary problem, identify and list:
   - The key sectors (e.g. industry, agriculture, fisheries etc)
   - The immediate causes
   - The underlying resource uses and practices that contribute to each immediate cause
   - The underlying social, economic, legal and political causes of each immediate cause
   - Link the resource uses and practices, and social, economic, legal and political causes
   - Determine the root causes

The groups will also need to make linkages so provide white boards, flipchart paper or Post It notes as available.

Note: There might not be enough time to do all of the steps. The task can be reduced according to the level of engagement of the groups, their energy levels and the time available.

Report back and discussion:
In plenary, ask for feedback from each group. Limit the time for each group (e.g. 10 minutes) and keep a close eye on timekeeping. Allow time for a critical discussion within the group and ensure a rapporteur captures all comments.

It might be useful for a second round of group work to incorporate any ideas from the whole group. This would need to be agreed by the project manager, prior to the workshop. If a second round is decided, consider moving team members between groups.

Outputs:
- Comprehensive list of sectors, immediate, underlying and root causes for the priority transboundary problems with information on linkages between different levels
- Annotated list of discussion comments from TDA Development Team
Workshop Example 4: Identifying leverage points

Length of workshop:
Approximately 3 - 4 hours

Structure:
Small group (approximately 5 - 7) of key TDA Development Team members – ensure that the group members working on this process cover all the areas of expertise needed.

Purpose:
To identify leverage point where changes can be made in the water system.

The task:
In a small group, or individually:

- Review the transboundary problems, impacts, causal chains and thematic reports.

- Where, in this map of cause-and-effect relationships, would an intervention appear to have the largest potential for the broadest possible, positive influence on water system?

- Identify the leverage points – either graphically in the TDA materials and/or in list form

Remind the Teams, if necessary, that the Leverage Points are places to make change in the system, and not the specific changes or solutions to be introduced. Identifying what changes to introduce in the system is part of the strategic thinking process.

Outputs:

- A full list of leverage points with appropriate reference back to the TDA
- Annotated list of discussion comments from TDA Development Team
Workshop Example 5: Vision for the water system

Length of workshop:
Approximately 2 to 3 hours of the first SAP strategic thinking meeting.

Structure:
Initially in plenary to describe the process followed by small breakout groups. After plenary, SAP Development Team members divide into groups of between 3 and 8. Mixed discipline groups work well – ensure that the group members working on this process cover all the areas of expertise needed. In addition to natural scientists, social, legal, political and economic experts will be required. Preferably, the Project Manager will define the working groups prior to the workshop. At the end of the group work, each working group should report back in plenary.

Purpose:
To develop first drafts of potential Vision Statements.

The task:
Each group:
1. Decide on a facilitator/chair and a rapporteur and ensure all members know each other.

2. The facilitator/chair to ask the group:
   • What are your best hopes for the water system?
   • How would you like to see the water system in 20 years?

3. The timeframe for answering these questions will vary from project to project. Typically, most projects incorporate a twenty-year timeframe.

4. The facilitator should encourage an open discussion of the questions above and should discourage participants from focusing on “how” issues. The facilitator should also stay clear of any discussion about funding and feasibility since these matters stifle creativity. The “how” questions are typically addressed further into the strategic thinking process.

5. After a short break, the working groups meet again to begin writing a vision statement. Using the responses from the first session, SAP Development team members are asked to write a short one to two paragraph statement on how they would like to see the water system in 20 years.

6. Each group should develop its own statement. Because the statements will ultimately be combined, the groups should not get overly concerned about the quality of the text. At this point, it’s important to flesh out the best hopes for the water system.

Report back and discussion:
In plenary, ask for a 5 to 10 minute report from each group. Limit the time for each group and keep a close eye on timekeeping. Allow time for a critical discussion within the group and ensure a rapporteur captures all comments.

It might be useful for a second round of group work to incorporate any ideas from the whole group. This would need to be agreed by the project manager, prior to the workshop. If a second round is decided, move team members between working groups.

Outputs:
• A set of draft ‘vision statements’
• Annotated list of discussion comments from SAP Development Team
Workshop Example 6: Review and development of draft goals

Length of workshop:
Approximately 2 to 3 hours of the first SAP strategic thinking meeting.

Structure:
Initially in plenary but followed by small breakout groups. After the plenary session, SAP Development Team members divide into groups of between 3 and 8 (possibly based around priority transboundary problems). Mixed discipline groups work well – ensure that the group members working on this process cover all the areas of expertise needed. In addition to natural scientists, social, legal, political and economic experts will be required. Preferably, the Project Manager will define the groups prior to the workshop. At the end of the group work, each working group should report back in plenary.

Purpose:
Introduction of provisional goals that achieve the vision and reduce the impact of each transboundary problem and agreement on finalised set of draft goals

The task:
Before the workshop, the Project Manager and key SAP Development Team members should draft a list of provisional Goals together with approximate timeframes, including information on which priority transboundary problem(s) they are linked.

In Plenary:
1. Initial Briefing by the chair or facilitator on the purpose of this workshop.
2. Presentation of the provisional Goals followed by a short open discussion (10 - 15 minutes). All comments should be minuted.
3. Disperse into breakout groups.

In Breakout groups:
1. Decide on a facilitator/chair and a rapporteur and ensure all members know each other.
2. Review the goals associated with each specific transboundary problem and ensuring they:
   - Achieve the vision; and
   - Reduce the impact of the given transboundary problem or problems
3. The facilitator should encourage an open discussion of the goals and should discourage participants from focusing on “how” issues. In addition, the facilitator should also stay clear of any discussion about funding and feasibility since these matters stifle creativity. The “how” questions will be addressed further into the strategic thinking process.
4. Make sure all review comments and suggested alterations are noted by the rapporteur – there will need to be feedback to the plenary group.

Report back and discussion:
In plenary, ask for a 5 to 10 minute report from each group. Limit the time for each group and keep a close eye on timekeeping. Allow time for a critical discussion within the group and ensure a rapporteur captures all comments.

It might be useful for a second round of group work to incorporate any ideas from the whole group. This would need to be agreed by the project manager, prior to the workshop. If a second round is decided, move team members between working groups.

Outputs:
- Draft list of goals together with approximate timeframes, including information on which priority transboundary problem(s) they are linked.
- Annotated list of discussion comments from TDA Development Team
**Workshop Example 7: Brainstorming ideas and opportunities**

**Length of workshop:**
Approximately 4 to 8 hours of the second SAP strategic thinking meeting.

**Structure:**
Initially in plenary to describe the process but followed by small breakout groups. After the plenary session, SAP Development Team members divide into groups of between 3 and 8 (possibly based around priority transboundary problems or goals). Mixed discipline groups work well – ensure that the group members working on this process cover all the areas of expertise needed. In addition to natural scientists, social, legal, political and economic experts will be required. Preferably, the Project Manager will define the groups prior to the workshop. At the end of the group work, each working group should report back in plenary.

**Purpose:**
Identification of innovative ideas and opportunities that target the leverage points and meet the identified vision and goals.

**The task:**

In Breakout groups:

1. Decide on a facilitator/chair and a rapporteur and ensure all members know each other.
2. Get each group to review the leverage points associated with a specific transboundary problem. Using this information, together with the Vision Statement and the Goals, ask the question: 'With reference to the leverage points, what do you think would be some really exciting ideas and opportunities to achieve the goals?'
3. Brainstorm new ideas and opportunities in this area - remember the "Golden rules" of brainstorming. Limit the time for each brainstorming session (20 - 25 minutes is recommended but experience will show how much time is required).
4. Once the brainstorming starts, participants are encouraged to give their ideas and opportunities while the facilitator writes them down – usually on a white board or flip-chart for all to see. There must be absolutely no criticizing of ideas. No matter how silly or how impossible an idea seems, it should be written down. Laughing is to be encouraged. Criticism is not.
5. Once the time is up, encourage the group to identify the top ideas (normally between 3 and 10). Make sure everyone involved in the brainstorming session is in agreement.
6. Once the group has completed the task for the first transboundary problem and/or goal, get them to move on to the subsequent problems or goals. Repeat the process until all group have had the chance to brainstorm ideas and opportunities for all problems and/or goals.

**Report back and discussion:**
In plenary, ask for a 5 to 10 minute report from each group to present the priority ideas and opportunities. Make sure that the whole SAP Development Team has ample time to review the resulting prioritized lists. Discuss whether the lists accurately reflect the thinking of the group and whether it seems like a reasonable set of potential approaches. This is the list that moves forward to the next strategic thinking step. Ensure a rapporteur captures all comments.

**Outputs:**
- Lists of prioritised innovative ideas and opportunities that target the leverage points and meet the identified vision and goals
- Annotated list of discussion comments from SAP Development Team
Workshop Example 8: Reviewing options and alternatives

Length of workshop:
Approximately 4 to 8 hours of the second SAP strategic thinking meeting.

Structure:
Initially in plenary to describe the process but followed by small breakout groups. After the plenary session, SAP Development Team members divide into groups of between 3 and 8 (possibly based around priority transboundary problems or goals). Mixed discipline groups work well – ensure that the group members working on this process cover all the areas of expertise needed. In addition to natural scientists, social, legal, political and economic experts will be required. Preferably, the Project Manager will define the groups prior to the workshop. At the end of the group work, each working group should report back in plenary.

Purpose:
Selection of ideas, opportunities or solutions that best meet the needs and realities of the region

The task:
In Breakout groups:

1. Decide on a facilitator/chair and a rapporteur and ensure all members know each other.

2. Facilitator introduces the review matrix that the group will be asked to complete (see above).

3. The breakout groups review (and if necessary amend) the ideas, opportunities or solutions and then complete the table row by row, except for the ‘Relative Priority’ column which is completed by the breakout group once all the proposed solutions have been examined.

4. The facilitator of each group should ensure that his or her group takes its decisions by consensus; the objective is not to exclude any genuinely viable ideas, just to elaborate them further.

5. Groups should be encouraged to move forward if they become stuck on a particular point, and to return to it if time permits.

6. Where lack of information makes it impossible to complete one of the columns, information can be supplied after the meeting but there must be a clear agreement on who takes responsibility for this. At this stage, the tables should be seen as a ‘work in progress’.

Report back and discussion:
In plenary, ask for a 5 to 10 minute report from each group to present the key findings. Allow time for a critical discussion within the group and ensure a rapporteur captures all comments.

Outputs:
- Completed tables of prioritised options and alternatives that meet the needs and realities of the region
- Annotated list of discussion comments from SAP Development Team
Annex 2: Example of a TDA Content List
## TDA Content List

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   4.4 Transboundary problem 3 etc  
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4 SAP IMPLEMENTATION ARRANGEMENTS

5 MONITORING AND EVALUATION

6 FINANCIAL NEEDS, POTENTIAL SOURCES AND MECHANISM

ANNEXS – Including detailed supporting tables for the SAP