

MENARID GEF: IW:LEARN III
Strengthening Portfolio Delivery and Impact

TERMINAL EVALUATION



Evaluator:

Anthony Jerome Hooten

AJH, Environmental Services

2100 M Street, NW

Suite 170

Washington, DC 20037

ajh@environmentservices.com

www.environmentservices.com

FINAL REPORT

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MENARID GEF IW:LEARN: Strengthening IW Portfolio Delivery and Impact

Project Identification Numbers:

UNDP: 3900; GEF: 4219

Region: A Global GEF Project, and specifically including countries in the Middle East and North Africa Regional Integrated Development Region.

GEF Operational Program/Strategic Program: IW-2 Capacity Building for International Waters

Partners: GEF Implementing Agencies, UNDP and UNEP with other project partners including : IUCN Water and Nature Initiative; Rhodes University, South Africa; SEA START Regional Centre, Bangkok, Thailand; United Nations Educational, Scientific and Cultural Organization-International Hydrological Programme; United Nations University Institute for Water, Environment and Health; Global Water Partnership-Mediterranean, Athens, Greece.

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In time, and as one comes to benefit from experience, one learns that things will turn out neither as well as one hoped nor as badly as one feared.

- Jerome S. Bruner, Educational Psychologist, 1915 –

<https://www.youtube.com/watch?v=xxn6lpAJEz8>

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Acronyms and Abbreviations

APR	Annual Progress Report
ATLAS	Accounting and financial management system employed by UNOPS
CEO	Chief Executive Officer (of the GEF)
CMS	Content Management System (management system for interactive web pages)
CoP	Community of Practice
CSD	Commission on Sustainable Development
CTA	Chief Technical Advisor (= Project Manager)
EA	Executing Agency
FAO	United Nations Food and Agricultural Organization
FMU	Financial Management Unit
FSP	Full-Sized Project (GEF)
GEF	Global Environment Facility
GEFSec	GEF Secretariat
GETF	Global Environment and Technology Foundation
GW	Groundwater
GWP-MED	Global Water Partnership-Mediterranean
IA	Implementing Agency (for GEF projects)
ICARDA	International Center for Agricultural Research in the Dry Areas
ICPDR	International Commission for the Protection of the Danube River
ICT	Information Communication Technology
IFAD	International Fund for Agricultural Development
IHP	International Hydrological Programme (UNESCO)
IUCN WANI	International Union for Conservation of Nature - Water and Nature Initiative
IW	International Waters (GEF theme)
IWCAM	Integrated Watershed and Coastal Area Management
IWC	International Waters Conference
IW:LEARN or IWL	International Waters : Learning Exchange and Resource Network
IWRM	Integrated Water Resources Management
IWTF	International Waters Task Force
KM	Knowledge Management
LAC	Latin America and the Caribbean
LME	Large Marine Ecosystem
LogFrame	Logical Framework Matrix (superseded by the Strategic Results Framework, or SRF)
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MPA	Marine Protected Area
MTE	Mid-Term Evaluation
MDG	Millennium Development Goal
MED EUWI	Mediterranean Component of the EU Water Initiative
MENA	Middle East and North Africa
MENARID	Middle East and North Africa Regional Development
MERCOSUR	Mercado Común del Sur - Southern Common Market
MTE	Mid-Term Evaluation
NGO	Non-Governmental Organization
OP10	Operational Programme 10 (of the GEF)
PALs	Partnership Activity Leads
PCU	Project Coordinating Unit
PDF-B	Preparatory Development Facility, Phase Two (past GEF terminology)
PEA	Project Executing Agency
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PIF	Project Information Form (GEF Document)
PIR	Project Implementation Report
PM	Project Manager

POPs	Persistent Organic Pollutants (Convention)
ProDoc	Project Document
PPG	Project Preparatory Grant (Phase)
PPP	Public-Private Partnership
PSC	Project Steering Committee
RCU-CEP	Regional Coordination Unit – Caribbean Environment Programme (UNEP)
RTA	Regional Technical Advisor (for UNDP/GEF)
SAP	Strategic Action Programme
SC	Steering Committee
SCM	Steering Committee Meeting
SEE	Southeastern Europe
SRF	Strategic Results Framework
SWOT	Strengths, Weaknesses, Opportunities and Threats
TDA	Transboundary Diagnostic Analysis
TOR	Terms of Reference
TWRM	Transboundary Water Resources Management
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UNEP-DEWA	UNEP – Division of Early Warning and Assessment
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNOPS	United Nations Office for Project Services
WB	World Bank
WFD	EU Water Framework Directive
UNU-INWEH	United Nations University - Institute for Water, Environment and Health
WWF	World Water Forum

Executive Summary

The International Waters Learning and Exchange Resource Network is a global effort that encourages the learning, information sharing, collaboration and replication of good practices and experiences in the GEF International Waters portfolio. IW:LEARN 3: “MENARID GEF: IW:LEARN III Strengthening Portfolio Delivery and Impact” is a project that represents a third GEF-supported phase of IWL since its inception in the late 1990s. A major emphasis for IW:LEARN in this current project was to support the MENARID Region and strengthen national engagement, coordinate information, such as lessons and experiences, and provide tools and procedures to assist IW projects to better achieve their objectives through the provision of improved knowledge management, to provide guidance on mainstreaming climatic variability and change, to revise the methodology for the Transboundary Diagnostic Analysis and the Strategic Action Program, to incorporate gender and to consider public-private co-operation in IW projects.

IW:LEARN 3’s project objective is to *“To strengthen global portfolio experience sharing and learning, dialogue facilitation, targeted knowledge sharing and replication in order to enhance the efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives.”*

The project was implemented through five components that encompassed all of the above stated activities (15 in total) and intended to achieve twelve main outcomes (Table 1, Section 2.3).

This Terminal Evaluation (TE) assesses the achievement of project results of IWL3 and has identified lessons that can improve sustainability of benefits from this project and provide lessons and recommendations for future IWL operations.

Project Summary Table

Project Title:	MENARID GEF:IW:LEARN III: Strengthening Portfolio Delivery and Impact			
GEF Project ID:	3900		<u>at endorsement</u> <u>(Million US\$)</u>	<u>at completion</u> <u>(Million US\$)</u>
UNDP Project ID:	4219	GEF financing:	US\$3,160,000 (UNDP)/\$935,000 (UNEP)	US\$3,160,000 (UNDP)/\$935,000 (UNEP)
Country:	n/a	IA/EA own:		
Region:	Global	Government:		
Focal Area:	International Waters	Other:		UNDP EEG (1,763,000) UNESCO-IHP (550,000) Cornell University (40,000) UNECE (60,000) SEA START (238,000) UNEP CEP (100,000) IUCN-WANI (202,000)

				UNEP-IWG (200,000) UNU-UNWEH (1,240,000) UNEP-DEWA (701,824) UNDP BRC (60,000) UNEP (50,000)
FA Objectives, (OP/SP):	IW-2 Capacity Building for IW	Total co-financing:	US\$5,454,824	US\$5,204,824
Executing Agency:	UNOPS	Total Project Cost:	US\$4,095,000	US\$9,299,824
Other Partners involved:	UNEP	ProDoc Signature (date project began):		2 March 2011
		(Operational) Closing Date:	30 June 2014	30 June 2014

Project Description

The International Waters – Learning Exchange And Resource Network (IW:LEARN, also abbreviated as “IWL”) is a global effort that encourages the exchange of information, learning, collaboration and replication of good practices and experiences in the GEF International Waters portfolio. IW:LEARN 3: “MENARID GEF: IW:LEARN III Strengthening Portfolio Delivery and Impact” is a project that represents a third GEF-supported full-sized installment of IWL, with specific focus on groundwater and supporting the Middle East and North Africa Regional Integrated Development (MENARID) process, and in the replication and sharing of good practices between transboundary surface and groundwater management. However, in addition to this specific focus, IWL3 also has activities that have intended to continue broadening IWL’s reach and diversity of learning and exchange, and to widen the number of partners that may participate in a learning community and that share common concerns and goals for the future of International Waters and their sustainability.

But IWL is more than a specific project; it is a program that has spanned almost a decade and a half of effort and has continued to evolve to promote experience sharing and learning among GEF International Waters projects and country officials, agencies, regional bodies, and partners working on IW-related issues. IWL has also essentially served as the Secretariat and coordination mechanism for the International Waters Conference—held every two years— and has now just completed its 7th convening. The IWC perhaps represents the most vivid example of face-to-face sharing of knowledge between practitioners concerned with IW. But IWL’s website, IWLEARN.NET, is intended to support knowledge sharing in the GEF IW portfolio on a daily basis, managing project-related information, contacts, documents, e.g. case studies, Transboundary Diagnostic Analyses and Strategic Action Programmes, news, events and even job opportunities. Outputs from GEF IW Conferences, guidance materials and products of GEF IW:LEARN or water-related learning are also available on IWLEARN.NET.

In the context of this Terminal Evaluation (TE), a major emphasis for IW:LEARN during this project has been to support the MENARID Region and strengthen national engagement, coordinate and exchange information content, such as lessons and experiences, and provide tools and procedures to assist IW projects to better achieve their objectives through the provision of improved knowledge management, to provide guidance on mainstreaming climatic variability and change, to incorporate gender and to consider public-private cooperation in IW projects. IWL 3 was also charged with facilitating the 6th IW Conference, and in addition to this, incorporated the 7th IWC into its work program, for which it was not

originally tasked in the project design. The project also attempted to initiate improved involvement between IW projects and the wider science community through a first IW Science Conference, held in Bangkok, Thailand in 2012. This activity was specifically included in this project as a follow-up to the GEF-UNEP-UNU IW Science project titled: *Enhancing the Use of Science in International Waters Projects to Improve Project Results*.

The project ran from January, 2011 through June, 2014, and was designed with five components which were further divided into fifteen subcomponents (or activities), resulting in 27 specific outputs and twelve outcomes. The components were:

1. Component 1. MENARID Programme – Support via Land/Ground Water Integrated Management and Regional Portfolio Learning and Dialogue.
2. Component 2. Learning and Replication of Good Practices in Transboundary Surface and Groundwater Management.
3. Component 3. Global and GEF IW Portfolio Learning and Dialogue to Enhance Project Delivery and Impact
4. Component 4. Information Management and Communications Platform to Support GEF IW Projects Learning and Dialogue.
5. Component 5. Programmatic Management Tools and Innovative Approaches related to Climate / Water and Private Sector Participation to Enhance GEF IW Portfolio Project Performance.

IWL3's main partners include UNDP and UNEP (responsible for coordinating different components); IUCN Water and Nature Initiative; Rhodes University, South Africa; SEA START Regional Centre, Bangkok, Thailand; United Nations Educational, Scientific and Cultural Organization-International Hydrological Programme; the Global Water Partnership in the Mediterranean; the Caribbean Environmental Programme and the United Nations University Institute for Water, Environment and Health. The project stakeholders include IW projects and their staff, country representatives who attend the GEF International Waters Conferences, GEF implementing and executing agencies, those IW projects able to benefit from face-to-face exchanges and twinning activities, participants in Regional meetings and workshops, such as MENARID, Africa, the Caribbean and Southeast Asia workshops, and regional coordinating bodies throughout the IW portfolio (whether currently supported or established as a result of past GEF support), attendees of IWCs 6 & 7, the 2012 IWL Science Conference and the GEF-Secretariat.

Project Ratings

As a result of this TE, a rating for the project overall can be considered as **Satisfactory**. The project's Monitoring and Evaluation process was determined to be generally **Satisfactory** (with M&E implementation considered as **Highly Satisfactory**). The IA and EA execution of the project was also considered as **Satisfactory** largely because the project's outcomes were met as planned. The dual implementation arrangements and the distributed nature (both spatially and managerially) of the PCU are cause for concern, as the project experienced some inefficiencies

and challenges with certain technical and managerial aspects.¹ For the Assessment of Project Outcomes, the project's Relevance was rated **Highly Satisfactory** and Effectiveness rated as **Satisfactory**; the Efficiency was rated as **Moderately Satisfactory**. Risks to sustainability overall were considered **Moderately Likely**, based upon Socio-political considerations in the MENARID region and potential risks of climate change impacts, such as punctuated storm events, having some potential impact—irrespective of the likelihood—upon future IWL activities, face-to-face exchanges, workshops or other convenings. Other ratings of the project not specified in the Evaluation Ratings Table (below) are included in the body of the report (beginning at [Section 3.1](#)).

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	rating
M&E design at entry	S	Quality of UNDP Implementation (including UNEP and a co-implementer)	S
M&E Plan Implementation	HS	Quality of Execution - Executing Agency	MS
Overall quality of M&E	S	Overall quality of Implementation / Execution	MS
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance	HS	Financial resources:	L
Effectiveness	S	Socio-political:	ML
Efficiency	MS	Institutional framework and governance:	L
Overall Project Outcome Rating	S	Environmental:	ML
		Overall likelihood of sustainability:	ML

Summary of Conclusions, Lessons Learned and Recommendations

IWL3, has generally been satisfactorily designed and implemented. By the project's end all of the components have achieved most of their outcomes set up in the Results Framework. The project principals, staff and partners should be recognized for the significant work, commitment and the achievement of outcomes realized over the course of the project period, especially in light of the modest budget against the complex set of activities undertaken and the distributed management arrangements of the Project Coordination Unit. The project's strategy, with its

¹ The dual implementing arrangements for IWL were also flagged by evaluators during the terminal evaluation of IWL2 and the MTE for IWL3 and are discussed in Section 3.2 of this TE.

five components and twelve outcomes has been generally successful in continuing to strengthen IWL's impact, particularly in the MENARID Region and the Mediterranean, but also to some degree in other world regions (e.g. Africa, Southeast Asia and in the Caribbean Basin) from Regional workshops that continue the dialog surrounding the sharing of knowledge, lessons and practices.

IWL's overall impact has continued to grow and mature over the course of time. It has engaged in **targeted training** (supporting water resources management and capacity building), **Regional Dialogues and Workshops** that have helped to increase awareness of the need for shared lessons and good practice; the development and use of "**project twinnings**"— pairing IW projects for face-to-face engagement between project principals who share common objectives and/or challenges. IWL has also positively affected IW projects, by developing content (e.g. detailed guidelines, handbooks, technical web services and training) as tailored services to IW project managers around the world—and has made such content available on its website for use. These achievements have allowed IWL to be recognized beyond its service to the GEF-IW portfolio; and have begun to share information and activities with 'external' partners, and some of these partners have participated in IWL3.

The project has also been successful in designing effective SMART outcome indicators that allowed the Steering Committee and the PCU to successfully measure its more immediate impact, and through the use of the Monitoring and Evaluation plan enabled the project to adaptively manage its activities to a successful degree. To the project's credit, it learned and applied this latter lesson from previous IWL project experiences².

Like all projects, IWL3 has experienced some challenges with several of its activities. The IWC7 conference was not specifically designed to be accommodated within the project, yet the Steering Committee and the PCU, in coordination with the GEFSEC and selected partners were able to successfully finance and convene the Conference in Barbados in 2013.

Even though the dual implementing arrangements and distributed PCU model functioned, it entailed some transaction costs that had influence over the project. The current model with distributed management authority affected clarity regarding responsibility, priorities and direction. Future projects for IWL should seriously consider a single IA, using MOUs to delegate responsibilities. But most importantly, the Project Coordinating Unit should have staff co-located with a single project manager having ultimate authority over executive decisions (in cooperation with the Steering Committee) and responsibility for the delivery of project outcomes.

The executing arrangements for the project shifted some administrative responsibilities to the PCU, which affected the limited staff's ability to focus needed time on knowledge management

² IWL3 Mid-term Evaluation; IWL2 Terminal Evaluation

activities, especially the ability to interpret, translate and exchange (or “push”) selected content to IW practitioners. As a result of limited time and resources, IWL currently serves more as a repository and information warehouse (especially as the content of the IWLEARN.NET grows) than a knowledge management exchange.

As IWL continues, it needs to simplify on one hand—to make sure that it clearly defines priorities and makes good on those first and foremost, before taking on other obligations. But it also needs to balance expanding its partnership so that it remains relevant in a global and increasingly dynamic community. IWL cannot be too inward-looking if it is to sustain itself as a knowledge enterprise for the future. If IWL is to be able to successfully grow beyond its service to the GEF Secretariat and the IW portfolio then it has to convince all IW stakeholders of its value-added proposition. Engaging in a ‘visioning’ and priority setting exercise concerning IWL’s core business and then steps needed to incrementally expand its outreach to the broader IW community would benefit IWL’s future project design. Furthermore, it should strengthen its delivery of core business and daily communication and outreach by adopting recommendations to improve its web presence.

The following recommendations are made for future consideration in the design of IWLearn’s next program.

1. **Clearly define IWL’s value added proposition and define its first, second and third-order priorities** so that it has a clear delineation of its mission, core objectives, responsibilities and can master its core business as a first order priority. Once it achieves this, it will be in a stronger position to reach out and broaden its learning and knowledge exchange partnership beyond the GEF and its IW portfolio. IWL should not spread itself too thinly with diverse activities in its next project design.
2. **Adequate resourcing, staffing and centralization of the IWL Project Coordination Unit**
In the future, it would be to IWL's benefit to have a single, co-located Project Coordinating Unit, where the Project Manager has all staff in the same office (at least initially) and especially with direct responsibility over new developments and modifications concerning IW:Learn's web presence, so this important function can be most efficiently managed given its crucial role in daily information sharing and communication for the growing IWL community.
3. **IWL should always plan for multiple IWCs in IWL’s programming and project design**, as more than one IWC may span the life on a given future project and should be always be appropriately planned for and resourced within each project.
4. In the future, **contractual agreements between IAs and project execution** should be carefully reviewed by the Steering Committee to ensure that there is adequate resourcing allocated to meet the administrative demand. Alternatively, the IWL PCU should engage a chief Operating Officer with the necessary skill set to provide all

administrative functions, so that the project manager and the technical staff can be allowed to undertake their respective technical roles as knowledge managers.

5. **Fiscal flexibility is needed within IWL’s program structure to better respond to unforeseen, emergent/evolving need as project implementation unfolds.**

6. **Re-examine and reprioritize elements of IWL’s Web presence – both content and the technology options needed to present and manage it.**

Transitioning to the next IWL project presents the opportunity to perform a stock-taking of IWLEARN.NET. The PCU should have both authority and responsibility for engaging a highly qualified third party contractor to work with the current technical staff to help deliver a web presence that effectively manages IWL’s growing content and satisfies user needs.

7. **Partner with existing networks (i.e. the EBM Tools Network (www.ebmtools.org) or with Open Channels (<http://openchannels.org/>) to take advantage of programs that already have expertise in the application and use of webinars to advance IW learning, including the need to focus on different learning styles, including adult learning.**

8. **Further develop the “Impact Tracker” as a relational database application for Long Term monitoring of IWL progress.** The current IWL3 PCU has created a flat file database (i.e. in spreadsheet format) to track IWL participants over time so that the longer term impact of IWL engagement might be better measured in the future. This is an excellent concept and something needed to improve metrics for IWL’s growing influence.

9. **Content Visualization needs to have a specific focus and priority initially with clear terms of reference to produce specific outputs, and then build upon it.** IWL needs to develop a specific terms of reference for visualization and start small to prove the concept specifically for IW and then broaden its visualization areas of concern. UNEP is embarking on an ambitious web and database initiative—“UNEP Live”—which is proposed to serve as a comprehensive information management system, and much of UNEP’s managed content, and that of its willing partners, is intended to eventually reside with this new and emerging platform³. IWLearn should remain in contact with UNEP about the progress of the “UNEP-Live” platform, especially the prospects that it could hold for data visualization. However, it is recommended that IWL maintain its web presence and knowledge base independently under the PCU and directly manage the mission-critical operations of its content. IWL should continue communication with

³ https://www.youtube.com/watch?v=4e_itRQ_G-M

UNEP about the progress of the “UNEP-Live” platform and whether any future partnership directly with this platform could be mutually beneficial.

10. **Targeted Messaging and Communication:** IWLEARN’s future projects should consider a highly strategic approach to targeting specific messages to the right stakeholders. It is recommended that for future IWL projects that a communications firm with specific experience in targeting resource messages be contracted on a part-time basis to work with both the PCU and the Steering Committee. This is a cost-effective approach to consider in pushing key messages for IW to the right audience at the appropriate time.

1. Introduction

The GEF International Waters (IW) focal area targets transboundary water systems that include lakes, river basins, groundwater aquifers and rivers, and large marine ecosystems that abut and are encompassed by the ocean. Since the GEF's founding in 1991, the IW portfolio has comprised approximately 170 projects spanning more than 149 countries around the world. IW grants and investments have amounted to more than \$1.3 billion and have reportedly catalyzed about \$7 billion in co-financing. The GEF continues to serve as the single largest donor of environmental projects around the world that seeks to address resource stewardship and sustainability across a number of environmental themes.

Recognizing this ever-increasing portfolio, and the increasing complexities that the IW theme is continually faced with addressing the world over, early architects within the GEF recognized the vital importance of learning and sharing of knowledge from IW's breath of experiences—both successes and failures. "Knowledge Management" was recognized in the late 1990s and early 2000s by many institutions as a crucial element required to better evaluate, adapt and adjust to changes both internally and externally. Furthermore, because the IW focal area of the GEF does not have a global convention on water, IW:LEARN provides a forum through the biennial International Waters Conference to meet, discuss and share experiences between stakeholders and projects.

IW:LEARN (IWL) began in 1997 with participation by all three GEF implementing agencies at the time: UNDP, the World Bank and UNEP. Each agency participated in or developed some aspect of IWL initially during an experimental period (2000-2003), followed by a pilot effort. From 2004 until 2008, IWL embarked on an 'operational phase' and has steadily evolved since inception. This third iteration of IWL, the "MENARID GEF IW-LEARN" project (also known as IWL3), has been implemented from January 2011 through June 2014, and has sought to make some important strides in maturing as a Global Network and has included other partners. Today, IWL's overarching goal is to strengthen Transboundary Waters Management by facilitating portfolio learning and information management among GEF IW projects and partners.

The current phase IW:LEARN (2011-2014) was designed to establish regional and thematic learning exchanges among subsets of the GEF IW portfolio, organize the 6th biennial GEF IW conference, and expand the GEF IW resource center with a suite of new portfolio learning tools. The project was intended to continue the original charge for IWL but has expanded to incorporate new tools and activities for the GEF IW portfolio, including:

1. Focus on Groundwater: Support to the MENARID Programme
2. Revision to the TDA-SAP Course and Methodology

3. International Waters Focal Area/Project Manager's Implementation Guide and Course
4. Guidance on Private Sector Engagement
5. Guidance on Mainstreaming the Impacts of Climatic Change and Variability
6. Global Communities of Practice for Surface Freshwater and Groundwater Projects
7. Portfolio Results Dissemination (Publications, Journal Articles, Film)
8. IW Science Conference (2012) & Science Learning Network
9. Guidance on Delivering Sustainable Finance for Transboundary Basin Management
10. A Project Results Archive
11. A Portfolio Visualization Tool
12. Integrate IW:LEARN with other UN-Water platforms.

1.1 Purpose of the Evaluation

The purpose of this Terminal Evaluation (TE) is to assess the achievement of project results of IWL3 and to identify and draw upon lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP and other agency/partner programming. This is particularly important in light of the advanced planning that has already been undertaken in designing what essentially is “IWL4” in the first quarter of 2014. This TE is not focused on rehashing information that has already been (quite effectively) covered during the Mid-Term Evaluation (MTE). Performed just over one year ago (February, 2013), the MTE has gone into significant detail in describing project components and activities and assessing project progress up until that point in time. This TE assesses the operational progress since the MTE, whether the recommended course corrections have been effectively addressed, or not, and whether the outputs and outcomes have been finally achieved by the end of the project. In particular, this TE seeks to identify key lessons and make recommendations that can be used to better structure future phases and operations of IW:LEARN.

1.2 Scope & Methods

This TE has been undertaken in accordance with the Terms of Reference provided to the evaluator as part of the Individual Contractor Agreement received from UNOPS (Refer to [Annex 5.1](#)). The evaluation was performed according to the UNDP and GEF Monitoring and Evaluation procedures and has used the criteria of relevance, effectiveness, efficiency, sustainability and impact through an evidence-based approach. It has employed a desk review of relevant IWL documents, and a consultative, participatory process through interviews and face-to-face discussions. Evidence used was gathered from a comprehensive desk review of more than 90 documents ([Annex 5.3](#)), and also from interviewing as many IWL stakeholders as possible under time and resource constraints ([Annex 5.4](#)). The evaluation period occurred from March through May, 2014.

Desk Review

The TE began with a compilation of documents received from the IW:LEARN website, the GEF Website and the IWL project coordinating unit (PCU). A list of the files reviewed is provided as [Annex 5.3](#). Each of the documents reviewed was examined to gain an understanding of issues and project progress, financial management, how IWL was being executed and adaptively managed, and for the purpose of structuring questions for discussion with IWL stakeholders. Additional documentation was added to this information base as a result of interviews and further discussions.

Identification of Key Partners and Project Participants

At the same time as the Desk Review, the evaluator identified and prioritized a list of stakeholders engaged in IWL3 over the course of the project period, and this list served as the basis for contacting IWL participants for interviews. "Interviews" have consisted of telephone, Skype, email correspondence (especially in response to specific questions), and face-to-face meetings and discussions. Given the timeline and budget, face-to-face meetings only occurred in Washington, DC and in Grahamstown, South Africa, however, every effort was made to reach as high a percentage return as possible among the finalized interview list within the available timeline for this TE.

Questionnaires and previous IWL Evaluations

Previous evaluations for IWL relied initially on the design and dissemination of a standardized questionnaire through which an adequate response was hoped to serve as the basis for drawing inference over the population of IW:LEARN project participants (and thus adequately representative in compiling responses). From such earlier attempts, the rate of response to the standard questionnaire was less than 10%. The very poor level of response was not only disappointing to those reviewers, but essentially offered little value in the pursuit of reliability, or usefulness at the end of the previous evaluation processes. Each evaluation eventually had to rely predominately on desk review, email correspondence or interviews or discussions from a smaller number of IWL stakeholders with whom the evaluators held meetings or used other modes of communication. Based on this previous experience, this Terminal Evaluation focused immediately (especially given limited time and resources) on the identification of key players within the IWL3 project from the outset, and made a concerted effort to reach and communicate with as many of these stakeholders as possible, as well as other experts outside of the IWL community, in seeking input to this TE ([Annex 5.4](#)).

Field Visit

One Field visit took place where the Terminal Evaluator joined the *3rd African Regional Targeted Workshop for GEF IW Projects* in Port Elizabeth, South Africa, from May 7th-9th, 2014. Workshop Participants were interviewed in person or in a group discussion setting, during the course of the workshop period (refer to Annexes [5.4](#) and [5.5](#)).

Structure of guiding questions customized for each of the interviewees.

Following the completion of prioritizing the list of IWL3 stakeholders and the review of the assembled documentation, key questions were developed and then customized to address the different stakeholders (i.e. that represent different roles, components, products and outcomes) and used during the interview process. Questions also included those evaluation questions from Annex C of the Terms of Reference and were slightly customized by the Evaluator based on the interview pursued.

Generally, the interviews and questions covered the following information:

- To what extent has the project strategy been successful in strengthening IW portfolio delivery and impact?
- Did the project effectively capture and disseminate project results and experiences from the IW projects?
- Did the project activities foster efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives and enhance the technical capacity of the recipients?
- How did the project activities translate into benefits for transboundary water management?
- What mechanisms are in place to ensure stakeholder ownership and sustainability of the benefits of IW: LEARN and associated technical support?
- What are the most positive aspects of IWL (in your experience)?
- Where can IWL see improvement?

Questions were also generated from the Project Results Framework pertaining to whether the specific metrics were successfully achieved. The Evaluator also posed questions that emerged from the Desk Review of documents, the M&E process and progress reporting over the course of the project life.

From March 25 until May 30, 2014, forty seven interviews were conducted, either in person, via telephone, or using Skype, with minor follow up questions via email (refer to [Annex 5.4](#)). All interviews conducted emphasized confidentiality between the evaluator and the respondent. Of course, all respondents have their individual perceptions on a range of issues and outcomes related to the project. If specific responses or points were raised during multiple interviews, then this constituted consideration for inclusion in the evaluation report.

1.3 Structure of the Evaluation Report

This TE has followed the outline of reporting and assessment as stipulated in the project Terms of Reference. The report begins by briefly describing the project and its various components and activities. The MTE is referenced in this report, given that it was completed slightly more than one year and a quarter ago (February, 2013)⁴. Consequently, it would be unproductive to restate many of the same details and activities in this report given the close proximity in time. Rather, project components and activities are briefly summarized; evaluation of the progress

⁴ <http://tinyurl.com/lzkdbo7>

made since the MTE, and whether the recommended course corrections have been addressed. A number of the tables in this TE also reference assessment made at mid-term, so that the reader may contrast the progress since that time until the end of the project.

The ratings used to assess the key project elements, as specified in the TOR, include the standard GEF ratings as follows:

Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

Satisfactory (S): The project has minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

Unsatisfactory (U): The project has major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

A significant focus of this TE assesses whether the outcomes were achieved and rates the project per the Evaluation Terms of Reference. Not all components or activities are discussed in detail. There are particular activities that the TE felt were worth highlighting in comparison to others, and these are brought out and discussed in Section 3. It also considers lessons learned and offers recommendations for the future support of this important project and program.

2. Project description and development context

The “MENARID GEF IW:LEARN: Strengthening IW Portfolio Delivery and Impact” has intended to strengthen the global portfolio experience-sharing and learning, dialogue facilitation, targeted knowledge sharing and replication to enhance the efficiency and effectiveness of GEF International Waters (IW) projects, and to deliver tangible results in partnership with other IW initiatives. In addition to IWL’s ongoing portfolio, regional and global outreach, the project was designed to emphasize a specific region—the Middle East North Africa Regional Program for Integrated Development (MENARID)—to seek improved effectiveness through groundwater and improved subsurface space management. The project includes five inter-related and mutually supportive substantial components ranging from land and groundwater integrated

management, replication of good practices in transboundary surface and groundwater management, learning and dialogue to enhance IWL delivery and impact, strengthen IWL's information and communication platform, program tools to enhance project performance, and mainstreaming climate change and private partnerships into the IW portfolio. The project was undertaken through a joint implementing arrangement between the United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP), but with the involvement of all GEF agencies and other partners (refer to Section 2.5).

The project's five components were further divided into fifteen subcomponents (or activities), resulting in 27 specific outputs and twelve outcomes (Table 1). The project components are summarized as follows:

Component 1. MENARID Programme – Support via Land/Ground Water Integrated Management and Regional Portfolio Learning and Dialogue. It contained **three** subcomponents: **a)** support to the MENARID Region for Integrated Land and Water Management, with the main intended outcome being improved effectiveness in addressing land degradation through integrated groundwater and subsurface management; **b)** Increased Regional Dialogue in Southeastern Europe and the Mediterranean, with the intended outcome being enhanced management and capacity through inter-basin coordination and **c)** delivering IWL services in the GEF regions, also with the expected outcome of improved regional inter-basin coordination and capacity among institutions and project partners.

Component 2. Learning and Replication of Good Practices in Transboundary Surface and Groundwater Management. This included **two** subcomponents of **a)** an established Groundwater Community of Practice, with the expected outcome to be an increased capacity of GEF groundwater and freshwater basin projects to exchange experiences and replicate good practice and exercise adaptive management; and **b)** to establish a Surface Freshwater Community of Practice, also with the same expected outcome as 2 (a).

Component 3. Global and GEF IW Portfolio Learning and Dialogue to Enhance Project Delivery and Impact has **four** subcomponents that involve a) support to the 6th International Waters Conference; b) Global Dialogue Participation; c) an IW Science Partnership, and d) an IW Focal Area Portfolio Results Dissemination. The expected outcomes for this Component were, respectively: **a)** a strengthening of IW portfolio performance and capacities among GEF IW Project managers; **b)** increased awareness of GEF IW experiences, achievements and partnerships with non-GEF-supported interventions; **c)** stronger science and improve technical implementation in GEF projects, along with better integration of the scientific community in IW projects, and **d)** the same outcome as 3 b): increased awareness of GEF IW experiences, achievements and partnerships with non-GEF-supported interventions.

Component 4. Information Management and Communications Platform to Support GEF IW Projects Learning and Dialogue, involve six specific activities. These are **1)** the IW:LEARN Web

Platform; **2)** Training and technical assistance for the development of individual IWL project websites; **3)** Links to UN-Water related platforms; **4)** Portfolio Visualization; **5)** Online workspaces for project activities and **6)** Comprehensive, searchable catalog of GEF IW project experiences and results.

The expected outcomes of this component were an improved web-based, knowledge management system that included better use of IW resources, combined with communication capability; enhanced visibility of project activities, included the ability to visualize projects' disposition and activities in space and over time (i.e. geographically spatial representation of specific project attributes), and improved stakeholder access to data and results from IW projects.

Component 5. Programmatic Management Tools and Innovative Approaches related to Climate / Water and Private Sector Participation to Enhance GEF IW Portfolio Project Performance. This component was also further divided; in this case there are **five** sub-components a-e and involved the following activities: **a)** TDA-SAP Methodology and Course and **b)** A Focal Area/ Project Manager Manual and Course, both with the expected outcomes of improved standardization and harmonization of new GEF methodological approaches and results-based management within IW projects--to address emerging global issues, including vulnerability to climatic variability & change in transboundary basins; **c)** an Index-Insurance Pilot activity to test risk insurance mechanisms, also tied to climate variability and change; **d)** Engagement with the Private Sector, with the expected outcome of stronger public-private partnerships to help facilitate sustainability of GEF interventions, and **e)** Mainstreaming Climate impacts in IW, with the expected outcome also being improved standardization and harmonization of new GEF methodological approaches and results-based management within IW projects that will help to address emerging global issues, especially vulnerability to climatic variability & change in transboundary basins.

2.1 Project start and duration

There appears to be some slight discrepancy between various documents defining the start and end dates of the project, and this was also observed and discussed in the Mid-term Evaluation. While the Project Information Form (PIF) listed the start date for the project as being March 2011, and the end date of April 2014 (a duration of 37 months), the final approved project document specified January 1, 2011 as the start date, and 30 June 2014 as the end date, giving a duration of 42 months. The implementation start date in the PIR/APR documents define a start date of 26 January 2011 and end date of 31 July 2014. Regardless, it appears that the project duration is listed for a 42 month period. In short, the project will have run from January, 2011 through June, 2014.

2.2 Problems that the project sought to address

In the late 1990s it was realized by key IW architects within the GEF Secretariat and Implementing Agencies that the growing IW portfolio contained significant information, experiences and knowledge that, if shared and targeted across the community, could serve as a currency to improve results for future projects and to increase the capacity of IW practitioners globally. It was at this point that the International Waters Learning Exchange And Resource Network (IW:LEARN) was established. IW:LEARN was envisioned and developed to serve as a central hub of information and knowledge sharing and to deliver a range of content and experience to benefit the GEF IW portfolio of projects. In the late 1990s and early 2000s, IW:LEARN (IWL) was in an experimental and then a pilot phase period to test a number of concepts and approaches. It then graduated to an operational phase from 2004 until 2008.

This project, the third iteration of IWL, has been to further promote experience sharing and learning among the GEF International Waters (IW) projects and the country officials, agencies, and partners working on them and to scale up its methods and tools portfolio-wide. IW:LEARN 3's main emphasis has been to support the MENARID Region and strengthen national engagement, coordinate information content, such as lessons and experiences, and to provide tools and procedures to assist IW projects to better achieve their objectives through the provision of improved knowledge management, to provide guidance on mainstreaming climatic variability & change, to incorporate gender and to consider public-private co-operation in IW projects. And in pursuit of global and regional objectives, IW:LEARN has aimed to strengthen portfolio experience sharing and learning globally, by facilitating dialogue, targeted knowledge sharing and replication through partnership with other IW initiatives, some of which are outside of GEF funding.

2.3 Immediate and development objectives of the project

IW:LEARN's immediate project objective, as stated in the project document is: "To strengthen global portfolio experience sharing and learning, dialogue facilitation, targeted knowledge sharing and replication in order to enhance the efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives." The Project Results Framework identifies twelve outcomes that are expected from the project and are listed in the Table 1 below:

Table 1. Twelve expected project outcomes and their respective outputs and indicators.

Expected Outcomes	Expected Outputs	Indicators
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Expected Outcomes	Expected Outputs	Indicators
1. Improved effectiveness in combating Land Degradation in MENARID through an enhanced role of groundwater and improved subsurface space management.	5 mechanisms for integration of groundwater dimensions within 100% of the MENARID program projects.	% MENARID projects incorporating GW management planning
2. Enabling regional inter-basin coordination to enhance management capacity of institutions and project partners.	Two regional approaches to transboundary water cooperation advanced in the Southeastern Europe and Mediterranean region; Three regionally-defined functioning communities of practice of GEF IW project stakeholders and partners, managed by regional institutions and conducting 15 twinning/learning experience exchanges and 9 workshops	• At least 1 new regional processes/initiative in North Africa/Near East sub-regions; • Co-operation on at least one transboundary basin is enhanced on initiated; • Number of IW projects adopting new management approaches;
3. Increased capacity of GEF groundwater and freshwater basin projects to exchange experiences and replicate successful groundwater management approaches and practices to address adaptive management.	Two functioning & facilitated communities of practice (COP) for at least 100% of GEF IW groundwater and 75% of river basin project stakeholders and partners; Functional dialogue, twinning, and 5 learning exchanges within and between groundwater and river basin CoPs and mechanism of partnership with the global LME network; At least 2 dialogues with regional focus (Africa, Asia and the Pacific, Latin America and SIDS) facilitated between GEF groundwater projects and ongoing relevant efforts.	• Number of CoPs formed; • % of groundwater projects involved in CoP • % surface freshwater projects involved in CoP • Number of transboundary commissions (or equivalent) involved in CoP • Number of groundwater practices replicated through IWL • Number of exchanges between surface and groundwater projects • Participation at groundwater CoP by surface water representatives and <i>vice versa</i>
4. Lessons and science from GEF groundwater portfolio incorporated into and disseminated through networks, partners, and processes, strengthening the GEF IW GW portfolio.	20 experience Notes, policy briefs, special articles and case studies on good practice solutions for groundwater management	• Number of examples/lessons/ good practices disseminated • % of presentations focusing on groundwater at IW Science conference.
5. Global GEF IW portfolio performance and capacities strengthened, in particular among project managers of GEF IW projects	6 th Biennial GEF International Waters Conference in the Mediterranean region for 300+ portfolio stakeholders; 4 IWC6 host Mediterranean region projects' dedicated sessions at IWC6	• % of IWC6 participants indicate increased capacity • % of IWC6 exhibit an innovation or replicable experience • % of IW project managers attend IWC6.
6. Increased awareness of GEF	20 years of GEF IW project results	• Number of global policy

Expected Outcomes	Expected Outputs	Indicators
IW experiences and achievements and partnership with non-GEF supported interventions	presented at IWC-6 collated, analyzed and disseminated in proceedings, including 30 Experience Notes and an IWC-7 roadmap; Facilitated dissemination of best practices from GEF IW projects and partners in 8+ approved global dialogue processes to transfer experiences and know-how	discussions/events with GEF IW Projects on the agenda/participating; • Number of partnerships (established between GEF IW projects and external partners), joint activities or co-funding resulting from global forum participation.
7. Improved technical implementation of projects through strengthening the science base of IW projects and improved integration of the wider science community into these projects.	Completion of the first GEF IW Science Conference for 150 practitioners; Two functional scientific networks integrating IW project experts and the wider scientific community; GEF IW project results & achievements captured in peer-reviewed 6 journal articles per year and 2 publications.	• % of GEF IW projects participating at Science Conference sharing results • Number of IW projects referenced in scientific literature • % of IW projects submitting papers to journal • % IW projects demonstrate examples of shared practices
8. Improved web-based information and knowledge management and utilization of the IW resource center and project communication platforms	User-driven and user-friendly functionality for thematic Communities of Practice (CoPs)/workspaces and individual project toolkit websites at IWLEARN.NET; A comprehensive searchable catalogue of at least 100 GEF IW projects' experiences and results	• % of IW Stakeholders satisfied with IWLEARN.NET • Number of hits per month on IWLEARN.NET increase • Number of downloads per month increase
9. Enhanced visibility and visualization of project activities and results facilitates cooperation and replication.	Portfolio visualization tools (utilizing e.g. Google Earth and video), applications and regular news dissemination including e-updates	% of projects utilizing the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines
10. Enhanced stakeholder access to data and results from IW projects.	10 workspaces for specific portfolio subgroups such as COPs, project managers and governments, and IWTF; Training and technical assistance for individual project website development and links to 26 UN-Water family platforms, to support targeted knowledge sharing and dialogues.	% of IW projects have current information on project results IWLEARN.NET
11. Improved standardization and harmonization of new GEF methodological approaches as well as results-based management in IW projects to help address new global issues & improve performance,	A revised, and GEF IWTF endorsed, TDA/SAP on-line training course that incorporates emerging issues of gender mainstreaming, financial sustainability, and supports new approaches to adaptive management for climatic	• Endorsement of TDA/SAP methodology by GEF IWTF • Number of IW projects utilizing new methodology • Number of CTAs/PMs using the manual

Expected Outcomes	Expected Outputs	Indicators
including vulnerability to climatic vulnerability & change in transboundary basins.	variability & change	• Number of IW projects using approach to climatic variability & change
12. Public-private partnerships promoted and facilitate sustainability of GEF IW interventions	Leadership training for IW project managers, based on an IW focal area on-line manual and capacity-building to support skills required, including understanding	• Number of IW projects that have been assisted with the development/promotion of public-private sector engagement • % of IW projects included public-private partnerships in sustainability plans

2.4 Baseline Indicators established

Table 1 (above) also presents the various **indicators** for each of the twelve expected outcomes and also identifies specific outputs to be achieved and indicators used to measure achievement by the end of the project. Specific outcomes are led by certain partners that signed onto the project and achieving the outcomes were dependent upon the cooperation of each partner. Table 2 (below) repeats the outcomes but lists the specific metrics and percentage achievements within each of the indicators to characterize the expected results.

2.5 Main stakeholders

The GEF Implementing Agencies for IWL3 are UNDP and UNEP responsible for coordinating different components, but also participating in others. Other project partners included IUCN Water and Nature Initiative; Rhodes University, South Africa; SEA START Regional Centre, Bangkok, Thailand; United Nations Educational, Scientific and Cultural Organization-International Hydrological Programme; the Global Water Partnership in the Mediterranean; the Caribbean Environmental Programme and the United Nations University Institute for Water, Environment and Health. The diagram on page 24 shows the relationship of these IWL stakeholders in relation to the project components.

However, there are other stakeholders involved and beneficiaries of IWL3, and these include participants in the regional workshops (e.g. MENARID, Africa, participants in the Caribbean and Southeast Asia workshops), those projects able to benefit from the twinning activities (for example, The Humboldt Current and Benguela Current LMEs), project managers and regional coordinating bodies throughout the IW portfolio (whether currently supported or established as a result of past GEF support), attendees of IWCs 6 & 7, the IW:LEARN Science Conference, and the GEF-Secretariat.

2.6 Expected Results

The project's expected results were incorporated in the IWL3's main project objective and the twelve expected outcomes totaled from all the project's five components. Table 2 lists these, the targets set at the project's beginning and the final results by the project close. In addition, the Mid-Term Evaluation made a number of recommendations to ensure that the project was on course to meet the stated objectives. These are reviewed and assessed in Section 3.

Table 2. IWL3 Project Targets as expected results and their disposition at project's end.

Project Objective	Indicators	IWL3 Project Targets	Results at Project End
To strengthen global portfolio experience sharing and learning, dialogue facilitation, targeted knowledge sharing and replication in order to enhance the efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives	• % IW projects participating at IW Conference and / or science conference or IW workshop or project-project learning exchange • % of IW projects exchanging information between water ecosystem types • % of active projects establish a project website according to the IW:LEARN guidelines • % of active projects that produce IW Experience Notes, which center on a key project achievement or innovation. • Number of IW projects attracting private sector finance • % existing IW projects uploading results to IWLEARN.NET	• 100% of IW Projects participate in IW Conference and/or IW Science Conference or IW workshop or project-project learning exchange • 50 % of existing projects demonstrate exchanges / sharing of information between different ecosystem water types • 100% of active GEF IW projects establish a project website according to the IW:LEARN guidelines • 100% of active FSP's produce at least 2 experience notes, and MSP's produce at least 1 experience notes, which center on a key project achievement or innovation. • 10 projects have attracted private sector finance • 85% of existing IW projects (and 50% of closed projects) provide results, etc. to IWLEARN.NET	• 92% (65 out of 72 projects) have met this participation target. Fisheries Industry Partnership; Huai River; Liaoning Medium Cities; Shandong Environment; Yangtze River have not yet participated. • Target Exceeded. 76% (55 out of 72 projects) have met this criterion. • 64% have opened website. The target set was perhaps an unrealistic expectation, so the TE considers this as a decent return on investment. • Only 5% of the FSPs have contributed to date. However, close to 100% have provided IW-results notes (developed by the PCU) • At January 2013 SC meeting the Target was amended to '(10) projects have been assisted with the development/promotion public-private sector engagement. • 100% of projects have provided project-related information to IWLEARN.NET.

Project Outcomes

Expected Outcomes	Indicators	IWL3 Project Targets	Results at Project End & TE Comments
1. Improved effectiveness in combating Land Degradation in MENARID through an enhanced role of groundwater and improved subsurface space management.	% MENARID projects incorporating GW management planning	100% of MENARID projects incorporate new management planning activities of GW use/protection in their activities.	Target achieved.
2. Enabling regional inter-basin coordination to enhance management capacity of institutions and project partners.	- At least 1 new regional processes/initiative in North Africa/Near East sub-regions; - Co-operation on at least one transboundary basin is enhanced or initiated; - Number of IW projects adopting new management approaches	- Enhance an existing regional political process / initiative in the SEE - At least 1 new regional political process / initiative in the North Africa / Near East sub-regions - Cooperation on at least one transboundary basins is enhanced or initiated. 5 IW projects demonstrate that partners have adopted at least 2 different management approaches as a result of sub-component	- Target met; Drin River Basin - Target met. Working with Med-GWP in Algeria and Tunisia. - Target achieved. Northwest Sahara Aquifer System. - Target achieved just with the project twinnings alone.
3. Increased capacity of GEF groundwater and freshwater basin projects to exchange experiences and replicate successful groundwater management approaches and practices to address adaptive management.	- Number of CoPs formed; % of groundwater projects involved in CoP % surface freshwater projects involved in CoP - Number of transboundary commissions (or equivalent) involved in CoP - Number of groundwater practices replicated through IWL - Number of exchanges between surface and groundwater projects - Participation at groundwater CoP by surface water representatives and <i>vice versa</i>	- Two functional CoPs (surface freshwater and groundwater) established 100% of IW groundwater projects involved 75% of IW surface freshwater projects involved 10 transboundary commissions involved 3 groundwater related priority replicable practices disseminated through IW LEARN platform, and 2 cases of integrated cooperative approaches among water-bodies documented. 5 exchanges between	- Target met. However, the CoPs are a work in progress. 36% of projects involved to date (100% of the 'active' portfolio - Dinaric, Nubian, Southern African development, community are examples) 66% of IW Surface as of January 2014. - Target met; 10 transboundary commissions involved. 100% of target met for GW. 100% of target met for GW.

Expected Outcomes	Indicators	IWL3 Project Targets	Results at Project End & TE Comments
		groundwater and surface water projects. •Groundwater and surface water CoP representatives routinely attend each other's meetings	
4. Lessons and science from GEF groundwater portfolio incorporated into and disseminated through networks, partners, and processes, strengthening the GEF IW GW portfolio.	• Number of examples/lessons/ good practices disseminated • % of presentations focusing on groundwater at IW Science conference.	•6 examples / lessons / good practices disseminated through networks and / or published through IW:LEARN and partner networks or programmes •30% of presentations at IW Science conference focus on Groundwater	• 3 examples out of 6, (so 50%), through Experience-note-type documents. •25% because of the small size of the GW portfolio.
5. Global GEF IW portfolio performance and capacities strengthened, in particular among project managers of GEF IW projects	• % of IWC6 participants indicate increased capacity • % of IWC6 exhibit an innovation or replicable experience • % of IW project managers attend IWC6.	•At least 75% of IWC6 participant evaluations confirm increased capacity vs. individual baselines, and/or indicate changes to personal or institutional work plans •50% of IWC6-attending GEF IW projects exhibit at least one top innovation and/or replicable experience •75% of IWC6-attending GEF IW project managers attend the IWC6 and pre-conference workshops	• 88% of IWC6 participants confirmed. This is the highest rate ever reported at an IWC. • 50% Target met. • 65% of IW members attended pre-conference workshops.
6. Increased awareness of GEF IW experiences and achievements and partnership with non-GEF supported interventions	• Number of global policy discussions/events with GEF IW Projects on the agenda/participating • Number of partnerships (established between GEF IW projects and external partners), joint activities or co-funding resulting from global forum participation.	•2 events featuring at least 4 projects per year (total of 8 events per year featuring 16 projects) •At least one example each year	• 7 events and 10 out of 16 projects have been recorded to date.
7. Improved technical implementation of projects through strengthening the science base of IW projects and improved integration of the wider science community into these projects.	• % of GEF IW projects participating at Science Conference sharing results • Number of IW projects referenced in scientific literature • % of IW projects submitting papers to journal • % IW projects demonstrate	•50% of IW projects participating in GEF IW Science Conference actively share results •10 IW projects are 'cited' in the Science Citation Index •40% of IW portfolio submit papers for consideration in Journal	• 45 GEF projects participated at the GEF Science conference. • Citation Index responses attempted but not successfully measured. Longer timing required for citation to be posted, and

Expected Outcomes	Indicators	IWL3 Project Targets	Results at Project End & TE Comments
	examples of shared practices	•50% of GEF IW projects indicate at least one example of sharing practices	thus is probably an inappropriate metric seeking short term results. • 32% of IW projects have had at least one example of sharing practice. While the target has not yet been met, it represents an increase since the Mid-Term.
8. Improved web-based information and knowledge management and utilization of the IW resource center and project communication platforms	• % of IW Stakeholders satisfied with IWLEARN.NET • Number of hits per month on IWLEARN.NET increase • Number of downloads per month increase	•Stakeholder satisfaction rating for IWLEARN.NET >75% 'satisfied' •End of project show 25% more hits per month vs. baseline •End of project show 25% more downloads per month vs. baseline	• UNEP reports 93% of respondents are satisfied with the IWLEARN.NET website. Of the persons interviewed for this TE about 40% (n=47) expressed dissatisfaction with—and the need for improvement in—web site functionality, such as search capability and layout/content presentation of the web platform. • 29% or more per month hits • 191% increase of downloads per month.
9. Enhanced visibility and visualization of project activities and results facilitates cooperation and replication.	% of projects utilizing the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines	75% of projects utilizing the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines	64% of project
10. Enhanced stakeholder access to data and results from IW projects.	% of IW projects have current information on project results IWLEARN.NET	At least 90% of IW projects have current information on project results at IWLEARN.NET or maintain links to project sites housed elsewhere	100% of project have some information on IWLEARN.NET
11. Improved standardization and harmonization of new GEF methodological approaches as well as results-based	• Endorsement of TDA/SAP methodology by GEF IWTF • Number of IW projects utilizing new methodology	•GEF IWTF endorsement •5 new projects utilize the new methodology by end of project	• Yes (TDA-SAP methodology). • 5 out of 5 projects use the new methodology.

Expected Outcomes	Indicators	IWL3 Project Targets	Results at Project End & TE Comments
management in IW projects to help address new global issues & improve performance, including vulnerability to climatic vulnerability & change in transboundary basins.	• Number of CTAs/PMs using the manual • Number of IW projects using approach to climatic variability & change	• 50% CTAs/PM using the manual • Agreed methodology developed and piloted in 5 GEF5 IW projects; • Acceptance of approach by IWTF for use in all IW projects	• Figure not yet calculated • Yes, 5 out of 5 piloted. • This target was removed at the January 2013 Steering Committee meeting.
12. Public-private partnerships promoted and facilitate sustainability of GEF IW interventions	• Number of IW projects that have been assisted with the development/promotion of public-private sector engagement • % of IW projects included public-private partnerships in sustainability plans	10 projects have been assisted with the development/promotion public-private sector engagement 50% of IW projects have a sustainability plan / exit strategy that utilizes the best practices collated	• Target met. Ten projects have been assisted with development/promotion of public-private sector engagement • Undetermined.

3. Findings

From the project documents reviewed for this TE, it is clear that this IWL3 project has been highly complex: five components divided into 15 subcomponents (and tens of sub-activities) and further subdivided into 12 outcomes and 27 different outputs. This level of complexity suggests higher risk concerning effective execution. However, the documentation reviewed also reflects an impressive amount of work, monitoring and evaluation by the PCU and many of its IWL partners, and attention given to a surprising range of detail. It is also impressive that such a diverse array of topics have been covered on such a limited budget for the number of activities undertaken and for the project's four year duration. This clearly demonstrates the high levels of personal commitment from a number of individuals who have become engaged with IW:LEARN. In fact, it is the people, to date, involved in IW:LEARN that have provided a certain level of consistency over the project's life and they appear to have worked well together. IWL was able to focus activities at a regional level that was needed and helped strengthen international communication within the MENARID and Mediterranean regions, and specifically on issues pertaining to groundwater management, sub-surface space management, and river basin management while also delivering service to the IW community in other important areas.

This stated, however, the project has not been without challenges—and hurdles remain for IWL's future—and these are identified and discussed in the sections below.

Following the Mid-Term Evaluation, completed in February, 2013, there were a number of specific recommendations made so that the project would be able to better meet its stated

targets by the project's end. This TE finds that the large majority of the MTE's recommendations were satisfactorily addressed. They are presented in Table 3 (below).

Table 3. MTE recommendations, IW:LEARN's response to the recommendation and relevance to the TE to ensure compliance by end-of-project. Note that the original MTE recommendations are edited for brevity in the table format.

Mid-Term Evaluation Recommendations/Suggested Course-Corrections	IWL Response	TE Notes/Comments
1. Decisions and agreed actions from the January 2013 SCM should be rigorously followed up by the PCU and partner agencies. SC members should be kept informed of progress and take a pro-active response to requests for support and or action from PCU. (Refer to MTE for specific sub-recommendations)	There were 11 specific sub-recommendations to IWL. Nine of these were immediately and satisfactorily addressed; two remain in progress (a. mine information to pilot visualization; b. collaboration with NOAA); and one not completed because it is being programmed into PPG of IWL4 (organizing a technical design concept note to guide website enhancements).	The response to this recommendation (& sub-recommendations) is deemed to have been satisfactorily addressed, even those in progress, by the end of the project period.
2. Requests to GEF-SEC and IWTF for comment or approval on documents sent from PCU should be more timely to enable activities to be completed and resources concentrated on outstanding tasks.	In progress. The situation has improved moving into the end of project.	Satisfactorily addressed.
3. Quarterly progress reports should contain financial summaries including delivery of expected co-financing and leveraged additional co-financing & should more clearly highlight outstanding issues. Reports should be distributed directly to SC members who should make comment and take action. It is demoralizing & wasteful for the PCU to produce reports which are seemingly read by very few intended recipients.	Recommendation addressed.	Satisfactorily addressed.
4. A system should be set up in PCU to better capture catalytic & replicate effects of project interventions. Future IW Learn project should specifically collect & collate impacts of IWL interventions over the period since their 1998 inception.	Database has been established by the PCU.	Satisfactorily addressed.
5. The project should develop	Recommendation addressed;	Satisfactorily addressed.

Mid-Term Evaluation Recommendations/Suggested Course-Corrections	IWL Response	TE Notes/Comments
introductory package for new and recent project mgrs. & technical staff in form of simple brochure style how-to guide to explain IW LEARN, services provided, draw attention to obligations -projects & staff have to IW LEARN activities and to solicit their support.	Package and brochure developed.	
6. Mandatory allocation of 1% of new project budgets targeted to IW LEARN should increase to 2% & clear guidelines provided for activities that should be conducted with such funds. Ideally a separate project-specific IW LEARN Component should be established within each project's results framework.	No progress. This exceeds the purview of the PCU & project.	Not Applicable. Satisfactory response for the TE.
7. GEF-SEC and IAs should develop a comprehensive fully costed sustainability plan for project to be presented at the next SCM. Plan requires the outline of a future IW:LEARN project and some commitment from GEF to cover incremental costs.	In progress.	Satisfactorily addressed.
8. The more practicable recommendations from the Report of the Science Conference should be extracted & submitted to GEF in a separate note which should lead to response by GEF & or IAs. Recommendations and responses should be published on the IW LEARN web site.	No budget line in the PCU to address the issue. Recommendation is the responsibility of the GEF-Sec and IAs.	Satisfactory response for the TE.
9. GEF-SEC and IAs actively encourage Project Managers to participate by more clearly explaining the mutual benefits. This could be promulgated via the regular e-bulletins prepared by PCU.	Not addressed. No way to systematically address/measure the recommendation.	Not Applicable. Satisfactory response for the TE.
10. Consideration given to increasing the personnel available to the PCU Bratislava to enable	Not specifically addressed.	This is a recommendation also applicable during the TE. See recommendations sections of this

Mid-Term Evaluation Recommendations/Suggested Course-Corrections	IWL Response	TE Notes/Comments
more proactive approach for remainder of project. This is important in view of the forthcoming IWC7 that is already taking resources away from this project. Funds for IWC7 should be used to substitute resources diverted from IW LEARN III particularly with regard to dedicated managerial support.		report.
11. A system should be implemented to collect, collate & feedback into online versions of the TDA/SAP methodology & PM Manual useful suggestions for improvements that users post onto the website in provided spaces. A person(s) needs to be assigned responsibility & provided with clear guidance.	Recommendation addressed, although the action did not result in sufficient feedback.	Satisfactorily addressed.
12. Compliance by projects with completing the GEF tracking tool should be checked by GEF-SEC & if deficient steps taken to ensure better compliance in future to aid IW LEARN impact tracking.	Not Applicable	Not Applicable. Satisfactory response for the TE.
13. Re: Project Managers Manual each PM should be required take a short test based on the material which would lead to Certification of the PM when successfully completed.	Recommendation acknowledged by the PCU. In progress.	No comment.
14. Any future IW LEARN project should include a component to investigate & report on previous IW LEARN impacts both directly on the GEF IW portfolio & related programs via catalytic influences.	No progress. This exceeds the current purview of the PCU.	Satisfactory response for the TE.

3.1 Project Design / Formulation

Analysis of LFA/Results Framework (Project logic /strategy; Indicators)

The targets identified in the Results Framework at the beginning of the project were reviewed and assessed ([Annex 5.8](#) and Table 2, above). The project design, strategy and logic to achieve objectives appear sound and generally suitable for this project, and thus can be deemed as **Satisfactory**. However, there are few examples within the IW Portfolio with which to compare IW:LEARN. In some respects it continues to be an experimental effort in working to connect communities and testing new ways to share experiences and disseminate lessons and good practice. However, there are certain services of IWL that have had ample time to mature. These include targeted trainings and workshops, regional dialogues, face-to-face twinnings, and the regular support to the IWC.

The ambitiousness of the project, as evidenced by the number of subcomponents, activities and sub-activities, introduced some risk concerning the ability to meet a diverse suite of project outcomes and outputs. The indicators developed to measure project progress generally met the criteria of being specific, measureable, achievable, realistic and time-bound (SMART), but some of the indicators proved to be either too ambitious, or mis- or underestimated one or more of the SMART criteria. To the project's credit, and in order to use the Results Framework effectively as an M&E tool, some of the indicators were appropriately adjusted (i.e. made more realistic) by the IWL Steering Committee over the course of project implementation. Also, some of the targets in the Results Framework were modified by the Steering Committee over the course of the project and these have been viewed by this TE as successful use of monitoring and evaluation and appropriate adaptive management. This is viewed as a positive outcome. The Results Framework as a guiding document for project implementation has served this project well, and this is because the PCU, in concert with the Steering Committee, has actively used it to track project progress and make adjustments accordingly.

It should be noted that during the project design that only IWC6 was factored into the budget. It appears that over the course of the project life that IWC7 would be inevitable during IWL3's time line, but this was not included at project design and eventually had some impact on the IWL3's time frame and overall resources (i.e. people and energy). The PCU, IAs and the GEF were able to adjust by finding necessary resourcing and staffing external to the IWL3 project, in order for the IWC7 to take place, and one could view this also as successful adaptive management. However, this is viewed in this TE as a planning and design oversight (and was also flagged during the MTE as having some impact on the flow and focus of working toward IWL3's planned outputs). This presents an opportunity for a specific lesson in future IWL planning: that multiple IWC's may span the life on a given future IWL project period and should be always be appropriately planned for and resourced within each project.

Assessment of Assumptions and Risks to Project Sustainability (ML)

An updated Project Risk table can be viewed in [Annex 5.7](#). There has been some modification to risks over the course of the project period (for example, in the MTE, the issue of CoP

participation was identified as having been considered higher), but in general the project's assumptions and risks appear to be logical, well assessed and **satisfactory** in project design, implementation and monitoring. The variance surrounding the risks to sustainability of outcomes from the project is considerable based on the activity and partner involved, but in a general sense the Results Framework shows many outcomes that will be conserved because they will become part of the knowledgebase of IWL. This TE considers a project, such as IWL, to have the need to embrace a certain level of higher risk based on continued experimentation with new tools and methods with which to engage project managers, regions, countries and communities. IWL should continue to embrace risk in general so that it can extract lessons and approaches that work versus not (failures can be strong learning tools and can eventually be more successful in supporting knowledge transfer). The risks to IWL sustainability are discussed and assessed below.

Financial Risks & Sustainability (L)

Financial risks will generally not affect IWL3 given the little time left in the project and the level of expenditure accounted for in operationalizing the components at this stage. The project still achieved an impressive amount on limited budget over the project life. One unforeseen issue pertains to the Insurance Index, which was cancelled by the Steering Committee based on the inability to secure co-financing, and this resulted in a higher risk to that specific activity. However, use of the M&E plan helped to redirect the resources intended for the Insurance Index and apply them to amend the contract with the Global Water Partnership to include activities in support of financing sustainable management of transboundary basins, including a background study and roundtable discussion on the Private Sector, and this was a positive outcome.

Sociopolitical Risks (ML)

The current political instability existing in the MENARID region presents some risk concerning the project's sustained ability to continue face-to-face, or perhaps regional workshops, or twinning opportunities in higher-risk countries. This is why the Community of Practice web-presence (refer to Section 3.2) is important to reach a level of functionality so that stakeholders can continue to share experiences and knowledge that they have forged over the course of IWL3. This has been especially true for the MENA countries and the groundwater focal area.

Institutional framework and governance risks (L)

There has been no indication from a review of the project documentation or through interviews with IWL respondents, that either governance or institutional frameworks have or will pose a risk to project sustainability. Again, political instability could potentially influence this factor, but responses from the MENARID experience (through IWL partner, UNESCO), for example,

suggest that management representatives among the participating countries have been eager to share experiences on-line in order to further communicate issues of mutual concern.

Environmental Risks (ML)

Generally, environmental risks would not be considered a factor in a project structured such as IW:LEARN given its focus on strengthening knowledge and the capacity of IW practitioners. But the effects of Climate Change are clearly emerging as a factor that has the potential to affect the ability to convene meetings, or potentially affect the outcome of certain project activities for which project managers have responsibility. Considering this, then Climate Change as a driver of human activity-- or the potential to interrupt planned activities-- can be considered as a moderate but potentially increasing risk to achieving or sustaining certain project outcomes.

Planned stakeholder participation (Satisfactory)

All key stakeholder groups were actively involved in the planning and implementation of IWL3—from initial planning stages throughout project implementation. Many of the stakeholders became engaged when there were regional workshops or conferences, as intended. Partners also were active in participating during the IWC6 (and IWC7) and the Science Conference. But partners, especially regional ones, also appeared to have played active roles over the life of the project via electronic communication and meetings, and by doing so, have contributed to meeting targets for both outcomes and outputs defined in the Results Framework.

IW:LEARN activities were aligned with a stakeholder involvement plan that include five objectives based on lessons learned from IWL's experimental phase. These are:

1. Enhanced ownership and buy-in to IW:LEARN through participatory project development and implementation
2. Raised awareness about the role of IW:LEARN, GEF IW Portfolio and IW management in sustainable development (for example, the Millennium Development Goals, Johannesburg and World Water Forum objectives)
3. Providing customized service through personal relations with key personnel at projects, partners and service providers
4. Developing delivery mechanisms leveraging the use of appropriate tools for ICT-mediated dissemination through GEF IW projects and partners
5. Assist in replication of GEF IW experiences, innovations, lessons, opportunities and tools across the GEF IW portfolio.

In the case of the MENARID activities tied to groundwater, stakeholder participation has resulted in a community of practitioners who have not met before the project existed, and this appears to have had a significant impact on those stakeholders, resulting in continued

participation even after meetings have occurred. And this has been catalytic for this particular community. Therefore, planned stakeholder participation is also considered to be **Satisfactory**.

Catalytic Role/Replication effect (Satisfactory)

This was judged to be a **Satisfactory** element of the project. Since its inception, IWL has continued to demonstrate a catalytic role by influencing the IW community of practice with tools and diverse options to engage people, share experiences and transfer knowledge. For IWL3, this can be seen in the nation-to-nation dialogue that was fostered in the MENARID Region, and also the policy influence that the project contributed to in the SEE Med region, with the Petersburg Phase 2 and Athens Declaration. The face-to-face workshops and regional dialogues also have enhanced capacity. The content made available to International Waters practitioners continues to increase (manuals, guidelines, experience notes, regional workshops, twinnings), was clearly evident in the documents reviewed and also posted on IW:Learn.net. The project's replication effect has been demonstrated as this particular project has matured over the project timeline—especially through the regional workshops, regional dialogs and the twinnings developed for specific IW projects. This has enabled projects with similar issues to meet and discuss issues of common concern.

IW:LEARN is now widely recognized by the GEF IW community as the coordination hub for international waters issues tied to the IWC and the GEF, obviously. But based on review of the PIRs, project documents and project/regional websites (supported by the IWL website toolkit), IWL is also beginning to further engage partners whose GEF-involvement has been minimal or historically not as long as the original partners. Thus IWL has been able to expand (e.g. scale up) its recognition to some degree. As noted in the MTE there have been examples of IWL serving a catalytic role in the SEE Med region, especially the continuation of the Petersburg Phase 2 and Athens Declaration, but also in helping to galvanize a groundwater community of practice among a number of the MENARID countries. This is a potentially positive development for IWL by engaging partners, such as UNESCO-IHP, who can bring expertise to assist and complement IWL's overarching goals, and in some cases it has brought or leveraged results in policy and or additional resources to strengthen common areas of interest concerning knowledge management and the sharing of experiences.

Linkages between IW:LEARN and other interventions within the sector (Satisfactory)

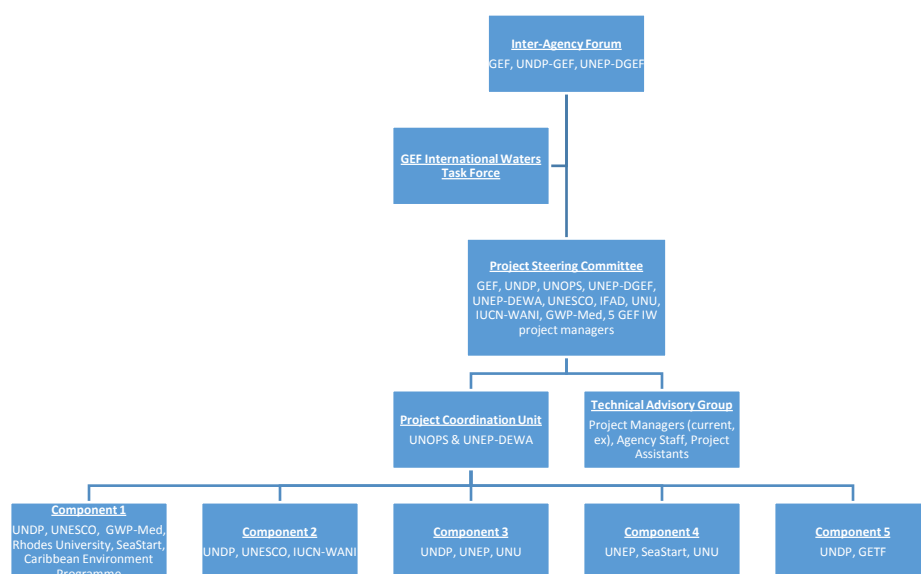
Through its partnership arrangements (for example, with IUCN, UNESCO-IHP, GEFTF, GWP-Med) IWL3 was able to engage other stakeholders not previously available to it. This has been especially true by introducing countries (i.e. representatives) who are facing similar environmental challenges, but have not met previously to share common experiences between

their national projects (one interviewee characterized IWL serving as a form of “glue”). This is viewed as a **Satisfactory** outcome for this project and for the future of the IWL network.

Potential linkages with other learning opportunities within the sector exist, especially with on-line networks. Many of those interviewed for this TE commented on the role and value of webinars as a mechanism to educate and better engage IWL stakeholders.⁵

Management arrangements – (Satisfactory)

The project management arrangements were defined in the Project Document and the Project Inception Report, with detailed Terms of Reference, including respective roles and responsibilities, established for each of the units including the Project Coordinating Unit and its staff, Implementing Agency component responsibilities, the IWL Steering Committee, the Inter-Agency Forum, the GEF-IW Task Force, Technical Advisory Group and the roles and responsibility of the Project Partners (see diagram below).



This structure of IWL3 has generally functioned as intended during project execution, with some variations (for example, UNU did not actively participate in Component 4 with UNEP and SEASTART as originally intended on the diagram) and are discussed in the subsections under

⁵ For example, the Ecosystem-based Management Tools Network (www.ebmttools.org) and the OpenChannels learning network (www.openchannels.org) already have significant history and proven experience in operating and managing this format, and this TE recommends that IWL consider reaching out to these networks to learn from their experiences, skill sets and possibly partner with them in the future.

Section 3.2 below. Nevertheless, this structure was satisfactorily designed and generally operated as planned.

3.2 Project Implementation

Adaptive management (changes to the project design and project outputs during implementation) – **(Satisfactory)**

The use of Adaptive Management during IWL3's execution was clearly apparent. The M&E plan and process was well used in a number of specific cases and generally served IWL well. In particular, the reprogramming of resources originally intended for the Insurance Index took place following the recognition that co-financing support for this activity would not be realized, and the Project Steering Committee moved to reallocate the resources for that activity. The project also adapted well in supporting country participation in the MENARID region in response to security issues that emerged during the project's time line. And even though the GEF IWC7 was not incorporated into IWL3's project design, through working with the GEF-Sec and UNDP, the project adapted so that the seventh GEF IW portfolio-wide learning event, IWC7, was incorporated into project activities. IWC7 took place October 26-31, 2013 in Barbados, and convened about 215 invited participants from 73 countries and 56 GEF IW projects, including GEF IW project managers, representatives of beneficiary countries, non-governmental organizations, transboundary management institutions, UN agencies and the private sector. The conference was not as well represented as IWC6, but it nonetheless was able to achieve most of the conference's intended outcomes, as detailed in the IWC7 post conference evaluation summary.⁶

Partnership arrangements (with relevant stakeholders involved in the country/region) and Stakeholder involvement - (Satisfactory)

Partnerships are playing an increasingly important role in IW:LEARN and this project expanded to join with other entities who share similar interests with knowledge management and information exchange. In particular, affiliations with UNESCO-IHP, GWP-Med, UNU-INWEH, IUCN, and Rhodes University have helped IWL expand new partnerships through regional dialog and cooperation. Also, an important point is that the partners engaged with IWL often provided significant co-finance to see that workshops were successfully held and that other entities outside of IWL (such as governments and even private enterprise), also participated and provided support.

IWL has also worked with GETF as a key partner during its second and third phases in seeking to better engage the Private Sector as a concerted focus. At the IWC7 a number of private sector companies attended the Conference and during the course of interviews for this TE, it was

⁶ <http://tinyurl.com/o63g2xv>

assessed that this is an improvement over previous efforts. Still, in a general sense, the transaction costs with companies make it difficult for them to initially engage or to sustain involvement for extended periods. While the GEF has recognized this issue, and has attempted to engage the private sector through implementing specific projects (in other focal areas, for example), this may present opportunity for IWL to focus more intensely on the private sector in future projects. However, this objective should be balanced with other priorities to be defined in future IWL activities.

Project Finance:

No official financial audit was performed as part of this TE. UNDP served as the main Implementing Agency to handle the financial aspects of the project and entered into an Executing Agreement with UNOPS to serve as the administrative arm. Financial summaries were provided to the TE by UNOPS, by UNDP (through the PCU) and by various partners. In general the project's overall financial stewardship has employed standard and appropriate financial practices and tools. Expenditures have followed the expected trajectory and adjustments to budgets, where necessary.

Total GEF budget and distribution

The project involved a USD\$4.0 million GEF grant with an estimated \$5.2 million in co-financing at project approval.

IWL3 PROJECT FINANCING	<u><i>Financing at endorsement (Million US\$)</i></u>	<u><i>Financing at completion (Million US\$)</i></u>
GEF financing:	US\$3,160,000 (UNDP)/\$935,000 (UNEP)	US\$3,160,000 (UNDP)/\$935,000 (UNEP)
IA/EA own:		
Government:		
Other:		UNDP EEG (1,763,000) UNESCO-IHP (550,000) Cornell University (40,000) UNECE (60,000) SEA START (238,000) UNEP CEP (100,000) IUCN-WANI (202,000) UNEP-IWG (200,000) UNU-UNWEH (1,240,000) UNEP-DEWA (701,824) UNDP BRC (60,000) UNEP (50,000)
GEF Grant:	US\$4,095,000	US\$5,204,824
Project Total at Endorsement:	US\$9,299,824	
Total co-financing at TE:		US\$4,690,712
Adjusted Total Project Cost at TE:	US\$8,785,712	

Project co-financing was updated annually over the course of the project life. The co-financing that was eventually made available to the project can be seen in the summary table in [Annex 5.9](#) (the table size has precluded presenting a summary in the body of this report). In some cases the percent of pledged co-finance received did not equal the amount originally committed; however, in other cases it has exceeded expectations (e.g. UNEP-DEWA recorded a 123% co-finance contribution). Total co-financing for IWL3 amounted to **USD\$4.6 million**. This is slightly less than the original commitment of \$5.2 million that was proffered at the beginning of the project, but this still represents slightly more than a 1:1 ratio of co-finance to GEF support.

Monitoring and evaluation: design at a) entry and b) implementation ()* (a) **Satisfactory/**
b) **Highly Satisfactory**)

The design of IWL's M&E plan was consistent with GEF and IA M&E policies and considered **Satisfactory**; furthermore, it is a good example of using monitoring and evaluation to measure progress and adaptively manage targets and project outcomes over the course of the project's life, and examples of its successful use are cited throughout this TE. The IWL PCU has done a good job with this aspect of the project and has communicated the M&E effectively with its partners and the Steering Committee. In fact, the implementation of the M&E plan can be considered as having been performed to a **Highly Satisfactory** degree.

It should be noted here that during the terminal evaluation at the end of IWL's Operational Phase ("IWL2"), that failure of IWL to update the Project Document was identified as a shortcoming because it was supposed to serve as a living document adjusted as the project progressed; as well as criticism of limited use and improper development of outputs and indicators during that project. IWL3 has clearly learned from that experience and critique, and the ability to adapt to change through the M&E plan, and particularly the Results Framework as a guiding and dynamic tool, has functioned well over the course of this project.

UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues – (Moderately Satisfactory)

UNDP and UNEP served as dual implementing agencies for IWL3. UNDP was responsible for project components 1, 2, 3 and 5. UNDP also assumed responsibility for the Monitoring and Evaluation function (including this Terminal Evaluation) and supporting the PCU; UNEP was responsible for part of component 3 and all of Component 4. In general, both UNDP and UNEP appear to have performed their implementing responsibilities in accordance with expected practice and thus is considered to be **Satisfactory**. And it is noted that UNEP provided significant co-financing for IWL, especially during the transition period preceding this project.

Early arguments for dual implementation during IWL included the need to foster institutional ownership in order for the concept of IWL to gain traction. But IWL has matured to the extent

that this objective has been largely achieved. Based on interviews conducted with project stakeholders, there were various considerations cited under which this implementation arrangement historically occurred (not only in IWL3, but in the project preceding it).⁷ However, like previous evaluators, this evaluator is concerned with dual implementation arrangements – not because of specific performance by any one implementing agency, but because in principle the redundancy has had transaction costs that impact efficiency and effectiveness, regardless of the eventual project outcomes. It is fundamentally both a risk and limitation when there is unnecessary redundancy or complexity added to project implementation and execution.

Nevertheless, credit clearly can be given to the individuals who have been involved in IWL3, who have adapted to the arrangements and have been able to work together. During interviews with the PCU staff and the other responsible managers of units within UNEP under Component 4 (e.g. SeaStart), these professionals reported that while perhaps not ideal, the distributed nature of the PCU functioned and even matured well over time, as evidenced by discussions with current and previous staff (e.g. there has been improvement in the workflow between the PCU based in Bratislava, and the satellite offices in Bangkok and with staff in Nairobi). However, this cannot be considered as an efficient executing arrangement over the course of the project.

These observations were also identified from the MTE, specifically lessons #5 & 6, respectively, and also as part of the Terminal Evaluation from IWL's Operational Phase, and are reinforced in this TE:

“Dual IAs and EAs while perhaps desirable from an internal UN perspective is inefficient if partnering agencies still have to adhere to their different operational modalities. Any future IW LEARN projects should have a single IA and single EA. Expertise and support from other UN agencies is better brought in via more straightforward interagency cooperation agreements.

A complex project structure with multiple sub-components and partner agencies is not a good model for maximum impact as the key management resources of the PCU become overstretched especially when these are limited. A structure more focused on the core services would yield greater cost benefits to the IW Portfolio as a whole.” – IWL MTE, February 2013.

In addition to these above implementation and project execution concerns, there should be a re-examination in future IWL projects of the executing arrangements and the value received for

⁷ Dual implementation has been consistently raised as an issue of concern by evaluators since IWL2. Such concern involves the redundancy in project proposal preparation from more than one Implementing Agency; adds costs to the GEF in terms of staff time to review and comment, fees, and also involves multiple reporting to the GEF; redundant or decentralized management of project resources by a single executing entity, increasing the transaction costs for the PCU by having to work with different administrative systems with varying documentation and timelines, submission requirements; different management styles of the two IAs had some impact on decisions concerning various deliverables, and bottlenecks with communication internally (a daily limited time window separated by seven time zones affects operational efficiency and thus results in transaction costs in coordinating various tasks). While no single issue predominated, in sum the redundancies and bottlenecks did impact some aspects of project execution.

the cost expended. It was noted during this review, and also during the MTE, that certain administrative responsibilities were passed along to the PCU from UNOPS during the course of project execution, given the limited resources made available to UNOPS to execute the project. Administrative tasks should be adequately budgeted and assigned to the executing entity so that the PCU can perform the technical roles of knowledge management, and this has had an impact upon the PCU having to contend with administrative tasks to the detriment of knowledge management functions across the board (both pull and especially interpretation and push of content). In the future, contractual agreements between IAs and project execution should be carefully reviewed by the Steering Committee to ensure that there is adequate resourcing allocated to meet administrative demand; or alternatively, the IWL PCU should engage a Chief Operating Officer with the necessary skill set to provide all administrative functions so that the project manager and the technical staff can be allowed to undertake their respective technical roles as knowledge brokers. Based on these considerations, this TE rates the *overall* project implementation and execution as **Moderately Satisfactory**.

If IWL is to meet its core objectives and grow its influence beyond service just to GEF IW in the future-- and further strengthen its efficiency and effectiveness--then it has to reconcile the need for a more centralized coordinating unit, as opposed to the spatially (and organizationally) distributed model that has operated under IWL3 (a daily limited time window separated by seven time zones is unacceptable under which to coordinate tasks). The project manager/CTA should have final authority regarding decisions and activities that occur and in directing staff to see that such objectives are met, and this is best done when all of the staff and operations, especially in a small PCU, are co-located.

IWL's web presence (defined here as a website, combined with effective content management)

Most of the persons interviewed lauded IWL's ability to support the important face-to-face interactions that have resulted from the IWC's, the Regional Dialogs and meetings, and the twinning arrangements between projects. But on a day-to-day basis, it is the on-line presence of IW:Learn.net that is intended to keep the network connected and informed. Compared to earlier challenges with IWL's website and on-line content/knowledge management (i.e. preceding IWL3), UNEP's partnership involvement over the course of IWL3's execution has been able to improve upon the delivery of some features related to the website to an increasing degree⁸—especially since the Mid-Term Evaluation. The technical staff for the IWL web environment (Component 4 and the PCU), have made progress in working with a large volume of IWL-related information and then trying to better operationalize and present it for IWL's

⁸ It should be noted, to the technical staff's credit, that the current content management system used to support IWLearn.net has not had a single security breach since its rollout in 2005. In this day and age of increased incidents of on-line hacking and security breaches, this is an impressive record, and may be under-appreciated by many of IWL's stakeholders. Website security will become an increasing issue over time and especially as the size and value of IWL's repository of knowledge continues to grow.

users on the web. For example, the Community of Practice development and execution was problematic in its early phase, faced difficulty in defining and attracting significant use among the IWL community, and the technical platform did not effectively meet the community's needs. However, there has now been improvement with this (i.e. the Groundwater CoP initially experienced poor participation but appears to have benefitted from the IWL Website toolkit to develop a platform that its community wants to work with.⁹) IWL's website toolkit has been a strong success in the project thus far, and many IWL stakeholders have taken advantage of this service.¹⁰

User surveys undertaken indicated a positive response to the role of the Website toolkit and the IWLEARN.NET site in general; however, the surveys represent extremely small sample sizes (i.e. <10 individuals per survey) and this cannot be statistically representative or inferential of the larger IWL community given such a small number of responses.

Following the MTE, there was a review performed of the website with specific recommendations on how to improve layout, features and performance, and some of these recommendations have already been implemented. However, budget limitations have also been a factor in seeing other improvements made. Nevertheless, a number of the recommendations from this website review should be taken on board—with the necessary financial support to meet such recommendations— with any future IWL project (see also [Annex 5.10](#) for additional discussion).

It should be noted that Component 4's staff worked diligently through a range of challenges, often significantly based on budget availability, often poor/low response rates from IWL stakeholders, and against changing emphasis of various features from IWL's users concerning the website or certain aspects of it. Progress has been made, especially in the first quarter of 2014, and this has to be recognized.

An important point remains, however, that after 8+ years of IWL working with its platform, IWL's web presence has continued to experience technical challenges to the extent that it has not delivered the type of search functionality and content presentation that many of its users have wanted. This was consistently identified by respondents over the course of this evaluation: IWL users should be able to quickly search the IWLEARN.NET website, receive useful search results and locate content that is most relevant to the selection criteria and keywords chosen. The problems for this may be rooted in myriad issues—they certainly seem to have had a long history at this point in IWL's evolution. What is clear—what has not occurred—is that IWL has not been able to resolve the ICT technical issues to serve the IWLEARN.NET platform sufficiently in delivering the increasingly large content contained within the web platform and return it in the forms needed to routinely engage the IWL community and

⁹ <http://groundwatercop.iwlearn.net/gefgwportfolio>

¹⁰ <http://iwlearn.net/websitetoolkit>

maintain an increasing user base. A recent review of web use statistics point to this trend: from 2008 to 2014 between only 22-25% of site visitors return to IWLEARN.NET.

Interestingly, with the general interest that mainstream media promote about the role of social networks, such as Facebook (299 IWL subscribers), Twitter (214 IWL followers) and YouTube (85 IWL subscribers), these platforms are not visited by users (as one might hope or expect) compared to its IWLEARN.NET and the total subscription base to the IWL newsletter (currently at 2,659 subscribers). This should provide a good indication about the future relative priorities and the level of effort that IWL should invest in its main platform compared to social media in general (with the possible exception of YouTube—given the significant role that training videos can play in knowledge transfer and especially with adult learning).

As IWL moves into a subsequent phase, now is the opportunity to perform a critical stock-taking about IWL's web presence and to reconsider features, content presentation and site layout, user-friendliness and communication features, including a comprehensive search capability and more robust filtering. The value of successful search returns will continue to be directly proportional to how often IWLEARN.NET gets re-visited and used. Content is and will remain the single most important factor throughout the Internet and any site with dynamic and growing content needs to have a robust search function that fulfills prompt and accurate search capability. In this regard, it is a strong recommendation of this TE that IWL's web presence be adapted to address such issues, that the modifications be adequately resourced and managed directly within the PCU to deliver a customized set of features for content management. This should be a major first order of business, and adequately resourced, with any future project of IWL. There are many highly competent third party developers who have successfully addressed highly specific search functionality as well as dynamic, user-friendly graphic design and layout, and should be able to respond to a Request for Proposal to deliver such service at reasonable cost. And this should be overseen and managed directly by the PCU Project Manager.

IWL Interpretation and Knowledge Brokering

Based on a number of discussions during interviews with IWL stakeholders, one comment often received was that IWL's current content and accessibility may not provide meaningful information to decision-makers and policy makers in its current form. Rather, it will be the rare decision-maker who takes the time to visit IWLEARN.NET in order to search for content that is relevant to their interests. One of the most recurrent comments noted during the TE interviews and in review of documents is that IW Project Managers are so busy with other priorities that even they do not have time to perform searches for relevant lessons or content, or spend significant time on IWLEARN.NET. This highlights an important need and role for IWL to enhance its function and capacity to serve as a knowledge broker of content – that is, interpreting and pushing content to various users within the IW community. At present this is a relatively uncommon occurrence; IWLEARN.NET currently serves more of a clearing-house for

content than a relay or hub to receive and then re-post interpreted knowledge that may benefit a decision, policy or project management challenge.

IWL'S Role with Science and the GEF IW Science Conference

An International Waters Science Conference was held in Bangkok, Thailand from September 24th to the 26th 2012. The event was hosted by the Government of Thailand and UN Economic and Social Commission for Asia and the Pacific (UNESCAP), with financing from the Global Environment Facility (GEF¹¹), the United Nations Environment Programme (UNEP), the Swedish International Development Agency (SIDA) and resources granted by Norway through UNEP. The project was led by UNEP as part of Component 3 of IWL3; the event was planned and delivered under the guidance of a scientific advisory committee, consisting of representatives from the scientific community, STAP, UNEP, the United Nations University (UNU), the United Nations Development Programme (UNDP) and the GEF-SEC. This event was a follow-up to the GEF-UNEP-UNU IW Science Project, titled: *Enhancing the Use of Science in International Waters Projects to Improve Project Results*. The purpose of the Conference as stated in the official Evaluation report¹² was to “... *address project’s science needs, highlight science-based results and technological innovations achieved by the projects in the GEF International Waters portfolio over the past 20 years, but also to improve the measurement and delivery of results, inform the portfolio of new developments and emerging issues from relevant fields, enhance the use of science in the GEF IW portfolio and help set the science agenda for the IW portfolio...*”. The activity within IWL3 was an important consideration, with the desire to strengthen the connection between applied scientific findings and their uptake and use in GEF projects and policy outcomes, as well as sharing scientifically-relevant work undertaken in the context of GEF-IW projects with the wider scientific community. The meeting was attended by 193 people from invited scientists, government, IW projects, International organizations NGOs, the private sector and transboundary commissions.

The evaluation report for the activity included the results of an evaluation survey that was completed by 28 of the 193 participants (or a 14.5% representation of the population)¹³. Of this group surveyed, the overall rating was 3.18 out of a total of 4 points. The highest score of questions included in the survey (3.57) was in response to the Conference Logistics; the lowest score in the survey (2.93) pertained to whether the Conference sufficiently addressed “persistent and emerging issues for international waters for the next decade”.

During the course of this TE, stakeholder perceptions of the role and value of the Science Conference varied significantly. A number of those interviewed, especially many involved in the conference planning, were of the collective opinion that the conference functioned

¹¹ through IW:LEARN

¹² GEF International Waters Science Conference 2012 (IWSC 2012) 24–26 September, 2012, United Nations Conference Center Bangkok, Thailand Conference Report, Setting the International Waters Science Agenda for the next Decade. Compiled by Marcus Lange, 91 pp.

¹³ <http://tinyurl.com/nrk957n>

satisfactorily and met the intended objectives. A detailed summary document was generated as an output to the conference with a Conference Statement endorsed by the attendees that emphasized the role of science in GEF and made a commitment to continue with a process. The conference outcome was also recognized by the MTE has having been successfully delivered.

Others interviewed during this TE expressed their opinions that the conference was more inclined to process, that the conference was tightly controlled and that it fostered more internal self-promotion (i.e. GEF IW Projects) than critical evaluation of scientific needs within the GEF IW portfolio. Several of the respondents who attended the conference reported that the participating scientists were “turned off” to the GEF and its processes (e.g. bureaucratic), and repeatedly expressed that this resulted in a lost opportunity to effectively engage with the scientific community.

Given these differences in perspective, it is difficult to know whether the conference was able to effectively advance how science may be strengthened, and methods and results more frequently applied to GEF IW operations in the future. Aside from the scientific journal activity in IWL3 that continued to develop following the conference (see below), there has not been a lot of active follow-up related to the conference since the report was produced. However, the IWC7’s theme was dedicated to Economic valuation as a tool to bridge the science-policy gap; UNEP-DEWA reports that it has used the outcomes of the IWSC in the design and selection of themes for GLOC-2 (the 2nd conference on Global Land-Ocean Connections) that was held in Montego Bay, Jamaica, in October, 2013; and the May 2014 Regional Workshop in South Africa had a dedicated session on how science can better serve governance, so the issue of seeking to integrate science into IW is taking place. UNU-INWEH representatives approached the GEFSEC with an executive guidance document titled: “Enhancing the use of science in International Waters projects to improve project results”, yet there has not been a response received regarding any follow-up discussion.

Two things are for certain: 1) Science indeed has an important role to play in strengthening the credibility of GEF IW project outcomes, and 2) Science networks already exist they are quite adept at keeping in touch with one another. For the future of GEF operations it may be more cost effective to tap into existing scientific networks as opposed to attempting to create any new, dedicated entity to integrate with the GEF. The GEF can be well served by having scientists actively involved in helping to drive a network or collection of networks, rather than serving as attendees or passengers in a process. In fact, the STAP should serve as the appropriate entity through which science communication and science-to-policy interface for the GEF should occur, assuming that the STAP is being adequately staffed and supported.

The IW Science Journal

Part of Component 3 also entailed the development of a GEF IW Journal. The publication was intended as a special-themed issue in an existing journal series to include the GEF IW main areas of activity – that is, promoting regional security through partnerships and cooperation, river basins - collaborating across borders, managing transboundary groundwater aquifers, transnational sharing of terrestrial water bodies, integrated management of coastal resources, reducing coastal dead zones, ecosystem-based approach to managing coastal fisheries, reducing environmental risks of marine transport, helping small island states, policy recommendations and decision support fact sheets, was selected.

Based on discussion with key staff, getting to the point of publication involved a highly significant amount of time and commitment, with large variability and transaction costs in receiving contributions and correspondence from IW practitioners. Nevertheless, the special issue was published in an Elsevier publication, *Environmental Development*, in June, 2013, containing 24 articles.

Also based on discussion with key staff, it appears that maintaining such a journal would require a high level of commitment in both time and financial resources. While the concept seems to have been initially attractive, it does not appear to have been effective in reaching out to the Science community. To date, use of the citation index (as a metric of achievement) has not resulted in any indication that there have been citations by other scientific authors of any of the articles included in the special issue. However, with time (i.e. to allow readers to consider the work and possibly use in future publications) then the metric may eventually have some value. The lesson learned as a result of this experience is to engage an already successful journal to incorporate articles through a special issue publication, once there is significant content to nominate for review, and adjust metrics for such an activity to include parameters such as the number of publications submitted or accepted, rather than use of the citation index.

Portfolio Visualization

Activity 4a iii., under Component 4 of the project, was designed to compile and visualize results and achievements for 20 years of GEF IW projects. The intent was to establish a user-friendly, on-line system of data archiving that would manage project data for IW projects and to make these data available to review and analysis in a visual, often spatial format (one current example of a visualization tool is Google Earth). This feature has been a long-standing desire of some steering committee members to see this realized. The tool was rolled out during the 2012 Science conference and is posted on IWLEARN.NET (<http://iwlearn.net/visualization>).

From a review of the project documents and discussion with staff, it is clear that to achieve functional and reliable results, this project should have had clear terms of reference so that the technical staff could know what the first priorities of the application outputs were to be. Also identified in the MTE, one challenge for this feature has been accessing sufficient data sets, and

receiving cooperation for IW projects to share data for such application. Another challenge lies in the disposition and standardization of data sets so that they can be effectively integrated and then displayed. The use of this application is likely to be more by the agencies involved in IW:Learn rather than other stakeholders, at least initially. However, the application is currently not receiving much use by any stakeholder visiting the site. This suggests that there are two possible approaches that IWL may want to consider in further attempting to promote data visualization: 1) take small steps and test the feasibility with specific cases that are data rich, have a clear terms of reference for delivery and provide solid return on effort or 2) until there are greater technical strides made, or partners with experience that can be engaged, especially with respect to data integration and seeking greater cooperation from IW projects in sharing data sets, that visualization may need to be a lower priority compared to other tasks in the future.

3.3 Project Results

Overall results (attainment of objectives) (*) – **(Satisfactory)**

Overall results for IWL3 have not differed since the MTE and, as predicted, have continued to meet expected outcomes and the attainment of objectives as the project is approaching closure. The activities that had been identified as incomplete have been addressed. The Insurance Index Activity, Component 5c, failed to realize the necessary co-financing and consequently, the Steering Committee, during its 2012 and 2013 meetings redirected the use of resources slated for that activity and applied them to amend the contract with the Global Water Partnership to include actions in support of financing sustainable management of transboundary basins, including a background study and roundtable discussion on the Private Sector. Component 5e, which during the MTE has been rated as Unsatisfactory, was published and posted in PDF on IWLEARN.NET on May 21.

Relevance(*) – **(Highly Satisfactory)**

IWLEARN's relevance in this project has continued to be highly consistent with GEF's IW focal area and operational strategies, and provides a central coordinating mechanism around which GEF projects and their beneficiaries revolve. This project set out to focus regionally for the delivery of some of its outcomes and it has clearly achieved those outcomes as evidenced by the Project Results Framework. Furthermore, the project's relevance was reported by multiple interviewees about the significance of country-to-country dialog that resulted in the MENARID and in the Mediterranean SEE regions.

Effectiveness & Efficiency (*) (Effectiveness: **Satisfactory**; Efficiency: **Moderately Satisfactory**)

Having met the majority of its outcomes suggests that IWL has generally been effective over the course of its execution, because the outcomes are commensurate with the original and

modified objectives and the M&E plan helped the project to adapt to achieve this. However, the complexity of the project combined with IWL's relatively limited financial resources—even with the significant co-financing achieved—has resulted in some trade-offs in being able to meet certain goals (e.g. not having the resources to make important technology changes, or having to assume administrative responsibilities that impact staff commitment to knowledge management tasks). Effectiveness is more than meeting outcomes, however; it is also about setting priorities that allow IWL to meet its core business as first priority, so that it may have a lasting impact where interventions have occurred.¹⁴ Effectiveness of a project is also tied to operating under a clear vision and strategy. While the Project Results Framework has met this need for IWL3 as a project, IWL as a continued learning initiative (or *program*)—to support GEF IW operations and broaden as a partnership-based enterprise—is still struggling with how it may expand and sustain operations into the future.

More significant to the assessment of this criterion is the efficiency under which the project operated. On one hand, IWL3 has been quite cost effective based on the relatively limited project size financially and how the PCU and SC managed its resources, contrasted against the ambitious set of activities. The level of cofinancing provided to the project by its partners has also helped in meeting project objectives. And the level of work that has been generated by a small PCU and its (geographically distributed) staff and partners has been impressive. But because there was not a formal audit of project finances, it is difficult to accurately assess the degree of fiscal effectiveness. As referenced in the above section on financing, practices seem to have been standard and functioned as intended.

As identified previously, the dual implementing arrangements and the distributed nature of the PCU contributed to some operational inefficiencies that could be markedly improved in future projects of IWL. If IWL is to further strengthen both its efficiency and its effectiveness in future projects—then it needs to focus on core objectives as a first priority—and reconcile the need for a centralized coordinating unit, as opposed to the spatially (and organizationally) distributed model that has operated under IWL 3. In principle, the project manager/CTA should have the final administrative authority regarding decisions over activities that occur and in directing staff to see that tasks are completed and that objectives are met.

Country ownership – **(Satisfactory)**

IWL3 was designed to have regional impact by specifically assisting countries in the MENARID region. The project had a significant positive impact on allowing countries (i.e. their representatives) who had not previously met, gain the opportunity to engage face-to-face and

¹⁴ The PCU is aware of this and to its credit has begun an impact tracker—a simple but highly populated spreadsheet at present—so that it may keep up with beneficiaries of IWL's face-to-face meetings, products and services. This has the potential to serve as an important future tool for IWL and should be developed further in IWL4.

share common interests and concerns. In particular, the UNESCO-IHP-led workshops in the MENARID region has acknowledged that the country participants supported by IWL regional meetings are encouraged to see that there are mechanisms in place through IWL, and to help neighboring countries see that they are affected by similar challenges, and that there is significant value in a regional voice that can help countries get through issues of political sensitivity. This specific comment is also relevant to other regional IWL meetings; and as part of this TE, this evaluator personally witnessed a similar result for African nations at the workshop in Grahamstown, South Africa.

Mainstreaming – **(Unsatisfactory)**

GEF-financed projects implemented by UNDP remain important to UNDP country programming with respect to its four key practices of poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender, in addition to any regional or global projects or programs in which UNDP may be involved. While IWL in general has been observant of issues tied to poverty alleviation, stronger governance, adaptation to Climate Change (and thus prevention and recovery from natural disasters) and issues pertaining to gender, there is no evidence from the documentation reviewed or interviews conducted that IWL3 had been specifically integrated into UNDP country programming at any point in IWL's project cycle. Having stated this, there are examples within the project where one or more of these practices were at issue (for example, improved governance was a result with the renewed Petersburg Phase 2 and Athens Declaration in the Med SEE region). There has been some recognition that these issues are often 'siloed' among projects resulting in limited cross-practice cooperation. However, it appears that in the recently UNDP Board-approved Strategic Plan (from 2014-2017) that there will be explicit objectives to improve such integration. At present, however, there are no instances or attempts in which the project specifically tried to mainstream IWL3 into other UNDP projects or programs.

Sustainability (*) **(Moderately Satisfactory)**

Each of the IWL project partners has provided sustainability plans to the PCU as part of their responsibility to the project. These plans have varied by partner and are dependent on their own institutional resources and the roles and commitments that they have made to IWL as a partner. The fact remains that given the degree to which IWLEARN serves the GEF and its Secretariat, by providing the IW portfolios knowledgebase and serving to help coordinate the biennial International Waters Conference, a significant amount of time and energy from IWL obviously goes to serve such commitments. Therefore, current sustainability for IWL remains highly dependent upon the GEF and this will remain true for any subsequent project in the near term. Certainly IWL has demonstrated an ability to partner with institutions that also value the role of lesson and experience sharing related to International Waters. Furthermore, the current partnerships forged with IWL are with organizations that have brought not only specific

technical expertise, but a commitment to co-financing to help IWL achieve its current outcomes. However, there is still a high risk to IWL's ability to function sustainably without GEF support. IWL's expansion into a broader more globally connected enterprise has been the topic of discussion among its principals. This latter issue is further discussed in elsewhere in this report.

Impact - **(Satisfactory)**

As a knowledge enterprise, IWLEARN has been in existence since the late 1990's/early 2000s. Its various stages, through the establishment of the experimental, operational and now the MENARID projects, have been an evolution for IWLEARN in terms of its activities and outreach to IW projects, regions (and their regional organizations (whether existing or created as a result of GEF support), countries, and now expanding to partners who also value knowledge management and the exchange of lessons and experience. To this end, IWL's impact has continued to grow and mature over the course of time. Since IWL's beginning, it has engaged in more than 35 distinct **targeted training** activities that have supported IW specifically in water resources management and in capacity building exercises. This has had significant positive impact on the various regions where these events have taken place; and these have also been conducted in concert with Regional **Dialogues** that have helped to increase awareness of the need for shared lessons and good practice. (IWL has been engaged in at least six Regional Dialogues). IWL can also be credited with the use of "**project twinnings**"— pairing IW projects for face-to-face engagement between project principals who share common objectives and/or challenges. To date, more than 22 distinct project twinnings, involving 36 IW projects, have benefitted more than 150 through these face-to-face interactions. IWL has continued to have some impact and influence in other world regions (e.g. Africa, Southeast Asia and in the Caribbean Basin) from Regional workshops that continue the dialog surrounding the sharing of knowledge and exchange of lessons and practices. Furthermore, because of its coordination role with GEF projects and through the IW Conferences, face-to-face interaction has become a significant hallmark of IWL and has been repeatedly identified through post-meeting evaluations as having significant, positive impact for the IW community. IWL has also continued to develop content—and has made such available on its website— for IW projects. For example, the Transboundary Diagnostic Analysis-Strategic Action Program Methodology has been repeatedly reported as being of significant value to IW practitioners. And guidelines and handbooks have been developed and posted as part of IWL3.

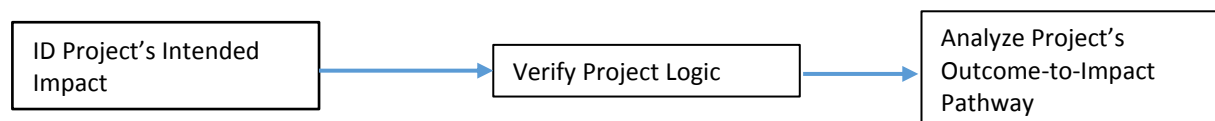
For IWL3 there has been continued positive impact concerning the above activities. But in addition to this (and as identified in Section 3.1 (page 22)), the activities in the MENARID Region tied to groundwater, involved stakeholder participation by a community of practitioners who had not previously met (i.e. before the project existed). This national dialog between these

countries had a significant, positive impact on those stakeholders, resulting in continued participation even after meetings took place.¹⁵

These are all positive indications for IWL in moving forward that show how its impact has grown and matured, and these appear to be consistent with IWLs original vision and goal of promoting knowledge sharing and experiences. However, as noted in the MTE, IWL has not yet developed effective long range metrics to routinely measure and assess cumulative impact over time. The PCU has begun this process with the establishment of an IWL “impact tracker”—a tool to follow and measure IWL participants over time so that the impact of IWL engagement might be better assessed in the future. While it is currently nascent, it is nonetheless a start in the right direction and should be further developed and supported.

3.4 Considerations regarding a Theory of Change Assessment

The GEF has endorsed an analytical approach for evaluating projects that include a “Theory of Change” assessment that is evolving as more recent GEF projects are designed – in essence to structure the necessary elements in project design to allow for this type of analysis. Theory of Change is generally an evaluation approach using a specific articulation of assumptions that stakeholders use to structure a change framework at a given project’s outset, that then follows and explains the process of change that unfolds by applying this framework and examining a ‘causal chain’. The framework shows a pathway of change that, in theory, should be more measureable, especially with longer-term indicators of success.



Assumptions explain the connections between early, intermediate and long- term outcomes and the expectations about how and why proposed interventions will work. In other words, the argument for the use of this approach to assessment shifts perspectives about a project striving for outcomes and a better way to structure, measure and track these, rather than simple reporting on various activities that a project has completed.

In a report produced in 2007, thirty GEF-3 projects from the Biodiversity Focal area were analyzed as to whether they may fit a Theory of Change assessment approach.¹⁶ As described in the report, “a Theory of Change defines all building blocks required to bring about a given long-term goal.” Of the thirty projects investigated it was found that in general, they could be evaluated using some aspect of the Theory of Change approach; however, it was a variable fit given that projects were not designed a priori with this analytical structure in mind, and so

¹⁵ Also, refer to IWLs Catalytic role on page 23.

¹⁶ <http://tinyurl.com/kt5qcqc>

some could not effectively be evaluated using a TOC model. This analytical framework is in transition among GEF projects, and many, but not all, have been consistent in factoring in this structure during the project design phase. Based on the documentation reviewed for this TE, IWL 3 was not structured using a Theory of Change Assessment Framework from its beginning.¹⁷ However, the project's Results Framework and the M&E activities used over the course of IWL3 did allow it to track and measure progress of inputs, activities, outputs, outcomes and impact (refer to Section 3.3) over the course of the project life to a considerable degree. For example, the logic of IWL to strengthen the MENARID Region with Regional Dialogue and Capacity Building activities, through national exchanges, had a high degree of fidelity from project design until the project's end. The anticipated activities, outputs and outcomes all had a positive impact to the region. There are other examples described in the TE where a similar pathway can be seen. However, one of the main constructive criticisms made from those interviewed for this TE was that IWL needed more inherent flexibility in its structure to meet ad hoc demand for training, twinning or capacity enhancement activities, and this type of fungible, flexible structure presents a challenge to logical, causal chains.

Nevertheless, it can be stated that the logic of IWL3 was generally sound as evidenced by most of the outcomes defined during initial project design having been met by the project's end. The impact of these outcomes is discussed elsewhere. However, there is not significant insight that a Theory of Change can bring to IWL3 given that it was not specifically designed with this type of evaluation framework in mind from the outset. Moreover, (and this was also noted during the MTE) the absence of long term monitoring data (or indicators) for IWL has posed a challenge in comprehensively assessing impact over an extended period of time. As referenced in the above Section 3.3, IWL3 has begun use of an "Impact Tracker" that could benefit a Theory of Change Analysis in the future, provided that such an analytical framework is fully structured during the project design phase. But the continued experimental nature of IW:LEARN and the need for some degree of programmatic flexibility— in order to address changing circumstances (i.e. those that may be subject to significant unforeseen, emergent need) —presents IWL a unique and ongoing challenge when structuring analysis frameworks based on causal-chain pathways.

4. Conclusions, Lessons Learned and Recommendations

In general terms, this TE finds that this project, IWL3, has been satisfactorily designed, implemented and executed. The project principals, staff and partners should be recognized for the significant work, commitment and the achievement of outcomes that have been realized over the course of the project period, especially in light of the modest budget for the complex

¹⁷ The structure of IWL4 may wish to consider establishing a framework that will allow for a specific Theory of Change Assessment in the future.

set of activities undertaken and distributed management arrangements of the PCU. IW:LEARN continues to strengthen and evolve, yet in many ways it has continued its original vision in support the GEF and the IW portfolio of projects.

Based on the findings evaluated and discussed in this Terminal Evaluation, how did the initial questions developed under the Terms of Reference get address by the end of the project?

- **To what extent has the project strategy been successful in strengthening IW portfolio delivery and impact?**

The project's strategy, with its various components and activities, has been largely successful in strengthening IW's impact, particularly in the MENARID Region and the Mediterranean, but also to some degree in Africa, Southeast Asia and in the Caribbean Basin. This was a specific focus and desire of this "version" of IWL and this TE finds that it was largely successful. There remain challenges with continuing the dialog so that these regions remain motivated to sustain interaction, and some of the mechanisms for information dissemination can be strengthened, but improvements and strengthening have certainly occurred over the project life. One challenge for IWL is to effectively expand its influence with IW partners outside of the GEF's operations while still delivering on its original core service to GEF IW constituents.

- **Did the project effectively capture and disseminate project results and experiences from the IW projects?**

Yes, the project has generally captured project results and experiences from the activities undertaken. In particular, the PCU has been adroit in measuring and self-evaluating most of the meetings, Regional and International Workshops and conferences and in self-evaluating to measure progress and need for improvement—almost to an extreme. It seems that metrics have been such an important component after every event and meeting that there is little time left for managing and pushing knowledge through the IWL community. While the receipt of Experience Notes from all IW projects in to the PCU has been disappointing, the PCU has been consistent in contacting IW project managers and requesting engagement and input. But in short, one can lead a horse to water, but not necessarily make it drink. As was identified in the Mid-Term Evaluation as well, ...a *"wide range of stakeholders, particularly project managers and their technical staff, benefit from IW LEARN but they are still far less forthcoming in contributing to IW LEARN. This is particularly apparent in the failure of the Communities of Practice to gain traction and whereas this may, in part, be owing to shortcomings in the ICT platform it seems to be largely because Project Managers do not feel there is sufficient benefit from participation such that they are willing to allocate their time which is in constant demand from immediate project exigencies."* This poses continued challenges to IWL's innovation in seeking ways to more fully motivate and thus engage IW projects and their staff to use IWL to a greater degree and to demonstrate its value added significance to IW projects and the broader community.

- **Did the project activities foster efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives and enhance the technical capacity of the recipients?**

From a review of progress it can be stated that IWL3 has generally delivered tangible results in concert with its partners and in many cases has indeed enhanced the technical capacity of stakeholders/recipients. This was especially true with a number of the MENARID countries. Whether this has been achieved in an “efficient” or “effective” manner is questionable as a range of transactions costs have influenced such a characterization. In the GEF evaluation guidance, it can be argued that such characterizations were met, and this TE finds that, all things being equal, the success of outcomes was performed as effectively as possible under variable circumstances (and this depended upon activity and geographic location). But on paper, this evaluator is very concerned with dual implementation arrangements, because the transaction costs that result are neither efficient nor effective. Nevertheless, there appear to be political factors/considerations involved under which this implementation arrangement may continue. If this is the case, then at the very least IWL must reconcile the need for a centralized coordinating unit, as opposed to the spatially (and organizationally) distributed model that has operated under IWL 3; and the project manager/CTA should have the final administrative authority regarding decisions over activities that occur and in directing staff to see that tasks are completed and objectives met.

- **How did the project activities translate into benefits for transboundary water management?**

Engagement of stakeholders in face-to-face dialog; twinning of projects to share experiences; connecting like-minded practitioners within the MENARID region to address a common challenge concerning groundwater and sub-space management; production of different manuals for use by the community; engaging the private sector in a more meaningful dialog than previously; fostering a sense of regional communities and a global community among practitioners—these were all observed as achievements during the course of this TE.

- **What mechanisms are in place to ensure stakeholder ownership and sustainability of the benefits of IW: LEARN and associated technical support?**

There are currently few mechanisms in place. IW:LEARN will (and should) continue to rely on GEF support as a significant source of support in the short term, especially given the significant role that it plays in supporting the IWL portfolio. The project continues to be significantly resource constrained, yet there remain high expectations for IWL delivery to the community. And there is a push to expand IWL’s connection with a broader partnership community outside of the GEF. This is an important consideration for IWL’s longer term sustainability, but there will have to be a balance in moving forward to ensure that the program does not spread itself too

thinly such that it compromises its ability to master its core business, first serves a core constituency and masters those responsibilities as a first priority (refer to [Annex 5.10](#) for additional discussion).

4.1 Lessons Learned

As a learning initiative, IWL has itself learned from its own previous projects and experiences. In reviewing previous IWL evaluations, there is clear evidence in this project that IWL learned from those earlier experiences and readily took recommendations on board and improved its performance. This has been especially true with the improvement in metrics to assess progress and in use of the Monitoring and Evaluation Plan to adapt to changes in the project.

One recurrent observation that was noted by a number of those interviewed over the course of this TE is that IWL could benefit by having some flexibility in the application of its resources as the project moves through time and adapts to changing conditions. The M&E plan helped IWL do this to some degree; however, the point was that greater financial flexibility (i.e. to allow resources to be moved around quickly) in response to emergent issues would improve response and innovation within the program.

IWL3 can be generally viewed as a satisfactory project, but it has been a complex undertaking. IWL should not spread itself too thinly with activities in future project design such that it becomes over-extended and its credibility as an enterprise suffers as a result.

A major observation from this evaluation suggests that the challenges identified and discussed above in Section 3 may be possible symptoms of a larger, significant challenge for IW:LEARN in moving forward. It has been a tremendous job for IWL to try to be so many things to so many different stakeholders. From a review of the documentation, summaries from various meetings, and interviews, it was repeatedly observed that participants hold different views of what IWL should emphasize and how this should be managed. This adds complexity and confusion about what IWL's comparative advantage is.

This poses a fair question: what is it that IWL offers its community that is *value added* for its membership to want to engage? Not only with the face-to-face meetings and conferences, but especially to regularly communicate and participate through its web presence, in response to its newsletter, and to access and take advantage of IWL's content in the forms of knowledge and experience sharing? And has this *value added* been clearly articulated in the form of a vision, goals and roles of its partnership? Aside from the stated project objectives for each project of IWL, a search performed on IWLEARN.NET for "IWLEARN Strategy" or "IWLearn Vision" returns no clear result. On the 'About' page of IWLEARN.NET there is a stated overall goal, aims, and a description of IWL services, but these are not organized in a structured

mission statement followed by priorities to achieve that mission and a value-added proposition for IWLearn's users to want to engage and consistently participate.

As IWL continues, it needs to simplify on one hand—to make sure that it clearly defines priorities and makes good on those first and foremost, before taking on other obligations. But it also needs to balance expanding its partnership so that it remains relevant in a global and increasingly dynamic community. IWL cannot be too inward-looking if it is to sustain itself as a knowledge enterprise for the future. This presents a conundrum. IWL needs to be able to expand and connect with partners outside of the GEF circle of concern and this strategy was repeated many times during discussions and interviews. But more importantly at this juncture, IWL has to be able to define its core business and perform it well so that its influence in a broader partnership can signify and its credibility can grow.

4.2 Recommendations

The following recommendations are proffered as a result of this evaluation in hope that they can help guide and strengthen IWL's future efforts:

1. **Clearly define IWL's value added proposition and define its first, second and third-order priorities** so that it has a clear delineation of its core objectives, responsibilities and what it does best.

IW:Learn has done a good job in aligning with its current partners; they benefit from affiliation with IWL and bring skills and support, and have benefitted IWL by helping it to expand its connections outside of the GEF portfolio. Future partners connecting with IWL should offer skill sets and experiences of significance that add value to both, where IWL and the partners share common interests and can be mutually supporting. But IWL's significance, influence and impact can only grow to the extent that it can keep promises to itself concerning its core business and then deliver on those promises. Even if IW4 may represent an increase in resources, it should first reexamine its core functions and prioritize its most important services, to ensure that it meets these obligations so that it can avoid overcommitting in any broader partnership, yet bring credibility to partnership expansion. This will also allow the program to expand incrementally, so that it a) does not bite off more than it can chew in subsequent project designs and b) successfully identifies those partners who can best augment IWLs strengths and share mutually beneficial outcomes as a result of partnership engagement (refer to [Annex 5.10](#) for more discussion and series of recommendations as to what 1st, 2nd and 3rd-order priorities should be).

2. **Adequate resourcing, staffing and centralization of the IWL Project Coordination Unit**
In the future, it would be to IWL's benefit to have a single, co-located Project Coordinating Unit where the Project Manager has all staff in the same office and especially with direct responsibility over new developments and modifications concerning IW:Learn's web presence—at least in the initial stages of execution. This is

so this important function can be most efficiently managed given its crucial role in daily information sharing and communication for the growing IWL community.¹⁸

For future IWL projects, the CTA needs more resources focused on the PCU serving as a knowledge broker to the IWL community and this is one value-added proposition that can be emphasized for the future. Being able to interpret and push information to Project Managers, Regional Bodies and key policy and decision makers is one way that IWL can develop and maintain a comparative advantage, especially as the knowledge base grows. The CTA also needs to be able to delegate responsibilities for several tasks, especially the planning and logistics of the IWC, while he/she focuses on carrying IWL to a new level of relevance - by bridging communication between projects, across the GEF SEC, STAP, relevant scientific information, its relevance to policy and the portfolio pipeline, helping disseminate lessons among regions and countries; serving in an editorial capacity in tailoring lessons for uptake and using targeted communication in being strategic with specific messaging in the right place at the right time.

3. **IWL should always plan for multiple IWCs in IWL's programming and project design**, as more than one IWC may span the life on a given future project and should be always be appropriately planned for and resourced within each project.
4. In the future, **contractual agreements between IAs and project execution** should be carefully reviewed by the Steering Committee to ensure that there is adequate resourcing allocated to meet the administrative demand. Alternatively, the IWL PCU should engage a chief Operating Officer with the necessary skill set to provide all administrative functions, so that the project manager and the technical staff can be allowed to undertake their respective technical roles. Having a Chief Operating Officer to support the PCU would allow the seasoned PCU staff to use their skills and abilities to serve as interlocutors and knowledge brokers of information between IW portfolio projects and the expanding number of partners.
5. **Fiscal flexibility is needed within IWL's program structure to better respond to unforeseen, emergent/evolving need as project implementation unfolds.** IWL should have some flexibility within its program structure and IWL budget, so that as IWL uses its M&E (which it has done well during the course of this project), it has some fiscal fungibility to be able to respond to need. This was identified in areas such as Regional

¹⁸ This TE acknowledges that as our world continues increasing its use of remote access across all facets of global society, especially the workforce, it is clearly understood that many professionals are adept at working remotely and there can be a strong case made for this type of practice. Distributed workforces are commonplace today and with the right tools, the right trust and the right team, this has been proven time and again to be a viable operational arrangement. And IWL3 has also had an increasingly improved working relationship between the PCU and the IT unit based in Bangkok over the course of the project life. However, this arrangement was born not out of the chosen desire of the PCU to operate in such a manner, but rather as a result of implementation arrangements that sought operational economy. Until IWL is in a position to review its priorities and consciously chooses such working arrangements, there should be a period of time that the PCU should be allowed to centralize its planning and operations as it reexamines its priorities in future project design.

face-to-face meetings, twinnings and engaging with the private sector. And other unanticipated issues that might emerge over the course of the next IWL phase.

6. Re-examine and reprioritize elements of IWL's Web presence – both content and the technology options needed to present and manage it.

Transitioning to the next IWL project presents the opportunity to perform a stock-taking of IWLEARN.NET. The PCU should have both authority and responsibility for engaging a third party contractor to work with the current technical staff to help deliver a product that meets user needs. The platform should also support the PCU's content management and editorial capacity so that it can review and push content to different levels within the web platform that are customized for different users. In the website review performed during IWL3, this was referred to as "Facilitated Navigation" and this should be seriously considered for use during IWL4. IWL, over the course of a given two years, should be an online mechanism and presence that helps to anticipate and lead up to face-to-face interaction, whether it is the IWC, or Regional Dialogs or other meetings.

7. Partner with the EBM Tools Network (www.ebmtools.org) or with Open Channels (<http://openchannels.org/>). In order to take advantage and network with programs that already have expertise in the application and use of webinars to advance learning.

A number of respondents referenced webinars as potentially valuable platforms through which to share knowledge, especially among adult learners, and these have been used in some aspects of IW:LEARN. If this technology is to increase for IWL, then it should not attempt to reinvent technology applications, but rather partner with existing, successful networks. This also presents an opportunity to widen IWL's partnership with existing networks that share common objectives. The coordinator of the EBM tools network was contacted as part of this TE and has expressed interest in discussing how it might assist IWL in taking advantage of their network's experience with webinar platforms.

8. Further develop the "Impact Tracker" as a relational database application for Long Term monitoring of IWL progress. The current IWL3 PCU has created a flat file database (i.e. in spreadsheet format) to track IWL participants over time so that the impact of IWL engagement might be better measured in the future. This is an excellent concept and something needed to improve metrics for IWL's growing impact. The tool should be integrated into a relational database system so that it can be accessed through specific queries and made accessible and searchable via the Internet.

9. Content Visualization needs to have a specific focus and priority initially, and then build upon it. There are priorities within IW where visualization should first be attempted – like Groundwater, for example. Bubble plots of contamination risk lend

themselves much more readily to visual understanding than other types and have a proven track record through technology and analysis. At present the focus of visualization products appear to not be well defined. This is understandable because of the high variation concerning data availability and quality assurance, and this makes attempting a broad objective across a spectrum of visualization attempts to be an exercise analogous to herding snails. IWL needs to develop a specific terms of reference for visualization and start small to prove the concept specifically for IW and then broaden its visualization areas of concern. Based on interviews during this TE, it is noted that UNEP is embarking on an ambitious web and database initiative—“UNEP Live”—which is proposed to serve as a comprehensive information management system, and much of UNEP’s managed content, and that of its willing partners, is intended to eventually reside with this new and emerging platform¹⁹. IWL’s content apparently has already been ported over to and is available through UNEP Live, which is considered by UNEP to be key to its sustainability strategy for IWL moving forward. However, this evaluator recommends that IWL maintain its web presence and knowledge base independently and under the PCU and directly manage the mission-critical operations of its content. It may wish to continue communication with UNEP about the progress of the “UNEP-Live” platform, especially the prospects that UNEP Live could hold for data visualization, and whether any future partnership directly with **UNEP Live** could be mutually beneficial.

10. **Targeted Messaging and Communication:** To improve its efficiency in operating on a limited budget and to improve effectiveness in reaching specific audiences, IWLEARN’s future projects should consider being highly strategic about how to target specific messages to the right stakeholders. The strategic targeting of communication messages could be an important co-responsibility between the PCU and IWL Steering Committee. It is recommended that for future IWL projects that a communications firm with specific experience in targeting resource messages be contracted on a part-time basis to work with both the PCU and the Steering Committee. Given the demands on IWL’s personnel and resources, this is a cost-effective approach to consider in getting key messages—especially where lessons from IWL experiences could influence government policy on IW—to the right audience at the appropriate time.

¹⁹ https://www.youtube.com/watch?v=4e_itRQ_G-M

5. Annexes

5.1 Terms of Reference

Terminal Evaluation Terms of Reference

[Note: TOR Annexes not included to reduce unnecessary redundancy & to avoid confusion]

(Individual Contractor Agreement)

Title: Terminal Evaluator
Project: IW:Learn
Duty station: Home-based
Section/Unit: GPSO IWC
Contract/Level: I-ICA 4
Duration: 07 March 2014 -15 May 2014 (Lumpsum)
Supervisor: Katrin Lichtenberg, Senior Portfolio Manager, UNOPS

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the GEF IW:LEARN3 Project.

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

PROJECT SUMMARY TABLE

Project Title:	MENARID GEF:IW:LEARN III: Strengthening Portfolio Delivery and Impact			
GEF Project ID:	3900		<u>at endorsement</u> <u>(Million US\$)</u>	<u>at completion</u> <u>(Million US\$)</u>
UNDP Project ID:	4219	GEF financing:	US\$3,160,000 (UNDP)/\$935,000 (UNEP)	US\$3,160,000 (UNDP)/\$935,000 (UNEP)
Country:	n/a	IA/EA own:		
Region:	Global	Government:		
Focal Area:	International Waters	Other:		UNDP EEG (1,763,000) UNESCO-IHP (550,000) Cornell University (40,000) UNECE (60,000) SEA START (238,000) UNEP CEP (100,000) IUCN-WANI (202,000) UNEP-IWG (200,000) UNU-UNWEH (1,240,000) UNEP-DEWA (701,824) UNDP BRC (60,000) UNEP (50,000)
FA Objectives, (OP/SP):	IW-2 Capacity Building for IW	Total co-financing:	24 US\$5,454,8	US\$5,204,824

Executing Agency:	UNOPS	Total Project Cost:	US\$4,095,000	US\$9,299,824
Other Partners involved:	UNEP	ProDoc Signature (date project began):		2 March 2011
		(Operational) Closing Date:	30 June 2014	30 June 2014

OBJECTIVE AND SCOPE

Today, the Global Environmental Facility (GEF) is the largest public funder of projects to improve the global environment. An independently operating financial organization, the GEF provides grants for projects related to biodiversity, climate change, international waters, land degradation, the ozone layer, and persistent organic pollutants. The GEF international waters focal area targets transboundary water systems, such as river basins with water flowing from one country to another, groundwater resources shared by several countries, or marine ecosystems bounded by more than one nation. The GEF currently unites 182 countries in partnership with international institutions, civil society organizations (CSOs), and the private sector to address global environmental issues while supporting national sustainable development initiatives.

Since its inception in 1991, the GEF has achieved a strong track record with developing countries and countries with economies in transition, providing \$10.5 billion in grants and leveraging \$51 billion in co-financing for over 2,700 projects in over 165 countries. Through its Small Grants Programme (SGP), the GEF has also made more than 14,000 small grants directly to civil society and community based organizations, totaling \$634 million.

The International Waters Learning Exchange and Resource network (**GEF IW:LEARN**) is one of these projects, and its mandate is to promote experience sharing and learning among the GEF International Waters (IW) projects and the country officials, agencies, and partners working on them. IW:LEARN operates as a central hub of information and knowledge sharing and delivers a host of programmatic initiatives for the benefit of the GEF IW portfolio of projects. In pursuit of its global and regional objectives, IW:LEARN seeks to strengthen global portfolio experience sharing and learning, dialogue facilitation, targeted knowledge sharing and replication in order to enhance the efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives.

The project will achieve this through the following 5 components:

- Component 1: MENARID Programme – Support via Land/Ground Water Integrated Management and Regional Portfolio Learning and Dialogue
- Component 2: Learning and Replication of Good Practices in Transboundary Surface and Groundwater Management
- Component 3: Global and GEF IW Portfolio Learning and Dialogue to Enhance Project Delivery and Impact
- Component 4: Information Management and Communications Platform to Support GEF IW Projects Learning and Dialogue
- Component 5: Programmatic Management Tools and Innovative Approaches related to Climate / Water and Private Sector Participation to Enhance GEF IW Portfolio Project Performance

More information about GEF IW:LEARN is available at www.IWLEARN.net

The Terminal Evaluation 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.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR ([Annex C](#)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

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 the IW: LEARN project staff, agency staff from the UNDP, UNOPS, and UNEP, the GEF, and other stakeholders. Subject to financial availability and timing, the evaluator may be expected to attend an IW:LEARN event in 2014. Interviews will be held in person or by phone/Skype with the following organizations and individuals at a minimum:

- Staff of the Project Coordinating Unit (Bratislava, Bangkok and Nairobi based PCU teams)
- Vladimir Mamaev, UNDP-GEF Regional Technical Advisor
- Isabelle van der Beck, UNEP GEF IW Portfolio Manager
- GEF Secretariat International Waters Technical Team
- IW:LEARN executing partners (UNESCO, UNU, IUCN, GWP-Med, IUCN, CEP, Rhodes University)
- Katrin Lichtenberg or Kirk Bayabos, UNOPS Senior Portfolio Manager in Copenhagen
- Project Executing Partners (inter alia, UNESCO, IUCN, GWP, UNU)
- Representatives of the project beneficiaries: GEF IW project managers and other project stakeholders
- Other constituencies and stakeholders not directly involved in the project who may have experienced, or may be expected to experience, its impacts.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), 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**. 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 D](#).

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	rating
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	
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

PROJECT FINANCE / COFINANCE

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 UNDP Regional Centre 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\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluator 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 knowledge management and experience sharing of GEF IW projects, b) successes in collecting lessons learned and best practices, and/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 IW:LEARN project coordination unit. UNOPS will contract the evaluator and all travel arrangements (if applicable) will be the responsibility of the evaluator. The Project Coordination Unit will be responsible for liaising with the Evaluator to set up stakeholder interviews, coordinate with the Government etc.

EVALUATION TIMEFRAME

The total duration of the evaluation will be according to the following plan:

Activity	Timing	Completion Date
Preparation		<i>No later than 10 March 2014</i>
Evaluation Mission		<i>No later than 15 March 2014</i>
Draft Evaluation Report		<i>No later than 15 April</i>
Final Report		<i>No later than 15 May 2014</i>

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to PCU and RTA
Presentation	Initial Findings	End of evaluation mission	To project management, and RTA
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent PCU, and reviewed by RTA, UNDP CO
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Signed by RTA and sent to UNDP CO for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

EVALUATOR QUALIFICATIONS

The Evaluator will be an international consultant. The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Evaluator must present the following qualifications:

- 10 year of technical knowledge and experience in the thematic areas related to water resource management, environmental management, international waters, climate change, transboundary monitoring, and other environmental issues; (with at least one year of demonstrated senior management of a GEF International Waters project), and strongly preferred, familiarity with regulations and procedures of the UN System and execution of UN-implemented projects and in particular experience in GEF, UNDP, UNEP, UNOPS procedures and projects;

- Substantive experience in reviewing and evaluating similar technical assistance projects, preferably those involving UNDP/GEF or other United Nations agencies, development agencies and major donors. Sound RBM expertise (especially result-orientated monitoring and evaluation); Demonstrated ability to reliably contribute to output and outcome-based evaluations, both assessment and learning aspects; Familiarity with MTE process, UN and/or World Bank M&E procedures preferred.
- A Master degree in water resources management, environment, natural resource management, development studies, international relations, knowledge management or relevant field required.
- Familiarity with GEF International Waters strategic programs, operations and evaluation guidelines, and portfolio advantageous.
- Experience with knowledge management (KM) approaches and methodologies at a multi-institutional scale, with basic-level understanding of Information and Communications Technology (ICT) to support KM.
- Notable experience with transboundary waters management in GEF IW project regions, particularly where pertinent to Monitoring and Evaluation and/or documenting TWM lessons.
- Previous experience with results-based monitoring and evaluation methodologies;
- Understanding of local actions contributing to global benefits is crucial;
- Highly knowledgeable of participatory monitoring and evaluation processes; and
- Excellent English writing and communication skills; demonstrated ability to assess complex situations in order to succinctly and clearly distil critical issues and draw well supported conclusions, required.

Also desirable:

- Familiarity with or, ideally, work experience in GEF International Waters recipient countries and/or with donors or related NGOs;
- Proficiency in at least one other UN language (Arabic, Chinese, French, Spanish or Russian).

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

PAYMENT MODALITIES AND SPECIFICATIONS

(this payment schedule is indicative, to be filled in by the CO and UNDP GEF Project Manager based on their standard procurement procedures)

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

Project Authority (Name/Title): Katrin Lichtenberg, Senior Portfolio Manager, UNOPS	Contract holder (Name/Title):
Signature Date	Signature Date

5.2 Evaluation Consultant Agreement Form

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluator:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form ⁴	
Agreement to abide by the Code of Conduct for Evaluation in the UN System	
Name of Consultant:	<u>Anthony J. Hooten</u>
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 place on date	<u>Anthony J. Hooten, Washington, DC, 3-07-14</u>
Signature:	_____

⁴www.unevaluation.org/uneccodeofconduct

Evaluator's Background

Anthony J. (Andy) Hooten, is the founder and owner of AJH Environmental Services based in Washington, DC. Andy has more than 29 years' experience as a coastal and marine professional, with a special emphasis on bridging science with application in management and policy, and addressing information and knowledge related to the sustainable use of coastal and marine environments. He has provided consulting services related to coastal and marine resources since 1989. As an evaluator, Andy has conducted both mid-term and terminal evaluations for the GEF through the World Bank, UNDP, IFC, UNEP and through NGOs, such as TNC and WWF, and for the US Agency for International Development.

Andy was raised in Savannah, Georgia, USA where he discovered a love of the coastal ocean as a young boy. In 1975 he studied and worked with researchers at the Charles Darwin Biological Research Station in the Galápagos Islands, Ecuador, where he assisted in field support for synoptic marine surveys to determine national park designation for the Galápagos' marine resources. He worked as a field biologist in Jamaica and provided field assistance at the Smithsonian Tropical Research Institute in Panama in 1979 working with coral reefs. Andy received a graduate degree in Zoology from the University of Georgia in 1982, with a focus on coral reef ecology of the eastern Pacific Ocean and Caribbean Sea.

Andy served as a field biologist and Director of Environmental Resources for the local government of the Florida Keys (Monroe County, Florida) from 1981-1987, where he helped provide environmental information as the basis for a Florida-mandated plan for growth and development. In 1987 Andy moved to the Washington, D.C. metropolitan area, to design and develop an ecological resources inventory as an environmental planning tool—a precursor to GIS for local government.

In 1989 Andy was invited by the Alaska Department of Environmental Conservation to provide technical assistance in response to the T/V *Exxon Valdez* oil spill. From 1989-1995, he worked on all phases of the spill ranging from response to natural resources damage assessment and restoration in the intertidal estuaries of Prince William Sound. He coordinated the "beachwalk" on behalf of the State of Alaska in the spring of 1990 to determine whether shoreline treatment to remove oil should continue into the 1990-91 seasons, and later served as a lead scientist for an experimental station in Herring Bay that studied the long-term effects from the spill.

Since 1995, Andy has focused his work nationally and internationally on issues related to coastal and marine resources, with a special emphasis on bridging science with application to management, and using information and knowledge to sustain use of coastal and marine environments. He has worked in more than 25 different countries for organizations such as the World Bank, the IADB, USAID, UNDP, FAO, US NOAA, US EPA, the United Nations Foundation, UNU-INWEH, the WorldFish Center, UNEP, IUCN the David and Lucille Packard Foundation, and the University of Queensland, Australia. Andy currently serves as an adjunct professor for the Global Change Institute at the University of Queensland. He also serves on the Board of Governors of the "Ocean Exchange" (www.oceanexchange.com) and on the Board of the Tara Foundation for Marine Research. Andy has been involved in the design and execution of GEF projects since the late 1990s. And he was involved in the experimental phase of IW:LEARN for the World Bank during the late 1990s and early 2000s.

5.3 List of documents or items reviewed and reference material used for this Terminal Evaluation

Number	Name & Source	Type & Source
1.	The IW:LEARN Website: www.iwlearn.net	Website
2.	IWL PRODOC	Project Document
3.	Lessons Learned to Project Mid-Term and Opportunities for Replication and Scaling-up IWRM in Pacific Island Countries	PDF File –IWLEARN.NET
4.	TERMS OF REFERENCE TERMINAL EVALUATION OF THE JOINT UNDP/UNEP GEF PROJECT: “STRENGTHENING GLOBAL CAPACITY TO SUSTAIN TRANSBOUNDARY WATERS: THE INTERNATIONAL WATERS LEARNING EXCHANGE AND RESOURCE NETWORK (IW:LEARN) OPERATIONAL PHASE.	MS Word File –IWLEARN.NET
5.	PIMS No. 4164 + GEF IW:LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes.	PDF File –IWLEARN.NET
6.	PROJECT IDENTIFICATION FORM (PIF) 2009 (for IWL 3)	PDF File –IWLEARN.NET
7.	iwlearn3_prodoc_undp_gefsubmission	MS Word File –IWLEARN.NET
8.	vmamaev_iaperspectives_unep (UNEP/GEF INTERNATIONAL WATERS PORTFOLIO)	PowerPoint File – IWLEARN.NET
9.	mamaev_japanel.ppt (UNEP GEF International Waters Portfolio: Progress since Dalian and Lessons Learned)	PowerPoint File – IWLEARN.NET
10.	iwlearn3_prodoc_unep_gefsubmission	MS Word File –IWLEARN.NET
11.	iwlearn3_outreach_pres_grahamstown (GEF IW:LEARN III 1st Regional Workshop for GEF IW Projects in Africa Grahamstown, South Africa April 2012)	PowerPoint File – IWLEARN.NET
12.	02visualization (The portfolio visualization in IWLEARN.NET)	PowerPoint File – IWLEARN.NET
13.	GEF-IWSC2012_Conference-Report_FINAL-21-11-2012_for-backtoback-printing	PDF Report, provided by IWL PCU
14.	IWSC2012 GEF Detailed Programme final-sept19 (Program of the IW Science Conference)	PDF Report, provided by IWL PCU

15.	IWSC2012 At-a-Glance 180912-sept18	PDF Report, provided by IWL PCU
16.	SynthesisReport_Web (of the International Waters Science Conference, 2012)	PDF Report, provided by IWL PCU & also downloaded from UNU-INWEH website.
17.	LBPS ANA Final - LAND-BASEDPOLLUTION SOURCES: A global Analysis of Land-Based Pollution Sources science and transboundary management	PDF Report, provided by IWL PCU
18.	iwc6_iwscience_dansie (Power Point Presentation in PDF format)	Downloaded from IWLEARN.NET
19.	2002iwps.pdf - International Waters Managers' Insights Regarding the Global Environment Facility (GEF) International Waters Program Study Transboundary Analyses, Demonstrations, Sustainability and Lessons Learned	Downloaded from IWLEARN.NET
20.	LMEOO SYN Final.pdf - LARGE MARINE ECOSYSTEMS AND THE OPEN OCEAN: A global Synopsis of Large Marine Ecosystems and the Open Ocean science and transboundary management	PDF Report, provided by IWL PCU
21.	IWC6DeadZone - Dead Zones Need Immediate Attention Lack of oxygen in coastal waters will create social, economic and recreational problems if not addressed faster, a new report says	PDF IWC6 Statement, provided by IWL PCU
22.	Analysis of GEF MENARID project learning needs and first MENARID learning workshop on traditional knowledge (Feb.. 2012,, Yazd,, Iran)	http://tinyurl.com/lu8xb9d
23.	R ANA Final - ANALYSIS REPORT RIVER BASINS: A global Analysis of River Basins science and transboundary management	PDF Report, provided by IWL PCU
24.	IWC6FieldTrip - A Disappearing River in a Land of Floods and Drought A Visit to the Trebisnjica River Basin	PDF Report, provided by IWL PCU
25.	IWC6DinnerRelease - Science and Celebration International Waters Experts Celebrate 20 Years of GEF	PDF Statement, provided by IWL PCU
26.	IWC6DiscussionsRelease - Lessons Learned GEF Project Managers Celebrate Results and Mull Challenges	PDF Statement, provided by IWL PCU
27.	IWC6FinalRelease - Plenty Done. Plenty to Do. The International Waters Conference Comes to an End	PDF Statement, provided by IWL PCU
28.	iwc6_iwlearn_community -	PDF file of Power Point Presentation provided

	Helping Improve Project Implementation with GEF IW:LEARN Tools (by Johannes Akimuwi, Khristine Custodio & Christian Ledermann	by IWL PCU
29.	iwsc_evaluationreport - Evaluation Report GEF International Waters Science Conference	Report, provided by IWL PCU
30.	iwlearn3_grahamstown2012_unescoihe_okeefe – UNESCO Power Point Presentation	PDF File –IWLEARN.NET
31.	iwc6_evaluation_report - Evaluation Report 6th Biennial GEF International Waters Conference	PDF Report, provided by IWL PCU
32.	IW-Learn Final Report – Terminal Evaluation of The UNDP Component of The IW:LEARN Project (IWL2)	PDF Report, provided by IWL PCU
33.	GEF International Waters Science Conference 2012 (IWSC 2012) 24–26 September, 2012, United Nations Conference Center Bangkok, Thailand Conference Report, Setting the International Waters Science Agenda for the next Decade. Compiled by Marcus Lange, 91 pp.	PDF Report, provided by IWL PCU
34.	iwl_sustainabilityplan - GEF IW:LEARN 10-311 Commission Sustainability Plan (Draft 03 July)	PDF Report, provided by IWL PCU
35.	IWC7 Conference Report	PDF Report, provided by IWL PCU
36.	11-03-10 Request for CEO endorsement.doc	MS Word File, downloaded from IWL website
37.	Link to IWL collection of evaluations and various statistics	http://IWLEARN.NET/abt_iwlearn/evaluations-and-impact-of-iw-learn
38.	IWLEARN3 - UNDP Management Response Template Mid-Term Review of the joint UNDP/UNEP GEF Project “MENARID GEF IW:LEARN: Strengthening IW Portfolio Delivery and Impact” Date: February 2012	Report, provided by IWL PCU
39.	iwlearn3_sustainability_onepager_IWC : PORTFOLIO-WIDE LEARNING: BIENNIAL INTERNATIONAL WATERS CONFERENCES	Document provided by IWL PCU
40.	iwlearn3_cofinance – Spreadsheet detailing Co-finance status	Spreadsheet provided by IWL PCU
41.	iwlearn3_sustainability_onepager_ICT_Comp4 - TECHNICAL SUPPORT FOR CONTENT MANAGEMENT SYSTEMS	Document provided by IWL PCU
42.	iwl3_sustainabilityplan - (Draft 14 January 2014)	Document provided by IWL PCU
43.	iwlearn3_implementation_contacts	Document provided by IWL PCU

44.	IWLEARN3_Inception Report-final	Document provided by IWL PCU
45.	iwlearn3_cofinance_letters	PDF document, provided by IWL PCU
46.	iwlearn_workplan_monthlysupplement_10jan14	Spreadsheet provided by IWL PCU
47.	IWLEARN3_Inception Report-final	Document provided by IWL PCU
48.	iwlearn3_outreach_summary_activities_plain	Document provided by IWL PCU
49.	iwlearn3_implementation_meplan	Document provided by IWL PCU
50.	PIMS 4219_UNDP_GEF_ST_2012_V08_IW – UNDP Implementation Progress	Document provided by IWL PCU
51.	4219 - UNDP_GEF_ST_2012_V08_IW_for RTA review-VM_final – UNDP Project Implementation Report (PIR) Financial Information: Cumulative from Project Start to June 30 2012.	Document provided by IWL PCU
52.	4219-International Waters-2013 PIR Report	Document provided by IWL PCU
53.	iwlearn3_preparation_evalanalysis - DRAFT Summary of evaluations and Recommendations For IW:LEARN Phase III	Document provided by IWL PCU
54.	iwlearn3_preparation_recommendations	Document provided by IWL PCU
55.	iwlearn3_act1c_rhodes_1stworkshop_finalreport - Africa Regional Achievements and Challenges in Transboundary Water Management	Document provided by IWL PCU
56.	iwlearn3_afr_workshop1_evaldata	Spreadsheet provided by IWL PCU
57.	iwc6_evaluationdata	Spreadsheet provided by IWL PCU
58.	evaluation comments	Document provided by IWL PCU
59.	iwlearn_workplan_monthlysupplement	Spreadsheet provided by IWL PCU
60.	iwlearn3_cofinance (up to 2013)	Spreadsheet provided by IWL PCU
61.	iwlearn3_implementation_meplan	Document provided by IWL PCU
62.	iwlearn3_implementation_rolesresp	Document provided by IWL PCU
63.	IWLEARN3_Inception	Document provided by IWL PCU
64.	iwlearn3_jan2013_cofinance	Spreadsheet provided by IWL PCU

65.	iwlearn3_psc_progressworkplan_jan2014	Document provided by IWL PCU
66.	iwlearn3_outreach_summary_activities_plain	Document provided by IWL PCU
67.	iwlearn3_psc_jan2014_lop (List of participants)	Document provided by IWL PCU
68.	iwlearn3_psc_progressresultsframework	Document provided by IWL PCU
69.	iwlearn3_psc_progressworkplan_jan	Document provided by IWL PCU
70.	jan2013_psc_budgetpres	Spreadsheet provided by IWL PCU
71.	QUARTERLY+PROGRESS+REPORT_q32011_iwlearn	Document provided by IWL PCU
72.	UNOPS QUARTERLY PROGRESS REPORT for the period April-June 2011 (Q2)	Document provided by IWL PCU
73.	UNOPS QUARTERLY PROGRESS REPORT for the period October-December 2011 (Q4)	Document provided by IWL PCU
74.	UNOPS QUARTERLY PROGRESS REPORT for the period January-March 2012 (Q1)	Document provided by IWL PCU
75.	UNOPS QUARTERLY PROGRESS REPORT for the period March-June 2012 (Q2)	Document provided by IWL PCU
76.	UNOPS QUARTERLY PROGRESS REPORT for the period July-September 2012 (Q3)	Document provided by IWL PCU
77.	UNOPS QUARTERLY PROGRESS REPORT for the period October-December 2012 (Q4)	Document provided by IWL PCU
78.	pm_manual_11oct (Project Manager's Manual for IW)	Document provided by IWL PCU
79.	GEF International Waters, 7 Mar1 (Brochure on IWL)	Document provided by IWL PCU
80.	StatusIWLEARN-WEbsiteRecommendations	Document provided by IWL PCU
81.	iwlearn4_meeting_17jan14_actionminutes (IW:LEARN4 Stakeholder Consultation: Action/Decision Items & Discussion Notes)	Document provided by IWL PCU
82.	draft Executive Guidance v4 ("Enhancing the use of science in International Waters projects to improve project results")	Document provided by UNU-INWEH
83.	iwlearn3_implementation_cta_tor (Terms of Reference for the IWL3 Project Manager)	Document provided by IWL PCU

84.	4481 LME ICM Governance PIF 7 February 2013	Document provided by IWL PCU
85.	iwlearn3_implementation_rolesresp (IWLEARN3 Institutional Arrangements)	Document provided by IWL PCU
86.	WKD_GEFLME_GOVERNANCE_16JAN2014_AD_V1 (“Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through Enhanced Sharing and Application of Large Marine Ecosystems/Integrated Coastal Management/Marine Protected Areas Knowledge and Information Tools”, by Alfred M. Duda)	Document provided by IWL PCU
87.	user-survey-final-features.xlsx (survey re: website features)	Document provided by IWL PCU
88.	Statistics.docx (results of website statistics on index file)	Document provided by IWL PCU
89.	2014 Website Toolkit Survey.pdf	Document provided by IWL PCU
90.	2014-website-survey.xlsx	Document provided by IWL PCU
91.	IWL3 Cofinance.xls	Document provided by UNEP-DEWA
92.	Temp 77694 IW Learn 22 May 2014.xlsb (UNOPS financial report summary for project)	Document provided by UNOPS
93.	IWL-UNESCO-IHP: http://groundwatercop.iwlearn.net/gefgwportfolio	Link provided by UNESCO-IHP
94.	CDR-Q2011_IWLearn-aw60708-proj76562-2 ; CDR-Q2012_IWLearn-aw60708-proj76562-ipsas-2; CDR-Q2013_IWLearn-aw60708-proj76562-ipsas (UNDP project accounting for IW:LEARN – 2011-2013)	Document provided by IWL PCU

5.4 List of persons interviewed

Date in 2014	Name of Person(s) Interviewed	Location	Mode of Interview
March 25	Mish Hamid, IWL	Washington→Bratislava, Slovakia	Skype
April 8	Peter Sale, Retired/UNU-INWEH	Washington→Hamilton, Ontario	Skype
April 9	Alfred Duda, Retired/WWF	Washington	Telephone
April 14	Mish Hamid & Patrick Weiler, IWL	Washington→Bratislava, Slovakia	Skype
April 16	Khristine Custodio, IWL, START	Washington→Bangkok, Thailand	Skype
April 23	Zafar Adeel, UNU-INWEH	Washington→Hamilton, Ontario	Skype
April 29	Isabelle van der Beck, UNEP	Washington	In-person
April 30	Patrick Weiler, IWL	Washington→Bratislava, Slovakia	Skype
April 30	Andrew Hudson, UNDP	Washington→New York	Telephone
May 1	Chris Severin, GEFSEC	Washington, DC	In-person
May 5-6	Mish Hamid, IWL	Grahamstown, South Africa→Nairobi	In-person
May 6	Anna Stabrawa, Damaris Waigwa, and Johannes Akiwumi, UNEP	Grahamstown, South Africa→Nairobi	Skype
May 7	Akikko Yamamoto, UNDP	Grahamstown, South Africa	In-person
May 7	Warwick Sauer	Rhodes University, Grahamstown, South Africa	In-person

Date in 2014	Name of Person(s) Interviewed	Location	Mode of Interview
May 8	David Vousden, ASCLME, Rhodes University	Grahamstown, South Africa	In-person
May 8	Nico Willemse, BCLME & Orange River	Grahamstown, South Africa	In-person
May 9	Hashali Hamukuaya, BCLME, Namibia	Grahamstown, South Africa	Group Discussion
May 9	Birane Sambe, FAO, Senegal	Grahamstown, South Africa	Group Discussion
May 9	Melckzedek Osore, Kenya Coastal Development	Grahamstown, South Africa	Group Discussion
May 9	Francis Mutuku, Kenya Coastal Development	Grahamstown, South Africa	Group Discussion
May 9	Gabriel Hakizmana, Lake Tanganyika Authority	Grahamstown, South Africa	Group Discussion
May 9	Osman Mustafa Ahmed, Nubian Aquifer	Grahamstown, South Africa	Group Discussion
May 9	Ebenizario Chonguica, Okavango, Botswana	Grahamstown, South Africa	Group Discussion
May 9	Lenka Thamae, Orange-Sengu River	Grahamstown, South Africa	Group Discussion
May 9	Rondolph Payette, Indian Ocean Tuna Commission	Grahamstown, South Africa	Group Discussion
May 9	Anton Earle, Stockholm International Water Institute	Grahamstown, South Africa	Group Discussion

Date in 2014	Name of Person(s) Interviewed	Location	Mode of Interview
May 9	Richard Meissner CSIR, Johannesburg, SA	Grahamstown, South Africa	Group Discussion
May 9	Mame Diop, UNDP	Grahamstown, South Africa	Group Discussion
May 9	Elka Praagman, WWF, Zimbabwe	Grahamstown, South Africa	Group Discussion
May 11	Francois Odendaal, EcoAfrica, DLIST	Johannesburg, South Africa →Pretoria, South Africa	Telephone
May 13	John Frazier Stewart, World Bank	Washington, DC	Telephone
May 13	Mark Paterson, Currie Communications	Washington, DC→Melbourne, Australia	Skype
May 14	Leah Karrer, GEFSEC	Washington, DC	In-person
May 14	Bernice McLean, EcoAfrica, COAST and BCLME-DLIST	Washington, DC→Johannesburg, South Africa	Skype
May 16	Sarah Carr, Ecosystem-Based Management Tools Network	Washington, DC	Telephone
May 16	Katrin Lichtenberg, UNOPS	Washington, DC→Copenhagen, Denmark	Skype
May 19	Astrid Hillers, GEFSEC	Washington, DC	In-person
May 20	Chuck Chaitovitz, GETF	Washington, DC	Skype
May 21	Stefano Barchiesi, IUCN	Washington, DC→Gland, Switzerland	Skype
May 22	Lucilla Minelli, UNESCO	Washington, DC→Paris, France	Skype
May 23	Ivica Trumbic	Washington, DC→Split,	Skype

Date in 2014	Name of Person(s) Interviewed	Location	Mode of Interview
		Croatia	
May 23	Christian Ledermann	Washington, DC→London	Skype
May 23	Chris Corbin, UNEP-CEP	Washington, DC → Kingston, Jamaica/Curaçao	Email/Skype messaging
May 27	Vladimir Mamaev, UNDP	Washington, DC→Bratislava, Slovakia	Skype
May 27	Mark Smith, IUCN	Washington→Gland	Skype
May 27	Liana McManus, TWAP	Washington, DC→Miami, FL	Telephone
May 30	Dimitris Faloutsos, GWP-Med	Washington, DC→Athens, Greece	Skype

5.5 Itinerary & Summary of field visit

From May 7-9, 2014, the Terminal Evaluator attended the “3rd African Regional Targeted Workshop for GEF IW Projects” to observe the regional connections between the various GEF IW projects and to engage with and ask questions of IWL stakeholders. The meeting was held in Grahamstown, South Africa and about thirty participants attended (see below).



The Evaluator was able to speak with most attendees to ask questions and gain further insights into stakeholder experiences with IWL. The Workshop Objectives and Agenda are provided below:



Workshop Concept Note & Agenda

The 3rd African Regional Targeted Workshop for GEF IW Projects Grahamstown, South Africa Rhodes University 7- 9 May 2014

The 3rd Africa Targeted Workshop for Global Environment Facility (GEF) International Waters (IW) Projects will be jointly organized by the International Waters Learning Exchange and Resource Network (IW:LEARN), a GEF project implemented by the United Nations Development Programme (UNDP) & United Nations Environment Program (UNEP), as well as its partners Rhodes University, the International Union for the Conservation of Nature and the African Center for Ocean Governance. The workshop will take place at Rhodes University and will focus on the two governance related themes. The first part will examine how GEF international waters projects sustain their interventions by catalyzing sustainable governance structures and the second part of the workshop will examine the science to governance mechanism.

Background & Activity Objectives

The IW:LEARN3 project, which became active in 2011 and will be active until mid 2014, has as one of its primary activities, the organization of regional workshops for GEF IW projects in three GEF regions: Africa, Asia & the Pacific and Latin America & the Caribbean. In each region, the project is partnered with an anchor institution to deliver these workshops. For GEF IW Projects in Africa, IW:LEARN has partnered with Rhodes University in South Africa. Through this partnership we seek to promote the building of individual capabilities as well as institutional capacity in aspects of transboundary and integrated water resource management. The building of capacities will be done through improved knowledge-management including the strengthening of networks and communities-of-practice. In this context, Rhodes and IW:LEARN agreed to cooperate in the support of 3 initial workshops and a variety of twinning exchanges in the last two years. IW:LEARN works with UNESCO and the World Conservation Union (IUCN) in support of global communities of practice for groundwater and surface freshwater projects.

The activity's overall objective is to increase communication between project managers of marine, surface freshwater, and groundwater resources and promote a more integrated and holistic approach to water resources management. The workshops are also about transferring management approaches, tools and best practices amongst GEF projects and partners to build capacity based on topics deemed the most appropriate by workshop participants. Finally, the workshops are also about supporting participation in the GEF IW Global Communities of Practice for surface freshwater, groundwater and soon also large marine ecosystems. The IW:LEARN activity also involves project-project twinning exchanges, and is also being mirrored into other GEF regions such as Latin America and Caribbean, as well as Asia and the Pacific.

The first targeted workshop in the Africa region (South Africa, April 2012) identified priority topics around which to structure future regional workshops. Economic valuation and governance received the highest ranking from GEF IW project managers during this prioritization session. The second targeted workshop (Ethiopia, November 2012) thus centered on tools, methodologies and best practices for assessing the Economic Value of Ecosystems Goods and Services in large marine ecosystem (LMEs) and freshwater environments.

Workshop Objectives

The overall aim of the workshop will be to raise capacity among the GEF IW projects on aspects of governance, specifically centering on effective and innovative science to governance mechanisms and best practices in the development of legal and institutional frameworks that can sustain project outcomes. In other words, how can GEF projects have more effective ways of translating scientific finding into more sustainable management policies, and what governance institutions and frameworks are the most successful in cementing project interventions, and how were they settled upon? It is anticipated that an outcome of the workshop will be the dissemination and implementation of selected approaches and methods discussed during the workshop in the course of GEF IW project implementation.

Thus, the workshop has the following objectives:

- Presentation of approaches and methodologies to establish governance structures and policies that facilitate the sustainability of GEF project outcomes, results and impacts.
- Determination of key management actions GEF IW projects can deploy to become effective catalysts for improving governance at national, sub-regional and regional levels.
- The identification of key barriers of scientific findings informing policy decisions, and how these can be overcome
- Presentation of approaches and methodologies of innovative structures and policies that facilitate the integration of the best available science into governance policies.

Workshop Outputs

- Collection of learning resource guides, presentations and other materials added as guidance on iwlearn.net, particularly through the IW project manager's manual
- Brief synopsis of applied governance methodologies by projects, the results and good practices from doing so in the context of improving the uptake of the best available science in management policies, in enhancing positive impacts at national, sub-regional and regional levels and catalyzing improved governance
- Generate list of management actions for GEF IW Projects to employ to improve the science to governance divide and improve governance mechanisms at the regional and sub-regional levels.

Workshop Organization

The workshop will consist of keynote presentations followed by facilitated discussions. The workshop will also feature breakout sessions and group work. Facilitators will be drawn from Rhodes University, colleagues from other GEF partner agencies and consultants



Integrated lives.
Resilient nations.



RHODES UNIVERSITY
Where leaders learn



Workshop Concept Note & Agenda

The 3rd African Regional Targeted Workshop for GEF IW Projects
Grahamstown, South Africa
Rhodes University
7- 9 May 2014

Workshop Agenda

Day One – Wednesday 7 May

WELCOME & INTRODUCTIONS

- 0830-0900 Workshop Registration
- 0900-0930 Welcome Addresses/Meeting Plan
- 0930-0945 Tour le Table/Expectations
- 0945-1000 GEF IW Update

SESSION I. GOOD PRACTICES WITH REGIONAL/BASIN GOVERNANCE STRUCTURES FOR THE SUSTAINABILITY OF INTERNATIONAL WATER PROJECTS

SESSION Facilitator:

Objectives:

- This session will define the specifics of good practice in both governance structures policies and legal frameworks, based on past experience in the GEF IW project portfolio, that generally serve to sustain project outcomes

- 1000-1030 **Update on Current Legal Frameworks applicable to International Waters Management in Africa (and Facilitated Discussion)**
Simon Thuo, International Union for the Conservation of Nature
James Stapley
- 1030-1045 **Break**
- 1045-1115 **Good Practices with Transboundary Commissions: The Case of Lake Tanganyika**
Gabriel Hakizimana, Lake Tanganyika Authority
- 1115-1145 **Good Practices with Legal Frameworks: Niger River Basin**
Collins Ihekire, Niger Basin Authority
- 1145-1230 **Facilitated Discussion/Small Working Groups**

1. Legal Frameworks – Regional, National Levels
2. Transboundary Management Institutions

1230-1330 **Lunch**

SESSION I. GOOD PRACTICES WITH NATIONAL GOVERNANCE STRUCTURES FOR THE SUSTAINABILITY OF INTERNATIONAL WATER PROJECTS

1330-1400 **Good Practices in Intersectoral Collaboration:**
Lenka Thamae, Orange-Senqu River Commission

1400-1430 **National Management Approaches in support of International Waters Management**
Osman Mustafa Ahmed Mohamed, Sudan Ministry of Irrigation and Water Resources (Nubian Aquifer Project)

1430-1500 **Facilitated Discussion**

1500-1515 **Break**

SESSION II. MAKING GEF PROJECTS MORE EFFECTIVE IN CHANGING GOVERNANCE STRUCTURES

SESSION Facilitator:

Objectives:

- Define the role of GEF projects as change agents, or catalyst for changes in policy
- Highlight specific cases where GEF project played a catalytic role in terms of policy change (global examples as well as regional examples), or played a role in consolidating the legal basis or institutions, or even building individual capacity
- Generate list of management actions for making GEF IW project interventions more sustainable after project closure

1515-1545 **Keynote Presentation: GEF's Role as a Catalyst**
Akiko Yamamoto, United Nations Development Program

1545-1615 **Presentation of Global Marine Case: Benguela Current Commission and Convention**
Hashali Hamukuaya, Benguela Current Commission

1615-1645 **Good Practices with Regional Management Bodies: Case of the Indian Ocean Tuna Commission**
Rondolph Payet, Southwest Indian Ocean Fisheries Commission

1645-1730 **Small Group Work on Specific Actions**

Using the synthesis information provided at the inception of the workshop and the information and discussions from the first three sessions, Working Groups will provide summarised Guidelines for Specific Actions within IW Projects (especially SAP implementation) to develop Legal Frameworks and Policy Reforms in line with IW Management – A Knowledge & Guidance Product for IW LEARN dissemination

Day Two – Thursday 8 May

0900-0945 **Recap of Sessions I and II**
Presentation of Small-group work on Specific Actions from Session III

SESSION IV. Knowledge-to-Governance: The ongoing translation of IW monitoring into adaptive management and decision-making

Objectives

- Review the overall concepts and requirements for the interpretation of scientific data as well as social and economic needs in terms of management practices and policy scenarios
- Discuss approaches and methodologies of innovative frameworks and policies that facilitate the integration of the best available science into governance policies.

0945-1030	Opening Presentation: The Science-to-Governance Disconnect and a proposed Dynamic Management Approach. David Vousden, African Center for Ocean Governance
1040-1100	Break
1100-1130	"Within and Beyond National Maritime Jurisdictions and the case for a Common Exclusive Maritime Zone of Africa" Patrick Vrancken (SARCHI Chair in the Law of the Sea and Development in Africa)
1145-1215	Freshwater Governance and Related Global Conventions. Anton Earle, Director, African Regional Centre, Stockholm International Water Institute
1230-1330	Lunch
1330-1400	Who are the Governance stakeholders? Engaging the various players into the Management Process. Richard Meissner, Council for Scientific and Industrial Research
1415-1445	Industry and the evolution of Maritime and Freshwater Industry Clusters as Governance Partners Peter Myles, Nelson Mandela Bay Maritime Cluster
1500-1515	Break
1530-1600	Examples of Community Involvement in Artisanal Fisheries Management. What has worked and what is needed? Shankar Aswani, Rhodes University
1600-1700	Open Forum Discussion on Science-to-Governance Constraints and Possible Solutions <i>Specifically, this part of the session will consider some of the assumptions and disconnects between the TDA-SAP Process and the SAP Implementation process and how to maintain a sustainable delivery of information for effective governance</i>
1900-	Workshop Dinner

Day Three – Friday – 9 May

SESSION V. Defining Best Practices for Building Knowledge-Based Governance into IW Project Delivery

Objective:

- Continue discussions of successful cases of actual science-to-governance mechanisms currently in place
- Identify key barriers of scientific findings informing policy decisions, and how these can be overcome

0900-0930 **Recap of Session IV**

0930-1330 **Facilitated Discussion**

- A. Any other project experiences in terms of best (or worst) lessons and examples of good practice.
- B. Using the synthesis information provided at the inception of the workshop, and from the discussions on day one and two, break-out Groups (e.g. Groundwater, Rivers and Lakes, LMEs) will discuss Guidelines for Project Components and Activities based on Knowledge-Based Governance Mechanisms and Scenarios.
- C. Feedback from break-out groups to plenary
- D. Discussion and agreement on summarised Guidelines for Specific Actions within IW Projects for Development and Adoption of KBM Mechanisms in line with IW Management – A Knowledge & Guidance Product for IW LEARN dissemination

1330-1430 **Lunch**

SESSION VI. GEF Portfolio Learning from 2014-2018

Objective:

- Introduce participants to plans for a new suite of GEF portfolio learning projects and the services they may offer to partners

1430-1530 **IW:LEARN4, Global LME Governance and other Emerging Portfolio Learning GEF Projects**

Mish Hamid, GEF IW:LEARN Project

1530-1600 **Workshop Conclusions and Wrap-up**

5.6 Evaluation Question Matrix

Evaluative Criteria Questions	Indicators	Sources	TE Comments
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
- Is the project relevant to the GEF IW strategic priorities and how does support the GEF IW focal area?	Project approval by GEF SEC and executions by the IAs.	Prodoc/PIF & CEO Endorsement	Clearly, the project would not have passed CEO endorsement had it not been relevant to the GEF IW Focal area priorities. Project implementation generally maintained fidelity to its objectives.
-How does the project support the environment and sustainable development objectives of the participating countries? -What was the level of stakeholder participation in project design? -What was the level of stakeholder ownership in implementation? -Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	Face-to-face meetings to coordinate and discuss key issues.	M&E documentation, PIR reports; Workshop reports and surveys.	- Based on review of the documentation stakeholder ownership was significant, with the exception of security-related interruptions in high-risk areas (e.g. some cases with the MENARID process). M&E appears to have appropriately and adequately adjusted to such effects. - Stakeholder participation in project design was included during PPG in helping to design the project. There were two major meetings (2009 & 2011) in which all stakeholders participated. - Stakeholder ownership during implementation appeared to be inclusive and regionally-focused. - National realities were adequately considered as a routine matter of course during project implementation. Adjustments surrounding security issues in the countris of the MENARID region is one good example of this in practice over the course of the project.
-Is the length of the project sufficient to achieve project outcomes?	N/A	Project documentation, PIRs, Results Framework	It appears that the time period for IWL3 was sufficient to achieve outcomes.
-Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	Number of attendees at Regional Workshops, Twinning arrangements, IWC 6 & 7	Experience Notes, Workshop reports and	Yes, pending this TE and adoption of selected recommendations.

		evaluations, Results Framework	
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
-Has the project been effective in achieving its expected outcomes? Answer the question for all the outcomes.	Refer to Tables 1 and 2 in Sections 2.3 and 2.6, respectively.	Refer to Tables 1 and 2 in Sections 2.3 and 2.6, respectively.	In many cases for IWL3, the answer to the question is 'Yes'; however; some challenges continue. The distributed nature of the PCU impacted both efficiency and effectiveness over time—even though the individuals adjusted to work as a team based on limitations. Also, a preponderance of feedback from IWL users, routinely IDed that the web platform was as not delivering adequate search functions or presenting content in an effective manner.
-What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project?	Examples of use of adaptive management to adjust to changes in risk, where plausible.	PIRs, Results Framework, M&E strategy, IWLSC meeting decisions.	Lessons can be more resounding and impactful when there is calculated risk- even when such results in failure versus the avoidance of risk. However, risk assessment in projects has often devolved into a risk avoidance strategy for Implementing and Executing Agencies. The M&E and adaptive management for IWL3 has good evidence of having adjusted to some risk well. Given the urgency of many environmental problems and the significance of knowledge transfer to help ameliorate negative effects, calculated risk should be embraced and learned from during the project process. For IWL's sustainability there is no explicit risk mitigation strategy tied to long-term sustainability, although there has been ongoing discussion about IWL broadening its partnership and to seek external support.
-What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?		PIF, PIRs, Results Framework M&E strategy,	IWC 7 was not listed as a deliverable in IWL3, but it occurred during the project's implementation. This had some effect on IWL3 operations with respect to the project's timeline and other deliverables, even though some outside funds and personnel were brought in to assist with logistics (so another example of adaptive management). The lesson is that IWC-X's should always be anticipated, planned for and budgeted. Also, the PCU should be centralized with the Project Manager given full authority of all staff, who should

			be physically located together, especially given its small size.
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
-Was adaptive management used or needed to ensure efficient resource use? -Did the project logical framework and work plans and any changes made to them use as management tools during implementation? -Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? -Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? -Was project implementation as cost effective as originally proposed (planned vs. actual) -Did the leveraging of funds (cofinancing) happen as planned? -How was results-based management used during project implementation?	Indications of problems during progress reporting & reviews	PIRs, Results Framework M&E strategy	• Yes, and IWL3 did a good job of recognizing such challenges and adapting to them. This occurred through use of the M&E strategy and the routine review of the Results Framework. In two specific examples, elimination of the activity examining an Insurance Index appropriately redirected funds once it was determined to be an untenable proposition. Also the security conflicts in the MENARID region resulted in adjustment to still try to achieve outcomes; • Yes, accounting and financial systems were in place; • Yes, Progress reports appear to have been accurately produced and in a timely manner; • Most of the project budget was contracted out in order to perform respective responsibilities, so there was not significant room for discretion. However, the project did operate within budget. • No, cofinancing fell short in several places in contrast to the original commitment by some of the partners. • Results-based management was generally used through a routine M&E process and PIRs over the course of the project life. The project was competent in attempting to measure progress and outcomes as much as practicable.
-To what extent were partnerships/linkages between institutions/ organizations encouraged and supported? -What was the level of efficiency of cooperation and collaboration arrangements? -Which methods were successful or not and why?	•	•	Partnerships are an inherent factor in IW:LEARN at all levels of its operations. Partnerships were given significant attention and routinely attempted during the course of the project and successful in several cases. There appears to have been consistent goodwill concerning collaboration efforts. Problems arose predominately related to security challenges within the MENARID region, for example.

			There are no specific “methods” in which IWC’s, Regional Workshops and Project twinnings were all about fostering partnerships. For example, the Addis-Abba workshop on Economic Evaluation was a highly successful example of fostering partnerships to facilitate training for the workshop.
-How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc...)? -What changes could have been made (if any) to the project in order to improve its efficiency?	•	•	The dual implementing arrangements for the project were not efficient and unduly complicated the management landscape. This had some impact on the efficiency of delivery; however, the personnel engaged adjusted well to the distributed conditions regardless of the institutional arrangements. The project would have been more efficient had the PCU been centralized with its personnel physically co-located and the Project Manager having final authority in practice over project decisions and outcomes.
-Has the project been efficient in achieving its expected outcomes?	•	Results Framework	The majority of the twelve anticipated outcomes have been achieved over the course of the project period, but it has not been an ‘efficient’ process. The multiple IA’s and spatially distributed nature of the PCU created unnecessary complications for project execution a opposed to a more simple model. Also, the burden upon the PCU of administrative tasks that should have been financially supported by the project through the engagement of UNOPS resulted in detracting from core IWL business.
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
- What is the anticipated sustainability of the measures initiated under this project? - What conditions is the sustainability dependent upon?	Co-financing support; Communities within the IWL rubric beginning to operate independently of IWL	Steering Committee meetings; Regional Workshops, IWC meetings	No. IWL will still be significantly dependent upon GEF support for its core mission. Future partnerships can help address sustainability provided that IWL’s core services bring value to partnership engagement.
-To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?	• N/A	• N/A	• N/A

Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?

-Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status? (the GEF International Waters Tracking Tool and/or the Indicator framework under development by IMS-REMP can be used as reference in this context – as applicable)	Examples of Intra-national coordination concerning specific IW themes (for example Groundwater).	PIRs, Results Framework; MTE.	• Yes, in indirect ways. The MENARID effort would not have occurred had it not been for IWL3 and this is a positive outcome for the project.
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5.7 Project Risk Table

	Risk description	Rating at MTE	Mitigation measures	Rating at TE	TE Evaluator's Comments
1	Not all GEF IW projects are willing to engage in various types of portfolio learning activities or to expose any weaknesses in project implementation to external scrutiny	L	Project stakeholders are officially encouraged to utilize GEF IW:LEARN services at all levels of implementation and execution	L	Portfolio learning activities are still evolving for IWL, but seem to be well received by the community in general.
2	Participants are sufficiently aware of GEF IW:LEARN and know how to both engage its services and provide their own experience to peers (via CoP participation, IWEN production IWC engagement and information syndication)	M	The project will effectively market its basic service line to the portfolio	M	There is still work to be done regarding the engagement of services and sharing of experiences before it effectively "sticks" within the IWL Community of Practice-at-large.
3	A flood index for an insurance based mechanism is not feasible. This is a highly innovative index in an emerging area of climate risk financing. As compared to other tested index-based insurance products, the complexity stems from (i) transboundary nature of the risk considered; (ii) potential human intervention and subsequent willingness of the insurance industry to adopt the index	M	If the demonstration does not succeed, a methodology would still have been developed and capacity built on climate risk assessment in transboundary basins	N/A	This activity (5c) was cancelled by the IWL SC (and through use of the M&E plan) because of its inability to deliver the expected co-financing to undertake the task. Resources were redirected to other areas of the project.

	Risk description	Rating at MTE	Mitigation measures	Rating at TE	TE Evaluator's Comments
4	With a global spread of constituents, the website and similar mechanisms cannot be relied upon to “pull” beneficiaries. There is a need to “push” (as the previous IW:LEARN team did with their direct interaction) as well as rely on “pull” for electronic products and services.	L (M)	The project will make an investment in direct interaction with beneficiaries. Constituents need to be engaged to the extent possible to create a sense of ownership.	M	Some progress has been made to strengthen the web presence through adjustments to the platform based on user input and a professional assessment of the site. However, some of the functionality remains difficult and has been a significant issue among half of respondents interviewed during the course of the TE.
5	The proposed regional context is a positive step but it risks fragmentation (between regions and themes) and might weaken its global dimension and hence the cost benefit is much reduced.	L	The project's management will be specifically tasked with ensuring coherence (in their terms of reference)	M	Building regional constituents is crucial to the sustainability of IWL but follow-up post-engagement will still require significant transaction costs by the PCU. To the PCU's credit, it has established a database to keep in touch with attendees in an attempt to maintain follow-up information on their post-engagement activities. However, Regional response to outreach is subject to factors often beyond the PCU's control.
6	Partners do not interact between different CoPs or follow requests to increase interactions from PCU/PSC	M (H)	Agreements between partners/Agencies/EAs will reflect importance of co-operation to ensure	H	The CoP development and execution has been problematic and has faced difficulty in defining and attracting use among the IWL community. The In general, CoPs do not respond well

	Risk description	Rating at MTE	Mitigation measures	Rating at TE	TE Evaluator's Comments
			integrated approach		to an "if you build it, they will come" proposition, but rather those CoPs that already exist, IWL should strive to partner with them and whatever platform they work with. The Groundwater CoP is an example of initial challenges, but appears to have been corrected, is presently much more active and has benefitted from the IWL Website toolkit to develop a platform that it wants to work with.
7	There is a risk of instability and potential for continued worsening of political situation in the Middle East	M	Mitigation strategy will be to redirect funds accordingly in the event that instability prevents us from conducting workshops in the region	H	Regional discord has remained or intensified in the recent months between the MTE and the TE.

5.8 Project Results Framework

The following Table presents a summary contrasting the MTE with TE ratings assigned throughout this report and in accordance with the applicable criteria and project progress against established Outcome indicators & standards as per the Terms of Reference.

	Indicator	Risks and Assumptions	Targets End of Project	MTE Findings & Assessment	TE Findings & Rating	TE Comments
Project Objective To strengthen global portfolio experience sharing and learning, dialogue facilitation, targeted knowledge sharing and replication in order to enhance the efficiency and effectiveness of GEF IW projects to deliver tangible results in partnership with other IW initiatives	% IW projects participating at IW Conference and / or science conference or IW workshop or project-project learning exchange	Projects and Agencies agree to strengthen projects through improved guidance and encourage stronger links between projects	100% of IW Projects participate in IW Conference and/or IW Science Conference or IW workshop or project-project learning exchange	S - 81% of IW Projects participate in IW Conference (65/80) and/or IW Science Conference or IW workshop or project-project learning exchange	92% (65 out of 72 projects) have met this participation target. Fisheries Industry Partnership; Huai River; Liaoning Medium Cities; Shandong Environment; Yangtze River have not yet participated. (S)	The target set was perhaps an unrealistic expectation, so the TE
	% of IW projects exchanging information between water ecosystem types		50 % of existing projects demonstrate exchanges / sharing of information between different ecosystem water types	Some 37% (28 out of approximately 75 GEF IW projects) demonstrate or participate in exchanges to share information between different ecosystem water types (thru 2 regional workshops and twinning exchanges)	Target Exceeded. 76% (55 out of 72 projects) have met this criterion. (HS)	
	% of active projects establish		100% of active GEF IW projects establish	64% of active GEF IW projects establish a project website	64% have opened website. (S)	

	a project website according to the IW:LEARN guidelines		a project website according to the IW:LEARN guidelines	according to the IW:LEARN guidelines		considers this as a decent return on investment.
	% of active projects that produce IW Experience Notes, which center on a key project achievement or innovation.		100% of active FSP's produce at least 2 experience notes, and MSP's produce at least 1 experience notes, which center on a key project achievement or innovation.	0% of active FSP's produce experience notes, 0 MSP's produce experience notes.	Only 5% of the FSPs have contributed to date. However, close to 100% have provided IW-results notes (developed by the PCU) (MS)	
	Number of IW projects attracting private sector finance		10 projects have attracted private sector finance	1 project has attracted private sector finance	At January 2013 SC meeting the Target was amended to '(10) projects have been assisted with the development/promotion public-private sector engagement. (S)	
	% existing IW projects uploading results to IWLEARN.NET		85% of existing IW projects (and 50% of closed projects) provide results, etc. to IWLEARN.NET	100% of existing IW projects (and 50% of closed projects) have provided some results, etc. to IWLEARN.NET	Target met. 100% of projects have delivered project-related information to IWLEARN.NET. (S)	

Outcome 1.1 (sub-comp 1a.) Improved effectiveness in combating Land Degradation in MENARID through an enhanced role of groundwater and improved subsurface space management	% MENARID projects incorporating GW management planning	Facilitated technical groups and other IW LEARN tools promote effective exchanges among projects and countries and succeed in raising active participation / involvement of stakeholders.	100% of MENARID projects incorporate 5 new management planning activities of GW use/protection in their activities.	Good Progress. 100% of MENARID projects incorporate at new management planning activities of GW use/protection in their activities. Capacity of 100% of MENARID projects built to integrate groundwater elements and considerations into project execution. (all MENARID project portfolio attend at least 1 UNESCO training)	Target met. (S)	
Outcome 1.2 (sub-comps 1b, 1c) Enabling regional inter-basin coordination to enhance management capacity of institutions and project partners	Number of new regional processes in SEE	National governments, development partners and stakeholders engage willingly and productively in the dialogue and knowledge sharing activities. Stakeholders are adequately	Enhance and existing political process in the SEE or Middle East Region	Very good progress. Enhanced an existing regional political process / initiative in the SEE Drin Basin – Initiated Nijerta basin – signs in MENA. Cooperation in Nijerta basin. None as yet but in process.	Target met. (S)	
	Number of new regional processes in Middle East					
	Number of new co-operation processes in transboundary basins		Cooperation on at least one transboundary basins is enhanced or initiated.			

	Number of IW projects adopting new management approaches	represented in the dialogue and engage in effective interaction. GEF projects in the SEE and the Med region are well informed about the IWLEARN and are willing or able to engage Insufficient funding or capacity to hold 3 regional meetings Sufficient interest to hold 5 learning exchanges in each region Not all 3 ecosystem types (marine, groundwater, surface) participate equitably. GEF IW projects are open and see	5 IW projects demonstrate that partners have adopted at least 2 different management approaches as a result of sub-component			
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		value in engaging with projects dealing with different resource sectors				
Outcome 2.1 (sub-comps 2a, 2c) Increased capacity of GEF groundwater and freshwater basin projects to exchange experiences and replicate successful groundwater management approaches and practices to address adaptive management	Number of CoPs formed	Facilitated and structured dialogues succeed in engaging active participation of stakeholders and practitioners	Two functional CoPs (surface freshwater and groundwater) established	CoPs formed; difficulties with online CoPs but good progress via face to face activities. Indicators use language that makes monitoring difficult e.g. What is meant by involved in the CoPs? If one were to say actively involved then % is unrealistic.		
	% of groundwater projects involved in CoP	Learning champions fail to follow through in developing surface water agenda.	100% of IW groundwater projects involved	100% of IW groundwater projects involved; 36% GW projects signed up.		
	% surface freshwater projects involved in CoP	COP members find IW:LEARN community platform hard to use or reluctant to use	75% of IW surface freshwater projects involved	75% of IW surface freshwater projects involved. 85% GW projects signed up		
	Number of transboundary commissions (or equivalent)		10 transboundary commissions involved	Currently 3 (Cartagena, Lake Victoria Fisheries, ICPDR)		

	involved in CoP					
	Number of groundwater practices replicated through IWL		3 groundwater related priority replicable practices disseminated through IW LEARN platform, and 2 cases of integrated cooperative approaches among water-bodies documented.	None at MTE		
	Number of exchanges between surface and groundwater projects		5 exchanges between groundwater and surface water projects.	Achieved via workshops and roundtables.		
Outcome 2.2 (sub-comp 2a) Lessons and science from GEF groundwater portfolio incorporated into and disseminated through networks,	Number of examples/lessons/ good practices disseminated	GEF IW groundwater projects identify appropriate lessons for dissemination Sufficient interest from IW groundwater projects to participate in IW	6 examples / lessons / good practices disseminated through networks and / or published through IW:LEARN and partner networks or programmes	At MTE no clear examples of lessons disseminated.		
	% of presentations focusing on		30% of presentations at IW Science	25% presentations focused on		

partners, and processes, strengthening the GEF IW GW portfolio	groundwater at IW Science conference	Science Conference. Continuing promotion of transboundary groundwater projects by GEF for future funding. GEF IW groundwater and surface water projects interact and future GEF IW projects reflect better integration	conference focus on Groundwater	GW.		
Outcome 3.1 (sub-comp 3a) Global GEF IW portfolio performance and capacities strengthened, in particular among project managers of GEF IW projects	% of IWC6 participants indicate increased capacity	Not all GEF IW projects are willing to engage in various types of portfolio learning activities or to expose any weaknesses in project implementation to external scrutiny.	At least 75% of IWC6 participant evaluations confirm increased capacity vs. individual baselines, and/or indicate changes to personal or institutional work plans	Achieved @ MTE. 88% of participants submitting evaluations confirm the IWC6 was relevant to work and an overall success (4.41/5)	(HS)	Target achieved and exceeded.
	% of IWC6 exhibit an innovation or replicable experience	Geopolitical and economic conditions	50% of IWC6-attending GEF IW projects exhibit at least one top innovation and/or	52% of attending GEF IW projects exhibit	(S)	

		enable full participation in the IWC6	replicable experience			
	% of IW project managers attend IWC6	The previous four IW conferences have helped to build a sense of community and trust among all IW projects.	75% of IWC6-attending GEF IW project managers attend the IWC6 and pre-conference workshops	65% of IWC6 attending GEF IW managers attend the pre-conference	(MS)	
Outcome 3.2 (sub-comps 3b, 3d) Increased awareness of GEF IW experiences and achievements and partnership with non-GEF supported Interventions	Number of global policy discussions/events with GEF IW Projects on the agenda	Mutual acceptance between GEF and meeting hosts regarding GEF IW projects' participation side-events	2 events featuring at least 4 projects per year	5 events featuring 6 projects (Hai to Bonn, Victoria to Marseille, Dnipro to Rio, International River Symposium, Dinaric, Volta to UNECE Water Convention) linking to 5 separate political/dialogue processes	(S)	
	Number of partnerships (established between GEF IW projects and external partners), joint activities or co-funding resulting from global forum	Contact will be made with event organizers well in advance	At least one example each year			

	participation					
Outcome 3.3 (sub-comp 3c) Improved technical implementation of projects through strengthening the science base of IW projects and improved integration of the wider science community into these projects.	% of GEF IW projects participating at Science Conference sharing results	IW projects collect and deliver 'science' information at IW Science Conference	50% of IW projects participating in GEF IW Science Conference actively share results	Progress mainly via science conference. 56% projects participating (45 GEF projects)	(5)	
	Number of IW projects referenced in scientific literature	IW and international scientists willing to participate and interact	10 IW projects are 'cited' in the Science Citation Index	0 projects cited in index		
	% of IW projects submitting papers to journal	Projects value the Journal publication Projects actively participate submitting papers	40% of IW portfolio submit papers for consideration in Journal	2 at MTE. SCM mins. record change to 24 projects not clear why – MTE recommends retention of original.		
	% readers satisfied		Reader surveys indicate 75% satisfied and willing to contribute / read future editions	Not measurable – remove.		
	% IW projects demonstrate examples of shared practices		50% of GEF IW projects indicate at least one example of sharing practices	6% (10/168) of GEF IW projects indicate at least one example of sharing practices		

Outcome 4.1 (Comp 4) Improved web-based information and knowledge management and utilization of the IW resource center and project communication platforms	% of IW Stakeholders satisfied with IWLEARN.NET	Stakeholders have good access to internet Web-platform actively used by other IW:LEARN activities	Stakeholder satisfaction rating for IWLEARN.NET >75% 'satisfied'	No formal survey of stakeholder satisfaction was undertaken for the MTE but from feedback received by MTE stakeholder satisfaction is close to target but usage is low. Website was been improved @ MTE but still some critical issues regarding functionality and content esp. wrt to CoP platforms and visualisation tool.		
	\Number of hits per month on IWLEARN.NET increase	Availability of up-to-date content	End of project show 25% more hits per month vs. baseline	From a baseline of 6,739 av. Unique hits per month the average increase over the first 12 months but over the last 12 months it is 3% down on baseline.		
	Number of downloads per month increase	Other 'waters' web sites are up-to-date	End of project show 25% more downloads per month vs. baseline	From baseline of 19 downloads/month there was 89% increase to May 2012 but dropped back to baseline for average of last 8 months @ MTE.		
Outcome 4.2 (Comps 4)	% of projects utilising the IW:LEARN Website toolkit or		75% of projects utilising the IW:LEARN Website toolkit or offering a	64% of active GEF IW projects establish a project website according to the IW:LEARN		

Enhanced visibility and visualization of project activities and results facilitates cooperation and replication	offering a website consistent with IW:LEARN Website Guidelines		website consistent with IW:LEARN Website Guidelines	guidelines		
Outcome 4.3 (Comp 4) Enhanced stakeholder access to data and results from IW projects	% of IW projects have current information on project results IWLEARN.NET		At least 90% of IW projects have current information on project results at IWLEARN.NET or maintain links to project sites housed elsewhere	45% of IW projects, consisting of both ongoing projects with websites and recently commenced projects have current information in the Project Database. Difficulties getting projects to supply required data sets.		
Outcome 5.1 (sub-comps 5a, 5b, 5c, 5d) Improved standardization and harmonization of new GEF methodological	Endorsement of TDA/SAP methodology by GEF IWTF	The TDA/SAP methodology and training course will be endorsed by GEF IWTF. Sustainability will rely on continued support from GEF and the	GEF IWTF endorsement	TDA/SAP draft online and GEF comments to be incorporated		
	Number of IW projects utilizing new methodology		5 new projects utilize the new methodology by end of project	5 projects using the new methodology (Kura, Humboldt, CLME, Baikal, Amazon)		

approaches as well as results-based management in IW projects to help address new global issues & improve performance, including vulnerability to climatic variability & change in transboundary basins.	Number of CTAs/PMs using the manual	Agencies. The methodology and training course is perceived as prescriptive. Lack of institutional ownership leads to poor delivery coverage and little	50% CTAs/PM using the manual	10% CTAs/PM have taken online Test on Manual content. All PMs should be expected to review the manual and be consulting the manual at regular intervals to enhance harmonization of approach and full utilization of lessons.		
	IW project start up time reduced	further development of the process. Agreement between GEF, Agencies and Projects on Manual contents	Start-up phase of projects take 50% less time	Remove this indicator Does not address the Outcome in any meaningful way.		
	Majority of project stakeholders accept index-insurance methodology Number of IW projects using approach	Co-operation needed between insurance and financial private sector with IW projects at the transboundary level	Acceptance by stakeholders of approach At least one IW projects utilize methodology	Remove both indicators as related activity no longer to be pursued.		
	Number of IW projects using approach to climatic variability	An agreed synthesis of current best practices can be	Agreed methodology developed and piloted in 5 GEF5 IW projects; Acceptance	Agreed methodology developed and piloted in 5 GEF5 IW projects. No pilots @ MTE. No activities		

	& change	prepared and accepted by experts/IWTF	of approach by IWTF for use in all IW projects	commenced under Subcomponent.		
Outcome 5.2 (sub-comp 5d) Public-private partnerships promoted and facilitate sustainability of GEF IW interventions	Number of IW projects with sustainable private sector finances	Projects and private sector are willing to participate in preparing guidance Private sector values involvement with GEF projects	10 projects have developed/promoted public-private sector engagement	1/10 projects have developed/promoted public-private sector engagement. Draft of guidance manual produced.		
	% of IW projects included public-private partnerships in sustainability plans		50% of IW projects have a sustainability plan / exit strategy that utilizes the best practices collated	No progress @ MTE.		

5.9 Accounting of co-financing and leveraged resources to date for IWL3.

Activity	Name of Co-finance source	Classification	Type	Amount Committed (US\$)	Percent of total	2011 Cofinance Recorded	2012 Cofinance Recorded	2013 Cofinance Recorded	2014 Cofinance Recorded	Total Co-financing Recorded	% of Pledge Received
1a&2b MENARID, gwater cop, gwater dialogue	UNESCO	Multilat. Agency	In-Kind	550,000	11.8157		115000	85000		200000	57
1a/2b	University of the Western Cape	NGO	In-Kind					10000		10000	
1a/2b	UNECE	Multilat. Agency						10000		10000	
1a/2b	University of Bologna - Buenos Aires	NGO						5000		5000	
1a/2b	UN-IGRAC	Multilat. Agency						45000		45000	
1a/2b	International Association of Hydrologists	NGO						10000		10000	
1a/2b	UN-DPC	Multilat. Agency						5000		5000	
1a/2b	UNESCO-World Water Assessment Program	Multilat. Agency						5000		5000	
1a MENARID	University of Agadir	NGO						15000		15000	
1a MENARID	ICARDA	Multilat. Agency	In-Kind					10000		10000	
1b Med Dialogue	Cornell University	NGO	In-Kind	40,000	0.859324					0	0
1b Med	UNECE	Multilat. Agency	Cash	60,000	1.288985	10160	12839			22999	297

Activity	Name of Co-finance source	Classification	Type	Amount Committed (US\$)	Percent of total	2011 Cofinance Recorded	2012 Cofinance Recorded	2013 Cofinance Recorded	2014 Cofinance Recorded	Total Co-financing Recorded	% of Pledge Received
Dialogue											
1b Med Dialogue	German Ministry of Environment, Nature Conservation and Nuclear Safety	Nat'l Gov't	Cash		0	59853		27344		87197	
1b Med Dialogue	Regional Cooperation Council	Nat'l Gov't/Multilateral	Cash					4101		4101	
1b Med Dialogue	Horizon 2020 Capacity Building/MEP	NGO	Cash			10416				10416	
1b Med Dialogue	UNESCO	Multilat. Agency	Cash		0	15461				15461	
1b Med Dialogue	UNECE	Multilat. Agency	In-Kind			14140	13000			27140	
1b Med Dialogue	Union for the Mediterranean	Multilat. Agency	Cash				11180			11180	
1c Regional	UNEP Caribbean Environment Programme	Multilat. Agency	In-Kind	100,000	2.148309		12500			12500	73
1c Regional	Sea-Start	NGO	In-Kind	130,000	2.792802					0	0
1c Regional	Rhodes University	NGO	In-Kind		0		5719			5719	
1c Regional	UNECA						12000			12000	
1c Regional	FAO						6438			6438	
1c Regional	UNEP COBSEA (SIDA)	Impl. Agency	Cash				1189.51			1189.51	

Activity	Name of Co-finance source	Classification	Type	Amount Committed (US\$)	Percent of total	2011 Cofinance Recorded	2012 Cofinance Recorded	2013 Cofinance Recorded	2014 Cofinance Recorded	Total Co-financing Recorded	% of Pledge Received
1c Regional	UNECE						13500			13500	
1c Regional	UNESCO-IOC							9210		9210	
1c Regional	UNECE							106302		106302	
1c Regional	University of Bologna									0	
1c Regional	WWF-US	Ngo	In-Kind								
1c Regional	Asian Development Bank										
2a Surface Cop	IUCN-WANI	NGO	In-Kind	202,000	4.339584		39430	146110		185540	92
3a IWC6	Government of Flanders/UNESCO-IOC	Multilat. Agency				10636				10636	
3a IWC6	Coca-Cola Eurasia Group	Private Sector				30,000				30000	
3a IWC6	Municipality of Dubrovnik/Libertas Bus					1350				1350	
3a IWC6	Prefecture - Dubrovnik-Neretva County					918				918	
3a IWC6	University of Dubrovnik									0	
3a IWC6	Star Alliance									0	
3a IWC6	MARIBIC									0	
3a IWC6	RSHU					918				918	
3a IWC6	Bota Sare									0	

Activity	Name of Co-finance source	Classification	Type	Amount Committed (US\$)	Percent of total	2011 Cofinance Recorded	2012 Cofinance Recorded	2013 Cofinance Recorded	2014 Cofinance Recorded	Total Co-financing Recorded	% of Pledge Received
3c and 5 Courses	UNU-INWEH	Multilat. Agency	In-Kind	1,240,000	26.63903				1,240,000	1240918	100
3c Journal	UNU-INWEH						16100			16100	
3c Publications	UNU-INWEH						19245			19245	
3c Science	UNEP-Interdivisional Water Group (Comp3)	Impl. Agency	In-Kind	200,000	4.296618					0	0
3c Science	SIDA	Bilateral	Cash				77000			77000	
3c Science	Norway Funds	Nat'l Govt	Cash				120000			120000	
3c Science	UNESCAP	Multilat. Agency	In-Kind				30000			30000	
3c Working Grps	UNU-INWEH						15250			15250	
4 Info Mgmt	Sea-Start	NGO	In-Kind	108000	2.320174					0	
4 Info Mgmt	UNEP-DEWA	Impl. Agency	In-Kind	701824	15.07735	388999.2	188999.2	188999.2	94500.1	861497.7	123
4 Info Mgmt	UNESCO-IHE	Multilat. Agency	In-Kind					4000		4000	
4 Info Mgmt	World Bank								5,000	5,000	
4 Info Mgmt	Asian Development Bank								4,000	4,000	
5 TDA-SAP	UNDP Energy and Environment Group	Impl. Agency	Cash	40000	0.859324	40000				40000	
5 TDA-SAP	Barefoot Partnership	Private Sector	In-Kind				5000			5000	

Activity	Name of Co-finance source	Classification	Type	Amount Committed (US\$)	Percent of total	2011 Cofinance Recorded	2012 Cofinance Recorded	2013 Cofinance Recorded	2014 Cofinance Recorded	Total Co-financing Recorded	% of Pledge Received
5c Index Insurance	UNDP Energy and Environment Group	Impl. Agency	Cash	150000	3.222463					0	
5c Private Sector	GWP-Med	NGO									
5e Climate	UNDP Energy and Environment Group	Impl. Agency	In-Kind	1,348,000	28.9592			1,348,000		1348000	100
7 PCU	UNEP	Impl. Agency	In-Kind	50,000	1.074154					0	0
7 PCU	UNDP Bratislava Regional Centre	Impl. Agency	In-Kind	60,000	1.288985			8987		8987	15
7 PCU	UNDP Energy and Environment Group	Impl. Agency	Cash	225,000	4.833695					0	0
	ICARDA	Multilat. Agency	In-Kind				15000			15000	
Sub-Total Co-financing				4,654,824		582,851	614,390	1,843,053		4,699,712	101

5.10 Further Discussion and Specific Considerations for the Future of IW:LEARN

A. Tipping Points for IW:LEARN

In his landmark book and study, *The Tipping Point*²⁰ author Malcolm Gladwell examined the factors that influence concepts to “tip”, or to reach a critical mass to become accepted within a community. He identified several factors that contribute to this phenomenon:

1) a “stickiness” factor, the content of messages that resound and **stay** with a community. IW:LEARN has clearly evolved since its inception, but whether IWL has ‘stuck’ among the IW community is still open to question depending upon the issue, content, stakeholder or partner. It is the people to date that have been able to give IWL a certain consistency or “stickiness” to some aspects of its mission, although it is not comprehensive. And therein lies the potential for future IWL’s strengthening. Some aspects of the program have been accepted within the community but not all of them and so IWL has work to do to achieve brand recognition and become “sticky”.

2) the ‘Power of Context’ – the conditions and circumstance under which concepts become popularized (this is why IWL is so important in fostering on-the-ground connections in seeking to achieve widespread adoption of experiences and lessons—IWL’s potential power of context). This evaluator is not convinced that IWL has successfully worked “all the way to the ground” with communities in its current state, but it has a powerful argument for the “Power of Context” by convincing local stakeholders that knowledge is power in understanding one’s resources and the option to gain benefits and sustain these benefits over time; and

3) the “Law of the Few”: Connectors, Mavens, and Salesmen –individual people who have significant roles and influence over the birth or stewardship of a concept or message. In IWL’s case, and at this point in its evolution, this is where the people of IWL have made a significant difference to date to the success of the program and this project, and have played the most significant role in championing information and ideas, not their institutions.

In our International Waters Community, knowledge is a crucial currency to enlighten and educate those of us unaware or not engaging in appropriate practices for resource stewardship. Knowledge is also about dealing with people, not institutions. It is the people responsible for the advancements seen with IWL- regardless of their institutional affiliation. It will be these same individuals who serve as champions in striving to see IWL succeed as a fulcrum for knowledge transfer within the GEF IW community and in broadening its partnerships to support knowledge transfer for a much wider, global community of practice concerned with the future of our planet’s water resources. It is also important to remember the urgency under which

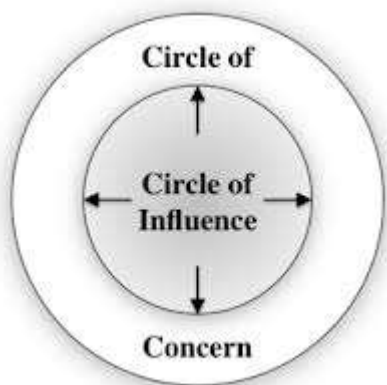
²⁰ *The Tipping Point, How Little Things Can Make a Big Difference*, Malcolm Gladwell. 2000. Little Brown, 304 pp.

such efforts need to operate and the need to share experiences and knowledge effectively so that solutions for environmental sustainability can be achieved as quickly as possible.

The point in presenting this discussion is that while IWL has been increasingly recognized within its GEF-IW circles, it still has some way to go to achieve some degree of stickiness. Given the longevity of IWL as an entity, this plays in its favor as a brand to be recognized. However, IWL has to be identified with a *specific added value* if its brand recognition is to take and stick. This is where the following discussion in the section below has relevance.

B. Priorities and Keeping Promises: The Circle of Influence versus Circle of Concern

In his historical best-selling book on organization and management, the late American author, Stephen Covey²¹, describes a *Circle of Influence* and a *Circle of Concern* that any individual, or organization, has. For the sake of this discussion, examples are geared toward IW:LEARN as an organization or entity. The circle of influence relates to the issues for which IWL has the power to affect (refer to the graphic below). The Circle of Concern encompasses all of the things that IWL may be concerned about but generally lie outside of the organization's control, even though they remain areas of interest or concern. One can use IWL3's list of Components/Activities at the beginning of the project, or the pending activities under current consideration for "IW:LEARN4" as a Circle of Concern. It is almost always the case at the outset that this Circle of Influence is smaller than the Circle of Concern, especially when an organization is trying to grow and become relevant. By placing resources and energies into this Circle of Concern, the myriad of issues needing attention strongly point to over-commitment and the inability to deliver in all areas.



As IW:LEARN grows, evolves and strives to meet its obligations to its core objectives, the challenge is to focus its effort on those outcomes with the greatest immediate priorities, relevance, effect and added value (i.e. why will stakeholders want to come to IWL for support?). At the heart of this circle of influence lies the ability to make commitments and see those to completion (in other words, keeping promises to the commitments made). As such priorities are honored and achieved, then this Circle of Influence begins to have greater impact on the broader Circle of Concern. Focusing only on the Circle of Concern dilutes IWL's ability to keep its

²¹ *The 7 Habits of Highly Effective People: Powerful Lessons in Personal Change*, Stephen R. Covey, 1989. Free Press. 380 pp. ISBN: 0-7432-6951-9

promises and meet its commitments and this has an impact on IWL's credibility, relevance and impact. Lack of a clear vision or lack of clearly defined roles and goals for the enterprise lead to spending more time in the circle of concern and not systematically (and comprehensively) addressing those issues over which IWL has the most direct contact (initially).

So how to best address this challenge so that the Circles of Influence and Concern more closely align with one another?

The current IWL3 covers a lot of issues and entails significant complexity. It is a testament to the dedication of the PCU staff, and the metrics employed to monitor progress, that has allowed IWL3 to achieve most of its outcomes by the end of the project. But commitments have to be sustained, and as IWL moves into a fourth phase, and possibly with additional resources, will it be pulled in the direction of spreading those resources too thinly? Our multilateral organizations increasingly have the propensity to take on activities with fewer resources, yet stressing minimization of risk under unrealistic expectations or accelerated timelines. This is a non-sustainable strategy.

IWL needs to begin to take stock of its comparative advantage and the added value that it can bring to the IW community, and then assign clear priorities to the elements (or components) of its operation. This is based on available human and financial resources, and how IW:LEARN defines its core business, sets its priorities and keeps promises to those priorities—in other words, as “first things first”. This does not suggest that IW:LEARN not set a clear goal to move outside of a GEF-only operation and seek to broaden its partnerships. As evidenced in IWL3, there are significant benefits that good partners can bring to the table for mutual gain to both IWL and partners. However, IWL should set a clear strategy for such expansion so that it can incrementally and deliberately move in that direction rather than being pulled, and without over-committing its skill sets or its resources (both financial and human).

IWL should also recognize that it has challenges with various levels of learning potential among its participants. There are different constituents in IWL, mid-level managers or higher-level decision makers, some of who are "digital natives" - young upcoming practitioners with perhaps more flexible learning skills in contrast to more senior practitioners who rely upon and respond better to adult learning strategies.²² Some IWL stakeholders are older, "analog" practitioners, or digital immigrants - those who are often seasoned professionals in the policy arena and with many years of experience but have had to adopt technology rather than grow up with it. The point is that because of these different personal paradigms and learning experiences, there are many different learning styles for which IWL needs to remain aware. And adult learning remains an important focal area with IWL's tools to focus on what may be a decreasing

²² - http://en.wikipedia.org/wiki/Digital_native

population as time moves on, but nonetheless a very important one if education is to affect behavioral change.

This discussion offers suggestions about IWL's vision, its mission, roles and goals.²³ Once these have been defined, then what should be IWL's Core Business at this point in time? What are the first order, second order and third order priorities that align most logically with IWLs roles and goals?

For example, IWL's roles involve the following and IWL learn has had a number of different roles as it has evolved. Among these are the following:

- **Secretariat** to the GEF IWC's;
- **A resource and learning center** for IW project managers (such as the Web toolkit); manuals on how to do things), making information easier to use and to share;
- **A Library** of growing and dynamic content as IW projects move through the pipeline;
- **An interpreter and redistributor** (i.e. Experience Notes) that offer the potential to share lessons from one region to another. (i.e. serving as a **Knowledge Broker**, translating information with an ultimate objective of influencing policy)
- **A convener** of face-to-face opportunities (i.e. through regional meetings and dialogs)
- **An identifier** (based on PCU knowledge of the IW portfolio) **and supporter** of twinning arrangements for projects that share similar challenges and concerns
- **An internal communicator and interlocutor** between the multilateral agencies and the GEF
- **A partner** to other IW-related initiatives

This list may not be comprehensive for IWL, but each of these roles has **key tasks** and **core business** that each must attend to and maintain in order to become and remain credible. These roles and goals (and priorities and tasks) may change. But they should be in accordance with a clear vision and mission that lay the foundation for actions. By identifying, prioritizing and then acting on these first and foremost (i.e. keeping promises to and completing the most important tasks under each of these roles) - then IWL can meet its goals and enlarge its Circle of Influence. The tasks may change from week to week, but if they are aligned with IWL's vision and its mission and are actioned under their respective roles, then the entity that is IWL will move in the direction toward aligning with its vision and mission and its influence as a broader network will grow and influence other like-minded efforts.

If it does not meet these regularly, then its influence (i.e. among its community and beyond) will wane. To date, IWL does not appear to have developed a clear vision or mission statement

²³ Priorities for IWL based upon items listed in the IWL 3 "Summary of Proposed GEF IW:LEARN3 Activities".

that provides a template and program (i.e. as in executable program—like in IT) under which to operationalize.

The following are simply illustrative (and not prescriptive) and have not been carefully scrutinized as actual recommended priorities for each level of IWL’s operation. And they reflect only one person’s opinion; however, the point is to re-examine IWLs range of activities in this context so that it can master its Circle of Influence. Then it can more readily influence a broader Circle of Concern.

First Order Priorities (based on IWL3)

1. Portfolio Results Dissemination (Publications, Journal Articles, Film – this includes Experience Notes)
2. Website Improvements: Community of Practice Platform (But see Section C about IWL content pushing based on varying user profiles and entry pages –Also referred to as “Facilitated Navigation” in the IWL3 Website review.)
3. Repository of content: Project documents, archives, various tools. (e.g. Making content available in varying formats for different levels of users, such as placing the contents of IWL’s website onto a CD for those who have limited Internet access).
4. TDA-SAP Methodology and Course Revision
5. Mainstreaming Climate Impacts into IW Projects
6. Project Results Archive
7. Regional Coordination
8. IWL Regional Coordination needs to begin to prioritize & assess impact from its earlier engagements. How many Regions have already been addressed once? Where are others deserving of initial outreach & attention? Recommend prioritizing those and spend time evaluating and mining the Experience Notes to make sure that Key Lessons are pushed across Regions. (i.e. enhancement and user of the IWL “Impact Tracker”)
9. Enlightening decision-makers to pressing transboundary challenges for the good of their constituents through use of **targeted communication**.
10. International Waters Conference
11. Note: Film is a conditional priority and should only be pushed following a cost/benefit assessment.

Second Order Priorities

1. Provide Project twinning exchanges, with a special emphasis on influencing national and on-the-ground outcomes (e.g. community-level SAP engagement).
2. Focal Area/Project Manager Manual - (Maintenance mode: now that the manual has been produced and can be pushed to key stakeholders, so is no longer a first order IWL priority)
3. Website Toolkit Enhancements and ICT Training (highly successful in IWL 3, so now can be in more of a maintenance mode than first priority).

4. Global Communities of Practice for Surface Freshwater and Groundwater Projects
5. Focus on Groundwater: Support to the MENARID Programme (now, at the terminus of IWL3, this should still be supported to maintain consistency in effort invested, but should not be a primary focus of IWL4)
6. Engaging with an IW Science Community Network

Third Order Priorities

1. Private Sector Engagement
2. Integration with various UN-Water platforms
3. Portfolio Visualization Tool
4. Support to Global Dialogue Processes

C. IWLEARN.NET Website Comments and Future Considerations for IWL from the Terminal Evaluator:

It is often said in this age of information that the Internet is like drinking from a fire hose; the flow of data are voluminous and intense. IWL's face-to-face engagements, like the IWC, have been consistently lauded for their ability to motivate people to share lessons and experiences. But on a daily basis the Internet presence of IW:LEARN is, plain-and-simple, the best way to keep in touch and to routinely foster and support a global IWL network.

It was noted in the main TE that there is a strong need for the IWL PCU to serve as a knowledge broker – to receive, sometimes interpret and translate, and to push information to stakeholders that can benefit from certain types of knowledge.

Even though IWL users have registered complaints about the functionality of IWLearn.et, and the user base should be IWL's ultimate client, the IWL Web presence should not be a democratic process (of content selection and posting) among partners. It should be driven by the PCU to provide an information service to the IW Community.

IWL Website Review and Comments:

The following are some suggestions to consider concerning the IWLEARN.NET web site and the content management system supporting it (refer to the diagram on the page 112).

1. **Content is King** - Quality (i.e. vetted) content will keep users returning to the site.
2. Content can be pushed to different layers in the web platform to clean up information presentation. And content can be pushed based on user profiles. (The IWL PCU can help in building user profiles if the desire is to facilitate IW project manager engagement—at least initially.) However the intent is to have 1) a public face of IWLEARN.NET – the main page, and then have customized pages for different IWL users. For example, Project Managers, Regional Commissions or Bodies, Communities, Agencies, and Internal Project Communication. The IWL3 Website review referred to this structure as “Facilitated Navigation”, but the point is that the

PCU can serve more as a knowledge broker by pushing customized content to these different pages based on a user's profile. For example, a project manager may see an Experience Note that the PCU want her/him to specifically know about in helping his project.

3. Manage the IWL Web presence through the customized profiles of its users (i.e. differing layers)
 - use of a content management system that allows for stratification and push of content
 - canned SQL searches for IWL (and dialog box drop-down selections for other customized searches)
 - Review of the CMS platform and engagement of private sector to help resolve the search functionality issue.
 - Total active portfolio
 - Prioritize keywords that are consistent with recurrent IW themes/issues
 - projects
 - lessons related to themes
 - SQL for lesson keywords (from Experience Notes)
4. The main website page should be graphically designed (i.e. cleaner and simpler) than the current iteration. Many of the elements exist; they are simply too clunky to engender a desire to want to spend time on the page. (see the attached graphic that attempts to show the main presence for the general public (i.e. the public "face" of IWL) and then see the other pages that recurrent visitors (especially those who would use the site to routinely extract content) based on their specific profile. This would allow the PCU to push specific content customized to users based on their profile (see the diagram below).
5. It Looks like the slide show on main page is on an 8 second cycle - recommend extending to at least a 10 second cycle or greater.

CRITIQUE OF THE CURRENT SLIDESHOW:

1. GEF - Good. Meets general interest
 2. FFA - Good. Shows important update on a global good.
 3. WWF - Should be reserved for "Partners" Section (But one of the 10 Slide Show panels could serve to showcase a Partner - e.g. a status that a Partner should EARN (based on contribution to IWL)- and not be given.
 4. WOC - same as #3 above
 5. UNECE - same as #3 above
 6. UNESCO - Partner, but Ground Water updates as an IW Theme could occupy one or more of the Slide Show Panels for a set period of time.
- The slide show should consider highlighting an individual and his/her achievement on a periodic basis. New Staff (throughout the IW community) should be content for one of the Slide Show Panels.
 - There needs to be editorial scrutiny about what goes in this slide show - it should push priority information about IWL to its core clientele, w/ 1 or 2 for the general public.

6. Change the right-hand screen paragraph - save it for the "About" page.
7. The concise sentence at the very bottom of the current page could be moved up to the top as it is a nice summary of what IWL is about. This can also contribute to defining the "Vision" and "Value-added of what IWLearn is all about.
8. SEARCH should be a MAJOR feature on the highest level of the IWL Web presence. The graphic design should highlight this.
9. What is the functional utility of all the Social media links on this first page? They should only show up where there is specific content to share (so on sub-pages for example)

Top-level menu.

"Home" should simply be the IWL logo.

Then "About", "Documents", "Projects" as menu items across (plus others below).

"PRA" and "Visualization" should be features on the subpage of the "Projects" menu

"NEWS" - perhaps this should be part of the main page (i.e. a "News" quadrant that then takes the user to a "News" sub-page)

"Calendar"

"Contacts"

"Community" - this should present a welcome page (for any user) that presents a landscape of the different IWL Communities, along with a login/register Dialog Box (once logged in, then 'Visualization' might also show up under each community's distribution).

Quicklinks are OK, but there is redundancy with Contacts

10. There are too many contacts on the contacts page (it makes the page way too busy and is off-putting). Keep the list restricted to the PCU as priority and as the 'Key Master' to other IWL contacts.
11. "JOBS" should be a global feature on the main page. Make the gallery a sub-page- have a small quadrant on the main page that simply holds one clickable photo (but have the photo refresh from a hidden carousel of selections in order to keep the page fresh). The current layout is off-putting: way too busy. Plus, NO ONE is interested in a group photo (except for the kind like the IWC7 - those are generally OK because of the number of people participating and where many will want to play "Where's Waldo" briefly to locate themselves.) The others are not useful to a web audience. MAKE THE IMAGERY SOMETHING A VISITOR WANTS TO INVESTIGATE AND DIG FURTHER INTO)
12. Get rid of "Latest Documents" from the main page - use it in the main slide show IF there is content of real significance. Instead, reserve this panel to showcase IWL Partners and Regional Commissions. Change the highlight on a one-to-two-week basis. Title this: "IWL Partners".

13. The Graphic Panel (on the main page) is intriguing, but could also be used better than the current version. It is redundant with "Projects" and "Documents"
14. The Footer at the bottom of the main page is good. I like the Four Items.
15. "Visualization" could get away with being relegated to a sub-page until it gets REAL legs.

- Open to all users/visitors
- Comprehensive Search Capability (with filtered prioritization of content)
- Editorial Push re: pressing IW issues
- Showcase of good practice
- Invitation to establish IWL profile

- Profile requirement to allow CMS that pushes customized content to each IW project manager
- Customized editorial content pushed by PCU staff based on matching need with supply & demand (i.e. lessons/tools specifically beneficial to each project)
- Key documents & Manuals
- Direct communication to PCU/CTA

- Profile requirement to allow CMS that pushes customized content to each Regional/National body
- Links to Regional/National Projects
- Matching need with supply & demand (lessons/tools for each Region)

- Customized for each CoP
- On-line Courses
- Adult Learning opportunities
- Customized editorial content pushed by PCU staff or IW Project managers

Cover Page – the Public Face of IWL



D. Content Management System Considerations

Some considerations concerning Content Management System Platforms:

1. Plone - actually still has a decent amount of traction among users, with a major release that came out about 6 months ago. It is platform that is typically used to create an "Intranet" and offers a good bit of customization. It is written in Python and is built on a number of stable open-source python projects (www.plone.org). See also from Wikipedia: <http://tinyurl.com/pdocbmn>

2. Wordpress/Drupal - These frameworks are built using PHP on MySQL databases, and both power a good part of the Internet. They both have thriving communities and myriad plug-ins and theming options. They both would require a fair bit of customization to achieve all of IWL's (proposed) goals, but could get the job done. Drupal has a steeper learning curve but ultimately offers greater flexibility. Here's a comparison: <https://www.udemy.com/blog/drupal-vs-joomla-vs-wordpress/> .

Note: See also from Wikipedia: <http://tinyurl.com/q7kzx3o> and <http://tinyurl.com/7wopvp> and Slideshare: <http://tinyurl.com/pe4om8y> .

3. Liferay - Another alternative to consider is Liferay, which is branded as a "portal" that has strong document management capabilities. This platform is written in Java and would require more hosting firepower than the typical entry-level web host provides. This platform would however provide the greatest amount of flexibility and is typically used for involved content management systems. A "free" version or supported version is available: <https://www.liferay.com/> . See also <http://tinyurl.com/paay2zx>

In summary, all of these open source solutions could get the job done, but any choice of a CMS platform should take into account the technologies that IWL's IT resources are most comfortable with. There appear to also be a few promising JavaScript (Node) based solutions that are up and coming, but these need additional time to mature. One thing is for certain: there is no reason to take on a whole new technology stack for the sake of trying something newer. Given the long track record in trying to get IWL's search function to operate so that it meets user demand, IWL should engage a certified ICT third party obligated by contract to deliver, and the PCU should have the application in-house during the design & development phase to ensure that it meets the standards appropriately—even if these do shift during the process.