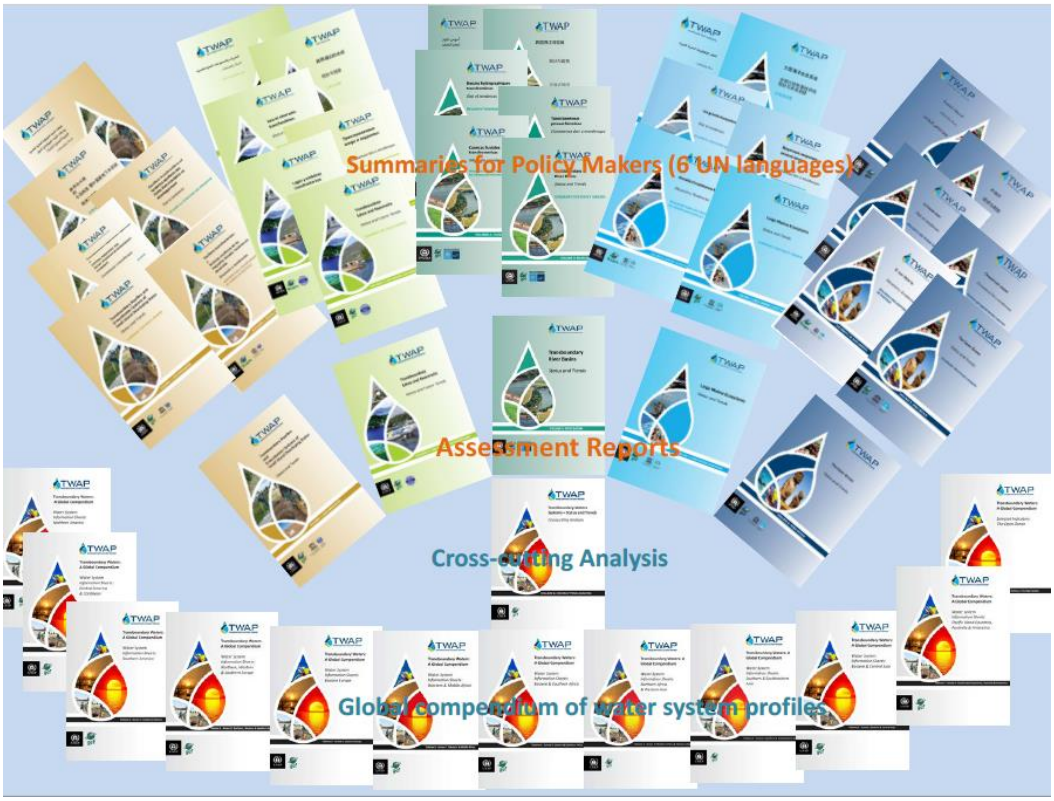
Evaluation Office of UN Environment

Terminal Evaluation of the Global Environment Facility/UN Environment Project "Transboundary Waters Assessment Programme (TWAP)"

Final



April 2018

Evaluation Office of UN Environment

This report has been prepared by independent consultant evaluator Peter Whalley and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Senior Management.

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Terminal Evaluation of the GEF Transboundary Waters Assessment Programme (TWAP)
(GEF ID Project number - 4489)
(Date 4/2018)

Contents

Annexures

ABBREVIATIONS

ABNJ	Areas Beyond National Jurisdiction
APR	Annual Progress Report
BSP	Bali Strategic Plan
CEO	(GEF) Chief Executive Officer
CERMES	Centre for Management and Environmental Studies, University of West Indies, Barbados
CLME	(GEF) Caribbean Large Marine Ecosystem project
DHI	Danish Hydrology Institute
EO	(UN Environment) Evaluation Office
FMO	(UN Environment) Fund Management Officer
GEF	Global Environment Facility
GEO	Global Environmental Outlook
GGEO	Global Gender and Environment Outlook
GIWA	(GEF) Global International Waters Assessment
GPA	Global Programme of Action for the Protection of the Marine Environment from Land-Based Sources
GPML	Global Partnership on Marine Litter
GPNM	Global Partnership on Nutrient Management
ICA	Internal Co-operation Agreement
IFI	International Financing Institutions
IGRAC	International Groundwater Resources Assessment Centre
IHP	(UNESCO) International Hydrological Programme
ILBM	Integrated Lake Basin Management
ILEC	International Lake Environment Committee
IOC	(UNESCO) Intergovernmental Oceanographic Commission
ISARM	International Shared Aquifer Resources Management
IW	(GEF) International Waters Focal Area
IW:LEARN	(GEF) International Waters Learning Exchange and Resources Network
LBS	Land-Based Sources
LME	Large Marine Ecosystem
LoA	Letter of Agreement
MSP	(GEF) Medium-Sized Project
MTMR	Mid-Term Management Review
MTS	(UN Environment) Medium-Term Strategy
NGO	Non-governmental Organisation
PCA	Project Co-operation Agreement
PCU	Project Co-ordination Unit
PIF	(GEF) Project Identification Form
PIR	Project Implementation Review
PMU	Project Management Unit
PoW	(UN Environment) Programme of Work
PPG	Project Preparation Grant

ProDoc	Project Document
PSC	Project Steering Committee
SAP	Strategic Action Programme
SAP	Strategic Action Programme
SDC	Swiss Development Corporation
SDGs	Sustainable Development Goals
SIDS	Small Islands Developing States
SMART	Specific, Measurable, Achievable, Relevant and Targeted
SOCAR	(Cartagena Convention) State of the Convention Area Report
STAC	Scientific and Technical Advisory Committee
STAC	Science and Technical Advisory Committee
STAR	GEF - System for Transparent Allocation of Resources
TB	Transboundary
TDA	Transboundary Diagnostic Analysis
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of Reference
TWAP	Transboundary Water Assessment Programme
UNEA	UN Environment Assembly
UNECE	UN Economic Commission for Europe
WRI	World Resources Institute
WWAP	World Water Assessment Programme

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This Terminal evaluation was prepared for the Evaluation Office of UN Environment by Peter Whalley, an expert in International Waters, as the independent evaluation consultant. The report benefits from a peer review conducted within Evaluation Office of UN Environment.

The Evaluation Office of UN Environment would like to thank the TWAP project teams including Liana McManus (Project Manager) and Isabelle Vanderbeck (Task Manager) for their contribution and collaboration throughout the Evaluation process. Sincere appreciation is also expressed to the Project Steering Committee who took time to provide comments to the draft report. The Evaluation Office of UN Environment would also like to thank UNESCO-IHP, the International Lake Environment Committee, UN Environment – DHI and UNESCO-IOC.

The Consultant would also like to thank all partners and other stakeholders that have freely contributed to the discussions and presented their views on the GEF TWAP project.

Short biography of the consultant

Dr Peter Whalley is a physical chemist with considerable experience working on international environmental programmes acquired over the last 25+ years. He has been involved in over 20 GEF projects in the last 13 years in roles including project manager, expert, project designer and on multiple mid-term and terminal evaluations. He has undertaken evaluations for a range of organisations (UNDP, UNEP, World Bank, Inter-American Development Bank, European Union).

ABOUT THE EVALUATION

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluations

Brief Description: This report is a terminal evaluation of a UN Environment-GEF TWAP project implemented between 2013 and 2017.The project was to deliver the first global assessment of transboundary waters to guide the GEF in their prioritisation of financing future project. This project builds on a previous phase that designed the assessment methodology and identified key science-focused organisations capable of undertaking this assessment. This evaluation assessed the programme performance following the evaluation criteria specified in the evaluation Terms of Reference: Strategic Relevance, Quality of Project Design, Effectiveness, Financial Management, Efficiency, Monitoring & Reporting and Sustainability.

Key words: Global Assessments; Transboundary Aquifers; TWAP; SIDS Groundwaters; Transboundary Lakes and Reservoirs; Transboundary Rivers; Large Marine Ecosystems; Open Oceans, Governance; International Waters; Terminal Evaluation; GEF

Project Identification Table

IMIS number:	GFL-5060-2730-4C77		
Sub-programme:	SP-7 Environment under review	**Expected Accomplishment(s):**	SP 7-EA (a)
UNEP approval date:	16 November 2012	**PoW Output(s):**	SP 7-EA (a) - Output 2
GEF project ID:	4489	**Project Type:**	Full-size project
GEF OP #:	N/A	**Focal Area(s):**	International Waters
GEF approval date:	19 December 2012	**GEF Strategic Priority/Objective:**	IW 1-2, IW 1-4
Coverage - Country(ies):	Global with a focus on transboundary systems (Rivers, Aquifers, Lakes, Large Marine Ecosystems and Open Oceans)	**Coverage - Region(s):**	Global
Expected Start Date:	01 April 2013	**Actual start date:**	01 April 2013
Planned completion date:	31 March 2015	**Actual completion date:**	30 June 2017
Planned project budget at approval:	USD 36,863,813	**Total expenditures reported as of [31 Dec 2016]:**	USD 36,827,843
GEF Allocation:	USD 5,000,000	**GEF grant expenditures reported as of [31 Dec 2016]:**	$4,932,262
PDF GEF cost:	USD 140,000	**PDF co-financing:**	USD 280,000
Expected FSP co-financing:	USD 31,863,813	**Secured FSP co-financing:**	USD 31,895,581
First Disbursement:	14 March 2013	**Date of financial closure:**	n/a
No. of revisions:	2 no-cost 1-year extensions	**Date of last revision:**	December 2016
Mid-term review/ evaluation (planned date):	Mid-term management review	**Mid-term review/ evaluation (actual date):**	Mid-term management review completed in September 2014 [1]
Date of last Steering Committee meeting:	6th July 2016 (Washington) and via teleconference on 13 July 2016	**Terminal Evaluation (actual date):**	April 2018

[1] Mid-term Management review was carried out by the Task-manager and Project Manager in May-June 2014, see also Annex 8

Introduction

1. This report presents the Terminal Evaluation of the Global Environment Facility (GEF) funded, UN Environment implemented project '*A transboundary Waters Assessment Programme: Aquifers, Lakes/Reservoirs, River Basins, Large Marine Ecosystems and Open Ocean to catalyse sound environmental management*' (TWAP). The report presents the background, findings, conclusions and recommendations against a specific set of criteria for the evaluation. The Terminal Evaluation was conducted between July and December 2017.

2. The Terminal Evaluation is designed to inform all stakeholders on the levels of achievements of the project, addressing the design, implementation and attainment of expected outcomes that will assist with the formulation of future projects and the sustainability/replication of the impacts.

3. TWAP was designed to provide a global comparative assessment of the environmental status of five different transboundary water body types utilising agreed methodologies and partners that had been defined in a previous GEF funded Medium-Sized Project[2] (implemented between January 2010 to November 2011). The TWAP was a network of thematically focused partners applying this agreed methodology co-ordinated through a Project Co-ordination Unit including 34 partner organisations, including UN agencies, international bodies, etc.

4. The main client for the work was the GEF and other international organisations with an expectation that the results would inform future GEF policies, assist to prioritise funding and that the partners would establish stable networks to undertake future assessments. The project was designed to address gaps in global information on the status and factors affecting global transboundary water body types: aquifers, lakes, rivers, Large Marine Ecosystems and Open Oceans.

5. The project was endorsed by the GEF Chief Executive Officer on the 19th December 2012 with a GEF grant of 5 M US$ and co-financing of approximately 32 M US$. The project was planned to be completed within two years.

6. The evaluation used key criteria (including relevance, effectiveness, efficiency and sustainability) to assess the project's actions and achievements and addressed the five specific questions presented in the consultant's terms of reference. The evaluation adopted a mixture of desk review of documents, meetings, interviews and email questionnaires to assess performance against a reconstructed Theory of Change for the TWAP project.

Findings

7. The evaluation report contains full details of the findings and a ratings table in the conclusions (section 6). The overall rating of this GEF-UN Environment project (*A transboundary Waters Assessment Programme: Aquifers, Lakes/Reservoirs, River Basins, Large Marine Ecosystems and Open Ocean to catalyse sound environmental management*) is **Satisfactory**. Whilst this Terminal Evaluation has focused on the **global** objectives of this project and has also evaluated the achievement and likelihood of sustainability of the TWAP

[2] https://www.thegef.org/project/development-methodologies-gef-transboundary-waters-assessment

methodology, indicators and assessments at the **regional** level. Where appropriate, ratings are provided for the achievement of this project at both the global and regional/national levels. This executive summary highlights the findings against the following criteria:

- **Relevance**: The project is highly relevant to UN Environment's Programme of Work and Medium-Term Strategy and consistent with sub-programme 7 to 'facilitate global, regional and nation policy making' that could be supported with TWAP data and methodology. The project was specifically designed to assist the GEF with strategic decisions associated with its International Waters focal area and TWAP is consistent with GEF 5, 6 and 7 strategies. The relevance of these to GEF and UN Environment is **Highly Satisfactory.**
- **Project Design:** The project was designed to provide the GEF with the first global transboundary assessments of five waterbody types (transboundary aquifers, lakes, rivers, Large Marine Ecosystems and Open Ocean), and to formalise partnerships to be available to assist with future assessments when required. As a global project addressing global assessments the project did not address regional or national issues. The design is rated as **Satisfactory**.
- **Effectiveness**: The project's effectiveness was assessed against the reconstructed Theory of Change developed based on the project design documents. The effectiveness of the project has been greatly assisted through the Project Co-ordination Unit that facilitated the delivery of the five waterbody assessments. The overall rating of effectiveness is **Satisfactory**.
- **Outputs:** All project outputs have been delivered. The detailed scientific waterbody assessments are supported by relatively brief 'policy maker summaries'. All documents have been formally published (by UN Environment) and are of a high quality. Documents are available to download of the web and in print. The scientific assessments were supported by governance and socio-economic analysis of transboundary water issues, and by multiple linked websites. The planned final Project Steering Group Meeting identified that significant benefits would be accrued in developing additional cross-cutting synthesis reports and global compendiums to the main assessment reports. Although the substantive work undertaken by the partners was largely complete by the planned end of the project, final publication took a further two years. The reports have attracted a number of presentations to global events to highlight the achievements of the project. The outputs are rated as **Highly Satisfactory.**
- **Outcomes**: The Theory of Change identified three key outcomes. The evaluation identified that the outcomes associated with the use of TWAP methodologies by the GEF and other agencies/donors have clear evidence to support achievement. In particular, the utilisation of TWAP results in the draft GEF's Strategy for International Waters and the application of the methodologies within co-financed pilot projects and catalytic actions where the methodology has been used by other organisations. Examples include the use of TWAP results to assist agencies and countries with the Sustainable Development Goals relating to freshwater (Goal 6) and oceans (Goal 14). There is also evidence that the outcome associated with establishing 'formalised'

partnerships has led to an association of organisations willing and able to undertake assessments at global, regional, basin levels and to assist with national assessments, subject to resources being available. Further work to finalise arrangements to provide a sustainable co-ordination mechanism is still required, although the project has made several suggestions in a plan to aid sustainability. The outcomes are rated as **Satisfactory.**

- **Likelihood of Impacts:** The Theory of Change analysed pathways from the outcomes to the intended long-term impact and reviewed key intermediate states and the assumptions/drivers involved. There are examples of where intermediate states are being progressed through the project's actions at regional level or via catalytic benefits through other donors or regional authorities utilising TWAP. Good examples also come from the multiple application of TWAP results to assist regional authorities and countries with Sustainable Development Goal reporting. The main uncertainty over the achievement of the long-term intended impacts is the provision of resources for future global assessments. Although the above examples highlight that while this project may have been assessing global transboundary issue of the 5 waterbody types, the achievement of the impact via regional, basin or national actions is more likely. The likelihood of impacts is rated as **Likely (regional) – Moderately Likely (global).**
- **Efficiency**: The project design had not anticipated the need for, or the time required, for formal publication of the final assessment reports and summaries for policy makers. This has necessitated two 1-year project extensions and impacted the overall project efficiency. The overall rating of efficiency is **Moderately Satisfactory.**
- **Sustainability**: Although the design of the project, and the target for the work, have been global actors, the sustainability of the TWAP methodology is more likely to be through regional, basin and national bodies. The project had three pilots (funded through co-financing) that utilised the TWAP approaches in the analysis of transboundary aquifers. But the interest in TWAP data and methods includes: regional organisations involved in Sustainable Development Goal reporting (e.g. United Nations Economic Commission for Europe); river basin commissions (e.g. Zambesi Commission); regional conventions (e.g. Cartagena Convention), other donors (USAID); GEF International Waters projects (e.g. Caribbean Large Marine Ecosystem, Nubian Aquifer, Nile Aquifers, etc.). The regional /basin use of TWAP methodologies (after appropriate downscaling) is also likely to be adopted by GEF projects following Transboundary Diagnostic Analysis / Strategic Action Programme approach. UN Environment also has a number of initiatives that are interested in the TWAP (Regional Seas programme, Global Programme of Action, UN Environment Live, etc.). The network of core partners has confirmed its willingness to participate in future assessments and UN Environment is well positioned to continue with the co-ordination functions (performed by the Project Co-ordination Unit during the life of the project) between the partners and producing further reports based on the existing data. The overall rating for sustainability of the TWAP approaches (through application at the regional level) is **Likely** (regional level) – **Moderately Likely** (global level)**.**
- **Factors affecting performance:** Key strengths include the role of the Project Co-ordination Unit in delivering additional inputs and co-ordinating five parallel waterbody

assessments and the catalytic achievements of the project through encouraging regional use of the TWAP approaches. The Project Co-ordination Unit was well supported by proactive actions of the co-executing agencies and their partners in delivering the assessments and demonstrating the validity of the agreed methodologies. The design of the project (focusing on global aspects as a consequence of the reduced GEF budget) has resulted in a lower engagement of countries with possible detrimental impacts on the future replication of the project's methodologies.

Conclusions

8. The main conclusions (supported by further examples and links in the Effectiveness Findings - Section 5.3) to the key specific questions asked by the consultant's terms of reference are:

i) To what extent have the project deliverables been utilized, or are likely to be utilized, by the key partners and other stakeholders?

TWAP results and approaches have been used by partners in a range of activities, examples include: The GEF has utilised the findings in their replenishment strategy; UN Environment has included results in their freshwater strategy, informing inputs to the Global Environment Outlooks freshwater chapter and providing input on marine plastics to recent GEF project document; partners have utilised approaches to provide assistance to a USAID project in southern Africa. The World Bank is potentially interested in TWAP data to complement their 'Spatial Agent' (a mobile app).

ii) To what extent has the project contributed and is expected to contribute to policy processes concerning transboundary water issues at different levels?

Through GEF projects the TWAP methodology is expected to assist with transboundary analysis at the national – basin/region level. TWAP is being used, for example, to guide the Cartagena Convention with their current assessment of the state of the marine environment of the Convention area (Wider Caribbean), and UNECE has utilised TWAP data to assist countries with Sustainable Development Goal reporting.

iii) How can the TWAP results/indicators be best utilized to inform the SDGs or assist organizations and countries to report on the SDGs?

TWAP has been assisting with the reporting of Sustainable Development Goals 6.5.2 (basins with transboundary co-operation mechanisms), 6.6.1 (changes to status of waterbodies) and 14.1.1 (coastal eutrophication and plastic debris)

iv) How will the TWAP results and outcomes be sustained after project completion? How can the implementing and executing agencies as well as GEF promote and support the continuous use of the TWAP products?

The TWAP project website, and the websites created by the co-executing partners will be maintained for at least five years. The core partners that undertook the

assessments have committed, through agreements, to maintaining the relationships established and are willing to undertake further assessments (subject to available resources). Further promotion of TWAP by partners, UN Environment and the GEF to regional/basin organisations is necessary to further encourage use of TWAP methods at this scale.

Lessons and recommendations

[Full description of lessons and recommendations is available in the main report, sections 7 and 8]

9. The main lessons include:

- In the view of the consultant, the design was relatively narrow and did not allow for the preparation of reports linking waterbody types, the base data is available for this synthesis to be developed in future;
- The preceding medium-sized project was highly beneficial in developing an agreed assessment methodology and identifying the main partners;
- Formal publications (complying with organisations' standards, review process) can take significant time, especially with the considerable publications prepared with summaries for policy makers in six UN languages;
- Although the TWAP project start was relative quick, future projects may benefit by defining a clear mobilisation phase when agreements and the recruitment of project staff can be undertaken before the formal start of time-limited GEF projects. This could be specified clearly at the project concept stage as a step before or within the Project Preparation Grant Phase.
- To increase the awareness of the TWAP approaches and benefits at the national and regional levels, partners need to ensure that adequate short summaries are available to explain the TWAP findings to decisions makers.

10. **Recommendations to the GEF**: Whilst acknowledging the important achievement of the TWAP in providing advice to guide the GEF international waters strategy, the terminal evaluation consultant considers the following will be of further benefit:

- That the **GEF further encourage the adoption of TWAP approaches**, through future transboundary diagnostic analysis /strategic action programme projects, to utilise indicators and methodologies to supplement national and regional specific indicators. This will assist with sustainability and compatibility between projects.
- That the **GEF International Waters Task Force**, at the earliest opportunity, has TWAP on their agenda to identify what additional steps the GEF, with support from UN Environment can take to promote the use of TWAP assessment approaches across the International Waters community of projects.

11. **Recommendations to UN Environment**

- It is recommended that a mechanism is established to sustain the functions provided during project execution by the TWAP Project Coordination Unit: This was a key

suggestion from a number of stakeholders and is supported by the terminal evaluation consultant. Creating a focal point within UN Environment to ensure on-going co-ordination between the TWAP partners to address future requests for regional (or global) assessments using the methodology and to enable users of TWAP data/methodologies to easily access the required information. It would also meet a critical element within the project's objective by providing the co-ordination to the 'formalised partnership' that has been established. The functions suggested for this are many and it would be essential to maintain the significant added value provide by the current PCU in co-ordinating the activities of the partners and preparing cross-cutting synthesis reports. There would be cost implications but possibilities sharing the 'focal point' between different programmes within UN Environment offer opportunities for delivering a co-ordinating function.

- Promoting and communicating TWAP products at national, basin and regional levels: the project has provided a number of presentations and exhibitions at international fora however there has been relatively limited exposure of TWAP material beyond the GEF international waters Community and associated organisations and minimal press coverage. To encourage further use at regional/basin/national levels of TWAP information and approaches there is a need for UN Environment and partners to continue to promote the methodologies and results generated by the TWAP. There is also a need to increase internal awareness within UN Environment of TWAP products and methodologies to further support sustaining actions for the project's activities.

1 Introduction

12. A Terminal Evaluation (TE) for the Global Environment Facility (GEF) funded, UN Environment implemented project 'A transboundary Waters Assessment Programme: Aquifers, Lakes/Reservoirs, River Basins, Large Marine Ecosystems and Open Ocean to catalyse sound environmental management' (TWAP) has been undertaken. This report presents the background, findings, conclusions and recommendations against a specific set of criteria for the evaluation.

13. TWAP is a global project designed to provide a global comparative assessment of environmental status of five different transboundary water body types utilising agreed methodologies and partners that had been defined in a previous GEF funded Medium-Sized Project (MSP). The TWAP was designed to be conducted by a network of thematically focused partners applying this agreed methodology and co-ordinated through a Project Co-ordination Unit (PCU) under UN Environment's Science Division. In addition to UN Environment, the network involved 34 partner organisations, including UN agencies, international bodies, NGOs, etc. The main client for the work was the GEF and the project partner organisations with an expectation that the results would inform future GEF policies and prioritise funding, and that the partners would establish stable networks to undertake future assessments.

14. The project was approved by UN Environment's Project Review Committee (PRC) on the 16th November 2012 and endorsed by the GEF Chief Executive Officer (CEO) on the 19th December 2012. The first disbursement was made in March 2013 with the Project Manager being recruited in July 2013. The project was expected to be completed in two years, but delays associated with the final publication of the results (UN Environment's publication requirements, additional outputs, translation into UN languages, etc.) necessitated the prolongation for a further two years. The GEF grant was 5 M US$ and the project attracted co-financing (at approval stage) of approximately 32 M US$ (discussed in section 3.6 and Annex 5.4).

15. The Project was implemented through UN Environment's Ecosystems Division (formerly Division of Environmental Policy Implementation - DEPI) and executed internally through the Science Division (formerly known as the Division of Early Warning and Assessment – DEWA) through an Internal Co-operation Agreement (ICA) designed to separate the responsibilities of implementation from execution. Project Co-operation Agreements (PCAs) and a Letter of Agreement (LoA) established contractual arrangements with the main lead partners. The governance arrangements and the lead co-executing partners are indicated in Figure 1. The project undertook an internal Mid-Term Management Review (MTMR) in August 2014.

16. The Terminal Evaluation is designed to inform all stakeholders on the levels of achievement of the project, addressing the design, implementation and attainment of expected outcomes that will assist with the formulation of future projects and the sustainability/replication of the impacts. The purpose is: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback and knowledge-sharing through results and lessons learned amongst UN Environment, the GEF, partners and other interested stakeholders.

2 Evaluation Methods

17. The scope and focus of this Terminal Evaluation was defined by the evaluation Terms of Reference (ToR – Annex 2). This specified the evaluation criteria: Strategic Relevance, Quality of Project Design, Effectiveness, Financial Management, Efficiency, Monitoring & Reporting and Sustainability. The ToR also provided key specific questions to be addressed by this evaluation:

- How and to what extent have the TWAP products (methodologies, waterbody specific assessments, policy summaries, etc.) been used (or will be used) by the target stakeholders (the GEF, UN Environment, other donors, GEF IW projects, etc.)?
- How and to what extent has the project contributed to policy processes on transboundary waters at the global, regional and national levels?
- How can /will the TWAP products contribute to the reporting of SDGs?
- How will the TWAP products (assessments and methodologies) be sustained by the partners (including the GEF, UN Environment, project partners/stakeholders)?
- What are the key lessons from the TWAP to on-going global and regional assessments performed by the UN Environment (e.g. GEO or within Regional Seas Programmes)?

18. To facilitate the evaluation, a Theory of Change (ToC) was constructed for the TWAP project during the evaluation inception phase and revised for this final report. The ToC captures the causal logic of the project intervention. The original project design had not developed a formal ToC to substantiate the links between the outputs, outcomes and impacts. The ToC (at evaluation inception stage, and for this report) was informed by significant and beneficial inputs from the Evaluation Office's Evaluation Manager and from peer review experts within the Evaluation Office. The ToC guided the assessment of outputs and outcomes achieved by the project. The design and use of the ToC is described in Section 4 of this report.

19. Based on the evaluation criteria, the specific questions presented in the ToR (presented above) and the ToC at inception, an evaluation matrix was prepared to identify the overarching questions to be asked during the project evaluation. The evaluation matrix was used to formulate questions to be posed to different stakeholder groups involved in the project (including, project staff, partners, the GEF Secretariat, etc.). These tools were agreed and presented in the inception report of this evaluation.

20. The approach to this terminal evaluation, articulated in an inception report, included the following:

- Desk reviews: The TWAP project established a shared Dropbox (approximately 4 GB of documents) containing key project documents (MSP, PIF, Project documents and annexes), meeting progress reports (steering committee documents, GEF and UN Environment financial and progress reports) and key project outputs (assessment reports, policy briefs, etc.) to enable easy access to all available information. The main documents consulted are presented in Annex 5. The PCU created a shared Dropbox with over 4 GB of information to facilitate this evaluation.
- Review of the Terminal Evaluation of the first phase of TWAP to consider impacts on project design.

- Terminal Evaluation Inception Phase and Report: this report confirmed the approach proposed by the consultant including the evaluation matrix which guided the key questions to be asked by stakeholders. The evaluation phase also prepared a draft Theory of Change (ToC) for the project to enable the project assessment to clearly identify and assess performance of outcomes and outputs as indicated in a reconstructed ToC. Lastly the inception phase considered the quality of the project design using the UN Environment's Evaluation Office tool for this assessment.
- Participation at a final presentation of the TWAP project to the GEF Secretariat (held in Washington, DC 18th September 2017) that enabled the consultant to participate in the discussions and hear comments from key stakeholders (partners and the GEF). The meeting was attended by five members of the GEF IW Team and periodically attended by senior management of the GEF. The consultant noted that the GEF funding for the partners had ended two years ago and those who attended did so with their own resources, however all lead partners provided presentations given by the Project Manager.
- Interviews (in person) over 3 days in Washington DC with project staff, UN Environment Task Manager, one-to-one meetings with GEF Secretariat and discussion with the partners attending the meeting, following the questions agreed and presented in the inception report.
- Follow-up interviews with Component co-ordinating teams (group and/or individually) following the questions agreed and presented in the inception report.
- Email contact with the wider networks established by the components with short questions specific to their involvement.
- Email and skype contacts with a range of stakeholders identified by the project partners, UN Environment Task Manager and GEF Secretariat.
- Email / skype discussion on the financial management of the project with the responsible UN Environments Fund Management Officer in the Science Division.
- Follow-up questions for clarification to the PCU, Task Manager and lead partners as required.

21. All responses from interviewees were treated in confidence with anonymity maintained. As with all evaluations, a key limitation was the availability of interviewees, especially from the wider partner networks, especially several years after their funded work had been completed. However, the consultant wishes to emphasise the significant input to this evaluation from all project stakeholders. Stakeholders involved in this evaluation (at meetings, telephone/Skype interviews and email) are presented in Annex 3.

3 The Project

3.1 Context

22. The project was designed to address gaps in global information, strengthening the baseline, to guide the GEF (and other donors) on the status and factors affecting global transboundary water body types, including: aquifers, lakes, rivers, Large Marine Ecosystems (LMEs) and Open Oceans (OO). Addressing these gaps in knowledge was expected to lead to

enhanced financing strategies for strengthening transboundary governance and management of international waters and specifically to guide GEF programming strategy.

23. A previous GEF project (UN Environment Medium-Sized Project (MSP) '*Development of the methodology and Arrangements for the GEF Transboundary Waters Assessment Programme*') developed an agreed indicator-based assessment methodology for the five waterbody types, and established a global partnership of waterbody lead organisations to undertake the planned assessment. The formalisation of this partnership (and the establishment of the waterbody specific networks of data and information providers) was a key objective of the current phase of the TWAP providing the institutional framework for potential assessments to be repeated.

24. The MSP had anticipated that this project would be undertaking both level 1 (global) and level 2 (regional/national) assessments and suggested methodological approaches for both. However, budget availability at the time of PIF approval limited this phase of the project to a level 1 assessment with limited level 2 testing provided through co-financing pilot activities.

25. The partners confirmed during the MSP phase included UNESCO-IHP, International Lake Environment Committee (ILEC), UN Environment-DHI and UNESCO-IOC and these partners were confirmed as lead organisations for projects components 1 -5.

26. TWAP recognised that there have been many water-related global-scale assessments, but these previous assessments were not focusing on the transboundary issues and potentially requiring more attention from regional actors (countries, regional commissions etc.). Cross-comparison of issues between the five waterbody types were expected to be addressed through the use of methodologies developed in the previous project (MSP).

27. The TWAP is the first global assessment that uses quantified indicators of specific waterbodies under three broad themes: biophysical, socioeconomic, and governance. As a first global comparative assessment of transboundary waters, TWAP provides results that can inform the priority setting of interventions by GEF and others, as well as the development of strategies on how nations and regions can meet their Sustainable Development Goals (SDGs). TWAP freshwater indicators map to SDG 6 on Clean Water and Sanitation and TWAP marine indicators support SDG 14 on Oceans, Seas and Marine Resources.

28. A key expectation of the current project was the delivery of formalised partnerships that could (subject to resources) continue the process of periodically updating the transboundary assessments, ideally within the framework of institutionalised on-going regional and global assessments. For example, the Global Environmental Outlooks (GEO) or Regional Seas Programme within UN Environment, or through UNESCO's World Water Development Report on behalf of the UN.

29. The design and scope identified in the previous MSP phase was significantly reduced by GEF budget restrictions prior to the finalisation of the PIF for this phase. Consequentially, involvement of countries was reduced to receiving (or being made aware of) the published global assessments.

3.2 Objectives and components

30. The project's long-term goal was presented in the GEF Chief Executive Officer (CEO) endorsement document and the UN Environment Project Document as: *To promote financing*

of future management and development of the environments and resources of transboundary water systems, through strong stakeholder engagement.

31. The project was expected to reach two objectives:

a) To undertake the first global assessment of transboundary water bodies, through a formalised consortium of partners, that will assist GEF and other international organizations to improve the setting of priorities for funding; and,

b) To formalise the partnership with key institutions aimed at incorporating transboundary considerations into regular assessment programmes, resulting in periodic assessments of transboundary aquifers, lake/reservoirs, river basins, large marine ecosystems, and open ocean areas.

32. The five waterbody specific outcomes had identical wording: 'Improved review of the state of the transboundary aquifer/lake/river/LME/open ocean, through a sustainable periodic assessment process, linked to regular assessment programmes of the partners'. The wording of the main outputs as presented in the CEO endorsement document is very similar to the outcome statements.

3.2.1 Project Components

33. The substantive project components were:

- **Component 1: Transboundary Aquifers and SIDS Groundwater Systems**. (Lead partner: UNESCO – IHP) The objectives of this component of TWAP is to: (i) Provide a description of the present conditions of transboundary aquifers, and aquifers in small island developing states (SIDS); and (ii) Bring to global attention the major issues, concerns and hotspots of these transboundary aquifer systems and SIDS aquifers.
- **Component 2: Transboundary Lake and Reservoir Basins**. (Lead Partner: ILEC) The objective of this component was to develop an assessment of selected transboundary lake basins for establishing science-based priorities for stakeholders.
- **Component 3: Transboundary River Basins**. (Lead Partner: UN Environment – DHI) This component was designed to carry out a global comparison of all transboundary river basins, in order to enable the prioritisation of funds for basins that are 'at-risk' from a variety of issues, covering water quantity, water quality, ecosystems, governance and socioeconomics. The assessment was indicator–based allowing for an analysis of basins based on risks to societies and ecosystems.
- **Component 4: Large Marine Ecosystems** (LMEs). (Lead Partner: UNESCO-IOC) The LME assessment was designed be a global comparative baseline assessment of the current ecosystem state, trends, and stressors (drivers), with future projections and likely impacts to the years 2030 and 2050. The assessment was to be based on a set of core indicators within the five LME modules[3] and for which data was available globally.
- **Component 5: Open Ocean**. (Lead Partner: UNESCO-IOC) The open ocean assessment was planned to address the identified challenges through a global assessment on four broad themes: climate, ocean ecosystems, fisheries, and pollution. The assessment

[3] Productivity, Fish and Fisheries, Pollution and Ecosystem Health, Socioeconomics and Governance

was to take guidance from the human system side and the global governance arrangements already in place for the high seas, and focus on a global thematic assessment.

- **Component 6: Cross-cutting Issues**. (Lead Partners CERMES (governance arrangements) and UN-Environment (socio-economic issues). The purpose of this component was to address governance and socio-economic aspects within the overall waterbody assessments.
  (i) **Governance.** Governance architecture or arrangements are addressed as a common issue for all transboundary water system categories.
  (ii) **Socio-economic Approaches.** Understanding the key cross-cutting social and economic features in transboundary water systems providing a basis for a comparative approach for examining common issues.

- **Component 7: Data and Information Management.** (Lead Partner: UN Environment) A common data and information management portal /clearing house mechanism was established to organize and present data and indicators in a consistent way, building on existing infrastructures and systems such as UN Environment Environmental Data Explorer (formally GEO Data Portal), UN Environment live, Global Earth Observation System of Systems etc. The data management component used relevant regional and global databases and indicators as far as possible, and available systems and tools connecting other GEF projects and knowledge management systems, such as International Waters Learning Exchange and Resource Network (IW:LEARN).

34. In addition, the project document identifies Component 8 as the terminal evaluation and Component 9 as the Project Management.

35. High-level outputs designed to deliver the project outcomes for each component/outcome/waterbody were presented in the GEF CEO Endorsement document. Further detailed specifications of the outcomes and outputs are presented in the project results framework that are effectively sub-outcomes and sub-outputs. In summary, the project was constructed from: eight components, eight main outcomes (as presented in the CEO Endorsement document), 22 'sub-outcomes' (as presented in the project results framework), 38 main outputs (as presented in the project results framework).

3.3 Stakeholders

36. At the project design stage, the main stakeholders identified were the GEF and the extensive network of partner organisations engaged in delivering this global assessment of transboundary waters. This was largely based on the lead partners (and their respective networks) who delivered the previous MSP phase of the TWAP, supplemented with additional partners who were selected to provide global data (and other inputs) for the core indicators agreed by the GEF Secretariat. Whilst it is clear from the Project Document that projects within the GEF International Waters portfolio (e.g. through information dissemination through GEF IW:LEARN and presentations at GEF IW Biannual Conferences), International Financing Institutions (e.g. World Bank), basin authorities, and regional actions would all benefit from an assessment of waterbody status, and would be considered as potential stakeholder groups.

37. The project document did not report on any Project Preparation Grant phase activities to engage wider stakeholder groups (other than those involved in the preceding MSP) who could potentially benefit from the generation of global ecosystem assessments or the availability of agreed and proven assessment methodologies. Potential stakeholder group's, interests and benefits from the TWAP assessment reports and methodologies are presented below.

38. As a global project, the project had a good coverage of the key stakeholders that could potentially utilise the products of TWAP (including global NGOs). Regional and national stakeholders had a lesser role in the project, however the potential for their future involvement through downscaling[4] of TWAP methodologies. The extensive databases will also ensure that multiple users will benefit from the data accumulated by the project.

Stakeholder Group	**Interests and benefits from TWAP assessments and methodologies**
The GEF and its implementing agencies	Main client for project results as clearly stated in project objectives. Acceptance of global assessment reports and methodologies by GEF expected to trigger support for TWAP approaches in future IW projects and to assist in prioritising funding and strategies for intervention on waterbody types.
Partners (core partners and wider network)	Active involvement in project providing expertise, data, models, etc. Interests include incorporating transboundary elements into existing regular waterbody assessments. Main route to sustainability. Within the partner networks engaged on this project, a wide range of different 'groups' were involved (academic, international organisations, associations, etc.)
Donors	Use of assessments to help assess interventions and prioritise funding
International / regional organisations	Use of TWAP assessments and methodologies for down-scaling to regional and national level
Countries	Use of data and results from TWAP assessments. Potential application by ministries responsible for reporting SDGs
GEF IW projects	Use of data, methodologies and assessment results to assist with GEF IW projects developing TDA/SAPs (for example) with extensive needs for data and approaches for analysing ecosystem data. Projects have been informed at various GEF IW Conferences on the progress of the TWAP project and expected products that would be available to assist in other IW projects.
NGOs	Use of assessment reports and promotion of approach. Global, regional and national NGOs could potentially benefit from the use of assessment reports and approaches. To

[4] Downscaling is a term used by the project to explain the process of moving from global assessments (requiring specific datasets, indicators, methodologies, etc.) to regional or national applications of the TWAP.

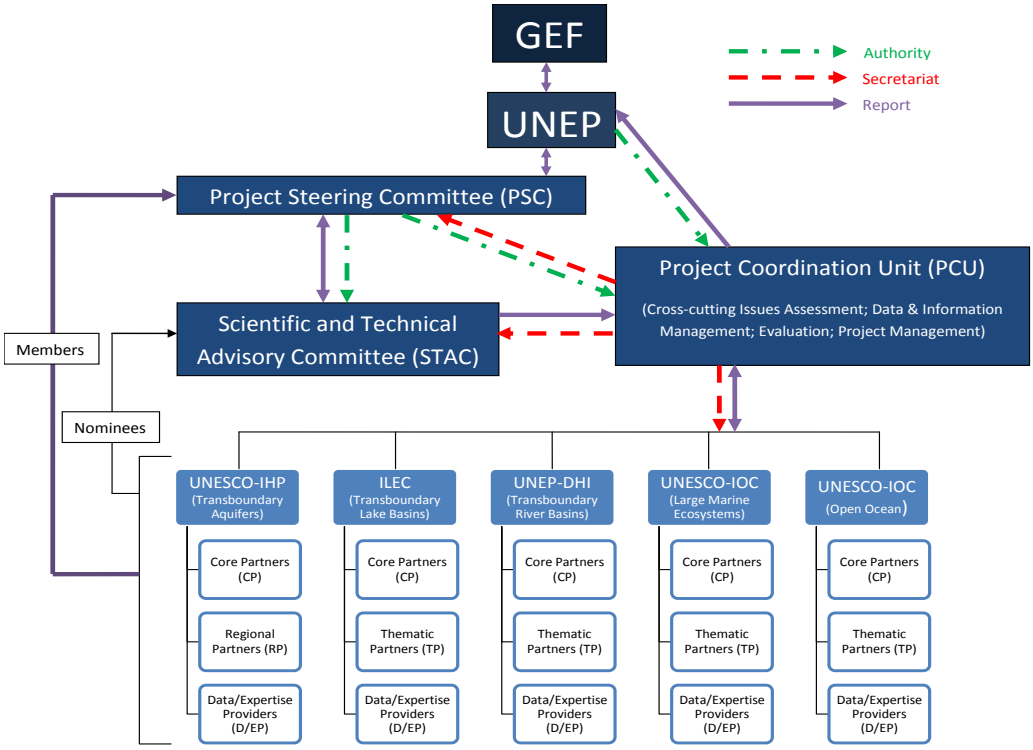
Stakeholder Group	Interests and benefits from TWAP assessments and methodologies
	assist with independent assessments and reviews of ecosystem status/trend.
Academic institutions	Use of assessment reports and promotion of approach. Over 12 universities were involved in the wide partnership established to undertake the waterbody-specific assessments. The extensive databases developed by the project provide significant opportunities for mining information for scientific studies at the global level.

Source: TWAP Project Document

Table 1 TWAP Stakeholders

3.4 Project implementation structure and partners

39. Figure 1 provides a good representation of the final operational structure of the project. The project, implemented by UN Environment (Ecosystem Division) and internally executed through the Science Division involved 21 lead and core partners.



Source: TWAP Project Document

Figure 1 Governance of the TWAP project

40. The project lead partners utilised a wide network of global and regional scientific and technical organisations that assisted with assembling global datasets, utilising models to

supplement data, analysing data to generate assessments reports, etc. The network of lead/core partners, regional/thematic partners and data/expertise providers is summarised below in Table 2.

Component	Lead and Core Partners	Regional/Thematic Partners	Data / Expertise providers
Transboundary Aquifers and SIDS Groundwaters	UNESCO-IHP (lead) plus 6	9	12
Transboundary Lakes and Reservoirs Basins	ILEC (lead) plus 3	11	23
Transboundary River Basins	UN Environment – DHI (lead) plus 2	6	9
Large Marine Ecosystems (LMEs)	UNESCO-IOC (lead) plus 3	7	22
Open Oceans (OO)	UNESCO-IOC (Lead) plus 3	8	8

Table 2 Project Partners per component (summarised from TWAP Project Document)

3.5 Changes in design during implementation

41. There have been no significant changes to the project design during implementation that resulted in budget or project results framework adjustments. At the 3rd Project Steering Committee (PSC) meeting additional cross-cutting synthesis documents were specified, however these were not reflected in any changes to the project documents (including the project results framework).

42. All component methods underwent minor adjustments with respect to data availability during the inception period since the development of the MSP-based methodologies.

43. Two one-year no-cost project extensions were requested to complete the cross-cutting documents identified at the 3rd PSC and to enable the final publication of the reports, including the translation and publication of the summaries for policy makers into the six official UN languages

3.6 Project financing

44. GEF project financing at inception and at completion is presented in Table 3. UN Environment Fund Management Officer (Science Division) reported that the figures presented for the total GEF budget were erroneous and would be corrected in December 2017. The total GEF grant awarded to the TWAP was 5,000,000 US$.

UNEP Budget Line		UNEP approved budget	Total cumulative expenditures December 2016	Cumulative unspent balance December 2016
Component I- TBA		-	-	-
2101	Sub-contract (UNESCO)	1,500,000	1,487,127	12,873
Component II- Lakes		-	-	-
2202	Sub-contract (ILEC)	300,000	300,000	0
Component III- Rivers		-	-	-
2203	Sub-contract (UNEP-DHI)	1,500,000	1,500,000	-
Component IV- LMEs		-	-	-
2102	Sub-contract (UNESCO)	400,000	399,194	806
Component V- Open Ocean		-	-	-
2103	Sub-contract (UNESCO)	600,000	597,611	2,389
	Sub-total (Components I-V)	***4,300,000***	***4,283,932***	***16,068***
Component VI- Cross-cutting issues		-	-	-
1202	Consultant (Governance) **	60,000	60,000	-
1203	Consultant (SE issues)	40,000	40,000	-
	Sub-total (Component VI)	***100,000***	***100,000***	***-***
Component VII - DIM		-	-	-
2201	Sub-contract (Uni. Geneva)	126,350	126,350	-
1601	Travel (DIM Component)	3,000	2,991	9
5201	IW:LEARN Compliance	6,000	5,852	148
	Sub-total (Component VII)	***135,350***	***135,193***	***157***
Component VIII - Evaluation		-	-	-
5500	Evaluation	70,000	-	70,000
	Sub-total (Component VIII)	***70,000***	***-***	***70,000***
Component IX - Project Management			-	-
1201	Consultant: Project Manager **	306,293	361,160	(54,867)
1101	Associate Programme Officer	40,000	-	40,000
1602	Travel (PMU), incl. IWC participation	52,000	51,977	23
	Sub-total (Component IX)	***398,293***	***413,138***	***(14,844)***
		-	-	-
99	**GRAND TOTAL**	**5,003,643 ***	**4,932,262**	**71,381**

(Source: GEF TWAP 2016 Expenditure as at 31.12.2016)

* The total reported here is an anomaly by UN Environment's FMO (Science) and is expected to be addressed in the Expenditure report at the end of December 2017. The figure should be as per the GEF Grant (5,000,000 US$)

Table 3 GEF Financing of TWAP Project

45. TWAP project co-financing is presented in Table 4 with the total co-financing at completion exceeding expectation at CEO endorsement.

Co financing (Type/Source)	Implementing Agency own Financing (US$)		Government (US$)		Other* (US$)		Total (US$)	
	Planned	**Actual**	**Planned**	**Actual**	**Planned**	**Actual**	**Planned**	**Actual**
Grants (Cash) Government of Finland (December 16)			1,019,000	1,047,755			1,019,000	1,047,755
Loans								
Credits								
Equity investments								
UN Environment Cash UN Environment In-kind (December 2016)	1,790,500	2,273,704 104,786					1,790,500	2,273,704 104,786
Other* (Cash and in-kind)								
• Aquifers					11,114,000	8,814,000*	11,114,000	8,814,000
• Lakes					1,222,000	1,348,600	1,222,000	1,348,600
• Rivers					6,191,731	6,393,722	6,191,731	6,393,722
• LMEs					4,325,000	5,027,257	4,325,000	5,027,257
• Open Oceans					6,201,582	6,932,532	6,201,582	6,932,532
TOTALS	**1,790,500**	**2,378,510**	**1,019,000**	**1,047,755**	**29,054,313**	**28,516,111**	**31,863,813**	**31,942,356**

NB: All planned co-financing as presented at time of CEO endorsement

Dates of partners co-financing reports (Components 1-5) December 2015 (details included in Annex 4)

* The planned SDC co-financing work (3 pilots on transboundary aquifers) had not been completed by the end of the substantive work of the TWAP component in 2015. The remaining SDC resources were spent after the conclusion of this project, although prior to the financial closure of the TWAP project. In the opinion of the TE consultant the additional 2.3 M $ co-financing should also be acknowledged as contributing to this project.

Table 4 TWAP Co-financing at CEO endorsement and completion

4 Theory of Change at Evaluation

46. A Theory of Change (ToC) analysis was not completed at the TWAP project design stage as it was not a requirement at that time. On the basis of the final project goal, objectives, outcomes and outputs presented in the project results framework, a reconstructed ToC was prepared for the Terminal Evaluation Inception Report as required by the Evaluation Office of UN Environment. This TOC has been slightly revised for this final evaluation report with additional input from the Evaluation Office and based on the information obtained during the evaluation process. A ToC is a means to capture the causality of the intervention and to provide a framework within which the formally approved results statement of the project can be captured. The ToC has guided the evaluation of the TWAP against the main criteria presented in the consultant's ToR (Annex 2).

Project goal and objective statements

47. As the project document did not contain an explicit impact statement that would clearly stipulate a long-term environmental or social change that the project would be expected eventually contribute to, the ToC impact statement was formulated as: *Long-term ecosystem benefits and improved socio-economic conditions through improved governance, management, and awareness by stakeholders to transboundary water issues*.

48. The project goal as presented in the CEO Endorsement and Project Documents *("To promote financing of future management and development of the environments and resources of transboundary water systems, through strong stakeholder engagement")* was reformulated as an intermediate state in the TOC as: "*Improved strategic planning by the GEF, IFIs and national governments of investments on transboundary activities benefiting transboundary aquatic ecosystems and national socio-economic conditions"*. The redefinition was done to present a more result-oriented statement and to define more precisely which were the key stakeholders where change would be expected to appear in the long run.

49. The ***development of global waterbody specific assessments*** (TWAP objective a) was clearly targeted at guiding strategy development at the GEF (and 'others' – loosely defined as IFIs). Consequently, a project driver is the GEF for which a key assumption, is assumed: that GEF Council will continue to support TWAP related activities as articulated in the project results framework (outcome 1.1) and that the GEF will both utilise the results of the global assessment and continue to support TWAP methodologies within other IW projects (see also para 62-69).

50. The ***formalisation of the partnerships*** **(**TWAP objective b) established by the TWAP between the different organisations responsible for each waterbody specific assessment. It is noted that there are differing interpretations of this objective including within GEF Secretariat and between the GEF Secretariat and the core partners.

51. The lead organisations have agreed partnerships between core members and in some cases (e.g. UNESCO-IHP and ILEC) have a mandate to undertake periodic global data collection. This evaluation has investigated the commitment of the partners to undertake both future *global*

and *regional* assessments utilising the TWAP methodologies and the necessity of external funding to support these.

52. Information and progress reported by the project in the annual PIRs against the project results framework's indicators and targets was extensively used as one source of information to assess the overall achievement of the project.

TOC outputs and outcomes

53. The reconstructed ToC has also seen the reformulation of the output and outcome statements to aid a better understanding the achievements of the project. In the interests of transparency, the links between the project and reconstructed ToC outcomes and Outputs are presented in Figure 2 and Figure 3 respectively, indicated by the arrows linking the approved project's results framework and the reconstructed ToC's outcomes and outputs.

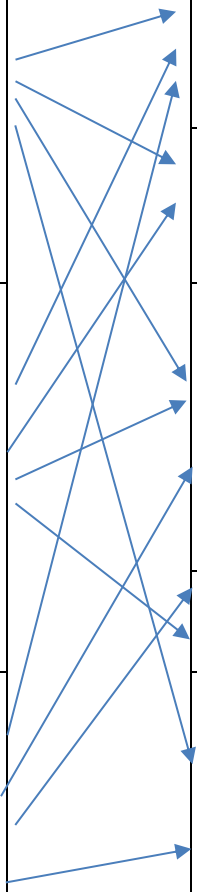
54. The reconstructed ToC showing the pathways from output to potential impact is presented in Figure 4. The ToC links the project outputs and outcomes as indicated above and illustrates the considerable interconnectivity of the project's outcomes. The justification for the reconstructed ToC outcomes and outputs is presented in Figure 2 and Figure 3.

55. The main motivation for this project was the GEF Secretariat with the objective of collating available global data to strengthen the baseline on different waterbody types to guide their strategy and financing cycles to track impacts of GEF (and co-financing) investments. This was supported by the partners who currently have thematic or regional /global assessments being undertaken of different waterbody types but without transboundary considerations.

Components	Project Outcomes	ToC direct outcomes	Justification for the reconstruction
1 Aquifers 2 Lakes/ reservoirs 3 Rivers	1- 5) Improved review of the state of the transboundary aquifer/lake/river/LME/open ocean, through a sustainable periodic assessment process, linked to regular assessment programmes of the partners	1) GEF utilising TWAP results in their Strategy to guide programming	The first key objective of the project was directed at the use of the TWAP reports to assist the formulation of future GEF IW policies. Thus, based on the component level objective and outcome statements detailed in the results framework, Direct Outcome 1 is formulated to depict the direct effect expected after the completion of the assessments (outputs). Following the project logic, the first direct outcome is formulated focusing on the use of the TWAP assessments. This reformulated ToC Outcome encompasses elements of the project's planned outcomes on reviews of the state of the transboundary waterbodies (outcomes 1 -5), cross-cutting aspects (governance and socio-economic, 6) and the data/information (7), as integrated in the technical reviews, policy, cross-cutting and global compendium publications and website(s).
4 LMEs 5 Open Oceans		2) Agencies / donors (including UN Environment, World Bank, project partners, etc.) using TWAP assessment tools in global / regional reviews	Following the results framework statements (component level objective statements and outcomes), the TWAP assessment tool (including: methodology, results) was expected to be of interest to global and regional actors undertaking future assessments (at global and regional/national levels) and/or utilising the data (maps, conclusions, projection trends, etc.) in their work. The project has stimulated interest from global and regional actors on this issue. Following this logic, the Direct Outcome 2 is formulated around the use by other international organisations.
6 Cross-cutting issues	6) Improved understanding of transboundary water governance architecture and Improved capacity to compare the cross-cutting social and economic features of human-water interactions across and within the five transboundary water systems.	3) TWAP Partnership and extended networks proven functional and committed to undertake future TB assessments (global, regional, national)	The second key project objective was the 'formalisation of partnerships' needed to complete the current TWAP assessment and available to deliver future assessments at different scales as required when resources are available. This aspect was also strongly built within the sub-component results statements in the logframe (presented in Annex 6).
7 Data and information management	7) Improved availability and accessibility of consistent data and indicators on transboundary water systems, including targeted, customized information products available for stakeholders and mainstreaming into policy-making		

Figure 2 GEF TWAP Links between project outcomes (at endorsement) and ToC direct outcomes,

Components	Project Outputs
1 Aquifers	A systematic global assessment report on transboundary aquifer/lake/river/LME/open ocean with provisional outlook projections; an agreed framework for a periodic assessment process, including a sustainable consortium of partners; and a data and information management system.
2 Lakes/ reservoirs	
3 Rivers	
4 LMEs	
5 Open Oceans	
6 Cross-cutting issues	A systematic indicator-based global assessment of governance arrangements for transboundary waters; and a systematic, and comparative indicator-based global assessment of human populations dependent on transboundary waters
7 Data and information management	A project data and information management platform for showcasing, visualizing and exploring main assessment results and as a clearing house on transboundary water system data and indicators; a dedicated project website connected with IW: LEARN and other GEF knowledge management systems, and knowledge products such as experience and result notes as well as reports from the participation in the IWC.



ToC Outputs	Justification
1) Waterbody specific global assessments completed and published	The details presented in the results framework for all Components 1 -5 (outputs) correspond to these two reconstructed ToC outputs
2) Cost-effective methodologies for level 1 (global) assessments finalised /tested	
3) Cross-cutting and syntheses reports (governance, socio-economic, cross-cutting integration, global compendiums, etc.) completed and published	Two component 6 outputs presented in the results framework contribute to this reconstructed ToC output
4) Data and information management operational and utilised	Links closely with project outputs under component 7 (and activities under C1 -C6)
5) Formal partnerships at waterbody level (core partners & data providers/processors) established	Each of the waterbody assessment components (C1 -C5) contain outputs to establish formal partnerships that are directly linked to this TOC output

Figure 3 GEF TWAP Links between project outputs (at endorsement) and ToC outputs

Impact pathways

56. An important purpose of the reconstructed ToC diagram is to assist with the evaluation's considerations of the main intermediate steps beyond the end date of the project towards the expected impact and the drivers/assumptions that are likely to contribute to the progress. The main intermediate steps and the assumptions within this ToC are further explained below and further assessed the section 5.3.3. The reconstructed ToC identified three impact pathways depicted in the Figure 1.

57. Direct Outcome 1: GEF Using TWAP results in strategy to guide programming. As discussed GEF was the primary client for the TWAP and the first identified TOC outcome is related to the assumed use of TWAP products by this main client. Use of TWAP in GEF strategy is expected to further guide the programming in International Waters (IW) (Intermediate State 1). The informed priority setting in the IW programming would again in the long run contribute to improved policy and strategy setting at global, regional and national level (Intermediate State 7). Intermediate State 1 could also under right conditions (see drivers and assumptions) support further utilisation of TWAP approaches by downscaling the methodologies to level 1 (regional and national level) in the future (Intermediate State 4).

58. *Direct Outcome 2: Agencies and Donors use TWAP assessment tool in global and regional reviews*. The second direct outcome also focuses on use aspects of TWAP outputs (methodologies, assessments, results). However, in-line with project document it looks at the use of TWAP among other international organisations (i.e. TWAP partners and World Bank). Ownership of TWAP among these (non-GEF) organisations is expected to again support undertaking of the future global and regional reviews that utilize TWAP tools (Intermediate State 2). This again would, in the long-run contribute to improved policy and strategy setting at global, regional and national level (Intermediate State 7).

59. Direct Outcome 3: TWAP partnership and extended networks proven functional and committed to undertake future transboundary water assessments. As discussed in paragraph 28 and 31 the TWAP design had a strong focus in building and maintain partnerships and networks that could in the future utilize TWAP in assessment processes at different levels (refer to project objective 2 and sub-component objectives). Outcome 3 would contribute to, and support realisation of, Intermediate States 1, 2 and 3, creating a basis for future utilisation of TWAP for different purposes.

Assumptions and Drivers

60. The assumptions and drivers depicted in the Figure 4 are described below.

61. Assumption 1 relates to the transition from the TOC outcome towards the intermediate states. It is assumed that intermediate states and benefit deriving from the use of TWAP in GEF will only derive if the GEF 7 strategy that utilises TWAP is approved.

62. Assumption 2 recognises the need for resources for future assessments (global regional or national) to be made available from multiple sources (e.g. GEF, UN Environment, TWAP partners, regional bodies, etc.)

63. Assumption 3 for downscaling to be successful (to regional and national level, e.g. through TDAs) both the awareness of TWAP by potential users and the capacity to utilise the approach has to be established at the downscaled level.

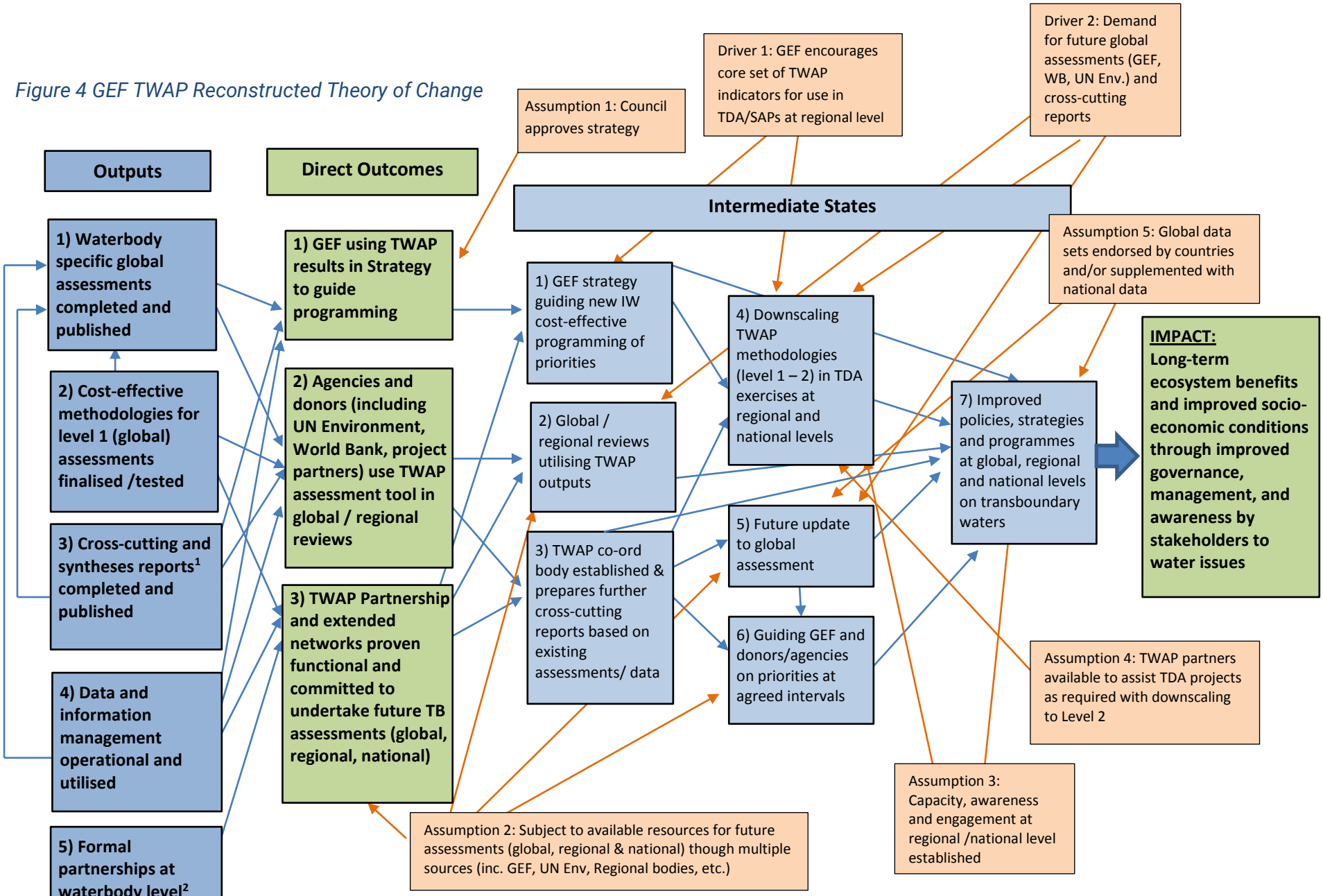
64. Assumption 4 to ensure the effective use of TWAP within GEF Transboundary Diagnostic Analysis (TDA) projects it is desirable that the TWAP partners are available to assist as required.

65. Assumption 5 anticipates that global data sets are accepted by countries and/or are supplemented through national data that meets the needs of the TWAP methodologies.

66. Driver 1 GEF continues to encourage the use of TWAP approaches in transboundary waters projects. This includes the indicators, assessment data and overall methodologies within, for example TDA / Strategic Action Programme (SAP) projects.

67. Driver 2 anticipates the need for ongoing demand for future assessments from international organisations (e.g. GEF, World Bank, UN Environment, etc.) and the desire to have analytical reports to assist with the interpretation of the data.

Figure 4 GEF TWAP Reconstructed Theory of Change



[1] *Cross cutting synthesis reports including governance, socio-economic, integration, global compendiums, etc*

[2] *Including core partners and data providers/processors*

5 Evaluation Findings

5.1 Strategic relevance

5.1.1 Alignment to the UN Environments Medium Term Strategy (MTS) and Programme of Work (PoW)

68. The importance of UN Environment's assessment work is clearly articulated in the 2014-2015 and the 2016 -2017 Programme of Work[5] (PoW), to which the TWAP project potentially would contribute the global waterbody assessments and the indicators. The assessment work is also consistent with the UN Environment's Mid-Term Strategy[6] (MTS) 2014 -2017

69. UN Environment's Sub-Programme (SP) 7: "Environment under Review", aims "to empower stakeholders at global, regional and national levels in their policy and decision making by providing scientific information and knowledge and keeping the world environment under review". One of the expected accomplishments of SP-7 is to facilitate global, regional and national policy making from environmental information made available on open platforms. Key projects under SP-7 include (i) UNEP Live, (ii) Global and Regional Assessments (GEO-6 and Global Gender and Environment Outlook - GGEO), (iii) Thematic Mapping/Atlases, (iv) Outreach to major groups and the public. SP-7 also aims to enhance the capacity of countries to generate, access, analyse, use and communicate environmental information and knowledge.

70. The alignment to UN Environment's MTS and PoW is rated as **Highly Satisfactory**.

5.1.2 Alignment to UN Environment and GEF strategic Priorities

71. Whilst this global assessment phase of the project did not provide significant *direct* support to the UN Environment's 2004 Bali Strategic Plan[7] (BSP) in assisting national and regional institutions in data collection, analysis and monitoring of environmental trends, the anticipated downscaling of the assessments to Level 2 will have *direct* benefits as considered in the reconstructed ToC.

72. The project's extensive partner networks did facilitate south-south co-operation through the inclusion of key regional partners from Africa, Southern Asia, etc. as potential key routes to awareness raising and information sharing when replication of the approach is adopted at the Level 2 scale. The results of the global assessments are also expected to contribute to the regional and national understanding of the pressures impacting regional/national waterbodies and are contributing assistance through SDG assessments facilitated, for example, UNECE and the work of transboundary aquifer assessments.

73. The project is consistent with GEF-5 (relevant at the time of project design) International Waters Focal Area Strategy and responds to Strategic Priorities 1, 2, and 4 of the International Waters Strategy, as well as the Strategic Goals of the GEF-5 Programming Document, by

[5] http://wedocs.unep.org/handle/20.500.11822/7703
[6] https://wedocs.unep.org/rest/bitstreams/996/retrieve
[7] http://staging.unep.org/south-south-cooperation/pdfs/Bali-Strategic-Plan-GC23-6-add-1.pdf

undertaking a global indicator-based assessment of transboundary water bodies, through a formalized consortium of partners, to support informed investments by the GEF and other international organisations.

74. At the time of project design (PIF and Project Document), GEF IW was expecting to adopt the STAR (System for Transparent Allocation of Resources) approach to allocation of funds to be consistent with other GEF focal areas. A key purpose of the TWAP was to provide GEF IW with tools to assist with internal prioritisation of funds.

75. The alignment to UN Environment and GEF priorities is rated as **Highly Satisfactory**

5.1.3 Alignment to Regional, Sub-regional and National Environmental Priorities

76. The TWAP full-size project was designed with a global perspective on assessments and methodological testing. However, the project's guidance assessments and information are of direct benefit to regional, basin and national level activities including to countries reporting SDGs (in particular, SDGs 6 and 14).

77. The results of the assessments will also be of benefit to regional authorities (e.g. basin commissions, Regional Seas Conventions, etc.) in helping to set priorities for future investigations. Through national and regional GEF projects employing the Transboundary Diagnostic Analysis / Strategic Action Programme (TDA/SAP) approach[8] for transboundary waterbodies, the methodological aspects of TWAP (following downscaling of the methodologies, indicators and data needs by future GEF projects) will provide assistance at sub-global levels on undertaking assessments.

78. The benefits to national, sub-regional and regional stakeholders of the TWAP have been relatively limited with the focus of the project (by design) on global assessments and predominately global stakeholders, although the methodology and indicators can be downscaled where needed in future. The original concept proposed in the MSP contained significant additional actions on national capacity building, national Level 2 assessments and additional outreach.

79. The alignment with regional and national priorities is rated as **Satisfactory**.

5.1.4 Complementarity with Existing Interventions

80. The TWAP project was by design complementary to a range of other global initiatives and the project implementation has confirmed the actual benefits to other programmes or the potential of TWAP to contribute to these programmes. In particular the evaluation has examined the contributions of TWAP to:

- The SDGs 6.6 (Clean Water and Sanitation) and 14 (Life Below Water)
- Regional Conventions (e.g. Cartagena Convention is developing a State of the Convention Area report that is employing elements of the TWAP);

[8] GEF TDA/SAP is the main tool used in GEF IW projects for identifying and proposing actions to address transboundary problems impacting waterbodies.

- UN Environment programmes (including Regional Seas, GEO, Live, etc.) are using or investigating aspects of the TWAP consistent with Sub-Programme 7 (Environment under Review).
- Also some LME projects using TWAP outputs (e.g. CLME+ and Bay of Bengal LME projects)

81. The complementarity of TWAP with existing interventions is rated as **Satisfactory**.

5.2 Quality of Project Design

82. The project was designed to provide a global scientific assessment on transboundary waters leading to sound information for GEF (and other interested global actors) to guide funding of interventions. In delivering this project GEF, UN Environment and the main partners have delivered a scientific credible global network of experts and assessment reports.

83. The origins of the project derive from a previous GEF project (GIWA – Global International Waters Assessments) with the lessons leading to the GEF MSP – *Development of the methodology and arrangements for the GEF TWAP*. Where appropriate, the recommendations of the Terminal Evaluation of the MSP phase of TWAP were considered in the design of this phase of the project.

84. The preceding medium-sized project designed an agreed methodology to be tested at the global and regional/national levels, and confirmed the core partners necessary to undertake the testing of the approach and preparing the first assessments based on TWAP. The PIF for this phase, went through several iterations in discussions with the GEF Secretariat and eventually resulted in a significant reduction in budget and duration, resulting in a two-year project with a GEF budget of 5 M US$; this '*considerable*' reduction in budget was noted in the GEF Secretariat review sheet[9]. The previous MSP phase had anticipated as for a three-year assessment and > 10 M US$ budget for undertaking level 1 and level 2 assessments. However, this terminal evaluation is focused on the final approved PIF (GEF Grant 5 M US$) but the reduction of ambition is noted within this evaluation where project impacts initially anticipated have been reduced (e.g. on national uptake of TWAP products)

85. The project was approved at PIF stage with six main components; five associated with developing global assessments on different transboundary waterbody types (aquifers, lakes, rivers, large marine ecosystems and open ocean) and a component on data and information management. The project is best viewed as five sub-projects that have been combined into an overall co-ordinated programme. By the Project Document /CEO Endorsement stage the structure of the project had been enlarged to include outcomes on cross-cutting issues including governance and socio-economic issues. The Project Document also had greatly elaborated the details of the Components and outcomes through the identification of component objectives and sub-outcomes (these are summarised in Annex 6).

[9] https://www.thegef.org/sites/default/files/project_documents/4489-2011-12-13-125203-GEFReviewSheetGEF5_0.pdf

86. The component budgets (shown in Table 3) were also determined at early stage (and adjusted to meet the final GEF allocation). The GEF grants for TWAP ranged from 1.5 M US$ for Component 1 and 3 (aquifers and rivers respectively) to 300 k US$ for Component 3 (lakes). The evaluation consultant could not find a clear explanation of the allocation of resources to the components. Relatively limited resources were allocated to key cross-cutting assessment of governance and socio-economic issues.

87. The Project results framework (Annex 4 of the Project Document) was extensive. Over 30 pages of information on sub-outcomes, sub-outputs and activities. Whilst this provided clarity to the component leads on delivery it undoubtedly placed a reporting burden on the PCU. In many cases these indicators cannot be considered SMART[10]. The evaluation consultant also expresses concern that the main outcomes and outputs have similar wording and to a large extent the outcomes are not expressed clearly in terms of leading to 'change' (e.g. *improved review of the state of the* …. For the outcome and …*a global assessment report*….for the output).

88. The main project stakeholders engaged in the design of the project were the core partners (and their extended networks of data provides and expert resources), the GEF, and UN Environment.

89. The project design anticipated a number of cross-cutting working advisory groups to assist with governance, socio-economic issues (correspondence groups) and a scientific and technical advisory committee (STAC) to guide the PSC and PCU.

90. The main elements that were removed from the PIF during its review included the level 2 assessment (national and regional level), capacity development at regional and national level and reduction of outreach activities.

91. At the project document stage' the effort and transaction costs placed on the PCU associated with undertaking five global assessments was underestimated along with the time taken to finalise the publication of the multiple outputs delivered by the project. The project design also did not anticipate the beneficial additional outputs that were agreed in the third PSC on cross-cutting synthesis reports. These additional products were delivered by the PCU (largely through co-financing) and with no-cost inputs from the project partners.

92. At the design (Project Document) stage the publications were expected to be peer reviewed and approved by the UN Environment Task Manager. Formal publication (including print and print ready electronic files) through UN Environment had not been anticipated which significantly impacted the delivery of the project within the expected time-frame.

93. Although gender and human-rights issues were not explicitly addressed in the project design, the methodology did consider issues of relevance, for example: the rivers waterbodies component did consider issues of maternal health with the socio-economic analysis considering the level of education at reproductive age.

[10] Specific, Measurable, Achievable, Relevant and Targeted

94. The assessment of the Quality of Project Design undertaken during the inception phase of this evaluation rated the project design as **Satisfactory** and the conclusion of the terminal evaluation confirms this assessment.

5.3 Effectiveness

95. The assessment of the effectiveness of the delivery of the outputs and achievement of outcomes is based on the reconstructed ToC (described in Section 4) and the specific project outputs identified in the results framework and reported in the 2016 PIR.

5.3.1 Achievement of outputs

96. Previous PIRs identified that the majority of the technical outputs had been completed by the partners before the planned end of the project (December 2015). The project extension was primarily devoted to delivering additional outputs and in editing and preparing the final reports for electronic publication. The PIR (2016) reported that all component outputs had been achieved.

97. The evaluation is presented below addressing the achievements of the ToC outputs associated with the technical components 1 -5 (waterbody specific components), component 6 (the evaluation of governance and socio-economic aspects as cross-cutting issues in all waterbody types) and component 7 (data and information management).

ToC Output 1 – Waterbody specific global assessments completed and published: Project Components 1 – 5

98. As reported in the 2016 PIR, all waterbody components, had delivered, as planned finalised assessment reports that have been published on the web and in high quality print outputs (technical assessment reports and policy maker summaries in six UN languages). Specifically, the project delivered assessment reports[11] on:

- 199 **trans-boundary aquifers** and 43 groundwater systems in **SIDS**;
- 204 priority transboundary **lakes and reservoirs**;
- 286 transboundary **river basins;**
- 66 **large marine ecosystems** (each covering an area over 200,000 km^2);
- Thematic assessment of **Open Ocean**.

99. The waterbody core partners (UNESCO-IOC, ILEC, UN Environment – DHI and UNESCO-IOC) assembled networks of expert resources that had access to global data sets, models, etc. to provide the data and scientific analysis inputs to the assessments conducted by the core teams.

100. Global stakeholders within the GEF IW community and other stakeholders were well informed on the results of the assessments, including (in 2016): GEF IW Conference (Sri Lanka); dedicated presentations to the World Bank and other international donors (Washington), Stockholm Water Week, three Regional Seas meetings, Cartagena Convention for the wider Caribbean region (Jamaica), annual LME meetings, etc.

[11] Data as presented in the Cross-cutting Analysis Report

101. The final publication of the assessment reports resulted in the need for two one-year extensions. The design had expected that publication approval (following scientific peer review) would be provided by the PSC/Task Manager, however the time taken for formal publication through UN Environment had not been anticipated. The 3rd PSC seems to have considered the formal publication route with the inclusion of the GEO publication style guide as part of the briefing papers. While these delays did not impact the utilisation of the reports by the GEF, the time for publication was clearly lengthy compared with the time taken for data collection and assessments (also two years) as noted by a number of the scientific contributors for this terminal evaluation.

102. Whilst gender mainstreaming was not a central theme of these global assessments there are several notable actions by the project: Component 1, gender has been included in the methodologies tested through the three regional SDC co-financed pilots; Component 3 noted that although gender aspects had not been extensively explored in this global assessment, it had been included in the original MSP phase methodology for level 2; Component 5 had included gender sensitive education indicators in the open ocean evaluation.

103. With any assessment there are opportunities to learn from stakeholders about what additional results or information would be beneficial in the assessment reports. Interviews have provided the following suggestions:

- The summaries for policy makers (available in the six UN languages) were considered to be too complex and too lengthy for many 'decision makers'. It would be beneficial to have considered a short (a few pages) clear statement of the conclusions and potential actions that could be taken to address any issues;
- As highlighted throughout this report, the overall lack of country involvement (providing data, commenting on results, training, etc.) as a result of the reduced scope of the project at design has hampered the acceptance of some of the global data (see section 5.3.3). For example, it could be beneficial to utilise national statistics offices for the provision of agreed country data similar to the approaches adopted for the Human Development Reports (especially for level 2 assessment). However it is noted that some components (e.g. transboundary aquifers and lakes) did engage at the regional/country level with primary data providers;
- Interviews with stakeholders highlighted a desire that potential opportunities could have been explored to combine transboundary information with other data sources (e.g. political reports, food security information) and these options could be explored with other data providers (World Bank, WRI, etc.);
- The limitations of time and budget inevitably required that the TWAP made use of available information and data. Future assessments could benefit from selected 'ground truthing' and establishing how transboundary arrangements actually operated to supplement how governance /management is planned.

- Future synthesis reports could be considered including interactions between freshwater and coastal waters to be in-line with current source-to-sea considerations of the GEF and to consider interactions between all freshwater bodies consistent with approaches adopted in full 'catchment management' plans.

104. The assessment of the ToC output 1 – Waterbody specific assessment reports completed and published is rated as '**Satisfactory'**.

ToC Output 2 – Methodologies for level 1 (global) assessments finalised and tested - Components 1- 5

105. The preceding informative medium-sized project developed methodologies and identified core partners for assessing the five waterbody types. The current phase of TWAP applied the agreed level 1 (global) methodologies to collect and analyse data on the waterbodies leading to the global assessment reports. Whilst the project design did not consider the testing of the methodologies as an 'output' the reconstructed ToC based on the project documentation identified that 'tested' methodologies were an important deliverable for the future sustainability of the TWAP concept. This was seen by the terminal evaluation consultant as a key proof of principle for future global assessments and the basis for any downscaling of TWAP to level 2 (regional/basin/national) assessments.

106. Whilst the MSP outlined the methodologies for both global and regional/national assessments (level 1 and 2) this phase of TWAP delivered a global assessment only. This reduced the national and regional contacts that was further restricted (as designed) through the use of pre-existing global data sets, supplemented by modelling and expert inputs. Stakeholder interviews indicated that there were concerns that national data was not used which limited the 'acceptability' of TWAP global assessments in some cases at country / regional level. Stakeholders considered that these potential limitations, and means to mitigate these issues in future, should have been given higher prominence in the reports. However, the use of agreed global data sets avoided inevitable issues associated with variability of national data and the time/cost for collection.

107. Whilst the primary focus of the project was on the global assessments, four components had activities that will benefit the future use of TWAP and regional or national level. These include:

- Component 1 (Transboundary Aquifers): UNESCO-IHP conducted pilot activities in three transboundary aquifers involving eight countries in Central Asia (Pretashkent), Southern Africa (Stampriet) and Central America (Trifinio), through SDC co-financing. Clearly the work undertaken on SIDS groundwaters is at the national or regional level.
- Component 2 (Lakes) identified where methodology could be of interest in a level 2 assessment and appropriate for a TDA/SAP project. Of interest to both countries and regional authorities.
- Component 3 (rivers) noted, that although further modifications to indicators may be required, that the developed indicators for rivers would benefit TDA/SAPs at regional/national level.
- Component 4 (Large Marine Ecosystems) noted that the assessment of governance arrangements would be a benefit to regional assessments as part of a TDA/SAP that could lead to transboundary agreements that establish a regional commission. This approach has been effectively utilized within the GEF/UNDP Caribbean Large Marine Ecosystem (CLME) project and FAO/GEF Bay of Bengal Large Marine Ecosystem (BoBLME).

- Component 5 (Open Ocean) Ocean acidification impacts on aquaculture; sea level rise on coastal development planning, and protected areas for diversity protection of coastal ecosystems, etc.

108. The successful delivery of the five assessment reports, policy maker summaries, cross-cutting reports and the establishment of the data and information system was highly dependent on the success of the TWAP methodology. The evaluator rates ToC output 2 as '**Satisfactory'**.

ToC Output 3 – Cross-cutting and synthesis reports completed and published - Component 6

109. Cross-cutting issues, in particular governance arrangements and socio-economic factors, were considered in the methodology developed in the MSP but at the time of approval had not been allocated a specific component. In the development of the Project Document for this phase of TWAP, more prominence was given to these important issues. The work of this component was directed by an internal expert group (the Correspondence Groups on governance and socio-economic aspects) that guided the formulation of the governance and socio-economic sections of the main waterbody assessments reports.

110. The governance effective framework approach to assess transboundary water governance has been utilized by a number of GEF project (e.g. CLME) and published[12]

111. In addition to the planned activities relating to governance and socio-economic elements in transboundary waters, important *additional* reports were also agreed at the final PSC meeting on a cross-cutting synthesis analysis presenting an overview of the state of transboundary waters organised by region and by theme (biophysical, socio-economic and governance) and, detailed regional compendiums to the global reports. These were co-ordinated by the PCU with co-financing contributions from both partners (assisting with waterbody specific information) and UN Environment on the synthesis of the material. These additional outputs were a significant achievement of the PCU and partners after the planned end of the project.

112. Interviews with stakeholders highlighted the importance of these cross-cutting reports and the integration of results into the global compendiums. There is a wide belief amongst stakeholders that there are significant opportunities to further 'mine' the data collected to investigate additional reports from the TWAP (e.g. short-briefing documents for decision makers, freshwater – coastal water integration reports, etc.)

113. Due to the project exceeding planned expectations on the cross-cutting and synthesis reports, the consultant rates ToC output 3 as '**Highly Satisfactory'**.

[12] Mahon, R. et. Al. Assessing Governance Performance in Transboundary Water Systems. Environmental Developments, In Press

ToC Output 4 – Data and information management operational and utilised - Component 7

114. The project has delivered extensive databases, assessments and other reports. It has developed a complex network of information systems with the lead partners' databases feeding updated data into the project's web portal (www.geftwap.org). The project website has been established in accordance with guidance from the GEF IW:LEARN.

115. The websites operated by the partners could have further accentuate the 'silo' arrangements of the specific waterbody components, but the project website effectively integrated information from partners' databases in a single location. The waterbody specific sites also offer users additional functionality, for example to download code for user operation (e.g. Ensemble climate scenarios).

116. The established websites and databases (within the co-executing partner's organisations) and the central portal include the assessment results with information on indicator types on:

- Biophysical parameters on waterbodies (plus biodiversity, climate change, land degradation, waste, etc.);
- Socio-economic information, including population, Human Development Index (as a proxy for consumption), etc.
- Governance related parameters, including multi-lateral environmental arrangements, integrated national planning, etc.

117. Analysis of TWAP central website indicated over 8,000 visitors in the last year and partners' websites figures has shown that the aquifer site had approximately 1,200 visits in the last year and the rivers site had over 9,000 visits (since 2015) with over 4,000 visitors downloading material. It would be of interest if a future co-ordinating body for the TWAP could track the access to the websites and determine specific interests and download requests.

118. The databases and web portals established by the project and the lead partners offer significant datasets for the future mining of information by researchers and provide the basis for opportunities to develop innovative visualisation of these datasets.

119. The evaluator rates ToC output 4 on Data and Information Management as '**Satisfactory'**.

ToC Output 5 - Formal partnerships at waterbody level established - Component 1 – 5

120. All five waterbody specific components included outputs (for example project outputs 1.5, 2.2.1, 2.2.2, 3.2, 4.2 and 5.4) targeting the delivery of a 'sustainable consortium of partners' to be available for future assessments. This target was reportedly achieved by the 2016 PIR. The partners have demonstrated their commitment to supporting the TWAP approaches through the catalytic actions stimulated by the TWAP cited elsewhere (Section 5.3.2). At the global level, partners will generally need financial support to collect and analyse new data. UNESCO-IHP and ILEC (for example) have mandates to collect data but future assessments of this data will still rely on additional resources.

121. Whilst the core partners have indicated formally their willingness to co-operate in further assessment work (subject to resources being available) there is a need for a sustaining

mechanism for the co-ordination work (currently conducted by the PCU). This is discussed further in section 5.7.3. Key actions delivered by partners to aid the sustainability of partnerships include:

- Groundwater core partners (UNESCO-IHP, IGRAC and WWAP) makes use of the ISARM (International Shared Aquifer Resources Management Initiative) to aid sustainability;
- The transboundary lakes and reservoirs contributors have expressed interest in participating in subsequent assessments. In 2016 ILEC entered into a new Memorandum of Agreement with UN Environment to enable the partnership to pursue level 2 transboundary lake assessments.
- The rivers partners included letters expressing interest in subsequent global and regional assessments of transboundary river basins in their 'Rivers Sustaining Mechanisms' report.
- The large marine ecosystems and open oceans lead partners have provided letters expressing interest in further co-operation on assessments and contributed a sustaining mechanism report.

122. Although the 'partnerships' established between the core teams engaged at the waterbody level are committed to future assessments when resources are available, it is essential that the co-ordination activities and the preparation of cross-cutting synthesis reports performed by the PCU is sustained. Whilst the individual waterbody assessments offer significant benefits the added value performed by the PCU should not be underestimated.

123. The ToC output 5 on formal partnerships at waterbody level established is rated as **'Satisfactory'**.

5.3.2 Achievement of direct outcomes

124. The outcome effectiveness has been assessed using the reconstructed ToC and achievement towards project outcomes presented in the 2016 PIR. This has been supplemented with stakeholder discussions and presentations to the GEF Secretariat on 17th September 2017.

125. The ToC has been reconstructed with three direct outcomes linked to the seven main project outcomes. The ToC and project outputs all had a direct link to the ToC and project outcomes as shown in TOC section **Error! Reference source not found.** and Figure 3. As indicated above (section 5.3.1), all project outputs were delivered in full as planned. The project results framework detailed the expected targets of the 22 project sub-outcomes (see Annex 6 for the linkages between outcomes and sub-outcomes). With the exception of three project management oriented sub-outcomes all link (or contribute) to the reconstructed ToC Outcomes (and/or Intermediate States).

ToC Outcome 1 -GEF utilising TWAP results in their strategy to guide programming

126. A clear demonstration of the GEF Secretariat valuing and utilising the outputs of the TWAP has been the inclusion of key the 'key findings and recommendations' in the GEF 7 Draft Strategy[13]

[13] GEF 7 draft Programming Direction and Policy Agenda for presentation to GEF Council September 2017

(as shown in Figure 5). TWAP is also referred to in three other paragraphs (175, 176 and 199) of the draft Strategy.

Box 1.2. 8 main TWAP findings and recommendations

The Transboundary Waters Assessment Program (TWAP), which undertook the first global comparative assessment of five transboundary water ecosystem categories (groundwater, lakes and reservoirs, rivers, and Large Marine Ecosystems), identified several trends and findings regarding regional and global challenges. These challenges need to be addressed to ensure healthy marine and freshwater ecosystems:

- Transboundary aquifers are at high risk, due to lack of governance mechanisms.
- Special attention should be paid to the impacts of upstream activities on deltas, the reduction of sediment supply, water flows and pollution;
- Four groups of transboundary river basins have been clustered due to similar risk profiles, offering opportunities for basin twinning and learning;
- Water risks are projected to increase in the next 15-30 years, particularly in some hotspot regions: The Middle East, Central Asia, South Asia and Africa;
- Policy responses for LMEs should be protecting marine habitats, through improving LME governance and integrating the benefits derived from marine ecosystems.
- Management of LMEs can be considerably improved by strengthening the quality of data and information and by assessments at sub-LME scales;
- Governance arrangements for the Open Oceans should connect to those for areas under national jurisdiction at the regional level; and,
- Scientific support enterprises are essential in providing confidence to policy and decision makers within ABNJs that resources are being appropriately allocated.

Figure 5 Excerpt from GEF 7 draft Programming Direction and Policy Agenda (page 54)

127. In addition, the final presentation of the TWAP project to the GEF Secretariat (18th September 2017) reported that the TWAP assessment results on LMEs also provided input to the GEF evolving strategic development on the issues associated with marine plastic pollution. The GEF Independent Evaluation Office in their review of the International Waters focal area also cites TWAP when discussing the level of financing for 'foundational' projects.

128. Interviews with the GEF IW team showed considerable support for the work of the TWAP acknowledging the many, and high-quality outputs that were produced and GEF Secretariat indicated they are willing to encourage the downscaling of the TWAP methodologies through promoting their use in TDAs and SAPs. GEF Secretariat also recognised there was *potentially* the need to repeat such an assessment at ca. 10 year intervals, subject to clear demand from users of the current information, although noting that the GEF Secretariat was not giving any commitment to future funding.

129. ToC outcome 1 (GEF utilising TWAP results in their strategy to guide programming) is rated as '**Satisfactory'**, having met both the project outcome (delivering improved reviews of the state of transboundary waterbody types) and ToC outcome (GEF using TWAP results).

ToC Outcome 2: Agencies / donors (including UN Environment, World Bank, project partners, etc.) using TWAP assessment tools in global / regional reviews

130. Stakeholders from UN Environment and the project core partners have expressed their commitment to pursuing the use of TWAP assessment tools (methodologies) subject to available resources. The work of TWAP is closely aligned with UN Environment's PoW and MTS (as described above). It is also clear that aspects of the TWAP sit closely with UN Environment's remit on Regional Seas, GPA (including GPML, contributing to reports on marine litter, and GPNM) and the GEO (contributing to the 2019 report).

131. TWAP partners have demonstrated their support to the future use of the methodology through reporting:

- Catalytic actions through the use of TWAP in a transboundary aquifer project (RAMOTSWA[14]) in South Africa and Botswana funded by USAID
- UNESCO-IHP and IGRAC continuing to use the approaches in their work TWAP indicators and methodologies are assisting with SDG reporting as indicated by UNESCO-IHP and UNECE on transboundary aquifers. Input into the development of reports[15] on SDG 6.6.1 (change in the extent of water-related ecosystems over time) through IGRAC. Input into the development of reports[16] on SDG 6.5.2 (proportion of the transboundary area with an operational arrangement for water co-operation). The TWAP is cited by UN Water as the most up-to-date data source on 199 aquifers, 206 lakes/reservoirs and 286 rivers.
- ILEC supporting the use of the ILBM approaches and the application of TWAP indicators to lake assessments.
- Rivers – UN Environment – DHI have been discussing with UNECE (Convention on the Protection and Use of Transboundary Watercourses and International Lakes) on the use at regional river basin scales. In addition, they have reported catalytic actions with the use of TWAP by the Zambesi Commission to assist with the formulation of indicators
- Interviews with the World Bank expressed interest in accessing TWAP information for potential utilisation alongside their phone-based application 'Spatial Agent'[17]
- LME/OO (through UNESCO-IOC) are working with UN Environment on the World Ocean Assessment and TWAP methodologies are considered a concrete tool to assist the countries and are providing on-going advice and guidance on the methodology to their

[14] http://ramotswa.iwmi.org
[15] www.unwater.org%2Fapp%2Fuploads%2F2017%2F05%2FStep-by-step-methodology-6-6-1_Revision-2017-01-20_Final-1.pdf&usg=AOvVaw049eDlSHIJHDjaHiWfKDF3
[16] www.unwater.org%2Fapp%2Fuploads%2F2017%2F05%2FStep-by-step-methodology-6-5-2_Revision-2017-01-11_Final-1.pdf&usg=AOvVaw0zSmqZt9MrG2pLJccWqZDj
[17] http://apps.worldbank.org/ Visualize multi-sectoral spatial and temporal data from a range of institutions (UN, NASA, World Bank) by drawing upon their map and data services

constituents. The Cartagena Convention Secretariat is preparing a State of the Convention Area Report – SOCAR including through downscaled TWAP methodologies that will contribute to evaluating the effectiveness of the implementation of the convention.

- Input into SDG 14.1.1 (index of coastal eutrophication and floating plastic debris density). UN Sustainable Development Knowledge Platform cites[18] the work of TWAP on the '*comparative assessment undertaken in 2016 by the TWAP….on the Bay of Bengal, the East China Sea, the Gulf of Mexico, the North Brazil Shelf and the South China Sea*'
- The project contributed to the finalisation of a UN Environment /GEF project document on marine plastics;
- TWAP methodologies (with respect to transboundary aquifers) have been included in recent GEF IW projects (e.g. Lake Baikal) and are embedded in recent GEF PIFs and Project Documents (e.g. Nubian Aquifer, Nile groundwaters.).
- Presented in the TWAP Sustainability Report:
    - UNDESA cited TWAP on the index of coastal eutrophication and floating plastic with regards to SDG 14.1.1.
    - UN Water's Freshwater Strategy (2017 – 2021) utilises TWAP's freshwater results;
    - TWAP is providing thematic inputs in to the freshwater chapter of UN Environment's GEO (2019).
    - UN Environment has been invited to contribute to the 2nd World Ocean Assessment and staff involved in TWAP will be acting as the UN Environment's focal point
    - The GPA (through GPML and GPNP).
    - Regional Seas Programmes.
    - Governance frameworks for a potential LME body has been based on TWAP approaches (UNDP/GEF CLME+).
    - IUCN reported use of TWAP to inform other projects and use as baseline information.

132. As a caveat to future assessments, UNECE reported that they had recently encountered some resistance from countries on undertaking a planned update of their transboundary assessments related to the Water Convention[19] (previously conducted in 2007 and 2011). It is important that the drivers for all assessments are clearly established and that the demand demonstrated for both level 1 and level 2 TWAP approaches.

133. There is clear active interest in both utilising TWAP within the lead partners and other interested stakeholder organisations, acknowledging that resources to undertake future global assessments are not available. However, the application of the current data (and the potential to mine further this data) is of interest to all involved at the waterbody level, requiring an agreement on the future support to co-ordination activities.

134. ToC outcome 2 (Agencies / donors using, or considering, TWAP 'methodologies' as tools in global / regional reviews) is rated as '**Satisfactory'**.

[18] https://sustainabledevelopment.un.org/sdg14
[19] The Convention on the Protection and Use of Transboundary Watercourses and International Lakes

ToC Outcome 3: TWAP Partnership and extended networks proven functional and committed to undertake future transboundary assessments (global, regional, national)

135. The second key objective expressed in the CEO document was to 'formalise the partnership with key institutions aimed at incorporating transboundary considerations into regular assessment programmes, resulting in periodic assessments of transboundary….'. Interviews with the partners, supported by clear outputs that identified the 'establishment of formal partnerships' (reported in the 2016 PIR) have indicated willingness to assist with the application of the TWAP methodologies at different scales. As emphasised in Section 5.3.1, evidence of sustainability at the regional level is evident, and whilst data will be collected by some partners at the global level (and included in both project and partner web portals), additional funding will be required to perform global assessments. Whilst a change of this objective could not have been easily achieved, opportunities were missed by the project to better define what could be realistically achieved in delivering '*formalised partnerships….resulting in periodic assessments…*'. This could have led to a common understanding of the objective by all partners.

136. The project has prepared an 'exit strategy' in the form of a sustainability plan that present several options to sustain aspects of the TWAP, however specific concrete actions to fund future assessments have not been specified yet. In addition, there is still a clear need to formalise a sustainability plan for the co-ordination functions undertaken during the project by the PCU.

137. Whilst willingness to undertake assessments is an important element there is a clear need to establish funding mechanisms for global and regional/basin/national assessments using the TWAP approaches. As emphasised in ToC outcome 2 (above) there is also a need to clearly identify the demand for future assessments, at all scales, that will need further work to generate country requirements (and conditions on data) to be met.

138. ToC Outcome 3 (TWAP Partnership and extended networks proven functional and willing to undertake future transboundary water assessments) is rated as **'Moderately Satisfactory'**.

5.3.3 Likelihood of impact

139. The evaluation of effectiveness for this evaluation has adopted a number of approaches: i) clear evidence in published or quoted documents of the TWAP project outputs that contribute to outcomes and intermediate states; ii) assessment of intermediate states and assumptions and drivers presented in the ToC; and iii) use of UN Environments Assessment of Likelihood of Impact Decision Tree (Excel tool). As described in the consultant's ToR, the evaluation assess the project's likelihood of the intended, positive impacts becoming a reality. The approach followed a 'likelihood tree' from direct outcome to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held.

140. Stakeholder engagement at the global level has been the main focus of this project. The project has been represented at multiple global events as emphasised above in paragraph 100, and there has been direct country contact through the pilot projects (component 1). Global NGOs

(e.g. IUCN) have been also involved in the project, but overall there has been relatively limited direct contact with national or basin representatives.

141. As a global project the focus on communication has also been at the global level and this project has prepared multiple high-quality scientific assessments and policy-maker summaries aimed at this level. The project also had multiple linked websites presenting the overall project and the specific waterbody information. Although public awareness was a recommendation of the preceding MSP, this phase of the project did not have resources for this activity

142. The reconstructed ToC identified a number of critical intermediate states on the pathway to the overall project impact (defined in the ToC as '*Long-term ecosystem benefits and improved socio-economic conditions through improved governance, management, and awareness by stakeholders to TB water issues'*), including:

1. **GEF strategy guiding new IW cost-effective programming of priorities**: At the time of terminal evaluation the GEF 7 Strategy was still a draft, but the Secretariat did not think there would be significant changes. Based on the previous GEF IW programmes it is expected that the strategy (including the TWAP conclusions and recommendations) would guide the work programme. The consultant considers this intermediate step as **being implemented** by the GEF Secretariat.
2. **Global / regional reviews utilising TWAP outputs:** Interest in the use of TWAP information is clearly expressed by the partners within for example, in transboundary aquifers (USAID project in southern Africa) river basins (Zambesi Commission). The consultant has been informed that UN stakeholders have also be utilising the outputs to assist with the SDG 6.5.2 and the World Bank has expressed interest in exploring links to the TWAP data with the Spatial Agent application. The consultant considers this intermediate step as **in progress**.
3. **TWAP co-ordinating body established and prepares further cross-cutting reports based on existing assessments/ data**: This is a critical step to sustain the integration between the five waterbody types and continue the work of the PCU by continuing to 'mine' information from the current global TWAP assessment and/or integrate with other datasets as required. The importance of this step was highlighted by the GEF and key regional potential stakeholders (a river basin Commission) to ensure there is clear information available for nation, basin and regional users of the global and any future downscaled assessments. Clearly, there is much synergy with other actions undertaken within UN Environment and this issue is discussed further in the conclusions and recommendations of this report. The evaluator assesses this intermediate step (establishing a co-ordination function) as **needing further attention** within UN Environment – see Recommendations, paragraph 233)
4. **Downscaling TWAP methodologies (level 1 – 2) in TDA exercises at regional and national levels:** Three transboundary aquifers employed level 2 methodologies through co-financing actions undertaken by SDC (see section 5.3.1); The lakes/reservoirs also identified actions needs at level 2 (see Section 5.3.1); the UNDP/GEF CLME+ project is already employing elements of the TWAP methodology in their current work to implement

a regional SAP in the Caribbean; and GEF Secretariat indicated in discussions their interest to encouraging the use of TWAP indicators in future TDA/SAP IW projects, with guidance from the core partners as required. (This is explored further in the conclusions and recommendations sections of this report). The consultant assesses this intermediate step as **in progress**.

5. **Future update to global assessment**: Whilst the partners (and a number of the data providing /modelling network members) have committed to updating the global assessments, additional resources would be required and these have not been clearly identified to-date. Potential sources are highlighted in the 'sustainability plan' prepared by the project. In addition, the demand for further updates to assessments is still to be confirmed. Questions on the demand for further assessments were raised by stakeholders (including UN Agencies and river basin Commissions) from their member states and clarity on the benefits to countries must first be determined. The consultant assesses this intermediate step as **moderately unlikely** at the **global level**. However, the likelihood of periodic assessments at the **level 2 scale (regions or basins)** is assessed as **likely/in progress** (as demonstrated in Caribbean region and Southern Africa).
6. **Guiding GEF and donors/agencies on priorities at agreed intervals**: If Intermediate Stage 5 (above) is achieved, then it is clear that GEF and other donors/agencies would utilise the results. As emphasised above, the demand at the global level, regional level and national level for these assessments needs to be clear. The consultant assesses this intermediate step as **likely/in progress** (at the **regional level**) and **moderately unlikely** (at the **global level**)
7. **Improved policies, strategies and programmes at global, regional and national levels on TB waters:** The use of recent assessment data in prioritising investments and policies to address transboundary problems (Caribbean, Southern Africa, Zambesi Commission, SDG reporting) is considered by the consultant as **likely/in progress**.

143. Use of the UN Environments Assessment of Likelihood of Impact Decision Tree tool to estimate the likelihood of impacts of the project lead to a result of **likely** focusing on the utilisation of the TWAP methodologies and assessments at <u>all</u> geographical levels. The range results from different interpretation that can be placed on the 'levels' of the intermediate states.

Assumptions and drivers used in the ToC

144. The following summarise the main assumptions that were considered in the reconstructed ToC presented in Figure 4:

- GEF Council approves the draft GEF IW Strategy. It is understood that the strategy was to be discussed at the 2nd replenishment meeting for GEF 7 in September 2017 and GEF Secretariat were not expecting significant changes.
- All future assessments will require financial resources to be secured to enable the collection, analysis and assessment of data and information. Consequently, a key assumption is that resources are found from multiple sources to undertake global and regional/national assessment. The PCU has prepared a 'Sustainability Strategy' that

presents detailed review of utilisation of the TWAP and global/regional levels by a wide range of organisations cited in this Terminal Evaluation report.

- TWAP partners available to assist GEF TDA/SAP projects, as required, with downscaling the approach to Level 2. Downscaling the indicators and the methodology would ideally require input from the core partners from the relevant waterbody teams to assist the TDA/SAP IW projects. Whilst all partners have expressed a willingness to assist, TDA/SAP project resources will need to be made available to facilitate this assistance.
- Global data sets endorsed by countries and/or supplemented with national/regional/basin data. Much of TWAP assessment has utilised pre-existing global data sets which has advantages of known quality. This data was supplemented by modelling and/or regional experts. In the time/budget available for TWAP level 1 assessment, this was a pragmatic means of providing a first global assessment of transboundary waters. However, this has resulted in relatively little country contact or involvement of nationally derived data which may have consequences on the assessment acceptance (as can be seen in the LME results for the Norwegian Sea where results for certain indicators were disputed by one of the bordering countries).
- Capacity, awareness and engagement at regional /national level established. Linked to the assumption above on contacts with regional / national data holders, acceptance of the results of TWAP at the country level will need additional means to increase capacity and to improve awareness of the benefits and application of TWAP. Although some limited capacity strengthening has occurred at the national/basin level through the pilot projects undertaken in component 1.

145. Key drivers from the reconstructed ToC include:

- That future global assessments are requested by international organisations. Indications from a key stakeholder indicated that they faced 'assessment fatigue' when opportunities to undertake further large-scale assessments from their member states. The demand for regional assessments is likely to be driven by regional commissions/conventions responding to targets or expectations within their organisation, as demonstrated by the current assessment being undertaken in the Caribbean (SOCAR).
- GEF encourages a core set of TWAP indicators to be considered and 'downscaled' (methodologies, indicators, data needs, etc.) for use in TDA/SAPs at the regional/basin level. Discussions with GEF Secretariat indicated their interest in both continuing to pursue the TDA/SAP and that these would benefit from a common and potentially comparable set of indicators (in addition to any national /regional indicators identified by the TDA/SAP teams);
- For future global assessments means to utilise nationally approved datasets is likely to ensure the broad acceptance of the conclusions of global assessments (clearly subject to understanding the limitations of scaling nationally derived data with respect to quality, comparability, etc.)

Key factors affecting effectiveness– Governance and Management

146. In delivering the TWAP project outcomes and outputs the PCU has been critical in co-ordinating the five thematic lead partners and delivering significant added value in the preparation of the cross-cutting synthesis reports with the support (through additional and unreported co-financing) from partners. The co-executing agencies and partners have also significantly contributed to the overall success of this project.

147. The PCU was comprised of a part-time project manager (75%), part-time project officer (50% from Science Division staff resources) and for 18 months a full-time Junior Professional Officer funded through co-financing from the Finnish Government. At the end of the planned two-year project, the PCU was maintained by UN Environment and Finnish Government resources to enable the finalisation of the cross-cutting reports, the compendiums and the final publication of all documents.

148. The PCU, although highly effective at co-ordinating the activities of the components and driving the completion of the project, was not in a position to restructure budgets to enable the additional outputs to be delivered as the budgets (and resulting PCAs) had been agreed at the start of the project between UN Environment and the lead partner organisations.

149. Project partners and the GEF Secretariat praised the dedication and determination of the PCU. The two 1-year project extensions to finalise the publications were greatly appreciated by all involved and acknowledged that additional inputs from UN Environment and the PCU staff.

150. Project supervision through the PSC was effective involving core partners, UN Environment and the PCU. Three PSC meetings were held:

- 1st PSC meeting (3- 5th April 2013). Organised in Copenhagen at DHI-UN Environment prior to the appointment of the Project Manager (July 2013);
- 2nd PSC meeting (11th October 2013). Organised in Barbados back-to-back with the GEF International Waters 7th Conference
- 3rd PSC meeting (4-6 March 2015). Organised at UNESCO's headquarters in Paris
- 4th PSC meeting (6th July 2016) Washington

151. In addition, the PSC held ten virtual teleconference meetings over the course of the project, including inputs during the project extension. The five waterbody components also convened technical steering committee meetings to help direct the work associated with data collection and analysis.

152. The PCU acted as the secretariat in providing detailed discussion documents prior to meetings and compiling the minutes after the PSC.

5.4 Financial Management

153. The GEF and UN Environment agreed that the funds would be disbursed for this project on an annual basis. Initially this caused some problems for partners and their networks as the previous MSP had contracts issued for the full life of the project. Although advice from UN Environment to the lead partners during the initiation of the project was to be 'cautious' in negotiations with wider contracted network of organisations. Despite the added administrative effort needed for annual disbursement, as reported by some partners, no significant problems were identified.

154. The main partners' PCAs and LoAs were not extended (beyond the initial project 2-year plan for the project), however the partners continued to co-operate with the PCU to deliver the additional outputs and to assist with the final publication of the reports. The partners provided significant input to the drafting and finalisation of the additional outputs, however their co-financing reports were delivered at the end of their substantive work at the conclusion of the planned two-years of the project. The terminal evaluation consultant notes that the overall co-financing from partners (including members of the PCU that were not full time) is under-reported. In particular the SDC support to Component 1 funded the three pilot transboundary aquifer projects and in the view of the consultant this work has contributed to the TWAP and the SDC resources were committed before the financial closure of this project and therefore should be considered as co-financing to this project.

5.4.1 Completeness of financial information

155. All financial reports required appear to have been completed by the partners and the PCU, addressing both the GEF grant and co-financing resources. Figures available on 31st December 2016 for the GEF grant per component are given in Table 3 and final co-financing funds prepared by the partners are presented (per partner) in Table 4 (section 3.6). Full details of the sources and amounts of co-financing delivered by the extensive partner networks (per component) are presented in Annex 4 as prepared by the main partners.

156. All reports were guided and co-ordinated effectively by the PCU leading to comprehensive information on the financing of this project.

157. The PCU has been supported during the two 1-year extensions by co-financing from the Government of Finland and UN Environment (reports are available).

158. The assessment of completeness of financial information is rated as '**Satisfactory**'.

5.4.2 Communication between the finance and project management staff

159. All parties involved (FMOs in UN Environment's Science and Ecosystem Divisions and the PCU) reported that there was good communication. The PCU presence in Nairobi was able to

facilitate any issues regarding the available GEF grant during the financial management transition to UMOJA.

160. The assessment of communication between finance and project staff is rated as **'Satisfactory'**.

5.4.3 Compliance with UN Environment standards and procedures

161. The project's and UN Environment's records are comprehensive and detailed on financial issues. Where required, project partners provided audit statements indicating compliance with international fiduciary management.

162. No issues for action were identified in the audits undertaken. [This sub-criterion hasn't been rated following the changes in Evaluation office rating requirements in 2017]

5.5 Efficiency

163. The TWAP project efficiency was boosted by the preceding work of the GEF GIWA and the medium-sized project that defined the TWAP methodologies, through a detailed assessment of the needs and expectations of the needs for assessments at differing geographical scales.

164. The GEF CEO endorsement was dated the 19th December 2012, with the first disbursement made on the 14th March 2013, the Inception Meeting/PSC held on the 3-5 April 2013 and the Project Manager recruited in July 2013, however other members of the PCU were tasked with initiating the project. The key milestone dates are given in Table 5.

Project milestone	**Date**
PIF Initial submission to GEF Secretariat for review	18th March 2011 (PIF submission date on form)
PIF Approved	3rd May 2012 (PPG approved – GEFweb)
UN Environment PRC approval	16th November 2012
GEF CEO Endorsement	19th December 2012
1st Disbursement	14th March 2013
Project Start	1st April 2013
Project Manager Recruited	July 2013
MTMR	4th August 2014
Planned completion	March 2015
Actual completion	June 2017

Table 5 Key project milestones and dates

165. Despite a perception by some partners of a slow start-up of this project the project implementation was considered by the evaluation consultant as relatively fast for GEF IW projects (3 months from CEO signature to first disbursement). The preparation for the project was greatly assisted by the development /finalisation of the ICA in parallel with the PCAs (ILEC and UN Environment – DHI) and the LoA (UNESCO).

166. The project benefited from the dedicated PCU and the core partners management of the components with a clear focus on their waterbody-specific assessments. The reporting of the PSC decisions was clear and the meetings enabled this short project to deliver the technical work largely, within two years. (see section 5.3.2 for more details on the PCU and PSC).

167. The core partners pre-selection (through the MSP) and their extensive established global networks facilitated the efficiency of the work through linkages with on-going global processes (e.g. contributions by UN Environment and UNESCO-IOC work on 2nd Cycle of the World Ocean Assessment (see paragraph 116); UNECE and UNESCO-IHP work on developing guidance for national reporting of SDG 6.5.2, etc.).

168. The main project stakeholders (GEF, UN Environment and project partners) demonstrated an efficient and effective partnership which is a positive sign for future global and potential regional/national assessments. The execution of the components by the lead partners, in co-operation with their extended networks of data providers and modellers, led to the efficient completion of the technical elements of this project within 2 years.

169. Two one-year, no-cost time-extension were required for an additional two years to meet the demands of the final publication (and internal review of the outputs by UN Environment, to ensure consistency with style requirements and translation of the Summaries for Policy Makers), and to prepared cross-cutting synthesis reports agreed at the 3rd PSC. The finalisation of the reports to the standards required for publication by UN Environment was not expected in the Project Document. The 2-year planned project was sufficient to deliver the technical elements planned in the Project Document. The work in the two-year extension was mostly undertaken by the PCU (financed by UN Environment and Finnish government co-financing) with support from the partners as required (through additional and unreported co-financing). Some partners and scientific contributors from the wider networks reported there were significant time lags between completion of draft reports and final publication, and in their view, could have impacted upon the utilisation of the reports by the wider interested scientific community.

170. The PSC meeting in December 2015 (via teleconference) identified that the project finalisation was due and all partners were to report financial issues, recognising that finalisation of the documents was still in progress. The June 2016 teleconference PSC discussed multiple options for publicising TWAP outputs. The decisions to extend the project were taken within UN Environment using internal funds to support the PCU and were not detailed in PSC minutes.

171. The project design resulting in five parallel waterbody specific 'sub-projects' necessitated the frequent use of virtual meetings or combining with the core partners regular process and meetings to reduce travel costs. All partners considered that their approach to management of specific components was efficient in the use of the limited resources.

172. The STAC and other cross-cutting bodies that guided the project (e.g. the Correspondence Working Groups on Governance, Cross-cutting Socio-economic Issues, data and information management and contributions on GEF[20] Strategy formulation) were considered beneficial and contributed to the overall outputs of the project. These groups met virtually or in the margins of other events.

173. Although the final outputs have been delayed, the results were timely for inclusion in the GEF 7 draft strategy as previously mentioned (see section 5.3.2).

174. Due to the need for project extensions to complete the publications the efficiency of project is rated as '**Moderately Satisfactory**'

5.6 Monitoring and Reporting

5.6.1 Monitoring Design and Budgeting

175. The project results framework presented in the Project Document was the basis for all monitoring and reporting and is discussed in Section 5.2. No changes were made to the results framework during project execution. As highlighted in this evaluation report the length of the results framework (approximately 30 pages) added significantly to the effort on monitoring and reporting from the PCU and core partners.

176. The Project Document's Appendix 7 presents a detail approach to monitoring, reporting requirements and evaluation consistent with UN Environment and GEF's expectations (consisting mainly of the project's reporting requirements). The total budget allocated to Monitoring and Evaluation (including reporting) was 767,000 US$ (including GEF 432,500 $ and co-financing 425,000 $ resources). The summary of costs indicates that the majority of the costs allocated to M&E were for the project's key technical reports (total 647,000 $). The consultant considered that the inclusion of the main project outputs (reports) is unusual within the M&E budget, suggesting that M&E accounted to over 20% of the GEF resources. To provide comparison to other GEF projects of comparable size the 'standard' M&E (i.e. minus the cost of the technical reports) costs were expected to be 120,000 US$, which, in the opinion of the consultants, is consistent with many projects and acceptable.

177. The assessment of project monitoring design and budgeting is rated as '**Moderately Satisfactory**'

5.6.2 Monitoring Implementation

178. The PIRs were the main formal reporting of progress on targets at the output/sub-outcome level and monitoring data to complete this was provided in a timely manner by all partners, together with details on co-financing associated with each component. Despite the above comments on the lengthy design of the project results framework, the project effectively utilised

[20] At the time of Inception the TWAP was anticipated to contribute to GEF 6 Strategy; the final contributions were included in GEF 7 draft Strategy

the indicators and targets in reporting leading to reports with good levels of details and explanation. PIRs were drafted by the PCU with input from core partners and are considered by the evaluation consultant as being very detailed.

179. Financial reporting by UN Environment does not permit an assessment of the M&E expenditure, but it is clear to the consultant that the expected deliverables (PIRs, PSC meetings) were delivered and the 'technical reports' indicated in the M&E summary at CEO Endorsement have been prepared.

180. Financial reporting was completed by all partners and UN Environment.

181. As indicated above (paragraphs 150 and 151) the project held extensive steering committee meetings (in person and via teleconferences) to discuss and monitor progress.

182. As this was planned to be a two-year project, an independent evaluation at mid-term was not conducted. A mid-term management review was undertaken in September 2014 by the UN Environment's Task Manager and the Project Manager. In addition to the internal assessments against key evaluation criteria the MTMR also completed an assessment of the work completed. The overall assessment of progress utilised the UN Environment's Evaluation Excel 'rating tool' for assessments. A summary table of the MTMR ratings are presented in Annex 7. The PCU indicated that the key benefit arising from the MTMR exercise (completed after only one year of the project's execution) was to see variations in the completion of tasks (for example TBA/Lakes were behind rivers/LME/OO components) enabling the PCU to provide targeted inputs to the lagging components and assist with risk mitigation management. The MTMR did not highlight any significant issues related to the delivery of the project, including the need for additional time for publication of the final outputs.

183. GEF Tracking Tools were completed, although the nature of the project did not render these a useful tool for tracking progress.

184. The PCU has delivered clear technical reports on a complex project design (effectively five parallel projects) together with required financial reports on-time. However, it would have been desirable if the project results framework had been amended following the 3rd PSC to reflect the additional outputs that had been agreed.

185. The assessment of Monitoring Implementation is rated as '**Satisfactory**'

5.6.3 Project Reporting

186. TWAP has delivered Project Implementation Review (PIR) reports for the years ending June 2013, 2014, 2015 and 2016. The evaluation consultant considers these to be exceptionally well detailed and informative, providing a clear history of the execution progress of the project. The reporting was made more challenging, in the consultant's opinion, for this project due to the complexity and level of detail (outcomes, sub-outcomes, outputs and activities) presented in the project results framework (this is discussed in section 5.2).

187. The core partners have delivered the necessary information (e.g. progress on sub-outcomes, outputs, activities, etc.) to the PCU to enable the completion of the PIRs.

188. Financial information was reported on-time to the PCU by the lead partners. In some cases (e.g. for UNESCO, components 1, 4 and 5) financial information reporting did not coincide with the requirements of UN Environment (December 31 deadline) so a pragmatic approach was adopted to enable UNESCO to submit 'interim' reports in December with a finalised report provided at the end of March. Financial reports (e.g. Activity based expenditure statements) to the donor (GEF) from UN Environment appear to have been prepared on-time.

189. Project reporting was also undertaken at the PSC meetings where detailed progress reports were presented by each project component to enable any issues to be highlighted.

190. The assessment of project reporting is rated as **Satisfactory**.

5.7 Sustainability

191. The TWAP project has prepared a detailed and extensive Sustainability Report (effectively the 'exit strategy') that clearly identifies successes and possible solutions to sustaining the activities of the TWAP post-project. The suggestions within this report are to be considered by UN Environment and the partners for implementation.

5.7.1 Socio-political Sustainability

192. The project's design and execution has been predisposed that GEF was the 'main' client for the TWAP outputs. However, the results of the TWAP have assisted countries with, for example, developing their reporting of SDGs (6.5.2, 6.6.1 and 14.1.1) and the piloting of TWAP level 2 approaches through component 1.

193. The socio-political sustainability of outputs and outcomes include:

- ToC Outcome 1: Improved reviews of state of global waterbodies': The reviews will be sustainable, but clearly over time these will become in need of updating etc. These reviews have assisted GEF *in the current replenishment round of discussions*, but the GEF will also need or expect updates to this information before the next (GEF 8) replenishment. The waterbody-specific assessments are supported by the improved understanding of governance and socio-economic issues: The reviews are already being utilised by projects (and countries) – e.g. CLME+ and the approaches to regional governance.
- ToC Outcome 2: The databases and the assessments are being used by the project partners to assist regional and national activities (e.g. SOCAR, SDGs, Zambesi Commission). The project has established a central data portal which harvest data from the lead partners. The project website is assured for > 5 years and the project team is exploring further options. However, in time this data will also become 'out-of-date'.
- ToC Outcome 3 ': Although the partnership has demonstrated commitment and there has been a clear willingness to co-operate in future, financial resources need to be identified for future global assessments. The consultant considers the sustainability of TWAP approaches through the willingness and commitment of the partners, at the basin/region/national level to be more likely through level 2 assessments (as indicated in

the Caribbean through the SOCAR (State of the Convention Area Report) and the USAID work in South Africa – Botswana on transboundary aquifers).

194. The absence of clear benefits to, and involvement from, countries will hamper the socio-political sustainability of the project outcomes. The consultant considers that Socio-Political Sustainability, although not the main focus of this project, the use of TWAP approaches for level 2 is '**Likely**', thus supporting future application of the GEF developed methodologies.

5.7.2 Financial Sustainability

195. ToC Outcome 1: Interviews with GEF IW staff indicated that they will encourage the use of TWAP approaches within TDA/SAPs and this could lead to resources from the IW projects to undertake regional/basin Level 2 assessments.

196. ToC Outcome 2: A number of examples of where TWAP approaches have been utilised by GEF projects (e.g. Bay of Bengal LME, CLME, Lake Baikal, Nubian Aquifer) other organisations through catalytic funding (e.g. the USAID support of aquifer project in Southern Africa, Zambesi Commission, SOCAR, etc.) show that there may be opportunities for future TWAP approaches at regional/national level.

197. ToC Outcome 3: The PCU has explored options to sustain the financial commitments necessary for updating the TWAP global assessments and for extending these to level 2 assessments in selected regions. However, a clear and agreed mechanism has still to be identified. The costs are needed for data collection /analysis (at global /regional levels) and for the core partners to undertake the transboundary assessments which are currently still outside their organisations remit for waterbody assessments, and for a co-ordination mechanism to facilitate the assessments and integrate the outputs as performed by the current PCU. The Project's Sustainability Mechanism plan provides a number of suggestions for encouraging the uptake of TWAP by partners including UN Environment. The plan offers multiple suggestions of benefits to UN Environment activities, consistent with the PoW. However, whilst the waterbody teams are committed to repeating the data collection and assessments the funds for future assessments are not confirmed, nor is there a clear financing mechanism to sustain the essential co-ordination activities performed by the PCU.

198. The assessment of Financial Sustainability of the TWAP approaches at the regional level is rated as **'Likely'** (as evidenced by the use of TWAP by other organisations but seeking assistance from the project partners). However, the consultant considers the availability of funding for future global assessments for all waterbody types is rated as **'moderately unlikely'**.

5.7.3 Institutional Sustainability (including issues of partnerships)

199. It is clear that the partners (UN Environment, UNESCO-IOC, ILEC, UN Environment – DHI and UNESCO-IOC) have expressed willingness to help sustain the TWAP methodology, and will use/ promote the use, of the data within their and other organisations. But these organisations seem unlikely to embark on a global assessment of transboundary waters with their own resources.

200. The core data portal (established at UN Environment - GRID Geneva) is assured for five years and will continue to harvest any update data from partners' websites, although there is currently no provision yet for sustaining any co-ordination aspects of the data and information management. Discussions with stakeholders for this evaluation have suggested that any future co-ordinating body for TWAP should consider offering a help-desk or service-desk function to assist users with TWAP databases

201. As emphasised in the Sustainability Mechanism report prepared by the PCU, the core partners are (or could) providing on-going support to TWAP approaches by;

- Within **UN Environment** there are a number of on-going assessment programmes that could assist with the co-ordination function of TWAP and utilise the information within their programmes, including: GPA (GPML and GPNM), Regional Seas Programme, Global Environmental Outlooks, UN Environment Live, etc. TWAP has already assisted with key UN Environment outputs as highlighted in Section 5.3.2
- **UNESCO-IHP** is well established to continue the TWAP type assessments for transboundary aquifers and groundwater in SIDS. UNESCO-IHP co-leads ISARM which is mandated to periodically update a global atlas on aquifers, and collaborates with IGRAC which maintains the Global Groundwater Information System[21]. UNESCO-IHP also hosts the World Water Assessment Programme (WWAP) that has a focus on quantity and quality of freshwater. With co-financing to this project through the SDC, they have undertaken assessments of three transboundary aquifers using TWAP level 2 methodology.
- **ILEC** has developed a scenario analysis program allowing users to analyse data to define management targets and priorities, and will integrate into ILEC's ILBM approach. It is expected that the TWAP lakes databases will be incorporated in to these tools. ILEC and UN Environment signed a MoU in 2016 to collaborate to further support SDGs as a follow-up to TWAP activities.
- **UN Environment – DHI** has allocated core funds to update and maintain the interactive TWAP river basins database. They are investigating supporting the progress of SDG 6 and providing methods and indicators to track the effectiveness of the UNECE Water Convention, the UN Watercourses Convention and the Ramsar Convention.
- **UNESCO-IOC –** hosts the onesharedocean.org database through core funds and is recently executing the GEF LME:LEARN project that aims to translate the TWAP LME approach to the regional level where the current LME database will provide a baseline for GEF IW LME projects undertaking TDA/SAPs.
- **UN Environment** and **UNESCO-IOC** are facilitating the 2nd cycle of the World Ocean Assessment that could utilise the data from LME and the Open Ocean components of TWAP;
- Support to the SDG process as demonstrated through SDG 6.5.2, 6.6.1 and 14.1.1. **UNESCO-IHP**/IGRAC has been working with UNECE on the data needed for transboundary aquifers and **UNESCO-IOC** data on LMEs and OO will facilitate SDG 14.

[21] www.un-igrac.org/global-groundwater-information-system-ggis

- The partners are also active within the **GEF IW:LEARN** project and this offers additional institutional structures to sustain the data and assessments conducted to-date and ensure that there is good contact with the wider IW community of projects and partners.

202. The assessment of Institutional Sustainability of TWAP approaches is rated as **Likely**

6 Conclusions

203. TWAP has been a short-duration global project that has delivered significant outputs, outcomes and at the time of the terminal evaluation had led to notable effects. The conclusions from the Terminal Evaluation are presented for the project objectives and the evaluation criteria: strategic relevance, design, effectiveness, efficiency and sustainability and for the five strategic questions posed in the consultant's ToR.

204. All conclusions are cross-referenced with appropriate sections in the preceding main report.

205. The conclusions from this evaluation on the two project objectives are:

- Project objective i) -'*…to undertake the first global assessment of waterbodies…that will assist GEF and other organisations….*': the project has successfully produced five detailed waterbody specific assessments (covering: transboundary aquifers and SIDS groundwater systems, transboundary lakes/reservoirs, river basins, Large Marine Ecosystems and Open Oceans), that have advised the GEF Secretariat International Waters Team. This advice has guided the draft GEF 7 programming strategy. Interest in exploiting the results of TWAP are also be being shown by UN Environment, project partners, the World Bank, UNECE, and GEF IW projects under planning and being implemented. (Section 5.3.2)

- Project objective ii) '*…formalising the partnership with key institutions aimed at incorporating transboundary considerations into regular assessment programmes, resulting in periodic assessments…..*': the project has 'formalised' partnerships that were developed during the preceding MSP and effectively proven during this project. The partners are willing to participate in further global assessments (subject to resources being available), and to assist with the downscaling of the TWAP methodologies for regional/national level assessments when required (and has been demonstrated see Sections 5.3.2, 5.3.3 and 5.7). The Project has made progress in identifying future options and mechanisms of maintaining TWAP that could potentially deliver further assessments. However, financial resources for global assessments and an agreed institutional arrangement for these future activities[22] and for appropriate co-ordination functions (as effectively performed by the PCU) are still to be assured. (Section 5.3.2)

[22] Some level 2 activities are underway with some partners, e.g. UNESCO-IHP with SDC funds and assisting with USAID project in Southern Africa

6.1 Key Strategic Questions

206. The evaluation Terms of References identified five strategic Questions

207. i**) To what extent have the project deliverables (TWAP methodologies/ assessments/ datasets/ policy summaries) been utilized, or are likely to be utilized, by the key partners and other stakeholders (including UN Environment, GEF and Word Bank)?**

208. The global assessment undertaken by the TWAP is highly relevant to the GEF, UN Environment and other organisations undertaking or using global data on transboundary water systems. (Section 5.1). GEF has indicated its support for the TWAP by including key recommendations in their draft Strategy. (Outcome 1, Section 5.3.2).

209. The project design was focused on global assessments and driven by the GEF Secretariat. The preceding MSP was highly valuable enabling this project to be undertaken in two years by confirming the agreed methodologies and partners. The decision by the GEF Secretariat to reduce the available grant from 10 to 5 M $ (eliminating the planned testing of the level 2 approaches, the country capacity strengthening, and significantly reducing the project's outreach) has compromised the awareness and uptake of TWAP at regional, basin and national levels. (Sections 5.2 and 5.3.3). The GEF involvement in the design phase encouraged the development of five waterbody transboundary assessments together with the lead waterbody partners, with relatively little focus on integration between waterbodies. This resulted in five well-defined parallel sub-projects, with the consequence that the PCU had little ability for future flexibility to respond to the differing needs of the five assessments during project execution. The design also, in the consultant's view, led to overly complex and long project results framework, further increasing the reporting burden on the PCU. (Sections 5.2 and 5.6).

210. The partners identified as component leads are key science-based organisations and assembled significant global networks with expertise on assessments with respect to specific waterbodies and provided clear comparative advantages in their roles. UN Environment's pivotal role as implementing agency and in a co-ordinating role (as EA) was closely linked to the organisation's Programme or Work priorities in providing global and regional assessments. (Section 5.2). The project partners and main stakeholders are utilising the agreed approaches in on-going pilot project, in new projects or promoting the approaches through their wider networks. (Outcome 3 Section 5.3.2). Specific examples of utilisation by partners and other stakeholders include (Sections 5.3.1, 5.3.2 and 5.3.3):

- UNDESA cited TWAP on the index of coastal eutrophication and floating plastic with regards to SDG 14.1.1.
- UN Water's Freshwater Strategy (2017 – 2021) utilises TWAP's freshwater results;
- TWAP is providing thematic inputs in to the freshwater chapter of UN Environment's GEO (2019).
- TWAP are likely to contribute to the 2nd World Ocean Assessment through UN Environment staff involvement (see paragraph 116)
- The GPA (through GPML and GPNP).
- Regional Seas Programmes.

    - UNECE (working with UNESCO-IHP) has utilised information to assist their Member States with reporting requirements of SDG 6.5.2, for example
    - Opportunities for TWAP assessments and approaches to assist other GEF focal areas (potentially GEF Biodiversity and Chemicals & Waste) have been identified by the project;
- TWAP has much synergy and potential benefits to UN Environments PoW that could also offer a sustaining mechanism;
- TWAP approaches have been applied in IW projects reported in GEF IW Lake Baikal, Bay of Bengal LME and GEF CLME+;
- Use of TWAP methodology contributing to three pilot projects and through catalytic actions in an USAID project in transboundary aquifers in Southern Africa highlighting the relevance and applicability of the TWAP methodology for detailed assessments at aquifer (basin) scale.
- World Bank has sought out and used TWAP Rivers results in their initiative 'Retooling Operations with Transboundary Impact' (ROTI), which Paul has actively contributed to. It focuses on focuses approaches to investments in transboundary basins through the identification and deployment of mechanisms and processes to facilitate coordinated transboundary water management. TWAP RB outputs have provided significant inputs to the assessment of status and future projections in the transboundary basins
- Application of the TWAP methodology within the Cartagena Convention's Land-Based Sources Protocol (LBS) in developing a State of the Convention Area Report (SOCAR).
- Recent GEF PIFs and Project Documents acknowledging the use of TWAP approaches in project results frameworks (e.g. Nubian Aquifer and Nile Aquifer projects).
- The World Bank has also expressed interest in the TWAP data and assessments as an additional source of information for their 'Spatial Agent' application. (Outcome 2 Sections 5.3.2 and 5.3.3)

211. **ii) To what extent has the project contributed and is expected to contribute to policy processes concerning transboundary water issues at different levels (national/regional/global)?**

212. The project has been effectively and efficiently executed by a strongly motivated PCU with oversight from a PSC and technical guidance from a number of advisory groups. The project engaged a large technical base of international experts to assist with data collection, modelling and assessment from the partners' global networks of experts. All planned outputs and outcomes have been achieved and the project has delivered a range of high quality publications (web and print) aimed at the GEF, policy makers and other technical audiences. (Sections 5.3.1 and 5.3.2) Whilst gender mainstreaming was not a central theme of these global assessments there were several notable actions taken by the project to consider these aspects.

213. This project has a clear focus on global assessments aimed at the GEF and whilst the lack of more regional/basin level 2 assessments is regretful, in the opinion of the consultant, hindering the contribution regional and national policy processes, the project has achieved some evidence

of regional /basin uptake. For example, through the pilot projects in component 1 on transboundary aquifers, assisting with regional and national assistance with SOCAR, SDG reporting and catalytic actions by other funding agencies involving TWAP partners (USAID project on transboundary aquifers). (Sections 5.3.2, 5.3.3 and 5.7.3). Whilst some country representatives have been made aware of TWAP (e.g. through UNEA II exhibitions, on-going ocean fora, via UNECE meetings with their Member States, etc.) the information on TWAP and awareness raising has been very much directed at the GEF, project partners, international donors and the wider IW Community (e.g. GEF IW Conference, IW:LEARN, etc.) (Section 5.7.1).

214. The results of TWAP offer opportunities to river basin commissions, regional conventions, global and regional ocean dialogues providing both baseline data and tested approaches for undertaking assessments. To-date the main focus of the project (as expected) has not been on these organisations and the real interest for regional bodies will come with the demonstration of Level 2 TWAP approaches. Further work on downscaling the approach still needs to be fully tested to further encourage use by regional, basin and local levels. (Sections 5.3.3 and 5.7)

215. The final PSC identified that additional outputs on crosscutting synthesis and detailed regional compendiums for the global assessments would be beneficial. These additional products were co-ordinated and assembled by the PCU and supported by the project partners – through their own addition and unreported co-financing (ToC outputs 2 and 3, Section 5.3.1), contributing to enhanced understanding of global and regional water management issues.

216. A wide range of presentations and exhibitions have been given by the TWAP project to global donors (the GEF, World Bank, UNEA II, etc.) and to other stakeholders (e.g. GEF IW Conference, UNECE Member States, Stockholm Water Week, LME/Open Ocean global ocean fora, etc.), in addition to the many publications prepared by the TWAP. However, there seems to have been little awareness raising or press coverage outside the broad IW 'community', although this is consistent with the design objectives of the global project aimed at addressing the needs of the GEF. (ToC Outcome 2, Section 5.3.2).

217. **iii) How can the TWAP results/indicators be best utilized to inform the SDGs or assist organizations and countries to report on the SDGs**?

218. TWAP has already been used (e.g. by UNECE) to assist countries on SDGs 6.5.2, 6.6.1 and 14.1.1, providing baseline data and indicating, for example, transboundary aquifer boundaries. (Sections 5.1, 5.3.2 and 5.3.3)

219. Further use of TWAP results among countries and regional bodies is likely to be best stimulated by clear links with SDGs and it would be beneficial if any future co-ordination mechanism could develop brief information sheets for countries on how the TWAP results (methods, indicators, assessments, etc.) can best assist. (Section 5.7)

220. **iv) How will the TWAP results and outcomes be sustained after project completion? How can the implementing and executing agencies as well as GEF promote and support the continuous use of the TWAP methodologies/assessment/datasets/policy summaries**?

221. TWAP's results will be sustained for at least 5 years through the project web portal. However, while the data may be updated by harvesting any new data from the partners' databases, the assessments will undoubtedly become outdated in time without the investment to further collect global data and perform assessments. (Section 5.7.3)

222. The TWAP prepared a comprehensive Sustainability Report (effectively a project 'exit strategy') that provided suggestions on how to promote and sustain TWAP in the future. These suggestions have yet to be converted to concrete actions to sustain TWAP by the GEF, UN Environment or most of the partners for global assessments, but this evaluation report does recommend some of the suggestions as priorities for action. (Section 5.3.3 and 5.7). The report also highlights activities completed or underway to sustain the TWAP approaches at regional levels. The partnership has made clear commitments to providing their services (where required) for future global assessments – subject to resources being made available for new data collection /assessments. It is likely that through the partners own activities some data will be revised and uploaded to their own websites. (Sections 5.3.1 and 5.3.2).

223. The GEF, UN Environment and the partners are also committed to encouraging and assisting with the use of TWAP Level 2 approaches: e.g. through the GEF TDA/SAP process. (Section 5.7)

224. A key step needed is for the partners (including GEF and UN Environment) to further promote the benefits of TWAP methodology to regional and national authorities, and encourage the provision of national data. Promotion of the current TWAP products should continue to be linked to global and regional events (e.g. Stockholm Water Week, ocean fora, etc.) and targeted at regional and national authorities and opportunities should be sought to increase awareness of TWAP products by national and regional authorities. (Section 5.7)

225. **v) What are the key lessons that can be learned from the TWAP implementation considering the future assessment processes of UN Environment?**

226. Country, basin and regional involvement is essential to ensure data sources and assessments are acceptable and to motivate national authorities to adopt methodologies. Any project design involving assessments and the development of knowledge products must ensure that project duration and resources are adequately provided to reach national and regional stakeholders, if their buy-in is acknowledged as a true metric of sustainability and utility. (Sections 5.2, 5.3.3 and 5.7)

227. The technical aspects of the data collection and assessments were largely completed within the initial two-years planned for this project however, additional time was needed to complete the publications and to accommodate the review and publication procedures within UN Environment. (Sections 5.3.1 and 5.5). All contracting and financial management / reporting was effectively completed on-time. The PCU had a presence in Nairobi that proved highly beneficial during the financial management system migration to UMOJA. (Sections 5.5, 0 and 5.6).

228. Although the project has made multiple suggestion on sustainability mechanisms there are no concrete agreements on how to proceed with future financing for global assessments or

providing overall co-ordination of the assessments and products. (Sections 5.7.1 and 5.7.2). However, there is clear evidence of TWAP approaches being used at the regional level.

229. UN Environment internally offers a number of global and regional focused bodies (e.g. GEO, Regional Seas, GPA, etc.) that could provide a future home for the GEF data and / or act as a co-ordinating body for future assessments. (Section 5.7.3)

6.2 TWAP Project Ratings[23]

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
Strategic Relevance		**S**	**S Concurs**
1. Alignment to MTS and POW	TWAP is well aligned to MTS and PoW sub-programme 7 (Section 5.1.1)	HS	HS Concurs
2. Alignment to UN Environment /GEF/Donor strategic priorities	TWAP was designed to assist GEF strategies on IW (Section 5.1.2) and relevant to UN Environment programmes (Section 5.1.4)	HS	HS Concurs
3. Relevance to regional, sub-regional and national environmental priorities	TWAP was designed to assist countries with SDGs and potentially beneficial to regional actions (Section 5.1.3) and conventions (Section 5.1.4)	S	S Concurs
4. Complementarity with existing interventions	TWAP is consistent with existing actions of the SDGs, conventions and UN Environment's programmes (Section 5.1.4)	S	S Concurs

[23] Most criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
Quality of Project Design	The project benefited from the previous MSP that defined methodology and partnerships for global and regional assessments. This phase of TWAP (global assessment) was less ambitious than planned in the MSP due to GEF budget limitations, which had impacts on the potential regional and national involvement. The results framework was considered too extensive for a project of this size (budget). The substantive elements of the project (assessment of five waterbody types and cross-cutting reports) were achieved as planned. (Section 5.2).	**S**	**S** **Concurs**
Nature of External Context		N/A	
Effectiveness	A reconstructed ToC was developed to guide this evaluation and led to detailed ToC Outputs, Outcomes, Intermediate States and Assumptions. The assessment of outputs and outcomes is performed against this reconstructed ToC.	**S**	**S** **Concurs**
1. Achievement of outputs	TWAP delivered all planned and multiple additional outputs. The detailed assessment reports, policy maker summaries and cross-cutting reports (governance and socio-economic) were supported by comprehensive databases and websites. This was supplemented by additional outputs agreed at the 3rd PSC meeting resulting in a cross-cutting synthesis report and 12 global compendiums. All reports were provided in print-ready downloads and in high quality publications. (Section 5.3.1)	S/HS	S (as per ratings given in section 6.3.1)

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
2. Achievement of direct outcomes	The project's outputs have contributed to the ToC Outcomes. It is clear that the GEF have utilised the TWAP in developing their 7th replenishment strategy. The partners have demonstrated their commitment to TWAP through agreements, continued working on the project (after PCAs/LoAs concluded), been involved in new TWAP related activities, publicising the TWAP activities at global events, etc. Whilst the project has not yet established mechanisms to fund future global assessments there is evidence that they are active at downscaling TWAP at regional/basin level. (Sections 5.3.2, 5.3.3 and 5.7)	S	S Concurs
3. Likelihood of impact	The reconstructed ToC identified multiple intermediate states and these have been analysed to identify progress and/or assumptions that need to be delivered to achieve the hoped for long-term impact (Section 5.3.3). This assessment considers that the global reports will (and in some cases – already) stimulate uptake of TWAP approaches for future (and ongoing) regional and basin transboundary assessments. Either through GEF TDA/SAP projects of catalytic actions (e.g. USAID project in southern Africa). The rating at the regional level is **Likely** and at the global level **Moderately Likely (**due to financing uncertainty at the global level)	At the Regional Level: L At the Global Level: ML	ML Based on the sections 5.3.3 and 5.7.2
Financial Management		**S**	**S** **Concurs**

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
1.Completeness of project financial information	Project financial information was reported as expected by the GEF and UN Environment by the PCU and Partners. Financial reports from partners concluded at the end of their 2-year contracts. Subsequent inputs by partners to the finalisation of the reports by the PCU was unreported. All necessary reports were available to the evaluation.	S	S Concurs
2.Communication between finance and project management staff	No issues were reported from PCU/Partners or the FMO within UN Environment's Science Division	S	S Concurs
3.Compliance with UN Environment standards and procedures	No issues were reported in audits and interviews	N/A not rated due to changes in the evaluation office requirements in 2017	
Efficiency	Although the project had a relatively quick start-up and delivered most of the technical reports by the planned end-date, two 1-year extensions were required to finalise the additional (unplanned) outputs and to address the UN Environment's publication requirements. Whilst these delays did not impact the use of TWAP results by the GEF it has caused some dissatisfaction with some of the wider scientific network community. (Section 5.5)	**MS**	**MS** Concurs (the additional outputs as the reason for the 2 years of extension considered)
Monitoring and Reporting	Section 5.6	**S**	**S** **Concurs**
1. Monitoring design and budgeting	The project monitoring was made more complex due to the 30 page project results framework. The GEF grant allocated to the M&E budget contained costs associated with preparing the technical reports, however the net figure (minus the technical reports) was consistent	MS	MS Concurs

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
	with other GEF IW projects. (In most case GEF projects do not include the costs associated with technical reports within the M&E budget)		
2. Monitoring of project implementation	All technical and financial reports were delivered by the PCU (with necessary input from partners) as required to UN Environment and the GEF. An internal MTMR was conducted after 1 year which was beneficial to assess progress of the 5 main waterbody components. UN Environment's financial reports do not allow for costs of M&E to be tracked.	S	S Concurs
3.Project reporting	PIRs and PSC reporting was performed in detail by the PSC with support from partners.	S	S Concurs
Sustainability	*The range of ratings for socio-political and financial sustainability reflects the ambition of this project undertaking global assessments and the likely sustainability of catalytic actions at regional/basin level. As a consequence, the overall rating is not given as MU but ML*	L-MU	**ML** (overall rating is the lowest rating of the sub-criteria)
1. Socio-political sustainability	The focus of the project on global issues has impacted the uptake at the country level. However, through project pilots and catalytic activities (SDGs, Zambesi Commission interest, USAID initiative, Cartagena Convention, etc.) the TWAP actions are of interest at the regional level. Consequently, the evaluation rates the socio-political sustainability of the *TWAP approaches* as Likely.	L	L Concurs
2. Financial sustainability	Future interest in global assessments has yet to be established and likely financing mechanisms identified. Again, at the	L-MU (reflecting the regional vs	ML (Based on the section 5.7.2)

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
	regional/basin level it is more likely that support (for example through planned and future GEF TDA/SAP projects) will be more forthcoming. In addition, the support given by other organisation *beyond the TWAP partnership* to support actions using TWAP approaches (Cartagena Convention, USAID, SDG reporting, etc.) indicate that financial sustainability *is being achieve*d for the TWAP approach.	global aspects of sustainability)	
3. Institutional sustainability	The partners have established 'formal' relationships and have made clear statements of their willingness to assist future assessments using the TWAP methodology. There is still need to agree to replicate and sustain the functions of the PCU to ensure that future assessments are integrated and build on the extensive experiences of this project, but possible option within UN Environment have been clearly identified by the project's Sustainability Report and are recommended by this evaluation.	L	L Concurs
I. Factors Affecting Performance			
1. Preparation and readiness	The benefits from the previous MSP were significant in identifying and agreeing partners, defining methodologies (reviewed during the project inception) and potential scope of the project enabling this global assessment to have been largely undertaken within the planned 2 years (with subsequent 2 years taken for additional outputs and publications). (5.2, 5.3.1 and 5.3.3)	S	S Concurs

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
2. Quality of project management and supervision	The PCU has been widely praised by all stakeholders and have effectively reported the project (through PIRs and financial reports). The PCU has also effectively co-ordinated 5 'sub-projects' and ensured there was consistency and co-ordination. More significantly, the PCU also led the preparation of the 'additional reports' (cross-cutting synthesis and global compendiums) following the 3rd PSC to prepare these significant documents. In addition, the PCU (through co-financing from the Finnish Government and UN Environment) ensured that the publications were completed. The PSCs have been well organised and effective in ensuring the main outputs of this project were drafted within the time allocated to the project (Sections 5.3.2, 5.3.3and 5.6)	HS	HS Concurs
3. Stakeholders participation and cooperation	At the global level the project has had multiple contacts through key events consistent with the focus of the project at a 'global assessment'. There has been more limited contact with regional organisations or countries, although there is evidence of this through the use of TWAP data for, e.g. SDGs. (Sections 5.3.1 (paragraph 100) and 5.3.3)	S	S Concurs
4. Responsiveness to human rights and gender equity	The project did not have a significant focus on gender issues when dealing with global transboundary assessments. However this was considered in three of the 6 main global output reports (transboundary aquifers, rivers and open ocean). (Sections 5.2 and 5.3.1 (paragraph 102).	MS	MS Concurs

Criterion	Summary Assessment	Rating	Evaluation office rating and justification
5. Country ownership and driven-ness	By design, the interactions with the country level was limited as this project was dealing with 'global assessments' with no significant requirement beyond this level. However, through pilot actions, catalytic actions etc. there was involvement of some regional/basin and national representatives. (Sections 5.2, 5.3 and 5.7)	S	S Concurs
6. Communication and public awareness	Communications at the global level were significant. Representation at global events or through global organisations (including the GEF, UN Environment, World Bank, Stockholm Water Week, etc.). Public awareness raising on the global assessments (other than through the project and partners' websites) was not expected. (section 5.3.1)	S	S Concurs
7. Catalytic role, replication and scaling-up	TWAP approaches have been utilised through co-financing actions (e.g. SDC pilots), the SOCAR report, in a USAID project in Botswana/South Africa, Zambesi Commission and application through UNECE to assist countries with SDG reporting (Sections 5.3.2, 5.3.3, 5.7.1 and 5.7.3)	S	S Concurs
Overall Project Rating		**S**	**S** **Concurs**

Table 6 Evaluation Rating Summary

7 Lessons Learned

230. In addition to the lessons identified above, this evaluation considered the following as important for future project similar to the TWAP:

- The design of the project was comparatively narrow, directing the waterbody types to undertake very focused assessments and creating a silo mentality with relatively little interactions between components. Whilst there was a clear desire from the GEF for such an arrangement, the additional outputs provided by the project (cross-component synthesis, regional compendiums to global reports) provide considerable added-value. In addition, the GEF's attention for many years has been on source-to-sea and ridge-to-reef water management, consequently it could be beneficial to have assessments and/or synthesis reports based on (for example) the freshwater – seawater links and consider all water within specific regions (groundwater, surface, lakes and coastal/LME) if data of acceptable quality available. This could lead to a more coherent understanding of IWRM/ ILBM perspectives among linked transboundary waterbodies types.
- This phase of TWAP benefited significantly from having the initial MSP to establish methodologies and build partners' networks and allowed the substantive parts of the project to be completed within the planned period.
- Formal publications (complying with organisations' standards, review process) can take significant time, in this case, beyond the 2-year time frame which was barely enough to complete the global assessment, let alone the publication of the final reports and summaries for policy makers including summary translations in six UN languages;
- Despite the PCU developing clear guidelines and agreeing deadlines for the finalisation of the reports (including format requirements), there were still significant delays with most partners in both completing the reports, undertaking the technical reviews and ensuring compliance with UN Environment's publication requirements. The design phase had not anticipated the need for document translation into the six UN languages or the evolving requirements of UN Environment's publication requirements.
- The project has prepared many important and high-quality outputs. It could have even greater impact if some of these outputs had been targeted at senior decision makers. The project's Decision Maker Reports are very comprehensive and detailed and some stakeholders considered these to be too long at ca. 20 pages and more aimed at the advisors to decision makers.
- The preparation of the PCA (between UN Environment and ILEC and DHI) and the LoA (between and UNESCO) in parallel to the finalisation of the ICA (between Ecosystem Division and Science Division within UN Environment as IA and EA respectively) enabled the project to deliver the first disbursement within three months of the GEF CEO endorsement. This led to a relatively quick start to the TWAP project with a small PCU established in Nairobi, although the Project Manager was not recruited for another 3 months.
- Although the time for project start-up was not excessive there was a perception of a 'significant' delay from several partners. It may be beneficial to consider formalising a mobilisation phase at the PIF stage to reflect the real time necessary to start a GEF project, especially for short-duration projects. This would allow time for establishing ICA/PCAs and recruitment of a PCU before the technical work of the project started.

8 Recommendations

231. Recommendations to the GEF. Whilst acknowledging the important achievement of the TWAP in providing advice to guide the GEF IW strategy, the terminal evaluation consultant considers the following will be of further benefit:

- That the **GEF further encourage the adoption of TWAP approaches**, through future TDA/SAP projects, to utilise indicators and methodologies to supplement national and regional specific indicators. This will also provide the GEF with a higher degree of comparability between completed SAPs. In addition, the current TWAP data and assessments are a credible source for additional baseline information for developing the TDA in regions which maybe lacking this data.
- That the **GEF assists in ensuring that TWAP data and assessments are available to other GEF focal area teams** and they are aware of the benefits of this data. UN Environment should assist to ensure that briefing documents are prepared to enable interested other focal areas (tentatively identified by the project as Biodiversity and, Chemicals and Waste) understand how TWAP data can assist them.
- That the GEF International Waters Task Force (IWTF), at the earliest opportunity, **has TWAP on their agenda to identify what additional steps the GEF**, with support from UN Environment and GEF IW:LEARN, can take to promote the use of TWAP approaches across the IW community of projects. In particular, for the IWTF to consider holding a side-event on TWAP, or linking with the broader subject of indicators within IW at the next GEF International Waters Conference, planned for October 2018. This discussion should also reflect on how the better use of indicators (supported by TWAP approaches within level 2) can assist providing more comparable data within GEF Tracking Tool reporting system.

Recommendations to UN Environment and partners

232. The recommendations of this Terminal Evaluation identifies two key issues to be developed by UN Environment and partners to sustain the exploitation of the TWAP achievements: the establishment of a mechanism to continue the core functions of co-ordination between the partners to assist with the utilisation of TWAP; and, closely aligned to this co-ordination function, the continuation of a communication and dissemination of TWAP approaches and results.

233. a) Sustaining mechanism for the core-function currently provided by TWAP PCU

- This was a key suggestion from a number of stakeholders and is supported by the terminal evaluation consultant. It would also meet a critical element within the project's objective by providing the co-ordination to the 'formalised partnership' that has been established. The functions suggested for this are many and it would be essential to maintain the significant added value provide by the current PCU in co-ordinating the activities of the partners and preparing cross-cutting synthesis reports. Whilst it is clear that this has resource requirements several options could be explored within existing UN Environment on-going programmes with low cost concepts such as a more 'virtual' co-ordination unit distributed between programmes addressing different waterbody types. The TE Consultant recommends that UN Environment identifies means to establish and operate a small function to provide co-ordination between the TWAP partners and to assist users and potential users with TWAP methodologies, indicators and data. The functions could include:

- Maintaining a database of resource expertise from within the formal partner network to assist projects with level 2 needs;
- Maintaining and updating digital resources (databases, website, etc.) to ensure these are refreshed (e.g. through existing project web portals or through UN Environment Live or IW:LEARN);
- Providing a technical help-desk /service desk for users of TWAP products;
- Up-dating the data visualisation approaches e.g. through UN Environment - GRID Geneva or GEF IW:LEARN to ensure users are able to construct maps and other graphical data as required (for example overlaying layers from different waterbody types and at differing scales;
- Mining the current databases and assessment reports to extract more information as required;
- Ensuring potential partners (e.g. World Bank) could readily utilise TWAP data through their own innovative systems to broaden further the use of GEF TWAP results. For example, to investigate the effort required to allow the World Banks application (Spatial Agent) to access the TWAP database and combine with other sources of data;
- Making the case for future assessments (at all levels) by clearly showing the benefits and demonstrating national/regional/global demand;
- To investigate means of using nationally provided data to prepare global assessments (for example engaging with the Human Development Reports to include transboundary indicators into their regular data collection process through national statistical bodies).
- Preparing further cross-cutting reports (and updating existing) when required;
- Promoting and communicating TWAP products (see below).

234. b) Promotion and communicating TWAP products at national, basin and regional levels

- There project has provided a number of presentations and exhibitions at international fora however there has been relatively limited exposure beyond the GEF IW Community and associated organisations with minimal press coverage. The terminal evaluation consultant considers that raising the profile with countries (e.g. through UNEA science to policy discussion) could assist with introducing the TWAP to countries and build on the work that UNESCO-IHP have undertaken with UNECE, ILEC have work on with their constituents and UNESCO-IOC have had contacts through the SDG 14 processes, etc. In addition, there are a number of high-level decision-making bodies (for oceans, SDG indicators, water, etc) that demand scientific evidence for policies and governance decisions, and for which TWAP assessment results, indicators and methods, may be of significant utility. All partners have committed to future TWAP activities through their partnership agreement and will be willing to assist in the dissemination of appropriate material to raise the profile of TWAP approaches at regional/basin/country level. The material for dissemination (based on existing content from the MSP and this phase) could be developed by the proposed co-ordination body described above.
- The benefits of the indicators and the results (e.g. how they help with SDG reporting) should be well explained and communicated effectively to national and regional decision makers. Opportunities within UNEA meetings and, for example, through UN Environment Live, should be

further explored as a means of raising the TWAP approaches with country representatives. (Sections 5.3.3 and 5.7)

235. To achieve these recommendations UN Environment (and core partners) should develop and implement a plan to establish the core functions described above building on existing programmes with UN Environment with an interest in assessments of waterbodies.

ANNEX 1: RESPONSES TO STAKEHOLDER COMMENTS

The below table contains those stakeholder comments that were not fully accepted by the evaluator/evaluation office (nor were integrated in the evaluation report).

	Paragraph / section (as in the commented report version)	***Stakeholder comment***	***UN Environment Evaluation Office (EO) responses to the comments***	***Consultant responses/ actions***
1	***General***	Our main issue is the ToC which while, generally, a valuable exercise in itself, does not, in this case, come across clearly. As presented in the report, it does not seem to support much of a relevant and meaningful analysis highlighting key outcomes or likely paths to future impacts. Those would have been useful to guide future use of the TWAP products and learning hence enhance its sustainability. Overall, we believe the analysis presented in this report is very thin although this scientific project was quite unique, pioneering and of high quality from a scientific standpoint.	*The visual presentation has been reviewed and revised. And supportive narrative paragraphs added. Thank you for the feedback.* *The specific comments by stakeholders do not substantiate factual errors in the results statements identified in the TOC. Only the following three stakeholder comments address any specified aspects of the TOC results statements:* **1) (para 48)** *While it may have provided clarity for the terminal evaluation, it imposed a scale of imputed outreach to national governments, which was never in the terms of reference of the project; and thus confused the fundamental basis of evaluation.* EO response: one impact pathway of global TWAP is its use at different levels[24] (also at national level) after end of the project. The national outreach has not been considered by any means as a key focus area in the evaluation but as one factor that could	Additional text to clarify the ToC is provided The Consultant's ToR imposed questions on the '(ii)…contribution to policy process …at different levels (national/regional /global)' and '(iii)…..to inform the SDGs or assist organisations and countries….'.

[24] Also according to the MTR table in annex 7 provided by the PCU: "*There exist all possibilities to scale down the methods and indicators to be relevant at basin, national and and regional scales.*"

			influence the future application of TWAP at national level. This is well in line with the evaluation TOR strategic questions[25] (use at different levels was specifically suggested by the PCU/TM to be added in to the evaluation TOR strategic questions) **2) (para 129)** *This is one clear example where the TOC, not the project logical framework, drives this expectation, and which does not reflect the reality under which TWAP was implemented.* EO response: This is about the LIKELIHOOD OF long term impacts along the realistic impact pathways of the TWAP. Likelihood of impact looks beyond the end date of the project towards the eventual realisation of Global Environmental Benefits the GEF funding is expected to deliver. **3) (Annex 7)** *Given that outreached was removed from the workplan, why does this keep popping up – because the ToC artificially imposes this. If the project logic framework was used, TWAP did what was referenced in the results framework.* EO response: This comment was made on the MTR table (annex 7) produced by the PCU and Task Manager, not by the evaluation team.	However the report makes it clear that the project had a global emphasis following the significant budget cut prior to PIF endorsement The logframe (an the reports on progress of using the logframe presented in PIRs) was extensively used as one key source of information in this TE

[25]a) To what extent have the project deliverables (TWAP methodologies/ assessments/ datasets/ policy summaries) been utilized, or are likely to be utilized, by the key partners and other stakeholders (including UNEP, GEF and Word Bank)?
b)To what extent has the project contributed and is expected to contribute to policy processes concerning transboundary water issues at different levels (national/regional/global)?
c)How can the TWAP results/indicators be best utilized to inform the SDGs or assist organizations and countries to report on the SDGs?
d)How will the TWAP results and outcomes be sustained after project completion? How can the implementing and executing agencies as well as GEF promote and support the continuous use of the TWAP methodologies/assessment/datasets/policy summaries?
e)What are the key lessons that can be learned from the TWAP implementation considering the future assessment processes of UN Environment?

			The TOC does not contain an outreach component. But it is true that outreach as a supporting factor DOES keep on popping up as it would be a vital aspect of ANY assessment programme/project. In the case of TWAP it is vital to acknowledge that there were no funds provided for that.	The TE refers to the issues associated with removing the outreach and recognises this was not an activity in the project (which the TE considers to be disadvantageous to the uptake of the work at all levels).
2	***general***	The promise of financial support in the formalization of assessment networks was an impossible task, given that global assessments was not a core activity by any of the UN implementing or executing partners, and which themselves, must seek project funds to undertake these. There was ample documentation in the PSC minutes, the sustainability plan and throughout the 2-year implementation, of how this shaped up	Financial sustainability is one criterion of future sustainability of any project. The consultant may consider whether it will be required to further elaborate project challenges in terms of ensuring some continued flow of financial resources.	There are (of course) differing views from stakeholders on the expectation of financing of future assessments. The consultant acknowledges the details presented in the comprehensive project sustainability document that shows both the uptake of TWAP (and the potential for uptake) but there remains differing views between stakeholders on 'impossible task' as described by stakeholders to future financing expectations/
Specific comments in the report				
3	***Paragraph / section (as in the commented report version)***	***Stakeholder comment***	***UN Environment Evaluation Office (EO) responses to the comments***	***Consultant responses/ actions***
4	***Ex.sum [efficiency]***	The project duration was a requirement from the GEF at CEO endorsement a they wanted to use the findings to inform the GEF7 strategy formulation—although very little of that happened in reality. UNEP PRC flagged the duration as a	For the consultant to respond. It was discussed and PRC documents did not provide basis for these stakeholder views. In case we still need to clarify the reasons for a too short planned duration we shall do it in the main body of the evaluation report.	The PRC report provided by the project in Dropbox indicates that the TM and PRC considered the duration proposed as acceptable. That said using UN Environment's EO guidelines of a 'reduction' in rating for **each** project extension – ie. 2 points reduced (which I

		risk. UNEP was caught between a hard rock and a plate Accepting to shorten the duration as to get the project approved. Some of this should be reflected in the evaluation report as otherwise it reflects badly on the project partners and UNEP	Also the EO rating is kept at MS (not at MU)	considered a bit harsh) – hence I have consider these as a **single** extension and reduced rating from S to MS
5	***TOC section***	The project logical framework should be the BASIS of the evaluation, rather than a made up TOC post facto, which should have been used ONLY as supplemental evaluation instrument, rather than the MAIN one.	Evaluation process requires that the project results are looked in terms of generating environmental and social change in the long run. Project's direct accountability is in the output and outcome level, however the likelihood of impact assessment requires stating the potential impact pathways (following the GEF and EO guidances this is done by utilizing the TOC approach). Logframe is the basis for the TOC.	This approach was specified in the consultant's ToR

ANNEX 2: TERMS OF REFERENCE

Terminal Evaluation of the UN Environment/Global Environment Facility project "A Transboundary Waters Assessment Programme: Aquifers, Lake/Reservoir Basins, River Basins, Large Marine Ecosystems, and Open Ocean to Catalyze Sound Environmental Management" [TWAP]

I. PROJECT BACKGROUND AND OVERVIEW[26]

1 Project General Information

Table 1. Project summary[27]

IMIS number:	GFL-5060-2730-4C77		
Sub-programme:	SP-7 Environment under review	**Expected Accomplishment(s):**	SP 7-EA (a)
UNEP approval date:	16 November 2012	**PoW Output(s):**	SP 7-EA (a) - Output 2
GEF project ID:	4489	**Project Type:**	Full-size project
GEF OP #:	N/A	**Focal Area(s):**	International Waters
GEF approval date:	19 December 2012	**GEF Strategic Priority/Objective:**	IW 1-2, IW 1-4
Coverage - Country(ies):	Global with a focus on transboundary systems (Rivers, Aquifers, Lakes, Large Marine Ecosystems and Open Oceans)	**Coverage - Region(s):**	Global
Expected Start Date:	01 April 2013	**Actual start date:**	01 April 2013
Planned completion date:	31 March 2015	**Actual completion date:**	30 June 2017
Planned project budget at approval:	USD 36,863,813	**Total expenditures reported as of [31 Dec 2016]:**	USD 36,827,843
GEF Allocation:	USD 5,000,000	**GEF grant expenditures reported as of [31 Dec 2016]:**	$4,932,262
PDF GEF cost:	USD 140,000	**PDF co-financing:**	USD 280,000
Expected FSP co-financing:	USD 31,863,813	**Secured FSP co-financing:**	USD 31,895,581

[26] ProDoc
[27] ProDoc and UNEP GEF PIR Project Terminal Year 2016 (1 July 2015 to 30 November 2016)

First Disbursement:	14 March 2013	**Date of financial closure:**	n/a
No. of revisions:	tbc	**Date of last revision:**	tbc
Mid-term review/ evaluation (planned date):	Mid-term management review	**Mid-term review/ evaluation (actual date):**	Mid-term management review by task manager and project manager completed in September 2014 [28]
Date of last Steering Committee meeting:	13 July 2016	**Terminal Evaluation (actual date):**	September 2017 (expected finalization date)

2 Project rationale

Many aquatic systems (aquifers, lakes/reservoirs, river basins, large marine ecosystems (LMEs) and open ocean areas) extend across, or lie beyond, national boundaries, and are referred to in the context of the Global Environment Facility (GEF) as "transboundary waters". The ecosystem goods and services provided by transboundary aquatic systems are critical to the socioeconomic development and well-being of a significant portion of the world's population. These systems, which cover most of the planet, continue to be impacted and degraded by multiple and complex human-induced and natural stressors that threaten the sustainability of these goods and services and, in turn, human survival and well-being. Addressing these issues requires more effective management of transboundary waters, but this is increasingly becoming constrained by limited availability of funds, resulting in the need for better prioritization of the allocations of limited financial resources.

Another major constraint to the effective management of transboundary waters is the lack of a systematic, periodic global comparative assessment of the changing conditions of international waters in response to changing human induced and natural stresses. A systematic aggregation and analysis of available data at the transboundary scale is needed to allow GEF and others to set priorities for funding allocations, and to document the results of their investments in relation to the changing state of these transboundary systems. This project was designed to address this need for a global assessment of transboundary waters.

An indicator-based assessment methodology was developed for each of the five water systems through the GEF medium sized project (the first phase of TWAP) entitled: "Development of the Methodology and Arrangements for the GEF Transboundary Waters Assessment Programme (TWAP)" in 2011. The purpose of this second phase of TWAP is to apply these methodologies in a global comparative assessment of each of the five transboundary water system types to set science-based priorities for GEF financial allocations. The five water system types are: 1) groundwater aquifers; 2) lakes/reservoirs; 3) river basins, 4) large marine ecosystems; and 5) open ocean

The global assessment of the five types of transboundary water systems was planned to utilize networks and globally available information and data sets and intended to directly address the primary need in the water sector for a global assessment of transboundary waters. Newly collected information (from observation networks and modelling) was planned to complement the assessment, where needed, to address crucial data gaps. The purpose of the TWAP Project was to help the GEF identify priority areas for intervention in the management of shared water systems; to help governments in managing their shared waterbodies and formalise a partnership and arrangements for conducting periodic global assessments.

At the time of the project design the GEF's Technical Advisory Group for strategy development in the International Waters (IW) focal area identified the need for a global Transboundary Waters Assessment

[28] Mid-term Management review was carried out by the TM and PM in May-June 2014

Programme (TWAP) in early 2007, and the GEF Council included this in its approved GEF 4 Strategy for International Waters to assist in results-based management for the future.

3 Project objectives and components

Long-term goal: *To promote financing of future management and development of the environments and resources of transboundary water systems, through strong stakeholder engagement*.

Global environment objective: To apply the agreed methodologies to the conduct of a global assessment of transboundary groundwater aquifers, lakes/reservoirs, river basins, large marine ecosystems, and the open ocean, and to formalize the partnerships and institutional arrangements for periodically conducting such global assessments.

Project Objective: To undertake the first global assessment of transboundary waterbodies, through a formalised consortium of partners, that will assist GEF and other international organizations to improve the setting of priorities for funding allocations; and to formalise the partnership with key institutions aimed at incorporating transboundary considerations into regular assessment programmes, resulting in periodic assessments of transboundary groundwater, lakes/reservoirs, river basins, large marine ecosystems, and open ocean areas. Component co-ordination units were to be established by each partner having responsibility for one of the transboundary water systems that constitute major components of the project, namely:

Component 1 *The International Hydrological Programme of the United Nations Educational, Scientific and Cultural Organization (UNESCO-IHP*) for transboundary aquifers and SIDS (small island development states) groundwater systems;

Component 2 *The International Lake Environment Committee Foundation (ILEC)* for transboundary lake/reservoir basins;

Component 3 *UNEP-DHI Partnership Centre on Water and Environment* for transboundary river basins;

Component 4 *International Oceanographic Commission (IOC-UNESCO)* for large marine ecosystems (LMEs); and

Component 5 *International Oceanographic Commission (IOC-UNESCO*) for Open Ocean.

Component 1: Transboundary Aquifers and SIDS Groundwater Systems. The objectives of the transboundary aquifers (TBAs) component of TWAP is to (i) Provide a description of the present conditions of transboundary aquifers, and aquifers in small island developing states (SIDS), that will enable the GEF IW Focal Area to determine priority aquifers/regions for resources allocation; and (ii) bring to global attention the major issues, concerns and hotspots of these transboundary aquifer systems and SIDS aquifers, and to catalyze actions. The results of the TBA component (global assessment of transboundary aquifers, including socioeconomic and governance aspects) were designed to assist GEF and other TWAP users in addressing the following key questions: (i) what human and ecosystem uses of these water resources are currently affected or impaired; (ii) how will water conditions and uses develop during the next decades; and (iii) where will these problems be occurring. It was also to include provisional outlook projections to 2030 and 2050 for a limited number of indicators.

Component 2: Lake and Reservoir Basins. The objective of this component is to provide the GEF with a stakeholder-validated assessment of selected transboundary lake basins and 'lakes at risk', and linked lentic and lotic water systems, including socioeconomic and governance aspects, for setting science-based priorities for stakeholder attention. Such objectives include (i) identifying selected transboundary lake basins and linked lentic-lotic water systems; (ii) developing a set of relevant lake-basin indicators and data sources; and (iii) creating an evaluation framework to identify high-risk transboundary lake basins. In addition to being useful to the GEF, it is expected that lake basin managers, stakeholders and national governments will be able

to use the results in establishing lentic-lotic programmatic priorities. Local basin-level stakeholders are also expected to benefit from the catalytic value provided by this stakeholder-based analysis. Based on available data, provisional outlook projections for a limited number of indicators also will be considered.

Component 3: River Basins. The TWAP river basins component was designed to carry out a global comparison of all transboundary river basins, including selected deltas and lakes, in order to enable the prioritisation of funds for basins that are 'at-risk' from a variety of issues, covering water quantity, water quality, ecosystems, governance and socioeconomics. The assessment was to be indicator–based, and allow for an analysis of basins based on risks to societies and ecosystems. The purpose was also to include provisional outlook projections to 2030 and 2050 for a limited number of indicators. The TWAP provides inputs to the development of the GEF Transboundary Diagnostic Analysis (TDA) and subsequent Strategic Action Programme (SAP) processes. Although the main end-user is expected to be the GEF, other stakeholders, including donors, national governments, international agencies, and transboundary institutions of specific water systems (e.g., river basin organisations), are encouraged to use the results to obtain an overview of global issues threatening human populations and ecosystems through the water system.

Component 4: Large Marine Ecosystems (LMEs). The LME assessment was designed be a global comparative baseline assessment of the current ecosystem state, trends, and stressors (drivers), with future projections and likely impacts to the years 2030 and 2050 where possible, of all 64 LMEs and the Pacific Warm Pool. The assessment was to be based on a set of core indicators within the five LME modules (Productivity, Fish and Fisheries, Pollution and Ecosystem Health, Socioeconomics and Governance) and for which data are available globally. In addition, the assessment was to include mapping of cumulative human impacts and the Ocean Health Index for LMEs. The comparative assessment, which was to be conducted by a number of thematic partners, enables identification of those LMEs in urgent need of intervention. The UN Environment Regional Seas Programme and its network, and other regional (and national bodies where appropriate) were planned to be engaged for verification of the global assessment, based on the regionally available data and information. The conduct of a more detailed (level 2) assessment in the Bay of Bengal LME through the GEF BOBLME[29] project was to be explored. Parallel financing was to be provided by the BOBLME project.

Component 5: Open Ocean. The open ocean assessment was planned to address the identified challenges through a global assessment that directly addresses four broad themes: climate, ocean ecosystems, fisheries, and pollution. The assessment was to take guidance from the human system side and the global governance arrangements already in place for the high seas, and focus on a global thematic assessment. A conceptual framework links human and natural systems, putting human well-being at the centre of concerns, but also allowing a focus where data is available, particularly on indicators of human-related stress on ocean systems. A global mapping approach was planned to focus on indicators of natural and human system vulnerability, including projections where available. Individual expert assessments was to be designed to complement the mapped indicators in identifying threats related to issues of high uncertainty, but also high potential impacts. The assessment was to be done through a set of core and thematic partners. The socioeconomic and governance aspects were to be covered in scenarios of human impact on ocean ecosystem services, and include projections to 2030 and 2050 for a limited number of indicators that are key inputs for river and aquifer water systems.

Component 6: Cross-cutting Issues. The purpose of this component is to address governance and socioeconomic aspects as main sub-component under the cross-cutting issues.

1. **Governance.** Governance architecture or arrangements are addressed as a common issue for all transboundary water system categories. The approach to the governance assessments comprises two components. The first component provides a holistic picture of governance arrangements for individual water systems within IW water categories. The second component uses the common governance assessment methodology to evaluate governance arrangements across selected systems in all five transboundary water system categories.

[29] http://www.boblme.org/

2. **Socioeconomic Approaches.** While embracing the geo-morphological and human-environment interactions that characterize each of the five transboundary water system categories, the cross-cutting social and economic features of these interactions provide a basis for a comparative, synthetic approach for examining common issues across them. Human population distribution, its growth and level of development along the margins of transboundary waters, the water-based livelihoods and the vulnerabilities of human communities to ecological changes and climate-related natural disasters, are critical core cross-cutting indicators for determining the dependencies of humans on transboundary waters, and the impacts of environmental degradation on human communities. When complemented with transboundary water system-specific metrics, these core socioeconomic indicators provide key elements for a thorough, integrated evaluation of human well-being and ecosystem health.

3. **Crosscutting Analysis.** Although TWAP was designed to be implemented as global assessments of five transboundary water system categories, the PSC decided in its Third Meeting in Paris on March 2015, to undertake an overarching synthesis of the assessment results. Volume 6, Crosscutting Analysis, was written to present a unique and first global overview of the contemporary risks that threaten international water systems in five transboundary water system categories, building on the detailed quantitative indicator-based assessment conducted for each water category. The report is a collaboration of the five independent water-category based TWAP Assessment Teams under the leadership of the Crosscutting Analysis Working Group, with support from the TWAP Project Coordinating Unit[30].

Component 7: Data and Information Management. A common data and information management portal /clearing house mechanism was to be established to organize and present data and indicators used in the assessment in a consistent way, tailored for use by the TWAP stakeholders and where possible building on existing infrastructures and systems such as UN Environment Environmental Data Explorer (formally GEO Data Portal), UN Environment live, Global Earth Observation System of Systems and others. Common and cross-cutting data sets, authoritative data sources, and key indicators were to be identified and made easily accessible, in order to strengthen the science base and transparency of the assessment work, consolidate and archive the data used, and present the assessment results in a meaningful, appealing manner. Suites of indicators for environmental state and trends, as well as anthropogenic and natural driving forces of changes in these systems, were planned to be made available and presented in order to highlight the baseline conditions and changing states of ecosystems and associated pressures. The data management component uses relevant regional and global databases and indicators as far as possible, and available systems and tools connecting other GEF projects and knowledge management systems, such as International Waters Learning Exchange and Resource Network (IW:LEARN).

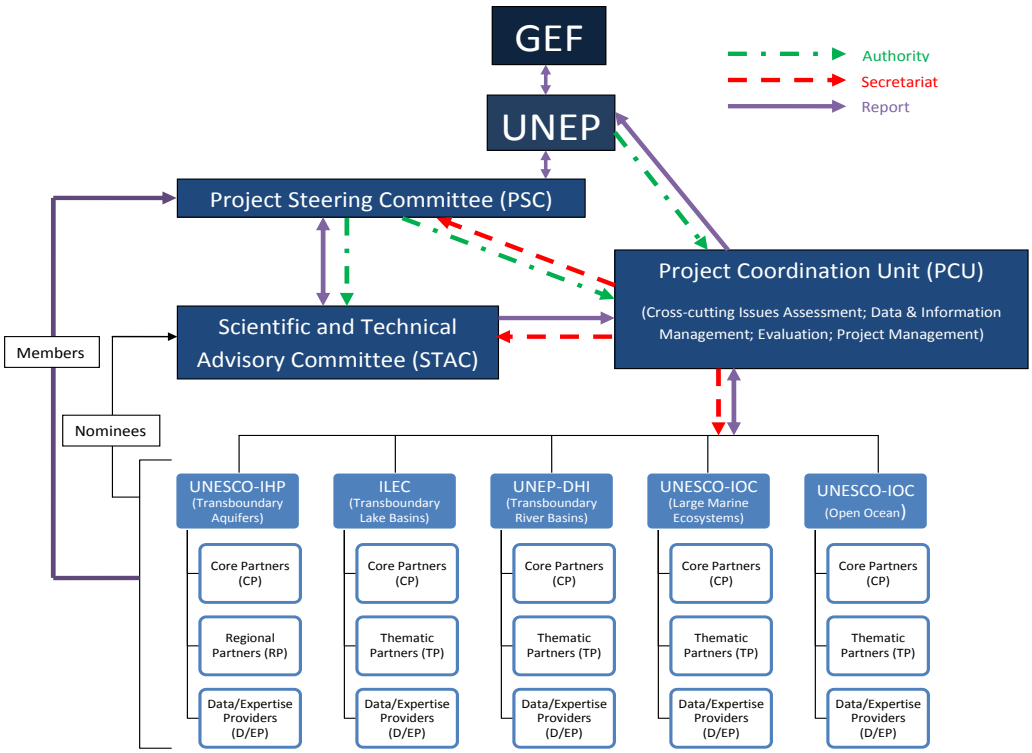
In addition the project document identifies **Component 8 as the terminal evaluation and Component 9 as the Project Management** (PCU at Division of Early Warning and Assessment [DEWA] with overall responsibility for the management of the project including the convening of Scientific and Technical Advisory Committee [STAC] and the Project Steering Committee [PSC] meetings, networking and communication with lead organisations and core partners and reporting to UN Environment and the GEF).

4 Executing Arrangements[31]

The **GEF Implementing agency** of the project is UN Environment (Division of Environmental Policy Implementation, DEPI). DEWA (UN Environment Division of Early Warning and Assessment) is the **Executing Agency** in partnership with UNESCO-IHP (transboundary aquifers and SIDS groundwater systems), IOC-UNESCO (large marine ecosystems and open ocean), ILEC (transboundary lakes and reservoirs), and UNEP-DHI (transboundary rivers) see figure below.

[30] Information added based on the PMU feedback during the TOR review process
[31] Source : ProDoc unless otherwise stated

A Project Steering Committee (PSC)[32] was established to oversee the implementation of the project. It consists of representatives from UN Environment DEWA, UNEP-DHI, GEF Secretariat, IOC-UNESCO, UNESCO-IHP, ILEC, UN Environment/DEWA/GRID-Geneva and UN Environment DEPI (Task Manager). The functions of the PSC include provision of project oversight and authority; provision of direction and strategic guidance to PCU and Component Coordination Units; review and approval of the annual work programme and budget; facilitation of cooperation among participating institutions, organizations and agencies; review and evaluation of progress in project implementation and execution; provision of assistance to UN Environment and the PCU in soliciting support for the project; review and monitoring of stakeholder buy-in, progress to targets, and risks; approval of annual Project IR reports; consideration and approval of recommendations from PCU and STAC; review and approval of project reports.



Scientific and Technical Advisory Committee (STAC). Members of the TWAP Scientific and Technical Advisory Committee include regular STAC members together with a selection of independent expert members. The functions of the STAC include the provision of advice on scientific and technical matters to all levels of the project, but particularly to the Project Steering Committee. The members were to be nominated by the Lead Agencies and appointed by the PSC.

Project Coordination Unit (PCU) is based in UN Environment's Division of Early Warning and Assessment (DEWA), in Nairobi, Kenya and serves as the TWAP Project Secretariat. The unit was to be headed by a Project Manager, and the team consists of technical advisors from DEWA, administrative support staff and consultants as required. The PCU responsibilities include project management, organizing meetings of the PSC and STAC, liaison with the component coordinating units, and liaison with UN Environment/GEF and GEF.

[32] Section updated based on the feedback from the UN Environment Task Manager during the preparation of this TOR.

125. As per the ProDoc, the organisations responsible for each component were to establish **component coordination units** to liaise with the core and thematic partners and data providers within their respective components; provide a focal point of contact between and among components; liaise with the UN Environment PCU on the implementation of the component and execution of activities; coordinate inputs to the data and information systems established under the project and to the integrated global assessment as required.

5 Project Cost and Financing[33]

Table 2 below summaries the project budget and the funding sources at the design stage.

Table 2. Summary of project funds at design

Cost to the GEF Trust Fund	USD	%
	5,000,000	13.6
Co-financing		
Cash		
DEWA	1,790,500	4.9
River Component under DHI	126,500	0.3
TBA component under UNESCO-IHP	4,800,000	13.0
Lakes component under ILEC	418,000	1.1
LME component under UNESCO-IOC	1,969,000	5.3
OO component under UNESCO-IOC	2,993,416	8.1
Government of Finland	1,019,000	2.8
Sub-total	**13,116,416**	**35.5**
In-kind		
River Component under DHI	6,065,231	16.5
TBA component under UNESCO-IHP	6,314,000	17.1
Lakes component under ILEC	804,000	2.2
LME component under UNESCO-IOC	2,356,000	6.4
OO component under UNESCO-IOC	3,208,166	8.7
Sub-total	18,747,397	50.9
Total	**36,863,813**	**100.0**

6 Implementation Issues

[33] Source: November 11, 2012 - DRAFT 40 - Annex 1: Project Document

The GEF had originally planned to allocate USD 15 million to the TWAP Full-size project. While ultimately the scope of the assessment was downsized to USD 5 million, this evaluation need to consider possible missed opportunities of such budget reduction.

The project has also gone through several extensions and at the time of the TOR development, the project is winding down, finalising all of its publications and attending to project closure matters. The project does not have a planned follow-up project and, therefore, issues of sustainability and long term impact are of particular interest and importance.

II TERMS OF REFERENCE FOR THE EVALUATION

1 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) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

Ratings. All evaluation criteria will be rated on a six-point scale. Section 4, below, outlines the scope of the criteria and the ratings table in Annex 1 provides guidance on how the different criteria should be rated. A weightings table will be provided in excel format to support the determination of an overall project rating.

Baselines and counterfactuals. In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

The "Why?" Question. As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the "*Why?*" question should be at the front of the consultants' minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of "*what*" the project performance was, and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was. This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain "*why things happened*" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "*where things stand*" at the time of evaluation.

A key aim of the evaluation is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

Communicating evaluation results. Once the consultant(s) has obtained evaluation findings, lessons and results, the EOU will share the findings and lessons with key stakeholders. Evaluation results should be communicated to key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

2 Objective and Scope of the Evaluation

In line with the UN Environment Evaluation Policy[34] and the UN Environment Programme Manual[35], the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, DEWA and other executing partners as well as GEF.

There isn't a planned follow-on project for TWAP. Nevertheless, the evaluation will identify lessons of operational relevance for future project formulation and implementation of similar assessments projects.

3 Key Strategic Questions

In addition to the evaluation criteria outlined in section 4, the evaluation will address the **strategic questions** listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

To what extent have the project deliverables (TWAP methodologies/ assessments/ datasets/ policy summaries) been utilized, or are likely to be utilized, by the key partners and other stakeholders (including UNEP, GEF and Word Bank)?

To what extent has the project contributed and is expected to contribute to policy processes concerning transboundary water issues at different levels (national/regional/global)?

How can the TWAP results/indicators be best utilized to inform the SDGs or assist organizations and countries to report on the SDGs?

How will the TWAP results and outcomes be sustained after project completion? How can the implementing and executing agencies as well as GEF promote and support the continuous use of the TWAP methodologies/assessment/datasets/policy summaries?

What are the key lessons that can be learned from the TWAP implementation considering the future assessment processes of UN Environment?

4 Evaluation Criteria

The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the achievement of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

A Strategic Relevance

[34] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx

[35] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

The evaluation will assess, in line with the OECD/DAC definition of relevance, '*the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor*'. The evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

A1.Alignment to the UN Environment Medium Term Strategy[36] (MTS) and Programme of Work (POW)

The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

A2.Alignment to UNEP/GEF/Donor Strategic Priorities

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building[37] (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology, and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

A3.Relevance to Regional, Sub-regional and National Environmental Priorities

The evaluation will assess the extent to which the intervention is suited or responding to the stated environmental concerns and needs of the countries, sub-regions or regions. Even if this is a global project, the evaluation should consider how different regional priorities have been taken into account. Examples may include: national or sub-national development plans, poverty reduction strategies or other regional agreements etc.

A4.Complementarity with Existing Interventions

An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of on-going and planned initiatives (under the same sub-programme, other UN Environmentsub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Executing partners made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include One UN programming, other GEF initiatives OR strategies/programmes of the Executing partners. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

B Quality of Project Design

[36] UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.
[37] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. This overall Project Design Quality rating is entered in the final evaluation ratings table as item B.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

C. Nature of External Context

At evaluation inception stage a rating is established for the project's external operating context (considering the, natural disasters or political upheaval that could influence the implementation of some project components). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, the overall rating for Effectiveness may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

D Effectiveness

D1. Achievement of Outputs

The evaluation will assess the project's success in producing the programmed outputs (products and services delivered by the project itself) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. The achievement of outputs will be assessed in terms of both quantity and quality, and the evaluation will consider usefulness and the timeliness of their delivery. The evaluation need to apply appropriate criteria to assess the quality aspects of the TWAP assessment products (such as 'salience', 'credibility' and 'legitimacy'[38]).

The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision[39]

D2.Achievement of Direct Outcomes

The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed[40] Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. The evaluation should report evidence of attribution between UNEP's

[38] UNEP Evaluation office can provide further guidance regarding the assessment process criteria

[39] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

[40] UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's contribution should be included.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness
- Catalytic role and replication

D3.Likelihood of Impact

Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact – see Annex 2), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. The Evaluation Office's approach is outlined in detail in the Approaches Guidance available on the EOU website, http://web.unep.org/evaluation/. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described. The aspects of *Replication and scaling up* of the project results should be considered when developing the TOC.

The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards[41] if applicable.

Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UNEP's Expected Accomplishments, the Sustainable Development Goals[42] and/or the high level results prioritised by the funding partner (e.g. GEF focal areas).

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness
- Catalytic role and replication

E. Financial Management

Financial management will be assessed under three broad themes: completeness of financial information, communication between financial and project management staff and compliance with financial management standards and procedures. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level/executing partners and will be compared with the approved budget. The evaluation will assess the level of communication between the project manager and the fund management officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management

[41] Further information on Environmental, Social and Economic Safeguards (ESES) can be found at UNEP webpage
[42] A list of relevant SDGs is available on the EO webpage

policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

This section will clearly define co-financing/parallel funding sources and present the realized figures where possible.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

Under efficiency the evaluation will assess the cost-effectiveness and timeliness of project execution. Cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at a lower costs compared with alternatives. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe.

The evaluation will give special attention to efforts by the project teams 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 project efficiency. The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision
- Stakeholders participation and cooperation

G. Monitoring and Reporting

The evaluation will assess monitoring and reporting across three sub-categories: 'project reporting'; 'monitoring design and budgeting' and 'monitoring implementation'.

G1.Project Reporting

This section will assess the quality and timeliness of the project reporting as per set requirements. The evaluation will assess GEF Project Implementation Reports (PIRs) and any other additional requirements to report regularly to funding partners by the project team/executing partners. The evaluation will assess the extent to which both UN Environmentand donor reporting commitments have been fulfilled.

G2.Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART indicators towards the achievement of the projects outputs and direct outcomes. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The evaluation will also identify whether the project/partners have established any system to monitor the future utilization of the TWAP products / data.

G3.Monitoring Implementation

The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

Factors affecting monitoring and reporting criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity

H. Sustainability

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved outcomes. Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention.

1. Socio-political Sustainability

The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among governments and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

2. Financial Sustainability

Some direct outcomes, once achieved, do not require further financial inputs, e.g. a decision to formally revise a policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. The question still remains as to whether the future project outcomes will be financially sustainable.

3. Institutional Sustainability

The evaluation will assess the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. Considering the TWAP objective statement (see para 8), the evaluation need to consider to what extent formalisation of the partnership with key institutions was achieved and is expected to support sustainability of the project.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness
- Country ownership and driven-ness
- Catalytic role and replication

I Factors and Processes Affecting Project Performance

(These factors are rated in the ratings table, but are discussed as cross-cutting themes as appropriate under the other evaluation criteria, above)

1. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project. The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements.

2. Quality of Project Management and Supervision

In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environmentto implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP.

The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environmentcolleagues; risk management; use of problem-solving; project adaptation and overall project execution.

3. Stakeholder Participation and Cooperation

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise.

In this particular evaluation attention should be paid to the stakeholders such as GEF and others that could be considered as users of TWAP products, and consider to what extent the stakeholder participation supported the potential use of TWAP output. Another important aspect is the cooperation between different TWAP assessment components that were managed by different partners.

4. Responsiveness to Human Rights and Gender Equity

The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment.

In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

5. Country Ownership and Driven-ness

The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project to the relevant extent. The evaluation will consider especially consider those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised.

6. Communication and Public Awareness

The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

The evaluation will pay attention to what extent these communication and awareness building activities help to raise awareness and understanding of transboundary water issues and problems among key target audiences (such as GEF Secretariat and GEF Council, UNEP, Scientific and Cultural Organisation (UNESCO), Regional organizations and National governments).

5. Overall Approach and Methods

The TE of the Project will be conducted by independent consultants under the overall responsibility and management of the Evaluation Office of UN Environment(EOU) in consultation with the UN EnvironmentTask Manager, involving the Sub-programme Coordinators of the relevant UN Environmentsub-programmes (Ecosystems management and Environmental Governance) as deemed necessary.

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 project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

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

(a) A **desk review** of:

Relevant background documentation including

- evaluation report of the GEF Medium sized project (the first phase of TWAP) entitled: “Development of the Methodology and Arrangements for the GEF Transboundary Waters Assessment Programme (TWAP)” and other relevant documentation concerning past water assessment projects;
- background documentation concerning transboundary water management issues (including Millennium Ecosystem Assessment (and other relevant publications defined by the project team);
- relevant global policy frameworks (such as agenda 2030/SDG framework);
- Guidelines, studies and lessons concerning environmental assessment processes;

Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets, revisions to the project (Project Document Supplement), the logical framework(s);

Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners and other executing agencies, including official financial statements;

Agreements with partners, contractors and other stakeholders;
PSC meeting minutes, meeting agendas and presentations;
List of stakeholder meetings, related agendas, background materials and presentations;
Project deliverables: TWAP reports and related summaries /communications materials (and content available at http://www.geftwap.org/)
Available documentation regarding the TWAP peer review process;

Interviews (individual or in group) conducted face-to-face or by phone/skype with:
UN Environment Task Manager;
Project management team;
UN Environment Fund Management Officer;
UN Environment sub-programme coordinators, and thematic focal points (water sector);
GEF contact persons;
Project partners, including executing partners; UNESCO-IHP, ILEC, UNEP-DHI partnership, and IOC-UNESCO
End-users of the TWAP products (reports/data) as defined in the stakeholder analysis during the inception phase
Other relevant resource persons identified in the inception phase;

Surveys (as agreed in the inception phase);
Evaluation missions (Washington or other agreed location depending on the upcoming stakeholder meetings);
Other data collection tool as defined in the inception phase.

A. Evaluation Deliverables and Review Procedures

The evaluation team will prepare:

- **Inception Report:** (see Annex 3 for Inception Report outline) containing an assessment of project design quality (Annex 4), a draft reconstructed Theory of Change of the project, project stakeholder analysis[43], evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** (see Annex 5 for Evaluation Report outline) containing an executive summary that can act as a stand alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- **Evaluation Bulletin:** a 2-page summary of key evaluation findings for wider dissemination.

Review of the draft evaluation report. The evaluation team will submit a zero draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions.. Once a draft of adequate quality has been accepted, the Evaluation Manager will share the first draft report with the Task Manager, who will alert the EO in case the report contains any blatant factual errors. The Evaluation Manager will then forward the first draft report (corrected by the evaluation team where necessary) to other project stakeholders,

[43] The evaluation needs to identify the role of different stakeholders and networks in terms of TWAP implementation as well as how they will be informing the evaluation.

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 as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to the draft report will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response .

The UN Environment 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 Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UN Environment Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager 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 6.

At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Task Manager. The EOU will track compliance against this plan on a six monthly basis.

B Logistical arrangements

This TE will be undertaken by one independent evaluation consultant contracted by the UN Environment Evaluation Office. The consultants will work under the overall responsibility of the UN Environment Evaluation Office and will consult with the EO 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 UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

C. The Consultants' Team

The Evaluation Consultant will be hired over the period 01/07/2017 - 01/01/2018. (S)He will be responsible for the overall evaluation process, in close consultation with the UN Environment Evaluation Office. (S)He will be responsible for the evaluation design, data collection and analysis as well as of timely delivery of the evaluation deliverable as described in the overall TORs of the evaluation.

The Evaluation Consultant should have 20 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making; Broad understanding of transboundary water issues; Advanced university degree in international development, environmental sciences or other relevant political or social science areas; knowledge of the UN system, and specifically of UN Environment if possible; excellent writing skills in English;

By undersigning the service contract with UN Environment/UNON, the consultants certify that they have not been associated with the design and implementation of the project 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.

Schedule of Payment:

Deliverables (see annex 1 for requirements)	Percentage payment

Submission and approval of Inception report (as per document 7 of annex 1)	30 % of fees
Submission and approval of the draft evaluation report (as per document 13 of annex 1)	35 % of fees
Submission and approval of the final evaluation report (as per document 13 of annex 1)	35 % of fees

D. Schedule of the evaluation

Table 3 below presents the tentative schedule for the evaluation.

Table 3. Tentative schedule for the evaluation

Milestone	**Deadline**
Contractual procedures	June 30
Desk review and inception interviews	August 21
Inception Report (first submission)	August 14
Inception Report (final submission)	August 21
Evaluation mission (date and place depend on the stakeholder availability/upcoming stakeholder meetings)	October 15
Evaluation interview and surveys (timing of the survey depends on the other key dates of the evaluation	October 30
Note on preliminary findings and recommendations (following the mission)	November 15
Draft report to EOU (first version)	November 15
Draft Report shared with UN Environment Task Manager and Project Team and Stakeholders	December 15
Final Report	January 1

ANNEX 3: PERSONS INVOLVED IN THE EVALUATION

Joana	Akrofi	UN Environment
Diana	Allen	Simon Fraser University (SIDS)
Alice	Aureli	UNESCO-IHP (TBA)
Francesca	Bernardini	UNECE Water Convention Secretary
Maija	Bertule	UN Environment – DHI (Rivers)
Peter	Bjornson	UN Environment – DHI (Rivers)
James	Dalton	IUCN (rivers)
Patrick	Debels	PM of GEF CLME+ project
Petra	Doll	University of Frankfurt (TBA)
Aurelien	Dumont	UNESCO-IHP (TBA)
Martina	Florke	University of Kassel (Rivers)
Jesus	Gago	Open Oceans
Paul	Glennie	UN Environment – DHI (Rivers)
Pamela	Green	CUNY (Rivers)
Claudia	Herbert	University of Frankfurt (TBA)
Astrid	Hillers	GEF Secretariat
Robin	Mahon	CERMES (Governance)
Nada	Matta	UN Environment Science Division
Liana	McManus	TWAP Project Manager
Andrea	Merle	(TBA)
Joyce	Ngugi	UN Environment Science Division
Geert-Jan	Nijsten	IGRAC (TBA)
Trevor	Platt	Open Oceans
Walter	Rast	ILEC
Jill	Raval	UN Environment
Elizabeth	Selig	NIVA (OO)
Christian	Severin	GEF Secretariat
Gilles	Sommeria	Former WCRP, (OO)
Carol	Turley	PML (OO)
Kaisa	Uusimaa	UN Environment Science Division
Isabelle	Vanderbeck	UN Environment (Task Manager)
Yegor	Volovik	UN Environment (Ecosystem Division)
Charles	Vorosmarty	CUNY (Rivers)
Christopher	Warner	World Bank
Ivan	Zavadsky	Executive Secretary ICPDR

ANNEX 4: FINANCE TABLES

Details of Co-financing contributions

Co-financing for Component 1: Transboundary Aquifers and SIDS Groundwaters

Co-financing source	Planned (US$)	Actual (US$)
UNESCO-IHP	600,000	600,000
UNECE	200,000	200,000
SADC	3,000,000	3,000,000
FAO	400,000	400,000
IGRAC	600,000	600,000
UN WWAP	300,000	300,000
ECCAS	500,000	500,000
SDC (cash)	4,800,000	2,500,000
UNESCWA	75,000	75,000
BGR	378,000	378,000
Simon Fraser University	4,600	4,600
ECOWAS	20,000	20,000
University of Arizona	16,400	16,400
UNESCO Chair INWEB	15,000	15,000
Research Institute of Humanity and Nature (Kyoto)	30,000	30,000
OAS	100,000	100,000
University of Frankfurt	15,000	15,000
University of Western Cape & UNESCO Chair	50,000	50,000
International Association for Water Law	10,000	10,000
TOTAL	**11,114,000**	**8,814,000***

* The planned SDC co-financing work (3 pilots on transboundary aquifers) had not been completed by the end of the substantive work of the TWAP component in 2015. The remaining SDC resources were spent after the conclusion of this project, although prior to the financial closure of the TWAP project.

Co-financing for Component 2: Transboundary Lakes and Reservoirs

Co-financing source	Planned (US$)	Actual (US$)
ILEC – (Cash)	321,000	372,600
Texas State University (cash)	36,000	36,000
Corazon de la Tierra (cash)	2,000	2,000
International Environmental Management Services	100,000	100,000
ILEC	470,000	500,000
Texas State University	95,000	142,500

Shiga University	170,000	220,000
Corazon de la Tierra	28,000	33,000
TOTAL	**1,222,000**	**1,348,600**

Co-financing for Component 3: Transboundary Rivers

Co-financing source	**Planned (US$)**	**Actual (US$)**
UN Environment – DHI (Cash)	20,000	207,760
UN Environment	680,000	680,000
IUCN (cash)	31,500	43,888
SIWI (cash)	75,000	76,843
SIWI	150,000	150,000
CESR	950,000	950,000
CUNY	795,000	795,000
CIESIN	1,200,000	1,200,000
IGBP	625,000	625,000
OSU	450,000	450,000
TOTAL	**6,191,731**	**6,393,722**

Co-financing for Component 4: Large Marine Ecosystems (LMEs)

Co-financing source	**Planned (US$)**	**Actual (US$)**
UNESCO-IOC (cash)	179,741	179,741
UNESCO-IOC	2,234	2,234
Pew Foundation	1,000,000	1,000,000
University of British Colombia (cash)	729,391	1,058,782
NOAA (cash)	276,000	326,000
GESAMP (cash)	37,500	37,500
CMAP (cash)	390,000	390,000
CMAP	1,825,000	1,825,000
Plastics Europe (cash)	15,000	15,000
UN Environment World Conservation and Monitoring Centre (cash)	90,000	90,000
CERMES	11,000	11,000
IGBP	50,000	50,000
France (through IOC)	-	22,000
Norway (through IOC)	-	20,000
TOTAL	**4,605,866***	**5,027,257**

* total presented in the LME final report

Co-financing for Component 5: Open Oceans

Co-financing source	**Planned (US$)**	**Actual (US$)**
UNESCO-IOC (cash)	301,669	499,826
UNESCO-IOC	1,255	1,255

EU 7th Framework project GEOWOW (cash)	1,258,581	1,258,581
University of Santa Barbara (cash)	390,000	390,000
University of Santa Barbara	1,825,000	1,825,000
GESAMP (cash)	9,457	9,457
GESAMP	75,000	75,000
American Chemical Society (cash)	14,591	14,591
Plymouth Marine Laboratory (cash)	91,102	133,785
Plymouth Marine Laboratory	78,471	222,942
SAHFOS (cash)	15,609	15,763
SAHFOS	121,362	122,558
University of British Colombia (cash)	1,729,291	2,258,682
CERMES	23,000	23,000
WMO-ICSU-IOC World Climate Research Program	71,046	82,092
TOTA	**6,005,434***	**6,932,532**

Total as presented in OO final report

Plus - Unquantified inputs from NOAA and European Space Agency

Financial Management Assessments Table

NON-GEF AND GEF PROJECTS			
Financial management components:		**Rating**	**Evidence/ Comments**
1. Questions relating to financial management across the life of the project:			
Timeliness of project financial reports and audits		S	As reported in section 5.4.1
Contact/communication between the PM/TM & FMO		S	As reported in section 5.4.2
PM/TM & FMO responsiveness to addressing and resolving financial issues		S	As reported in section 5.4.2
2. Questions relating to financial information provided during the evaluation:			
Provision of key documents to the evaluator (based on the provision of A-F below)		S	
A.	An up-to-date 'Co-financing and Project Cost's table	Y	Reported in section 3.6 and annex 4
B.	A summary report on the project's annual financial expenditures during the life of the project.	Y	Summary of expenditures presented in Table 3

C.	Financial documents from Mid-Term Evaluation/Review (where appropriate)	N/A	Internal management review undertaken (summary in Annex 7)
D.	All relevant project legal agreements (e.g. SSFA, PCA, ICA) – where appropriate	Y	
E.	Associated financial reports for legal agreements (where applicable)	N/A	
F.	Copies of any completed audits	Y	Audits did not reveal any issues to be addressed
Demonstrated knowledge by the PM/TM & FMO of partner financial expenditure		S	Strong project management indicated throughout report
PM/TM & FMO responsiveness to financial requests during the evaluation process		S	
Overall rating		**S**	**Section 5.4**

ANNEX 5: DOCUMENTS CONSULTED

1. Project Concept (PIF)
2. PRC report
3. Project Document with annexes (including results framework)
4. CEO Endorsement Document
5. MSP Terminal Evaluation
6. Inception reports
7. PSC Minutes
8. Project Outputs (Main technical reports, policy maker summaries, cross-cutting synthesis report, global compendiums)
9. MTMR
10. Project Sustainability Report
11. PIRs (2014, 2015 and 2016)
12. Website and web usage data
13. Component and project financial reports (GEF grant, co-financing, audits)
14. Presentations and brochures prepared for global meetings

ANNEX 6: - GEF TWAP PROJECT COMPONENTS, OUTCOMES, SUB-OUTCOMES AND OUTPUTS

Components	Outcomes	Sub-outcomes	Number of main outputs
1 Transboundary Aquifers (TBA) and SIDS Groundwater Systems	Improved review of the state of the transboundary aquifer/lake/river/LME/open ocean, through a sustainable periodic assessment process, linked to regular assessment programmes of the partners	**Outcome I.1**: Improved strategic focus and cost-effectiveness of investments of GEF and other international agencies and programmes, based on a solid scientific foundation. **Outcome I.2:** Improved country capacity to manage transboundary aquifers by using TWAP TBA assessment methodology. **Outcome I.3**: Improved review of the state of transboundary water concerns in TBAs through a periodic sustainable assessment process linked to regular assessment programmes. **Outcome 1.4:** A network of informed stakeholders technically ready to implement periodic assessments.	6
2 Lakes/ reservoirs		**Outcome II.1.1**: Increased data, knowledge and understanding regarding status of transboundary lakes at risk, their basins and their assessment and management challenges. **Outcome II.1.2:** Guidance regarding specific aspects of lake assessment and management related to GEF's TDA/SAP process for IW and their basins, as well as non-GEF water systems on a global scale. **Outcome II.2.1**: Mechanism for conducting periodic comparable lake basin assessments. **Outcome II.2.2**: Appropriate management of and access to lake basin data and information. **Outcome II.3.1**: Lake sub-project is effectively managed and produces credible results.	7
3 Rivers		**Outcome III.1:** Improved review of the state of water concerns in transboundary river systems through a sustainable periodic assessment process linked to regular assessment programmes of the partners.	2
4 LMEs		**Outcome IV.1**: Improved strategic focus and cost-effectiveness of investments of GEF and other international stakeholders based on a credible/valid scientific foundation **Outcome IV.2**: Improved country capacity to assess and manage LMEs adoption of standard assessment methodology and assessment results. **Outcome IV.3:** Improved review of the state of transboundary water concerns in LMEs through a periodic sustainable assessment process linked to regular assessment programmes.	4

Components	Outcomes	Sub-outcomes	Number of main outputs
		Outcome IV.4: Efficient delivery of sub-project outputs and effective communication and information dissemination.	
5 Open Oceans		**Outcome V.1:** Enhanced global cooperative management action on environmental issues involving the open ocean and affecting human wellbeing. **Outcome V.2** Improved strategic focus and cost-effectiveness of investments of GEF and other international agencies and programmes. **Outcome** V.**3** Improved review of the state of the open ocean through a periodic sustainable assessment process linked to regular assessment programmes. **Outcome V.4** Efficient delivery of project outputs, and effective data and information dissemination.	6
6 Cross-cutting issues	Improved understanding of transboundary water governance architecture and Improved capacity to compare the cross-cutting social and economic features of human-water interactions across and within the five transboundary water systems.	**Outcome VI.1**: Improved understanding of transboundary water governance architecture. **Outcome VI.2**: Improved capacity to compare the cross-cutting social and economic features of human-water interactions across and within the five transboundary water systems.	6
7 Data and information management	Improved availability and accessibility of consistent data and indicators on transboundary water systems, including targeted, customized information products available for stakeholders and mainstreaming into policy-making	**Outcome VII.1.1**: Improved availability and accessibility of consistent data and indicators on transboundary water systems for use by TWAP stakeholders and the wider public. **Outcome VII.1.2:** Availability of TWAP Project Information, connected to the International Waters Learning Exchange and Resource Network – IW:LEARN. Improved knowledge management with compiled knowledge and experiences about the project shared with other GEF projects and GEF Sec. **Outcome VII.2.1:** Targeted, customized information products available for stakeholders and mainstreaming into policy-making.	7

Components	Outcomes	Sub-outcomes	Number of main outputs
Number of outcomes/ outputs	**7**	**22**	**38**

ANNEX 7: MID-TERM MANAGEMENT REVIEW, PART 1:

Mid-Term Management Review Criteria Rating and Report Matrix, 4 August 2014

Criterion	*Summary Assessment*	*Rating*
A. Attainment of project objectives and results		**S**
1. Effectiveness	The project is well on track to achieve its overall goals	S
2. Relevance	All partners have international recognition and their work in TWAP will provide additional opportunities. Both the methods and assessment products of TWAP may be used to seed similar transboundary waters assessment efforts at national and regional scales. It is envisioned that existing partnerships where geographic representation is limited may be broadened in subsequent assessments.	S
3. Efficiency		S
B. Sustainability of project outcomes	The utility of TWAP products assumes that capability to use current assessment data and to implement the methods in subsequent assessments exists. As assessment requires technical expertise, this should be considered, and which may be addressed by subsequent projects on capacity building.	**S (Too early to assess)**
1. Financial	Quite uncertain as there is no confirmed partners' commitment for financial support to date. Assessment of transboundary waters is not a core funded activity of UNEP nor of its partners	MS (too early to assess)
2. Socio-political		NA
3. Institutional framework	Partnerships are in place but these are bound at the project level, and highly dependent on external project support. Confirmed partners' commitment remain to be confirmed and a recurring periodic assessment is not core funded by UNEP or by its partners.	MS (too early to assess
C. Catalytic role	TWAP work has been focused at global comparisons among shared water bodies within a water system at the global level. There exist all possibilities to scale down the methods and indicators to be relevant at basin, national and and regional scales. TWAP has a good set of experiences for assessment do's and don'ts.	**S**
D. Stakeholders involvement	The TWAP components engaged various stakeholders during the conducts of the assessments in varying degrees. The Groundwater and Lakes components conducted regional meetings to engage data providers at national scales. The LME and Open Ocean components are involved with the World Ocean Assessment, although asynchronies in the delivery of assessment products have not provided full utility of TWAP products. The recent enactment of the European Waterways Convention is a strategic opportunity for the involvement of the Rivers component in providing baseline assessments of	**MS**

Criterion	*Summary Assessment*	*Rating*
	transboundary rivers. At project management level, the direct involvement of the GEF IW Secretariat is appropriate in determining eligibilities of various countries and regional bodies for GEF funding.	
E. Achievement of outputs and activities	The 24-month project life cycle was defined to commence in April 2013 and to end in March 2015. This was done in order to allow for the proper cross-component synthesis to be done which was not envisaged in the project document. Original concept was for components to conduct independent assessments. The PSC decided that such would not reflect the true value of a global assessment which should indicate synergies and data gaps on interactions that a Level 1 Global Assessment could not address.	**S**
F. Preparation and readiness	The TWAP project is relatively well prepared with little gap between the MSP and FSP phases, so that there was little momentum lost. However, the time frame to undertake a global assessment is too short with no adjustments in the global scales of assessment. The overall reduction in funding envelope did not leave room for such adjustments. The Medium Term Management Review was not properly provided guidance neither in process nor in resources in the project document.	**MS - S**
G. Implementation approach	The project implementation is technical in approach with no provision for stakeholder participation in the preparation of the methodology and in the vetting of the results. Given a much-reduced budget, there is no provision for capacity building for database design and use, and indicator assessment. Subsequent projects may consider using GEF IW LEARN as platform to engage non-technical stakeholder groups.	**MS**
H. Financial planning and management	*See Annex I: Expenditure Summary 1 April – 31 December 2013 (GEF & CF)*	**S**
I. Monitoring and Evaluation		
1. M&E Design	The project follows UNEP monitoring, reporting and evaluation processes and procedures, and the project M&E design is consistent with the GEF Monitoring and Evaluation policy. The indicators and the key outputs in the Project Results Framework serve as the main tools for evaluating project implementation progress, as well as mid-term and end-of-project evaluation. The mid-term management review was not clearly described in the project document, but an approach similar to the final evaluation was adopted. Financial reporting requirements were changed to half-yearly during the inception phase, instead of quarterly.	S

Criterion	*Summary Assessment*	*Rating*
2. M&E Plan Implementation	M&E Activities implemented 01 April – 31 December 2013: **Substantive and financial project reporting:** • **Inception Report**, with over-all and individual component costed workplans and time-tables (June 2013) • **GEF Project Implementation Review (PIR) FY 2013** and half-yearly expenditure statements (July 2013) • **Substantive Interim Progress Reports** (October 2013) • **PSC Report: GEF TWAP FSP Second PSC Meeting**, with revised and approved annual costed workplans (November 2013) • **Annual Report 2013**, consisting of (1) Half-yearly Progress Report, (2) Half-yearly Expenditure Statements (3) Activity-based Expenditure Statement 2013 for GEF and Co-financing (January 2014) **Meetings:** • **Scientific and Technical Advisory Panel (STAC) Meeting** (17 September 2013). • **The Second Project Steering Committee (PSC) Meeting** (1-3 November 2013, Bridgetown, Barbados). • **PSC teleconferences** to review the progress and discuss various cross-component issues. These teleconferences have been held: 23 July 2013, 3 October 2013, 6 February 2014, 16 May 2014 (Synthesis Writing Group) and 19 May 2014. • Exchanges between the GEF Secretariat and the TWAP Consortium to ensure that the TWAP Products best serve the GEF Secretariat, the GEF IW Community, such as teleconferences and a plenary session at the IWC7 to receive guidance from the IW community.	S
K. Complementarity with UNEP strategies and programmes	Mandated by UNEP's Governing Council, UNEP is developing an open platform called UNEP Live for global, regional and national environmental assessment and data-sharing. TWAP will provide data and indicators for the interactive platform. The project is also closely collaborating with the ITC component of the GEF IW:LEARN project and the two data systems will be linked. TWAP contributes to the overall implementation of the UNEP Water Policy Strategy, which provides an integrated assessment approach to address freshwater and coastal/marine water issues. The results will be used to contribute to the global assessments of UNEP and the assessment methodologies adapted to regional and national level. DEWA is contributing to the project 313: Capacity building for governments and stakeholders to implement integrated water resources management (IWRM) under PoW 2014/15 SP 3 EA (a). Discussions with current TWAP partners (ILEC, Volta Basin Authority, UNEP-DHI and GRID) have started for a project	S

Criterion	*Summary Assessment*	*Rating*
	proposal for an in-depth scientific assessment of the Volta Lake/River Basin.	

ANNEX 8: CONSULTANT'S RESUME

Dr Peter Whalley is a physical chemist who has been working in water and environment management for over 25 years. He has extensive experience of developing appropriate water monitoring networks, nutrient management plans, implementing training programmes and providing trans-boundary support in a range of countries. He has been involved with the development, implementation and compliance checking of the EU Water Framework Directive. For the last ten years he has been working on over 20 GEF funded International Waters programmes.

These have included the Danube Regional Project, Tisza River integrated land-water management, Lake Prespa Strategic Action Programme (SAP), Caribbean Large Marine Ecosystem SAP, Amazon, Nubian Aquifer SAP. In addition, he has assisted with project preparation (development of project documents), mid-term and terminal evaluations for a number of GEF IW projects. Specifically, he has been involved in evaluations for GEF International Waters and the Biodiversity Focal Areas including: UNDP Orange River, UNEP/LOICZ Target Research Project, UNEP IWCAM (Caribbean), UNEP/UNDP Pacific IWRM, UNEP Amazon, UNEP Upper Yangtze Biodiversity, UNEP Amazon, UNDP Albania Marine Protected Areas, in addition to evaluation for EU funded activities. For the last four years he has assisted UNDP's Evaluation Office perform annual quality assessments of terminal evaluations.

He has undertaken over 12 GEF mid- and terminal evaluations for IW, BD and multi-focal area projects for UNDP, UNEP, IDB and the World Bank. He has also been a part of the team evaluating the global and regional UNDP Human Development Reports taking the lead on relevant reports relating to water and climate change. Lastly, he was involved for four years assisting UNDP IEO to perform quality assurance checks on terminal evaluations.

ANNEX 9: QUALITY ASSESSMENT OF THE EVALUATION REPORT

Evaluation Title:

Terminal Evaluation of the Project: Transboundary Water Assessment Programme (TWAP)

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to the evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Draft report: n/a Final report:	6
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	Draft report: Final report:	5

II. Evaluation Methods This section should include a description of how the *TOC at Evaluation*[44] was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.	Draft report: Final report: Gender or HR aspects of the evaluation process not covered	5
III. The Project This section should include: • *Context:* Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • *Objectives and components*: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • *Stakeholders:* Description of groups of targeted stakeholders organised according to relevant common characteristics • *Project implementation structure and partners:* A description of the implementation structure with diagram and a list of key project partners • *Changes in design during implementation:* Any key events that affected the project's scope or parameters should be described in brief in chronological order	Draft report: Final report:	6

[44] During the Inception Phase of the evaluation process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

• *Project financing:* Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing		
IV. Theory of Change A summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. *The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.* The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.	Draft report: Further linkages between the logframe and TOC needs to be established Final report: Tables added to illustrate the linkages. The final report with further narrative elaboration of the TOC logic.	5
V. Key Findings A. Strategic relevance: This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: 1. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) 2. Alignment to UN Environment/GEF/Donor Strategic Priorities 3. Relevance to Regional, Sub-regional and National Environmental Priorities 4. Complementarity with Existing Interventions	Draft report: Final report:	6
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?	Draft report: Final report:	6
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (e.g. conflict, natural disaster, political upheaval) should be described.	Draft report: Final report:	n/a
D. Effectiveness **(i) Outputs and Direct Outcomes:** How well does the	Draft report:	6

report present a well-reasoned, complete and evidence-based assessment of the achievement of a) outputs, and b) direct outcomes? How convincing is the discussion of attribution and contribution, as well as the limitations to attributing effects to the intervention.	Final report:	
(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?	Draft report: Further elaboration of the assumptions and drivers to be added Final report: Comments addressed	6
E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management. And include a completed 'financial management' table. Consider how well the report addresses the following: • *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used • *communication* between financial and project management staff and • *compliance* with relevant UN financial management standards and procedures.	Draft report: Table lacking in annex Final report: Table added	6
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.	Draft report: Final report:	5

• The extent to which the management of the project minimised UN Environment's environmental footprint.		
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting (including SMART indicators, resources for MTE/R etc.) • Monitoring implementation (including use of monitoring data for adaptive management) • Project reporting (e.g. PIMS and donor report)	Draft report: Clarification needed to further elaborate the M&E budget. Final report: Text added	5
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including: • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability *(including issues of partnerships)*	Draft report: More clarity on outcome level sustainability Final report: Comments addressed	6
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[45] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness	Draft report: Final report:	5
VI. Conclusions and Recommendations	Draft report:	5

[45] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

i. **Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section? It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Slightly long but overall well elaborated section Final report:	
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Draft report: Final report:	5
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Draft report: Final report:	5
VII. Report Structure and Presentation Quality		
i) **Structure and completeness of the report:** To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Draft report: Annexes to be added Final report:	6
ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does	Draft report: Final report:	6

the report follow Evaluation Office formatting guidelines?		

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.

At the end of the evaluation compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below.

Evaluation Process Quality Criteria	**Compliance**	
	Yes	**No**
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	**X**	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	**X**	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	**X**	
4. Was the evaluator contracted directly by the Evaluation Office?	**X**	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	**X**	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		**X**
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	**X**	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	**X**	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	**X**	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six month period prior to the project's mid-point?	**X**	
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	**X**	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	**X**	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	**X**	
15. Did the project make available all required/requested documents?	**X**	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	**X**	
17. Was adequate support provided by the project to the evaluator(s) in	**X**	

planning and conducting evaluation missions?		
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	**X**	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	**X**	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	**X**	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	**X**	
22. Was the TOC in the inception report peer-reviewed?	**X**	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	**X**	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	**X**	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	**X**	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	**X**	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	**X**	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	**X**	
29. Did the Evaluation Consultant(s) prepare a response to all comments?	**X**	
30. Did the Evaluation Office share all comments and Evaluation Consultant responses with all those who were invited to comment?		**X**[46]

[46] Evaluation Office and the consultant provided their responses only on those comments that were not integrated in the final evaluation report. The responses were only sent to the corresponding commenter, not all that were invited to comment.