

# **TERMINAL EVALUATION REPORT**

## **GOOD PRACTICES AND PORTFOLIO LEARNING IN GEF TRANSBOUNDARY FRESHWATER AND MARINE LEGAL AND INSTITUTIONAL FRAMEWORKS**

**6 December 2012**

**Name of the UNDP/GEF project**

Good Practices and Portfolio Learning in GEF Transboundary Freshwater and Marine Legal and Institutional Frameworks

**UNDP and GEF project ID#s**

PIMS No. 3799 IWMSP

**Evaluation time frame and date of evaluation report**

24 August-25 September 2012 (total of 23 days)

**Region and countries included in the project**

Global

**GEF operational program/strategic program**

Focal area: International Waters

**Executing agency and project partners**

Lead implementing agency: UNDP

*Project partners*

- University of British Columbia, Institute of Asian Research, Vancouver, Canada
- El Colegio de Mexico, Mexico City
- Aquatic Resources Conservation Group

*Representative partners included:*

- Canadian Water Research Society, Vancouver, Canada
- Network for Environment & Sustainable Development in Africa, Cameroon
- Asian America Partnership, Almaty, Kazakhstan
- WWF USA, Washington, D.C., USA
- Gender & Water Alliance
- Department of Foreign Affairs and International Trade Canada
- Columbia Basin Trust
- FAO
- UNDP
- UNEP
- World Bank Institute
- World Bank

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### **Acknowledgements**

The support and cooperation received from those involved in the project, as well as from other stakeholders is gratefully acknowledged.

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## Executive Summary

### Project Summary Table

Project Title:	PIMS 3799 IW MSP: Good Practices and Portfolio Learning In GEF Transboundary Freshwater and Marine Legal and Institutional Frameworks			
GEF Project ID:	00049394		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	PIMS 3799	GEF financing:	950,000	950,000
Country:	Global	IA/EA own:		
Region:	Global	Government:		40,000
Focal area:	IW	Other:	1,207,800	1,260,000
FA objectives, (OP/SP):		Total co-financing:	1,207,800	1,300,000
Executing agency:	UBC	Total project cost:	2,157,800	2,250,000
Other partners involved:	El Colegio de Mexico	ProDoc Signature (date project began):		18 March 2008
		(Operational) Closing date:	Proposed: February 2011	Actual: June 30 2012

### Project Description

The project focused on global governance in respect of international waters and examined both freshwater and marine experiences through the identification, collection, analysis, adaptation and replication of beneficial practices found in the legal and institutional frameworks that govern such waters. The objectives were to strengthen and promote multi-country cooperation, and to enhance transboundary regime development in an eco-systemically sustainable manner. The project attempted to develop a South-South peer network of professionals and practitioners working on all aspects of transboundary waters.

## Evaluation Rating Table

The success of project implementation has been rated on a prescribed scale as follows:

Ratings Scales		
<i>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution:</i>  <b>6. Highly Satisfactory (HS):</b> no shortcomings <b>5. Satisfactory (S):</b> minor shortcomings <b>4. Moderately Satisfactory (MS):</b> moderate shortcomings <b>3. Moderately Unsatisfactory (MU):</b> significant shortcomings <b>2. Unsatisfactory (U):</b> major problems <b>1. Highly Unsatisfactory (HU):</b> severe problems	<i>Sustainability ratings:</i>  <b>4. Likely (L):</b> negligible risks to sustainability <b>3. Moderately Likely (ML):</b> moderate risks to sustainability <b>2. Moderately Unlikely (MU):</b> significant risks to sustainability <b>1. Unlikely (U):</b> severe risks to sustainability <i>Additional ratings where relevant:</i> Not Applicable (N/A); Unable to Assess (U/A)	<i>Relevance ratings:</i>  <b>2. Relevant (R)</b>  <b>1. Not relevant (NR)</b>

## Summary of conclusions, recommendations and lessons

This section presents various conclusions in relation to the design and implementation of the project.

- The project identified a critical need to understand and strengthen the capacity at the national, regional and international levels to deal with complexities associated with managing international waters. The project has successfully developed various products which are valued by stakeholders.
- As a global project with a constituency spread across the globe, the project faced a tremendous challenge in connecting with stakeholders of the diverse regions. The success of regional meetings, especially the meeting held in Stockholm in May 2011, was frequently mentioned to the evaluator by stakeholders.
- The project was meant to develop experiential training tools and identify key features of institutional and legal frameworks. These outcomes need now to be tested and refined. IW: LEARN should have a prominent role in the dissemination of the results of this project and the refinement of the learning tools.
- The lessons learned from the project should inform the GEF portfolio on IW. One of the outcomes of the project was to disseminate lessons from legal and institutional frameworks, including non-GEF projects. Synergies between GEF and non-GEF projects should thus be strengthened.

- Future projects should pay greater attention on the involvement of local experts coming from the Francophone and Portuguese countries of Africa and other regions. One of the outcomes of the project was to ensure the translation of materials into French, Portuguese and Spanish. However, this was not achieved because of the lack of funding during the implementation of the project.
- The gender mainstreaming strategy should be conceived in a comprehensive manner. It is not only a question of ensuring that a certain number of women participate in meetings and workshops. A gender mainstreaming approach looks at the interactions between women and men and aims to ensure that women participate in decision-making processes.



## **Acronyms and Abbreviations**

AIDA: International Association for Water Law

BCLME: Benguela Current Large Marine Ecosystem

GCLME: Guinea Current Large Marine Ecosystem

GEF: Global Environment Facility

IAR: Institute of Asian Research

IW: International Waters

IWC: International Waters Conference

IW: LEARN: International Waters Learning Exchange and Resource Network

LME: Large Marine Ecosystems

NBI: Nile Basin Initiative

PEMSEA: Partnerships in Environmental Management for the Seas of East Asia

SADC: Southern Africa Development Community

UBC: University of British Columbia

UNDP: United Nations Development Programme

UNEP: United Nations Environment Programme

WCPFC: Western and Central Pacific Fisheries Commission

# **1. Introduction**

## **1.1 Purpose of the evaluation**

The purpose of the evaluation is to:

- Assess overall performance against the project objectives as set out in the project document and other related documents;
- Assess project relevance to national priorities, as well as UNDP and GEF strategic objectives;
- Assess the effectiveness and efficiency of the project;
- Critically analyze the implementation and management arrangements of the project;
- Assess the sustainability of the project interventions and consider project impacts;
- Document lessons and best practices concerning project design, implementation and management which may be of relevance to other projects in the country and elsewhere in the world.

## **1.2 Scope & methodology**

The evaluation took place through a literature review as well as through a participatory approach ensuring engagement with counterparts, in particular the Steering Committee, project team, and key stakeholders. The evaluator conducted a field mission to the University of British Columbia in Vancouver, Canada on 24-29 August 2012. The evaluator used interviews as a means of collecting data on the relevance, performance and success of the project. An electronic questionnaire was also sent. A list of individuals who were contacted and interviewed is included in Annex 6 of the report.

## **1.3 Structure of the evaluation report**

The following sections are included in the evaluation report:

- 1) Project description and development context: this section addresses the problems that the project sought to address and the expected results;
- 2) Findings: this section examines project design, implementation and results;

3) Conclusions and recommendations: this section gives recommendations on the follow-up actions to reinforce initial benefits from the project.

## **2. Project description and development context**

### **2.1 Project start and duration**

Start date: January 29, 2008

End date: January 31, 2013

### **2.2 Problems that the project sought to address**

Nearly half of the world's population will soon live within one of the planet's 261 international river basins and will be dependent upon their surface and groundwater resources. Increasing migration to the world's coastal areas continues to place growing demands on adjacent marine ecosystems which are crucial to the livelihoods, health and food security of coastal states. Good governance of international waters is crucial to meeting the challenges of prosperity building, public health and environmental sustainability set by the Millennium Development Goals. Moreover, there is a pressing need for more effective and adaptive legal and institutional frameworks to address the complexities associated with managing international waters and, in particular, to resolve challenges relating to priority transboundary issues such as land and marine based pollution, competing and conflicting uses of water resources, sustaining fisheries, mitigating invasive species and developing adaptive decision-making structures to meet the challenges associated with global climate variability and change. The GEF has funded a significant number of international water projects (GEF IW). Regrettably there continues to be a dearth of knowledge regarding the quality and efficacy of transboundary legal and institutional arrangements in these projects. No large scale review has been conducted regarding their effectiveness in meeting management goals. Moreover, there are differing levels of institutional and legal arrangements in various projects: some projects have agreements and protocols, while others lack formal agreements between the states. After 20 years of funding, it was considered an opportune time to review and assess the functionality of formal and informal legal and institutional arrangements within, and beyond, the GEF IW portfolio. This review and assessment transcended ecosystem classification to cover both marine and freshwater systems while addressing widespread historical failures to integrate surface and groundwater management and also to integrate governance of

freshwater and coastal/marine water resource systems. Programs like GEF's IW: LEARN have assisted greatly in promoting peer learning among GEF projects. However, key gaps persisted, especially in the areas of reporting, collecting and adapting beneficial practices, and in strengthening local delivery of targeted experiential learning.

### **2.3 Immediate and development objectives of the project**

The objective of the project was to foster good governance and effective decision-making in international waters' management through adaptation and replication of beneficial practices that focus on effective and functional legal and institutional frameworks for cooperation.

### **2.4 Baseline Indicators established**

Project performance has been measured based on the Project Logical Framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation covered the criteria of: relevance, effectiveness, efficiency, sustainability and impact. Rating is provided on the performance criteria. A completed table is included in the evaluation executive summary.

### **2.5 Main stakeholders**

The main stakeholders were the following:

#### **United Nations Development Programme**

UNDP is the UN's global development network, an organization advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. It is on the ground in 166 countries, working with them on their own solutions to global and national development challenges. As they develop local capacity, they draw on the people of UNDP and its wide range of partners.

## **IAR-UBC**

The Institute of Asian Research at the University of British Columbia houses the International Waters Initiative, which is an applied research project dedicated to enhance institutional and legal arrangements for better management of water resources.

## **El Colegio de Mexico**

The LEAD institute in the Centre for Advanced Studies in Sustainable Development and Environment is dedicated to promoting cooperation globally between professionals working in resource management, law and social development.

## **GEF**

The Global Environment Facility (GEF) unites 180 member governments — in partnership with international institutions, nongovernmental organizations, and the private sector — to address global environmental issues. One of the main areas of interest is international waters. It is the principal contributor and supporter of this project.

## **IW: LEARN**

IW: LEARN is the Global Environment Facility's (GEF) International Waters Learning Exchange and Resource Network. GEF IW: LEARN aims to strengthen International Waters Management (IWM) by facilitating structured learning and information sharing among stakeholders. In pursuit of this global objective, IW: LEARN improves GEF IW projects information base, replication efficiency, transparency, stakeholder ownership and sustainability of benefits.

## **White & Case LLP**

White & Case LLP, a leading international law firm, advises clients on complex, ground-breaking issues in almost every area of law across emerging and established markets.

Other stakeholders were:

## **Université de La Rochelle (France)**

## Canadian Water Research Society

### 2.6 Expected Results

The expected results were:

**An identification and analysis of legal and institutional beneficial practices in international waters**, in order to increase the understanding and knowledge of the frameworks necessary for conservation, good governance and wise decision-making.

**The development and validation of new experiential learning tools and teaching guides**, in order to establish a cohort of local experts to enable tool delivery. Tools included case studies, negotiations, role play simulation exercises and a website.

**The development of local expertise in training and tool delivery**, in order to ensure replication and to develop local ownership and control of the tools.

### 3. Findings

The findings include a descriptive assessment and a rating.

Strategic Area of Support	Outcomes		Assessment level of achievement	
	Intended outcomes	Indicators	According to coordinator	Evaluator's observations
<i>1.1 Identify and analyse successful approaches to governance of international waters (IW) within and beyond the GEF portfolio, and define performance measures for legal and institutional arrangements in cooperative regime building</i>	A clear understanding of institutional and decision making frameworks that provide effective governance of international water resources, with a particular focus on those elements which developing country practitioners find most beneficial.	(i) Identification of common elements of 'good governance' in marine and freshwater systems; (ii) Analysis vetted by Southern practitioners as well as international experts; (iii) Analysis conducted on up to	- Identification of common elements of good governance mainly through three regional and other types of meetings. - 28 case studies realized through the partnership with White and Case. - Assessment of how well certain	Highly satisfactory.

		<p>25 arrangements that cover marine; groundwater, and river systems;</p> <p>(iv) Creation of institutional performance measures;</p> <p>(v) Analysis conducted by local experts identifies common elements of 'good governance'.</p>	<p>agreements work and specific case studies.</p> <ul style="list-style-type: none"> <li>- Much research and fruitful exchanges during regional meetings.</li> <li>- Local experts at the meetings reviewed all materials.</li> </ul>	
<p><i>1.2 Promote facilitated exchanges of experience through establishment of South-South Peer Review Group (S-S PRG) and learning networks, and incorporate local objectives for capacity building.</i></p>	<p>Increased interaction and South-South dialogue of experiences and objectives in regime management.</p>	<p>(i) Greater exchange of information and experience between South-South practitioner;</p> <p>(ii) Number of people involved in peer groups;</p> <p>(iii) Activity in ICT between peer groups;</p> <p>(iv) Document women practitioners to ensure gender parity.</p>	<ul style="list-style-type: none"> <li>- Participation in regional meetings and involvement in facilitation.</li> <li>- Sweden meeting gathered the experts from the three regions. There were between 30 to 40 participants.</li> <li>- Everybody was put in contact through mail, correspondence and through the website.</li> <li>- 20% to 30% of the participants in the seminars were women.</li> </ul>	<p>Highly satisfactory.</p>
<p><i>2.1 Accelerate capacity building for good governance of IW through the creation and promotion of novel experiential learning tools specifically targeted for GEF IW practitioners, designed in collaboration with</i></p>	<p>Enhanced ability to promote good governance mechanisms through the development of experiential learning tools, and increased use of learning technology by GEF practitioners, including IW: LEARN</p>	<p>(i) Novel targeted experiential learning tools for governance and decision-making are developed;</p> <p>(ii) Collaborative development and testing begins;</p> <p>(iii) South-South Peer Review Group helps develop/approve</p>	<ul style="list-style-type: none"> <li>- Research for reference training manual.</li> <li>- The materials were developed collaboratively and were tested before and during the meeting held in Sweden, as well as after this meeting.</li> <li>- Materials were sent to researchers in the</li> </ul>	

		<p>tools;</p> <p>(iv) Advisory panel approves tools;</p> <p>(v) Dissemination of materials and project information at regional meetings, international conferences etc.;</p> <p>(vi) Creation of Teaching/Implementation Guide doc. and materials;</p> <p>(vii) Proto-testing occurs at UBC and Simon Fraser University (SFU), or other appropriate institution;</p> <p>(viii) Field testing 1: Training is conducted in UNESCO-IHE and through IW; LEARN, and others.</p>	<p>course of the elaboration of the training manual.</p> <p>- The team received comments and heard back from the diverse stakeholders.</p> <p>- Feedback was solicited and carefully noted, then used to refine the tools for dissemination. This was also done during the 6<sup>th</sup> Biennial International Waters Conference in Dubrovnik.</p> <p>- Most of proto-testing was also done at UBC.</p> <p>- Field testing took place during the seminars.</p> <p>- Partnership with UNESCO—IHE was not achieved.</p> <p>- Partnership with IW: Learn was successful.</p>	
<p>2.2 <i>Enhance the local and regional capacity to foster a culture of good governance in IW.</i></p>	<p>Ongoing local and regional capacity building to foster a culture of good governance in IW.</p>	<p>(i) 10-15 local experts trained in program delivery, a minimum of 20% will be women;</p> <p>(ii) South-South peer groups are active in collaboration/participation;</p> <p>(iii) Dissemination of project plan/materials at meetings and conferences, web</p>	<p>- Links through websites, with individuals during seminars and academic conferences.</p> <p>- South-South cooperation took place during regional meetings. Emphasis on cross-cultural awareness.</p> <p>- Translation of documents: Not done, foreseen but</p>	<p>Satisfactory. Attention should be given to translation.</p>



		<p>etc.;</p> <p>(iv) Materials translated as appropriate into French, Portuguese (for Angola, Mozambique, and Brazil) and Spanish.</p>	<p>lack of funding.</p> <ul style="list-style-type: none"> <li>- Measurement of means of verification for project progress and performance (measured on an annual basis) was achieved.</li> <li>- Technical reports: case studies were sent to IW: LEARN.</li> </ul>	
<p>3.1 Build local capacity of GEF and other IW practitioners in good governance through targeted training and adaptive learning; and ensure local capacity to replicate experiential learning programmes to foster a culture of good governance in IW.</p>	<p>Enhanced capacity of GEF practitioners in good governance and effective decision-making, including capacity of local experts to replicate learning programs (by delivering <i>in-situ</i> capacity building programs to ensure replication).</p>	<p>(i) Knowledge surveys are conducted before and after training to assess understanding;</p> <p>(ii) 10-15 local experts experienced in program delivery.</p> <p>(iii) Formal training, conducted by local experts, of up to 60 GEF practitioners, a minimum of 20% of whom are women;</p> <p>(iv) Three regional training workshops;</p> <p>(v) Tools are validated through evaluations and workshops;</p> <p>(vi) Tools are used by training facilities;</p>	<ul style="list-style-type: none"> <li>- Knowledge surveys have been conducted before and at the end of each meeting.</li> <li>- 10-15 experienced experts in program delivery were present in Sweden.</li> <li>- During the Sweden meeting and the 6<sup>th</sup> Biennial International Waters Conference in Dubrovnik: combination of trainers for GEF and practitioners (the project organized five sessions at the Conference which took place in Dubrovnik).</li> <li>- Three regional seminars were successfully held.</li> <li>- Other seminars allowed for the validation of the tools, including: the Nile Basin Initiative training and workshop (December 2010);</li> </ul>	<p>Highly satisfactory.</p>

			<p>the United Nations Regional Centre for Preventive Diplomacy; Capacity Building Workshop (December 2010); the Costa Rican-Panamanian community based fisheries co-management workshop (February 2011).</p> <ul style="list-style-type: none"> <li>- Tools were validated through evaluations.</li> <li>- Tools were used by training facilities.</li> </ul>	
3.2 <i>Enhance collaboration between GEF IW practitioners.</i>	Enhanced collaboration within and between GEF projects; increased effectiveness in decision-making, including public engagement and participation; and continuation of S-S PRG.	<p>(i) Potential of institutional modification in the GEF portfolio, as a result of capacity development;</p> <p>(ii) Review and/or inclusion of stakeholder engagement programs in IW programs;</p> <p>(iii) Surveys of concept understanding before and after learning.</p>	<ul style="list-style-type: none"> <li>- Potential for institutional modification to find application in Nile Basin Initiative and in Lake Tanganika framework.</li> <li>- Advisory Panel recommended not to get involved in local stakeholders engagement as others were doing it.</li> <li>- Evaluation of the meetings and subsequent surveys took place.</li> </ul>	Satisfactory. It would be better if GEF IW practitioners enhance their interest in governance issues.
3.3 <i>Build awareness and promote the use of experiential learning tools within the GEF portfolio and beyond, assuring ease of accessibility. Develop &amp; deliver innovative “on the ground” training tools and build on IW:</i>	Increased availability and use of capacity building tools in good governance of transboundary water resources resulting in improved development and implementation of existing and future	<p>(i) Completion of Comprehensive Plan for Information Dissemination;</p> <p>(ii) 3-5 academic and policy papers produced and disseminated;</p> <p>(iii) Partner</p>	<ul style="list-style-type: none"> <li>- Dissemination through a combination of meetings, website and university communications (as for example through the Universities Partnership for Transboundary</li> </ul>	Highly satisfactory.

<p><i>LEARN, and other information exchange and learning mechanisms such as the Global Distance Learning Network, those of the World Bank Institute, and IUCN's Water and Nature Initiative toolkits</i></p>	<p>legal mechanisms and action programmes for international water.</p>	<p>organizations using tool;          (iv) Promoted UBC site very visible;          (v) Project reporting done.          (vi) Tools placed for downloading on a number of websites;          (vii) Number of downloads</p>	<p>Waters).          - Publications: see Annex 8.          - 28 case studies prepared by White and Case posted on the website of the project.          - Law review articles.          - Partners from the Colegio de Mexico used the tools.          - UBC site was made visible.          - Project reporting was done.          - Tools placed on other websites: UBC, the Universities Partnership for Transboundary Waters, and IW: LEARN.          - Number of downloads: hard to estimate.</p>	
<p><i>4.1 Assure that project performs to standards and criteria established in proposal</i></p>	<p>Clear and transparent management process suitable for replication</p>	<p>(i) M&amp;E Plan;          (ii) External evaluations</p>	<p>- APR/PIRs.          - Quarterly operational reports were prepared.          - Steering committee meetings took place.          - Documents were sent to members of the Advisory Committee. They sent comments. Feedback was taken into account in the preparation of the various activities.</p>	<p>Highly satisfactory.</p>
<p><i>5.1 Assure that project resources are properly, carefully and efficiently controlled</i></p>	<p>Efficient management with all tasks duly met.</p>	<p>(i) Management Plan;          (ii) External evaluations.</p>	<p>- Management Plan.          - Possibility of certain deviations without permission was foreseen.</p>	<p>Highly satisfactory.</p>

			<ul style="list-style-type: none"> <li>- The accounting was done and controlled by UBC. The Steering Committee was given all necessary information.</li> <li>- The Steering Committee agreed that the project does not need to have a mid-term evaluation, as there were no specific issues which would trigger a review (Steering Committee Meeting, 20 September 2010).</li> </ul>	
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## **3.1 Project Design**

### ***3.1.1 Analysis of Logical Framework Analysis (Project logic/strategy; Indicators)***

The project examines the IW projects implemented by the various GEF implementing agencies as well as other relevant programs and projects in international waters. The log-frame was written up between 2006 and 2008. It includes a wide range of indicators which allow the assessment of outcome achievement. Project indicators were clear and feasible.

The project indicators were demand driven and emphasis was put on interactions between South-South dialogue and replication of good practices across regions. The project indicators included:

- Report on specific performance indicators for GEF and non-GEF IW Legal/institutional frameworks;
- Demand driven targeted synthesis of lessons learned;
- Targeted experiential skills based learning and negotiation simulation modules produced;
- Number of local experts capable of delivering experiential learning program for replication;
- The number of GEF IW practitioners trained, 20% of whom will be women;
- South-South peer to peer implementation teams established;
- The capacity building tools developed are widely used (# of downloads, # of requests for material, courses held etc.).

### ***3.1.2 Assumptions and Risks***

The project conception identified assumptions and risks and developed mitigation strategies to deal with them. They are the following:

- Each water situation being unique, it might have been difficult to share practices and experiences as well as to draw lessons. This is somewhat true and it explains why the project concentrated on seven thematic issues in order to identify practices and experiences. These seven aspects of good governance in international waters were: benefit sharing, data and

information sharing and exchange, dispute resolution, funding, resilience, institutional architecture and public participation.

- A risk was also that GEF project managers would not be sufficiently sensitized to governance issues and that they would not collaborate on these issues. This problem was addressed by looking at a selected number of issues which were the most relevant to these projects. GEF project managers were also sensitized through the dissemination of materials and the holding of seminars.
- Another risk was that during the time of the project, a currency variance could have occurred. This variance was planned but never to the extent it happened. Mitigation was achieved through compensation with co-financing (e.g.: Canada with the Cairns meeting) and by ending contractual arrangements with some people.
- Lastly, there was a risk of only concentrating on communication technology. Web interactions play a role but they are not sufficient. Face-to face contacts are important. Many of them were organized through the people who were beneficiaries of the project so as to ensure the sustainability of the project.

### ***3.1.3 Lessons from other relevant projects (e.g., same focal area) incorporated into project design***

- Science is often predominant in the design of international water projects. Governance is key in the management of transboundary waters although it is often not considered, or not sufficiently considered.
- Cross-comparison is a very helpful tool for identifying the best management tools. Cross comparison in the area of governance of international waters had not yet been done. The project has developed methods for lessons from cross-comparison endeavors.

### ***3.1.4 Planned stakeholder participation***

The stakeholders of the project were the institutions, groups and individuals who had an interest in the outcome of the project. For this project they were GEF projects coordinators, GEF IW, UNDP, NGOs and the academic community. NGOs were brought in even though the project did not specifically require it.

From the outset of the project, the Advisory Committee advised not to get involved with local participation as such an approach had extensively been conducted in other projects.

Meetings of the Steering Committee and seminars constituted means of consultation.

### ***3.1.5 Replication approach***

Replication refers to lessons and experiences coming out of the project that are taken into consideration and adopted in the design and implementation of other projects.

The materials which were produced in the course of the project were designed to attract the attention of a wider audience which would use and refer to the outputs of the project.

The interviews and contacts highlighted that this has already happened in GEF funded projects and in non-GEF funded projects. The potential for this to happen in formulating projects is high in case there is a well-designed dissemination strategy of the tools and materials of the project.

### ***3.1.6 UNDP comparative advantage***

UNDP has administrative arrangements in place. It also has the knowledge and portfolio.

Dealing with governance issues fits with the UNDP mandate and activities on governance. This creates the possibility of replication in other projects. This became even more acute as the project gained great exposure within the GEF/UNDP portfolio. It is interesting to note that the project allowed for comparisons between GEF projects and non-GEF projects. The example of the Columbia River is worth mentioning. It is a prime example of benefit sharing. It is not a GEF funded project but was taken into account in the project to draw a comparison. The same can be said of the Nile Basin Initiative (NBI), which is an inter-governmental process dedicated to equitable and sustainable management and development of the shared water resources of the Nile Basin.

### ***3.1.7 Linkages between project and other interventions within the sector***

The GEF community in charge of water projects meets on a bi-annual basis. It allowed the project partners to be present and interact with experts from the GEF community.

The marine waters specialists do not regularly meet and exchange communicate with the surface waters specialists or the underground waters specialists. The project brought all those people to work together. It contributed to the exchange of experience and knowledge on topics such as data sharing.

### ***3.1.8 Management arrangements***

The University of British Columbia was in charge of the management of the entire project.

The Steering Committee provided oversight and strategic guidance.<sup>1</sup> The Advisory Committee was an expert group in international water governance and experiential learning.<sup>2</sup> Members of the Steering Committee were also *ex officio* members of the Advisory Committee.

The Steering Committee did provide quality assurance. It created some links between the project and other activities related to international waters and provided feedback on how to do things better.

Due to the accounting system requirements of each concerned institution, there was a need to compile two series of reports with different labeling systems, one series for UBC and the other for UNDP. There could be scope for an equivalence procedure, so as to facilitate the implementation of the project by universities.

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<sup>1</sup> The Steering Committee was composed of: Stefano Burchi (ex FAO and Chair Int'l Assoc. Water Lawyers (AIDA)), Al Duda / Chris Severin (GEF), Boris Graizbord / Cuauhtemoc Leon (COLMEX), Andy Hudson (UNDP), Marta Elena Molares (World Bank Office of General Counsel), Flavia Loures (WWF), Anne Smith / Rahim Moloo (White & Case), Stephen Owen / Paul Evans / Pitman Potter / Daniel Pauly (UBC), Joe Weiler (UBC) (Chair), Patrick Quealey (Foreign Affairs and International Trade Canada).

<sup>2</sup> The Advisory Committee was composed of: Olivier Cogels (ex MRCS), Julie Davidson (Canadian Parks and Wilderness Society), Salimah Ebrahim (Int'l NGO Coalition), Gabriel Eckstein (Texas Wesleyan), Sarah Freeman (WWF), Prudence Galega (Cameroon), Mish Hamid (GEF / IW: LEARN), Adele Hurley (Monk School for Int'l Affairs Toronto), Stephen P. McCaffrey (U Pacific), Kerstin Mechlem (U Ulster), Marcella Nanni, Emmanuel Olet (NBI Initiative), Sokhem Pech (ex MRCS), George Radosevich, Chris Sanderson (Lawson Lundell LLP), Abdulkarim Seid (NBI Initiative), Aaron Wolf (OSU), Jose Vicente Zapata (UANDES Colombia).



## **3.2 Project Implementation**

### ***3.2.1 Adaptive management***

There has been an extension of the project on a no-cost basis to take advantage of some important meetings for the project in terms of knowledge sharing and dissemination of materials.

Owing to the currency variance and exchange rates involved, some working contracts had to be shortened.

### ***3.2.2 Partnership arrangements***

The University of British Columbia in Vancouver, Canada has been the lead partner for this project and has acted as a facilitator to promote dialogue among individuals and organizations engaged in governance within, and between, international freshwater, international groundwater, and international large marine ecosystems (LME's) with particular emphasis on "South-South" cooperation and learning.

Key strategic partners in this project have included a wide range of individuals and organizations including academic institutions such as El Colegio de Mexico; University of La Rochelle; Bates College; Oregon State University; governments and international agencies (FAO; UNDP; UNEP; World Bank; United Nations Center for Preventative Diplomacy for Central Asia; United Nations Office of Mediation Services); NGOs (Aquatic Resources Conservation Group; Canadian Water Research Society; Network for Environment & Sustainable Development in Africa; Asian American Partnership; WWF USA; Gender & Water Alliance); the private sector (White & Case (Attorneys); Holguin, Neira & Pombo (Abogados); Lawson Lundell (Barristers & Solicitors); Pierce Atwood (Attorneys)); and a wide range of individuals.

### ***3.3.3 Feedback from M&E activities used for adaptive management***

The M&E plan was followed with timely quarterly reports, annual PIRs, ad-hoc communications and annual steering committee meetings. At its meeting of September 20, 2010, the Steering Committee

decided that the project did not need to have a mid-term evaluation, as there were no specific issues which should trigger a review.

### 3.3.4 Project Finance

The GEF/UNDP Budget of 2011 is below.

<b>GEF / UNDP Budget 2011</b>														
Award ID:		49394												
Award Title:		PIMS 3799 IW MSP: Good Practices and Portfolio Learning I GEF Transboundary												
Business Unit:		UNDP1												
Project Title:		PIMS 3799 IW MSP: Good Practices and Portfolio Learning in GEF Transboundary Freshwater and												
Implementing Partner/		UNDP												
Executing Agency:		UBC												
GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Actual Expenses	Actual Expenses	Actual Expenses	Revised Budget	Estimated Expenses for	Revised Budget	Orig Budget	Revised Total (USD)	See Budget Note:
						2008	2009	2010	2011 (USD)	2011	2012	Total(USD)	Total(USD)	
Component 1: Identification and Understanding of Good Practices and Fostering a South-South Dialogue	UBC	62000	GEF	71200	International Consultants	\$12'438	\$85'661	\$ -		\$ 9'306	\$ -	\$50'000	\$107'405	1
		62000	GEF	71300	Local Consultants	\$0	\$2'490	\$ 25'360	\$ 10'000	\$ 11'489	\$ -	\$50'000	\$39'338	
		62000	GEF	71300	Contractual services	\$4'949	\$15'429	\$ -		\$ 2'383	\$ -	\$40'000	\$22'761	
		62000	GEF	74500	Meetings/Learning	\$31'548	\$24'013	\$ -		\$ -	\$ -	\$25'000	\$55'561	
		62000	GEF	72200	Equipment	\$0	\$6'490	\$ -		\$ 50	\$ -	\$10'000	\$6'540	
		62000	GEF	71600	Travel	\$0	\$60'737	\$ 11'383	\$ 3'000	\$ -	\$ -	\$30'000	\$72'121	
		62000	GEF	74500	Miscellaneous	\$579	\$248	\$ 4'598		\$ -	\$ -	\$5'000	\$5'426	
						<b>sub-total GEF</b>	<b>\$49'514</b>	<b>\$195'069</b>	<b>\$ 41'341</b>	<b>\$ 13'000</b>	<b>\$ 23'228</b>	<b>\$ -</b>	<b>\$210'000</b>	
				<b>Total Outcome 1</b>	<b>\$49'514</b>	<b>\$195'069</b>	<b>\$41'341</b>	<b>\$13'000</b>	<b>\$23'228</b>	<b>\$0</b>	<b>\$210'000</b>	<b>\$309'152</b>		
GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Actual Expenses	Actual Expenses	Actual Expenses	Revised Budget	Estimated Expenses for	Revised Budget	Budget	Revised Total (USD)	See Budget Note:
						2008	2009	2010	2011 (USD)	2011	2012	Total(USD)	Total(USD)	
Component 2: Development and Validation of Experiential Learning Tools, Field Testing and Training Local Experts in Tool Delivery	UBC	62000	GEF	71200	International Consultants		\$7'090	\$ 28'605	\$ -	\$ -	\$ -	\$55'000	\$35'695	2
		62000	GEF	71300	Local Consultants		\$0	\$ 1'833	\$ 21'105	\$ 11'604	\$ 5'776	\$75'000	\$19'213	
		62000	GEF	71300	Contractual services		\$0	\$ -	\$ 30'000	\$ 30'000	\$ -	\$30'000	\$30'000	
		62000	GEF	74500	Meetings/Learning		\$267	\$ 966		\$ 3'673	\$ -	\$75'000	\$4'906	
		62000	GEF	72200	Equipment		\$0	\$ 86		\$ 52	\$ -	\$7'000	\$138	
		62000	GEF	71600	Travel		\$0	\$ 51'526	\$ 12'000	\$ 12'000	\$ -	\$80'000	\$63'526	
		62000	GEF	74500	Miscellaneous		\$0	\$ (24'485)	\$ 3'000	\$ 538	\$ 1'770	\$5'000	-\$22'177	
						<b>sub-total GEF</b>		<b>\$7'357</b>	<b>\$ 58'532</b>	<b>\$ 66'105</b>	<b>\$ 57'867</b>	<b>\$ 7'546</b>	<b>\$327'000</b>	
				<b>Total Outcome 2</b>	<b>\$0</b>	<b>\$7'357</b>	<b>\$58'532</b>	<b>\$66'105</b>	<b>\$57'867</b>	<b>\$7'546</b>	<b>\$327'000</b>	<b>\$131'301</b>		

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Actual Expenses	Actual Expenses	Actual Expenses	Revised Budget	Estimated Expenses for	Revised Budget	Budget	Revised Total (USD)	See Budget Note:		
						2008	2009	2010	2011 (USD)	2011	2012	Total(USD)	Total (USD)			
Component 3: Delivery and Promotion of Tools, and Enhancing Collaboration and South-South Learning	UBC	62000	GEF	71200	International Consultants			6143.9881	\$20'000	\$ 48'563	\$ 6'000	\$25'000	\$60'707	3		
		62000	GEF	71300	Local Consultants			\$12'045	\$70'000	\$ 68'265	\$ 1'735	\$95'000	\$82'045			
		62000	GEF	71300	Contractual services			\$13'295	\$46'000	\$ 45'156	\$ 844	\$16'000	\$59'295			
		62000	GEF	74500	Meetings/Learning			\$2'002	\$50'000	\$ 28'117	\$ -	\$50'000	\$30'119			
		62000	GEF	72200	Equipment			\$0	\$5'000	\$ 4'867	\$ 133	\$5'000	\$5'000			
		62000	GEF	71600	Travel			\$12'800	\$30'070	\$ 27'854	\$ -	\$60'000	\$40'653			
		62000	GEF	74500	Miscellaneous				\$5'000	\$ -	\$ -	\$5'000	\$0			
							sub-total GEF			\$46'286	\$226'070	\$222'822	\$8'712		\$256'000	\$277'819
					Total Outcome 3			\$46'286	\$226'070	\$222'822	\$8'712	\$256'000	\$277'819			
Component 4: Monitoring and Evaluation	UBC	62000	GEF	71200	Personnel	\$0	\$2'283		\$6'000	\$ 800	\$ 5'200	\$12'000	\$8'283	4		
		62000	GEF	71200	MSP Review and annual audit	\$0	\$0	\$2'890	\$34'000	\$ -	\$ 25'000	\$34'000	\$27'890			
		62000	GEF	71300	Local Consultants	\$0	\$0		\$6'000	\$ -	\$ 6'000	\$6'000	\$6'000			
		62000	GEF	71600	Travel	\$0	\$0		\$14'000	\$ 2'200	\$ 5'800	\$14'000	\$8'000			
		62000	GEF	72500	Office Supplies	\$0	\$0			\$ -	\$ -	\$0	\$0			
		62000	GEF	74500	Miscellaneous	\$0	\$0	\$161		\$ -	\$ -	\$0	\$161			
							sub-total GEF	\$0	\$2'283	\$3'051	\$60'000	\$3'000	\$42'000		\$66'000	\$50'334
							Total M & E	\$0	\$2'283	\$3'051	\$60'000	\$3'000	\$42'000		\$66'000	\$50'334
Component 5: Project Management (This does not appear as an Outcome in the Logframe which is structured around project substantive outcomes)	UBC	62000	GEF	71200	Personnel	\$0	\$21'636	\$8'839	\$32'000	\$ 28'059	\$ 10'941	\$30'000	\$69'475	5		
		62000		71300	Local Consultants			\$0	\$15'000	\$ 10'000	\$ 5'000	\$20'000	\$15'000			
				71200	Int. Consultants (proj. management)					\$ -	\$ -	\$0	\$0			
				71300	Contractual services			\$48'783	\$43'020	\$ 32'365	\$ 3'655	\$35'000	\$84'803			
				71600	Travel			\$2'112	\$4'000	\$ -	\$ 3'019	\$6'000	\$5'131			
				72500	Office and Supplies			\$0		\$ 737	\$ -	\$0	\$737			
				74500	Miscellaneous			\$598	\$4'435	\$969	\$ 1'213	\$ -	\$0		\$6'247	
							sub-total GEF	\$0	\$22'234	\$64'169	\$94'989	\$72'375	\$22'615		\$91'000	\$181'393
					Total Management	\$0	\$22'234	\$64'169	\$94'989	\$72'375	\$22'615	\$91'000	\$181'393			
Budget												Revised				
<b>Project total</b>												<b>\$950'000</b>	<b>\$950'000</b>			
						Actual Expenses	Actual Expenses	Actual Expenses	Revised Budget	Estimated Expenses for	Revised Budget		Revised Total (USD)			
						2008	2009	2010	2011 (USD)	2011	2012					
ACTUAL AND REVISED BUDGET						\$49'514	\$226'943	\$213'379	\$460'164	\$379'291	\$80'873		\$950'000			

### ***3.3.5 Monitoring and evaluation: design at entry and implementation***

The project coordinator exercised a careful monitoring of the project. The quarterly reports give strong indications of this monitoring. Noteworthy is the role played by the Steering Committee in providing quality assurances.

## **3.3 Project Results**

### ***3.3.1 Overall results***

As a global project with a constituency spread across the globe, one challenge was to connect all stakeholders. This was in large part achieved with the regional seminars, particularly the seminar which was held in Sweden.

The products of the project included the development of training tools, case study workshops, training and dissemination of products. The promotion and dissemination of learning tools has been achieved through the organization of workshops, including:

- Nile Basin Initiative training and workshop (Mombasa, December 2010).
- United Nations Regional Centre for Preventive Diplomacy - Capacity Building Workshop (Kazakhstan, December 2010).
- Tool delivery and training at the University of the Amazonas, Manaus (Brazil, September 2011).
- Columbia Basin Seminar, Kimberly (Canada, October 2011).
- Exposure and tool dissemination at the 6<sup>th</sup> International Waters Conference (Dubrovnik, October 2011).
- Seminar and dissemination of tools at University of the Andes (Bogota, November 2011).
- Conflict and Natural Resources Seminar at Columbia University (New York, November 2011).

Moreover, highlights of the project included:

- The results of the Project Inception Meeting in Whistler (September 2008) which brought together the Steering Committee and Advisory Panel to help define direction and elaborate on activities for the project.
- The results of three well attended “hemispheric” meetings to review findings, develop South-South peer-groups and networks, and help develop input for tool development for IW governance: Americas and the Caribbean (Mexico, February 2009), Asia (Australia, October 2009) and Africa (Uganda, February 2010).
- The Costa Rican-Panamanian workshop (February 2011).
- Project training and tool dissemination workshop in Stockholm, Sweden (5-10 May 2011).
- Twenty-eight detailed case studies on IW governance including the Columbia River Treaty, the Nile Basin, the Iullemenden Aquifer, Lake Tanganyika, the Mekong River, Caspian Sea, Yellow Sea, Benguela Current. The detailed case studies focused on reviewing the mechanisms for achieving agreements as well as what the agreements have accomplished. The report discusses the legal and institutional frameworks that apply to the twenty eight international water bodies.<sup>3</sup> Eighteen criteria were identified in coordination with the Board of Advisors and the Steering Committee of the project to review and report on the legal and institutional frameworks of the water bodies studied.<sup>4</sup> The report was based on primary materials that establish legal and institutional frameworks, such as international agreements (including treaties and conventions where applicable), protocols or action plans. Where relevant secondary

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<sup>3</sup> The twenty-eight case studies are the following: 1) Amazon River Basin; 2) Cartagena Convention; 3) Columbia River Basin; 4) Guarani Aquifer System; 5) ICCAT; 6) Joint Fisheries Development Zone between Jamaica and Colombia; 7) Rio Grande / Rio Bravo; 8) Barcelona Convention; 9) Black Sea; 10) Caspian Sea; 11) Danube River Basin; 12) Franco Swiss Genevese Aquifer; 13) Rhine River Basin; 14) Abidjan Convention; 15) Lake Tanganyika; 16) Lake Victoria; 17) Niger River Basin; 18) Nile Basin Initiative; 19) Nubian Aquifer; 20) North West Sahara Aquifer; 21) Okavango River Basin; 22) Senegal River Basin; 23) SADC; 24) Bay of Bengal; 25) Mekong River Basin; 26) PEMSEA; 27) South China Seas; 28) WCPFC.

<sup>4</sup> The eighteen criteria are: 1) Legal Basis (i.e. is it based on a Treaty, Memorandum of Understanding etc.); 2) Member States (what states are parties to the agreement, are there observer states or groups); 3) Geographical Scope (what is covered within the framework); 4) Legal Personality (what is the body that implements the framework); 5) Functions (what does the framework seek to do); 6) Organizational Structure (what are the institutional designs and how do they interact); 7) Relationships (i.e. with multilateral, domestic and non-water sectors); 8) Decision Making (how are decisions within the institution made); 9) Dispute Resolution (is there a specified method for preventing and dealing with disputes among members); 10) Data Information Sharing, Exchange, and Harmonization (how do the countries share and exchange data with respect to the shared waters); 11) Notifications (how are members notified of changes to the framework); 12) Funding and Financing (how are operational costs paid for in both the long and short term); 13) Benefit Sharing (how are the benefits of the framework distributed among members); 14) Compliance and Monitoring (how do members ensure they are applying the agreement properly, and are there any reporting or evaluation mechanisms); 15) Participation and the Role of Multiple Stakeholders (how are civil society, youth and private sector groups engaged); 16) Dissolution and Termination (how is the agreement terminated); 17) Additional Remarks (any pertinent information that falls outside any of the identified criteria); and 18) Websites and References (helpful websites and citations to supporting information).

materials were available (primarily for water bodies with more extensive legal frameworks), those secondary materials are identified and referenced as appropriate. The report also identifies and explains the eighteen criteria that are used to describe the legal and institutional frameworks of each of the water bodies discussed in this report. The report also provides a detailed discussion of the legal and institutional frameworks for each water body identified, organized by global region. Each case study has been peer reviewed by one or more experts with direct knowledge of the agreement being analyzed. As the described frameworks continue to evolve, there may be future revisions of this report.

- A reference and training manual of experiential learning and capacity building tools for IW governance.<sup>5</sup> The manual places emphasis on adult learning, communications skills, cross cultural communication skills, negotiation skills and experiential learning. The approach used by the manual offers several benefits including: 1) By focusing on simpler representation of the challenges participants will face when they try to apply methods learned in training, they can see more clearly the individual and organizations' capabilities that need to be developed. 2) By playing assigned roles (often quite distinct from their real life roles), participants can develop a better awareness and appreciation for the perspectives of others with whom they may need to negotiate or interact. 3) By using carefully crafted role play simulations (as opposed to exclusively case studies or other teaching scenarios) facilitators can ensure that every trainee will be forced to confront particular negotiation puzzles or challenges. 4) By participating in well managed debriefings, participants will be able to tie the general lessons of a role play exercise to the specific needs of their organization and allow them to formulate a follow up action agenda.
- A "synthesis" document identifying and analyzing various aspects of good IW governance. The analysis focuses on the formal and informal actors involved in decision-making and

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<sup>5</sup> The Draft Reference and Training Manual currently consists of chapters dealing with: 1) Introduction to International Waters; 2) International law including the law of international drainage basins, the law of international groundwater and the law of international large marine ecosystems (LME's); 3) Various Selected Aspects of Governance and International Waters including (1. Benefit Sharing; 2. Dispute Resolution; 3. Data and Information Sharing and Exchange; 4. Institutional Architecture; 5. Resilience including Climate Change 6. Finance 7. Public Participation); 4) Adult Learning, Communication Skills, Cross-Cultural Communication Skills and Negotiation Skills; 5) Experiential Learning Exercises; 6) Bibliography.

implementing the decisions made, as well as the formal and informal structures that have been set in place to arrive at and implement those decisions. Good governance ensures that corruption is minimized, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making. Good governance is responsive to the present and future needs of society. Very few countries and societies appear to have even come close to achieving good governance in its totality. Six aspects of good governance in an international waters context are presented: benefit sharing, data and information sharing and exchange, dispute resolution, funding, resilience, and institutional architecture.

- An interactive web-based map and research tool of all the case studies.
- Various publications in peer refereed journals.

The web-based research tool and experiential learning tools have already been used by several universities, such as the University of Manaus (Brazil); the University of Bogota (Colombia); the Aga Khan Foundation (Afghanistan); the University of British Columbia; Pace University and Columbia University and by at least one recent GEF project through Rhodes University (South Africa). The project has built relationships with several universities including: LEAD University of Malawi; Nkumba University (Uganda); Departamento de Economía, TEC-Monterrey (Mexico); Departamento de Recursos del Mar Cinvestav del IPN Unidad Mérida (Mexico); El Colegio de Mexico; University Chulalongkorn (Thailand) and the University of Central Asia. Moreover, dissemination was also achieved through the Universities Partnership on Transboundary Waters (which includes 20 universities globally). These relationships are important for longevity of the tools and training materials as they will be accessible to all academic institutions. Moreover, the objective of the meetings organized during the project was to develop networks to help ensure successful implementation of the project and to help ensure that the project was as “demand side” driven as reasonably possible.

The project also conducted bibliographical research. Its objective was to learn as much as possible about what research and critical thinking had already been done in the realm of governance and international waters.

### *3.3.2 Relevance, Effectiveness, & Efficiency*

#### **Effectiveness**

The objective of the project was to develop replicable and targeted experiential learning tools for transboundary water governance for both marine and freshwater ecosystems. From the evidence presented and the responses of those consulted, it appears that the project has been generally effective in facilitating structured learning and information sharing. It has reached out both directly and indirectly to a wide range of stakeholders, including GEF project practitioners and other IW practitioners with effective products. This being said, field testing of the learning tools should be developed further. Only a small number of universities and GEF practitioners have used them.

#### **Relevance**

The project was in line with the GEF Operational Programs under which the project was funded. The project has ensured that various lessons learned from multi-country experiences were assimilated by various target audiences in a meaningful way. Target audiences have included local water managers, academics, civil society groups, and managers working in the portfolio of GEF projects. The project has encouraged local participation in the sharing of experiences by a diverse variety of stakeholders. The project considered gender equality issues, as one of the objectives was the training of local experts, with a minimum of 20% women. The planning, design and implementation of initiatives took into account the local context, promoting cross-cultural dialogue.

#### **Efficiency**

The project has succeeded in accomplishing the activities envisioned at the inception of the project and within budget. It includes a no cost extension to January 30, 2013. The project has been efficient in using the resources appropriately to produce the desired outcomes. Although the exchange rate between the Canadian dollar and US dollar has not been favorable to project implementation, the planned outcomes were achieved and the project remained within budget. It should also be noted that White &



Case ended up contributing over \$1.2 M USD to the project and expressed interest in further following up in the future.

The primary objective of this project is to identify and share lessons learned and best practices with regard to the good governance of international waters. The cost effectiveness of this project arises from the sharing of these lessons learned and good practices, avoiding the time, effort and expense of having to relearn such lessons and good practices with every new GEF initiative.

The project proponents have designed the project to be particularly cost effective with regard to such expenses as international travel and other fixed costs by purposefully arranging for project activities to coincide with activities funded by other fund providers.

### 3.3.3 Country ownership

Some of the organizations which directly benefited from the project include:

<b>Africa</b>	<b>Latin America</b>	<b>Asia</b>	<b>Central Asia/Europe</b>
Ministry of Minerals, Energy and Water Resources - Botswana	Departamento de Economía TEC-Monterrey, Mexico	UNEP Asia Pacific	ICWC, Uzbekistan
Southern African Development Community (SADC)	Guarani Aquifer Project	Chulalongkorn University, Bangkok, Thailand	Aga Khan Foundation Afghanistan
Lake Tanganyika Authority	Holguín, Neira & Pombo Abogados, Colombia	Laos Department of Water Resources, Vientiane, Laos PDR	University of Central Asia
Network for Environmental and Sustainable Development (NGO Cameroon)	Deputy-Superintendent of Programs and Projects Implementation, ANA, Brasil	Bangladesh Environmental Law Association	Law and Environment Eurasia Partnership
UNDP/GEF-VOLTA Project	Departamento de Recursos del Mar Cinvestav del IPN Unidad Mérida, Mexico	GEF Pacific Island Fisheries project	
EAC Lake Victoria Basin Commission	Centre for Resource Management and Environmental Studies	Vanatu Fisheries Department	

	(CERMES) University of the West Indies, Cavel Hill Campus Barbados		
South West Indian Ocean Fisheries Commission	Department (LEG) World Bank	GEF CTI Regional Secretariat, Indonesia	
EAC Lake Victoria Basin Commission	Ministry of Environment in Colombia	Western and Central Pacific Fisheries Commission	
LEAD University of Malawi	GEF UNDP- Dominican Republic	Asian Development Bank	
NBA National Focal structure	GEF-IWCAM Project	FAO- Asia, Bangkok	
Benguela Current Commission	El Colegio de Mexico University	ICWC, Uzbekistan	
DLIST Eco Africa	UC-MEXUS at UC, Mexico	Gilbert & Tobin, Sydney, Australia	
Benguela Current Large Marine Ecosystem-Secretariat	Comisión Nacional del Agua, Mexico	GEF Hai River Basin and Yellow Sea projects	
Niger Basin Authority	Samarnat, Mexico	GEF Arafura and Timor Seas project	
Nigeria Hydrologica Services Agency/ Federal Ministry of Agriculture and Water Resources	Instituto Mexicano de Tecnología del Agua, IMTA	GEF PEMSEA project	
Nile Basin Initiative/ NELSAP		UNEP Asia Pacific	
Rwanda Women Network (NGO)			
Lutheran Development Services (Uganda)			
Stockholm International Water Institute			
Observatoire du Sahara et Sahel			
UNIDO, Guinea Current LME			
Nile Basin Initiative			

Ministry of Water and Environment- Uganda			
COWI			
Nkumba University			
Uganda Women for water and Sanitation (NGO)			
Uganda Fisheries and Fish Conservation Association			
Faculty of Law, Makerere University			
ECO-AFRICA			
Nkumba University			

### ***3.3.4 Mainstreaming***

UNDP priorities, especially improved governance and gender, were successfully mainstreamed in the project.<sup>6</sup>

Gender mainstreaming constituted an important focus of the project.<sup>7</sup> However, it was not easy to realize this task. The need to analyze the linkages between international waters and gender emerged in the course of the project.<sup>8</sup> The involvement of the Entebbe Women Association was reiterated several times to the evaluator as a successful story of gender mainstreaming. As a follow-up to the project, a comprehensive strategy to look at the interactions between women and men in the area of international water governance should be developed.

### ***3.3.5 Sustainability***

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<sup>6</sup> See [http://www.undp.org/evaluation/documents/gef/UNDP-GEF-Evaluation\\_Guidance\\_2011.doc](http://www.undp.org/evaluation/documents/gef/UNDP-GEF-Evaluation_Guidance_2011.doc)

<sup>7</sup> See numbers of women who participated in the workshops (i.e. representatives of the Association of Women in the workshop in Uganda).

<sup>8</sup> See the Stockholm Meeting Report.

Sustainability is understood as the probability of continued long-term project outcomes after the project funding ends. Measures of sustainability ensure that the benefits of initiatives continue after the term of the project.

The GEF support for the project is scheduled to expire in January 2013. There is a need for additional support to be able to sustain the website and additional materials. The demand driven and well received deliverables from the project can be sustained and strengthened by bequeathing them to an organization. At the international level, IW: LEARN plays a significant role and could be tasked with this.

The website is a tangible manifestation of the reach of the project and of its prolonged impacts. The website containing the research database and project tools need to be taken up by an institution that can maintain and update it. IW: LEARN has shown some interest in doing this. Some other institutions might also be considered.<sup>9</sup>

Sustainability should be enhanced through the relevant universities and training centres, some of which have already been directly exposed to the training tools. Universities should be considered as repositories of knowledge and dissemination.

The NGO community should also be considered. A number of NGOs were involved in the project and should remain associated with the sustainability endeavours.

### ***3.3.6 Catalytic role & impact***

The catalytic role and impact of the project can be assessed through examples of projects (GEF and others) where the lessons learned of the project were referred to and applied. Comparisons can be made and the diversity of possible options could be visualized through the series of tools developed in the course of the project. An example of successful experience is the Costa Rican-Panamanian community based fisheries co-management workshop held in February, 2011. This workshop was held

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<sup>9</sup> Possible candidates for maintaining the web-site are: IW: LEARN 3; Danube Basin; WWF; World Bank Office of General Counsel.

in February 2012 in both Costa Rica and in Panama. The workshop marked the culmination of many years of studies and work between local fishermen, government officials and academic institutions in Costa Rica, Panama, France and Canada. Another example is the workshop with the Transboundary Waters University Partnership on the Columbia River that took place in October 2011.

A network of experts was established, especially in Latin America and in Africa.

The Sweden meeting allowed for cross-cultural communication. Cultural factors play a crucial role but they are often overlooked. The sensitiveness of the negotiations involved in governance issues should be acknowledged.

The development of detailed case studies showed the importance of expertise through connections and good reviewers. This sort of information cannot be found in other places.

#### **4. Conclusions, Recommendations & Lessons**

##### **4.1 Corrective actions for the design, implementation, monitoring and evaluation of the project**

The project has been structured as an overly ambitious project due to GEF requests.

An extension of the project was obtained on a no-cost basis for one year.

The exchange rate between the Canadian dollar and US dollar has not been favourable to the project's implementation. The exchange rate at the time of the project's inception and activity development was approximately \$1.36 Canadian to \$1 US. This has steadily decreased throughout the three years of the project to a low last autumn of \$0.95 Canadian to \$1 US.

It should be mentioned that White & Case ended up contributing over \$1.2 M USD to the project and expressed a keen interest in further following up in the future.

## **4.2 Actions to follow up or reinforce initial benefits from the project**

Some lessons have been identified that could feed future projects. The project organizational structure includes an Advisory Committee. It was composed of people of high standing in the water sector. All contributed in an individual capacity. The Advisory Committee should have had a more prominent role in the project and should not have been at the receiving end to the extent it was. It would be important to increase ownership and visibility of the Advisory Committee.

As a follow up action, it would be useful to further develop networks. This would allow for the finding of new partners for the continuation of the project. IW: LEARN is in a good position to do this. For example, IW: LEARN could host the website developed by UBC and ensure the documentation of the project is updated.

The training tools should be further embedded in GEF projects. A way to achieve this is to ensure GEF project managers increase their participation in learning events. Although 1% of each IW GEF project should be devoted to learning activities, there is currently no assessment related to the participation of GEF project managers in learning meetings. The IW: LEARN bi-annual meetings (for example, the meetings held in Cairns (2009) and Dubrovnik (2011)) are good ways to disseminate the lessons learned from the water governance project. The participation of GEF managers in other learning activities should be promoted.

The study of governance issues in estuaries (where 90% of the population live) should be further developed. Future projects should improve knowledge on the connections between freshwaters and marine waters, in particular related to the pollution coming from freshwaters and contaminating salt waters. Rivers are a direct link between land and the ocean and they act as a highway transporting nutrients, organisms and organic materials into coastal areas. Moreover, wetlands and marshes forming the transition between freshwater and marine ecosystems are vulnerable to pollution. Studies on the legal and institutional framework applicable to these areas are still scarce.

### **4.3 Proposals for future directions underlining main objectives**

The project was meant to develop experiential training tools and identify key features of institutional and legal frameworks. The outcomes of the project need now to be tested in operational projects. There will also be a need to refine and update the learning tools. IW: LEARN should have a prominent role in the dissemination of the results of the project and the refinement of learning tools. Additional follow up is required for further training.

The various partners of the project are holders of an institutional memory on international waters. Water conflicts constitute a serious threat to peace and security and paradoxically there is less engagement of the international community in this area. The GEF needs to refocus its attention in this area.

The project is a working model of a public-private partnership. There is a need to leverage this feature. In this context, it would have been better if there had been a wind-up meeting for a more suitable closure of the project. This would have helped to display the work to the private sector. New funding should come from the private sector.

It would be important to build-in a subsequent project two years before the end of a project.

The South-South cooperation could be further strengthened with regional organizations like for instance the African Net Basin Organization. Collaboration with organizations like this one would help in further dissemination of materials developed.

It is important to plan and assess existing collaborative mechanisms for the management of transboundary water resources in Africa. It has been suggested to the evaluator to develop an agreed framework for streamlining the activities of these mechanisms, focusing on information generation, exchange and dissemination, and knowledge management. It would prevent overlaps and the waste of human resources.

#### **4.4 Best and worst practices in addressing issues relating to relevance, performance and success**

The project had an impact for students at UBC and brought a flow of interesting people through events and visitors. There was also media coverage of the project which raised awareness on IW governance.

The project identified a critical need to understand and strengthen the capacity at the national, regional and international levels to deal with managing international waters. The project has successfully developed various products which are valued by stakeholders.

The project addressed linkages between global and regional issues (i.e. climate change, glaciers). It is important to ensure that local experts on IW and GEF project managers are trained to address global challenges (i.e. climate change and biodiversity) that affect international waters.

As a global project with a constituency spread across the globe, the project faced a tremendous challenge in trying to connect with stakeholders of the diverse regions. South-South cooperation was successful, especially at the occasion of seminars held in Latin America, Africa and in Sweden. Regional meetings played a key role for interactions and strengthening the network of experts. Those linked to other meetings, such as the GEF IW Conference held in Cairns, were also successful as they allowed concentration on the objectives of the project. Moreover, the creation of an African Peer Group for reviewing best practices in sustainable transboundary water management was a significant step for the achievement of successful South-South cooperation.

Future projects should improve gender mainstreaming. This is not only a question to ensure that a certain number of women participate in meetings and workshops. A gender mainstreaming approach does not look at women in isolation, but looks at women and men as well as their interaction. A more comprehensive strategy should have been developed in the project so as to successfully implement gender mainstreaming. This would have been particularly important as no work has been done on gender and transboundary waters. While the GEF has a gender mainstreaming policy, a lack of sufficient funding as well as the absence of clear indicators have meant that the majority of GEF projects have not implemented gender mainstreaming.<sup>10</sup> The current challenge is to scale up the

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<sup>10</sup> Good Practices and Portfolio Learning in GEF Transboundary Freshwater and Marine Legal and Institutional Frameworks, in partnership with the Canadian Water Research Society and El Colegio de Mexico, GEF, IW: Learn, UNDP, SIWI, Global Water Partnership, and UBC, Workshop Report, Building and Managing Sustainable Transboundary Water



success of the small grants projects to the transboundary level. Gender mainstreaming through public participation may be a tool to achieve this aim.

Another issue that future projects should improve is related to translation. Translation was foreseen in the initial project document. However, at a later stage of the implementation of the project there was a lack of funding to ensure it. Future projects should ensure translation of learning tools and relevant documentation. Translation could also be provided in meetings in order to reach a wider audience and develop a network of local experts. This is particularly important in Africa where several important international watercourses flow in French-speaking States. There is a significant community of local experts in international waters which would benefit from these activities.

The lessons learned from the project should inform the GEF portfolio on IW. One of the outcomes of the project was to disseminate lessons from legal and institutional frameworks, including non-GEF projects. Synergies between GEF and non-GEF projects should thus be strengthened.

The project mostly received in-kind funding from the partner institutions. White and Case and the Canadian government were among the co-financers of the project. Other types of co-funding should be further explored.

## **List of annexes**

**Annex 1: ToR**

**Annex 2: Itinerary**

**Annex: 3: List of persons interviewed**

**Annex 4: Summary of field visits (N/A)**

**Annex 5: List of documents reviewed**

**Annex 6: Questionnaire used**

**Annex 7: Evaluation Consultant Agreement Form**

**Annex 8: List of publications**

## Annex 1 - ToR

### Introduction

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized country projects supported by UNDP with GEF financing are required to undergo a terminal evaluation upon completion of implementation. This terms of reference (ToR) sets out the expectations for a Terminal Evaluation (TE) of the PIMS 3799 IW MSP: Good Practices and Portfolio Learning I GEF Transboundary Freshwater and Marine Legal and Institutional Frameworks Project (PIMS 3799).

The essentials of the project to be evaluated are as follows:

### Project Summary Table

<b>Project Title:</b>	PIMS 3799 IW MSP: Good Practices and Portfolio Learning In GEF Transboundary Freshwater and Marine Legal and Institutional Frameworks			
GEF Project ID:	00049394		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	PIMS 3799	GEF financing:	950,000	950,000
Country:	Global	IA/EA own:		
Region:	Global	Government:		40,000
Focal Area:	IW	Other:	1,207,800	1,260,000
FA Objectives, (OP/SP):		Total co-financing:	1,207,800	1,300,000
Executing Agency:	UBC	Total Project Cost:	2,157,800	2,250,000
Other Partners involved:	El Colegio de Mexico	ProDoc Signature (date project began):		18 March 2008
		(Operational) Closing Date:	Proposed: February 2011	Actual: June 30 2012

### Objective and Scope

This is an international waters global governance project that is examining both freshwater and marine experiences through the identification, collection, analysis, adaptation and replication of beneficial practices found in the legal and institutional frameworks that govern such waters. The objectives are to strengthen and promote multi-country cooperation, and to enhance the transboundary regime development in an eco-systemically sustainable manner. The project has developed a South-South peer network of professionals and practitioners working on all aspects of transboundary waters.

The project has three principal components:

**To identify and analyze legal and institutional beneficial practices in International Waters**, in order to increase the understanding and knowledge of the frameworks necessary for conservation, good governance and wise decision-making.

**To develop and validate new experiential learning tools and teaching guides**, in order to establish a cohort of local experts to enable tool delivery. Tools will include case studies, negotiations, role play simulation exercises, and interactive DVDs.

**To develop local expertise in training and tool delivery**, in order to ensure replication and to develop local ownership and control of the tools.

The objective of the project was: To foster good governance and effective decision-making in international waters management through adaptation and replication of beneficial practices that focus on effective and functional legal and institutional frameworks for cooperation.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects<sup>11</sup>.

The purpose of the evaluation is to:

- Assess overall performance against the project objectives as set out in the Project Document and other related documents;
- Assess project relevance to national priorities, as well as UNDP and GEF strategic objectives;
- Assess the effectiveness and efficiency of the project;
- Critically analyze the implementation and management arrangements of the project;
- Assess the sustainability of the project interventions and consider project impacts;
- Document lessons and best practices concerning project design, implementation and management which may be of relevance to other projects in the country and elsewhere in the world.

### **Evaluation approach and method**

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal points, Steering Committee, project team, and key stakeholders. The evaluator is expected to conduct a field mission to the University of British Columbia in Vancouver, Canada as well as a site visit to the project partner El Colegio de Mexico, in Mexico City. A visit to New York might be required to meet with UNDP staff. The evaluator is expected to use interviews as a means of collecting data on the relevance, performance and success of the project. A survey will be conducted of South-South peer network members, GEF Project Managers, and IW: LEARN users. Interviews will be held with the following individuals at a minimum: Richard Kyle Paisley, Project Director; Susan Bazilli, Project Manager; Glen Hearn, Lead Consultant; Cuauhtemoc Leon, Lead Consultant; Boris Graizbord, El Colegio de Mexico; Mish Hamid, IW: LEARN; and representatives of selected GEF IW portfolio projects. The evaluators will be expected to interview a representative sub-set of the peer group participants. The learning institutions that have been using project materials to train trainers and GEF Project Managers trained will be key interviews.

The evaluator will review all relevant sources of information, such as the project document, project reports – incl. Annual APR/PIR and other reports, project budget revisions, mid-term review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any

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<sup>11</sup> [www.undp.org/evaluation/documents/gef/UNDP-GEF-Evaluation\\_Guidance\\_2011.doc](http://www.undp.org/evaluation/documents/gef/UNDP-GEF-Evaluation_Guidance_2011.doc)

other material that s/he may consider useful for evidence based assessment. A list of documentation that the project team will provide to the Consultant for review is included in **Annex 2** of this Terms of Reference.

The methodology to be used by the evaluation team will be detailed in an inception report. It shall include information on: **documentation, interviews, field visits and questionnaires**. Participatory techniques and other approaches for the gathering and analysis of data can be included with approval, budget permitting.

### Evaluation Criteria & Ratings

Project performance will be measured based on the Project Logical Framework (see Annex 1), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**, as defined and explained in the hyperlinked guidance manual. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex 3.

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<i>rating</i>	<b>2. IA &amp; EA Execution</b>	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

### Project finance / co-finance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)	Government (mill. US\$)	Partner Agency (mill. US\$)	Total (mill. US\$)

	US\$)							
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support	1,207,800	\$1.26mil	\$0	\$40,000			\$1.2 mil	\$1.3 mil
• Other								
Totals								

## Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention of and recovery from natural disasters, and gender. In addition, the evaluation will be included in the country office evaluation plan.

## Impact

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, or c) demonstrated progress towards these impact achievements.

## Conclusions, recommendations & lessons

The evaluation report must include a chapter providing a set of **conclusions, recommendations and lessons**.

## Implementation arrangements

The principal responsibility for managing this evaluation resides with the Executing Agency. The Executing Agency will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc. Evaluation timeframe:

The total duration of the evaluation will be 23 days according to the following plan (to be undertaken between 10 June and 20 August):

Activity	Number of Days	Date
<b>Preparation</b>	4 days	10-25 June, 2012
<b>Evaluation Mission</b>	7 days	25 June-8 July, 2012

<b>Draft Evaluation Report</b>	10 days	29 July, 2012
<b>Final Report</b>	2 days	20 August 2012

### Evaluation deliverables

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 1 week before the evaluation mission.	Evaluator submits to UNDP/GEF and Project Management
<b>Presentation</b>	Initial Findings	End of evaluation mission	To project management, UNDP/GEF
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to UNDP/GEF, reviewed by RTA, PCU, GEF OFPs
<b>Final Report</b>	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to UNDP/GEF for uploading to UNDP ERC.

### Evaluation Team

The evaluation team will be composed of one international evaluator. The consultant shall have prior experience in GEF learning projects through IW: LEARN, as well as evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have any conflict of interest with project related activities.

The Team members must present the following qualifications:

- Minimum 10 years of relevant professional experience;
- Knowledge of UNDP and GEF;
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s);
- Understanding of similar knowledge based projects.

### Evaluator Ethics

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex 4) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations' (<http://www.unevaluation.org/ethicalguidelines>) and the UNEG Code of Conduct ([www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)).

### Payment modalities and specifications

The rates for the evaluation are \$USD 500/day with DSA and travel for the field visit.

%	Milestone
10%	At contract signing
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

### **Application process**

The team at UBC in consultation with UNDP drew up the TOR for the terminal evaluation which was approved at the 4<sup>th</sup> Steering committee meeting in December 2011. The team at UBC consulted with UNDP to identify 4-5 potential candidates for the terminal evaluation. UNDP nominated a candidate and UBC accepted the nomination and began the process of recruitment.



## **Annex 2 - Itinerary**

Geneva-Vancouver-Geneva: 24-29 August 2012

### **Annex 3 - List of persons contacted and interviewed**

Some stakeholders were interviewed in face-to-face meetings, others by telephone and some through an electronic questionnaire. Among the persons who were sent a questionnaire only 20% of them provided answers.

- Cuauhtemoc Leon Diez (Colegio de Mexico)
- Susan Bazzilli (UBC)
- Stephen Donkor (UNIDO)
- Alfred Duda (IW GEF)
- Paul M. Evans (UBC)
- Parvin Farshchi (Caspian Environment Programme)
- Alex Grzybowski (Consultant)
- Mish Hamid (IW: LEARN)
- Glen Hearn (UBC)
- Marietta Lao (UBC)
- Rashid Mbaziira (African Union Commission)
- Emmanuel Olet (NBI)
- Hubert Onibon (UNEP, Ghana)
- Richard Kyle Paisley (UBC)
- Rondolph Payet (South West Indian Ocean Fisheries Project)
- Margaret Tuhumwire (Entebbe Women Association)
- Tonny Wagey (Arafura and Timor Seas Ecosystem Action)
- Joseph M. Weiler (UBC)
- Jose Vincente Zapata (Suarez Abogados)

**Annex 4 - Summary of field visits**

**N/A**

## **Annex 5 - List of documents reviewed**

Most project documents reviewed were found on the project website at [www.governance-iwlearn.org](http://www.governance-iwlearn.org) and IW: LEARN website.

This includes:

- Steering Committee Meeting reports
- Workshop reports
- Publications
- Quarterly reports
- APR/PIRs

## Annex 6 - Questionnaire used

1. Could you please give some indication as to the manner you were associated with the project.
2. One of the components of the project was to strengthen South-South cooperation in the area of international waters. Do you think that this objective was achieved? Would you have any suggestions as to the manner in which develop such kind of cooperation?
3. Did you participate in one or more of the seminars that were organized in the context of the project? What were the lessons learnt that you can draw from your participation in one or more of the seminars?
4. Were you involved in one way or another in the elaboration of the teaching and applied research materials that were prepared in the course of the project?
5. Have you used the Draft Reference and Training Manual that was produced in the context of the project, in seminars and meetings other than the ones organized in the context of the *Good practices and Portofolio Learning GEF Transboundary Freshwater and Marine Legal and Institutional Frameworks*? If yes, please provide examples. Would you have any recommendations as to their content?
6. Are the case studies that were prepared and posted on the website of the project of any use in the context of your water activities? How often do you use the posted information?
7. The project had gender mainstreaming as one of its objectives. How successful was this objective? Would you have any recommendations on how to pursue this objective in the area of international waters?
8. The experience of local experts in program delivery was conceived as important. Do you think that it

was successful? Would you have any recommendations in this respect?

9. The collaboration with GEF IW practitioners was seen as important. Do you think that the collaboration was fruitful? Was the project useful to GEF IW practitioners? If yes, how?

10. Would you have any recommendations with respect to the follow-up of the project?

**Annex 7 - Evaluation Consultant Agreement Form**

**Evaluation Consultant Agreement Form**

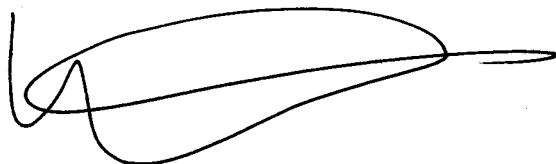
**Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** Boisson de Chazournes

**Name of Consultancy Organization (where relevant):** \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Geneva on 25 September 2012

A handwritten signature in black ink, consisting of several loops and a long horizontal stroke extending to the right.

Signature

## Annex 8 - List of publications prepared in the context of the project

### Case studies

<b>Columbia river</b>	On web
<b>GCLME</b>	On web
<b>Iullemeden aquifer</b>	On web
<b>Mekong river</b>	On web
<b>Lake Tanganika</b>	On web
<b>BCLME</b>	On web
<b>Caspian sea</b>	Waiting for publication
<b>Nile river</b>	Waiting for publication

### Articles

<b>Status</b>	<b>Journal</b>	<b>Articles</b>
Ready	Golden Gate Law Review	Resilience
Published	22 Pacific McGeorge Global Business & Development Law Journal 139 (2010)	Grzybowski, Alex, Stephen C. McCaffrey and Richard Kyle Paisley. Beyond International Water Law: Successfully Negotiating Mutually Beneficial Agreements for International Watercourses.
Published	International Journal of Rural Law and Policy (2011)	Paisley, Richard Kyle and Alex Grzybowski. Lessons Learned from Recent Experience with Governance of International Freshwater, International Groundwater and International Large Marine Ecosystems: Dispute Resolution. Proceedings of Water Law: Through the Lens of Conflict: Colloquium of the



		University of New England and the Australian Centre for Agriculture and Law.
Submitted	Marine Policy 2012	Bailey, Megan., Gakushi Ishimura, Richard Kyle Paisley and U. Rashid Sumaila, Present and Future Allocation Approaches for Internationally Shared Fish Stocks
Accepted for publication 2012		McCaffrey, Stephen C., Richard Kyle Paisley, Lynette de Silva, and Aaron Wolf, Transboundary River Governance in the Face of Uncertainty: The Columbia River Treaty in 2014 and Beyond: International Experiences and Lessons Learned.
Accepted for publication 2011	Bakker, Karen, Emma Norman and Alice Cohen. Water Without Borders: Canada, the U.S. and Shared Water.	Paisley, Richard Kyle and John Shurts. Columbia River Treaty: Past, Present and Future.
Published	UNEP Division of Environmental Law and Conventions, Nairobi, Kenya	Eckstein, Gabriel (ed.), Stefano Burchi, Maaria Solin Curlier and Richard Kyle Paisley. The Greening of Water Law: Managing Fresh Water Resources for People and the Environment.
Published	Geography Compass 4/2 (2010): 118–138	Hassan, Marwan A., Graham McIntyre, Abed Al-Rahman Tamimi, Mousa Diabat, Richard Kyle Paisley and Khaled Shahin. Future Palestinian Water I: Resources, Allocation and Perception.
Published	Proceedings of the XIII World Water Congress, Montpellier, France	Paisley, Richard Kyle. Overview of the UBC / COLMEX / GEF Transboundary International Waters Research Initiative (2008)

Published	FAOWATER, United Nations Food and Agriculture Organization (FAO), Rome (2008)	Paisley, Richard Kyle. International Watercourses / River Basins Including Law, Negotiation, Conflict Resolution and Simulation Training Exercises.
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