

Workshop Report for the Second SMM Basin Stakeholders' consultative workshop

Held on May 6th-9th 2018 at Mbale Resort Hotel, Mbale, Uganda



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Session 1: Introduction, welcoming and opening remarks

The second Sio–Malaba-Malakisi Basin stakeholders' consultative workshop was held from May 6th-9th 2018 at Mbale Resort Hotel in Mbale, Uganda. The workshop was well attended by over 40 participants drawn from the two SMM riparian countries (Kenya and Uganda) and from all levels of governments (national, county and district), catchment management zones as well as NGOs and local communities or water users representatives and from various sectors – water supply, water resources management, irrigation, energy, fisheries etc. The meeting was also attended by representatives from regional organizations such as Nile Basin Discourse and NELSAP-CU (Nile Equatorial Lakes Subsidiary Programme, Coordination Unit). In addition, the meeting was attended by representatives from the development partners e.g. the OES US State Department was represented by Mr. Yeneneh Teka from the Regional Environmental Office, US Embassy, Ethiopia; the EU mission to Uganda was represented by Jean-Baptiste Fauvel, Programme Manager, EU delegation to Uganda; and the GIZ, Uganda was represented by Juan Carlos Sanchez, Advisor Transboundary Wetland Management in the Nile Basin. The workshop was facilitated by the representatives from the project partners i.e. IUCN, UNECE and IGAD Secretariat as well as a team of three consultants. The full list of the participants is herein presented as Annex 1 to this report.

Mr. Fred Mwangi, the Regional Water Expert, IGAD Secretariat, called the meeting to order and welcomed participants to Mbale town and to the workshop and recognized representatives of the development partners present – OES US State Department, EU delegation to Uganda and GIZ mission in Uganda. He thanked the Government of Uganda for hosting the meeting and appreciated the fact that the meeting was being held in Mbale, in the SMM river basin, following a previous invitation of the Chairperson of the Manafwa District Local Government. Noted that the progress being made in the SMM basin is a collective responsibility and thanked all the project partners involved for the good work. In particular, he noted that the international study tour on transboundary water cooperation (with visits to the Sava and the Rhine river basins and the Bridge Academy) organized by the project in September 2017 benefited the participants in terms of experience sharing and capacity building in transboundary water governance and utilization. He urged the two SMM riparian countries to work hard and ensure that the SMM basin is well managed and developed. He appealed to the EU and GIZ missions to join OES in supporting efforts to strengthen transboundary water cooperation in the IGAD region.

Dr. Isabelle Fauconnier, Water Policy and Sustainability Advisor, IUCN Global Water Programme welcomed the participants and noted that since its inception in December 2016, the OES/IGAD project has implemented a number of activities through a partnership arrangement of IUCN, UNECE and IGAD Secretariat. She noted that IUCN's interest in transboundary water governance dates back to the IUCN's work on Water and Nature Initiative (WANI) in early 2000, then later to Building River Dialogue and Governance (BRIDGE). She noted that there are a number of transboundary basins in the world and over 50% of the people depend on these rivers. IUCN's work around BRIDGE started in Asia, Latin America and then in 2014 started working with IGAD among other African regions. With IGAD the project has been supporting the negotiation process of the protocol for the IGAD regional water resources at the IGAD regional level and in 2016 both Kenya and Uganda recommended SMM basin for demonstrating transboundary water governance. Since then the project partners have been implementing the Benefit Opportunity Assessment Dialogue (BOAD) at the SMM basin, starting with the first SMM workshop in May 2017. She noted that during the said workshop, it was recommended that BOAD should build on what had been previously achieved in the SMM basin especially updating the 2008 SMM basin strategy.

Ms. Chantal Demilecamps, Environmental Affairs Officer, United Nations Economic Commission for Europe (UNECE), Helsinki Water Convention Secretariat welcomed the participants and informed the meeting that the Convention on the Protection and Use of

Transboundary Watercourses and International Lakes (Water Convention) is promoting transboundary water cooperation and governance worldwide and not only in Europe as was originally the case. She informed the meeting that the Water Convention framework can provide support and assistance to countries from various regions to support transboundary water cooperation, even to countries which are not Parties to the Convention, like Kenya and Uganda. However, there is a growing attention on the Water Convention in Africa and most countries are expressing interest to join and become Party to the Convention. She noted that the UNECE joined the OES/IGAD project as an implementing partner in order to promote the use (in the IGAD region) of one of the tools that has been developed under the Water Convention i.e. *the Policy Guidance Note on the Benefits of Transboundary Water Cooperation: Identification, Assessment and Communication*. The objective of the tool is to: 1] support the reflection of countries on the benefits that cooperation, the main obligation under the Water Convention, can bring; 2] support policy makers or governments (and other actors) in undertaking benefit assessment (of a trans-boundary basin) in a participatory manner.

Ms. Gladys Wekesa, the Director, Transboundary Water Resources, Ministry of Water and Sanitation for Kenya and also TAC Kenya member as well as the OES/IGAD project focal person, welcomed the participants and thanked Uganda government for hosting the meeting. She informed the meeting about the relevance and significance of selecting the SMM basin as a demonstration basin and mentioned that this was because of the longstanding cooperation of the two riparian countries (Kenya and Uganda) and the cordial work both countries have had on the SMM basin. she highlighted the importance of the stakeholders' involvement all along the process.

Dr. Callist Tindimugaya, the Commissioner Water Resources Planning and Regulation, Ministry of Water and Environment for Uganda and also TAC Uganda member as well as the OES/IGAD project focal person, welcomed the participants. He noted that the cooperation between Kenya and Uganda has been longstanding which has created cordial working relationship between the two countries on many matters. He requested the participants to find some time to visit around and enjoy their stay in Mbale during the meeting. He thanked the project partners and the team that has been planning for the meeting including the consultants. He asked the participants to pay much attention and effectively participate in the deliberations, so that there is appreciation for such meetings. He officially declared the meeting opened.

Key highlights on progress made since the first SMM workshop held on May 15th-19th 2017 in Kisumu, Kenya

Mr. Fred Mwango, Regional Water Expert, IGAD Secretariat made a brief presentation highlighting key progress the OES/IGAD project has made since the first SMM workshop held on May 15th-19th 2017 in Kisumu, Kenya, to update the participants. The following are the key progress made so far:

- 1) Finalization of the two components of the study on "*situational analysis, activities refinement and scoping of benefits of cooperation for strengthening transboundary water cooperation in the Sio-Malaba-Malakisi (SMM) basin*" (activity 2.2.1); and preparation of recommendations on revised activities under the SMM basin level component (activity 2.2.2, 2.2.3, 2.2.4 and 2.3);
- 2) Planning and undertaking the Study Tour "*Transfer of the experiences from the International Sava River Basin Commission, the Rhine River Commission and the IUCN Bridge Academy*" (activity 1.5 and 3.2). The Study Tour took place on September 24-29 2017;
- 3) Supporting the resumption of the negotiation process on the IGAD Regional Water Resources Protocol (activity 1.1);
- 4) Planning and undertaking the analytical work that is feeding into the 2nd SMM stakeholders' workshop ((activities 1.4.2 and 2.2.2 and 2.2.3);

- 5) Finalizing consultations among partners and country focal points on agreed and/or revised SMM activities going forward;
- 6) Planning and convening the SMM consultative meeting on the investment strategy update and institutional options for SMM cooperation, that took place on January 25th-26th 2018 (activities 1.4.1, 1.4.2, 1.4.3);
- 7) Preparing an abstract and presenting the project (OES/IGAD) ongoing work on the SMM Benefit Opportunities Assessment Dialogue during the 5th Nile Basin Development Forum that took place on October 23rd-26th 2017 in Rwanda, Kigali; and
- 8) Planning and convening of the 2nd SMM workshop, May 6th-9th 2018 (activity 2.2.4) in Mbale, Uganda.

Workshop objectives and agenda

Mr. John Owino, Programme Officer, IUCN ESARO made a brief presentation on the workshop objectives and agenda and noted that the workshop objectives were as follows:

- 1) Agree on the principles, pillars, process, content of the updated transboundary investment strategy for the SMM basin;
- 2) Jointly analyse the selected/prioritized investment projects and agree on some 3-4 priority ones for the SMM basin;
- 3) Agree on a roadmap for the completion of the updated SMM transboundary investment strategy; and
- 4) Discuss the institutional framework for transboundary cooperation and in particular mechanisms to ensure the inclusion of SMM stakeholders in planning and decision-making

In order to achieve the above mentioned objectives of the workshop, the agenda for the meeting was adopted without amendment and is appended as annex 2.

Note: All the presentations made during the workshop have been assembled together and are available at: <http://www.waterlawandgovernance.org/>; <http://www.waterlawandgovernance.org/en/blog/second-smm-stakeholders-workshop-may-6-9-2018-mbale-uganda>

Session 2: The SMM Basin Investment Strategy including a roadmap for its completion

Mr. Roberto Martin Hurtado, the international consultant who was developing the draft SMM investment framework, presented a draft report on “*a framework for promoting and guiding investments of transboundary significance in the Sio-Malaba-Malakisi basin*” (this can also be referred to as draft SMM Basin Investment Framework) for comments from the participants. He noted that this report has been prepared as a result of a recommendation made during the first SMM workshop in May 15th-19th 2017, which were as follows, the need to:

- 1) Facilitate a process for prioritization of investment projects in the SMM basin; pursuing an open and transparent process that allows for enhanced dialogue, bargaining and trade-offs between various interest groups, and between the two countries, to reach agreement on prioritization of the many investment projects;
- 2) Use the SMM Benefit Opportunity Assessment Dialogue (BOAD) to launch the update of the 2008 SMM Investment and Development Strategy – e.g. implement a first phase (of a longer process) that focuses on identifying common principles of the management plans from Uganda (Mpologoma Catchment) and Kenya (Lake Victoria North Catchment) as well as filling the gaps therein;
- 3) Develop qualitative assessments of benefits to support prioritization through the Benefit Opportunity Assessment Tool (BOAT).

The meeting was reminded about the need to update the 2008 SMM Investment and Development Strategy to take into consideration the new context and changes that have so far taken place in the basin as well as in the two riparian countries. Roberto explained that the SMM basin investment framework (to be developed through this project) and the SMM basin investment plan (to be developed later) would constitute the fully-fledged SMM basin investment and development strategy. Therefore, he noted that the Draft SMM Basin Investment Framework includes a roadmap to help guide the next steps of the process and help gain support for its completion outside this project timeframe. It serves as a marketing tool to attract funding and complements existing national catchment plans/strategies.

Roberto noted that a consultative meeting that took place in January 25th-26th 2018 in Entebbe, Uganda discussed the initial ideas for the SMM Basin Investment Framework including the key prioritization criteria. Consequently, a draft methodology for the prioritization of the investment projects was developed (in February 2018) based on inputs from the consultative meeting, and tested in March 2018.

The draft SMM Basin Investment Framework document includes the following four sections:

1. Goal, objectives, principles, and strategic directions of the SMM Basin Investment Framework ;
2. Methodology for the inclusion of projects in the SMM Basin Investment Plan and their prioritization;
3. Arrangements for the implementation of the SMM Basin Investment Framework; and
4. Roadmap for the development of a fully-fledged SMM Basin Investment Plan.

Participants were invited to provide comments on the draft SMM basin Investment Framework and were incorporated into the revised draft SMM Basin Investment Framework after the workshop.

Concerning the arrangement for the implementation of the SMM Basin Investment Framework, the meeting discussed this in detailed in session 6 below.

The meeting discussed the following roadmap for the development of a fully-fledged SMM Basin Investment Plan (which is beyond the scope of the on-going OES/IGAD project), though it still requires developing indicative budget and timeline:

Step 1. Launch the development of the SMM Investment Plan

1.1 Create and operationalize the *Joint Working Group on SMM Investment Strategy and Institutional Framework*

1.2 Engage consultants

Step 2. Development of a Portfolio of Projects

2.1. Populate the portfolio initially with the projects discussed at the 2nd SMM Workshop (see *session 3*).

2.2. Organize meetings/events with relevant project promoters and funders to raise awareness

2.3. Ensure that all relevant projects are identified and analyzed.

Step 3. Development of a Resource Mobilization Strategy

3.1 Gather information about (i) historic levels of expenditure, (ii) sources of funding, and (iii) cost of projects

3.2 Estimate the potential financing flows under a business-as-usual scenario and a proactive-fundraising scenario

3.3 Develop recommendations on how to realize the proactive-fundraising scenario

Step 4. Consultations and approval of the draft Basin Investment Plan

4.1 *Joint Working Group on SMM Investment Strategy and Institutional Framework*, for greenlighting

4.2 Basin's stakeholders, through existing structures, for consultation.

4.3 The relevant Ministers in both countries, for formal approval.

Step 5. Regularly update the portfolio to include new project proposals

Session 3: Prioritization of SMM relevant projects - mapping of SMM relevant projects and analysis and rating of the mapped projects

Simon Thuo, the regional consultant who was working together with Roberto (the international consultant) on the SMM investment framework, presented a long list of 67 SMM projects that were compiled or mapped through analysis of various project proposals for investments and planning documents, including the NELSAP 2008 SMM strategy, as well as through field visits and discussions with technical staff from various government agencies at various levels – Districts, Counties and National. This was step 1 of a 3-step process. The mapping generated a comprehensive information about each project proposal as follows: its name; its location in the SMM basin; its estimated number of beneficiaries; its estimated cost; its status of preparation; its financial status etc.

All these 67 projects were at various stages of being developed, they were then taken through a process of screening (using the initial threshold of USD 1 million budget, those not yet funded and the level of documentation) that generated a longlist of 22 projects. Only 1 project was allowed into this list of 22 projects with a budget less than USD 1 million i.e. the Lwakhakha Hotspots project, this was because its budget was USD 800,000 that is not far away from the USD 1 million threshold and for equity and balancing of the number of projects from each of the two countries. This longlist of 22 projects drew on: (i) projects identified and documented by the NELSAP SMM project but not yet funded; (ii) existing projects identified during the SMM key stakeholders' consultative meeting that took place in Entebbe in January 2018; (iii) existing projects indicated to Mr. Simon Thuo by relevant catchment and local authorities during a field visit to the basin that took place in February 2018, and (iv) packaging of one project combining several smaller sub-catchment management plans e.g. Kenya's Eastern SMM Water Security and Development project.

These 22 projects were then analyzed and rated based on the following 4 criteria that were discussed and agreed upon by the stakeholders (this was step 2 – shortlisting of projects or multi-criteria analysis):

1. Strong transboundary dimension – the project will promote cooperation between Kenya and Uganda or has significant positive impacts across the border;
2. Strongly aligned with policy objectives – at global, national, and basin level;
3. Not likely to encounter significant barriers to implementation - technological, social, cultural, political, or institutional; and
4. Likely to be financially sustainable – efforts to control costs, funding sources identified, likely cover long-term costs etc.

The shortlisting or multi-criteria analysis generated the list of the following 12 projects, which were then taken for further analysis through Benefit Opportunity Assessment Tool (BOAT), step 3, to jointly identify fast-track projects:

Project	Budget	Country	Rating
Malaba Irrigation	USD 2.2 million	Both	5.0
Eastern SMM Water Security and Development (combining six SCMPs)	USD 5.2million	Kenya	4.6
Sio-Sango Irrigation	USD 37 million	Kenya	4.4
Toloso SCMP	USD 9 million	Kenya	4.4
Lwakhakha Hotspots	USD 0.8 million	Uganda	4.2
Community-based Wetlands Management NELSAP	USD 6.7 million	Both	4.0
Food Security	USD 22.7 million	Kenya	4.0
Angolola Dam NELSAP	USD 67.1million	Both	4.0
Solid Waste NELSAP	USD 9.2 million	Both	3.8
Nyabanja Irrigation NELSAP	USD 23.3 million	Uganda	3.6
Stormwater Drainage Master Plans NELSAP	USD 3.2 million	Both	3.4
Bulusambu Small Multi-purpose Reservoir	USD 10 million	Uganda	3.4



During the discussions, some participants expressed concern about the unbalanced nature of the shortlisted 12 projects in terms of geographical representation – 5 identified project proposals being located in Kenya, 3 in Uganda and 4 being for both countries. These fears were however dispelled and participants informed that the BOAT approach (see the next sections – 4 and 5) is addressing benefit sharing which addresses issues of equity and not equality. An example of Grand Renaissance Dam in Ethiopia was cited and the fact that Sudan which is downstream is supporting its construction in Ethiopia which is upstream as this will help them (Sudan) with issues of flood control. The meeting noted the following: that taking this basin approach will help stakeholders to know where the projects are best suited to be located in terms of providing maximum benefits to stakeholders; that benefits also goes with costs and it would be important to identify those costs and share them out as well e.g. Manantali dam in the Senegal river basin; that it would be important to identify a combinations of projects such as multi-purpose projects, taking into account the conservation needs e.g. water source protection component etc instead of stand-alone projects.

The meeting was also informed that the SMM investment framework is conceived as a living document, that additional list of projects could be added to the long list if there were adequate information on them and the multi-criteria analysis (MCA) applied on them as well. It was noted that MCA is important in aiding decision-making process on project selection and shortlisting, but is not a decision tool. Decision are to be agreed upon by countries and the final decision has to be based on available information on those projects. In addition to the multi-criteria analysis, which is a technical process, the meeting was informed that in some cases, political decision always overrule the technical considerations and in such cases chances of the project succeeding becomes a bit tricky.

Session 4. Prioritization of SMM relevant projects – Step 3: The Benefit Opportunities Assessment Tool (BOAT) methodology applied to the SMM

Isabelle Fauconnier informed the meeting that she has been working with Phil Riddell, a senior consultant, to adapt the BOAT for the SMM real basin application. She noted that BOAT is a multi-stakeholder dialogue and decision support tool, it precedes a more in-depth analytical process to design strong sets of interventions. It is an approach of examining in qualitative terms the impacts the proposed projects will have on various stakeholders - water use activities may have positive or negative impacts (externalities) on other water users, therefore, the first step to ensure that there is benefit sharing through the proposed project(s) is to examine the balance of positive and negative impacts across different stakeholder groups in a shared basin and by so doing answer the potent question and concerns: how can the proposed investment in water management and development in a transboundary basin enhance benefits for the most stakeholders in both riparian countries?

In her presentation, Isabelle reminded the meeting that during the 1st SMM workshop held on May 15th-19th 2017 in Kisumu, Kenya, participants discussed BOAT in general as well as the benefits, stakeholders, and vision for the SMM. She noted that building on the prioritised short list of 12 projects, BOAT will be applied for their further prioritisation and analysis i.e. discussing real projects, real beneficiary groups and real impacts with the aim of arriving at preferred bundles of projects. This is step 3 – joint identification of fast-track projects. This was done through group work as described in session 5 below.

Session 5: Stakeholder-inclusive prioritization of investment projects using the BOAT methodology

Participants were divided into 4 groups, 2 groups each discussing the shortlisted projects in Malaba-Malakisi system and the other 2 discussing those in the Sio system. Each group worked on defining the best bundle of projects for that sub-basin. To help them with their group work deliberation on the assignment, participants were given a SMM BOAT briefing package containing:

- The preliminary BOAT matrix, showing the draft impact assessment generated by the IUCN team identifying indicatively what kinds of benefits or threats each of the 12 investment projects might pose to the identified spectrum of stakeholder groups. This was developed (and explained to the participants) to help them kick-start the participatory BOAT exercise;
- Project factsheets, providing summarized information on each of the 12 projects, such as the project name, budget, objectives and the explanation of the indicative assessed impact on the range of beneficiaries; and
- A form to register changes to the BOAT Matrix as a result of initial deliberations by the group and/or individual reflection.

This therefore was the outline of the 4 groups' assignment:

- Step 1: Update the sub-basin Boat matrix with your group's changes for each project, the group had to ensure to reach an agreed starting point;
- Step 2: Decide which 3 projects you would like to cluster into a "bundle" that could yield the most benefits across stakeholder groups and across Uganda and Kenya, in this sub-basin. Place the corresponding rows into a blank BOAT sheet;
- Step 3: Work on your chosen bundle using the BOAT tool to find ways to optimise outcomes for the most stakeholders in the sub-basin, e.g. through alternative/additional measures in project design or by substituting projects; and
- Step 4: once your bundle is finalized, prepare your poster with a colored print-out of your BOAT bundle matrix, and write succinctly the benefits and remaining challenges that this bundle presents (4-6 bullet points in total).

Outcomes of group work presentations and discussions are summarized below::

Group 1: Malaba-Malakisi system:- this group selected the following 3 projects – Lwakhakha hotspots on Uganda side; solid waste management on both side (Kenya and Uganda); and Eastern SMM Water Security and Development on Kenyan side (combining six sub-catchment management plans (SCMPs)). Lwakhakha hotspots is multi-dimensional project in Uganda with positive impacts on Kenya (water quality improvements, flood risk mitigation). The project aims to achieve the following: catchment management and river bank protection, infrastructure development for domestic and productive (irrigation) water supply, storm water drainage, pollution control, and promotion of sanitation and hygiene practices and livelihood improvement. Solid waste management plans for Bungoma (Kenya) and Lwakhakha (Uganda) will serve both Kenya and Uganda (with more population directly affected in Kenya). The project will improve the collection, storage, transportation and disposal of solid waste. It will provide municipal waste management infrastructure and build institutional capacity for duty bearers by so doing reducing pollution on land and water. The project is aligned with priorities in SDGs, Kenya Vision 2030, and catchment management plans/strategies in both countries. The Eastern SMM Water Security and Development project comprises the following 6 SCMPs: Chebombai, Kimwanga, Malakisi, Mayanja, Namatelema and Sio with 359,500 beneficiaries. The project will address soil conservation, catchment protection, river bank restoration, sanitation with positive impact across the border; the project will also focus on information and monitoring; infrastructure and service deliver; institutions development – WRUAs; livelihoods enhancements; water regulations; and wetlands management.

Advantages of bundling these 3 projects together:

This approach takes into account the whole sub basin perspective i.e. the conservation of the catchment upstream (natural infrastructure) will reduce soil erosion and sedimentation to the built infrastructure downstream; improved water quality and quantity, improved livelihood of the people in the basin, improved food security, strengthen the relationship of the two countries and enhance transboundary cooperation and climate change mitigation. Lwakhakha town is a hotspot itself, the town has trouble with solid waste issues as well as pollution, therefore the solid waste management project will address these issues. This bundle provides an opportunity for achieving an integrated approach since it is based on an ecosystem or basin wide approach and not on political boundaries; the suite of project creates an opportunity for the development partners to choose which ones to support based on their priority, those components of the bundles relevant to them.

Challenges of bundling these 3 projects together:

Management challenge of the negative impacts of the project downstream; managing biodiversity and wetlands ecosystems downstream is also a challenge as a result of infrastructural facilities upstream; and fundraising challenges to fund these projects.

Group 2: Malaba-Malakisi system:- this group selected a bundle of the following 3 projects: Lwakhakha hotspot combined with Eastern SMM Water Security and Development (Chebobai) because of location and proximity; Malaba irrigation; and Solid waste management combined with Toloso. The description of the Lwakhakha hotspot; Eastern SMM Water Security and Development (Chebobai); and solid waste management projects have already been presented above. Toloso Sub-catchment management plan will promote actions on the management of the headwaters in Kenya with a beneficial impact on the Ugandan side as a result of increased flow (quantity) as well as quality. The project aims to develop an infrastructure for the provision of safe drinking water, thereby reducing water-related diseases and promoting economic growth. The project will also requires collaboration between Bungoma and Busia counties within Kenya, creating opportunity for benefit sharing between counties through for example agreeing on a water allocation plan, enforcement of permit regulation instead of competition over shared resources between them. The Malaba irrigation project is straddling both sides of the border, with 300 ha in Kenya and 100 ha in Uganda to cater for lowest river levels but can be scaled up fivefold with increased storage at source and greater water use efficiency. It entails construction of an infrastructure system comprising a weir to provide water for the irrigation of the 400 ha. The project will improve the food security situation, access to market and off-season food availability to boost farmer incomes. It provides an incentive for environmental conservation through ensuring continued flow and benefit sharing. It will also strengthen farmer collaboration across the border (through establishment of joint committees to manage the irrigation system) as they will be required to observe and monitor irrigation schedules.

Benefits:

This bundle takes into account the whole sub basin and the conservation actions in the upstream will ensure good quality water and flood control downstream; irrigation will be beneficial to both communities in Kenya and Uganda and promote improved livelihoods and incomes. The project will also promote improved cooperation between Kenya and Uganda in the management and development of the shared resources in addition to ecosystem and environmental restoration.

Challenges:

Inadequate sources of funds; some resistance from some stakeholders e.g. human rights activists etc; low uptake of irrigation technologies due to dependency on rain-fed agriculture; amalgamation of small projects into one large one leads to sophistication and complexity in their implementation.

The meeting noted that with a component on the training and awareness raising for the farmers, low uptake of irrigation technologies by farmers could be addressed, since the low uptake of irrigation technologies is linked to the farming system in the region – many farmers are subsistence farmers who depends on rain-fed agriculture. Similarly, access to markets and timing will promote the transformation of subsistence farmers from rain-fed agriculture to irrigation.

Group 3: Sio system:- this group selected a bundle of the following projects: Solid waste management on both side (Kenya and Uganda); Sio-Sango irrigation development and watershed management; and Eastern SMM Water Security and Development (Namatelema). Apart from Sio-Sango, the other two (Solid Waste and Eastern SMM Water Security and Development) have been described in the bundles above. Sio-Sango is a proposed dam and irrigation system project for the Kenyan side of SMM basin to promote irrigation agriculture and hydro-power generation. The information in the document states that the downstream impacts will not be significant.

Benefits:

Improved food security; reduced pollution and siltation of water resources; increased flows; floods control.

Challenges:

Displacements/relocation/resettlement of communities due to dam construction; loss of biodiversity; loss of livelihoods. Participants discussed the potential solutions to mitigate the impacts/challenges which included: resettlements, though this will require understanding of cultural issues.

The meeting noted the following:

- The need for further analysis including quantitative analysis to be carried out on these bundle of projects to ensure that costs or challenges are minimized and benefits enhanced;
- That pollution control and catchment management go hand in hand; and
- That issues around how to attract funding for these bundle of projects; value chain, gender dimension; poor people inclusivity; resettlement and compensation; and exhaustive stakeholders analysis i.e. understanding those who will benefit or impacted from the optimized bundle, requires close scrutiny and attention in the discussions and in conducting pre-feasibility and feasibility assessments;

Group 4 Sio system:- this group selected a bundle of Eastern SMM Water Security and Development (Sio SCMP); Community based wetlands management; and Sio-Sango irrigation development and watershed management. Community based wetlands management project will serve both Kenya and Uganda (with more wetland area in Uganda). It will address wetlands management and riverbank restoration covering an area of about 270 km² in Uganda and 35 km² in Kenya. The bundle will provide an opportunity for the management of the catchment; regulating amount of water abstracted for irrigation to ensure sustainability for downstream users through the issuance and monitoring of the water permits; integrated flood management plan in place; ensure good drainage system.

Benefits:

Increased fish production; increased agricultural production and productivity of high value crops; increased investment opportunities; increased woody and biomass due to afforestation; off-season farming.

Challenges:

Reduction in water resources due to abstraction for irrigation; low water use efficiency; increased competition for water resources.

Session 6: Defining an Institutional Mechanism for Stakeholder-Inclusive Planning and Management in the SMM basin

Cosmus Muli, previously SMM Project Manager in the NELSAP Project Management Unit, made a presentation on *Transboundary implementation process: engaging communities and collaboration between local-level institutions*. He mentioned that during the preparation and implementation of various NELSAP SMM projects, local communities from both sides were engaged through their various organizations such as WRUAs in Kenya and Sub-catchment

committees in Uganda, this was largely through informal arrangement, since the NELSAP structure only provided for the national level engagement through the Regional Project Steering Committee (RPSC) – a mechanism bringing together the representation of the two national governments, coming to an end with the closure of the NELSAP project. The need for local community engagement from the two riparian countries through a formal structure is important because critical transboundary issues such as water pollution, soil erosion, etc can only be addressed adequately through involvement of local communities. He noted the need of building such relationship on the existing structures hence suggested that such engagements could be operationalized through the joint implementation arrangements of the SCMPs. He noted that it's important to build capacity for the local communities as well as technical officers for the local agencies with skills essential for integrated water resources management, and that for the transboundary cooperation to bear fruit at the local level, it will require considerable efforts at the national level.

Callist and Gladys, both IGAD TAC members and the focal points for both Kenya and Uganda for the OES/IGAD project, made a summary presentation on *the recommendation made on stakeholder-inclusive institutional framework during the SMM consultative meeting held on January 25th-26th 2018*. They noted that Inclusive and multilevel stakeholders' structure was recommended to be established to facilitate the coordination of the SMM activities and should be handled through reviewing the SMM MoU signed by the two countries. They noted that the structure will promote the local level stakeholders participation in SMM water resources management and will be building on the existing structures from both countries, without creating parallel institutions, including learning from the RPSC - what worked and/or did not work. The nomination of the Joint Working Group on SMM Investment Strategy and Institutional Framework could be a first step towards the officialization of a permanent institutional framework.

Proposed institutional mechanism – Scenario 2



It was highlighted that such institutional mechanism would require the revision of the current Memorandum of Understanding (MoU) between the two SMM riparian countries, which merely reflects NELSAP-based institutional arrangements, to reflect the establishment of a joint multi-level, stakeholder-inclusive basin management and development body. Some of the specific responsibilities for this joint framework as far as the implementation of the SMM Basin Investment Framework (and the future Basin Investment Plan) and its financing mechanism are concerned are outlined in the revised draft SMM Basin Investment Framework document (pages 8-9).

The meeting also discussed the need for sustainable financing mechanism for the institutional framework hence the need to involve in the joint committee representation from the Ministries of Finance from the two countries for the mobilisation of financial resources, it should be decided whether such representation will be through a permanent presence in the permanent joint committee or through invitation to attend meetings on a need basis. In addition, it would be necessary to explore the possibility of engaging the private sectors as well. It was noted

that in Kenya, the private sector is already part of WRUAs and there is a water sector trust fund for WRUAs for the implementation of activities in the SCMPs. Kenya side of SMM have about 116 WRUAs and they have formed a WRUA forum: its chair should be brought on board. In Uganda, micro catchment committees are in place bring together different sectors and resource users and some have already been receiving funds from private sector (such as sugar companies).

The meeting noted that the private companies in the basin, since they are stakeholders, should become partners in the basin management and development. For example, the private companies invest their money in the basin to make profit, in different sectors (link with Nexus); their activities do have impacts on the environment, ecosystems in terms of water quality and quantity (link to Polluter Pays Principle). The meeting was informed about the ongoing debate/programmes on private sector engagement - ODI/IUCN report on corporate's behavior in water management and stewardship for example; African Water Stewardship programme/GIZ (Kenya & Uganda are part of it).

Way forward and closure

Mr. Fred Mwangi, the Regional Water Expert, IGAD Secretariat, expressed gratitude for the effective participation of the participants and expressed his satisfaction with the fact that participants moved away from focusing on issues of national interest and sovereignty, which initially dominated the debate, to embracing the principles of benefit sharing, which they demonstrated through their effective participation in the BOAT exercise. He thanked the development partners present and requested them to continue supporting the next steps of the process to ensure its continuity. Noted that IGAD, IUCN, UNECE will ensure that the process continues.

Dr. Isabelle Fauconnier, Water, Policy and Sustainability Advisor, IUCN Global Water Programme noted that it has been a privilege to work with all the stakeholders supporting the process on multi-level stakeholders' involvement planning process in the SMM basin. She appreciated the inputs the participants made on the SMM investment framework process; valuable contributions in coming up with the proposed bundles of projects that are quite comprehensive and take into account environmental restoration and livelihoods enhancement. She mentioned the next steps as follows: prepare and share with the participants the detailed workshop report including descriptive notes on the proposed bundles of projects; finalize the SMM investment strategy and agree on the way forward towards implementing the roadmap for its completion; plan for the 3rd SMM workshop scheduled for the second week of September 2018 and share the proposed bundles of projects with donors for fast-tracking their implementation; and facilitate the joint working group to review the SMM MoU, discuss the modalities for the implementation of the roadmap for the completion of the SMM investment framework and plan for the 3rd SMM workshop. In West Africa – the saying is “we are together.”

Ms. Chantal Demilecamps, the Environmental Affairs Officer, United Nations Economic Commission for Europe (UNECE) expressed her satisfaction with the progress made on the workshop and particularly building on the recommendations made during the first SMM workshop. She noted the importance of ensuring that the investment framework is implemented by the appropriate institutional framework hence appreciated that participants linked and discussed both topics during the workshop. She thanked the stakeholders, the partners and development partners for their effective participation and noted that progress in the process of strengthening transboundary water cooperation in the SMM basin would be reported during the forthcoming meeting of the Working Group on IWRM (Geneva, 28-30 May 2018).

Mr. Jean-Baptiste Fauvel, Programme Manager, EU delegation to Uganda noted that the workshop was quite inspiring and was impressed by the level of stakeholders' representation and their effective participation. He mentioned that since what had been discussed falls within the focus of the EU mission in Uganda, they will explore possibility and consider getting involved with the SMM process.

Mr. Juan Carlos Sanchez, Advisor, Transboundary Wetland Management in the Nile, GIZ, Kampala, Uganda noted that the outcome of the workshop was quite a milestone and that an outstanding work has so far been achieved by the project. He mentioned that he was going to report back and noted that GIZ will be keen on exploring possibilities of taking forward specific activities on wetland from the proposed bundles of projects.

Mr. Yeneneh Teka, Regional Environment Specialist, Regional Environmental Office, US Embassy, Addis Ababa, Ethiopia noted that he was happy with the outcome of the meeting, that there was a lot of dedication demonstrated by the participants in the discussions. He was hopeful that the work on the SMM basin will be replicated to other basins in the IGAD region and beyond.

Ms. Gladys Wekesa, the Director of Transboundary Water Resources, Ministry of Water and Sanitation, Kenya, TAC member as well as the OES/IGAD project focal person noted that OES/IGAD project is one of the most successful transboundary projects in the region and thanked all the project partners involved in this project, she also thanked OES for supporting the project, and was grateful that GIZ and EU both from Uganda were ready to join the SMM partnership. She mentioned that the two governments (Kenya and Uganda) will ensure that they promote the joint planning, monitoring, management and development of the SMM basin, so as to address the challenges in the SMM basin and that resources shall be mobilized at the national level to ensure that the process continues.

Dr. Callist Tindimugaya, the Commissioner Water Resources Planning and Regulation, Ministry of Water and Environment, Uganda, TAC member as well as the OES/IGAD project focal person thanked all the stakeholders for attending and effectively participated in the workshop. He appreciated the effort put on the planning process for the meeting by the project team and thanked everyone for working hard to ensure that the workshop was a success. He requested Mr. Louis Mugisha and Mr. John Musila to say a few words of appreciation. Mr. Louis Mugisha is the Team Leader, Kyoga Water Management Zone, Ministry of Water and Environment, Uganda. Mr. Mugisha noted that so far himself and Ms. Rose Ogara, who is her counterpart from Kenya (the Regional Manager, Lake Victoria North Catchment Area, Water Resources Authority, Kenya) has jointly been working together on the SMM basin that this has been possible as a result of the OES/IGAD project and was hopeful that the institutional framework being discussed on SMM basin will come to fruition. Mr. John Musila, the Chairperson, Mpologoma Catchment Management Committee, thanked everyone on behalf of the Ugandan team and noted that the workshop yielded a lot. He officially closed the workshop and wished everyone a safe travel back home.

Annex 1: List of participants

	Names	Title	Location	Gender	Email	Phone
1	Mr. Mugisha Louis	Team Leader KWMZ	MoWE, Uganda	M	mugishalouis@yahoo.com	+256 772 421608
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18	Mr. Arse`ne Mukubwa	Water Res. Engineer	Kigali – Rwanda NBI/NELSAP-CU	M	amukubwa@nilebasin.org	+250 788 217185
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Annex 2: Programme

Sunday 6 th May 2018	
	Participants travel and check in at the hotels in Mbale, Uganda in the evening
Day 1 – Monday 7 th May 2017	
8.30-9.00	Participants' arrival to the workshop venue and registration
9.00-9.45	<p>Session 1: Workshop opening</p> <p><i>Chair: IGAD Secretariat</i></p> <p>Welcoming remarks by:</p> <ul style="list-style-type: none"> • Mr. Fred Mwango, Regional Water Expert, IGAD Secretariat; • Dr. Isabelle Fauconnier, Advisor, Social Policy and Sustainability, International Union for Conservation of Nature (IUCN) – Global Water Programme; • Ms. Chantal Demilecamps, Water Convention Secretariat, United Nations Economic Commission for Europe (UNECE); • Ms. Gladys Weseka, Director Transboundary Water Resources, Kenya; Member of IGAD TAC on Water. • Dr. Callist Tindimugaya, Commissioner of Water Resources Planning and Regulation, Uganda; Member of IGAD TAC on water. <ul style="list-style-type: none"> • Round of introductions • Key highlights on progress made since the 1st SMM workshop – Fred Mwango • Workshop objectives and agenda – John Owino, Programme Officer, IUCN ESARO
9.45-10.30	<p>Session 2A. The SMM Basin Investment Strategy Update: Process and Content</p> <p><i>Chair: TAC Uganda</i></p> <p><i>Presentation and facilitation: Roberto Martin-Hurtado</i></p> <ul style="list-style-type: none"> • Presentation (30 minutes) The presentation will touch upon the following issues: <ul style="list-style-type: none"> ➢ The 2008 SMM investment and development strategy ➢ Conclusions from the 1st SMM Basin Stakeholders Workshop in May 2017 ➢ Conclusions from the January 2018 Consultative Meeting ➢ Agreeing on a Basin Investment Framework as a First Step for the Development of a Full Basin Investment Strategy; Shape of the Basin Investment Strategy: Investment Framework and Investment Plan ➢ Links to Institutional and policy context ➢ Goals, Principles and Strategic pillars ➢ Criteria and prioritization process for selecting projects – introduction to the criteria, how they were developed and tested ➢ Key steps ➢ Stakeholders to be involved ➢ Timing and funding] • Q&A (15 minutes)
10.30-11:00	Coffee/tea break
11.00-12.00	<p>Session 2B. Contents of the Draft SMM Basin Investment Framework</p> <p><i>Chair: TAC Uganda</i></p> <p><i>Presentation and facilitation: Roberto Martin-Hurtado</i></p> <ul style="list-style-type: none"> • Introduction to Group Work (5 minutes) • Group Work (25 minutes) • Plenary discussion and conclusions (30 minutes)

12:00-12:30	<p>Session 2C. Roadmap for the Completion of an Investment Strategy</p> <p>Chair: TAC Uganda</p> <p>Presentation and facilitation: Roberto Martin-Hurtado</p> <ul style="list-style-type: none"> • Presentation (5 minutes) • Plenary discussion (20 minutes) • Conclusions (5 minutes)
12.30-13:00	<p>Session 3A. Prioritization of SMM relevant projects -- Step 1: Mapping of SMM relevant projects</p> <p>Chair: TAC Kenya</p> <p>Presentation and facilitation: Simon Thuo</p> <ul style="list-style-type: none"> • Presentation (10 minutes) – The SMM updated full list of projects • Plenary discussion (15 minutes) • Conclusions (5 minutes)
13:00-14.00	Lunch break
14.00-15:30	<p>Session 3B. Prioritization of SMM relevant projects – Step 2: Analysis and rating of mapped projects</p> <p>Chair: TAC Kenya</p> <p>Presentation and facilitation: Simon Thuo</p> <ul style="list-style-type: none"> • Recap of rating methodology (5 minutes) • Presentation of the results of the analysis (25 minutes) • Plenary discussion (45 minutes) • Conclusions (15 minutes)
15:30-16:00	Coffee break
16:00-17:00	<p>Session 4. Prioritization of SMM relevant projects – Step 3: The Benefit Opportunities Assessment Tool (BOAT) Methodology applied to the SMM</p> <p>Chair: Sub Basin Stakeholder, Uganda</p> <p>Presentation and facilitation: Dr. Isabelle Fauconnier, Water Policy and Sustainability Advisor, IUCN Global Water Programme</p> <ul style="list-style-type: none"> ➢ Review of stakeholder-inclusive BOAT approach and its application to the SMM Basin ➢ Identification of key stakeholder groups in the SMM basin ➢ Review of existing and potential benefits from projects ➢ Introduction and preparation to next day's BOAT work <p>Q&A</p>
Day 2 – Tuesday 8th May 2018	
9.00-10.30	<p>Session 5: Stakeholder-inclusive prioritization of investment projects using the BOAT methodology</p> <p>Chair: SMM sub basin stakeholder, Kenya</p> <p>Facilitators – Isabelle Fauconnier, IUCN Global Water Programme and Mr. Phil Riddell (Consultant)</p> <ul style="list-style-type: none"> • Introduction to the Group work • Group Work
10.30-11.00	Coffee/tea break (will be taken during the group work)

11.00-1:00	Session 5 - continued <ul style="list-style-type: none"> • Groups continue their deliberations and prepare for report-back
1.00 - 2.00	Lunch break
2.00 – 3.30	Session 5 – continued <ul style="list-style-type: none"> • Groups report back • Plenary discussion
3.30-4.00	Coffee/tea break
4:00-5:00	Facilitated plenary discussion: Recap of results of the day, and wrap-up discussion about how the day's work influences the shaping of the investment framework
Day 3 – Wednesday 9th May 2018	
9.00 – 10.30	Session 6: Defining an Institutional Mechanism for Stakeholder-Inclusive Planning and Management in the SMM basin <i>Chair: Sub Basin Stakeholders</i> <i>Moderator: Chantal Demilecamps, UNECE</i> <ul style="list-style-type: none"> • Transboundary Implementation Process: Engaging Communities and Collaboration between local-level institutions: Cosmus/Arsène (NELSAP) (15 min) • Recommendations on stakeholder-inclusive institutional framework from January 25th-26th 2018 Consultative meeting - by Callist/Gladys (15 minutes) • Plenary discussions on the way forward on SMM transboundary institutional arrangement (45 min); • Conclusions (15 minutes)
10.30-11.00	Coffee/tea break
11.00-12.00	Way Forward and Closing Synthesis of learnings and recommendations. Fred Mwango and Isabelle Fauconnier Closing comments: TAC Kenya, TAC Uganda, IGAD, IUCN, UNECE
12.00 – 1.00	Lunch and departure