



United Nations Environment Programme

Mid-term Evaluation of the UNEP- DHI Centre for Water and Environment

Final report

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Project summary table

Project Title	<ul style="list-style-type: none"> • Support to the Implementation of the UNEP Water Policy and Strategy - Phase 3 • UNEP-DHI Centre for Water and Environment Phase 4: Supporting Environmental Sustainability in the Management of Water Resources 	
Managing Division	Division of Environmental Policy Implementation (DEPI)	
Organisational Unit	Freshwater and Marine Ecosystems Branch	
Executing Agency	UNEP-DHI Centre for Water and Environment	
Type/Location	Global, Regional, and National	
Regions	Africa	Asia Pacific
	Latin America Caribbean	West Asia
Sub-programme	Sub-programme 3 (Ecosystem Management) with additional contributions to Sub-programmes 1, 4 and 7.	
Duration	Phase 3	Jan 2008 – Dec 2011 – extended to Dec 2012
	Phase 4	Jan 2013 – Dec 2015
Total Project Cost Estimate (Source: Project Documents)	Phase 3	US\$5,118,711
	Phase 3 extension (2012)	US\$1,307,783
	Phase 4	US\$6,093,858
Other Divisions/Regional Offices involved	DEWA; ROA; ROAP; Other members of IDWG	

EXECUTIVE SUMMARY

1 The United Nations Environmental Programme – DHI¹ Centre (UNEP-DHI Centre or UDC) is a UNEP collaborating centre and represents a long-term partnership between UNEP and the DHI Institute of Water and Environment supporting a diverse set of initiatives in the area of freshwater ecosystems management. The collaboration started in 1996 and current collaboration is now in its 4th Phase. This evaluation covers the 4-year period from October 2010 to September 2014 covering the last half Phase 3 and the first half of Phase 4. These phases supported the UNEP Medium Term Strategies 2010-2013 and 2014-2017, the UNEP Water Policy and Strategy (2007), and the UNEP Operational Strategy for Freshwater (2012-2016).

2 **Relevance** – UNEP and Danida strategies are responsive to the trends, issues, challenges and opportunities facing stakeholders within water. UDC work plans are well aligned to the relevant UNEP and Danida strategies and Programme of Work. UDC tends to focus on IWRM as a part of the aquatic ecosystem whereas UNEP focuses more broadly on the aquatic ecosystem. UNEP-DHI work is relevant and contributes to the achievement of longer-term development goals.

3 **Achievement of outputs** –The intended outputs for Phase 3 have been substantially delivered. Progress against the outputs/targets in Phase 4 is generally on track. With a few exceptions, the technical quality of UDC outputs is found to be high; stakeholders generally emphasise the high technical quality as a key strength of the Centre. Where UDC provides specific components in a larger context, some projects have been affected by delays mainly due to external factors over which UDC only has limited control. In addition to the outputs specified in the log frame, UDC responds to ad-hoc requests from UNEP, such as peer/technical reviews of UNEP publications. The volume of requests has reduced in recent years.

4 **Effectiveness** – UDC in collaboration with its partners has enhanced capacity for water resources management through training, developing IWRM plans/roadmaps, introducing new tools, assessments (e.g. on climate change and water stress in the Nile Basin), and by making knowledge more easily assessable (e.g. through UN-Water Status Reports at both global and Africa levels). The Phase 3 objective of improving cooperation in the water sector is achieved in relation to UDC's own partnerships, but not at a broader scale. The Phase 3 objective of achieving environmental sustainability in basins, coastal and marine water, was unrealistic, when UDC's mandate is not to engage directly in implementation or policy formulation, but to provide access to knowledge and tools. The objectives related to capacity, assessments, knowledge, tools have been achieved (Phase 3) or are likely to be so (Phase 4), at least in relation to the partners/stakeholders in UDC projects.

5 However, project durations may in some cases be too brief to ensure that the capacity built is consolidated. There has been little post project systematic follow up or recording of how outputs have been used and outcome achieved. For example, in the period prior to this evaluation, UDC supported 19 countries in IWRM plans/roadmaps under the IWRM2005 projects, although part of the global IWRM survey report for Rio+20 there has not been other follow up on how well the IWRM plans have been implemented. Although at least two countries (Côte d'Ivoire, Liberia) were subsequently supported under the EU West Africa project with promising outcomes such as the development of policies and advances in the legal and regulatory regime.

¹ Formerly called Danish Hydraulic Institute but now only called by the letters DHI.

6 **Sustainability, upscaling and replication** – UDC engages in a number of processes such as the design of the Sustainable Development Goals which enhance the prospects of sustainability. UDC has established a range of partnerships which enhances the prospects of sustainability of the outcomes achieved. The sustainability of UDC's projects and spontaneous uptake/replication is not entirely clear, as several of the projects are still under implementation or recently completed. Nonetheless, there are examples of projects, where sustainability and replication appears likely, e.g. the Floods and Droughts project where the modelling tools to be developed can also be applied by other basins. While UDC projects are financed from different sources (GEF being a notable one), the only donor providing core funding is Danida, so there is a vulnerability here in that UDC's continued existence entirely depends on continued Danida support.

7 **Efficiency** – UDC is efficient in terms of unit cost levels, productivity, and the presence of adequate controls. DHI staff members are provided at unit costs below market tested rates. However, where UNEP draws on DHI staff in areas that are not at the core of DHI's main skills or do not make use of the full professional range of skills (e.g. professional liability for modelling results) then it is likely, as UNEP has found, that similar inputs can be found cheaper elsewhere although there would not be the same effect in terms of a build-up of a centre of excellence. UDC draws on specialist inputs rather than employing a large core staff. Given the range of tasks, the flexibility to react to changing demand and UDC's technical role, this approach is judged as highly appropriate and efficient. It ensures that although hourly rates seem high, the overall efficiency is good.

8 **Factors affecting performance** – The combination of a lean structure and the ability to tap into the technical expertise and management structure of DHI, as well as the political clout of UNEP enables UDC to respond to emerging opportunities, such as the GEF Floods and Droughts project. UDC is widely appreciated by its partners for its ability to coordinate inputs from a broad range of partners. UDC makes good use of the institutional and political credibility of UNEP and the access it gives to UN-led international policy processes. For example, UDC's work with UN-Water on the SDGs and the IWRM Status Report is only possible due to its affiliation with UNEP. The relatively short project durations given the complex nature of the challenges and often unfavourable enabling environment is factor that negatively affects longer term performance.

Conclusions and recommendations

9 **Uptake and use of UDC outputs** - UDC does not have a systematic means of recording how guidelines, capacity building, policy advice and other support are made use of once their inputs have stopped. Neither does UNEP. This is not a new issue; it features in all earlier reviews. There are rarely any actions planned or budgets set aside for such monitoring. In many cases it is very difficult to measure because the intervention is catalytic in nature, difficult to attribute and designed to enhance local ownership. UNEP in its client role has the main role of satisfying itself that outputs were used. Even so, it could be argued that UDC has insufficient curiosity on how its products are used.

Recommendation 1 – Outcome monitoring and evaluation: It is recommended that UNEP and UDC develop a system for determining outcomes and how outputs are used. This could be done by: including budgets and actions to finance post project follow up and feedback; using a theory of change to map the process from output to outcome to impact; using spot surveys to obtain feedback and, obliging clients/beneficiaries to report on and present evidence of use.

10 **Support to the wider enabling environment for water resources management** – In many cases support to water resources has not borne fruit because of inadequate human and financial resources, and in some cases because of dysfunctional institutional set ups. In practice, all projects

examined were designed and carried out with broad partnerships where other actors address social, economic and institutional factors, with UDC looking more closely at the technical and environmental aspects. But, the post project support for these longer term issues is often not in place, threatening the sustainability of what has been achieved. The project duration is usually too short and the level of ambition too high. There is insufficient attention to identifying a network of post project support or a system of incentives and mechanisms that could serve to perpetuate the benefits.

Recommendation 2 – enabling environment: It is recommended that UNEP and UDC consider how to ensure that the enabling environment for water resources management is enhanced in the projects. This could be done by: improving the entry and exit design for projects; focusing efforts on a few river basins in order to stretch the core budget far enough to fill gaps where project-based resources are not enough; engaging in more long term processes with partner countries and basin organisations and, encouraging partner institutions to commit themselves to provide continued support after the completion of UDC projects.

11 **Intervention at local, regional and global level -** A few projects undertaken by UDC include inputs at a local level. Whilst on the ground testing and experience is invaluable there are many other actors that could undertake such local actions and UDC cannot serve all countries in this way.

Recommendation 3 – engagement at the local level: It is recommended to ensure that engagements at the local level are systematically screened to support processes that generate knowledge/lessons, which can inform normative work and the development of tools, approaches and assessment methodologies. This could be done by: developing criteria for testing the normative demonstration value of local level activities to assist in prioritization of projects.

12 **Global leadership in water resources management -** UNEP has a global mandate within environment and through its role in UN-Water the potential for contributing to global leadership in water resources management – at least of UN bodies. Danida, in financing UDC, looks to the possibility of UDC providing UNEP with the support needed to bring greater coherence and leadership in global water resources management. With the experience of the flagship efforts of IWRM status report and water SDGs behind it, it might be timely to consider what additional value UDC can offer in future phases on contributing to global leadership on water resources.

Recommendation 4 – engagement in UN-Water: It is recommended that UNEP in close coordination with UN-Water consider what additional value UDC can offer in future phases on contributing to global leadership on water resources.

13 **Future institutional set up –** A variety of options have been considered for future institutional set up and channelling of funding for UDC both in this and earlier reviews. Core funding could potentially create stronger internal links between UDC and UNEP. If funding were not earmarked to water or UDC, there would be a risk of less funding to water and probably much less engagement of UDC services. Senior staff in UNEP indicated that earmarking of core funding is not considered helpful, which would tend to argue for the status quo. It seems unlikely that other donors will emerge to provide core funding for UDC. UNEP is likely to consider the role and modalities of its collaborating centres. This evaluation did not find strong evidence to support one approach or another on the future institutional set up. In the view of most, the advantages and disadvantage are evenly balanced with the burden of proof on making a change, which would tend to argue for continuing, certainly in the current phase, with the current arrangements.

Recommendation 5 – institutional arrangements: It is recommended that the current funding arrangements be continued until the end of the current phase. Other action that can be taken to improve operations under the current arrangements include: UNEP considers providing UNEP core funding for UDC to reduce the vulnerability to changing donor priorities and moving from an opportunistic project mode towards more strategic longer term engagements with selected countries and basins and, gradually enhancing the collaboration between UDC and UNEP’s Regional Offices as their capacity is increased and their project implementing role is enhanced.

14 **Summary of lessons learnt – the lessons learnt are:**

- Partnership enables UDC to play its niche role
- A technically strong host is essential
- UNEP branding is key to the success of the UDC in influencing the global agenda for water resources.
- Project funding is necessary to extend the reach of the collaborating centre
- Post project follow to ensure outputs are used has been under-emphasised in project design-
- Without innovative partnerships that extend beyond the project period the enabling environment for sustaining improved water resources management is threatened -

15 **Performance rating:** The overall assessment is that UDC’s performance has been satisfactory in the period under evaluation.

Abbreviations and acronyms

AMCOW	African Ministers Council on Water
BMZ	Federal Ministry for Economic Cooperation and Development, Germany
BUS	Business Utility System
Cap-Net	Capacity Building Network for water resources management
CARP	Coastal Adaptation and Resilience Planning
CCCA	Cambodia Climate Change Alliance
CC-DARE	Climate Change Adaptation and Development Initiative
CSD	Commission on Sustainable Development
Danida	Danish International Development Agency
DELG	UNEP Division of Environmental Law & Conventions
DEPI	UNEP Division of Environmental Policy Implementation
DEWA	UNEP Division of Early Warning and Assessment
DHI	Formerly Danish Hydraulic Institute, now known as DHI
DHI BUS	DHI Business Utility System
EBM	Ecosystems Based Management
EU	European Union
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH, Germany
GWP	Global Water Partnership
GWP-WA	GWP – West Africa Water Partnership
ICLEI	ICLEI – Local Governments for Sustainability (association of 1000+ metropolises, cities, and urban regions)
ICZM	Integrated Coastal Zone Management
ISO	International Standards Organisations
IUCN	International Union for Conservation of Nature
IWRM	Integrated Water Resources Management
Log frame	Logical framework
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MTR	Mid-Term Review
NBI	Nile Basin Initiative
PCA	Project Coordination Agreement
PIR	Project Implementation Report
POW	Programme of Work
Prodoc	Project document
QA	Quality Assurance
Rio+20	United Nations Conference on Sustainable Development in Rio de Janeiro, 2012
RoTI	Review of Outcome to Impacts
SAG	Scientific Advisory Group
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Attributable, Relevant and realistic, Time-bound
TORs	Terms of Reference
ToT	Training of Trainers
TWAP	Transboundary Water Assessment Project
UDC	UNEP-DHI Centre
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UN-Water	Interagency mechanism for coordination of water issues in the UN
VKI	Danish Institute for the Water Environment
WRM	Water Resources Management
WRIAM	Water Resources Issues Assessment Method
WSSD	World Summit on Sustainable Development

1 INTRODUCTION

16 The United Nations Environment Programme-DHI² Centre (UNEP-DHI Centre or UDC) is a long-term partnership between UNEP and the DHI Institute of Water and Environment supporting a diverse set of initiatives in the area of freshwater ecosystems management. For UNEP planning and reporting purposes, the UNEP-DHI collaboration is, however, registered as a project³, with approved Project Documents for each phase of the partnership. The collaboration started in 1996 and current collaboration is now in its 4th Phase.

2 THE EVALUATION

17 This evaluation covers the 4-year period from October 2010 to September 2014. This period covers the end of Phase 3 of UNEP-DHI collaboration (2008-2012) and the first half of Phase 4 (2013-2015). These phases supported the UNEP Medium Term Strategies 2010-2013 and 2014-2017 as well as the implementation of the UNEP water policy and strategy (2007) and the subsequent UNEP Operational Strategy for Freshwater (2012-2016).

18 The main initiatives in which UDC was/is involved over the 3rd and 4th phases are clustered in 5 large groups:

- Policy Advice and Technical Assistance
- Decision Support Systems
- Assessments, Indicators
- Guidelines, Policy Briefs and Environmental Publications
- Customised Training and Capacity Building

These 5 clusters reflect the main thrust of the longer term collaboration and they provide a convenient structure for the evaluation, as they combine the work under Phase 3 and 4 and across the different UNEP Medium Term Strategies periods.

19 In line with the UNEP evaluation practices this evaluation assesses the performance (in terms of relevance, effectiveness and efficiency), and determines outcomes and impacts (actual and potential) stemming from the collaboration, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, DHI and partners. Therefore, the evaluation identifies lessons of strategic and operational relevance for the second half of Phase 4 and a possible Phase 5 of the collaboration. The results of the evaluation will guide the Centre both in its alignment with the UNEP Programme of Work and in the preparation of a subsequent phase.

20 The Inception Report available in Annex 14 provides a detailed description of the evaluation approach and methodology. The main steps of the methodology were:

- Review the project description, background material and earlier reviews to deepen an understanding of the project;
- Develop and re-construct a theory of change in close collaboration with the UDC ;

² Formerly called Danish Hydraulic Institute but now only called by the letters DHI.

³ This evaluation like the TORs will therefore use the terms “the UNEP-DHI Centre”, “the Project”, “the UNEP-DHI collaboration” or “the UNEP-DHI Partnership Centre” interchangeably.

- Making use of the theory of change and other considerations, synthesize and package the questions and topics of interest noted in the TORs into some 20 core questions presented in the inception report;
- Select and review 12 flagship projects which are representative of the project as whole and where at least to some extent there are earlier reviews and evaluations available for more detailed investigations;
- Hold interviews at UDC (several times) and UNEP (Nairobi) and supplement these with skype interviews with other relevant stakeholders; and
- Test conclusions, lessons learnt and recommendations with UDC, UNEP and others.

The sources of data were the project documents, documents of the flagship and other UDC products, reviews and evaluations, progress reports and interviews both by telephone/skype and face to face.

Limitations

21 It was not possible to directly evaluate individual projects, as this would have required field visits. Hence, for the project level assessment, the global evaluation depended to a significant extent on available documentation, of which project evaluations and reviews were of particular value. However, evaluation and review reports were only available for four projects. Distance (Skype) interviews were carried out with a range of primary implementing and recipient partners mainly at the global and regional level as this is where the projects were mainly located. The views of national stakeholders were available through the detailed project level reviews and evaluations that had been done at field level.

22 Another limitation was the scarce evidence available on the use and uptake of tools, approaches and knowledge products by water managers and other stakeholders. The limitations here are to a large extent due to the fact that UDC is very rarely implementing projects on the ground, and the involvement of UDC usually stops at the delivery of the tool/approach, publication etc. Hence, UDC is rarely involved in the subsequent utilisation and thus has limited access to (and limited capacity to follow up on) information on the actual use and uptake. Twelve particularly significant “flagship” UDC projects ongoing during the evaluation period were identified in collaboration with UDC (see Annex 15); however, most of these are either recently completed, under implementation or even in the initial stage of implementation, so it is too early to assess their outcomes, uptake, and sustainability.

23 UDC operates in a partnership mode, where projects usually involve several partners. Moreover, UDC work on capacity, tools and knowledge are expected to contribute indirectly to impact, but not directly, since UDC is not engaged in investment projects and implementation of water resource management. UDC is one actor among several contributing to improved water resource management. It is therefore very difficult to attribute changes to the actions of UDC, or even to measure the contribution of UDC.

3 PROJECT BACKGROUND

Context

24 The UNEP Executive Director in 2001 requested the Danish Minister for Development Co-operation for assistance to establish a Centre called the UNEP Collaborating Centre on Water and Environment, modelled along the lines of the UNEP Collaborating Centre on Energy and Environment at Risø, and committed UNEP to allocate the necessary co-funding. A Memorandum of Understanding

(MoU) was signed by UNEP, Danida and DHI to establish the Centre. The first phase of collaboration under this arrangement took place from 2001 – 2003. Later amendments were made to the MoU in 2004 and 2005 and these governed the 2nd phase, which covered the years 2004 – 2007. A new MoU was agreed in 2008 and a 3rd phase went ahead from 2008 – 2011 with an extension to the end of March 2013.

25 From the outset this has been a tripartite collaboration between UNEP, Danida and DHI. Danida provides earmarked contributions to UNEP that finance services provided by UDC, which is hosted by DHI. The collaboration under Phase 3 was governed by an MoU signed by all three parties. The legal instruments for the core funding of Phase 4 of the Centre comprise of a bilateral Donor Agreement between Danida and UNEP, and a bilateral Project Cooperation Agreement (PCA) between UNEP and the Host Organization for the Centre as the main implementing partner. A Framework Agreement (signed in the second half of 2014) between UNEP and DHI outlines the nature of the long term collaboration between the two organizations to be undertaken via the Centre.

26 The rationale for the collaboration is elaborated in the project design document for Phase 4 and takes departure in the growing awareness of the need to manage the world's limited water resources in a sustainable manner. There are new and increasing opportunities and threats including climate change, increasing levels of pollution, increasing awareness of the private sector of the value of water in the supply chain, and growing demands on water resources related to food and energy security. Sustainable management of water resources, both at trans-boundary and national levels, is a global concern and there is much to be gained through sharing experience and providing support at national and basin level during critical development stages.

27 As outlined in the project design document for Phase 4, the main rationale can be summarised as follows:

- Responding to the water resource implications of emerging global development agendas: This includes recognising and managing how water resources play a key role in agendas such as poverty alleviation, the Millennium Development Goals (MDGs), the upcoming Sustainable Development Goals (SDGs), climate change adaptation, ecosystem restoration, the food-energy-water nexus and the transition to the green economy and mobilising the potential of green growth.
- Implementing IWRM at Global, Regional and National level: assisting countries and basins to implement Integrated Water Resources Management (IWRM) and move from concept to practice which has proven more difficult than expected – making use of the opportunity to share experience and tools that can serve to promote IWRM and to mainstream it out of the water box. The support is mainly of a capacity development nature, which could include support to pilot projects financed elsewhere or through additional resources.
- Advance the role and mandate of UNEP within water: UNEP has a huge range of responsibilities and a broad environmental mandate – the project helps to keep the water mandate alive and provides specialist assistance to promote it so that UNEP's convening power and international legitimacy can be fully mobilised.
- Provide a platform to share the expertise and experience of the Centre: DHI is a world leader in the development and application of tools for integrated water resource management and can contribute to the global policy discourse as well as support application of specialist tools.

Objectives and components

28 The four expected outcomes and outputs of Phase 4, which is a continuation and evolution of Phase 3, are presented in the table below.

Table 3.1 objectives, outcomes and outputs – UDC Phase 4		
Objective/outcome		Outputs
1	Enhanced capacity of countries and regions to utilize integrated approaches to sustainable management of water resources and freshwater and coastal ecosystems	1.1 Policy advice and technical assistance to national and trans-boundary IWRM processes
		1.2 Tools, guidelines and decision support systems for strengthening water quality management in IWRM and EBM prepared and disseminated
		1.3 Integrated approaches to water resources management in the coastal zone
		1.4 Training and capacity building in integrated approaches to the sustainable management of water resources and aquatic ecosystems
2	Improved tools available for countries and regions to cope with adverse impacts on the water resource from climatic variability and change	2.1 Tools, guidelines and decision support systems for increased resilience to water stress related to climatic variability and change prepared and disseminated
		2.2 Knowledge products on the impacts of climate change on water resources and aquatic environments, including decision-support systems to anticipate and mitigate water-related emergencies prepared and disseminated
		2.3 Training and capacity building in aspects of water resources and climate variability or change
3	Improved information and knowledge basis for sustainable management of water resources and aquatic ecosystems	3.1 Indicator and data sets for assessing the status of IWRM approaches and the state of the aquatic environment
		3.2 Contributions to assessment reports (and other knowledge products) of the status of IWRM approaches and the state of the aquatic environment
4	Increased recognition and utilization of the Centre as a global centre of excellence for water and environment	4.1 Collaboration with partners strengthened, particularly within UN-Water
		4.2 Sole/joint publications and products that the Centre coordinates or contributes to

29 The project is not divided into components as such, although the cluster of activities given in §18 does form a thematic structure for the work of the Centre.

Target areas and groups

30 The project is not limited to particular geographic areas but is global in its reach. The primary and ultimate target group are practitioners involved in managing river basins in developing countries. In principle, the target group is not just those employed in river basin organisations but also users of water in other economic sectors. In first instance, however, the target group is UNEP in the sense that UDC serves to assist UNEP to implement its freshwater strategy.

Milestones and key dates

31 As implied by the objectives, the project is directed towards a continuous improvement in the enabling conditions for sustainable water resources management and is not centred on key events, milestones or dates. Impacts are not identified in the project design but can be inferred from the underlying analysis provided in the strategic focus chapter (project document chapter 3.3). The ultimate impact is that threatened ecosystems are well managed and can sustain sufficient water for human needs, economic development and ecology for present and future generations – taking into account economic and social development as well as climate variability and change. This impact is linked to and is effectively an elaboration of the project goal: to contribute substantively to environmental sustainability in the management of all water resources. It is continuous in nature.

Implementation arrangements

32 The implementation arrangements are described in the project document and the Centre is in its 4th phase, so these arrangements are well known and proven in practice. The framework for the expected work to be carried out in the 4th phase is established by the Project Document and an Advisory Board composed of the “owners” (UNEP, Danida, DHI), as well as external experts is used to provide strategic guidance. The UDC director submits annual reports and work plans and budgets to UNEP and DHI bilateral approval and once approved, UDC works autonomously within this framework to achieve the work plan. Frequent contact is held with UNEP in particular throughout the year. The establishment of the Advisory Board has been held up by the finalization of the Framework Agreement due to lengthy legal discussions about the continued use of the names for the two UNEP collaborating centres in Denmark. As the Director is employed by UNEP, there is a separation of employment contract and presumably interests between the Director and the host organization and provider of most of the inputs (DHI). A weakness of the governance set-up is that there is no apparent representation of the ultimate “clients” who are supposed to benefit. The earlier concept of a Scientific Advisory Group could have potentially fulfilled this role (as was envisaged for a similar group for the UNEP-RISØE Centre for sustainable energy and climate change) but in practice the concept has not worked out due to the expense and impracticalities of assembling a group that only meets infrequently and will not have enough familiarity to comment in depth.

Project financing

33 The annual estimated project cost during phase 3 was about US\$1,08M of which US\$0.99M were provided by Danida and just under US\$0.1M was provide by UNEP. During phase 4 the total estimated annual project cost increased quite significantly in nominal terms to about US\$1.82M corresponding to an increase in Danida funding while the UNEP contribution remained the same. DHI provided in-kind contributions for personnel amounting to US\$990,150 for Phase 3 and up to US\$588,444 for Phase 4. DHI also provides office space for Phase 4 (valued at US\$33,000). UDC is designed to actively seek additional funding both in terms of core support and in terms of additional downstream projects that support the overall objective. The project budget, components of expenditure and sources are summarised in Table 3.2 below.

Table 3.2 Project budget⁴

	Phase 3 (2008-2011)			Phase 3 Extension (2012)			Phase 4 (2013-2015)		
	Four year project total budget			One year total budget			Three year project budget total		
	UNEP	DANIDA	Total	UNEP	DANIDA	Total	UNEP	DANIDA	Total
10 Project personnel component*									
1100 Project Personnel at DHI (non-UNEP)*									
1101 Director		930,492	930,492		313,688	313,688		825,000	825,000
1102 Staff costs implementing org.		2,310,764	2,310,764		716,270	716,270		2,511,141	2,511,141
1199 Total		3,241,256	3,241,256		1,029,958	1,029,958		3,336,141	3,336,141
1600 Travel on Official business									
1601 DHI Travel		487,300	487,300		121,825	121,825		357,480	357,480
1602 UNEP Participation	40,000		40,000	10,000		10,000	30,000		30,000
1603 SAG Participation	48,000		48,000	12,000		12,000	45,000		45,000
1699 total	88,000	487,300	575,300	22,000	121,825	143,825	75,000	357,480	432,480
1999 Component total	88,000	3,728,556	3,816,556	22,000	1,151,783	1,173,783	75,000	3,693,621	3,768,621
20 Subcontracts									
2200 Sub-contracts (unspecified)									
2201 Unspecified MOUs	184,000		184,000	46,000	30,000	76,000		960,000	960,000
2299 Component total	184,000		184,000	46,000	30,000	76,000		960,000	960,000
2999 Component total	184,000	0	184,000	46,000	30,000	76,000	0	960,000	960,000
30 Training component									
3100 Fellowships									
3101 Student Programme	40,000		40,000	10,000		10,000	45,000		45,000
3199 Total	40,000		40,000	10,000		10,000	45,000		45,000
3999 Component total	40,000	0	40,000	10,000	0	10,000	45,000	0	45,000
40 Equipment and premises component*									
4301 Office rental								105,000	105,000
4399 Total	0	0	0	0	0	0		105,000	105,000
4999 Component total	0	0	0	0	0	0	0	105,000	105,000
50 Miscellaneous component									
5200 Reporting costs									
5201 Evaluation Costs	16,000		16,000		30,000	30,000	45,000		45,000
5202 Printing and reproduction	24,000		24,000	6,000		6,000	54,000		54,000
5203 Outreach and Public Inf.	12,000		12,000	3,000		3,000	45,000		45,000
5204 UNEP Project Support Costs								413,793	413,793
5299 Total	52,000		52,000	9,000	30,000	39,000	144,000	413,793	557,793
5300 Sundry									
5301 Communications Cost	36,000		36,000	9,000		9,000	36,000		36,000
2399 Total	36,000		36,000	9,000		9,000	36,000		36,000
5999 Component total	88,000	0	88,000	18,000	30,000	48,000	180,000	413,793	593,793
99 Grand Total	400,000	3,728,556	4,128,556	96,000	1,211,783	1,307,783	300,000	5,172,414	5,472,414

Source: Project Documents

Project partners

34 UDC and the “centre project” are conceived as a partnership between UNEP and the collaborating centre with Danida taking on the role as lead donor (and in case of core funding only donor). At the individual project level, partnerships are established in accordance with the needs of the individual project e.g. for the UNEP-GEF (Global Environment Facility) Project on Coastal Adaptation and Resilience Planning Programme (CARP), a partnership is established with the Cambodia Climate Change Alliance (CCCA)⁵.

Changes in design during implementation

35 The changes in the project context since Phase 3 are to a large extent integrated into the Phase 4 design; with Phase 4 taking into account an ever increasing emphasis on climate change and the green economy and a focus on the Rio+20 process. Reinforcement of these aspects and other changes include:

36 Greater attention on cost-effective adaptation measures. In the aftermath of the financial crisis there is a strong need to find least cost solutions to adaptation by: improving the level of information as well as finding evidence-based rationales for proposed adaptation measures. This tends to strengthen the mission of UDC, as it is one of the world’s few centres of excellence that have the tools, track record, access to technical expertise and mandate to bridge information gaps and apply a

⁴ The information in this table does not include DHI in-kind contribution (which is mentioned in paragraph 33).

⁵ Source: UDC, Mainstreaming of Climate Change Adaptation into the Sub-National Development Planning in Cambodia, December 2013.

scientific approach to identifying no regret, low regret, or even profitable adaptation options. The Centre has access to modelling and other tools that can help reduce the level of uncertainty about the flooding and drought consequences of changing rainfall and sea levels. In this way it can contribute to better decision making around adaptation measures.

37 Greater attention is being given to the green economy and the role of the private sector. Even since the project design there has been a fast growing agenda to promote the green economy. In water this has led to greater space being given to the stewardship concept and the role of the private sector.

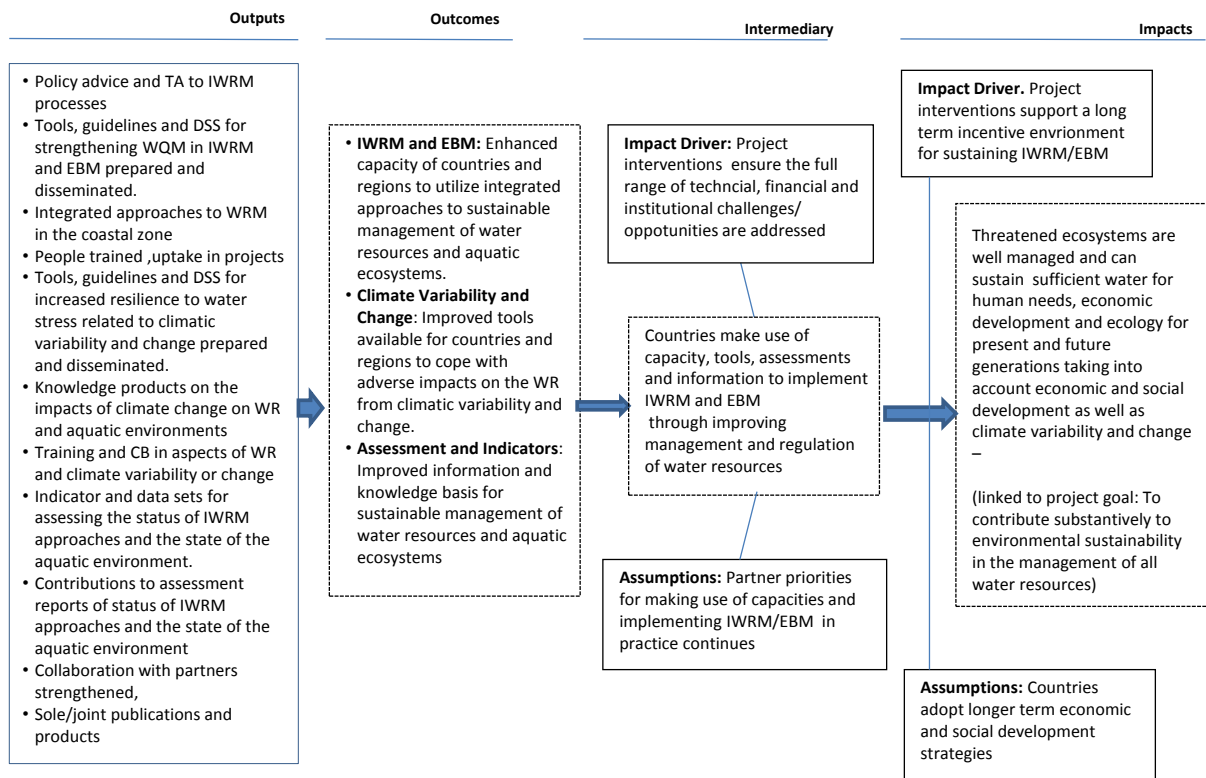
38 Water security arising from conflict situations as well as vulnerable supply chains. The role of competition for water resources in worsening conflicts, or even giving rise to new conflicts and is an increasingly important topic. The development of resilience in conflict-affected situations is now a key concern of international assistance. For example, the support of EU, one of the largest donors in the world, to fragile states has increased from 40% of its total aid budget in 2011 to 60% in 2013. Water security is also an issue for economic development, as companies will avoid investing in countries which do not have a robust and secure water supply chain.

39 Challenges to IWRM. Although it is sometimes unrecognized by the water fraternity, IWRM is facing dissatisfaction with what is interpreted as slow progress, difficulty in communicating the concept to non-water professionals and translating it into practice. A number of critiques have been made and other approaches such as the Nexus approach or a focus on water security have emerged which, while not contradicting IWRM, offer an alternative path that is not necessarily complementary. Nevertheless, IWRM has been embraced by countries around the world.

40 Donor funding for the water sector is reducing. Most donors, including Danida, EU and BMZ/GIZ, have strongly reduced their funding to the water sector – despite the clear link to the otherwise highly prioritised area of climate change. Danida, for example, has only three bilateral programmes in the water sector past 2015 as compared to more than nine a few years ago. For the EU supported countries there has been a similar reduction in countries selecting water as a focal sector. Donor agencies are increasingly funding productive sectors and funding for water resources is increasingly seen in connection with energy and agriculture projects.

Reconstructed theory of change

41 The log frames for Phase 3 and 4 were reconstructed by the evaluation team into the below theory of change diagram. The diagram depicts how UDC outputs are intended to result in tangible outcomes, which will contribute to improved intermediary state where water managers employ the skills, knowledge and tools provided by UDC to engage in IWRM and EBM. This will in turn contribute to the achievement of the intended goal: that water resources are managed and utilised in an environmentally sustainable manner. The diagram also shows the impact drivers that can facilitate such process as well as the assumptions that need to be in place for the theory of change to unfold. Annex 10 and the Inception Report (Annex 14) provide a detailed description of the reconstructed theory of change.



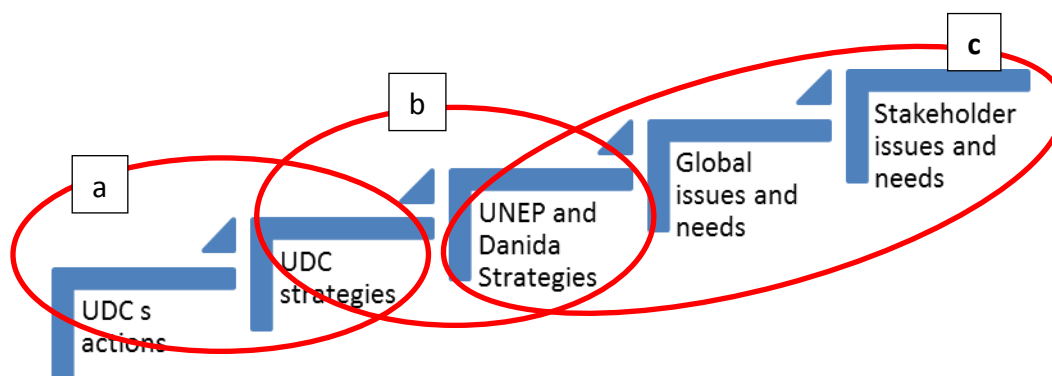
Note Development of the Centre is removed as an outcome as it is a means to an end, not an end itself.

4 EVALUATION FINDINGS

4.1 Strategic relevance and complementarity with UNEP strategies and programmes⁶

42 The project is built on a chain of strategic relevance whereby the project carries out actions in support of the project strategy (Figure 4.1, circle a), the project strategy supports UNEP and Danida strategies (circle b) and these strategies in turn are responsive to the global environmental issues and needs which should in turn be responsive to stakeholder issues and needs (circle c).

Figure 4.1 strategic relevance chain



43 The degree to which UDC's actions support the project strategy (circle a) are examined under the criteria dealing with achievement of outputs and outcomes. The main focus of strategic relevance is on the coherence between UDC strategies and UNEP/Danida strategies (circle b). The background assumption behind this approach is that the UNEP and Danida strategies are well conceived and relevant and are not the main topic of this evaluation. However, the evaluation still verifies/comments, where possible, on whether UDC's actions respond to national/local needs. The degree to which UNEP and Danida strategies are consistent with global issues and needs and the extent to which these reflect stakeholder issues and needs (circle c) are beyond the scope of this evaluation. It would also be useful to examine whether UDC through its practical experience has been able to contribute to enhancing or updating UNEP/Danida strategies. Bearing these considerations in mind two key questions were formulated and the findings are presented in tables 4.1 and 4.2.

Table 4.1 Criteria: Strategic relevance – question 1	
Question	Q1) Is the project aligned to the relevant UNEP and Danida strategies and Programme of work?
Indicator/criteria	Multiple considerations related to the degree of consistency, the presence of contradictions and the presence of any missed opportunities for alignment/ contribution.
Findings	
<ul style="list-style-type: none"> The UNEP Operational Strategy for Freshwater (2012-2016) focuses on 4 priority areas: water quality, aquatic ecosystems, climate change, and water efficiency. These areas are highly relevant considering the issues and needs of stakeholders (water users, regulators and others) in threatened rivers basins around the world. The priorities respond to an in-depth analysis of issues and trends facing the world. The key issues are highlighted by an earlier UNEP analysis⁷ and include: lack of access to basic services by the poor; cost inefficiencies of existing service provision; increasing gap between demand and supply; the need to invest in ecosystems to achieve water security and the need for new financing and institutional models. The trends highlighted include: rapid urbanisation, inefficient use of resources given the increasing levels of 	

⁶ This section covers both IV "A. Strategic Relevance" and G "Complementarity with UNEP strategies and programmes" as required in the report outline provided in the TORs Annex 1.

⁷ Source: UNEP 2011, Towards a Green Economy: Pathways to sustainable development and poverty eradication

consumption of a growing world middle class, continuing ecosystem degradation and climate change. Under UN-Water, UNEP is the designated focal point for thematic priority areas on water quality, wastewater and water resource management. The strategy is light on IWRM, which is only mentioned a few times. The UNEP Operational Strategy for Freshwater responds to the priorities and seeks to prioritise areas where UNEP has a comparative advantage e.g. "linking policy level analysis to action on the ground through strategic partnerships"⁸. A clear identification and justification of the comparative advantages of UNEP and how they are employed in the strategy is not always very clear e.g. how the convening power of UNEP and its normative role are made best use of. It is admittedly difficult to document such links without becoming repetitive.

- The Medium Term Strategy and Programmes of Work outline six related sub-programmes. UDC is involved mainly in the sub-programme relating to ecosystems management (#3), with additional contributions to sub-programmes on climate change (#1), disasters and conflict (#2), and environmental governance (#4).
- Although the Danida strategy (A green world for all – strategic framework for natural resources, energy and climate change) focuses less on support to the water sector than earlier strategies, there is attention given to the linkages between water, agriculture and energy, valuation of natural resources, the adoption of the rights approach to water and ecosystems, and transboundary water issues. These issues are highly relevant and respond to the trends, challenges and opportunities facing stakeholders in many countries. In contrast to earlier strategies, the Danida strategy, like the UNEP strategy, focuses on the opportunities for fostering a green economy and on triggering self-interest and engagement of the private sector.
- The project activities as presented in the project document and annual work plans and reports support the four UNEP priority areas with perhaps greater attention to IWRM as an element of aquatic ecosystems than is evident in the freshwater strategy itself and less emphasis on water efficiency. The UDC greater focus on IWRM rather than aquatic ecosystems has been a point of discussion from the first days of the Centre⁹. Although water quality features highly in the UNEP priorities, is a comparative advantage of UDC and is part of the 2013/4 works plans, in practice it has not been drawn up.¹⁰
- The project activities as presented in the project document and annual work plans and reports clearly support transboundary water and also the ecosystems approach mentioned in the Danida strategies with less emphasis given to valuation of natural resources and the rights based approach.
- No inconsistencies were found between the project approach and the UNEP and Danida strategies and programme of work.
- The project supports specific parts of the UNEP and Danida strategies (and programme of work in the case of UNEP). The areas supported are in line with the comparative advantages of UDC and focus on promoting IWRM, providing technical support tools and support to global water policy processes such as drafting SDGs. There is probably scope for greater alignment, but on the other hand the process of annual approval of work plans and budgets by UNEP (with copy to Danida) suggests that the weighting and prioritisation of what the Centre does within the strategies has the support of UNEP.

Table 4.2 Criteria: Strategic relevance – question 2

Question	Q2) Has the Centre contributed to UNEP, Danida and global strategies in making them more relevant to issues and needs at the global and stakeholder level?
Indicator/criteria	Outcome indicator #4 increased/ improved quality of Centre outputs Evidence of changes in UNEP, Danida and Global strategies that can be attributed to UDC.

Findings

- UDC has contributed to both the UNEP freshwater strategy and the Danida greener world for all strategy. UDC provided a consultant for approximately 3 months of input to lead the drafting of the UNEP strategy. UDC supported the consultant and took an active part in an internal consultation group to comment on early drafts. The director of UDC was invited to take part, contribute and comment on the Danida strategy.
- UDC has contributed significantly to the process of defining water related goals for the SDGs that is led by UN-Water. This has been financed both through the core budget and through a dedicated project supported by the Danish Ministry of Environment. The definition of a water resources goal in the SDGs is strategically important, as it will ensure that water resources is not forgotten in international development efforts. This is a high priority for both UNEP and Danida. UNEP and UN-Water report that the contribution of UDC has been highly instrumental in these efforts.
- The disbanding of the DHI policy division (and transfer of competencies to other areas), the significantly reduced call by Danida on UDC for water policy issues (although the Ministry of Environment has to some

⁸ Source: UNEP Freshwater Strategy

⁹ Source: former Centre staff

¹⁰ Source: 2014 half year report

extent substituted that demand), the emergence of UN-Water in a policy support function, and the fact that policy support is not necessarily needed all the time by UNEP, perhaps explains the lesser emphasis on policy inputs (where only 4-5% of the UDC workload is policy directed). Nonetheless, there is an element of policy input built into different projects.

44 Summary: UNEP and Danida strategies are responsive to the trends, issues, challenges and opportunities facing stakeholders within the water sector. The UNEP priorities outlined in the freshwater strategy are well chosen, bearing in mind the comparative advantages of UNEP and the UNEP mandate for water as provided by UN-Water. The UDC work plans are well aligned to the relevant UNEP and Danida strategies and Programme of Work. UDC tends to focus on IWRM as a part of the ecosystems approach whereas UNEP focuses more directly on the ecosystems approach. This sub-priority on IWRM apparently reflects a long held division of focus reflecting where UDC can offer a comparative advantage i.e. on IWRM rather than across the whole broader aquatic ecosystems scope of work. The focus of the UDC work plan on assessments also responds well to the normative (and unique) role of UNEP. **Rating: satisfactory.**

4.2 Achievement of outputs

45 The outputs are defined in the log frames and reported on systematically in annual progress reports and also the final report for Phase 3. Indicators are to some extent in place (See table 4.22) and are reported on in a narrative sense and through giving examples rather than by presenting a hard comparison of achievements against targets. The nature of some of the outputs also makes a hard measurement difficult, especially as UDC is often only contributing to a process rather than delivering a sole product. Bearing in mind these considerations, tables 4.3 and 4.4 present the evaluation findings vis-à-vis the achievement of outputs in Phase 3 and the likelihood of achieving the intended outputs in Phase 4 in terms of quantity, quality and timeliness.

Table 4.3 Criteria: Achievement of outputs – question 3

Question	Q3) Have the outputs been achieved according to project design? (Covering policy advice; decision support systems; assessments; guidelines; capacity development)
Indicator/criteria	<ul style="list-style-type: none"> • Quantity delivered (against original indicator targets where relevant) • Quality of the outputs (international Centre of excellence standard) • Timeliness (against original time targets where relevant) • Output indicators 1.1 to 4.2
Findings	
<ul style="list-style-type: none"> • The output targets for Phase 3 have generally been achieved. The only exception is output/outcome 2.3 (decision support tools) where some thematic coverage targets have not been fully achieved (environmental flows, infrastructure operation, water issues in land use planning, and environmental economics); but IWRM and climate change have been covered in accordance with targets. See Annex 7.1 for a detailed assessment of the achievement of targets. • The implementation progress of Phase 4 is assessed to be on track vis-à-vis the targets for most outputs. However, the progress for output 2.3 (training/capacity development) appears modest, so this output may need some extra attention. For output 4.2 (publications), the target is likely to be exceeded. See Annex 7.2 for a detailed assessment of the progress. • In project evaluations, UDC actions are usually assessed as being of good or very good quality, e.g. the MTR of the CARP/CCCA project in Cambodia found UDC outputs to be of good quality¹¹, and the evaluation of the climate change and Water Stress in the Nile Basin project found UDC outputs were satisfactory and of high scientific quality¹². Most partners interviewed found that UDC inputs were of a very 	

¹¹ Source: "Vulnerability Assessment and Adaptation Program for Climate Change within the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems", Mid-Term Review, Final Report, May 2914

¹² Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

high technical quality¹³. No examples of poor quality were found in the products assessed by the evaluators¹⁴.

- UDC inputs were found to be instrumental for a number of projects, e.g. writing water chapter in GEO-5, coordinating transboundary rivers group under TWAP, and as lead author and lead on surveys for the global UN-Water Status Report on IWRM and AMCOW Status Report on IWRM in Africa)¹⁵.
- UDC projects cover all five key areas of work for UDC: 1) policy advice, 2) decision support systems, 3) assessments, 4) guidelines, and 5) capacity development. Of the 12 projects identified by UDC and the evaluation team as being the major flagship projects during the period under evaluation, the main work areas covered were assessments (6 projects have this as a focus area) whereas the other areas were not as comprehensively covered: policy advice (4 projects), capacity and decision support systems development (3 projects each) and guidelines (2 projects). Nonetheless, a number of projects did provide some policy recommendations (5 projects) and some projects (2 projects) did build capacity through the participation of regional/national experts in the implementation, even if they did not include a specific training component. It should also be kept in mind that UDC was also involved in a number of additional projects during the period under evaluation, so the flagship projects do not provide the complete picture. (See Annex 8 for an overview of the work area coverage of the 12 flagship projects).
- Most partners find that UDC has implemented its activities in a very timely manner, and some partners have experienced that UDC has delivered in advance of the agreed deadlines. Nonetheless, two interviewees reported they had experienced issues with timeliness/late delivery from UDC in relation to, a) the EU West Africa project (Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans) but this apparently improved later on, and b) in relation to the International Water Resources Panel where the UDC input was late and missed deadlines.¹⁶ However, in the case of the EU West Africa Project, the final evaluation found that the delays were caused by external factors beyond the control of UDC (see the bullet below)¹⁷. In the case of the International Water Resources Panel, UDC points out that UDC delivered its input on 10 October 2014 (the agreed deadline was end September 2014), but UDC had by end 2014 not received any comments on its input, despite several reminders.
- Nonetheless, the available project documentation and progress reports do describe a number of delays, which have affected implementation, but these are generally caused by external factors of which UDC has at best only limited control. One example is the Climate Change and Water Stress in the Nile Basin project where the UDC related Output 2 was delayed due to political sensitivities creating difficulties for gaining access to national data; this was eventually overcome with an MoU between UNEP and NBI in the second year of the project¹⁸. Another example is the EU West Africa Project, where political instability in several countries caused significant delays.¹⁹
- UDC is usually only one partner in a larger context (and often not the lead partner) and thus UDC activities often depend on other partners. Hence, it is difficult for UDC to plan accurately in terms of timing, but considering the significant number of delays vis-à-vis annual targets in the first year (2013), UDC should perhaps be more conservative in its time estimates.

Table 4.4 Criteria: Achievement of outputs – question 4

Question	Q4) Has UDC responded to and delivered on ad hoc requests from UNEP?
Indicator/criteria	Number of requests responded to satisfactorily
Findings	
<ul style="list-style-type: none"> • UDC has responded to several ad-hoc requests from UNEP, but these are not recorded; major requests are included in the progress reports, but not clearly identified. Ad-hoc request are typically to carry out or facilitating peer reviews of draft UNEP publications, e.g. by engaging DHI staff as reviewers, or to contribute to UNEP publications and documents.²⁰ 	

¹³ Except one interviewee in a supervisory role, who expressed that “the work is ok, but on occasion still needs some lift to bring it to standard - Source: interviews with partners and UNEP staff,

¹⁴ Source: screening of a broad sample of products

¹⁵ Source: interviews with partners

¹⁶ Source: interviews with partners and UNEP staff

¹⁷ Source: Terminal Evaluation of the UNEP/DHI Project, Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, July 2012

¹⁸ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

¹⁹ Source: Terminal Evaluation of the UNEP/DHI Project, Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, July 2012

²⁰ Source: interview with UDC and DHI staff

- Some UNEP staff members express that UDC is highly responsive to ad-hoc requests and provide highly qualified experts and inputs. However, a couple of staff found that UDC did not have sufficient access to global expertise and could not mobilise experts from emerging economies and developing countries. Other staff members indicate that the use of UDC is limited and “*not the first port of call*”, and that the knowledge of the expertise available in UDC is limited, so UDC should make itself more visible in UNEP. Nonetheless, one staff member expressed that “*It is easier to use UDC because it avoids the long, boring and uncertain procurement. MIT (Massachusetts Institute of Technology) might be as good or better, but it takes too long to procure. That is the niche of UDC*”.²¹
- The 2010 MTR found that ad-hoc support was time consuming and a burden for UDC vis-à-vis the implementation of its work plans, with a high number of ad-hoc requests with short notices²². UDC reports that this is not a problem anymore. The reason for this change is not entirely clear, although UDC indicates that there is a now a mutual understanding between UNDC and UNEP of how UDC can best respond to ad-hoc requests²³.

46 Summary: The intended outputs for Phase 3 have been delivered. The only exception is that some of the anticipated topics have not been fully covered by training activities. The achievement of targets related to use and uptake of the products and capacities developed is difficult to assess because: a) many of the products are not yet mature enough to be examined, and b) UDC and UNEP do not have a formal post project monitoring routine. Progress against the outputs and associated targets in Phase 4 is generally on track. The publication target (output 4.2) is likely to be exceeded whilst the training target (output 2.3) is at risk of not being fully achieved. The technical quality of UDC outputs is found to be high and often very high; this finding is also confirmed by interviewed stakeholders and partners, who often emphasise the high technical quality as a key strength of the Centre. Most partners also find that UDC is good at responding and delivering in a timely manner. However, where UDC provides specific components in a larger context, a number of projects have been affected by delays mainly due to other partners or external factors over which UDC only has limited, if any, control (e.g. on the NBI assessment project where there were difficulties in obtaining national data). (See Table 4.3).²⁴

47 In addition to the outputs specified in the log frame, UDC also responds to ad-hoc requests for assistance from UNEP, such as facilitating peer/technical reviews of UNEP publications. Previously, this comprised a significant burden for UDC, affecting delivery, but reportedly this is not a constraint anymore. (See Table 4.4). **Rating: satisfactory.**

4.3 Effectiveness

48 Taking departure in the simplified RoTI methodology described in the Inception Report (Annex 14), the effectiveness of UDC Phase 3 and 4 was assessed, vis-à-vis the intended results and outcomes of key areas of work of the Centre described in §18, namely: increased capacity, enhanced access to tools and methodologies, and improved availability of (and access to) knowledge and information. Moreover, the uptake and use, or likely uptake and use, of UDC outputs and skills developed is assessed as well as the extent to which UDC has achieved (Phase 3) or is likely to achieve (Phase 4) the intended objectives and contributed to the overall goals. The extent to which UDC has obtained increased recognition is also assessed, as this is a specific objective and outcome area of Phase 4, although this is related to the internal organisation rather than results in relation to water management and thus not truly effectiveness related.

²¹ Source: interviews with UNEP staff

²² Source: Mid Term Review of the 3rd Phase of the UNEP-DHI Centre for Water and Environment, Draft Final Review Report, 3 December 2010

²³ Source: interview with UDC staff

²⁴ Source: interviews with UNEP

Table 4.5 Criteria: Effectiveness and attainment of objectives – question 5	
Question	Q5) Has the capacity of basins, countries and regions been enhanced?
Indicator/criteria	Outcome, #1 Countries/ regions with IWRM and ecosystems-based approaches integrated into national and transboundary policies and plans
Findings	
<ul style="list-style-type: none"> • The following flagship projects have a significant capacity development element: CARP/CCCA Cambodia, EU West Africa, and Aqua Republica serious game. The Climate Change and Water Stress in the Nile Basin project also had capacity building elements, although this was not its primary focus; the same is anticipated for the Floods and Droughts project. • The EU West Africa project fully delivered its intended result of building the capacity of key water managers from seven West African countries in IWRM planning. Three countries now have IWRM plans and four have roadmaps for moving towards IWRM planning.²⁵ • The CARP/CCCA project has strengthened household adaptive capacity in coastal Cambodia.²⁶ • The Climate Change and Water Stress in the Nile Basin project enhanced the capacity of regional/national centres and others (e.g. staff of universities, research facilities and district offices, extension workers, and NGOs) to support adaptation actions, through a) targeted training and b) direct involvement in the design and execution of project activities (learning-by-doing). “...involvement of technical personnel in the scientific assessments helped to build technical capacity in the countries. This was a ‘win-win’ situation, as capacity was strengthened...”.²⁷ The involvement in the implementation of project activities appears to have been more important for capacity development than the training courses, which were a basic introduction to the assessment methodology and modelling tools. • The Aqua Republica serious game has raised the awareness and knowledge about water issues among school students in a number of Asian countries, as well as the awareness of senior managers in Singapore. UDC is currently collaborating with Cap-Net in Argentina on Water Republica in a school programme. The game has also been run in South Africa.²⁸ • UDC has assisted in the development of the first National Integrated Water Resources Management Policy for Liberia. UDC has also supported Senegal’s Department of Regional Planning in order to update the Urban Development Plans of coastal settlements. (See Annex 7). • UDC has contributed to training materials, which are used by Cap-Net in their training courses (see Annex 7), e.g. on water pollution and drought risk management. The 2010 MTR found that “UDC has adopted the right approach to training by providing training materials for other organizations to use”.²⁹ • Single projects, which run for 1-3 years may be too short to ensure that the capacity built is consolidated, unless the project is part of a more long-term engagement. The evaluation of the Climate Change and Water Stress in the Nile Basin project suggests that the project was too short to ensure such skills consolidation³⁰. However, the project built on the existing NBI decision support system provided by DHI, and an NBI representative indicates that the assessment was not a one-off action, and there is scope for further collaboration between NBI and UDC/DHI³¹. 	

Table 4.6 Criteria: Effectiveness and attainment of objectives – question 6	
Question	Q6) Are improved tools available and being used to cope with water resources impact from climate variability and change?
Indicator/criteria	Outcome, #2 Country/basin/regional climate change adaptation plans that include water resources impacts
Findings	
<ul style="list-style-type: none"> • UDC’s work on tools development and dissemination focuses on two areas: <ul style="list-style-type: none"> ○ Enhancing decision support systems for water resource management. The key flagship projects are: 	

²⁵ Source: Terminal Evaluation of the UNEP/DHI Project, Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, July 2012

²⁶ Source: “Vulnerability Assessment and Adaptation Program for Climate Change within the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems”, Mid-Term Review, Final Report, May 2014

²⁷ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

²⁸ Source: interviews with UDC staff, DHI staff, and partners

²⁹ Source: Mid Term Review of the 3rd Phase of the UNEP-DHI Centre for Water and Environment, Draft Final Review Report, 3 December 2010

³⁰ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

³¹ Source: interviews with NBI and UDC staff

- the GEF/UNEP Floods and Droughts project, CARP/CCCA in Cambodia, the Climate Change and Water Stress in the Nile Basin project, and the EU West Africa project.
- Developing guidelines. The key flagship projects are: the Green Infrastructure Guide and CARP/CCCA in Cambodia.
 - The EU West Africa project provided training in collaboration with Global Water Partnership (GWP) on the use of the GWP IWRM toolbox and of the DHI developed Water Resources Issues Assessment Method (WRIAM). Some of the countries used the tools to finalise their roadmaps/plans. *“Liberia also used the Ecosystem Management Manual for finalising its First Communication on Climate Change Adaptation”*³².
 - The CARP/CCCA project in Cambodia in early 2014 completed a guideline for integrating climate change in commune development plans, and trained stakeholders in its use³³. The uptake and use of the guidelines by Cambodian stakeholders for commune development planning is not known.
 - Climate Change and Water Stress in the Nile Basin project has contributed to enhancing the NBI decision support system by providing a methodology and tools for climate change and water stress assessment. The final evaluation of the project found that *“the study provides appropriate information to inform decision-making for water resources management under a changing climate”* and *“provides a scientific basis for critical thinking, policy setting and planning regarding climate change adaptation”*. Moreover, it found that the project contributed to strengthening the science-policy interface in the Nile Basin Region as the analytical tools provided can support decision-making, and thereby help strengthening NBI in the policy support it provides to member countries³⁴. UDC and DHI staff emphasise that the assessment provides a commonly acknowledged analysis accepted by all Nile Basin countries, whereas previously each country would prepare their own analysis, which could be contested by other countries; hence the project is anticipated to facilitate consensus between the countries³⁵. However, one interviewee disagrees with this view on the utility of the study and approach, finding the report is too technical to be used³⁶.
 - The Green Infrastructure Guide has recently been published and is available on UDC and UNEP websites. The guide will be used in a workshop in Vietnam and there are plans to make a training manual with Cap-Net³⁷.
 - The Floods and Drought project is at an early stage, so it is too early to assess the results. In the Volta Basin, the project builds on the decision support system developed under a previous DHI project funded by France³⁸.

Table 4.7 Criteria: Effectiveness and attainment of objectives – question 7	
Question	Q7) Is there improved information and knowledge base?
Indicator/criteria	Outcome, #3 National/regional/global data sets on, and assessments of water resources and aquatic ecosystems
Findings	
<ul style="list-style-type: none"> ● A number of UDC flagship projects have contributed to the information and knowledge base, through: <ul style="list-style-type: none"> ○ Assessments. Flagship projects: UN-Water Global Status Reports on IWRM, AMCOW Status Reports on IWRM in Africa, GEF Assessment of Transboundary River Basins (TWAP), CARP/CCCA in Cambodia, the Climate Change and Water Stress in the Nile Basin project, EU West Africa project. ○ Leading or contributing to publications, which synthesise and present knowledge. Flagship project: Global Environment Outlook 5 (GEO-5). ● Findings and results from state-of-the-art regional climate and hydrological modelling have been made available to Nile Basin countries for application at regional and national levels, and vulnerability indicators have been provided³⁹. 	

³² Source: Terminal Evaluation of the UNEP/DHI Project, Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, July 2012

³³ Source: 10th Quarterly Progress Report, Coastal Adaptation and Resilience Planning (CARP) Component, Reporting Period: 01-01-2014 – 31-03-2014

³⁴ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

³⁵ Source: interviews with UDC and DHI staff

³⁶ *“in the big picture is that what people need? It is too detailed for real adaptation work and the error bars are too great to make it useful in practice. ...We cannot translate this technical work to adaptation planning. We cannot make it policy relevant. It is not UDC’s fault – they did what they were asked”*. Source: interview with stakeholder

³⁷ Source: interview with UDC staff

³⁸ Source: interview with DHI staff

³⁹ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

- The report on climate change and water stress in the Nile Basin has enhanced the understanding of climate variability and water stress and improved the understanding of the predictive ability of climate models. The final evaluation found that the assessments made a significant contribution to the scientific knowledge base⁴⁰.
- Status reports on IWRM (UN-Water global report and AMCOW Africa report) gathered information from developing countries on the status of IWRM; this information was made available at Rio+20 and AMCOW has used the information at various international forums⁴¹.
- The EU West Africa project provided two case studies on best practice to GWP toolbox; it also provided the participation countries with methodologies for elaborating case studies and for assessing IWRM issue⁴².
- "...The CARP/CCCA project carried out a number of assessments in coordination with the VAAP/LDCF project to identify the specific sectors that are vulnerable to climate variability and change in certain project areas and to rate the risks posed to them"⁴³.
- TWAP is in the process of gathering data for 276 transboundary river basins⁴⁴.
- Chapter 4 in the GEO-5 report provides a synthesis of available information on the global status of water resources⁴⁵.
- For the Floods and Drought project, it is planned that the three project basins and the Danube Basin share experiences and learn from each other⁴⁶.

Table 4.8 Criteria: Effectiveness and attainment of objectives – question 8	
Question	Q8) Has UDC gained increased recognition as a centre of excellence?
Indicator/criteria	Outcome #4.4 Increase in leveraged resources
Findings	
<ul style="list-style-type: none"> • Leveraged resources have not significantly increased but historical levels have been maintained (see Annex 5.2). • Measured by reputation through information gained by interview, it can be stated that several sector experts from a range of institutions have a high opinion of UDC – although there is often not a clear distinction in their mind between UDC and DHI. It is not possible to measure/detect an increase in the centre's recognition since Phase 4 commenced. 	

Table 4.9 Criteria: Effectiveness and attainment of objectives – question 9	
Question	Q9) Are countries making use of capacity, tools, assessments and information?
Indicator/criteria	<ul style="list-style-type: none"> • Downloads and webpage stats • Comments and response by “users” • Application of tools
Findings	
<ul style="list-style-type: none"> • The use and uptake of the products provided and capacities developed are difficult to assess because many of the flagship projects are not yet mature enough to be examined, and because UDC and UNEP do not have a formally post-project monitoring routine. UDC website statistics cannot provide a comprehensive picture of the downloads of products, since UDC products are also disseminated through partner websites (e.g. GWP, Cap-Net, UNEP), which are probably more widely used access points. • AMCOW reports that it has used the Status Report on IWRM in Africa for communication at Rio+20 and other global events, and the report has also been used to inform African ministers⁴⁷. • The evaluation of the EU West Africa project found that all seven countries now have firm structures in place for cross-sectoral coordination and WRM with inter-ministerial/cross-sectoral IWRM committees. The three countries with IWRM plans also have firm structures for WRM and are on course with the adoption of IWRM management instruments. However, the evaluation also found that <i>“To attain impact on water</i> 	

⁴⁰ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

⁴¹ Source: interviews with partners

⁴² Source: interviews with DHI staff

⁴³ Source: “Vulnerability Assessment and Adaptation Program for Climate Change within the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems”, Mid-Term Review, Final Report, May 2014

⁴⁴ Source: interviews with partners, available documents on TWAP (see Annex 4 for the full bibliography)

⁴⁵ Source: GEO-5 report

⁴⁶ Source: interviews with DHI staff

⁴⁷ Source: Interview with AMCOW staff

resources and ecosystems, a clearer upscaling strategy is required, especially for accessing IWRM financing for water infrastructure, etc.”⁴⁸ In Liberia, the IWRM plan is reported to have led to a new water policy and a water law⁴⁹.

- The CARP/CCCA workshops, demonstration activities, and template for climate change screening are anticipated to provide a basis for the inclusion of climate change considerations in the planning process for sub-national development plans. The model of Climate Resilient Integrated Farming is integrated in Commune Development and Commune Investment Plan and included in the Climate Change Action Plan for Agriculture, Forestry and Fisheries 2014-2018.⁵⁰
- The Green infrastructure guide was only recently published, but ICLEI (Local Governments for Sustainability) is showing a strong interest in it⁵¹. UNEP sees the publication as a means to start a discussion on this new topic, which they anticipate will lead to demand and new projects⁵².
- The Climate Change and Water Stress in the Nile Basin project, and the Volta Basin component of the Floods and Droughts project both aim at enhancing existing management support systems (developed by DHI), so their outputs are likely to be utilised in the future⁵³.
- The TWAP and Floods and Droughts projects are both aiming at informing the GEF and future GEF projects. UNEP can potentially use TWAP to monitor the risk category for basins over a longer period, but the potential for use by national and regional water stakeholders is unclear⁵⁴.
- The UN-Water global Status Report on IWRM provided eight recommendations to strengthen water management, including financing, monitoring, capacity building, including IWRM in development paradigms. UN-Water is undertaking work, which responds to a number of these recommendations including the establishment of a monitoring system, but there is so far limited evidence of the recommendations being translated into tangible implementation and financing of IWRM, although the anticipated establishment of a water SDG would create the enabling environment for future IWRM implementation and financing⁵⁵
- UDC tends to work in a project mode, where the Centre responds to opportunities, and the post-project follow-up and implementation of measures to ensure the uptake of products developed appears limited. For example, the IWRM 2005 project supported the development of IWRM plans and roadmaps in 19 countries, but no follow-up interventions were put in place to ensure that the plans were implemented and the roadmaps were used; with the exception of Liberia and Côte d’Ivoire, which were subsequently supported under the EU West Africa project to move from IWRM roadmaps to IWRM plans. Nonetheless, in the cases of collaboration with NBI and the Volta Basin Authority, UDC is tapping into their more long-standing relationship with DHI, so in these cases follow-up on the use and further development of UDC products appears likely to happen.

49 Summary: UDC in collaboration with its partners has enhanced capacity for water resources management through training and involving regional/national and local stakeholders in implementation. However, project durations may in some cases be too brief to ensure that the capacity built is consolidated. Effective achievement of outcomes would probably require more long-term involvement with key partners. (See Table 4.5).

50 UDC has helped a number of countries in developing IWRM plans and roadmaps, to enable/facilitate the implementation of IWRM (see Table 4.5). Moreover, UDC actions have also introduced new tools, e.g. to local governments in Cambodia and to the NBI, which can help them in effectively implementing their mandates (see Table 4.6). UDC has also been successful at increasing the information and knowledge base at global, regional, basin and national levels, e.g. through its involvement in assessments (e.g. on climate change and water stress in the Nile Basin) and by making knowledge more easily assessable (e.g. through the Green Infrastructure Guide, UN-Water Status

⁴⁸ Source: Terminal Evaluation of the UNEP/DHI Project, Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, July 2012

⁴⁹ Source: Interview with UDC staff

⁵⁰ Source: 10th Quarterly Progress Report, Coastal Adaptation and Resilience Planning (CARP) Component, Reporting Period: 01-01-2014 – 31-03-2014

⁵¹ Source: interview with UDC staff

⁵² Source: interview with UNEP staff

⁵³ Source: interviews with UDC and DHI staff

⁵⁴ Source: interview with UNEP staff

⁵⁵ Source: interviews and communication with UDC staff and water sector experts

Reports at both global and Africa levels, GEO-5). (See Table 4.7). **Rating of the achievement of direct outcomes: satisfactory.**

Table 4.10 Criteria: Effectiveness and attainment of objectives – question 10	
Question	Q10) Is UDC likely to achieve impact?
Indicator/criteria	<ul style="list-style-type: none"> • Validity of log frames • Progress in attaining outcomes • Observed changes in immediate state and impact from TOC • Monitoring done and actions taken to mitigate invalid assumptions and avoid or reduce external barriers • Securing partnerships that can ensure full range of support to IWRM (political, financial, institutional)
Findings	
<u>Likelihood of achieving impact (simplified RoTI analysis):</u>	
<ul style="list-style-type: none"> • Verification of the log frames in comparison to reconstructed Theory of Change: Overall, the log frames are found to be appropriate, although the focus is mainly on technical aspects, and less so on policy and institutional and financial capacity or the potential need for complementary interventions to achieve impact and sustainability (see Annex 6 and Annex 10 for the detailed log frame analysis). • Progress in attaining outcomes: the intended outcomes have largely been achieved or are anticipated to be achieved (see Chapter 4.2). • Change in the immediate state and impact: The impact identified in the reconstructed TOC corresponds to the goal for Phase 4, focusing on environmentally sustainability. The intermediary state is similar to the goal of Phase 3, focusing on the use of IWRM (and EBM) approaches for WRM (See Annex 9 and 10). The goals for both phases are closely related and focus on UDC contributing to strengthening WRM and making it more sustainable, although the level is not entirely the same. Hence, the likelihood of achieving impact and the intermediary state in the case of UDC are fully correlated with the extent to which UDC is achieving its intended goals, which is described in the below bullet on achievement of goals. • <u>Assumptions:</u> <ul style="list-style-type: none"> ○ The Phase 3 prodoc and log frame identified assumptions but not risks⁵⁶. ○ The Phase 4 prodoc identified three risks, but not assumptions⁵⁷. ○ The assumptions identified for Phase 3 were either valid or partly so, hence the need to engage in mitigating actions were limited. Moreover, by nature some of the activities implemented under UDC projects addressed some of the assumptions, which had not fully materialised, such as awareness raising and capacity development activities to address gaps in commitment and capacity, or active participation in UN-Water activities, thereby contributing to enhancing inter-agency collaboration within the UN family. (See Annex 11 for a detailed overview of the validity of assumptions and mitigating actions). While these mitigation actions may not always be sufficient to fully address the gaps, they do appear to reflect what UDC realistically can be expected to do – UDC as a centre cannot fully mitigate the gaps on its own. ○ The only major case in relation to assumptions, where there is a clear gap in the mitigation response, is in relation to addressing constraints hampering the implementation of IWRM strategies, plans, roadmaps and measures. The assumption that governments are able to implement IWRM strategies has not proven valid, and IWRM implementation remains a key challenge. UDC has in a number of countries and basin engaged in strengthening the planning processes and plans, but not in addressing the gaps that hamper their implementation. ○ The three risks identified for Phase 4 have partly materialised, but most of them have not posed a significant threat to UDC or the implementation of Phase 4. The only significant threat to UDC is changes in how support to water will be arranged in the future, which potentially can become a threat to the Centre’s access to core funding. The mitigating actions by UDC appear to be appropriate, within what one can realistically expect the Centre to do. An example of a potential external barrier that did materialize was the challenge of getting access to data for the Climate Change and Water Stress in the Nile Basin. Nile Basin Government agencies displayed a reluctance and even unwillingness to share data, which delayed the implementation, but UDC overcame the barrier with the help of UNEP, which entered into an MoU with NBI which rectified the situation. (See Annex 11 for a detailed overview of the status of the risks and mitigating actions). 	

⁵⁶ Source: Phase 3 prodoc, 2008

⁵⁷ Source: Phase 4 prodoc, 2012

- The status of assumptions and risks appears not to be covered by the monitoring system, and they are only to a very limited extent reflected in the available progress reports and Steering Committee minutes⁵⁸.
- Impact drivers:
 - UDC is very good at utilising partnerships, and works in a partnership mode in virtually all its projects. With only four core staff members, UDC's modus operandi is to implement through partnerships, where a) UDC mobilises expertise from its network, (especially from DHI), and b) different partners are responsible for different components/aspects of a given project according to their respective strengths, where UDC often assumes a coordinating or facilitating role. Partnerships are made with a range of organisations, such as national and regional water management institutions (e.g. NBI, Volta Basin Authority, local/regional authorities in Cambodia) scientific and normative partners (e.g. UNEP, universities), technical partners (e.g. DHI, IUCN, UK Met Office), capacity building partners (e.g. UNDP Cap-Net), policy-oriented partners (e.g. GWP, AMCOW), and financial partners (e.g. Danida UNEP, EU African Water Facility).
 - The Floods and Drought project is a good example of how partnerships are used: GEF provides project funding, DHI provides technical expertise and develops tools implements the project, and UDC has a coordinating/intermediary role and facilitates communication between UNEP and DHI. In TWAP, UDC coordinates the transboundary river basin component with inputs from eight partners. In Cambodia, complementarity/synergies are achieved with the parallel EU funded "*Vulnerability Assessment and Adaptation Program for Climate Change within the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems*" project. With the use of a partnership modality, UDC enhances its outreach as each partner brings in its comparative strengths (e.g. using Cap-Net and others for outreach/rolling out of Aqua Republica or other products).⁵⁹
 - Follow-up/continuity in projects to maximise impact is not always the case. Follow-up activities were only implemented in two of the 19 countries covered by the IWRM2005 project⁶⁰ (see table 4.9), and no plans/arrangements were made for supporting/facilitating the next step, to ensure that the plans/roadmaps developed are implemented. While it is acknowledged that UDC is not a full-scale implementing agency, arrangements with partner institutions could potentially have ensured/facilitated continuity. The implementation status on the plans and roadmaps developed is unknown to UDC, but considering the capacity constraints and global challenge in implementing IWRM, it cannot be assumed that the countries implement the plans without further support.⁶¹

51 Summary: due to the lack of post-project monitoring, it is not always possible to get a clear view of the extent to which the capacity built, the tools provided and the plans developed are put into effective use by the stakeholders/beneficiaries, or the extent to which the use by stakeholders of skills and tools has resulted in improved management of water resources. In the period prior to this evaluation, UDC supported 19 countries in IWRM, e.g. with plans/roadmaps under the IWRM2005 projects, but no provisions were made for continued partnership (e.g. follow-up projects or with UDC or its partners) with the involved countries to help ensuring that roadmaps were translated into plans, and plans into implementation⁶². There is a risk that a number of such plans are never implemented. Nonetheless, two countries (Côte d'Ivoire, Liberia) were subsequently supported under the EU West Africa project. In cases where DHI has continued its relationship with the beneficiaries/partners, e.g. the NBI or the Volta Basin Authorities, there is evidence that the tools and skills provided have been put into use subsequently. There is a high likelihood that the skills and tools provided by current UDC projects with these partners would be absorbed and put into use. In Liberia, the IWRM plan is reported to have led to a new water policy and a water law. (See Table 4.9). **Rating of the likelihood of achieving impact: moderately likely.**

⁵⁸ Source: progress report for 2010-2014, Steering Committee minutes for 2010-2011

⁵⁹ Source: interviews with UDC and DHI staff and partners

⁶⁰ The countries were covered by a global survey of IWRM implementation in preparation for RIO+20

⁶¹ Source: interviews with UDC staff and key water sector experts, available project documentation (see Annex 4 for the full bibliography) – note some of the countries were noted in the final reports as being weak and vulnerable in terms of sustainability of the IWRM approach.

⁶² The countries were covered by a global survey of IWRM implementation in preparation for RIO+20

Table 4.11 Criteria: Effectiveness and attainment of objectives – question 11	
Question	Q11) Have the goal and objectives for Phase 3 been achieved and are they likely to be achieved for Phase 4?
Indicator/criteria	<ul style="list-style-type: none"> • Results achieved vis-à-vis goal and objective indicators for Phase 3 • Progress against and objective indicators for Phase 4
Findings	
<ul style="list-style-type: none"> • In short, UDC has contributed to the goals of both phases indirectly, with capacity development, assessments and tools for planning. Considering the significant stress on water resources, it is unlikely that UDC can make a substantial global contribution to tangible improvements in the sustainability of WRM and widespread implementation of IWRM/EBM, although by working at a policy level and in partnership with others its contribution can potentially be catalytic. See Annex 9 for the detailed assessment. • The objectives related to improving water management and enhancing the capacity to use integrated and sustainable approaches. In Phase 3, plans and roadmaps were developed, but their subsequent implementation was not ensured (and the status is unclear), so the objective was partly achieved. In Phase 4, the intended objective of increasing capacity is likely to be achieved in the countries and basins being directly supported by UDC. • The Phase 4 objective of making improved tools available is likely to be met in the countries and basins supported by UDC. • The objectives related to providing knowledge, e.g. through assessments, were achieved in Phase 3 and likely to be achieved in Phase 4. • The Phase 4 objective of increased recognition of UDC is unlikely to be achieved (see table 4.8). • The Phase 3 objective of improving cooperation in the water sector was achieved for UDCs partnerships and projects, but not at a broader, global scale. • Annex 9 provides the detailed assessment of the status of the objectives. 	

52 Summary: UDC has indirectly contributed to its goals of strengthening WRM and making it more sustainable with capacity development, assessments and tools for planning. Considering the significant stress on water resources globally, UDC acting alone cannot make a substantial global contribution to ensuring the intended impact of sustainable WRM is achieved, although its contribution can potentially be catalytic in partnership with others. The Phase 3 objective of achieving environmental sustainability in basins, coastal and marine water, was overambitious and difficult for UDC to achieve, when UDC's mandate is not to engage directly in implementation or policy formulation, but rather to provide access to knowledge and tools. The other objectives (related to capacity, assessments, knowledge, tools) are more realistic and UDC has achieved them (Phase 3) or is likely to achieve them (Phase 4), at least in relation to the direct partners and stakeholders in UDC projects. The Phase 3 objective of achieving improved cooperation in the water sector has been achieved in relation to UDC's own partnerships and projects, but not at a broader, global scale. The objective of increased recognition of UDC is an odd one, as it does not concern results in relation to water resources, but UDC's performance. **Rating of the achievement of goals and objectives: satisfactory.**

53 **Overall rating of effectiveness: satisfactory.**

4.4 Sustainability, replication and upscaling

54 Sustainability, upscaling and replication – The TORs present a comprehensive outline of sustainability issues divided into issues of: socio-political; financial resources; institutional framework and environmental sustainability. The first three are particularly important for the work of the Centre and critical for uptake, sustainability and scaling up of IWRM and EBM. Much of the otherwise excellent technical work could potentially be lost if these aspects are not in place. The sustainability and upscaling of IWRM and Ecosystems Based Management (EBM) as processes is closely linked to the success in catalysing change.

55 Environmental sustainability is the core of the entire project. No evidence was found that actions have inadvertently led to environment damage. The extent to which the project has optimised the opportunities for environmental benefits was at the core of the above assessment of effectiveness.

Table 4.12 Criteria: Sustainability, upscaling and replication – question 12

Question	Q12) Have the impact drivers been made use of to ensure/promote sustainability?
Indicator/criteria	<ul style="list-style-type: none"> • Contextual understanding and where possible contributing to developing a conducive incentive environment that catalyses change • Evidence of sustainability across the dimensions of socio-political; financial resources; institutional framework and environmental sustainability • Evidence of spontaneous scaling up or replication based on or inspired by interventions by the project

Findings

- UDC staff demonstrate a comprehensive understanding of the water sector and emerging issues, such as the challenges with translating IWRM policies into actual implementation and the new water-energy-food nexus concept. Evidence of involvement in emerging issues and opportunities include the participation in UN-Water and the development of a proposed water SDG, the Green Infrastructure Manual, and the focus on climate change adaptation and resilience in the water sector in a number of UDC projects.
- Follow-up/continuity in projects to ensure sustainability of the results is not always the case. Refer to Table 4.10 for an assessment of actions to ensure follow-up and continuity.
- When it comes to the sustainability of UDC’s projects and spontaneous uptake and replication, the picture is not entirely clear, as several of the projects are still in early stages, under implementation, or recently completed.

Four dimensions of sustainability:

- Financial sustainability:
 - With only one donor providing core funding, the continuation of UDC beyond Phase 4 is uncertain and potentially at risk. Hence, changes in how support to water is arranged in the future can potentially become a threat to the Centre’s access to core funding. UNEP commitment is uncertain, but it is noted that no UNEP core funds are directed to UDC, the main reason given for this is financial constraints but this also seems to relate to how UNEP chooses to prioritise its resources. Nonetheless, UNEP has so far channelled significant project funding to UDC, as evidenced by the projects with GEF funding. DHI commitment appears good, with in-kind staff contributions, and DHI Senior Management finds that UDC contributes to achieving the overall mission/quest of DHI, but the commitment is also linked to the extent to which UDC can enhance the profile of DHI and contribute to generating projects and paid work for DHI staff.⁶³
 - Evidence was not found of relevant agencies setting aside funds for sustaining activities after the projects, although in some cases it could be implicitly done as part of normal budget routines (rather than requiring an explicit setting aside of funds).
- Socio-political sustainability: UDC’s support to decision support systems, work on SDGs and assessments are anticipated to inform policy, but it is beyond the current reach of UDC to ensure they are put into use and influence policy-making as intended. Considering the global reach of UDC with numerous stakeholders in different countries, it is impossible to make a generalised statement of the political factors influencing sustainability. The ownership of primary project stakeholders is generally in place (see Table 4.17). More analysis is needed at project entry on assessing the prospects for sustainability, especially on the political economy.
- Institutional framework: Projects with a focus on complex decisions-support systems and related capacity building build on existing systems that are already in place, enhancing the likelihood of continued use. UDC works with partners on institutional aspects during the project periods, but post project institutional support is weak, due to constraints related to project design, duration of interventions, and funding (see Table 4.5). Considering the global reach of UDC with numerous stakeholders in different countries, it is impossible to make a generalised statement of the conduciveness of the institutional framework affecting UDC projects. UDC appears solidly anchored in DHI’s institutional framework as it a) supports DHI’s quest to solve challenges in water environments and b) supports DHI’s commitment to advancing water knowledge and making it globally available⁶⁴.
- Environmental sustainability: Environmental sustainability is at the centre of UDC actions, and no negative effects on environmental sustainability are expected, since UDC invests in management systems, capacity

⁶³ Source: interviews with UDC, DHI, Danida, and UNEP staff

⁶⁴ Source: interviews with DHI Senior Management

and tools and not in hard water management infrastructure. The positive environmental sustainability is linked to the extent to which UDC products and results are used as intended by stakeholders.

Upscaling and replication:

- The catalytic role of UDC is a) that it brings together and coordinates inputs from partners, and b) it contributes to enhancing awareness, e.g. through its central role in the UN-Water and AMCOW Assessment Reports.
- There could be a potential to further upscale the knowledge, tools and results of UDC by influencing or collaborating with other donors with a strong involvement in the water sector (e.g. DGIS, Sida, the World Bank) and the projects/programmes they finance.
- For some projects, sustainability and replication appears likely, such as the NBI project, where the assessment and methodology can be replicated/repeated by the NBI (although there are opinions that the method is not suitable for practical use and a simpler approach would be better) and informs the NBI priority area of climate change. The final evaluation finds that the institutional sustainability of the project is likely.⁶⁵
- Cap-Net uses materials developed in collaboration with UDC. UDC additions to the GWP toolbox are also carried forward by GWP. Some of the more recent ongoing projects, e.g. the Floods and Droughts project, also have prospects for replication and upscaling, where the modelling tools to be developed can also be applied by other basins.
- A notable example of likely uptake/replication is the Danube Basin Authority, which is keen to learn from the Floods and Droughts project, and has put in own funding to be engaged in learning from the project⁶⁶.
- The Flood and Droughts project is also anticipated to become part of the GEF methodology for future projects⁶⁷.
- AMCOW collects updated info on the indicators provided in the Status Report on IWRM in Africa in order to inform ministers in member countries. AMCOW will release a new report in 2015.⁶⁸
- ICLEI is showing a strong interest in the Green infrastructure guide, and intends to use it as the backbone in a workshop⁶⁹.

56 Summary: UDC demonstrates a good contextual understanding and an ability to respond to highly relevant emerging themes and opportunities, such as engaging in the ongoing SDG process and in green infrastructure, which enhance the prospects of sustainability. The sustainability of UDC's projects and spontaneous uptake and replication is not entirely clear, as several of the projects are still in early stages, under implementation or recently completed. Nonetheless, there are examples of projects, where sustainability and replication appears likely.

57 While UDC projects are financed from different sources (GEF being a notable one), the only donor providing core funding is Danida, so there is a vulnerability here in that UDC's continued existence entirely depends on continued Danida support. The likelihood of funding for post-project continuation by beneficiaries is uncertain. **Rating of financial sustainability: moderately likely.**

58 UDC's support to decision support systems, work on SDGs and assessments are anticipated to inform policy, but it is beyond the current reach of UDC to ensure they are put into use and influence policy-making as intended. More analysis is needed at project entry on assessing the prospects for sustainability. **Rating of socio-political sustainability: moderately likely.**

59 Projects with a focus on complex decisions-support systems and related capacity building build on existing systems that are already in place, enhancing the likelihood of continued use. UDC works with partners on institutional aspects during the project periods, but post project institutional support is weak, due to constraints related to project design, duration of interventions, and funding. **Rating of institutional framework: moderately likely.**

⁶⁵ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

⁶⁶ Source: interview with UDC staff

⁶⁷ Source: interview with UDC and DHI staff

⁶⁸ Source: interview with AMCOW staff

⁶⁹ Source: interview with UDC staff

60 Environmental sustainability is at the centre of UDC actions, and no negative effect in environmental sustainability is expected, since UDC invests in management systems, capacity and tools and not in hard water management infrastructure. The positive environmental sustainability is linked to the extent to which UDC products and results are used as intended by stakeholders. **Rating of environmental sustainability: likely.**

61 **Rating of overall sustainability: moderately likely.**

62 The catalytic role of UDC is that it brings together and coordinates inputs from partners and contributes to enhancing awareness. Some partners (e.g. Cap-Net) continue using materials developed in collaboration with UDC, so the partnership modality utilised also enhance the likelihood of sustainability and upscaling/replication. Some of the more recent ongoing projects, e.g. the Floods and Droughts project also have prospects for replication and upscaling, where the modelling tools to be developed can also be applied by other basins – the Danube Basin Authority is showing strong interest in learning from the project and intends to invest its own resources in this. **Rating of catalytic role and replication: satisfactory.**

4.5 Efficiency

63 Efficiency is examined through 3 factors: unit rates, productivity and use of adequate controls.

64 Unit rates – The main cost elements behind the unit costs are staff time and travel related expenses. The project document states or implies that all cost levels (staff remuneration and travel/ expenses) are determined by either UNEP human resource systems or DHI human resource systems. For travel related and other costs, DHI procurement, travel and subsistence rules and regulations are used for UDC, DHI and external staff and UNEP rules are used for the Director. For staff costs, a discount is offered against breakeven rates for DHI involvement. The level of contribution by DHI is set by this discount and is negotiated and the contribution has increased over the years. It can be concluded that the rates used are thus within or below market tested DHI level “norms” in place for similar operations. It is a UNEP perception that they can find similar level of inputs at lower costs from the International Water Management Institute based in Sri Lanka⁷⁰ although this is unlikely to include sophisticated modelling expertise- at least to the same degree. The relatively high unit costs are also stated as a reason why UDC is not used for as many GEF and other projects.

65 Productivity - The main efficiency factor for UDC is productivity. That is, how much time is allowed to undertake a given task and is that time reasonable or could it have been done quicker? The project document, understandably, does not go into a level of detail where it is possible to determine productivity. This needs to be done on a sub-project by sub-project basis. The Director of the Centre is responsible for ensuring a high productivity.

66 Controls – The controls include financial controls such as time sheet registration. Equally importantly good management, clear delegation and the use of streamlined procedures also influence efficiency.

Table 4.13 Criteria: efficiency – question 13	
Question	Q13) Is staff productivity high compared to similar initiatives; are there internal controls in place?
Indicator/ criteria	<ul style="list-style-type: none"> • Time taken to complete well defined assignments (against professional judgment of the evaluators) • Evidence of internal budget discipline (e.g. time sheet) prioritization
Findings	

⁷⁰ One could argue that they receive higher subsidies than UDC

- The unit costs for the type of resources that are related to DHI's core competence are at or below market tested rates. This, however, does not mean that for some of the tasks required it would not be possible for UNEP to find lower rates for similar quality.
- Productivity is judged as high. The staff involved in the Centre and the consultants employed on the flagship products sampled were mostly all highly seasoned professionals who are highly productive in terms of time and quality of inputs. This was borne out when individual assignments were sampled and the level of effort compared to the output. An example is the UN-Water report on status of application of integrated approaches to water resources management (2012). The country surveys were done at a relatively low cost at under €10,000 per country in most cases⁷¹ and the time used for consultants for drafting different chapters was also found to be efficient in comparison to the volume and quality of output.
- UDC operates with a small number of core staff supported by a broader group of DHI staff as well as consultants on a needs basis. This means that they can be directed and used for highly specific tasks and there is little or no down time. It also means that UDC is able to mobilise a broad and specialist skill range and has no reason to use people for tasks that they are not suited for. It also gives flexibility in that the UDC capabilities are not necessarily limited to or defined by the skill set of the core staff.
- Controls are judged as highly satisfactory. The new DHI time sheet registration system allows a very close supervision and control over inputs. Detailed budgets are made for each assignment and use of time is compared monthly to ensure cost overruns are avoided. The annual work plan is accompanied by an activity description sheet for each activity. The activity description sheet: identifies the task manager; describes the work to be done including the results and indicators to be achieved; allocates specific inputs for specific people as well as identifying reimbursable costs and external inputs. The activity sheet is dated and revised when needed. The time sheet registration and activity description sheet help to ensure a clear delegation and control of resources.⁷² The main danger is not to fall into the trap of over-administration – however the UDC management is fully aware of this.
- As the Director is employed by UNEP, there is a separation of employment contract and presumably interests between the Director and the host organization and provider of most of the inputs (DHI). This is a prudent check and balance – and from the evidence assembled during the evaluation it also works in practice⁷³. The result is that it can be concluded that UDC only engages DHI staff when needed.
- For Phase 4, UNEP charges Danida an 8% programme support cost for holding and transferring funds from Danida to UDC and taking responsibility for the presentation of accounts (in earlier phases UNEP's service was provided pro-bono). This service has been carried out to the satisfaction of all and UNEP reports that UDC accounting is in order and there are no current issues (in the past there has been an issue in how to finalise and account for bridging periods). UNEP acknowledges that the charge of 8% is probably considerably more than what would be charged by commercially available companies (such as the large audit companies) for providing similar services. However, if this approach of outsourcing financial management of earmarked projects were to be applied widespread it would hollow out UNEP's capacity to run a coherent service overall. In effect the 8% could also be thought of as a contribution to financing an essential function within UNEP.

67 Summary: UDC is efficient in terms of unit cost levels, productivity, and the presence of adequate controls. The unit costs for DHI staff are provided at a level that is under market tested rates. However, where UNEP draws on DHI staff in areas that are not at the core of DHI's main skills or do not employ or make use of the full professional range of skills (including for example professional liability for modelling results) then it is likely, as UNEP has found, that similar levels of input can be found cheaper elsewhere although there would not be the same effect in terms of a build-up of a centre of excellence. UDC draws on specialist inputs rather than employing a large core staff. Given the range of tasks done, the flexibility needed to react to changing demand and the technical role of UDC, this approach is judged as highly appropriate. It ensures that although hourly rates might seem high, the overall efficiency is good. **Rating: satisfactory.**

⁷¹ Source: communication with GWP staff

⁷² Source: printouts and analysis of the time sheet registration system and activity description sheets by the evaluation team

⁷³ Source: interviews with Danida, UNEP and a number of independent experts attest to the independence of the Director from the host

4.6 Factors affecting performance

This section provides an analysis of eight key factors related to project design, implementation and management and their conduciveness for good project performance.

4.6.1 Preparation and readiness

Table 4.14 Criteria: Factors and processes – question 14	
Question	Q14) Were the project Phases 3 and 4 well designed and providing sufficient guidance for implementation?
Indicator/criteria	<ul style="list-style-type: none"> • Logical coherence and clarity of design • Stakeholders clearly identified in prodocs
Findings	
<ul style="list-style-type: none"> • The overall UDC project documents for Phase 3 and 4 do not identify the stakeholders. However, it is in the view of the evaluation team neither necessary nor feasible to provide a clear identification of stakeholders at the overall programme level, considering that the range of stakeholders varies significantly between the individual projects (ranging from local communities and authorities in Cambodia, over national governments, to international agencies).⁷⁴ • The project design reflects the fact that it describes a partnership rather than a specifically identified project. A number of concrete projects will be undertaken as part of the partnership and these will be guided by a strategic focus and will serve overall objectives and proposed outcomes. Outputs are also identified, but individual projects and the activities are not. Similarly, the budget is developed as a framework budget and is neither output nor activity based. Instead, reliance is put on the development of annual work plans to be agreed between the parties. The financial and in-kind contributions of the partners are clearly identified in the budget. This is appropriate. It makes the document short and straightforward, which is a major strength. • The project document was approved without using a theory of change approach. The simpler “Logical Framework Approach – LFA light” approach used has the advantage that it is short and clear. But, there is an opportunity missed to critically re-examine how the Centre contributes to sustainable management of water resources and ecosystems. Employing a theory of change approach would entail a review of the evidence chain behind the Centre’s interventions and the extent to which the planned interventions are creating the necessary change (or likely to). It would not have been untimely to re-visit critiques that have been made of the IWRM concept and its application, in order to confirm that the right measures and interventions were being considered. • The project document does not provide much detail on sustainability, replication and catalytic effects⁷⁵. Moreover, the M&E provisions are insufficient to a) capture impacts and outcomes achieved, and b) guide project implementation. There is a need given the understandably loose evidence of tangible improvements over the last 10 to 15 years of UDC operation, to document a chain of results, even if impact cannot be measured or attributed. (See Table 4.22). • As the Centre is in its 4th phase, the governance and supervision, management, execution and partnership arrangements are well known and described in detail in separate documents and are suitable for the purpose. The capacities of the two partners (UNEP and DHI) are thus also well known and adequately taken into account. • At the overall framework level of project design, the level of detail and structure regarding financial planning and budgeting are sufficient. • Annex 6 and Annex 14 provide a detailed assessment of the project design. • The individual UDC sub-projects generally appear well planned and demonstrate a readiness to a) engage in emerging themes and b) getting involved in emerging opportunities. However, there are opportunities to assess in more detail sustainability issues at project entry and exit. 	

68 Overall the project design has been at an adequate level of detail to provide the framework for the partnership in terms of specifying the intended outcomes, outputs, financial planning, budget, and partner contributions. As the Centre is in its 4th phase, the governance supervision, management, execution and partnership arrangements are well known and sufficiently described. The capacities of the two partners (UNEP and DHI) are also adequately taken into account. However, the prodocs could have provided more clarity on a) the extent to which the planned interventions contribute to achieving

⁷⁴ Source: interviews with partners, Phase 3 and 4 project documents, and available documentation for flagship projects

⁷⁵ For the Centre itself there is an implied assumption that donor funding will extend into a 5th phase and it is very difficult to see what non-donor sources could replace the scale of the core funding.

the intended change, and b) sustainability, replication and catalytic effects. The M&E provisions were also insufficient to capture impact and provide strategic guidance. The individual UDC sub-projects generally appear well planned. **Rating: moderately satisfactory.**

4.6.2 Project implementation and management

Table 4.15 Criteria: Factors and processes – question 15	
Question	Q15) How effective and efficient was project implementation and management and how able was it to adapt to changes during the life of the project??
Indicator/criteria	<ul style="list-style-type: none"> • Ability to adapt to change • Quality of communication and partnership
Findings	
<ul style="list-style-type: none"> • UDC is very effective at ensuring that its projects/components/activities are implemented to a good standard, at coordinating inputs from partners, and at communicating with its partners. An example of this is TWAP, where UDC is successfully leading one of five components and coordinating inputs from eight partners.⁷⁶ • UDC has a lean structure, and benefits from being hosted at DHI and thereby not being affected by complex administrative procedures to the same extent as most UN agencies. • UDC has shown adaptability and an ability to respond to emerging issues and opportunities (see Table 4.14). Nonetheless, one partner expressed that UDC could be more proactive in getting involved, and making themselves more visible in Africa, for example by proposing possible actions for collaboration to regional institutions rather than only responding to requests⁷⁷. • The combination of the lean structure of UDC, its ability to tap into both the technical expertise and management structure of DHI, as well as the political clout of UNEP enables UDC to rapidly respond to emerging opportunities. 	

69 Summary: UDC is widely appreciated by its partners for its ability to coordinate inputs from, and communicate with, a broad range of partners as well as ensuring the activities are implemented to a high standard and in a timely manner. Most partners indicate that UDC is very good at implementing in a timely and high quality manner, and good at coordinating partner inputs. The lean structure and ability to tap into the technical expertise of DHI and political clout of UNEP enables UDC to rapidly respond to emerging opportunities. **Rating: highly satisfactory.**

4.6.3 Stakeholders participation and public awareness

Table 4.16 Criteria: Factors and processes – question 16	
Question	Q16) To what extent have the roles of stakeholders been identified and their engagement secured?
Indicator/criteria	<ul style="list-style-type: none"> • Stakeholders identified in documents • Stakeholder participating in the project • Evidence of benefits arising from stakeholder engagement
Findings	
<ul style="list-style-type: none"> • At the project level, stakeholders are identified and actively engaged and/or consulted in project implementation, especially in projects that involve action on the ground (e.g. Cambodia), or introduction of tools/approaches and institutional capacity development (e.g. the Floods and Drought project, and EU West Africa project where the focus was on supporting national governments in preparing their IWRM plans or roadmaps), but also in assessment projects (e.g. the UN-Water and AMCOW status Reports where data was collected through questionnaires to national governments).⁷⁸ • The final evaluation of the climate change and water stress assessment in the Nile Basin found that technical experts from Nile Basin countries had been involved in assessment. <i>“In addition, involvement of technical personnel in the scientific assessments helped to build technical capacity in the countries. This was a ‘win-win’ situation, as capacity was strengthened and a strong sense of buy-in and ownership achieved among executives, while working collectively towards the project’s goals.”</i>⁷⁹ • Nonetheless, it still seems that a few projects could probably have involved stakeholders more. For example, 	

⁷⁶ Source: interviews with partners

⁷⁷ Source: interview with partner

⁷⁸ Source: interviews with partners and available documentation for flagship projects

⁷⁹ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

the involvement of stakeholders in the methodology development for TWAP was found limited by the 2010 terminal evaluation⁸⁰, although UDC reports that stakeholders were consulted later in the process during international events in 2013-14. Regional stakeholders, but not national stakeholders, are involved in the implementation of TWAP⁸¹.

- Stakeholders are still not represented in UDC’s governance structure, but considering that the range of stakeholders varies significantly between projects, such representation does not appear feasible or even necessary. UDC emphasises that UNEP can be viewed as representing stakeholders, since countries are members of UNEP and represented in UNEP’s overall governance structure.⁸²

70 Summary: Stakeholders are directly involved at the individual project level, but not in the overall governance of UDC. There are some examples where the involvement at project level could also have been more substantial. The primary stakeholders/counterparts in individual projects display project ownership⁸³, although the lack of direct contact with national stakeholders during the evaluation means that there is some uncertainty in this finding. **Rating: satisfactory.**

4.6.4 Country ownership and driven-ness

Table 4.17 Criteria: Factors and processes – question 17

Question	Q17) How well does the Centre stimulate country ownership in the initiatives it carries out?
Indicator/criteria	<ul style="list-style-type: none"> • Evidence that the project can be traced back to a request • The project has been later sustained e.g. budget set aside
Findings	<ul style="list-style-type: none"> • Some projects are based on requests from partners/stakeholders, e.g., CARP/CCCA was requested by the Ministry of Environment in Cambodia⁸⁴, and AMCOW requested the Status Reports on IWRM in Africa⁸⁵. • Others projects are initiated by UDC (e.g. the Green Infrastructure Guide), UNEP (e.g. ad-hoc requests, or involvement of UDCS in UNEP-GEF projects) or DHI (e.g. a DHI staff member proposed the Aqua Republica serious game, and DHI has a long-standing engagement with NBI).⁸⁶ • Concepts are also developed jointly with partners (e.g. Cap-Net trainings, and joint project documents for GEF funding).⁸⁷ • The primary stakeholders/counterparts in individual projects display project ownership, although the lack of direct contact with national stakeholders during the evaluation means that there is some uncertainty in this finding⁸⁸. • The Climate Change and Water Stress in the Nile Basin project activities stimulated regional/national ownership; <i>“In addition, involvement of technical personnel in the scientific assessments helped to build technical capacity in the countries. This was a ‘win-win’ situation, as capacity was strengthened and a strong sense of buy-in and ownership achieved among executants, while working collectively towards the project’s goals”</i>⁸⁹. • Decision support system programs (e.g. NBI under the climate change and water stress project, Volta Basin Authority under the Floods and Droughts Project) aim at strengthening organisational processes and performance/delivery and enhancing the existing systems already in use, indicating a likeliness that the partners will continue using the tools/methodologies provided beyond the project lifespan. • UDC does not have provisions to set budgets aside to ensure sustainability, nor are tangible plans made for post-project follow-up. The extent to which partners or project recipients have set aside budgets for sustaining the results is unknown. Nonetheless, in the case of Aqua Republica, UDC is exploring opportunities to develop a revenue model.⁹⁰

⁸⁰ Source: Terminal Evaluation of the UNEP GEF Medium-Sized Project Development of the Methodology and Arrangements for the GEF Transboundary Waters Assessment Programme (TWAP), April 2010

⁸¹ Source: interview with UNEP staff

⁸² Source: interviews with UDC staff and available documentation for flagship projects

⁸³ Source: multiple interviews with implementing partners/project recipients

⁸⁴ Source: interviews with DHI staff

⁸⁵ Source: interview with AMCOW staff

⁸⁶ Source: interviews with UDC and DHI staff

⁸⁷ Source: interviews with UDC staff and partners

⁸⁸ Source: interviews with regional level partners

⁸⁹ Source: Terminal Evaluation of the UNEP Project, Adapting to Climate Change Induced Water Stress in the Nile River Basin, Draft One, April 2014

⁹⁰ Source: interviews with UDC staff

71 Projects usually take departure either in requests from stakeholders (e.g. the Ministry of Environment in Cambodia, or the GEF) or in concepts jointly developed with partners. Implementing partners show a strong degree of ownership, at least at the global and regional levels. **Rating: satisfactory.**

4.6.5 Collaboration and Partnerships

Table 4.18 Criteria: Factors and processes – question 18	
Question	Q18) Has the Centre made full use of opportunities for collaboration with other DHI and UNEP projects and programmes?
Indicator/criteria	<ul style="list-style-type: none"> Evidence of complementarities having been sought, synergies optimized and duplications avoided? Presence of joint activities and pooling of resources with other organizations and networks
Findings	
<ul style="list-style-type: none"> UDC has limited staff and makes extensive use of DHI experts. In the CARP/CCCA project in Cambodia, DHI contacts and experiences at the country level were a central entry point⁹¹. The close connection to DHI is a key element of UDC’s success and reputation as a credible actor; several partners express that DHI is well known for its high level of expertise in water resource management and that the access to DHI expertise is a core strength of UDC.⁹² UDC taps well into the institutional and political credibility/clout of UNEP and the access it gives to UN-led international policy processes. The affiliation with UNEP enables UDC to engage in UN-Water activities on the SDGs and the IWRM Status Report. Partners express that the UNEP/UN/UN-Water affiliation of UDC adds further legitimacy to their products, e.g. compared to products produced by consulting firms⁹³. Moreover, the UNEP connection also enables UDC to engage in UNEP-GEF projects, such as TWAP, the Floods and Droughts project, and CARP/CCCA; indeed, UNEP-GEF is together with Danida the most important source of funding for UDC activities. UDC’s link to UNEP is mainly through DEPI (Division of Environmental Policy Implementation). Moreover, UDC collaborates with DEWA (Division of Early Warning and Assessment) on TWAP. Links to other UNEP Divisions are less strong, although, UDC has reportedly worked with DELC (Division of Environmental Law & Conventions) on governance issues and DTIE on water resource efficiency.⁹⁴ The 2010 MTR found no evidence that UDC was involved in UNEP regional activities in Africa⁹⁵; the collaboration with UNEP’s Regional Offices appears to remain limited, although the UN CC-DARE policy brief on CC impacts on IWRM in Africa was carried out in collaboration with ROA, and the scope for engagement with these may be limited, until they are equipped with staff for water and ecosystem programming⁹⁶. Some UNEP staff had only limited awareness about UDC and their role⁹⁷. UDC does not always appear to benefit from UNEP’s in-house technical expertise in UDC projects to the full potential, although UNEP staff are involved in reviewing and providing guidance or inputs for UDC products. For example, the evaluation of the EU West Africa project found that UNEP HQ provided less than 50% of the time committed as in-kind co-financing from UNEP in the Project Document⁹⁸. Even though the Centre’s work is well aligned with UNEP’s Programmes of Work (as discussed under relevance – paragraph 44) it seems that stakeholders tend to see UDC as part of DHI rather than UNEP. UDC is closely related to DHI to an extent where some partners, especially at the regional level, appear unable to make a clear distinction between UDC and DHI, and a number of interviewees referred to UDC as DHI. On the other hand, some partners at the global policy level, e.g. UN and Danish ministerial staff, seem to perceive the Centre more as a UNEP entity. Nonetheless, the link to UNEP appears less strong than to 	

⁹¹ Source: “Vulnerability Assessment and Adaptation Program for Climate Change within the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems”, Mid-Term Review, Final Report, May 2014

⁹² Source: interviews with partners

⁹³ Source: interviews with partners

⁹⁴ Source: interviews with UNEP and UDC staff and stakeholders

⁹⁵ Source: Mid Term Review of the 3rd Phase of the UNEP-DHI Centre for Water and Environment, Draft Final Review Report, 3 December 2010

⁹⁶ Source: interviews with UNEP and UDC staff

⁹⁷ One UNEP staff said that “The whole collaborating centre idea is not clear – there needs to be more strategy work and sorting out of what they do and how we engage with them. Some are consultants, others are real partners who contribute with resources”

⁹⁸ Source: interviews with partners, Terminal Evaluation of the UNEP/DHI Project, Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, July 2012

DHI. The stakeholder view of UDC being DHI rather than UNEP seems to entail a potential threat to the clout of the Centre – a more clear image as being part of UNEP/the UN family, rather than part of an entity that, among other things, provides paid consulting services, could seemingly enhance its clout as a neutral organisation in which all countries have a buy-in.⁹⁹

- One partner experienced that the internal communication between UDC and DHI could sometimes be better, so they were more aware of, and coordinated better, the involvement of each other in various events/processes. Other stakeholders expressed similar experiences in relation to UNEP, and while the UDC Director visits the UNEP HQ four times annually, a number of UNEP staff still indicate that more frequent and/or longer visits from the UDC Director would be useful.¹⁰⁰

72 Summary: UDC is widely appreciated by its partners for its ability to coordinate inputs from, and communicate with, a broad range of partners as well as ensuring the activities are implemented to a high standard and in a timely manner. (See Table 4.15 and 4.18.). UDC makes good use of the institutional and political credibility of UNEP and the access it gives to UN-led international policy processes. For example, UDC’s effectiveness in working with UN-Water on the SDGs and the IWRM Status Report is due to its affiliation with UNEP – without the UNEP affiliation UDC would not have the privileged entry point and credibility that it has in this process. Moreover the UNEP connection also enables UDC to engage in a number of UNEP-GEF projects. However, UDC does not seem to tap into in-house UNEP expertise to a significant degree. **Rating: highly satisfactory.**

4.6.6 Financial planning and management

Table 4.19 Criteria: Factors and processes – question 19

Question	Q19) Has the financial management and administration of the Centre been adequate?
Indicator/criteria	<ul style="list-style-type: none"> • Audit statements are satisfactory • Procurement systems are satisfactory • Standard of reporting
Findings	
<ul style="list-style-type: none"> • At the overall framework level of project design, the level of detail and structure of project costs and financing are sufficient. • The annual work plan and budget is the key financial control instrument. The work plan and budgets for consecutive years are sufficiently detailed and are kept within the overall budget of the project. • Audit statements are prepared by PWC and are satisfactory without qualification as was the finding during the last review in 2010. • The financial manager in DEPI in UNEP states that the financial administration is of a high standard and no problems other than difficulties around the bridging period have been encountered. • As outlined under efficiency (Table 4.13) the systems of time sheeting, cost control and procurement are found to be state of the art as is the standard of financial reporting. • An overview of the priorities of the UDC work plans for 2013 and 2014 are shown in figures 4.2 to 4.5 below. Figure 4.2 indicates a relatively even distribution of effort across the four outcome areas and associated outputs and also a consistency between the years of 2013 (total 52 work days) and 2014 (total 42 work days). Figure 4.3 indicates that for 2013 the planned and actual realised inputs were very similar. Figure 4.4 also indicates that the input provided against each outcome areas is more or less equal, i.e. 25% each. The distribution of inputs and budget indicates that there has been a demand across all the main outcome and output areas, and that they are considered relevant from the viewpoint of UNEP, who approves the work plans, and Danida, who has the opportunity to comment. • Figure 4.4 and 4.5 show the distribution of effort across the five different focus areas. These figures show a consistency between 2013 and 2014. Policy related work takes relatively little inputs, whereas the level of effort across the other areas is very similar. • Overall, the analysis of where staff time is used shows that a high level of financial administration and control and an adherence to plans. 	

⁹⁹ Source: interviews with partners

¹⁰⁰ Source: interviews with partners

Figure 4.2 Budget assigned to outcomes/outputs

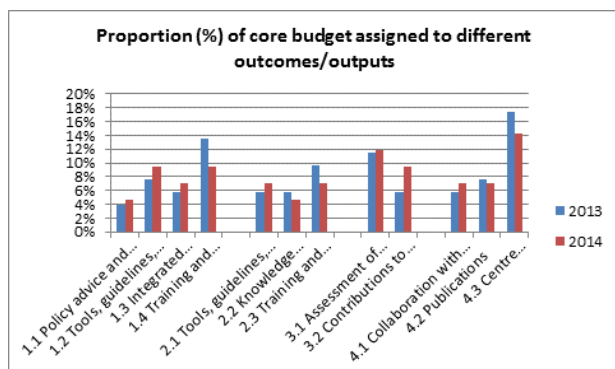


Figure 4.3 Comparison of planned and actual inputs

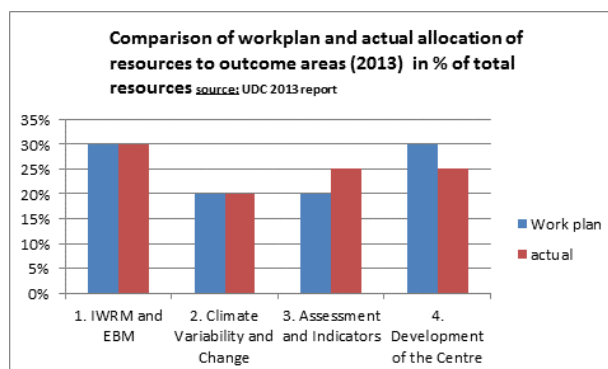


Figure 4.4 Core budget assigned to work areas 2013

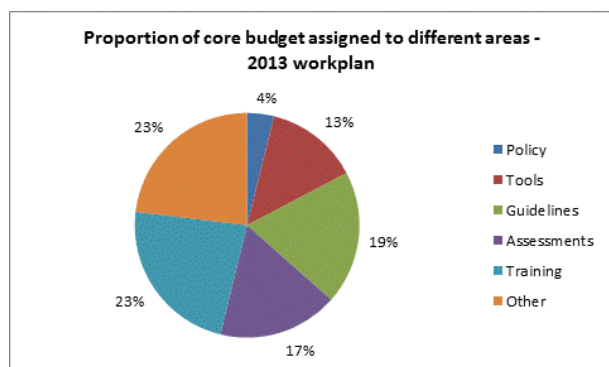
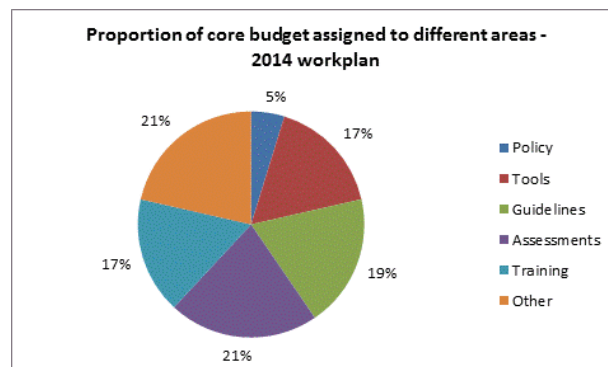


Figure 4.5 Core budget assigned to work areas 2014



73 Summary: Financial management, procurement and reporting are of a very high standard and audit reports are unqualified. **Rating: highly satisfactory.**

4.6.7 Supervision and backstopping

Table 4.20 Criteria: Factors and processes – question 20	
Question	Q20) Has the supervision, guidance and technical backstopping been adequate?
Indicator/criteria	<ul style="list-style-type: none"> Evidence of support provided by governance mechanisms (e.g. resolution of conflict) Project supervision plans, inputs and processes Role of performance of guidance and backstopping bodies (strengths and weaknesses)
Findings	<ul style="list-style-type: none"> UDC is currently governed by a Steering Committee comprising representatives from UNEP, DHI, and Danida. Previously, UDC had a Scientific Advisory Group providing strategic advice, but this was abandoned, as it was found that this structure was not providing the guidance anticipated¹⁰¹. In 2012 it was decided to replace the Steering Committee with an Advisory Board comprising high-level representatives from UNEP, DHI and Danida, and 2-4 high-level representatives from strategically relevant organisations or with strategically relevant backgrounds. The framework agreement for the new Advisory Board was signed recently.¹⁰² No significant examples related to conflicts and the conflict resolution ability were identified. Partners interviewed are generally very satisfied with the project management done by UDC, including supervision, guidance, and backstopping¹⁰³. The UDC Director represents UNEP, and has the responsibility for day-to-day supervision of project implementation and technical quality, and is in regular contact with implementing staff (e.g. from DHI) and

¹⁰¹ Source: interviews with UDC staff

¹⁰² Source: Terms of Reference for the Advisory Board for the UNEP DHI Partnership - Centre on Water and Environment, draft, June 2014

¹⁰³ Source: interviews with partners

- partners¹⁰⁴.
- DHI technical experts, who are not involved in the implementation of a given project, are used for QA on specific issues¹⁰⁵.
- UDC uses DHI project management and administration procedures. DHI's management system, DHI BUS (Business Utility System), is ISO 9001 certified for "Consulting, software, research & development and laboratory testing, analysis & products within the area of water, environment & health".
- All DHI (incl. UDC) projects and reports are subject to independent internal peer review/QA. DHI projects (incl. UDC projects) are subject to external spot checks by the ISO certifying institution¹⁰⁶.
- UNEP has GEF Task Managers imbedded in the Divisions, which supervise and provide backstopping for the implementation of GEF projects. UNEP products/publications are subject to internal review and/or peer reviews (see table 3.21).
- The backstopping, supervision and QA system appears robust and comprehensive.

74 Summary: UDC utilises DHI backstopping and QA procedures; these are comprehensive and ISO certified. UNEP provides backstopping for GEF projects and conducts peer reviews of UNEP publications. Partners interviewed are generally very satisfied with the supervision, guidance, and backstopping provided by UDC. No significant issues were identified in relation to the governance of UDC. **Rating: satisfactory.**

4.6.8 Monitoring and evaluation

Table 4.21 Criteria: Factors and processes – question 21	
Question	Q21) Has the Project monitoring and evaluation led to effective accountability?
Indicator/criteria	<ul style="list-style-type: none"> Accountability of centre activities recorded Accountability of project level activities Review of validity of risks and assumptions
Findings	
<ul style="list-style-type: none"> The primary accountability mechanism for UDC publications and products has been peer reviews and stakeholder review processes; notable examples are the GEO-5 and the AMCOW Status Report on IWRM in Africa where there were comprehensive peer reviews. NBI staff reviewed the Climate Change and Water Stress in the Nile Basin report.¹⁰⁷ The monitoring carried out by UDC focuses on reporting on outputs (e.g. number publications of produced, new tools developed) and in that sense it provides a clear overview of the work carried out vis-à-vis the log frames and work plans, and how project funds are put into use, but the quality and use/uptake of the outputs are not captured. Table 4.10 and Annex 11 provide an assessment of the status of risks and assumptions. It is noted that no risks were identified for Phase 3 and no assumptions were identified for Phase 4. The risk analysis for Phase 4 is relatively simple; it only identifies three risks and does not distinguish risk at different levels. Using the theory of change approach in the design could have been a useful tool for a more comprehensive/complete analysis of risks and assumptions, in particular in relation to the difficult but highly important questions of uptake, outreach, impact and sustainability. In the reconstructed theory of change for Phase 3 and 4, the evaluation team has identified two such assumptions: "partners priorities for making use of capacities and implementing IWRM/EBM continue", and "countries adopt longer term economic and social development strategies" (see Annex 10). In general, the assumptions and risks identified appear valid – as the analysis has shown a number of the assumptions have proven only partly correct and the risks also partly materialized, but most of these were addressed through project actions, although UDC in most cases had limited ability to influence them. 	

Table 4.22 Criteria: Factors and processes – question 22	
Question	Q22) Has the project monitoring and evaluation provided a forward-looking learning environment?
Indicator/criteria	Lesson learnt extracted and applied
Findings	
M&E design and funding:	

¹⁰⁴ Source: interviews with UDC staff

¹⁰⁵ Source: interviews with UDC staff

¹⁰⁶ Source: interviews with UDC staff

¹⁰⁷ Source: Interviews with partners

- M&E design: The M&E system is limited to indicators and targets. No baselines have been established, some indicators do not have targets, and there are no clear provisions for data gathering and analysis.
- M&E budgeting and funding: A budget is set aside for evaluation, but not for monitoring.

M&E Implementation:

- The monitoring and progress reporting is mainly activity/output oriented.
- The monitoring, and especially the outcome/impact monitoring, was found weak by the previous review and the management review – these weaknesses have not been sufficiently addressed, although there have been some improvements in the reporting.¹⁰⁸
- The M&E system is not results-oriented and does not systematically capture outcomes (e.g. uptake and use of tools, methodologies and publications), impact (e.g. change in water resources management practice, improved status of water resources), and post-project sustainability.
- Not all indicators are measured and reported on, the direct output indicators are, but those related to uptake, use and outcomes are not.
- The monitoring and progress reporting does not fully capture lessons.
- It is acknowledged that results monitoring is not easy for a number of reasons, i.e.:
 - Limited staff resources
 - UDC does usually not work at the field level, so the impacts are indirect rather than direct
 - UDC contributes to larger projects, so change can not be easily attributed to UDC
 - UDC products are often rolled out or disseminated by partners (e.g. Cap-Net, GWP) rather than UDC itself

75 Summary: The M&E design in the prodocs and log frames is limited to mentioning indicators and targets for some, but not all, indicators and lack baselines have been established. Valid risks (Phase 4) or assumptions (Phase 3) were identified. **Rating of M&E design: moderately unsatisfactory.**

76 No budget is set aside for monitoring, only for external evaluation. **Rating of M&E budgeting and funding: unsatisfactory.**

77 The monitoring carried out by UDC focuses on reporting on outputs (e.g. number publications of produced, new tools developed) and in that sense it provides a clear overview of the works carried out (accountability), but does not provide a clear overview on outcomes/change (e.g. uptake of tools), hence the monitoring does not in a systematic manner capture lessons on uptake which can provide strategic guidance to implementation. It is however acknowledged that results monitoring is not easy for a number of reasons, i.e. i) limited staff resources; ii) UDC does usually not work at the field level, so the impacts are indirect rather than direct; iii) UDC contributes to larger projects, so change cannot be easily attributed to UDC; and iv) UDC products are often rolled out or disseminated by partners (e.g. Cap-Net, GWP) rather than UDC itself. (See Table 4.21 and 4.22). **Rating of M&E implementation: moderately unsatisfactory.**

78 **Rating of overall M&E: moderately unsatisfactory.**

5 CONCLUSIONS AND RECOMMENDATIONS

5.1 Conclusions – cross cutting

79 The analysis gives rise to a number of conclusions on issues that cut across several evaluation criteria and questions: i) uptake and use of UDC outputs; ii) support to the wider enabling environment for water resources management; iii) intervention at local, regional and global level; iv) global leadership in water resources management and; v) future institutional set up.

¹⁰⁸ Source: Mid Term Review of the 3rd Phase of the UNEP-DHI Centre for Water and Environment, Draft Final Review Report, December 2010; and UNEP/DHI Centre on Water and the Environment, (UDC) A project of: The United Nations Environment Programme Danida, DHI Water and Environment, An Institutional and Management Review, Feb 4, 2010

Uptake and use of UDC outputs

80 UDC does not have a systematic means of recording how guidelines, capacity building, policy advice and other support is made use of once their inputs have stopped. Neither does UNEP. This is not a new issue; it features in all earlier reviews. There are rarely any actions planned or budgets set aside for such monitoring. In many cases it is very difficult to measure because the intervention is catalytic in nature, difficult to attribute and designed to enhance local ownership. UNEP in its client role has the main role of satisfying itself that outputs were used. Even so, it could be argued that UDC has insufficient curiosity on how its products are used, e.g. web statistics on downloads are not examined; there has been little follow up on the status of IWRM roadmaps for the 19 countries that were supported during earlier phases.

81 Nevertheless, there is evidence of how outputs have been used and also of the potential impact, e.g. much of the work of UDC in recent years has focused on supporting the SDG process and undertaking the IWRM status reporting. There is evidence that both these major efforts have had an impact, e.g. for the first time a global water conservation and resources related goal rather than just a water services goal is being considered; if this is confirmed it will be a major breakthrough and can be expected to have a significant effect on the attention given to water resources. Most, if not all, UDC actions are demand-led either by UNEP or directly by country or regional level actors through UNEP – demand (especially if it is a free good) does not guarantee use, but it is an indicator of relevance and likely later use. It is also the case that many of the outputs created through UDC have, in the words of UNEP, a traceable “stepping stone” effect, e.g. the work in the Nile Basin led to the development of the Floods and Droughts project on modelling and coping with extreme events, which in turn will lead to methods for strategic prioritisation and identification of hotspots.

82 UNEP and UDC are fully aware of the issue of uptake and have been taking steps through the use of the results framework and other measures to improve on the monitoring and feedback on use of outputs. It can be concluded that all agree that there is still much room for improving and advancing on this front.

Support to the wider enabling environment for water resources management

83 As pointed under the analysis of the theory of change, a key driver for reaching impacts is the presence of a long-term incentive environment for sustaining IWRM/EBM. In many cases support to water resources has not borne fruit because of inadequate human and financial resources, and in some cases because of dysfunctional institutional set ups. There is thus a risk that people are trained, but not used for the task they were trained in; or that institutions are given the systems for water quality monitoring, but run out of funds to collect the samples. To some extent, these issues relate to wider development issues that usually fall beyond the influence of UNEP and UDC.

84 In practice, all projects examined were designed and carried out with broad partnerships where other actors address social, economic and institutional factors, with UDC looking more closely at the technical and environmental aspects. But, the post project support for these longer term issues is often not in place, threatening the sustainability of what has been achieved. The project duration is usually too short and the level of ambition too high. There is insufficient attention to identifying a network of post project support or a system of incentives and mechanisms that could serve to perpetuate the benefits.

85 UNEP and UDC are well aware of the challenges and also the sensible limits for where UDC can contribute. As for the issue on use of outputs, it can be concluded from discussions at UNEP and UDC that all agree that there is still much room for improving and advancing on this front.

Intervention at local, regional and global level

86 A few projects undertaken by UDC (e.g. the CARP/CCCA project in Cambodia) include inputs at a local level, e.g. field trials for seed varieties. Whilst on the ground testing and experience is invaluable there are many other actors that could undertake such local actions and UDC cannot serve all countries in this way. In serving the overall UNEP mandate, local engagement would need to demonstrate a wider normative relevance e.g. testing of a new approach before issuing a guideline, or inform the development of tools and planning approaches. Although it could be argued that if the project does not use core funding, then no harm and probably some good is done, even without a wider normative relevance; such actions would ultimately dilute the main thrust and purpose of UDC and divert staff attention and resources from other actions, where UDC has a more obvious role and comparative strength.

87 There is a recognition within UDC and UNEP that this is an issue that faces UNEP as a whole. There is a consensus that criteria for testing the demonstration value of such projects would be a useful measure.

Global leadership in water resources management

88 In the view of many commentators, the global leadership of water resources is fragmented. The field is crowded and there is not an obvious apex or lead organisation. This could have advantages as well as disadvantages. UNEP has a global mandate within environment and through its role in UN-Water the potential for contributing to global leadership in water resources management – at least of UN bodies. Danida, in financing UDC, looks to the possibility of UDC providing UNEP with the support needed to bring greater coherence and leadership in global water resources management.

89 UDC has in the past taken a well-recognised lead in advancing the concept of IWRM, which is now firmly embedded in the water policies of many countries. Critique of how well IWRM has worked in practice and the emergence of other concepts such as the Nexus point to a need to update, but not abandon, IWRM. In a debate that is at times sterile and driven by fashion, UDC has chosen to keep a low profile rather than to rise to the challenge of bringing a new order and thereby risk adding to confusion. It may also be relevant that the policy group of DHI where UDC used to be hosted is now disbanded and the staff deployed to operational areas, where they can link policy to practice. For UDC, this potentially brings both advantages and disadvantages (having the advantage of policy expertise being closely linked to operational activities but the disadvantage of a less concentrated entity focussing on policy).

90 UN-Water, the realistic prospects of coherent global leadership of water resources and particularly the support role of UNEP and UDC are not immediately clear. With the experience of the flagship efforts of IWRM status report and water SDGs behind it, it might be timely to consider what additional value UDC can offer in future phases on contributing to global leadership of water resources.

Future institutional set up

91 Like most organisations, UDC is not indispensable. If it did not exist, the funds available could still support water resources management. However, by channelling the funds through UNEP and its collaborating centre, Danida is supporting the unique convening power and international legitimacy of UNEP. The support earmarked for water represents a large proportion of the discretionary funding available to UNEP for freshwater by some estimates half. It might be argued that it encourages UNEP to offset its budget for water but it would appear that water has historically been a low budget priority and in reality much of UNEP's expenditure is off the core budget. It would be fair to conclude that the funding available for water and channelled through UNEP is both much needed and takes advantage of a strong comparative advantage.

92 The issue of whether funding for water should be channelled as core support to UNEP or earmarked and then transferred to UDC has been taken up in earlier reviews and discussions. Core funding could potentially create stronger internal links between UDC and UNEP. If funding were not earmarked to water or UDC, there would be a risk of less funding to water and probably much less engagement of UDC services. Senior staff in UNEP indicated that earmarking of core funding is not considered helpful, which would tend to argue for the status quo.

93 It seems unlikely that other donors will emerge to provide core funding for UDC. UNEP is likely to consider the role and modalities of its collaborating centres, which total 7 (although there are many more loosely affiliated centres) and where some of them are also single donor financed. This evaluation did not find strong evidence to support one approach or another on the issue of core funding. It would probably be best to await internal UNEP deliberations on its collaborating centres.

94 The location of UDC at DHI gives it a close link to the highly skilled resource base. Centre staff members also spend time each week at UN City in Copenhagen, where the energy and climate collaborating centre is located. The option of UDC being located at UNEP in Nairobi was discussed as it could bring coordination benefits and lead to a larger threshold of skills within UNEP itself. The choice would be between physical proximity with the resource base or with the client base. In the view of most as well as the evaluators, the advantages and disadvantage are difficult to compare with the burden of proof on making a change, which would tend to argue for continuing, certainly in the current phase, with the current arrangements.

95 The governance of UDC is agreed upon by UNEP and DHI, with Danida having an observer role. The beneficiaries and users of the knowledge products are not directly represented. An attempt to do so via a scientific advisory committee was tried and was found too cumbersome and expensive – as it has been for other collaborating centres. The views of beneficiaries are thus indirectly represented by UNEP and ultimately through the UNEP governing council. This is a long pathway but is judged the most pragmatic option provided it is combined as earlier mentioned with greater attention on obtaining user feedback on UDC outputs.

5.2 Conclusions – overall assessment and rating table

96 Strengths: UDC has generally delivered its intended outputs for Phase 3, and is anticipated to do so for Phase 4 as well. The quality of UDC products is widely rated as being good, and with a few exceptions, UDC has performed well in terms of project management and implementation, timeliness, and responsiveness. The strategy of having a lean staffing and mobilising expertise and capacity through a) DHI and b) operating in a partnership modality has worked well.

97 Weaknesses: UDC and UNEP do not systematically implement measures or plans to enhance the likeliness of products and tools developed being taken up and actually used by managers of water.

Monitoring of the uptake and use of UDC outputs is not systematic. Hence, there is only limited evidence of outcomes where a UDC contribution can be verified and the sustainability of the results is uncertain.

98 **Opportunities:** With its strong ability to operate in a partnership mode and the high appreciation of UDC by partners, the partnerships could offer some additional benefits for UDC. Firstly, partners could be mobilised to provide post-project follow-up or continuation to enhance the likelihood of uptake of outputs delivered and thereby outcomes (and ultimately impact) as well as an enhance likelihood of sustainability. Secondly, UDC could tap into partners' monitoring and reporting to gather evidence of outcome-related results in relation to specific projects. Moreover, the possibility of a post-2015 SDG on water resources will potentially lead to increased priority given to investing in sustainable water resources management.

99 **Threats:** The main threat facing UDC itself is the dependency on one donor for core funding and thus vulnerability to changing priorities (e.g. due to changed political discourses in Denmark). There is also a threat that without planned support the enabling environment for much of the gains made as part of UDC interventions will be lost or eroded as countries and organisations do not have the financial, staffing and institutional resources to sustain the benefits.

100 **The overall assessment is that UDC's performance has been satisfactory in the period under evaluation.**

Criterion	Summary assessment	Rating
A. Strategic relevance	UDC objectives and work plans are well aligned to UNEP and strategies and Programme of Work and also consistent with Danida strategies. The UDC strategy and work plans are responsive to the trends, issues, and challenges within water.	S
B. Achievement of outputs	Most Phase 3 outputs fully delivered. Phase 4 on track. Training outputs may need extra attention.	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	<ul style="list-style-type: none"> Capacity has been developed in relation to planning and carrying out assessments, but not as much in relation to IWRM implementation. Assessments and publications have enhanced knowledge and access to knowledge New tools and approaches have been developed and made accessible to project stakeholders/partners However, limited provisions are made to ensure the actual uptake and use by stakeholders of UDC results and outcomes 	S
2. Likelihood of impact	UDC does not normally engage in implementation on the ground. UDC projects have contributed through capacity building, tools development and knowledge management, but do not address all the necessary elements for impact. Impacts of UDC projects are indirect and depending on the actions of partners and stakeholders. The extent to which UDC actions have led to impacts can thus not be quantified or easily attributed to UDC. A theory of change or similar approach could help to document the impact pathway in future phases.	ML
3. Achievement of project goal and planned objectives	UDC has contributed to strengthening the attention given to environmental sustainability in WRM. UDC has also contributed indirectly to IWRM implementation, but not engaged directly in IWRM implementation. However, water resources are still under pressure and environmental sustainability and IWRM is generally not achieved. The objective for Phase 3 of achieving environmental sustainability in WRM was overambitious. Objectives re capacity, knowledge, tools are achieved (Phase 3) or likely to be achieved (Phase 4), at least in relation to stakeholders in UDC projects. The Phase 3 objective of achieving improved cooperation in the water sector was achieved in relation to UDC's own partnerships and projects, but not more broadly. The increased recognition of UDC is considered more as a means to an end than an end itself. Measured by leverage it is not achieved but measured by reputation and repute it has been achieved.	S
D. Sustainability and replication		ML
1. Financial	Danida is the only core donor for UDC. UDC has proven an ability to leverage project funding from different sources. Likelihood of funding for post-project continuation by	ML

	beneficiaries not always certain/taken into account.	
2. Socio-political	UDC support to decision support systems, work on SDGs and assessments are anticipated to inform policy, but it is beyond the current reach of UDC to ensure they are put into use and influence policy-making as intended. More analysis is needed at project entry on assessing the prospects for sustainability especially on the political economy.	ML
3. Institutional framework	Projects with a focus on complex decisions-support systems and related capacity building build on existing systems that are already in place, enhancing the likelihood of continued use. UDC works with partners on institutional aspects during the project periods, but post project institutional support is weak (due to project design, duration of intervention and funding constraints)	ML
4. Environmental	Environmental sustainability is at the centre of UDC actions, and no negative effect in environmental sustainability is expected. The positive environmental sustainability is linked to the extent to which UDC products and results are used as intended by stakeholders.	L
5. Catalytic role and replication	The catalytic role of UDC is a) that it brings together and coordinates inputs from partners, and b) it contributes to enhancing awareness, e.g. through its central role in the UN-Water and AMCOW Assessment Reports. There are some examples of replication or potential replication by UDC partners.	S
E. Efficiency	Efficient in terms of productivity, cost levels and the presence of adequate controls.	S
F. Factors affecting project performance		
1. Preparation and readiness	UDC projects generally appear to be well planned, and UDC demonstrates a readiness to a) engage in emerging themes and b) getting involved emerging opportunities. More clarity should be provided on impact pathways (Theory of Change) and the sustainability strategy.	MS
2. Project implementation and management	Most partners indicate that UDC is very good at implementing in a timely and high quality manner and good at coordinating partner inputs.	HS
3. Stakeholders participation and public awareness	Stakeholders are generally involved, but there are some examples, where the involvement could have been more substantial.	S
4. Country ownership and driven-ness	Most projects are not at country level, but regional level partners show a strong degree of ownership.	S
5. Collaboration and Partnerships	UDC operates in a partnership modality and is widely appreciated and respected by its partners.	HS
6. Financial planning and management	Financial management found to be of a very high standard and audit reports are unqualified	HS
7. UNEP supervision and backstopping	UDC utilises DHI backstopping and QA procedures; these are comprehensive and ISO certified. UNEP provides backstopping for GEF projects and conducts peer reviews of UNEP publications.	S
8. Monitoring and evaluation		MU
a. M&E Design	The M&E system is limited to indicators and targets. No baselines have been established, some indicators do not have targets, and there are no clear provisions for data gathering and analysis	MU
b. Budgeting and funding for M&E activities	A budget is set aside for evaluation, but not for monitoring.	U
c. M&E Plan Implementation	Progress reports report on outputs/products, but not on uptake and outcomes. Outcome and impact monitoring is not easy, since these are mainly indirect and difficult to measure and attribute.	MU
Overall project rating		S
Ratings used: HS: Highly Satisfactory – HS/HL: Highly Likely – S: Satisfactory – L: Likely – MS: Moderately Satisfactory – ML: Moderately Likely – MU: Moderately Unsatisfactory/Unlikely – U: Unsatisfactory/Unlikely – HU: Highly Unsatisfactory/Unlikely.		

5.3 Lessons learned

101 **Partnership enables UDC to play its niche role.** UDC's approach of working together with other partners is very useful for a specialist institution like UDC, as it a) enhances the outreach and ability to engage in a larger number of projects, b) enables the institution to tap into existing working relations (such as DHI relations with NBI and stakeholders in Cambodia), c) enables the institution to tap into the strengths and expertise of the partners (e.g. Cap-Net capacity building expertise and

regional/national networks), and d) enables UDC to engage in larger processes (such as the work on SDGs and the UN-Water global IWRM assessment report). (Table 4.9 and section 5.1)

102 A technically strong host is essential. A technically and managerially strong host (DHI) provides several benefits to a collaborating centre as UDC, e.g. an efficient administration, but even more importantly by providing easy access to a strong base of experts and international recognition. Tapping in to the host's pool of experts allows the centre to benefit from a broader range of technical expertise than it could ever have been done in-house, thereby enhancing its flexibility and coverage. However, this professionalism and flexibility comes with a price tag which explains in part the high unit costs of UDC (see table 4.13).

103 UNEP branding is key to the success of the UDC in influencing the global agenda for water resources. The UNEP branding ensures that UDC has the access and credibility to participate in key decision making forums e.g. the development of the SDGs. However, the branding and external communication of collaborating centres can also give rise to confusion. This is particularly true when the host is very strongly branded, as it can become difficult for outsiders and even many partners to distinguish the centre from the host, which can affect its value for other institutions involved in the centre (UNEP). Moreover, a very strong affiliation to the host can reduce the incentive/ability to create and utilise a broader network of experts from other organisations and from developing countries. (Table 4.18).

104 Project funding is necessary to extend the reach of the collaborating centre. Mobilisation of project funding from various sources (e.g. GEF funding) can enable a centre to engage in a broader range of activities than is possible through core funding alone and thereby enhance its outreach. It also allows the centre to latch on to emerging opportunities. However, if it is not strategic, then UDC could quickly lose focus and start to engage in tasks that others can do better. UDC have managed this balance well. (Table 4.10, 4.12).

105 Post project follow-up to ensure outputs are used has been underemphasised in project design. Although UDC projects often involve extensive stakeholder engagement during the project itself, project designs rarely build in a post project process for stakeholder and user feedback, which could make evidence of outcomes and the use of outputs available (the UN-Water Status Report on IWRM is an example, where special effort was made to assess the national uptake of IWRM, going beyond the immediate outputs of development programmes/projects – but it did not specifically look at the contribution of UDC and UNEP projects). Such a process would also provide information that could improve the relevance and quality of future outputs. In many cases, it would be necessary for UDC, UNEP or others to undertake post-project follow up in order to determine whether the knowledge and products developed have been used as intended. (Table 4.21 and section 5.1)

106 Without innovative partnerships that extend beyond the project period the enabling environment for sustaining improved water resources management is threatened. The longer term vision, the strategic programme of work of the collaborating centres and the presence of core funding can help overcoming the disadvantages of project durations and support arrangements that are sometimes too short to fully achieve and consolidate the intended results and depend on second phases for which funding is not secured. The projects undertaken by UDC in the last five years are relevant and contribute to the achievement of longer-term goals; however, even in these cases there are risks that tools developed and processes initiated are not followed through and fully consolidated. If longer durations or post project support arrangements cannot be secured a lower ambition level might in some cases be preferable. On-the-ground investment projects are neither the role, nor main strength of

UDC and UNEP centres in general. However, the partnership model used by UDC could be used to make arrangements, where partner institutions with convening power and implementation capacity engage in the process of ensuring that the results and tools developed by the centre are rolled out more widely and taken up by the stakeholders (in the case of UDC, DHI and UNEP would be obvious partners). A partial example of such arrangements is the collaboration with Cap-Net, where Cap-Net uses UDC developed training materials for capacity development activities, although Cap-Net is also not directly involved in ensuring that the skills imparted are put into use. (Table 4.12 and section 5.1)

5.4 Recommendations

107 **Recommendation 1 – Outcome monitoring and evaluation.** There are significant opportunities for improving monitoring and understanding of how outputs created by UDC are used in practice. This will increase accountability and confidence in UDC’s activities as well as point to where approaches and strategies can be improved and made more relevant (reference section 5.1). It is recommended that: UNEP and UDC develop a system for determining outcomes and how outputs are used. This could be done by:

- Including budgets and actions to finance post project follow up and feedback
- Using a theory of change to map the process from output to outcome to impact
- Using spot surveys to obtain feedback
- Obliging beneficiaries to report on and present evidence of use
- Using data from assessments as an input to defining outcome indicators and as a source of monitoring data (e.g. assessing IWRM survey results for countries supported in the development of IWRM plans and roadmaps, and comparing their progress with other countries)
- Including in log frames only indicators that can and actually will be monitored. Focus on a few SMART outcome indicators. Report on these in progress and completion reports.
- Tapping in to monitoring systems and reports from partner institutions at the project level to collect outcome information that relates to UDC inputs.
- Engaging an M&E expert (whether UNEP, DHI, or external) to review existing monitoring and progress reporting practices and assist in developing a results-oriented monitoring and reporting system.
- Include in progress reports or final reports a matrix, which shows how each project contributes to each output/outcome in the overall log frame.

108 **Recommendation 2 – enabling environment.** The enabling environment and especially the institutional performance and availability of financial and human resources is critical to the success of water resources management support efforts (reference section 5.1). It is recommended that: UNEP and UDC consider how to ensure that the enabling environment for water resources management is enhanced in the projects implemented. This could be done by:

- Improving the entry and exit design for projects.
- Focusing efforts on responding to few countries and river basins in order to stretch the core budget far enough to fill gaps where project-based resources are not enough.

- Engaging in more long term processes with partner countries and basin organisations (e.g. through a series of projects), to support the use of tools and approaches introduced.
- Encouraging and facilitating that partner institutions commit themselves to provide continued support after the completion of UDC activities to support the uptake and use of UDC tools, approaches and knowledge (e.g. supporting the use and implementation of IWRM plans and roadmaps).

109 **Recommendation 3 – engagement at the local level.** Working at the local level is relevant for UDC where such action has a demonstration value for wider norms and approaches and help linking policy and basin related work to the realities on the ground, otherwise engagement in local level actions is better done by other actors. (reference section 5.1). It is recommended to ensure that engagements at the local level are systematically utilised to generate knowledge and lessons, which can inform more normative work and the development of tools, approaches and assessment methodologies. This could be done by:

- Developing criteria for testing the normative demonstration value of local level activities to assist in prioritisation of projects.
- Including in all local level project components focusing on: a) knowledge management, generating lessons and evidence, and translating these into policy advice, and b) testing and calibration of tools and approaches for basin and national level decision-making.

110 **Recommendation 4 – engagement in UN-Water.** There are opportunities for UNEP with the support of UDC to contribute to the global leadership of water resources (reference section 5.1). It is recommended that UNEP in close coordination with UN-Water consider what additional value UDC can offer in future phases on contributing to global leadership of water resources.

111 **Recommendation 5 – institutional arrangements.** There are a range of options for the institutional set up, funding and hosting arrangements of UDC with the advantages and disadvantages of different options not being directly comparable (reference section 5.1). It is recommended that the current arrangements be continued until the end of the current phase (the burden of proof is on changing from the status quo). Other action that can be taken to improve operations under the current arrangements include:

- UNEP considers providing UNEP core funding for UDC to reduce the vulnerability to changing donor priorities and moving from an opportunistic project mode towards more strategic longer term engagements with selected countries and basins.
- Gradually enhancing the link and collaboration between UDC and UNEP’s Regional Offices, as their capacity is increased and their project implementing role is enhanced.

112 Annex 13 provides a table with the recommendation and proposed responsible party and timing.

Annex 1: Terms of Reference

TERMS OF REFERENCE¹⁰⁹

Mid-term Evaluation of the “UNEP-DHI Centre for Water and Environment”

BACKGROUND AND OVERVIEW

Project description

The UNEP-DHI Centre is not really a “project” in the classic sense of the term, but rather a long-term partnership between UNEP and the DHI Institute of Water and Environment supporting a diverse set of initiatives in the area of freshwater ecosystems management through a small team of experts located at the DHI near Copenhagen. For UNEP planning and reporting purposes, the UNEP-DHI collaboration is, however, registered as a regular project, with approved Project Documents for each phase of the partnership. These TORs will therefore use the terms “the UNEP-DHI Centre”, “the Project”, “the UNEP-DHI collaboration” or “the UNEP-DHI partnership” interchangeably.

Table 1. Project summary

Project Title	<ul style="list-style-type: none"> • Support to the Implementation of the UNEP Water Policy and Strategy - Phase 3 • UNEP-DHI Centre for Water and Environment Phase 4: Supporting Environmental Sustainability in the Management of Water Resources 	
Managing Division	Division of Environmental Policy Implementation (DEPI)	
Organisational Unit	Freshwater and Marine Ecosystems Branch	
Executing Agency	UNEP-DHI Centre for Water and Environment	
Type/Location	Global, Regional, and National	
Regions	Africa	Asia Pacific
	Latin America Caribbean	West Asia
Sub-programme	Sub-programme 3 (Ecosystem Management) with additional contributions to Sub-programmes 1, 4 and 7.	
Duration	Phase 3	Jan 2008 – Dec 2011 – extended to Dec 2012
	Phase 4	Jan 2013 – Dec 2015
Total Project Cost Estimate (Source: Project Documents)	Phase 3	US\$5,118,711
	Phase 3 extension (2012)	US\$1,307,783
	Phase 4	US\$6,093,858
Other Divisions/Regional Offices involved	DEWA; ROA; ROAP; Other members of IDWG	

In February 1996, the then VKI Institute for the Water Environment was designated as UNEP Collaborating Centre for Freshwater Quality Monitoring and Assessment. In 2000, the VKI Institute was merged with the Danish Hydraulic Institute into the DHI Institute of Water and Environment, which became the “new” host of the UNEP Collaborating Centre. The overall purpose of the Centre for the first period was to provide support to UNEP, essentially to promote sustainable fresh-water quality management as decided at the UNCED Conference in Rio de Janeiro in 1992.

¹⁰⁹ TOR template version of Sep-13

The UNEP Executive Director in 2001 requested the Danish Minister for Development Co-operation for assistance to establish a Centre called the UNEP Collaborating Centre on Water and Environment, modelled along the lines of the UNEP Collaborating Centre on Energy and Environment at Risoe, and committed UNEP to allocate the necessary co-funding. A Memorandum of Understanding was signed by UNEP, DANIDA and DHI to establish the Centre. Later amendments were made to the MoU in 2004 and 2005. These amendments extended the Centre to cover a four year period (2004-2007) and broadened its scope of work, before a new MoU was agreed to cover the 3rd phase from 2008.

The prime objective of the 3rd phase of the UNEP-DHI collaboration, running initially from 2008 to 2011 and extended to end-2012, was to support the UNEP Water Policy and Strategy, which was operationalised through the related UNEP Medium Term Strategies and biennial Programmes of Work. In a move to further strengthen the engagement of the Centre with UNEP, in 2009 the DHI employed Director of the Centre was replaced by one employed by UNEP.

For the ongoing 4th phase of the Project (2013-2015) the ambition has been to combine the mandate and strategic priorities of UNEP as expressed in the recent Operational Strategy for Freshwater (2012-2016) and in the current UNEP Medium Term Strategy (MTS) for the period 2014 - 2017, as well as its central role in UN-Water, with the expertise and experience the Centre has built up being hosted by DHI.

The main initiatives in which the UNEP-DHI Centre was/is involved over the 3rd and 4th phase are clustered in 5 large groups. The list below provides an overview of initiatives supported by the Centre over the evaluation period (2010-2014):

Policy advice and technical assistance: The Centre provided technical support at the national level by facilitating the development and use of policy, planning, legal and institutional frameworks, as well as management instruments, aimed at promoting sustainable water resources management in more than 20 countries: IWRM plans, IWRM roadmaps, post-conflict assessments, Water Resources Inventory, climate change and water resources planning, climate change planning and institutional frameworks. At the global level, the Centre has provided technical support to the development of a joint UN-Water advice on a Sustainable Development Goal on water and the subsequent negotiations in the Open Working Group under the UNGA.

Decision Support Systems and Water Resources Modelling: In response to requests from both UNEP and DHI, and in preparation of phase 4, the Centre began to draw more upon the expertise in DHI relating to hydro-climatological modelling, and state of the art Decision Support Systems. The Centre contributed to the execution of a project developing climate projections for the entire Nile Basin, and is executing a large project developing decision support tools for the management of floods and drought in transboundary river basins.

Assessments and Indicators: The Centre was responsible for or played a significant role in the development of a number of global assessments that have been used as a knowledge-base of decision-making, raising awareness amongst stakeholders, and providing information on threats trends and emerging issues. Examples include the leading contribution on water to the UNEP 5th Global Environmental Outlook (2012); the leading contribution on water quality to the UN 4th World Water Development Report (2012); lead coordination of the UN-Water Report on the assessment of global water resources management for use by the Commission on Sustainable Development at Rio+20 (2012); and lead author of the report on the assessment of water resources management in Africa for use by the African Ministers council on Water at Africa Water Week (2012). The Centre coordinates a consortium of 9 partners in a global assessment of +270 transboundary river basins (TWAP).

Guidelines, Policy Briefs and Environmental Publications: In addition to the assessment reports mentioned above, the Centre launched two publications on transboundary water resources management (a review of ecosystems approaches in transboundary basins prepared in close collaboration with IISD, and a report based on a survey of IWRM practices including a series of recommendations for strengthening transboundary river basin organizations), was a main contributing author on the recent joint UNEP and International Water Management Institute (IWMI) publications on ecosystems for water and food security, and contributed to UN-Water policy briefs on water quality and climate change adaptation and water. The Centre prepared a Green Infrastructure Guideline publication with contributions from 4 international partners.

Customized Training and Capacity building: More than 500 stakeholders from multiple sectors in more than 40 countries have received training in various aspects of water resources management from

the Centre. Examples include development and testing of a training curriculum on water pollution for technical experts from 10 African and 3 Asian countries; training of national trainers in climate change and water resources management in Thailand; and development and testing of a training curriculum on drought management for East African and Latin American academics and government representatives. The Centre has contributed to the development of a Serious Game on IWRM ("Aqua Republica") which has been used in competitions in SE Asia and South Africa.

The most recent review of the UNEP-DHI Centre was conducted from August to October 2010 -in the middle of the 3rd phase of the Project- by a team of three external consultants contracted and supervised by the Centre itself¹¹⁰. **The current mid-term evaluation will cover the 4-year period from the latest review onwards, i.e. from October 2010 to September 2014. Therefore, it will cover part of phase 3 and phase 4 of the UNEP-DHI collaboration.**

Project objectives and components

For the 3rd phase, the overall expected result of the Project was more effective implementation of the UNEP Water Policy and Strategy (WPS) for the period 2008-2011 through direct technical support/assistance and capacity building. Therefore, the objectives of the Centre were the same as those of the UNEP WPS. The overall goal of the WPS was "to contribute substantively to environmental sustainability in the management of all water resources, utilizing integrated ecosystems approaches, as a contribution to the internationally agreed targets and goals relevant to water and socio-economic development." Its specific objectives were:

- (a) Improved assessment and awareness of water issues;
Improved environmental management of basins, coastal and marine waters, including the Identification of linkages with ongoing international processes;
Improved cooperation in the water sector.

Linked to its objectives, the WPS defined three conceptual principles (Promote ecosystem-based approaches; contribute to sound economic and social development, including poverty reduction; and address risks) and three operational principles (Build national and regional capacity; build on existing and new partnerships and programmes; and promote multi-stakeholder participation).

The development objective for the 4th phase is closely linked to the vision statement of the UNEP Operational Strategy for Freshwater (2012-2016) "to contribute substantively to environmental sustainability in the management of all water resources" which is identical to the overall goal of the UNEP WPS, but this phase of the collaboration would place more emphasis on developing a policy framework for protection and sustainable use of key natural freshwater resources and associated resources based on an ecosystem approach. The 4th phase recognizes the immediate need for integrated development of water resources to help alleviate poverty and to sustain an expanding population. This is reflected in a stronger development-oriented approach and in the recognition of the importance of the planning dimension, while at the same time addressing the sustainability concern by enhancing the environmental management capacity in general and in the planning process in particular. The four expected outcomes of the 4th phase are:

- (a) Enhanced capacity of countries and regions to utilize integrated approaches to sustainable management of water resources and freshwater and coastal ecosystems;
Appropriate tools tested and available for countries and regions to cope with adverse impacts on the water resource (quantity and quality) from climatic variability and change;
Improved access to information and knowledge for sustainable management of water resources and aquatic (freshwater and coastal) ecosystems; and
Increased recognition and utilization of the Centre as a global centre of excellence for water and environment

Executing Arrangements

The implementation of the Centre activities is formally the responsibility of UNEP. The Centre is based in the Danish Hydrological Institute just outside Copenhagen in Denmark, with a small satellite office in the UN City

¹¹⁰ The Centre had also undergone a management and institutional review in the course of 2009.

building in downtown Copenhagen. The Director of the Centre is employed by UNEP while other Centre staff is employed by the DHI (three persons on a full-time basis plus numerous other staff providing part-time or ad hoc inputs). The Director is responsible for developing the Centre as well as for its daily operations. Project staffing (including use of external consultants) is agreed upon in close dialogue between the Director of the Centre and DHI.

Project administration, including financial management and reporting is the responsibility of DHI as the host organization. DHI can assist with administration of contracts and payments to external consultants but can also request the contracting to be done through UNEP. UNEP provides general management and policy guidance through the Coordinator of DEPI Freshwater and Marine Ecosystems Branch (FMEB) and the Head of the Freshwater Ecosystems Unit (FEU). UNEP also facilitates the necessary financial and general programme management services in compliance with UNON/UNEP rules and regulations. UNEP's Division of Environmental Policy Implementation (DEPI) guides the implementation of the project under the authority of the Director and provides the necessary policy guidance through its participation in the Steering Committee/Advisory Board, as well as through direct contact.

Policy and management direction and guidance has historically been provided by a Steering Committee (SC) consisting of high level representatives from UNEP, DHI and Danida. During the last SC meeting of the 3rd phase in November 2012, the SC dissolved itself to be replaced by an Advisory Board – the roles, responsibilities and modus operandi of which was to be agreed as part of a new Framework Agreement between UNEP and DHI which is still under discussion. According to the Project Document for phase 4, the Advisory Board will provide:

- (a) Strategic advice on role and work of the Centre. The advice reflects existing and emerging regional priority issues on water and environment with due consideration to the general mandate of UNEP and the Centre;
- (b) Specific advice on existing programmes and projects; and
- (c) Assessment of relevance, quality and impact of ongoing and planned activities.

The Advisory Board will also facilitate links with national, regional and international institutions which might benefit from or contribute to the work of the Centre. The Scientific Advisory Group (SAG) established during the 3rd Phase of the Centre will be reconsidered in view of the establishment of an Advisory Board for the Centre.

The legal instruments which govern the UNEP-DHI collaboration have evolved over the different phases. For phase 3 there was a tripartite MoU between UNEP, the DHI and the Danish Ministry of Foreign Affairs. For the 4th phase of the Centre, there is a Donor Agreement (DA) between Danida and UNEP, and a Project Cooperation Agreement (PCA) between UNEP and DHI. A four-year Framework Agreement between UNEP and DHI was still under discussion at the time these ToRs were developed.

Project Cost and Financing

Table 2 summarizes the estimated costs for the 3rd and 4th phases of the UNEP-DHI Centre. The initial budget for phase 3, to be spread over 4 years, amounted to roughly US\$4.13M excluding an in-kind contribution by the DHI of US\$0.99M for personnel. The one-year extension of phase 3 was costed at US\$1.3M. The estimated budget for Phase 4, spread over a 3-year period, is US\$5.47M not including the DHI in-kind contribution for personnel of US\$0.59M and office space of US\$33,000. The total annual cost of the Project has therefore increased from approximately US\$1.3M in phase 3 to US\$2M in phase 4. The main financier of the UNEP-DHI Centre was Danida with roughly US\$4.94M for phase 3 and US\$5.17M for phase 4. UNEP was expected to contribute US\$100,000 annually.

Additional initiatives implemented or supported by the UNEP-DHI Centre (see paragraph 6) come with their own funding from various donors.

Table 2. Estimated Project Costs

	Phase 3 (2008-2011)			Phase 3 Extension (2012)			Phase 4 (2013-2015)		
	Four year project total budget			One year total budget			Three year project budget total		
	UNEP	DANIDA	Total	UNEP	DANIDA	Total	UNEP	DANIDA	Total
10 Project personnel component*									
1100 Project Personnel at DHI (non-UNEP)*									
1101 Director		930,492	930,492		313,688	313,688		825,000	825,000
1102 Staff costs implementing org.		2,310,764	2,310,764		716,270	716,270		2,511,141	2,511,141
1199 Total		3,241,256	3,241,256		1,029,958	1,029,958		3,336,141	3,336,141
1600 Travel on Official business									
1601 DHI Travel		487,300	487,300		121,825	121,825		357,480	357,480
1602 UNEP Participation	40,000		40,000	10,000		10,000	30,000		30,000
1603 SAG Participation	48,000		48,000	12,000		12,000	45,000		45,000
1699 total	88,000	487,300	575,300	22,000	121,825	143,825	75,000	357,480	432,480
1999 Component total	88,000	3,728,556	3,816,556	22,000	1,151,783	1,173,783	75,000	3,693,621	3,768,621
20 Subcontracts									
2200 Sub-contracts (unspecified)									
2201 Unspecified MOUs	184,000		184,000	46,000	30,000	76,000		960,000	960,000
2299 Component total	184,000		184,000	46,000	30,000	76,000		960,000	960,000
2999 Component total	184,000	0	184,000	46,000	30,000	76,000	0	960,000	960,000
30 Training component									
3100 Fellowships									
3101 Student Programme	40,000		40,000	10,000		10,000	45,000		45,000
3199 Total	40,000		40,000	10,000		10,000	45,000		45,000
3999 Component total	40,000	0	40,000	10,000	0	10,000	45,000	0	45,000
40 Equipment and premises component*									
4301 Office rental								105,000	105,000
4399 Total	0	0	0	0	0	0		105,000	105,000
4999 Component total	0	0	0	0	0	0	0	105,000	105,000
50 Miscellaneous component									
5200 Reporting costs									
5201 Evaluation Costs	16,000		16,000		30,000	30,000	45,000		45,000
5202 Printing and reproduction	24,000		24,000	6,000		6,000	54,000		54,000
5203 Outreach and Public Inf.	12,000		12,000	3,000		3,000	45,000		45,000
5204 UNEP Project Support Costs								413,793	413,793
5299 Total	52,000		52,000	9,000	30,000	39,000	144,000	413,793	557,793
5300 Sundry									
5301 Communications Cost	36,000		36,000	9,000		9,000	36,000		36,000
2399 Total	36,000		36,000	9,000		9,000	36,000		36,000
5999 Component total	88,000	0	88,000	18,000	30,000	48,000	180,000	413,793	593,793
99 Grand Total	400,000	3,728,556	4,128,556	96,000	1,211,783	1,307,783	300,000	5,172,414	5,472,414

Source: Project Documents

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

In line with the UNEP Evaluation Policy¹¹¹ and the UNEP Evaluation Manual¹¹², the Mid-Term Evaluation of the UNEP-DHI Centre for Water and Environment is undertaken during the second year of the 4th collaboration phase to assess the performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the collaboration, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the DHI and partners. Therefore, the evaluation will identify lessons of strategic and operational relevance for the second half of phase 4 and a possible phase 5 of the collaboration. The results of the evaluation will guide the Centre both in its alignment with the UNEP Programme of Work and in the preparation of a subsequent phase. The evaluation should be forward-looking and build upon, rather than repeat, the elements of previous reviews and evaluations, and will be strategically focussed on providing a solid foundation on which to build a successful 5th Phase of the UNEP-DHI Centre for Water and Environment.

The evaluation will focus on the following sets of **key evaluation questions**, based on the collaboration's intended outcomes, which may be expanded by the consultants as deemed appropriate:

- (a) How well did the Centre support effective implementation of the UNEP Water Policy and Strategy (WPS) for the period 2008-2011 through direct technical support/assistance and capacity building? More specifically, in what measure did the Centre help:
- Improve assessment and awareness of water issues;
 - Improve environmental management of basins, coastal and marine waters, including the Identification of linkages with ongoing international processes;
 - Improve cooperation in the water sector?

How well did the Centre support the UNEP Operational Strategy for Freshwater (2012-2016) by developing a policy framework for protection and sustainable use of key natural freshwater resources and associated resources based on an ecosystem approach? More specifically, in what measure did the Centre help:

- Enhance capacity of countries and regions to utilize integrated approaches to sustainable management of water resources and freshwater and coastal ecosystems;
- Test and make available the appropriate tools for countries and regions to cope with adverse impacts on the water resource (quantity and quality) from climatic variability and change; and
- Improve access to information and knowledge for sustainable management of water resources and aquatic (freshwater and coastal) ecosystems?

What progress is being made in increasing recognition and utilization of the Centre as a global centre of excellence for water and environment?

To what extent did the Centre contribute to the overall goal of the WPS and, later, to the UNEP Operational Strategy for Freshwater 2012-2016 "to contribute substantively to environmental sustainability in the management of all water resources"?

How effectively and efficiently is the work of the Centre being planned, coordinated, guided, supervised and monitored?

What was the performance of the multiple UNEP divisions, the DHI and other partners involved in the work of the Centre?

¹¹¹ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

¹¹² <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

Overall Approach and Methods

The Mid-term Evaluation of the UNEP-DHI Centre will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office in consultation with the Coordinator of the FMEB and Head of the FEU of DEPI. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine achievements of the UNEP-DHI Centre against the expected outputs, outcomes and impacts.

The findings of the evaluation will be based on the following:

(a) A desk review of:

Relevant background documentation, inter alia UNEP Medium-term Strategies 2010-2013 and 2014-2017, relevant Programmes of Work, UNEP Water Policy and Strategy (2008-2011), UNEP Operational Strategy for Freshwater (2012-2016), the Strategy for Denmark's Development Cooperation (June 2012), etc.;

Project documents; Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

Legal instruments between project partners: tripartite MoU between UNEP, the DHI and the Danish Ministry of Foreign Affairs for phase 3; Donor Agreement between Danida and UNEP and PCA between UNEP and DHI for phase 4; draft Framework Agreement between UNEP and DHI;

Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, Steering Committee Meeting minutes, relevant correspondence etc.;

Key publications by the Centre;

Management and Institutional Review (2009) and Mid-Term Review (2010);

UNEP-DHI Centre website and external online references to initiatives supported by the Centre over the last 4 years; and

Evaluations or reviews of initiatives supported by the Centre.

Interviews with:

UNEP-DHI Centre Director and staff (Copenhagen);

DEPI/FMEB Coordinator, FEU Head and other relevant UNEP staff (Nairobi);

DHI management and DHI staff involved in the Centre's activities (Copenhagen);

Management, staff and key partners of selected initiatives supported by the Centre (remotely, over telephone or Skype with follow-up via Email);

Danida

As the initiatives executed or supported by the UNEP-DHI Centre are too numerous to be assessed comprehensively, the evaluation will focus on a sample of initiatives only. The evaluation will select a representative number of initiatives within the 5 broad categories presented in paragraph 6 above (Policy advice and technical assistance; Decision Support Systems and Water Resources Modelling; Assessments and Indicators; Guidelines, Policy Briefs and Environmental Publications; and Customized Training and Capacity Building). The inception report will explain the selection criteria and present the list of selected initiatives for more in-depth review.

Key Evaluation principles

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should be clearly explained.

The evaluation will assess the Project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring

and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

All evaluation criteria will be **rated** on a six-point scale. Annex 2 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

In attempting to attribute any outcomes and impacts to the Project, the evaluators should consider the difference between *what has happened with and what would have happened without the project (counterfactual)*. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the UNEP-DHI Centre's efforts. If adequate information on baseline conditions and trends is lacking, this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluators to make informed judgements about Project performance.

Evaluation criteria

Strategic relevance

The evaluation will assess whether:

- the UNEP-DHI Centre's objectives and implementation strategies are consistent with global and regional environmental issues and needs, in particular in the field of the management of freshwater and related resources for sustainable development;
- the Project is aligned with UNEP's Medium-term Strategies (MTS) 2010-2013 and 2014-2017, and corresponding Programmes of Work (POW). The Project is part of the Ecosystem Management Sub-programme, but is also expected to contribute to the Climate Change, Environmental Governance and Environment Under Review Sub-programmes. The evaluation should comment on whether the project is expected to make a significant contribution to any of the Expected Accomplishments and POW Outputs under these different sub-programmes. The causal linkages between the outputs and outcomes of the UNEP-DHI collaboration and the UNEP results statements in the MTSs and POWs should be fully described.
- the activities of the Centre are aligned with the objectives of the UNEP Bali Strategic Plan¹¹³ for technology support and capacity building;
- the design, process, products and monitoring have taken into consideration gender at different levels, in particular gender-specificity of services and products of the Centre and gender balance in the UNEP-DHI team and its advisory bodies;
- the Centre promotes and/or benefits from the exchange of resources, technology, and knowledge between developing countries and countries with economies in transition (South-South Cooperation);
- the Centre's activities are aligned with the Strategy for Development Cooperation of Denmark as well as the mandate and corporate strategy of the DHI Institute for Water and Environment.

The evaluation will also assess to what extent the Centre really manages to accommodate the expectations of the main stakeholders and whether these expectations and Centre's objectives are realistic, given the time and budget allocated to the Centre, the baseline situation and the institutional context in which the Centre has to operate. Evaluations/reviews of other Collaborating Centres such as the Risoe Centre should help put the UNEP-DHI collaboration into a broader perspective.

Achievement of Outputs

The evaluation will assess, for the key initiatives supported by the Centre, how successful it has been in producing the programmed outputs (i.e. services and tangible products), both in quantity and quality, as well as their usefulness and timeliness. The evaluation will consider how services and products delivered by the Centre compare to results produced in other organizations/centres working in the field of water and environment to show what are the strengths (and weaknesses) of the Centre in terms of products and services.

¹¹³ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

It will also review to what extent the Centre has been able to respond to *ad hoc* demands from UNEP and to support UNEP's capacity in the field of water resources.

The evaluation will briefly explain the reasons behind successes and failures of the Centre in delivering its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results).

Effectiveness: Attainment of Objectives and Planned Results

The evaluation will assess the extent to which the Project's objectives were effectively achieved or are expected to be achieved.

The evaluation will reconstruct the **Theory of Change (ToC)** of the Project based on a review of project documentation and discussion with the key stakeholders in the partnership. The ToC of the UNEP-DHI Centre will show the outcomes and impact the Centre ultimately wants to contribute to, and will depict the causal linkages between outputs (goods and services delivered by the Centre), outcomes (changes resulting from the use made by key stakeholders of Centre outputs) and impact (long term changes in environmental benefits and living conditions to which the Centre tries to contribute). The ToC will also depict any intermediate changes required between outcomes and impact, called 'intermediate changes'. The ToC further defines the external factors that influence (i.e. support or hamper) change along the major results pathways. These external factors are either called 'drivers' (when the project has a certain level of control) or 'assumptions' (when the project has no control). It also clearly identifies the main stakeholders involved in the change processes.

The assessment of effectiveness will be structured in three sub-sections:

- (a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of the UNEP-DHI Centre's outputs. In this case, the main questions will be to what extent the project has improved awareness and access to information and knowledge for sustainable management of water resources and aquatic (freshwater and coastal) ecosystems; put in place enabling conditions for stronger cooperation in the water sector; built capacity of countries and regions to utilize integrated approaches to sustainable management of water resources and freshwater and coastal ecosystems; and tested and made available appropriate tools for countries and regions to cope with adverse impacts on the water resource (quantity and quality) from climatic variability and change.
- (b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach¹¹⁴. The evaluation will assess how likely it is that the UNEP-DHI Centre has contributed, and will further contribute, to the sustainability of water resources and aquatic ecosystems. The ROtI will essentially critique the logic of the ToC (how strong are the causal linkages between outcomes contributed to by the Centre and the intermediate changes and impacts that are expected from the supported initiatives?), measure progress along the causal pathways on achievement of intermediate changes and impact in the ToC insofar evidence is available, and verify the presence of external factors required for change to happen along the causal pathways (drivers and assumptions).
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Documents for phase 3 and 4 of the Project (see paragraphs 8 and 10 above). As there might be no substantive difference between results statements in the reconstructed ToC and the original statements in the Project Documents, this sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as possible the indicators for achievement proposed in the Logical Frameworks (Logframes) of the project, adding other relevant indicators as appropriate.

The evaluation will briefly explain what factors affected the UNEP-DHI Centre's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. What are the main barriers to an increased impact of the Centre, and how could they be overcome?

¹¹⁴

Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

Sustainability and upscaling

Sustainability is understood as the probability of continued long-term outcomes and impacts resulting from the services and products delivered by the UNEP-DHI Centre, after the support and contributions by the Centre to different initiatives have ended. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the Centre's strategy and efforts, while others could be contextual circumstances or developments that are not under control of the Centre but that may condition the sustainability of results achieved. The evaluation should ascertain whether initiatives supported by the Centre have an adequate exit strategy setting out how results will be sustained and enhanced over time. It will also assess to what extent hand-over to other stakeholders has happened, and whether follow-up work has already been initiated by those stakeholders. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of outcomes and impacts? Is the level of ownership by the main stakeholders of the initiatives supported by the Centre sufficient to allow for the results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to use the tools and act on the advice, guidance, knowledge and skills transfer etc. provided by the UNEP-DHI Centre?

Financial resources. To what extent are the continuation of results and the eventual impact of the initiatives supported by the UNEP-DHI Centre dependent on financial resources? What are the prospects that adequate financial resources¹¹⁵ will be available to allow continued use of tools, knowledge, skills etc. enhanced with the help of the Centre? Are there any financial risks that may jeopardize sustenance of outcomes and onward progress towards impact?

Institutional framework. To what extent is the sustenance of outcomes and impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional and governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining results?

Environmental sustainability. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

Catalytic role and upscaling. The *catalytic role* of UNEP-supported initiatives is usually achieved through a combination of investing in pilot and demonstration activities which are innovative and show how new approaches can work, and, in parallel, supporting the creation of an enabling and stimulating environment for replication and upscaling of these pilot activities. UNEP aims to upscale new approaches to a national, regional or global level, with a view to achieve sustainable, large-scale environmental benefits. The evaluation will assess the catalytic role played by the UNEP-DHI Centre inasmuch as it may have:

- (a) *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of integrated approaches to sustainable management of water resources and aquatic ecosystems, and of appropriate tools to cope with adverse impacts from climatic variability and change on water resources;

provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour, such as improved awareness and access to information on the state and importance of water resources and aquatic ecosystems;

contributed to *institutional changes*, for instance stronger cooperation in the water sector;

¹¹⁵ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

contributed to *policy changes* (on paper and in implementation of policy) in the area of water and aquatic ecosystem management;

contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;

created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the supported initiatives may not have achieved all of their results).

Replication is defined as lessons and experiences coming out of the project that are applied or repeated in different geographic areas or organisational settings. *Upscaling* refers to application of guidelines, best practices, lessons learned etc. in the same geographic area or organisational setting but on a larger scale than the one supported by the initiative, and usually funded by other sources. The evaluation will assess the approach adopted by the project to promote replication and upscaling effects and determine to what extent actual replication and/or upscaling have already occurred or are likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

The evaluation will assess the cost-effectiveness and timeliness of Project execution. It will describe any cost- or time-saving measures used by the UNEP-DHI Centre to provide services and products of the highest standard within the secured budget and programmed time. It will also analyse how delays, if any, have affected execution, costs and effectiveness of the Centre. Wherever possible, costs and time over results ratios of the UNEP-DHI Centre will be compared with direct/internal execution by UNEP and also with other similar UNEP Collaborating Centres and partnerships. Evaluations/reviews of internally executed projects by the UNEP FMEB and other Collaborating Centres such as the UNEP Risoe Centre may provide some comparative information on efficiency.

The evaluation will give special attention to efforts by the UNEP-DHI Centre to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase its efficiency. For instance, the evaluation will consider how well other initiatives on water and aquatic resources management have been tapped, and how the Centre ensured the complementarity of its services and products to those proposed by other organisations and initiatives, to avoid duplication of efforts.

Factors and processes affecting project performance

Preparation and readiness. This criterion focusses on the quality of project design and preparation. In this case, this would regard both the Project (the UNEP-DHI Collaborating Centre) and the various initiatives supported by the Centre. Guiding questions for this criterion are:

Were project stakeholders¹¹⁶ adequately identified?

Were the project's objectives and components clear, practicable and feasible within its timeframe?

Were the capacities of executing agencies properly considered when the project was designed?

Was the project document clear and realistic to enable effective and efficient implementation?

Were the partnership arrangements properly identified and the roles and responsibilities agreed upon prior to project implementation?

Were counterpart resources (funding, staff, and facilities) and enabling legislation assured?

Were adequate project management arrangements in place?

Were lessons from previous phases and other relevant projects properly incorporated in the project design?

Were the different Legal Instruments developed for the project adequate (clear, comprehensive, fair etc.)?

What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.?

¹¹⁶ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

Project implementation and management. Again, this factor should be evaluated both at the level of the Project (the Centre) and the various initiatives it supports. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will assess the following:

- To what extent have project implementation mechanisms been effective in delivering outputs and outcomes? Were appropriate adaptations made to the approaches originally proposed?
- How effective and efficient was project management and how able was it to adapt to changes during the life of the project?
- What were the roles and how was the performance of the teams and working groups established?
- To what extent did project management respond to direction and guidance provided by the Steering Committee, the UNEP FMEB Coordinator and the Head of the FEU?
- Were there any operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how did project partners try to overcome these problems?
- How did the relationship between the UNEP-DHI Centre and collaborating partners develop?

Stakeholder participation and public awareness. This criterion regards the various initiatives executed or supported by the UNEP-DHI Centre. The term stakeholder should be considered in the broadest sense, encompassing both partners and clients/users (government agencies, academia and research institutions, youth, private sector, the general public etc.) of UNEP-DHI services and products. The ToC analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs, outcomes and intermediate changes towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- the approach(es) used to identify and engage stakeholders (within and outside UNEP) in the design and implementation of support initiatives. What were the strengths and weaknesses of these approaches with respect to the objectives of the initiatives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various partners and stakeholders during design and implementation of the initiatives?
- the degree and effectiveness of any public awareness activities that were undertaken in the course of implementation of the initiatives;
- any benefits for UNEP and stakeholders that stemmed from stakeholder involvement;
- how the results of the initiatives themselves (national reports and roadmaps, decision support systems, assessments, guidelines, water resources models, trainings etc.) promote participation of stakeholders, including users, in decision making on the management of water and aquatic resources.

Country ownership and driven-ness. The evaluation will assess the performance of government agencies involved in the UNEP-DHI Centre and the initiatives supported by the Centre. For the Centre itself, the main government involved is the Government of Denmark, both as a donor and as a member of the Steering Committee/Advisory Group. As regards the initiatives supported by the Centre, various government agencies are involved from several countries. The main questions to be addressed are:

- To what extent have governments assumed responsibility for the Centre and the initiatives supported by it, and provided adequate support to execution of activities, including the degree of cooperation received from the various public institutions involved in the Centre and its initiatives?
- How well does the Centre stimulate country ownership in the initiatives it carries out?

Collaboration and Partnerships. The evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with partners and external stakeholders by the Centre itself and through the initiatives it supports. The evaluation will seek to answer the following questions:

Have key stakeholders and partners (both internal and external) been identified and has their involvement at critical stages of implementation been ensured?

How is the overall collaboration between the Centre and the DHI Institute for Water and Environment, and the Centre and UNEP? What coordination mechanisms are in place? Are the incentives for collaboration adequate?

Has the Centre made full use of opportunities for collaboration with other DHI and UNEP projects and programmes? Have complementarities been sought, synergies been optimized and duplications avoided?

To what extent has the Centre been able to take up opportunities for joint activities and pooling of resources with other organizations and networks?

What effects did partnerships have on the Centre's performance?

Are there any opportunities to strengthen or to develop new partnerships?

Financial planning and management. Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources of the Centre and the initiatives it carries out or supports. Project administration, including financial management, is the responsibility of DHI as the host organization. DHI can assist with administration of contracts and payments to external consultants but can also request the contracting to be done through UNEP. The evaluation will look at actual operation costs of the Centre by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. It will in particular:

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the Centre and its partners;
- (b) Assess staffing, including roles and responsibilities and recruitment of staff and consultants, for the Centre and the initiatives it supports;
- (c) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced the Centre's performance;

Present the extent to which co-financing has materialized as expected at project approval, both for the Centre's operation and the initiatives it supports. Report co-financing to the Centre overall, and to the various initiatives it supports. The evaluation will provide a breakdown of final actual costs and co-financing for the Centre and the different initiatives it is involved in (see tables in Annex 3);

Describe the resources the Centre has leveraged over the period 2010-2014 and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources –beyond those committed to the project itself at the time of approval- that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector;

Suggest opportunities for mobilising more resources for the Centre.

Supervision, guidance and technical backstopping. The purpose of supervision to verify whether financial and, administrative management of the Centre is according to regulations and agreements, and whether it is delivering services and products of adequate quality and in a timely manner. Supervision should help identify shortcomings and bottlenecks and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues on which the supervising bodies (including UNEP) have a major contribution to make.

Supervision in the UNEP-DHI Centre is expected to take place at different levels of authority, for instance the staff of the Centre (DHI) is supervised by the Director of the Centre (UNEP). UNEP provides general management and policy guidance through the Coordinator of FMEB and the Head of FEU. UNEP also facilitates the necessary financial and general programme management services in compliance with UNON/UNEP rules and regulations. UNEP's Division of Environmental Policy Implementation (DEPI) guides the implementation of the project under the authority of the Director and provides the necessary policy guidance through its participation in the Steering Committee/Advisory Board, as well as through direct contact. Policy and

management direction and guidance has historically been provided by a Steering Committee (SC) consisting of high level representatives from UNEP, DHI and Danida, but the SC was dissolved at the end of phase 3 to be replaced by an Advisory Board which hasn't met yet.

The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

- (a) The adequacy of project supervision plans, inputs and processes;

The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);

How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

Monitoring and evaluation. M&E should be evaluated both at the level of the Project (the Centre) and the various initiatives it supports. The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design and Budget*

Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives?

How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?

SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?

Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?

Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?

Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?

Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

M&E Plan Implementation. The evaluation will verify whether:

the M&E system was operational and facilitated timely tracking of results and progress towards project objectives throughout the project implementation period;

Half-yearly Progress & Financial Reports were complete and accurate;

the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

The Consultants' Team

For this evaluation, the evaluation team will consist of a Team Leader and one Supporting Consultant. The members of the Evaluation Team will perform separate but complementary roles. Both consultants will ensure together that all evaluation criteria and questions are adequately covered.

The Team Leader will be hired for 2 months spread over the period September to December 2014. (S)He will be responsible for overall management of the evaluation, in close consultation with the UNEP Evaluation Office,

and timely delivery of its outputs as described in the overall TORs of the evaluation. (S)He will lead the evaluation design, data collection and analysis, and report-writing with full support and substantive inputs from the Supporting Consultant.

The Supporting Consultant will be hired for 6 weeks spread over the period September to December 2014. (S)He will be responsible for delivering timely and high quality contributions to the evaluation process and outputs as described in the overall TORs of the evaluation under the leadership and supervision of the Team Leader. (S)He will participate actively in evaluation design, document analysis, fieldwork and report-writing.

The Team Leader should have extensive evaluation experience, including of collaborative partnerships and using a Theory of Change approach. He should also have a broad understanding of water and aquatic resources management issues, IWRM in particular. The Supporting Consultant will have a solid environmental education and professional experience; adequate monitoring and evaluation experience; and experience in project, managing partnerships, knowledge management and communication.

By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the UNEP-DHI Centre in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

The evaluation team will prepare an **inception report** (see Annex 1(a) of TORs for Inception Report outline) containing a thorough review of the context of the UNEP-DHI collaboration, the design quality of the project, a draft reconstructed Theory of Change of the collaboration, the evaluation framework and a tentative evaluation schedule.

It is expected that a large portion of the desk review (see paragraph 23) will be conducted during the inception phase. It will be important to acquire a broad understanding of the UNEP-DHI Centre's mandate, institutional setting and activities at this time.

The review of design quality will cover the following aspects (see Annex 6 for the detailed project design assessment matrix):

- Strategic relevance of the project
- Preparation and readiness
- Financial planning
- M&E design
- Sustainability considerations and measures planned to promote replication and up-scaling

The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

The inception report will be submitted for review and approval by the Evaluation Office before any further data collection and analysis is undertaken.

When data collection and analysis has almost been completed, the evaluation team will prepare a short **note on preliminary findings and recommendations** for discussion with the Evaluation Office, UNEP management

and the UNEP-DHI Centre. The purpose of the note is to allow the evaluation team to receive guidance on the relevance and validity of the main findings emerging from the evaluation.

The main evaluation report should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

Review of the draft evaluation report. The evaluation team will submit a zero draft report to the UNEP Evaluation Office and revise the draft following the comments and suggestions made by the Evaluation Office. Once a draft of adequate quality has been accepted, the Evaluation Office will share this first draft report with Director of the UNEP-DHI Centre, who will alert the EO in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other UNEP stakeholders, in particular the UNEP FMEB Coordinator and the UNEP FEU, while the Director of the Centre will share the draft report with DHI, Danida and any other relevant stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that the Director of the UNEP-DHI Centre, UNEP management, DHI management and Danida provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report.

The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not be (fully) accommodated in the final report. They will explain why those comments have not been (fully) accepted, providing evidence as required. This response to comments will be shared by the Evaluation Office with the interested stakeholders to ensure full transparency.

Submission of the final Mid-term Evaluation report. The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.

As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 2.

The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

Logistical arrangements

This Mid-term Evaluation will be undertaken by two independent evaluation consultants contracted by the UNEP Evaluation Office. The consultants will work under the overall responsibility of the UNEP Evaluation Office and will consult with the Evaluation Office on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP-DHI team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

Schedule of the evaluation

Table 7 below presents the tentative schedule for the evaluation.

Table 7. Tentative schedule for the evaluation

Milestone	Timing
Inception Mission – 1 day Copenhagen	Early September 2014
Inception Report	19 September 2014
Evaluation Mission - 3 days Nairobi - 3 days Copenhagen	- 1-3 October 2014 - 6-8 October 2014
Telephone interviews, surveys etc.	October 2014
Note on preliminary findings and recommendations	End October 2014
Zero draft report sent to Evaluation Office	Mid-November 2014
Draft Report shared with UNEP-DHI Director	End November 2014
Draft Report shared with all stakeholders	8 December 2014
Comments received from stakeholders	19 December 2014
Final Report	Mid-January 2015

Contractual arrangements

The fee of the consultants will be agreed on a deliverable basis and paid upon acceptance of expected key deliverables by the UNEP Evaluation Office.

Deliverables:

- Inception report
- Note with preliminary findings (5 pages) incorporating Evaluation Office comments as required
- Draft main report incorporating Evaluation Office comments as required
- Final main report incorporating comments received from evaluation stakeholders as appropriate, including a “response to comments” annex

Schedule of Payment:

Deliverables	Percentage payment
Signature of contract	Travel expenses
Inception report	20% of fees
Submission and approval of the preliminary findings note	20% of fees
Submission and approval of the draft evaluation report	30% of fees
Submission and approval of the final evaluation report	30% of fees

Both consultants will be hired under an individual Special Service Agreement (SSA). There are two options for contract and payment: lumpsum or “fees only”.

Lumpsum: The contract covers both fees and expenses such as travel, per diem (DSA) and incidental expenses which are estimated in advance. The consultants will receive an initial payment covering estimated expenses upon signature of the contract.

Fee only: The contract stipulates consultant fees only. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

In case the consultants are not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP’s quality standards.

If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants’ fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex 2: Evaluation programme

Evaluation programme

Dates	Activity
20/8-29/9 2014	Inception phase
20/8-7/11 2014	Document review
31/8-5/9 2014	Interviews with UDC partners and stakeholders @ World Water Week, Stockholm, Sweden
15/9 2014	Interviews with UDC and DHI staff @ UDC Office/DHI HQ, Hørsholm, Denmark
16/9 2014	Interviews with UDC and DHI staff @ UDC Office/UN City, Copenhagen, Denmark
21/10-3/11 2014	Distance interviews with partners and stakeholders (Skype/phone)
24/10 2014	Interviews with UDC and DHI staff @ UDC Office/DHI HQ, Hørsholm, Denmark
31/10-3/11 2014	Interviews with UNEP staff @ UNEP HQ, Nairobi, Kenya
15/10-20/11 2014	Draft report writing
21/11-18/12 2014	Stakeholder review
18/12 2014 – 5/1 2015	Report finalisation

People consulted

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Annex 4 Summary of financial information

Annex 4.1 Financial overview (not including DHI in-kind contribution)

	Phase 3 Four year project total budget			Phase 3 Extension One year total budget			Phase 4 Three year project budget total		
	UNEP	DANIDA	Total	UNEP	DANIDA	Total	UNEP	DANIDA	Total
10 Project personnel component*									
Project Personnel at DHI (non-UNEP)*									
1100									
1101 Director Staff costs implementing		930,492	930,492		313,688	313,688		825,000	825,000
1102 org.		2,310,764	2,310,764		716,270	716,270		2,511,141	2,511,141
1199 Total		3,241,256	3,241,256		1,029,958	1,029,958		3,336,141	3,336,141
1600 Travel on Official business									
1601 DHI Travel		487,300	487,300		121,825	121,825		357,480	357,480
1602 UNEP Participation	40,000		40,000	10,000		10,000	30,000		30,000
1603 SAG Participation	48,000		48,000	12,000		12,000	45,000		45,000
1699 total	88,000	487,300	575,300	22,000	121,825	143,825	75,000	357,480	432,480
1999 Component total	88,000	3,728,556	3,816,556	22,000	1,151,783	1,173,783	75,000	3,693,621	3,768,621
20 Subcontracts									
2200 Sub-contracts (unspecified)									
2201 Unspecified MOUs	184,000		184,000	46,000	30,000	76,000		960,000	960,000
2299 Component total	184,000		184,000	46,000	30,000	76,000		960,000	960,000
2999 Component total	184,000	0	184,000	46,000	30,000	76,000	0	960,000	960,000
30 Training component									
3100 Fellowships									
3101 Student Programme	40,000		40,000	10,000		10,000	45,000		45,000
3199 Total	40,000		40,000	10,000		10,000	45,000		45,000
3999 Component total	40,000	0	40,000	10,000	0	10,000	45,000	0	45,000
40 Equipment and premises component*									
4301 Office rental							105,000		105,000
4399 Total	0	0	0	0	0	0	105,000		105,000
4999 Component total	0	0	0	0	0	0	0	105,000	105,000

50 Miscellaneous component									
5200 Reporting costs									
5201 Evaluation Costs	16,000		16,000		30,000	30,000	45,000		45,000
5202 Printing and reproduction Outreach and Public information	24,000		24,000	6,000		6,000	54,000		54,000
5203 UNEP Project Support Costs	12,000		12,000	3,000		3,000	45,000		45,000
5204								413,793	413,793
5299 Total	52,000		52,000	9,000	30,000	39,000	144,000	413,793	557,793
5300 Sundry									
5301 Communications Cost	36,000		36,000	9,000		9,000	36,000		36,000
2399 Total	36,000		36,000	9,000		9,000	36,000		36,000
5999 Component total	88,000	0	88,000	18,000	30,000	48,000	180,000	413,793	593,793
99 Grand Total	400,000	3,728,556	4,128,556	96,000	1,211,783	1,307,783	300,000	5,172,414	5,472,414

*Not including the DHI in-kind contributions for personnel (US\$990,150 for Phase 3 and US\$588,444 for Phase 4) and office space (Office space provided free of charge for Phase 3 - contribution of US\$33,000 for Phase 4).

Annex 4.2 Summary of financial information

Project Costs, Phase 4 (2013-2015)

Component/sub-component/output	Estimated cost at design* US\$	Actual Cost** US\$	Expenditure ratio (actual/planned)
1) IWRM and EBM	1828157	1828157	1:1
2) Climate Variability and Change	1218772	1218772	1:1
3) Assessment and Indicators	1828157	1828157	1:1
4) Development of the Centre	1218772	1828772	1:1

* Costs were not estimated per component in the prodoc

** Estimated by UDC at project completion (end 2015)

Co-financing

Co financing (Type/Source)	UNEP own Financing (US\$1,000)		Government (US\$1,000)		Other** (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Expecte	Planned	Expecte	Planned	Expecte	Planned	Expecte	
<input type="checkbox"/> Grants	150	150	5172.4	5172.4	0	3051	5322.4	8373.4	8373.4
<input type="checkbox"/> In-kind support	150	150	0	0	621.4	621.4	771.4	771.4	771.4
<input type="checkbox"/> Other	0	0	0	0	0	0	0	0	0
-									
-									
Totals	300	300	5172.4	5172.4	621.4	3072.4	6093.8	9144.8	9144.8

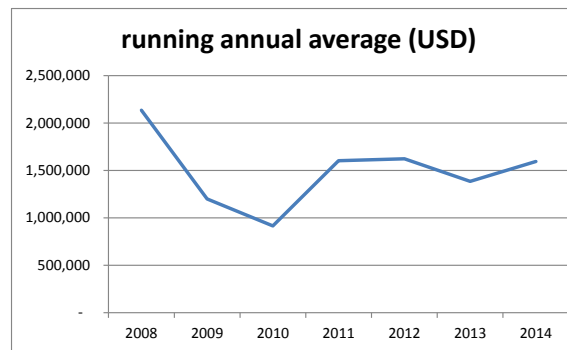
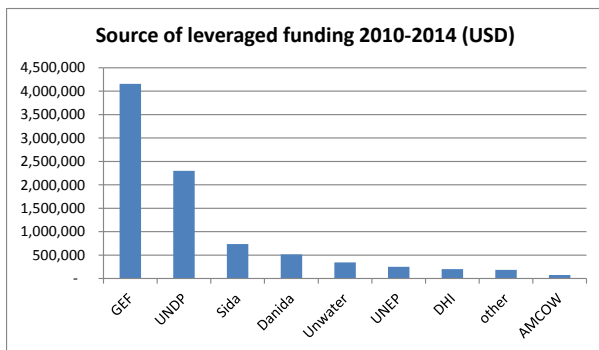
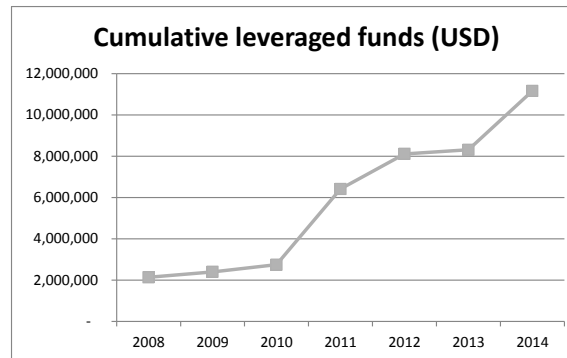
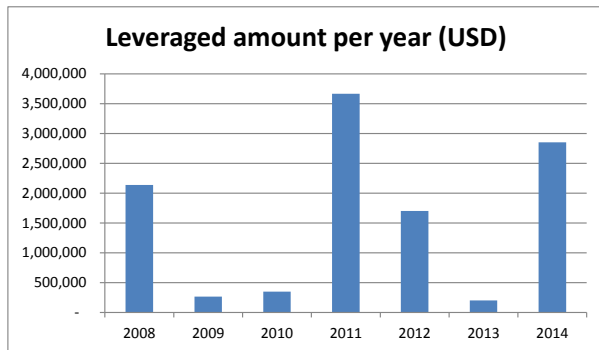
*Estimated by UDC at project completion (end 2015)

** This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries. Please create new columns as required.

Annex 4.3 Summary of leverage calculations

Table 5.2.1 shows the funds leveraged from 2008 to 2014. This information is also illustrated in a number of graphs that follow:

Year Commencing	Source of funding	Amount in USD	
2008	EU+ (West Africa IWRM)	1,750,000	
2008	UNEP_UNDP CC-DARE	360,000	Total 2008
2008	UNEP-DEPI (IWRM 2005)	25,000	2,135,000
2009	UNEP-ROAP (Bhutan)	14,000	Total 2009
2009	UNEP (Nile)	250,000	264,000
2010	UNEP-DEWA (TWAP preparation)	250,000	
2010	GEF (Volta river basin commission support)	88,000	Total 2010
2010	GEF (TWAP preparation)	10,000	348,000
2011	DANIDA (WRM status report for Rio+20)	490,000	
2011	UN-Water (WRM status report for Rio+20)	140,000	
2011	DHI (Serious Game)	100,000	
2011	CCCA (Cambodia climate project) UNDP	2,200,000	Total 2011
2011	SIDA (Nile climate and water management)	735,000	3,665,000
2012	DANIDA (Goals and targets for MIM)	25,000	
2013	GEF (TWAP execution)	1,500,000	
2012	African Union/AMCOW (African IWRM report)	75,000	Total 2012
2012	GEF (Floods and Droughts preparation)	100,000	1,700,000
2013	DHI (Serious Game)	100,000	Total 2013
2013	UNDP Cap-Net (Serious Game)	100,000	200,000
2014	GEF Floods and Droughts execution	2,460,000	
2014	CTCN (CTCN work)	65,000	Total 2014 to date
2014	Danish Min of Env	122,000	
2014	UN-Water (SDG Work)	204,000	2,851,000
	Total	8,764,000	



Annex 5 Matrix of overall quality of project design

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEP's Expected Accomplishments and programmatic objectives?		Yes. The intended results are directly and explicitly linked to the MTS and expected accomplishments	3.4 table 2
Does the project form a coherent part of a UNEP-approved programme framework?		Yes – it is part of the MTS and falls under the bi-annual programme of work in the sense of contributing to it not in the sense of taking over direct activities	3.4 table 2
Is there complementarity with other UNEP projects, planned and ongoing?		The project supports the UNEP strategy on freshwater (2012-16). Complementarity is implied as it supports the MTS but an explicit listing of other UNEP projects is not made. Linking to UN-Water is mentioned and that is relevant as UNEP has a leading role.	2.3 role and mandate of UNEP
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	Yes – the approach is to base IWRM on basin level needs	3.3
	ii) the UNEP mandate and policies at the time of design and implementation?	Yes – as mentioned above it is linked to the role and mandate of UNEP explicitly and also the MTS	2.3 and 3.4
	iii) the UNEP MTS and PoW?		
	iv) Stakeholder priorities and needs?	Yes – the approach when applying IWRM is to work closely with stakeholders	3.3
Overall rating for Relevance		Highly satisfactory	
Intended Results and Causality			
Are the objectives realistic?		The objectives are phrased using words such as “improved” and “enhanced” which are elastic – the OVs are more definite (e.g. countries with IWRM integrated into national plans) but without hard targets (targets are set at the output level). Without targets the objectives are in theory realistic (as they are not measured against a benchmark) but the expectation given by the wording of the OVs goes beyond what is realistic	

Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?	No, this method of describing the log frame is not used. The log frame is more exact for Phase 4 than Phase 3 but does not go into theory of change. It is understandable why not because IWRM is a long established process – however the theory of change could have opened up a useful process for examining the constraints of IWRM in practice and also the opportunities. Fresh thinking might repeat much of what has been worked over in the past but could also provide new insight.	3.4
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	As for the earlier discussion on realism – the outputs are realistic in the time frame but the outcomes (with a normal interpretation of what is promised) are probably not achievable. This also depends on the base line it would be realistic for a country that is just about to develop IWRM plans but not for one that has not yet started the process. Having said that, the log frame is at least simple and straightforward and in that sense implementable.	3.4
Are the activities designed within the project likely to produce their intended results	Activities are not defined in the log frame. But rather in the downstream work plans. For this type of project which is based partly on demand and which is highly complex it is appropriate not to focus on the activities. An idea of the typical type of actions to be taken is given in the strategic focus section (3.3)	3.3
Are activities appropriate to produce outputs?		
Are activities appropriate to drive change along the intended causal pathway(s)		
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	Assumptions are identified under risk analysis but not impact drivers. Roles and responsibilities are not linked to elements of the causal pathway because this methodology is not used.	5.5
Overall rating for Intended Results and causality	Moderately satisfactory	
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	The approach is to work in partnerships, which has some cost advantages. There is a time sheet system in place, which is a good control measure. The director's employment is de-linked from the host, which provides some measure of independent supervision but perhaps more is needed.	
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with	The project builds on many years of earlier experience. There is coordination with Cap-Net for example on capacity	

other initiatives, programmes and projects etc. to increase project efficiency?	building	
Overall rating for Efficiency	Satisfactory	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	Not explicitly but within IWRM this is part of the process – although it is probably one that needs strengthening.	
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	Some are identified under risks assessment. The tools and guidelines and capacity developed are inherently designed to promote awareness and to advocate. But this is not brought out explicitly. It would probably be a good idea to have dwelt on it more but it is also important that the project document is short and to the point.	5.5
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	The implication is that the work of the centre would be funded in a next phase. As an alternative, or more realistically, as a complement, more thought could be given to raising funds for capacity and tools from the beneficiary countries themselves – the project document does not go into detail on this topic. However, the cost of IWRM and water governance is an increasingly important topic that is very likely part or will become part of the downstream activities.	
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	Policy, tools and guidelines and even capacity are developed without much thought to what they cost to implement and sustain. The project document does not elaborate but the expectation from the professional approach adopted is that this will be part of the downstream implementation (which could be tested in the main evaluation).	
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	Yes – in terms of implementation of the project and in that sense also sustainability at the centre level. A weakness of the governance set up is that there is no apparent representation of the ultimate “clients” who are supposed to benefit. At lower levels, it would be part of a good (but also perhaps rare) IWRM design to incorporate such considerations.	
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the	Not explicitly. However, the entire project is geared towards improving environmental performance and thus	

environment, which, in turn, might affect sustainability of project benefits?		such considerations are implicit.	
Does the project design foresee adequate measures to catalyse behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches showcased by the demonstration projects;	Technologies and approaches are a core part of the project. Demonstrations are not mentioned as such and are not budgeted for but are likely to be part of the implementation using partner budgets.	3.3
	ii) strategic programmes and plans developed	These are a core part of the project – the focus is less on behaviour change and more on generating and disseminating knowledge.	3.3
	iii) assessment, monitoring and management systems established at a national and sub-regional level		
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]		Making institutional changes is implicitly acknowledged as is mainstreaming of the approach. The focus however is more on the technical front – making tools available. This is also the strength of the centre. Perhaps partnership with others on the institutional aspects would be useful to consider in greater depth. But there is nothing to prevent this one the project starts.	
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		Policy change is a core part of the project. As for other areas, understandably, the focus is on the technical policy content. The suggested focus on fewer countries would help enable a deeper intervention that considers a range of measures including the institutional ones.	
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing)?		The expectation is that future phases will continue funding the centre and it would not be realistic to consider any full scale alternatives to such continued funding – although a move towards partial funding might be relevant to consider (No exit strategy is presented).	
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions (“champions”) to catalyse change (without which the project would not achieve all of its results)?		The design is not explicit on this issue but good IWRM practice would be compatible with such action and there is enough room in the design to allow this (although it is not triggered by the design)	
Are the planned activities likely to generate the level of ownership by the main national and regional		Yes, if the IWRM approach is followed and tailored to the context, which is the	

stakeholders necessary to allow for the project results to be sustained?	approach that the project document advocates. There is no mention of co-funding or a strategy for ensuring minimum levels.	
Overall rating for Sustainability / Replication and Catalytic effects	Moderately satisfactory	
Risk identification and Social Safeguards		
Are critical risks appropriately addressed?	The risks are identified and mitigating action is presented for Phase 4, but not for Phase 3. The risk analysis is relatively simple and does not distinguish risk at different levels	5.5
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Assumptions are presented for Phase 3. Assumptions are not presented for Phase 4, although they could be read into the risk analysis	3.4 and 5.5
Are potentially negative environmental, economic and social impacts of projects identified?	These are not identified because the individual projects themselves are not identified – at an overall level the entire project is aimed at reducing potentially negative impacts	
Overall rating for Risk identification and Social Safeguards	Moderately satisfactory	
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?	Yes, it is recognised that the SAG may not fulfil its role as originally intended and an advisory board is proposed	
Are roles and responsibilities clearly defined?	Yes, the roles of the three main parties UNEP, DHI and Danida are clear	
Are supervision / oversight arrangements clear and appropriate?	Yes,	
Overall rating for Governance and Supervision Arrangements	Satisfactory	
Management, Execution and Partnership Arrangements		
Have the capacities of partner been adequately assessed?	An assessment is not provided but the track record from earlier phases	5.3
Are the execution arrangements clear?	Yes, they are also described in greater detail in the framework agreement (not signed)	5.3
Are the roles and responsibilities of internal and external partners properly specified?	The roles are clear but not specified in detail in the project document but are specified in other documents (PCA, framework agreement)	5.3

Overall rating for Management, Execution and Partnership Arrangements		Satisfactory	
Financial Planning / budgeting			
Are there any obvious deficiencies in the budgets / financial planning		No	5.2
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential		There is some discussion on the unit cost of DHI staff. The use of resources and who has the decision to approve expenditure levels is not clear from the document but is described in the	5.2
Financial and administrative arrangements including flows of funds are clearly described		The arrangements are clear	5.2
Overall rating for Financial Planning / budgeting		Satisfactory	
Monitoring			
Does the logical framework: <ul style="list-style-type: none"> capture the key elements in the Theory of Change for the project? have 'SMART' indicators for outcomes and objectives? have appropriate 'means of verification' adequately identify assumptions 		There are SMART indicators for the most part and also means of verification. Targets are set for output indicators but not outcome indicators. There are no baselines identified. As earlier mention the theory of change approach is not used. Assumptions are only identified for Phase 3, not for Phase 4.	3.4
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?		They are helpful and the work plans should be an instrument to make them more operational	3.4
Is there baseline information in relation to key performance indicators?		No (although in many cases the baseline is zero or at least the indicator is for additional to what is there already)	3.4
Has the method for the baseline data collection been explained?		No	3.4
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??		Only for outputs not outcomes	3.4
Has the time frame for monitoring activities been specified?		There are annual reports	3.4
Are the organisational arrangements for project level progress monitoring clearly specified		It is clearly the responsibility of the centre	3.4
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?		No – although there is an evaluation budget	3.4
Overall, is the approach to monitoring progress and performance within the project adequate?		The approach is adequate – it is described in simple and straightforward terms	3.4

Overall rating for Monitoring	Moderately satisfactory	
Evaluation		
Is there an adequate plan for evaluation?	Yes	4.2
Has the time frame for Evaluation activities been specified?	It is implied as a mid-term evaluation -	4.2
Is there an explicit budget provision for mid-term review and terminal evaluation?	Only for one of them – budget insufficient	4.2
Is the budget sufficient?	Not for two and not entirely adequate for one (depending on level of detail)	4.2
Overall rating for Evaluation	Satisfactory	

Annex 6 Achievement of output targets

Annex 6.1 Achievement of outputs/outcomes, Phase 3

Table: Achievement of outputs/outcomes, Phase 3			
Outcomes/outputs	Indicators and targets	Realisation by March 2013 (2008-2012)	Target status
1. Improved assessment and awareness of water issues			
1.1. Assessment methodologies for IWRM planning and implementation used by decision makers.	<p>Guidelines and methods published and disseminated for assessment of:</p> <ol style="list-style-type: none"> Impacts of climate change on water resources management (one UNEP publication) Environmental flows in IWRM (one UNEP publication) Environmental impacts of infrastructure development Groundwater and Ecosystems (one UNEP publication) Land and water issues Economic costs and benefits of IWRM (one UNEP publication) Progress of IWRM implementation (3 reports to international fora) <p>Guidelines effectively in use in (15) countries</p>	<ol style="list-style-type: none"> UN CC-DARE policy brief on CC impacts on IWRM in Africa UNEP “Securing Water for Ecosystems and Human Well-being – the Importance of Environmental Flows” Publication postponed to Phase 4 UNEP/IWMI “Managing Water and Agroecosystems for Food Security” (UDC lead author on chapter. 5, 10, 11) Same as 3 above Methodology for the GEF Transboundary Waters Assessment Programme: <ul style="list-style-type: none"> Volume 1. Methodology for the Assessment of Transboundary Aquifers, Lake Basins, River Basins, Large Marine Ecosystems, and the Open Ocean Volume 4 – Methodology for the Assessment of Transboundary River Basins Ecosystem Approaches in Integrated Water Resources Management: A Review of Transboundary River Basins at World Water Week 2011 and World Water Forum 2012 Financing IWRM in Africa (draft) Progress on IWRM implementation: <ul style="list-style-type: none"> Status Report on Integrated Water Resources Management and Water Efficiency Plans to CSD16 in 2008 Transboundary IWRM Survey reporting at 1st International Environment Forum for Basin Organizations 2011 and World Water Forum 2012 2012 Status Report on the Application of Integrated Approaches to Water Resources Management in Africa 2012 Status Report on The Application of Integrated Approaches to Water Resources Management 	Achieved – planned publications made. <i>Their use in countries not measured/reported on by UNEP-DHI</i>
1.2. Global, regional, sub-regional and national stakeholder fora informed about IWRM, ecosystem management and climate change water challenges	<p>Presentations, sessions, printed information on IWRM, ecosystem management and adaptation to climate change as contributions to all major global water events (e.g. WWF series and World Water Weeks) as well as to key regional/sub-regional events.</p> <p><i>(No quantified target made for the indicator in the project log frame)</i></p>	<p>UDC made inputs, presentations and disseminated documents at the following events:</p> <ul style="list-style-type: none"> World Water Week (2008-2012) 16th session of the Commission on Sustainable Development (2008) Global Oceans Forum (2008) High-Level Ministerial Conference on Strengthening Transboundary Freshwater Governance (2009) International Conference on Water Management for Adaptation to Climate Change and Promotion of Green Growth in the Asia-Pacific Region (2010) World Water Day Event (Kenya 2010) Global Land-Ocean Conference (2012) World Water Forum (2012) Africa Water Week (2012) Third Intergovernmental Review Meeting on the Implementation of the Global Programme of Action (GPA) (2012) Rio+20 (2012) 	Evidence of active participation in various forums
1.3. Trends and emerging issues regarding IWRM/ICARM, water and ecosystems, and water and climate change published in: <ul style="list-style-type: none"> UNEP’s Transboundary 	<p>Consolidated chapters on water in TWAP reports, in 4 GEO reports, and in World Water Development Report 2009</p>	<ul style="list-style-type: none"> TWAP: UDC is lead on the transboundary rivers component. In Phase 3 the assessment methodology was published (TWAP preparatory phase) GEO: UNEP-DHI staff were lead 	Achieved

<p>Waters Assessment Programme (TWAP)</p> <ul style="list-style-type: none"> • UNEP's Global Environment Outlook series • UNEP's contribution to the World Water Development Report 	<p>(UNEP's input)</p>	<p>coordinating author and lead author of chapter 4 on water</p> <ul style="list-style-type: none"> • World Water Development Report: <ul style="list-style-type: none"> ○ Report #3: UDC mobilised an expert as a) co-author of part 1 and chapter 14, b) reviewer of all chapters, c) author of side publication, "IWRM in Action": ○ Report #4: UDC provided lead author for chapter 16 "State of the Resource: Water Quality" 	
<p>2. Improved environmental management of basins, coastal and marine waters, including the Identification of linkages with ongoing international processes</p>			
<p>2.1. Enhanced development of national water policies, legislation, financing/economy and action planning building on IWRM and including environmental aspects such as land and water interactions, environmental flow, climate changes, and freshwater-coast linkages.</p>	<p>Water policies and legislation enhanced in <u>5 developing countries</u> or countries in transition Cases of best practices in water policy and law development</p>	<ul style="list-style-type: none"> • Documented policy enhancement in <u>2 countries</u>: <ul style="list-style-type: none"> ○ Assisted the development of the first National Integrated Water Resources Management Policy for Liberia ○ Supported Senegal's Department of Regional Planning in order to update the Urban Development Plans of coastal settlements • A total of <u>7 countries</u> assisted with IWRM planning and roadmaps through the EU West Africa project (Cote d'Ivoire, the Gambia, Guinea Bissau, Guinea Conakry, Liberia, Sierra Leone and Togo) 	<p>Target exceeded (8 countries assisted)</p>
<p>2.2. Enhanced environmental institution reforming, building on IWRM and emphasizing cross-sectoral interactions, stakeholder involvement, decentralization, and river basin management at national and transboundary levels.</p>	<p>Sub-regional IWRM learning networks consolidated with assistance from the Centre in <u>3 sub-regions</u>. Changes in institutional structures and management behaviour</p>	<p>A total of 25 countries in 10 sub-regions received assistance through multi-stakeholder processes as part of the IWRM2005 Programme and EU West Africa project. The result was locally owned IWRM roadmaps, plans and reports in which environmental aspects, cross-sectoral interactions, decentralization and basin level management as key aspects.</p> <p>Capacity also enhanced through additional work in <u>3 regions</u>:</p> <ul style="list-style-type: none"> • Country Water Partnerships in West Africa reviewed • Training of regional networks: Nile IWRM-net, GWP Western Africa • Training of trainers in river basin organisations and management in Southeast Asia 	<p>Achieved <i>Changes in institutions, networks and management behaviour not reported on</i></p>
<p>2.3. Enhanced use of IWRM related decision support tools related to IWRM/ICARM, ecosystem management and climate change</p>	<p>Guidelines and tools available and disseminated for:</p> <ol style="list-style-type: none"> 1. Development of adaptation strategies for water related impacts of Climate Change 2. Allocating sufficient quantity and quality of water to ecosystems (Environmental flows) 3. Environmentally sound operation of selected water related infrastructures 4. Inclusion of water issues in landuse planning 5. Inclusion of environmental economics in IWRM <p>Guidelines and tools in use in (15) countries</p>	<p>Tools development:</p> <ul style="list-style-type: none"> • Tools for incorporating floods and droughts into IWRM in transboundary basins (under development by March 2013) • Hydrological modelling software developed and introduced for the Lake Faguibine System in Mali <p>Trainings on use of tools:</p> <ul style="list-style-type: none"> • Trainings carried out on the use of WRIAM tool in 8-10 African countries • Regional training on scoring model use and design of water quality monitoring systems for 10 African countries <p>Other training/capacity building:</p> <ol style="list-style-type: none"> 6. Stakeholder exercise out on identification of climate problems and solutions in 5 Africa countries <p>Training materials developed:</p> <ol style="list-style-type: none"> 7. ToT course on IWRM in drought risk management (with Cap-Net) 8. ToT materials on water pollution (with Cap-Net) 9. Serious educational game for river basin management (under development by Mar 2013) <p>Review report published: Ecosystem Approaches in</p>	<p>Partly achieved Training materials developed/ promoted mainly on IWRM, and climate change. <i>Environmental flows, infrastructure operation, inclusion of water issues in landuse planning, environmental economics in IWRM only covered partially – the use of tools in countries not measured/ reported on by UNEP-DHI</i></p>

	Case studies of best practices	Transboundary IWRM: A Review Report of Transboundary River Basins	
3. Improved cooperation in the water sector			
3.1. Accelerated and improved IWRM planning and processes with emphasis on ecosystem management and climate change.	IWRM plans incorporating ecosystem management and adaptation strategies for climate change developed and/or being implemented based on guidance from the Centre (20 countries). Cases of best practices	<ul style="list-style-type: none"> A total of 19 countries were assisted with IWRM roadmaps and reports as part of the UNEP IWRM 2005 Programme Support for IWRM and climate change regional planning in <u>Mozambique and Nile basin countries</u> Input to GCCA project in Cambodia on coastal zone management Water resources inventory in support of national IWRM planning in Bhutan Best practice cases and lessons learned presented in publication Assessment on water resources and disaster risk in Rwanda Status reports on WRM 	Target exceeded
3.2. Established/improved regional and sub-regional networks in IWRM and ICARM in collaboration with GWP, FreshCo and other partners including: Enhanced policy development on IWRM of regional and sub-regional intergovernmental bodies/economic communities (e.g. SADC, ECCAS, ECOWAS, ASEAN) Enhanced trans-boundary river basin organisations based on IWRM principles	<u>3 river basin organizations</u> enhanced with assistance from the Centre Cases of best practices	<ul style="list-style-type: none"> Supported the establishment of <u>4 new river basin organisations</u> (3 in West Africa, 1 for the Congo Basin) Volta Basin Authority countries assisted in integrating IWRM plans into GEF project; support to project implementation 	Target exceeded
3.3. Enhanced cohesion to IWRM and ecosystem approaches across the UN system Effective follow-up of the Copenhagen Initiative for Water and Development Enhanced development and implementation of a global IWRM progress review and reporting mechanism by UN-Water Enhanced contribution of UNEP to the CSD process on water related issues Enhanced contribution of UNEP to international fora on water including e.g. the World Water Forum series, World Water Week in Stockholm, events organised by the World bank/the regional development banks/GWP etc.	<ol style="list-style-type: none"> Environmental aspects of IWRM mainstreamed in water strategies of the UN system. Consolidated operational partnership on support to IWRM (Copenhagen Initiative). Monitoring guidelines, global reviews Consolidated policy responses from UNEP to the UNEP GC/GMEF, CSD, World Water Forum Series etc. <p><i>(No quantified targets made for the indicators)</i></p>	<ol style="list-style-type: none"> Contributed to the contents and development process for the UNEP Freshwater Operational Strategy Contributed to UN-Water policy briefs Status reports on IWRM prepared for Africa water Week, CSD-16 and CSD-20 Status reports on IWRM prepared for Africa water Week, CSD-16 and CSD-20 Support provided to UNEP at numerous international forums Acted as secretariat for the UNEP Scientific Advisory Group on Water Contributed to: Fresh Water for the future: A synopsis of UNEP activities in water 	Largely achieved <ul style="list-style-type: none"> <i>UDC appears not to have influenced water strategies of other UN organisations than UNEP</i> <i>Monitoring guidelines not prepared during Phase 3</i>
Source: UNEP-DHI Centre: Final Report January 1st 2008 – March 31st 2013 on Support to the implementation of the UNEP Water Policy and Strategy Project FP/CP3011-08-06. (FPL8440-2632-1171) (CPL8440-2632-3722), and further information provided by UDC staff			

Annex 6.2 Achievement of outputs, Phase 4 April 2013 – June 2014

Table: Achievement of outputs/outcomes, Phase 4 to date			
Outputs	Targets	Realisation April 2013-June 2014	Progress status
1. IWRM and EBM: Enhanced capacity of countries and regions to utilize integrated approaches to sustainable management of water resources and aquatic ecosystems			
1.1. Policy advice and technical assistance to national and trans-boundary IWRM processes	10 countries and 3 transboundary basins	2013: <ul style="list-style-type: none"> 23 trainers from 12 countries trained International training of trainers in drought management (Mexico) 90+ schoolchildren from 4 countries in SE Asia: educated in WRM (Aqua Republica) 2014: <ul style="list-style-type: none"> Capacity building to support IWRM progress for water SDG pending completion of UN Open WG document Webinar on hydrological modelling scheduled for Q4 Eco challenge competition for school children in Asia (860 children from 9 countries) Aqua Republica under development with Cap-Net for Argentina and Kenya IWRM, CC Adaptation and Ecosystems Management Implementation, 2 training courses in Vietnam scheduled for Q3 	On track – but the output focuses at national and transboundary levels, whereas a number of activities target the global policy level or school children
1.2. Tools, guidelines and decision support systems for strengthening water quality management in IWRM and EBM prepared and disseminated	2 tools/guidelines, with uptake in projects or plans	2013-2014: <ul style="list-style-type: none"> Contributed to drafting of International Water Quality Guidelines for Ecosystems Technical inputs to finalization of training course materials on water pollution and ecosystems (UNEP and Cap-Net), scheduled for release in Q3 Water quality webinars scheduled for development and execution in Q3-Q4 Tool for stakeholder education on water allocation delayed, now scheduled to start Q3 Lead on UNEP Green Infrastructure Guide to be finalised and launched in Q3 	On track – activities to ensure uptake could be developed to ensure target is met
1.3. Integrated approaches to water resources management in the coastal zone	3 countries supported	2013: UNEP-GEF Project: “Vulnerability Assessment and Adaptation Programme for Climate Change in the Coastal Zone of Cambodia” – training, group formation, field trials, guidelines and reports produced 2014: <ul style="list-style-type: none"> Technical contribution to UNEP-GEF Project: “Vulnerability Assessment and Adaptation Programme for Climate Change in the Coastal Zone of Cambodia” Six coastal zone demonstration activities implemented to build CC resilience, Cambodia Preliminary integrated assessment Prey Nob, Cambodia Refinement and testing of multi-criteria tool for prioritisation and stakeholder processes for identifying and obtaining consensus upon CC adaptation and other investments in coastal areas, Tanzania – expected starting in Q3 Integrated Coastal Zone Management (ICZM) Workshops and Training Material Development initiated (with Cap-Net) 	On track
1.4. Training and capacity building in integrated approaches to the sustainable management of water resources and aquatic ecosystems	200 people in 10 countries, with subsequent uptake in projects or plans	2013: <ul style="list-style-type: none"> Initial assistance to DRC for development of national water resources policy based on IWRM Technical support for finalization of Volta River Basin Transboundary Diagnostic Analysis (TDA) and Strategic Action Plan (SAP) 2014: <ul style="list-style-type: none"> Further support for DRC pending on dialogue UNEP/DEPI/PCDMB (see above) Fact-finding for planned policy advice and TA under UNEP-GEF Floods and Droughts project to Lake Victoria, Chao Phraya and Volta basins Contributing to in-depth assessment of Volta Basin Ongoing design of TA for Gambia River Basin 	Seemingly on track – but related projects still in initial stages <i>The number of countries and people reached is not quantified in progress reports</i>
2. Climate Variability and Change: Improved tools available for countries and regions to cope with adverse impacts on the water resource from climatic variability and change			

2.1. Tools, guidelines and decision support systems for increased resilience to water stress related to climatic variability and change prepared and disseminated	2 tools/guidelines tested in 10 countries and 3 transboundary basins	<p>2013:</p> <ul style="list-style-type: none"> UNEP-GEF Floods & Droughts Project, contribution to project preparation phase Guidelines for Integrating Climate Change Considerations into Commune Development Planning and other guidance and materials developed under UNEP-GEF Project in Cambodia (GCCA funded) Knowledge product on Decision Support Systems: guidelines for elaborating and validating modelling/DSS tools to assist decision-makers in implementing IWRM <p>2014:</p> <ul style="list-style-type: none"> UNEP-GEF Floods & Droughts Project scheduled to commence in Q3 Guide on practical adaptation technologies for water management scheduled for late 2014 Flood Risk Management publication scheduled for publication in Q3 	On track– but some of the related projects still in early stages
2.2. Knowledge products on the impacts of climate change on water resources and aquatic environments, including decision-support systems to anticipate and mitigate water-related emergencies prepared and disseminated	2 knowledge products	<p>2013:</p> <ul style="list-style-type: none"> Publication on CC/water stress adaptation in Nile Basin Contributed to knowledge management system (KMS) for the Climate Technology Centre and Network (CTCN) <p>2014:</p> <ul style="list-style-type: none"> Experiences and lessons learnt from the UNEP project on Adapting to Climate Change Water Stress in the Nile Basin published 	On track
2.3. Training and capacity building in aspects of water resources and climate variability or change	200 people in 10 countries	<p>2013: 11 professionals from Nile Basin Initiative (11 countries) trained</p> <p>2014: Planned training courses on integrated approaches to flood risk management supported in a climate change perspective</p>	Unclear whether target will be met – progress against indicator modest (number of people trained), although the number of countries has been exceeded
Other activities	N/A	<p>2013: 2 products:</p> <ul style="list-style-type: none"> Contributor to the UN-Water Analytical Brief on Water Security and the Global Water Agenda Lead author and reviewer of book “Managing water and agroecosystems for food security” <p>2014: N/A</p>	N/A – additional to outputs in log frame
3. Assessment and Indicators: Improved information and knowledge basis for sustainable management of water resources and aquatic ecosystems			
3.1. Indicator and data sets for assessing the status of IWRM approaches and the state of the aquatic environment	Contribution to 2 major initiatives	<p>2013:</p> <ul style="list-style-type: none"> Transboundary Waters Assessment Programme (TWAP): Interim report and preliminary results Contributed to proposal on Indicators and data sets for measuring a post-2015 SDG on water <p>2014:</p> <ul style="list-style-type: none"> Ongoing support to development of a coherent monitoring and reporting framework for post-2015 SDG water targets Anticipated assistance to UNEP in the preparation of an assessment report on the global availability of water quality data A set of indicators and data sets for assessing the state of aquatic environments in transboundary rivers developed under UNEP-GEF TWAP. Several global datasets updated. Methodology for development of projected transboundary stress completed for selected water stress and quality indicators. Basin profiles drafted under TWAP 	On track – already contributing to 2 major initiatives, (TWAP and SDG process)

3.2. Contributions to assessment reports (and other knowledge products) of the status of IWRM approaches and the state of the aquatic environment	2 major reports	<p>2013:</p> <ul style="list-style-type: none"> • Technical input to World Water Development Report on the topic of “water and energy” and • Technical input to UN-Water report on Water Security • Guidance for consultant writing assessment report on options for a monitoring and reporting framework for WRM <p>2014:</p> <ul style="list-style-type: none"> • TWAP indicator and data set (see 3.1): harmonizing indicators and developing methodology for combining indicators to produce an integrated, global comparative baseline assessment of transboundary river basins. Final technical report with integrated analysis of indicator results under preparation. UDC lead coordinator • IWRM data portal development scheduled to start in Q3 	On track
4. Development of the Centre: Increased recognition and utilization of the Centre as a global centre of excellence for water and environment			
4.1. Collaboration with partners strengthened, particularly within UN-Water	10 partners	<p>2013:</p> <ul style="list-style-type: none"> • Cap-Net: Partnerships further developed with additional activities identified • SIWI and SEI: Source2Sea initiative further developed • UNEP Climate Technology Centre and Network consortium (CTCN): Positioning of UDC as lead of one of the 5 key focus areas • UN-Water: Contribution to UN-Water brief for a post-2015 SDG for Water • IWA: Collaboration in Floods and Droughts project • IUCN and TNC: Green Infrastructure manual <p>2014: Collaboration/joint activities with UNDP, UNEP DTU, UNESCO (WWAP), IUCN, TNC, GWP, SIWI, Cap-Net, UN-Water, WRI on a range of products (total 12 publications/products in 2013-14)</p>	On track – UDC collaborates with several partners, including UN-Water on SDG
4.2. Sole/joint publications and products that the Centre coordinates or contributes to	10 publications	<p>2013: 6 products, including:</p> <ul style="list-style-type: none"> • UN-Water report on Water Security (see 3.2) • CABI book on water in agroecosystems • DSS guidelines (with GWP and DHI) • Aqua Republica "Serious Game" developed and disseminated (see 1.1) <p>2014: UDC reports finalisation of 7 joint or sole publications</p>	On track – target likely to be exceeded
Source: Progress report Apr-Dec 2013, activity report Jan-Jun 2014, work plans for 2013 and 2014, and further information provided by UDC staff			

Annex 7 Coverage of key UDC work areas by flagship projects

Flagship project		Work area (X = major focus, (x) = non-focus contribution)				
		Policy advice	Decision support systems	Assessments	Guidelines	Capacity development
1	GEF/UNEP Floods and Droughts Project	(x)	X			(x)
2	UN-Water Status Report on IWRM	(x)		X		
3	AMCOW Status Report on IWRM	(x)		X		
4	UNEP Freshwater Operational Strategy	X				
5	GEF Assessment of Transboundary River Basins (TWAP)	(x)		X		
6	UN-Water recommendations for a water SDG	X				
7	Aqua Republica Serious Game					X
8	Global Environment Outlook 5	(x)		(x)		
9	Green Infrastructure Guide				X	
10	CARP/CCCA in Cambodia		X	X	X	X
11	Nile Basin Adaptation to Water Stress		X	X		(x)
12	EU West Africa project	X	X	X		X
Total count, major focus		3	4	6	2	3
Total count, non-focus		5	-	1	-	2

Annex 8 Achievement of goal and objectives

NOTE: The low precision of the indicators and the absence of a baseline value and measurable targets make it difficult to determine the extent to which the goal and objectives are achieved.				
Phase 3		Phase 4		Status
Goal	Indicator	Goal	Indicator	
To strengthen the implementation of IWRM at the local, regional and global scale through the implementation of UNEP's Water Policy and Strategy.	<i>Increased number of countries that have IWRM integrated into their water policies and strategies</i>	To contribute substantively to environmental sustainability in the management of all water resources	<i>An increased number of countries and river basins have improved water resources management</i>	<ul style="list-style-type: none"> UDC has contributed to strengthening the attention given to environmental sustainability in WRM and the ecosystems approach. UDC has also contributed indirectly to IWRM implementation, but not engaged directly in IWRM implementation. UDC has directly helped delivering UNEP's water strategy (by carrying out assessments, assisting selected basin authorities, engaging in international water processes, and by facilitating and engaging in cooperative partnerships). However, water resources are still under increasing pressure and environmental sustainability and IWRM is generally not achieved yet As an entity with limited resources, it is unlikely that UDC can make a substantial global contribution to tangible improvements in the sustainability of WRM, although by working at a policy level and in partnership with others its contribution can potentially be catalytic.
Objective	Indicator	Objective	Indicator	Status
2.2 Improved environmental management of basins, coastal and marine waters, including the Identification of linkages with ongoing international processes	<i>2.2 Operational national water management frameworks and river basin organizations taking into account environmental issues and the freshwater coast link</i>	1. Enhanced capacity of countries and regions to utilize integrated approaches to sustainable management of water resources and aquatic ecosystems	<i>1. Countries/regions with IWRM and ecosystems-based approaches integrated into national and transboundary policies and plans</i>	<ul style="list-style-type: none"> UDC projects have contributed to, or are contributing to, increasing the capacity of selected basin authorities (e.g. NBI, 3 basins under the Floods and Droughts project) and coastal water managers (in Cambodia). Capacity has been developed in relation to planning and carrying out assessments, but not as much in relation to IWRM implementation. UDC has during the period under evaluation helped eight countries in West Africa in developing IWRM plans or roadmaps. An additional 17 countries globally were helped with this in the first half of Phase 3 implementation. The extent to which the capacity and tools developed have improved the environmental management is less clear and is not reported on. The objective of Phase 3 has been partly achieved. For Phase 4, the objective is likely to be achieved in selected countries.
		2. Improved tools	<i>2. Country/basin/</i>	UDC has provided, and is providing, new/improved tools and methodologies (e.g. for

		available for countries and regions to cope with adverse impacts on the water resource from climatic variability and change	<i>regional climate change adaptation plans that include water resources impacts</i>	NBI, countries in West Africa, Cambodia, basins covered by Floods and Drought project) on climate change or IWRM. This objective for Phase 4 is likely to be achieved in selected countries and basins.
2.1 Improved assessment and awareness of water issues	<i>2.1 Water assessments at country level, basin level and global levels. Assessment results available and water managers informed.</i>	3. Improved information and knowledge basis for sustainable management of water resources and aquatic ecosystems	<i>3. National/regional / global data sets on, and assessments of water resources and aquatic ecosystems</i>	<ul style="list-style-type: none"> Assessments have been, and are being, carried out (e.g. Climate change and Water Scarcity in the Nile Basin, TWAP, UN-Water and AMCOW IWRM Status Reports) Knowledge and information has been disseminated through contributions to a number of publications The objective of Phase 3 has been achieved. For Phase 4, the objective is likely to be achieved.
		4. Increased recognition and utilization of the Centre as a global centre of excellence for water and environment	<i>4. Leveraged resources and increased/ improved quality of Centre outputs</i>	<ul style="list-style-type: none"> Resource leveraging has fluctuated significantly over the years and cannot be said to have increased (see Annex 5.3) The quality of UDC products has generally and consistently been high during the phase under evaluation. It cannot be said that the quality has generally improved within the two years of implementation UDC is widely recognised by partners as a centre of excellence. An important part of this recognition is the recognition of, especially DHI as an organisation with high-level expertise, but also of the recognition of UNEP as a global, neutral UN agency <p>This objective for Phase 4 will probably be difficult to achieve, as the recognition is already high.</p>
2.3 Improved cooperation in the water sector				UDC has engaged in, and facilitated, partnerships and collaborative projects at the international level. This objective for Phase 3 has been achieved for selected projects and partnerships – but not at a broader, global scale.

Annex 9 Reconstructed theory of change

6 Given the framework nature of the project, its size and complexity, it was decided at an early stage to apply a simplified version of the theory of change rather than carry out a full scoring Review of Outcomes to Impacts (RoTI) routine. It was also decided in a reconstruction to unify the Phase 3 and Phase 4 log frames by referring to the 5 main thrusts of the Centre since at least 2008 (TORs paragraph 6). The analysis of the theory of change thus consists of 3 main steps: i) identification of impacts; ii) review of the project logical framework (including the blending of Phase 3; and 4) and iii) analysis of the impact pathways and identification of assumptions and impact drivers (where assumptions are outside the control of the project).

7 Impacts are not identified in the project design but can be inferred from the underlying analysis provided in the strategic focus chapter of the project document (chapter 3.3). The ultimate impact is that threatened ecosystems are well managed and can sustain sufficient water for human needs, economic development and ecology for present and future generations – taking into account economic and social development as well as climate variability and change. This impact is linked to and effectively an elaboration of the project goal: to contribute substantively to environmental sustainability in the management of all water resources.

8 The project logical frameworks are presented in figures D1 and D2 below. For the purpose of analysis the focus is on the logical framework of Phase 4 as it represents the most advanced elaboration of the set of combined efforts made across Phase 3 and 4. The logical framework is examined in detail under the review of the project design above and more especially under the results and causality analysis of the inception report (see Annex 14). The main conclusion is that the logical framework is appropriate but:

- Focuses mainly on the technical aspects (decision support, assessment, guidelines, tools, technical training) and to a lesser extent on policy and not as strongly on financial and institutional capacity – understandable because this is the key comparative advantage of UDC (and no Centre can deal with everything)¹¹⁷.
- Does not identify where other support or interventions might be needed to ensure financial and institutional sustainability – although there is nothing at the sub-project level to prevent engaging in suitable partnership (even if this is not highlighted or emphasized explicitly as a strategy in the main project design).
- Does not through its activities or in its background rationale reference or critically examine the critique or address the issues raised by the scientific community and practitioners on the challenges of implementing IWRM in practice.

¹¹⁷ A report prepared by the International Water Association in collaboration with UNEP identified six obstacles to the implementation of IWRM as follows (IWA/UNEP, 2002): 1) The lack of understanding of and attention to the positive contribution that innovative workplace approaches can play in achieving IWRM objectives; 2) The potential complexity of the IWRM concept; 3) The need for reference projects, 4) The lack of adequate skills, expertise and awareness; 5) The lack of adequate and reliable data, 6) Gaps in available knowledge and technology. UDC addresses at least the last 4 of this list of 6.

9 There is an implicit conviction behind the logical framework that the main barriers to implementing IWRM are the absence of capacity, technical information, tools, and policy level advice. These are certainly barriers, but not the only ones, and in many cases not the most critical- the most critical are often the lack of recurrent funding, skilled staff shortages and dysfunctional institutions.

10 Figure D3 below outlines an intermediary state: “Countries make use of capacity, tools, assessments and information to implement IWRM and EBM through improving management and regulation of water resources”. This intermediary state recognises that the outcomes related to capacity, the availability of tools, guides and good policy briefing are not enough and will not lead to the intended impact, unless all these outcomes are made use of (having tools available is not enough, they have to be used).

11 A key driver between the outcomes and the intermediary state is that project interventions ensure (i.e. project designers make sure) the full range of technical, financial and institutional challenges/opportunities are addressed, not necessarily by the project itself (UDC cannot do everything and is best advised to stick to its comparative advantage), but by ensuring there is a strong strategy and commitment to engage in suitable partnerships. A key driver between the intermediary state and the impact is that project interventions support a long-term incentive environment for sustaining IWRM/EBM. This implies that there are some measures taken (not necessarily by the project itself) to set up financial incentives, governance and regulatory incentives and ensure that the benefits are clear and shared in a way that provides incentives to the relevant actors – not least government but also the private sector and civil society. Government will need to set aside scarce resources and take unpopular regulatory action. Civil society and the private sector will often need to change behaviour and accept longer term returns on investment.

12 An important assumption between the outcomes and the intermediary state is that partner priorities for making use of capacities and implementing IWRM/EBM in practice continue. As recognised in the project document, these priorities change and although with good advocacy they can be influenced, they are in the last analysis beyond the control of the centre project. An important assumption between the intermediary state and the impact is that countries adopt longer term economic and social development strategies – this will provide the essential basis for developing an incentive environment that is conducive to sustaining the impacts.

13 The stakeholders involved in the causal pathway are numerous and will depend on the particular intervention under consideration. For example, implementing a decision support system would probably involve a technical government body to ensure that the data and technical workings are correct, but it might also involve a higher level political set of stakeholders where the outcome of the decision support system is discussed and the final decisions made. By potentially considering the needs of both technical and political stakeholders, the design and use of the decision support system is likely to be more successful and useful. There have been many projects involved in improving data and information systems, which have not taken root because the financial and institutional capacity to sustain and make use of the information is not in place (Source: internal communication with stakeholders).

14 The major stakeholders are the many individuals and small-scale private sector bodies such as farmers that make use of water in a basin; the incentive environment for them to engage in good practice is crucial. Civil society, formalised private sector and government in policy-making, regulatory and information roles are also crucial. Each of them, depending on the particular initiative and basin, has an influence on the causal pathway. It is not useful to generalise further and evidence of

whether a well-conceived stakeholder approach has been taken will need to be looked at in the context of specific initiatives or sub-projects.

Figure D1 LFA of phase 3

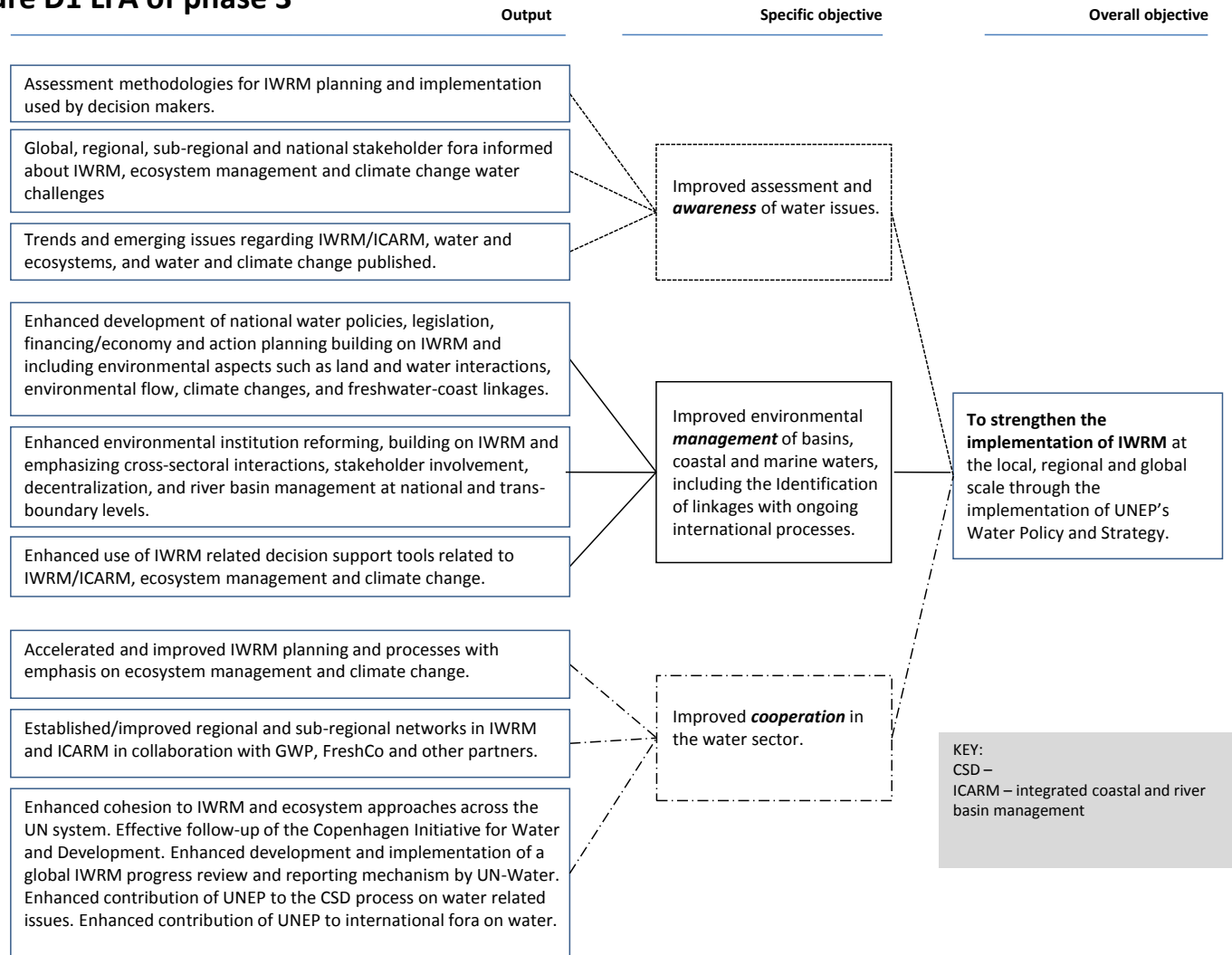


Figure D2 LFA of phase 4

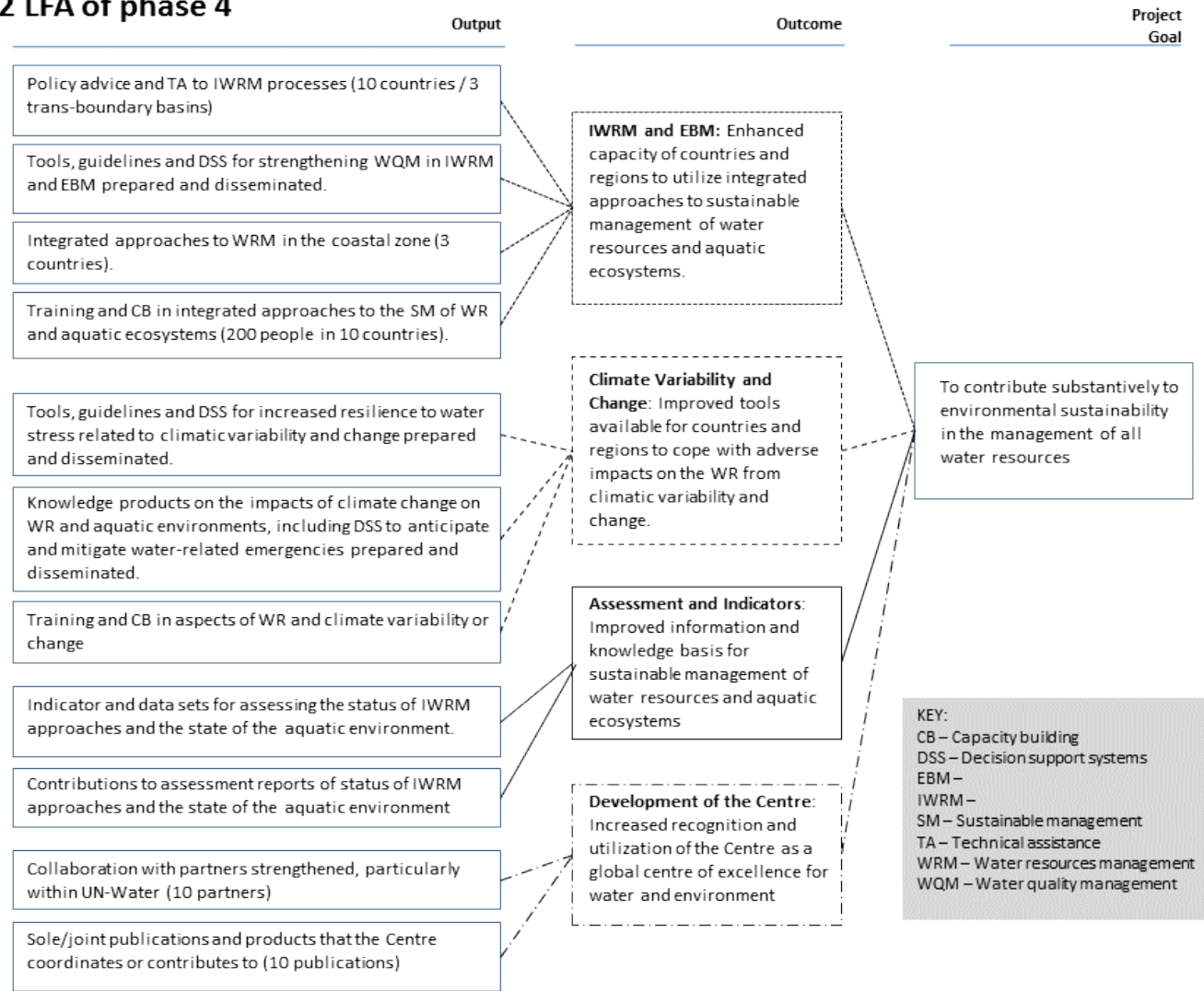
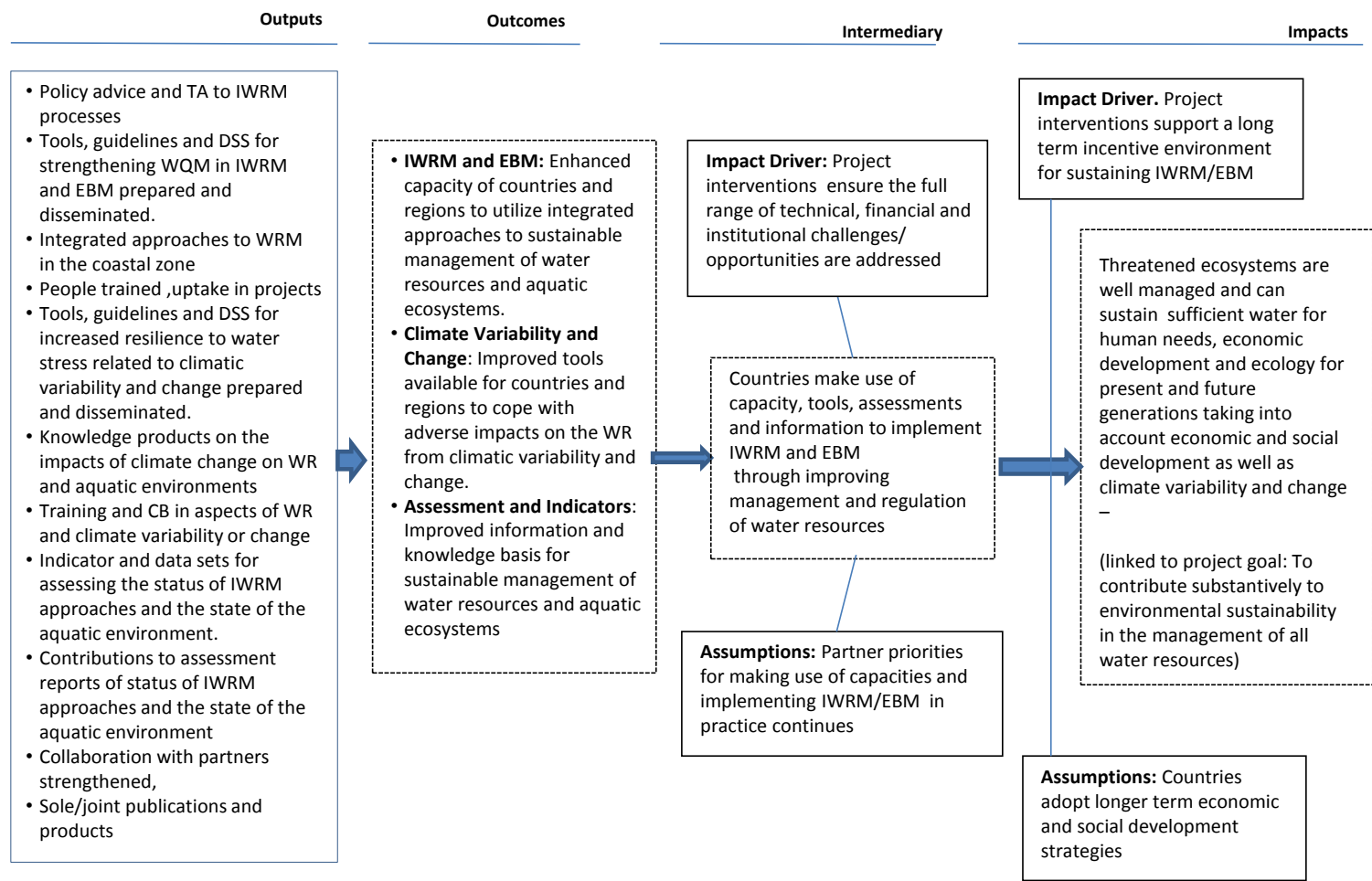


Figure D3 Re-constructed pathway



Note Development of the Centre is removed as an outcome as it is a means to an end, not an end itself.

Annex 10 Status of assumptions and risks

Annex 10.1 Status of assumptions identified in Phase 3 prodoc and log frame

Phase 3			
Assumptions from main text of project document		Status	Mitigating action taken
Global community continues to entrust UNEP with mandates within IWRM and ICARM		In place	None
The Governing Council of UNEP continues to provide the means of implementation of the UNEP Water Policy and Strategy.		In place	Input to new UNEP freshwater strategy
Commitment from local, national and regional stakeholders to co-operate with the Centre continue to exist and develop		In place	None
Assumptions from log frame			
Intervention logic	Assumptions	Status	Mitigating action taken
1. Overall Objective 1.1 To strengthen the implementation of IWRM at the local, regional and global scale through the implementation of UNEP's Water Policy and Strategy. 2. Specific Objectives 2.1 Improved assessment and <i>awareness</i> of water issues; 2.2 Improved environmental <i>management</i> of basins, coastal and marine waters, including the Identification of linkages with ongoing international processes; 2.3 Improved <i>cooperation</i> in the water sector.	Governments committed and able to implement IWRM strategies	Partly in place. Committed, but ability limited/capacity constraints	Awareness raising and capacity development activities in projects, but mainly related to planning, not implementation
	Governments, basin and sub-regional bodies, committed to build capacity and to undertake water resources assessments	Largely in place, but not uniformly so among stakeholders	Awareness raising and capacity development activities in projects
	Governments, basin and sub-regional bodies, committed to build IWRM frameworks based on ecosystem approaches	Largely in place, but not uniformly so among stakeholders	Awareness raising and capacity development activities in projects
3.1.1. Assessment methodologies for IWRM planning and implementation used by decision makers.	Governments, basin and sub-regional bodies, committed to build capacity and to undertake water resources assessments	Largely in place, but not uniformly so among stakeholders	Awareness raising and capacity development activities in projects
3.1.2. Global, regional, sub-regional and national stakeholder fora informed about IWRM, ecosystem management and climate change water challenges	Water managers and other key stakeholders	Largely in place, but not uniformly so	Awareness raising activities in

	participate actively in stakeholder fora	among stakeholders	projects, assessments and publications, e.g. for Rio+20
3.1.3 Trends and emerging issues regarding IWRM/ICARM, water and ecosystems, and water and climate change published.	TWAP project materializes	In place	None
3.2.1 Enhanced development of national water policies, legislation, financing/economy and action planning building on IWRM and including environmental aspects such as land and water interactions, environmental flow, climate changes, and freshwater-coast linkages.	Active involvement of country representatives and staff of regional intergovernmental bodies	In place	None
3.2.2 Enhanced environmental institution reforming, building on IWRM and emphasizing cross-sectoral interactions, stakeholder involvement, decentralization, and river basin management at national and transboundary levels.			
3.2.3 Enhanced use of IWRM related decision support tools related to IWRM/ICARM, ecosystem management and climate change			
3.3.1 Accelerated and improved IWRM planning and processes with emphasis on ecosystem management and climate change.			
3.3.2 Established/improved regional and sub-regional networks in IWRM and ICARM in collaboration with GWP, FreshCo and other partners including: Enhanced policy development on IWRM of regional and sub-regional intergovernmental bodies/economic communities (e.g. SADC, ECCAS, ECOWAS, ASEAN) Enhanced trans-boundary river basin organisations based on IWRM principles	Active involvement of country representatives and staff of regional intergovernmental bodies.	In place	None
3.3.3 Enhanced cohesion to IWRM and ecosystem approaches across the UN system Effective follow-up of the Copenhagen Initiative for Water and Development Enhanced development and implementation of a global IWRM progress review and reporting mechanism by UN-Water Enhanced contribution of UNEP to the CSD process on water related issues Enhanced contribution of UNEP to international fora on water including e.g. the World Water Forum series, World Water Week in Stockholm, events organised by the World bank/the regional development banks/GWP etc.	Effective collaboration among UN agencies, development banks, NGO's etc.	Partly in place	Participation in UN-Water activities

Annex 10.2 Status of risks identified in Phase 4 prodoc

Phase 4

Risk analysis	Proposed risk management strategy	Status	Mitigating action taken
<p>External global factors such as political crises or severe financial instability may result in an overwhelming number of countries adopting short term, environmentally unsustainable growth or containment strategies.</p>	<p>Such a scenario would call for increased communication and awareness- raising efforts by UNEP and the Centre to highlight the linkages between environmental and social, political, and economic factors, as well as the clear economic benefits and moral obligation for longer term planning.</p>	<p>Partly materialized, due to aftermath of financial crisis/ economic recession, but no drastic changes</p>	<p>None</p>
<p>In the search for new paradigms and problems to discuss and solve, global environmental discourses and related support moves away from issues relating to water resources.</p>	<p>Global discourses are constantly changing and are impossible to control, but through the years both UNEP and the Centre have demonstrated that they can be influenced so that the central role of water resources is supported and promoted (e.g. discourses on the MDGs, Climate Change, and Food Crises). It is already an integral part of UNEP and the Centre's work try, where appropriate, to ensure water resources has as central role as possible.</p>	<p>Increased scrutiny of IWRM implementation challenges and new paradigms (green economy, water-food-energy nexus)</p>	<p>Engagement in new themes, e.g. green economy. Neutral position in IWRM vs. nexus debate. Leading or contributing to publications on water resources, development and climate change</p>
<p>The outcomes of the project are heavily dependent on the direct and indirect involvement of multiple partners. Consequently, if partners' priorities and plans change, the expected project outcomes can be negatively affected.</p>	<p>While the outcomes and means of verification of the project are clearly specified, there is a deliberate degree of flexibility built into the project design. For example, the project's specific outputs allows the centre to adjust between partners and initiatives in order to maximise opportunities that were impossible to identify during the project formulation phase and ensure outcomes are achieved. The project Advisory Board plays an important role in providing strategic guidance in this respect.</p>	<p>Materialised in relation to some projects, e.g. challenges with data access for the Nile Basin</p>	<p>MoU between UNEP and NBI to overcome data challenge</p>

Annex 11 Brief CVs of the consultants

Annex 11.1 CV1: Eric Buhl-Nielsen – Team Leader

Dr Eric Buhl-Nielsen has worked as **team leader on more than 25 evaluations, thematic reviews and regional monitoring assignments** for World Bank, Sida, AusAid, EU, Danida/UNEP, GIZ, UNDP and other agencies mostly in the environment, energy, agriculture, natural resources and water sectors. He has over 30 years experience in development. He combines both evaluation and sector experience and has a strong insight into **aid delivery modalities** through his work as a **panel member of the EU aid modalities delivery** programme. He has advised AusAid and others on the follow up management response to global evaluations.

He has carried **long term continuous M&E for 10 years** involving at least one mission per year in Uganda and Vietnam and for 5 years in Bolivia, Mozambique, Kenya and Bhutan. He has worked as team leader

- **Team leader for final evaluation of GiZ/EU support to IWRM, Namibia**
- **Team leader evaluation of research within Sida’s regional water resources programme –**
- **Team leader – UNDP Cap-Net (water resources) evaluation of 2006**
- **Team leader for monitoring of the WARFSA and WaterNet projects from 2006-2009 – numerous assignments.**

Summary of key assignments for design of national M&E systems and baseline designs

Vietnam, 2009/10, Team leader for development of a monitoring and evaluation system for the national target programme on Response to Climate Change, Danida

Vietnam 2010/11 Team leader for development of national M&E system for Occupational health and safety for national target program for MOLISA, Danida

Vietnam 2010 Team leader for development of M&E system for Beyond World Trade Organisation, AusAid/DFID

Vietnam, 2007/8/9/10, Team leader for development of national M&E system for Water and Sanitation sector. Continuous annual inputs over 5 years on follow up of baseline study and updating of indicators.

Kenya, 2008/9 Design of national M&E system for water resources, water and sanitation and irrigation and drainage sector. Danida/Sida.

COUNTRIES OF WORK EXPERIENCE

Angola, Bangladesh, Barbados, Botswana, Bhutan, Bolivia, Burkina Faso, Cambodia, Denmark, East Timor, Estonia, Egypt, Eritrea, Ethiopia, Ecuador, Fiji, Ghana, Greenland, Guatemala, Kenya, India, Indonesia, Jordan, Lao-PDR, Latvia, Lebanon, Lithuania, Malaysia, Malawi, Mexico, Mozambique, Namibia, Nicaragua, Nigeria, Pakistan, Peru, Philippines, Tanzania, Thailand, Rwanda, Russia, Samoa, South Africa (4 years), Sri Lanka, Sudan (1 year), United Kingdom, Uganda, Ukraine, Vietnam, Zaire (now DRC), Zambia, Zimbabwe (2½ years).

Annex 11.2 CV2: Kris B. Prasada Rao – Supporting Consultant

Mr. Kris B. Prasada Rao has 14 years of professional experience in natural resource management, water resource management, environment, sustainable land management, agriculture, rural development and livelihoods, including climate change adaptation and mitigation. He has strong expertise in evaluation and review of both on-the-ground projects and policy programmes at global, regional and country levels. Kris is well versed in all stages of the programme cycle, including programme planning/development, supervision, review and evaluation, and he has hands-on experience with project management and implementation and with leading multi-disciplinary teams. Furthermore, he is experienced in institutional development and M&E systems, as well as policy and planning processes. He has carried out numerous assignments in more than 25 countries in Africa, Asia, Latin America and Eastern Europe, and he has worked for a range of clients, including UNDP, UNEP, FAO, IFAD, UNOPS, EC, Danida, GIZ, DFID, and GIZ.

Employment record:

- PEMconsult a/s – 2006-present
- DDRN (Danish Development Research Network – University of Copenhagen), Senior Adviser – 2009-2011
- Oxfam America, Regional Program Manager/Livelihoods Lead, USA – 2008
- DACAAR (the Danish Committee for Aid to Afghan Refugees), Natural Resource Management Coordinator Afghanistan – 2007-2008
- Independent Consultant – 2006
- IFAD (the International Fund for Agricultural Development), Associate Country Programme Manager, Italy – 2002-2005
- WPP (Water & Power Planners A/S), Consultant – 2000-2002

Selected assignments:

- Argentina, Brazil, Costa Rica, Denmark: Global Joint donor review of Cap-Net UNDP. Team Leader. Client: UNOPS, 2014
- India: Preparation of draft Water Policy for Meghalaya State (India). Client: GIZ, 2012-2014
- Stockholm: Appraisal of regional drought management project designs by the Global Water Partnership (GWP) in the Horn of Africa and West Africa. Client: Danida, 2013
- Global programme evaluation of the UNDP Africa Adaptation Programme (AAP). Team Leader. Client: UNDP, 2013
- Liberia, Kenya, Denmark: Global evaluation of the “Gender-responsive Climate Change Initiatives and Decision-making” programme Phase 2 and 3 (UNDP-UNEP, IUCN, WEDO) under the Global Gender and Climate Alliance (GGCA). Team Leader. Client: UNDP (+IUCN and WEDO), 2013
- Preparation of a strategic and options paper for future Danish support to multilateral land and water institutions and programmes. Client: Danida, 2011-2012
- Bhutan, Laos, Tajikistan, Thailand, Botswana, Kenya: Global Midterm Review of UNDP-UNEP Poverty-Environment Initiative. Environment expert. Client: UNDP-UNEP, 2011.
- Uganda, South Africa: SWAp and IWRM study: Good practices and lessons learned in the water sector with a focus on water and sanitation. Client: EC, 2011. Team Leader

COUNTRIES OF WORK EXPERIENCE

Afghanistan (1 year), Bhutan, India, Indonesia, Laos, Tajikistan, the Philippines, Thailand, Botswana, Ethiopia, Ghana, Kenya, Liberia, Malawi, Mali, Mozambique, Namibia, Rwanda, Senegal, South Africa, Tanzania, Uganda, Zambia, Zimbabwe, Argentina, Brazil, Costa Rica, Denmark, Italy (3½ years), USA, Lithuania, Poland.

Annex 12 Recommendations table: timing and responsible party

Recommendation		By whom	When/deadline
1	UNEP and UDC develop a system for determining outcomes and how outputs are used. This could be done by:	UDC/UNEP	June 2015
	a) <i>Including budgets and actions to finance post project follow up and feedback</i>	UDC/UNEP	June 2015 (Phase 5)
	b) <i>Using a theory of change to map the process from output to outcome to impact</i>	UDC	June 2015 (Phase 5)
	c) <i>Using spot surveys to obtain feedback</i>	UDC/impl. partners	Apr 2015 (and onwards)
	d) <i>Obliging beneficiaries to report on and present evidence of use</i>	UDC/impl. partners	Jan 2015 (new and on-going projects)
	e) <i>Using data from assessments as an input to defining outcome indicators and as a source of monitoring data (e.g. assessing IWRM survey results for countries supported in the development of IWRM plans and roadmaps, and comparing their progress with other countries)</i>	UDC/UNEP	Mar 2015
	f) <i>Including in log frames only indicators that can and actually will be monitored. Focus on a few SMART outcome indicators. Report on these in progress and completion reports.</i>	UDC/UNEP	June 2015 (Phase 5)
	g) <i>Tapping in to monitoring systems and reports from partner institutions at the project level to collect outcome information that relates to UDC inputs.</i>	UDC/impl. partners	Apr 2015
	h) <i>Engaging an M&E expert (whether UNEP, DHI, or external) to review existing monitoring and progress reporting practices and assist in developing a results-oriented monitoring and reporting system.</i>	UNEP/DHI/UDC	Mar 2015
	i) <i>Include in progress reports or final reports a matrix, which shows how each project contributes to each output/outcome in the overall log frame.</i>	UDC	Jan 2015
2	UNEP and UDC consider how to ensure that the enabling environment for water resources management is enhanced in the projects implemented. This could be done by:	UNEP/UDC	Mar 2015
	a) <i>Improving the entry and exit design for projects.</i>	UDC/impl. partners	May 2015 (new and on-going projects)
	b) <i>Focusing efforts on responding to few countries and river basins in order to stretch the core budget far enough to fill gaps where project-based resources are not enough.</i>	UDC/UNEP	June 2015 (Phase 5)
	c) <i>Engaging in more long term processes with partner countries and basin organisations (e.g. through a series of projects), to support the use of tools and approaches introduced.</i>	UDC/UNEP	June 2015 (Phase 5)
	d) <i>Encouraging and facilitating that partner institutions to commit themselves to provide continued support after the completion of UDC activities to support the uptake and use of UDC tools, approaches and knowledge (e.g. supporting the use and implementation of IWRM plans and roadmaps).</i>	UDC/impl. partners	June 2015 (new projects)
3	Ensure that engagements at the local level are systematically utilised to generate knowledge and lessons, which can inform more normative work and the development of tools, approaches and assessment methodologies. This could be done by:	UDC/UNEP/impl. partners	June 2015 (new projects)
	a) <i>Developing criteria for testing the normative</i>	UDC/UNEP/impl.	Sept 2015

	<i>demonstration value of local level activities to assist in prioritisation of projects.</i>	partners	(Phase 5)
	<i>b) Including in all local level project components focusing on: a) knowledge management, generating lessons and evidence, and translating these into policy advice, and b) testing and calibration of tools and approaches for basin and national level decision-making.</i>	UDC/UNEP/impl. partners	Sept 2015 (new projects)
4	UNEP in close coordination with UN-Water consider what additional value UDC can offer in future phases on contributing to global leadership of water resources.	UNEP/UN-Water	Sept 2015 (Phase 5)
5	Continued current arrangements until the end of the current phase. Other action that can be taken to improve operations under the current arrangements include:	UNEP/DHI/Danida	Phase 5
	<i>a) UNEP considers providing UNEP core funding for UDC to reduce the vulnerability to changing donor priorities and moving from an opportunistic project mode towards more strategic longer term engagements with selected countries and basins.</i>	UNEP	May 2015 (Phase 5)
	<i>b) Gradually enhancing the link and collaboration between UDC and UNEP's Regional Offices, as their capacity is increased and their project implementing role is enhanced.</i>	UDC/UNEP	Phase 5

Annex 13 Inception Report

See separate file

Annex 14 List of flagship projects

- GEF/UNEP Floods and Droughts Project
- UN-Water Status Reports on IWRM Global version (published by UNEP, 2012)
<http://www.unwater.org/publications/status-report-on-integrated-water-resources-management/en/>
- AMCOW Status Reports on IWRM Africa version (published by UNEP, 2012)
http://www.amcow-online.org/index.php?option=com_content&view=article&id=262&Itemid=141&lang=en
- UNEP Freshwater Operational Strategy 2012-2016 (2012)
http://www.unep.org/themes/Freshwater/Documents/Healthy_Waters_for_Sustainable_Development.pdf
- GEF Assessment of Transboundary River Basins Interim Report (published by UNEP, 2013)
http://twap-rivers.org/assets/TWAP_RB_Interim_report_prelim_results_15102013.pdf
- UN-Water recommendations for a water post-2015 goal (published by UN-Water 2014)
<http://www.unwater.org/topics/water-in-the-post-2015-development-agenda/en/>
- Aqua Republica Serious Game Platform (2011-2014+) <http://aquarepublica.com/> (game website)
www.the-eco-challenge.org (competition website) ;
<http://capnet.aquarepublica.com/login?filter=UNEPECO> (latest prototype – to be released in Q1/2 2015)
- Global Environment Outlook 5 (published by UNEP, 2012)
<http://www.unep.org/geo/geo5.asp>
- Green Infrastructure Guide (published by UNEP, 2014)
<http://www.unep.org/newscentre/Default.aspx?DocumentId=2796&ArticleId=10970>
- UNEP-GEF/CCCA Project Coastal Adaptation and Resilience Planning in the Coastal Zone of Cambodia
- Nile Basin Adaptation to Water Stress: Comprehensive Assessment of Flood and Drought Prone Areas (published by UNEP, 2014)
http://ebaflagship.org/images/publications/Nile_Basin_Policy_Summary_fa.pdf (Summary - full report available)
- Improving Water Management and Governance in African Countries through Support in Development and Implementation of IWRM Plans, West Africa (EU funded)

Annex 17 UNEP Evaluation Quality Assessment

Mid-term Evaluation of the UNEP- DHI Centre for Water and Environment

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP EO Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. Project context and project description: Does the report present an up-to-date description of the socio-economical, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Background section describes the history of the collaboration between UNEP and DHI but not the global and institutional context in which the collaboration was born and is currently implemented. Project description is overall OK but financing information is missing. Final report: One paragraph added on rationale for collaboration – could be slightly more. Project budget added.	4	5
B. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report: Well done, but requires conclusion and rating. Final report: Conclusion and rating added.	5	5
C. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Well done, but requires conclusion and rating. Final report: Conclusion and rating added.	5	5
D. C. Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: Yes, good reconstructed TOC, but narrative should be moved from the annex to the main text. Final report: Narrative wasn't moved as requested, but short summary was added.	5	5
E. D. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Many examples but conclusions on effectiveness are missing. Also missing are assessment of achievement of formal project goals and likelihood of impact. Final report: All missing parts have been added and are well argued.	2	5
F. E. Sustainability and replication: Does the report present a well-reasoned and	Draft report: Focused on drivers and assumptions - requires conclusion and rating	3	5

	evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	on all dimensions of sustainability and also on replication/upscaling. Final report: Added - good		
G.	F. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?	Draft report: Well covered but needs conclusion and rating. Final report: Conclusion and rating added.	5	5
H.	G. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Good but doesn't follow standard report structure and ratings are missing. M&E requires more detail. Final report: Section entirely restructured as requested, with summaries and ratings for each criterion. Additional details, conclusion and ratings provided on M&E.	4	5
I.	H. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Five good recommendations. Final report: No change	5	5
J.	I. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Good lessons overall. Final report: No change	5	5
Report structure quality criteria				
K.	J. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Structure with evaluation questions and answers in tables is quite original and works well, but summaries of findings and ratings for all criteria need to be added. Executive summary could be slightly more detailed and conclusions should not be another summary following the table of contents of the report. Final report: Summaries of findings and ratings for all criteria have been added. Conclusions section rewritten focussing on strengths and weaknesses.	4	5
L.	K. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: No description of evaluation methods and sources, but limitations are clearly presented. Final report: Evaluation approach well described.	3	5
M.	L. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Very well written Final report: No change, also good summaries and conclusions section added	5	5
N.	M. Report formatting: Does the report	Draft report: Partly, but formatting is	5	5

follow EO guidelines using headings, numbered paragraphs etc.	satisfactory Final report: Good		
OVERALL REPORT QUALITY RATING		4.3	5

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP EO Comments		Rating
Evaluation process quality criteria			
O. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Yes and yes		6
P. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was a MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	MTE was timely and conducted efficiently. TOR deadlines were respected.		6
Q. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	Very good support from the UNEP-DHI Centre, UNEP and DHI.		6
R. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Yes, done		6
S. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	3 x Yes		6
T. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	4 x Yes		6
U. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	4 x Yes		6
V. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes and yes		6
OVERALL PROCESS RATING			6

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.