International Waters Learning Exchange and Resource Network (IW:LEARN)

UNDP PIMS: 5337          GEF Project ID: 5729

and

Strengthening Global Governance of Large Marine Ecosystems and their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools (LME:LEARN)

UNDP PIMS: 4481          GEF Project ID: 5278

Terminal Evaluation
Final Report

Prepared by

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February 2020

# Project Information Summary

**Project Identification Numbers:**
IW:LEARN - UNDP:  5337; GEF:  5729
LME:LEARN - UNDP – 4481; GEF: 5278


**Region:**  Global for both projects


**GEF Operational Programme/Strategic Programme (both projects)**:  IW-3 - Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based, joint management of transboundary water systems


**Implementing Agencies:**
IW:LEARN:  UNDP and UN Environment (UNEP)
LME:LEARN:  UNDP


**Executing Agencies:**
IW:LEARN:  IOC UNESCO and GRID Arenal
LME:LEARN:  IOC UNESCO


**Executing Partners:**

| IW:LEARN | LME:LEARN |
|---|---|
| Conservation International (CI) | Conservation International (CI) |
| Global Water Partnership (GWP) | International Council for the Exploration of the Sea (ICES) |
| International Commission for the Protection of the Danube River (ICPDR) | International Union for the Conservation of Nature (IUCN) |
| International Union for the Conservation of Nature (IUCN) | National Oceanic and Atmospheric Administration (NOAA) of United States |
| The Nature Conservancy (TNC) | |
| UN Economic Commission for Europe (UNECE) | |
| UNESCO International Hydrological Programme (IHP) | |
| UNESCO World Water Assessment Programme (WWAP) | |
| UN Industrial Development Organisation (UNIDO) | |
| World Wildlife Fund (WWF) | |

## Evaluation Team

The terminal evaluation was conducted by Mr Tony Elliott (UK).  Mr Elliott has over 40 years' experience in research and operational oceanography and the intergovernmental coordination of tsunami warning and mitigation systems.  He has an MSc in Marine Earth Science and has broad experience in oceanography, numerical modelling, environmental studies, and coastal zone management.  From 2006 to 2016, he worked for the Intergovernmental Oceanographic Commission (IOC) of UNESCO as Head of Secretariat for the Intergovernmental Coordination Group for the Indian Ocean Tsunami Warning and Mitigation System (ICG/IOTWMS).  Since 2016, he has specialised in evaluation consultancy and has conducted Terminal Evaluations and Mid Term Reviews for UNESCO Jakarta, UNDP-GEF International Waters, UN Environment and UNDP Pacific.

## Acknowledgements

The evaluator has followed a participatory and consultative approach in the conduct of this evaluation and has relied on close engagement with the stakeholders as well as document review.  He acknowledges with thanks the individuals who took the time to provide their valuable insights and feedback on the project, including the PCU, the GEF International Waters (IW) Secretariat, Implementing Agencies, Executing Agencies, executing partners and IW project managers who agreed to be interviewed as part of the evaluation.  The evaluator expresses his particular gratitude to the members of the Project Coordination Unit who were always available to answer the many questions he asked them.  This includes Mish Hamid, Natalie Degger, Ivica Trumbic, Josu Icaza and Khristine Custodio.

# Acronyms

| | |
|---|---|
| ABNJ | Areas Beyond National Jurisdiction |
| AECID | Spanish Agency for International Development Cooperation |
| ANBO | African Network of Basins Organisation |
| ATSEA | Arafura and Timor Seas Ecosystem Action Programme |
| AWP | Annual Work Plan |
| CERMES | Centre for Resource Management and Environmental Studies |
| CI | Conservation International |
| CLME+ | Caribbean and North Brazil Shelf Large Marine Ecosystem |
| CMS | Content Management System |
| CoP | Community of Practice |
| CPAP | Country Programme Action Plan |
| CPD | Country Programme Document |
| CROP | Council of Regional Organisations of the Pacific |
| CSO | Civil Society Organisation |
| CTA | Chief Technical Adviser |
| DHI | Danish Hydraulics Institute |
| DIM | Data Information Management |
| EA | Executing Agency |
| EAS | East Asia Seas |
| EBM | Ecosytem-Based Management |
| EMIS | Environmental Management Information System |
| EV | Economic Evaluation |
| FAO | Food and Agriculture Organisation |
| GEF | Global Environment Facility |
| GOMMPAN | Gulf of Mexico Large Marine Ecosystem and Gulf of Mexico Marine Protected Areas Network |
| GWP | Global Water Partnership |
| IA | Implementing Agency |
| ICES | International Council for the Exploration of the Sea |
| ICM | Integrated Coastal Management |
| ICO | Inter-project Collaboration Opportunity |
| ICPDR | International Commission for the Protection of the Danube River |
| IMTA | Integrated Multi-Trophic Aquaculture |
| IOC | Intergovernmental Oceanographic Commission |

| IPA | Implementing Partner Agreement |
| IRF | International River Foundation |
| ISLME | Indonesian Sea Large Marine Ecosystem |
| IUCN | International Union for the Conservation of Nature |
| IW | International Waters |
| IWC | International Waters Conference |
| IWECO | Integrating Water, Land and Ecosystems Management in Caribbean Small Island Developing States project |
| IWL4 | IW:LEARN-4 |
| IWRM | Integrated Water Resources Management |
| KM | Knowledge Management |
| LAC | Latin American Countries |
| LEARN | Learning Exchange and Resource Network |
| LME | Large Marine Ecosystem |
| M&E | Monitoring and Evaluation |
| MARR2R | MesoAmerican Ridge to Reef project |
| MENARID | Middle East and North Africa Regional Programme for Integrated Sustainable Development |
| MOOC | Massive Open Online Course |
| MPA | Marine Protected Area |
| MSP | Marine Spatial Planning |
| MTR | Mid Term Review |
| NOAA | National Oceanic and Atmospheric Administration (of United States) |
| PACR2R | Pacific Community Ridge to Reef project |
| PCU | Project Coordination Unit |
| PEMSEA | Partnerships in Environmental Management for the Seas of East Asia |
| PIF | Project Identification Form |
| PIR | Project Implementation Report |
| PPG | Project Preparation Grant |
| ProDoc | Project Document |
| PSC | Project Steering Committee |
| QER | Quarterly Expenditure Report |
| QPR | Quarterly Progress Report |
| RBO | River Basin Organisation |
| RFMO | Regional Fisheries Management Organisation |
| RSCAP | Regional Seas Conventions and Action Plans |

| SAPPHIRE | Strategic Action Programme Policy Harmonization and Institutional Reforms |
| --- | --- |
| SCS | South China Sea |
| SDG | Sustainable Development Goal |
| SESP | Social and Environmental Screening Procedure |
| SISTER | System of Information on Strategies, Tasks and the Evaluation of Results |
| SMART | Specific, Measurable, Achievable, Relevant, Timebound |
| SWP | Shared Waters Partnership |
| TDA/SAP | Transboundary Diagnostic Analysis/Strategic Action Programme |
| TE | Terminal Evaluation |
| TNC | The Nature Conservancy |
| TWAP | Transboundary Waters Assessment Programme |
| UCT | University of Cape Town |
| UNDAF | UN Development Assistance Framework |
| UNDP | United Nations Development Programme |
| UNECE | United Nations Economic Commission for Europe |
| UNESCO | United Nations Educational Scientific and Cultural Organisation |
| UNESCO-IHP | UNESCO International Hydrological Programme |
| UNESCO-WWAP | UNESCO World Water Assessment Programme |
| UNIDO | United Nations Industrial Development Organisation |
| WACOM | West Africa Coastal Observation Mission |
| WMO | World Meteorological Organisation |
| WOC | World Ocean Council |
| WOGP | Water & Ocean Governance Programme |
| WWF | World Wildlife Fund |
| YSLME | Yellow Sea Large Marine Ecosystem |

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# Executive Summary

The GEF International Waters (IW) Focal Area targets transboundary water systems, such as river basins with water flowing from one country to another, aquifers , lakes and groundwater resources shared by several countries, or large marine ecosystems bounded by more than one nation. Since the inception of the GEF in 1991, the IW portfolio has delivered substantive results and replicable experiences to be scaled up and mainstreamed globally. With its ever-increasing portfolio of IW projects, GEF recognised that it was important to share learning from its investments and replicate project successes and impacts on a larger scale. To this end, the International Waters: Learning Exchange and Resource Network (IW:LEARN) was initiated in 2000 with a pilot phase, followed by three further operational phases the last of which completed in 2014. The current fourth phase commenced in March 2016 and is co-executed with LME:LEARN for which IW:LEARN is the umbrella project. Together, the two projects are designed to help promote learning among project managers, country officials, implementing agencies, and other partners in GEF IW projects.

This Terminal Evaluation (TE) assesses the achievement of project results for both IW:LEARN-4 and LME:LEARN and assesses their performance in terms of relevance, effectiveness, efficiency, sustainability and impact. Recommendations are made to enhance the design and efficiency of implementation of future phases of IW:LEARN and lessons learned from the current phase are highlighted.

**Project Summary Tables:**

| Project Title: | International Waters Learning Exchange and Resource Network (IW:LEARN) | | | |
|---|---|---|---|---|
| GEF Project ID: | 5729 | | *at endorsement (Million US$)* | *at TE (30/9/2019) (Million US$)* |
| UNDP Project ID: | 5337 | GEF financing: (UNDP) (UNEP) | 4,987,500 (3,987,500) (1,000,000) | 4,343,621 (3,430,914) (912,707) |
| Country: | | IA/EA own: | 3,906,526 | 12,282,350 |
| Region: | Global | Government: | N/A | N/A |
| Focal Area: | International Waters | Other: | 8,215,790 | 11,879,265 |
| FA Objectives, (OP/SP): | IW-3 | Total co-financing: | 12,122,316 | 24,161,615 |
| Executing Agencies: | IOC/UNESCO GRID-Arendal | Total Project Cost: | 17,109,816 | 28,505,236 |
| Other Partners involved: | CI, GWP, ICPDR, IRF, IUCN, TNC, UNECE, UNESCO-WWAP, UNIDO, UNESCO-IHP, WWF | ProDoc Signature (date project began): | | 17 March 2016 |
| | | (Operational) Closing Date: | Proposed: 17 March 2020 | Actual: TBD |

| Project Title: | Strengthening Global Governance of Large Marine Ecosystems and their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools | | | |
|---|---|---|---|---|
| GEF Project ID: | 5278 | | _at endorsement (Million US$)_ | _at TE (30/9/2019) (Million US$)_ |
| UNDP Project ID: | 4481 | GEF financing: | 2,500,000 | 2,232,127 |
| Country: | | IA/EA own: | 3,530,500 | 3,183,070 |
| Region: | Global | Government: | N/A | N/A |
| Focal Area: | International Waters | Other: | 9,824,099 | 1,868,250 |
| FA Objectives, (OP/SP): | IW-3 | Total co-financing: | 13,354,599 | 5,051,320 |
| Executing Agency: | IOC/UNESCO | Total Project Cost: | 15,854,599 | 7,283,447 |
| Other Partners involved: | ICES, NOAA, IUCN, CI | ProDoc Signature (date project began): | | 17 March 2016 |
| | | (Operational) Closing Date: | Proposed: 17 March 2020 | Actual: TBD |

## Project Description

**IW:LEARN-4**

The IW:LEARN project was established in 2000 to strengthen global transboundary water management by collecting and sharing best practices, lessons learned, and innovative solutions to common problems across the GEF IW portfolio.  It promotes learning among project managers, country official, implementing agencies, and other partners.  Following the pilot phase in 2000-2003, the first operational phase of IW-LEARN commenced in 2004, followed by two subsequent phases from 2009-2012 and 2011-2014.  The previous third phase of the project was designed 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.

The current fourth phase (IW:LEARN-4 or IWL4) is designed to provide additional support aimed at building the capacity of river and lake basin projects in areas such as the water-energy-food nexus, climate change and variability, benefit sharing, legal and institutional support for basin organizations, sustainable infrastructure, and conjunctive management of surface and groundwater.  In particular, its **goal** is "_to move IW:LEARN from a demonstration phase where successful knowledge management services to GEF IW projects were piloted, tested and replicated, towards a scaled-up project which becomes a hub for global learning on transboundary waters, working both inside and outside the GEF-financed portfolio_".  The project therefore seeks to build on previous phases and enhance IWL's role as a global knowledge hub that will support the scaling up of GEF IW investments globally.

The specific **Project Objective** is "_to strengthen knowledge management capacity and promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners— in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments_".

The project is being implemented through four inter-linked and mutually compatible components:

**Component 1**: **Support the harvesting, standardization, dissemination and replication of portfolio and partner results, data and experience.**

Through this component, the project will enhance visibility of project results through more readily useable tools, guides and materials in order to catalyse experience sharing among projects and replication of successes throughout the portfolio.

**Component 2: Share knowledge and results across projects and partners (through dialogue processes and face-to-face capacity building) to advance transboundary water management.**

The project will enhance portfolio capacity building at the local, regional and global levels, and establish effective portfolio-wide dialogue opportunities for south-to-south learning through a suite of programmes and events.

**Component 3: Expand global freshwater Communities of Practice to advance conjunctive management of surface freshwater and groundwaters and source-to-sea linkages with marine waters and partner with new enterprises on initiatives to better manage international waters**.

The project will mobilise external partnerships to work together for improved learning and knowledge management through enhanced global surface and ground freshwater Communities of Practice (CoPs) to impact results and advance conjunctive management.

**Component 4: Launch programmatic tools to improve portfolio performance and sustain project interventions.**

This component aims to improve project performance and the harmonization of GEF methodological approaches across the IW portfolio. The GEF increment will support the project to deliver new guidance to realize global environmental benefits from improved IW project performance.

The four components are supported by a total of 18 sub-components and 54 project activities delivering 18 related outputs designed to achieve the five outcomes, which are directly related to the corresponding project components:

**LME:LEARN**

The Large Marine Ecosystem (LME) concept was developed by NOAA in cooperation with the University of Rhode Island over 30 years ago as a model to implement ecosystem approaches to assessing, managing, recovering, and sustaining LME resources and environments. Over the last three decades work has been continuing globally involving a number of agencies and institutions such as UNDP, UNEP, UNESCO IOC, ICES, CI, IUCN, FAO, UNIDO as well as NOAA. Over the course of nearly 30 years, GEF has invested in 128 countries through projects in 23 of the world's 66 LMEs. These projects have encouraged governmental and non-governmental stakeholders to embrace the LME approach as a means of addressing issues such as overfishing, habitat degradation and loss, and pollution, among other serious threats.

The "Strengthening global governance of Large Marine Ecosystems and their coasts through enhanced sharing and applications of LME/ICM/MPA knowledge and information tools (LME:LEARN)" project aims to improve global ecosystem based governance by generating knowledge, building capacity, harnessing public and private partners and supporting south-to-south learning and north-to-south learning. It is entirely complementary to the IW:LEARN project, which supports the rationale for joint implementation.

The specific **Project Objective** is "*to improve global ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners, and supporting south-to-south learning and north-to-south learning*".

The four main project components/outcomes are as follows:

**Component/Outcome 1:** **Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF LME/ICM/MPA projects to address their needs and incorporate climate variability and change.**

This component is designed to set the stage for implementation of the other three components. By assuring a solid and engaged foundation of partners, an adequate basis for implementing the major activities and achieving the outcomes of the project will be assured

**Component/Outcome 2**: **Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change including the 5 LME modules.**

All activities under this component draw heavily on lessons learned from past projects and experiences. Best practices previously identified are key to success in developing methods and tools.

**Component/Outcome 3**: **Capacity and partnership building through twinning and learning exchanges, workshops, and training among LMEs and similar initiatives (e.g., Seascapes).**

Twinning is a scheme by which two projects contribute resources to mobilize personnel, expertise and mutually share their experiences and has been demonstrated to be a successful Capacity Development strategy. This component is directed towards south-south training, as well as north-south training

**Component/Outcome 4:** **Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned**.

The intended outcome of this component is to strengthen the role of the GEF International Waters portfolio on LMEs, and associated ICM and MPA activities.

LME:LEARN has an additional administrative component for project management:

The five components/outcomes are implemented through a total of 24 project activities and 23 sub-activities delivering 49 outputs designed to achieve 14 sub-outcomes which are directly related to the corresponding project components/outcomes.

## Evaluation Ratings

Ratings for both projects are provided below based on the rating scales provided in the Terms of Reference (Annex 3). It should be noted that the scale descriptions for Relevance and Impact are not particularly clear. For both projects, the relevance is rated as Highly Satisfactory under the previous version of the UNDP-GEF rating scale. The rating for impact should probably have an upper rating of highly significant whereas the rating of minimal in place of satisfactory does not seem equivalent.

## **Evaluation Rating Tables**

| IW:LEARN-4 Evaluation Ratings: | | | |
|---|---|---|---|
| **1. Monitoring and Evaluation** | **rating** | **2. IA& EA Execution** | **rating** |
| M&E design at entry | S | Quality of UNDP/UNEP Implementation | S |
| M&E Plan Implementation | S | Quality of IOC-UNESCO/GRID-Arendal Execution | MS |
| Overall quality of M&E | S | Overall quality of Implementation / Execution | S |
| **3. Assessment of Outcomes** | **rating** | **4. Sustainability** | **rating** |
| Relevance | Relevant | Financial resources | ML |
| Effectiveness | S | Socio-economic | ML |
| Efficiency | MS | Institutional framework and governance | ML |
| Overall Project Outcome Rating | S | Environmental | L |
| | | Overall likelihood of risks to sustainability | ML |
| **5. Impact** | **Rating** | **6. Overall Project Results** | |
| Contribution to knowledge and experience exchanges | Significant | Enabling environment for knowledge management improved | S |
| Contribution to capacity development | Significant | Capacities improved | HS |
| Progress towards status change | Minimal | Progress towards better management and implementation of international waters projects | HS |

| LME:LEARN Evaluation Ratings: | | | |
|---|---|---|---|
| **1. Monitoring and Evaluation** | **rating** | **2. IA& EA Execution** | **rating** |
| M&E design at entry | MS | Quality of UNDP Implementation | S |
| M&E Plan Implementation | S | Quality of IOC/UNESCO Execution | S |
| Overall quality of M&E | MS | Overall quality of Implementation / Execution | S |
| **3. Assessment of Outcomes** | **rating** | **4. Sustainability** | **rating** |
| Relevance | Relevant | Financial resources | L |
| Effectiveness | S | Socio-economic | ML |
| Efficiency | MS | Institutional framework and governance | ML |
| Overall Project Outcome Rating | S | Environmental | L |
| | | Overall likelihood of risks to sustainability | ML |
| **5. Impact** | **Rating** | **6. Overall Project Results** | |
| Contribution to knowledge and experience exchanges | Significant | Enabling environment for knowledge management improved | S |
| Contribution to capacity development | Significant | Capacities improved | HS |
| Progress towards status change | Minimal | Progress towards better management and implementation of international waters projects | HS |

## Summary of Conclusions, Recommendations and Lessons

The IWL4 and LME:LEARN projects have completed and delivered an impressive range of activities and outputs and both projects are on target to achieve nearly all of their outcomes by the end of the projects.

<u>**IW:LEARN-4**</u>

Most of the outcomes for IWL4 have been achieved or are on target to be achieved by the end of the project in March 2020.  With approximately 13% of its budget remaining as of 30 September 2019, there are sufficient funds remaining to complete the outstanding project activities and cover a limited project extension.

**Component 1**:   A total of five sub-components with 19 associated activities and five outputs contributed to this component and have been delivered.  The consensus of opinion of the partners and project managers is that although the IW:LEARN.net website has improved significantly in recent years, there is still room for improvement.  It was widely recognised that the website is very important for the entire IW portfolio and should provide a "one stop shop" for all IW-related information.  However, the IW projects are not sharing news and results to IW:LEARN.net on the scale envisaged, nor are the number of IW project websites consistent with IW:LEARN website standards likely to reach its target by the end of the project, although it is recognised that it is beyond the control of the PCU to force projects to share information or follow IW:LEARN website guidelines.

**Component 2:**  A total of six sub-components with 15 associated activities and six outputs contributed to this component and have been delivered.  Twelve IW projects have adopted new management approaches/replication of practices and experience following twinning exchanges and 47 IW projects have adopted at least one new management approach following workshops and IWCs.  Two basins (Drin and North Western Sahara Aquifer) have enhanced transboundary cooperation as a result of IWL4.  Regarding gender issues, 100% of IW projects now have gender mainstreaming policies.

**Component 3:**  Four sub-components with 12 associated activities and four outputs contributed to this component.  Five IW projects have promoted partnership on conjunctive management of surface and groundwater.   One freshwater and one LME (Amazon and CLME+) have enhanced their coordination as a result of IWL activities and two projects have been supported in engaging the private sector in their sustainability plans.  Whereas all targets have been achieved for the freshwater sub-components with the learning exchange service centre established, water-food-energy-ecosystems nexus, green infrastructure, benefit sharing and climate resilience training events all conducted, only partial progress has been made on expanding the global groundwater Community of Practice.

**Component 4:**  Three sub-components with eight associated activities and three outputs contributed to this component all of which have been delivered.  68% of new projects implementing a TDA/SAP have been training in Economic Evaluation.  75% of new SAP projects are following the guidance prepared by IWL on enhancing implementation of SAPs.  2,580 people have registered for and 112 have completed the LME MOOC of which 30 were from IW projects, and 17 people have registered for the Freshwater Security MOOC.  An outstanding target that will not be reached by the end of the project is that only two out of 10 IW projects have completed EV assessments based on the guidance and tools developed by IWL.

The IWL4 project has strengthened knowledge management approaches and capacity within the IW portfolio through demonstrated changes in management approaches as a result of the IW Conferences, twinnings and regional workshops.  Knowledge management and capacity will continue to be strengthened until the end of the project and beyond, with the continued support of GEF.  The

project can also be generally said to have scaled-up learning and dissemination of experiences, tools and methodologies and to have improved the effectiveness of IW projects to deliver results.

**LME:LEARN**

The LME:LEARN project has delivered most of its outputs and achieved nearly all of its component/outcomes and is on track for full achievement by March 2020. With approximately 11% of its budget remaining as of 30 September 2019, it is expected to reach close to full utilisation of the GEF financing by the end of the project.

**Component/Outcome 1:** a total of four sub-components with four associated activities, 11 sub-activities and 14 outputs contributed to this component/outcome most of which have been delivered at the time of TE. A Community of Practice has been established including LMEs, ICMs, MPAs and MSPs and coastal climate change adaptation projects. Regional networks have been established in Africa, LAC and Asia-Pacific with two meetings held in each region. Three Inter-project Collaboration Opportunities (ICO) have been completed to enhance collaboration between LME, ICM, MSP, and MPA projects and a further three are underway.

**Component/Outcome 2**: four sub-components with six associated activities, six sub-activities and 18 outputs contributed to this component/outcome most of which have been delivered at the time of TE. Technical Working Groups for Ecosystem Based Management, LME Governance and Data and Information Management (DIM) have been established. Five marine toolkits have been developed and uploaded to the Marine Hub website, while the sixth (project development toolkit) is undergoing some revision before being uploaded. The Toolkit for adaptive ecosystem-based LME governance has also been finalised and is available on the Marine Hub website. Training tools on data and information management (DIM) have been developed and are available on the Marine Hub website.

**Component/Outcome 3**: three sub-components with seven associated activities and 11 outputs contributed to this component/outcome all of which have been delivered at the time of TE. Six twinning exchanges have been completed between LME, MPA, MSP and ICM projects, which have enhanced the exchange of experience and knowledge among regional projects, the sharing of lessons and best practices. LME/ICM/MPA/MSP projects have participated in six global events. Training materials have been developed for on-line and face to face training in Governance, Marine Spatial Planning, and Economic Valuation and training modules for LME governance and MSP are fully accessible online on UNDP Cap-NET Virtual Campus.

**Component/Outcome 4:** Three sub-components with five associated activities, six sub-activities and 14 outputs contributed to this component/outcome most of which have been delivered at the time of TE. An LME global communication platform (LME Hub) has been developed by IUCN. Google layers have been developed and three LMEs have provided audiovisual content with the target of increasing this to 10 by the end of the project, although this is unlikely to be achieved. Lessons from LME/ICM/MPA projects have been regularly presented in the Newsletter and two volumes of LME related peer-reviewed scientific papers were published in the Environmental Development Journal, with two more volumes are in preparation.

The project has improved global ecosystem-based governance of LMEs by establishing a Community of Practice for LMEs, MPAs and ICMs and extending it to include MSPs and coastal climate change projects. Technical working groups were established and all except one of the planned toolkits were developed. Capacity has been built and south-to-south and north-to-south learning supported through the establishment of three regional networks, the organisation of six twinning exchanges and six Inter-project Collaboration Opportunities (ICO). Training materials have been developed for online and face-to-face training in LME Governance, Marine Spatial Planning and Economic Valuation

**Project Design, Partnerships and Project Management**

The designs for both projects were ambitious and highly detailed with complex activity-based implementation strategies. IWL4 has a clear Results Framework with outcomes and indicators that are mostly SMART. On the other hand, the LME:LEARN Results Framework confuses components, outcomes and indicators and has many indicators that are not SMART. The LME:LEARN implementation strategy was based on a large number of activities and sub-activities and in many cases the outputs are imprecise with no indicators or targets.

Eleven executing partners supported IWL4 compared to six partners for IWL3. Three of the partners were common to IWL3 and IWL4 meaning that there were eight new partners contributing to IWL4. For LME:LEARN there were four executing partners, two of which were also partners for IWL4. The coordination of so many partners placed an additional administrative burden on the EA and PCU, particularly in managing the annual renewals of IPAs. For the next phase of IW:LEARN it is suggested that the number of executing partners should be reduced to a core that can contribute to the activities and deliver outputs that are based on the needs and requirements expressed by the IW projects.

Considering the complexity of the projects, the large number of executing partners and the dual IW arrangement, the PCU has managed the projects competently and with sensitivity to the needs of the IW projects. It is clear that the PCU has communicated well and has had excellent relationships with the main project stakeholders. The dual IA and EA arrangement has resulted in inefficiencies in project implementation exacerbated by a geographically split PCU with each EA having different reporting lines to their respective IAs. For future phases of IW:LEARN, it is recommended that there should be one centralised PCU located at a single EA.

Both EAs appear to have applied standard and appropriate financial practices or review, monitoring and reporting in accordance with their internal administrative and accounting systems. An issue that caused an administrative bottleneck is that the UNDP's ATLAS accounting system is incompatible with UNESCO's SAP system. This delayed the approval of annual budgeting and the release of funds in the first few years but the situation has improved in recent years. However, budget revisions can still be difficult to achieve and is a complicated process involving many steps involving UNESCO and UNDP staff with the result that it can take up to three months for a revision to take effect.

The reporting of co-financing by partners has been generally poor, due to a lack of timely reporting rather than a lack of activity. The importance of correct accounting for co-financing cannot be emphasised enough as it is one of the basic requirements for GEF to grant funding. The PCU should follow up with the partners to determine an accurate picture of the level of co-financing committed as a basis for GEF to consider for the next phase of IWL.

**Sustainability**

The sustainability of IW:LEARN is considered to be moderately likely in the near term but moderately unlikely in the long term. There is strong institutional support for LMEs provided by IOC UNESCO, NOAA and ICES and financial sustainability for LMEs is therefore likely to be stronger in both the short and long terms. Of particular concern to the institutional sustainability of IW:LEARN is its vulnerability as an ongoing GEF project. The cycle of IW:LEARN project approval, preparation and implementation, which has resulted in long gaps between successive phases (nearly 20 months between IWL3 and IWL4) is unsatisfactory. Breaks in continuity can have a particularly profound effect on the IW:LEARN.net website. If the website is not permanently hosted and managed there is a high risk that it will lose its relevance and become redundant. It is highly recommended that a permanent solution be found for hosting and maintaining the website so that it continues to function and maintain relevance in any prolonged down period between IW:LEARN phases.

IW:LEARN has reached a stage of maturity where a more programmatic approach would be appropriate. To sustain its institutional framework, it is suggested that the core functions of IW:LEARN should be made permanent. Alternatively, the PCU function could be extended for six months or one year beyond closure of the main project implementation period to allow for a smooth transition from one phase to the next.

**Gender**

IWL4 has made a direct contribution to gender mainstreaming through sub-component 2.5 "Promotion of Gender Mainstreaming in the GEF IW Portfolio", with the scope of achieving increased recognition of gender issues and attention on gender equality throughout the GEF IW projects. The next phase of IW:LEARN should build on these achievements by developing toolkits and other training material and should consider including a gender dimension into twinning exchanges such as the collection of sex-disaggregated data.

**Knowledge Management and IW:LEARN.net Website**

Strengthening knowledge management is one of the key objectives of both IWL4 and LME:LEARN. In IWL4 this has been achieved through the IWCs, twinning exchanges, targeted regional workshops and other training events such as webinars and MOOCs. In the case of LME:LEARN knowledge management has been enhanced through establishment of a Community of Practice for LMEs, the establishment of three regional networks, six twinning exchanges, six ICOs, the development of toolkits and organisation of training workshops and the development of a Google layer based LME Hub.

The consensus of opinion of the stakeholders about the IW:LEARN.net website is that although it is better than it used to be, it requires further work to improve its functionality and make it easier to find information. All interviewees appreciated having the website and some pointed out that other GEF focal areas do not have such a facility. Website content management should be a core function of the PCU in future phases of IW:LEARN. Website content is also dependent on a flow of information from the IW projects and this has ceased in recent years. The PCU should conduct a survey to canvas opinions about the website to understand the barriers that are preventing more active engagement by the projects.

After 20 years and four phases of implementation IW:LEARN can be considered as mature, but that does not mean it has to be static or boring. Nor does it necessarily mean that it has to continue to grow. There is always a temptation to keep adding more activities to the successive project phases, but often "less is more" and the next phase should reflect on the achievements so far and act on the lessons learned over recent phases. IW:LEARN needs to take care of its core services first and foremost (such as the website and the IWCs) and innovate to remain relevant to its end users. This will require consultation during the PPG phase for IWL5 to ensure that the project design is relevant to and addresses the needs of all stakeholders, from GEF secretariat to IW project level.

**Table of Recommendations**

| No. | Topic | Section | Recommendation |
|---|---|---|---|
| 1. | Project Management | 3.6 | PSC should streamline its meetings to limit the time allocated for reporting back by executing partners and allow more time for discussing issues of strategic importance |
| 2. | Project Management | 3.6 | PSC membership should comprise the GEF Secretariat, the project Implementing Agencies, other GEF IW Implementing Agencies and representatives from regional networks/River Basin Organisations with the executing partners attending as observers |

| 3. | Project Management | 3.6 | Future phases of IW:LEARN should have one central PCU reporting to one Implementing Agency and the Project Manager should have control over the core functions and budget for all components of the project |
|---|---|---|---|
| 4. | Financial Management | 3.7.4.1 | UNDP and UNESCO administrative officers should learn lessons from the problems encountered during implementation of IW:LEARN-4 and LME:LEARN and formulate practicable solutions to avoid delays in the approval of budgets and release of funds, and to simplify the approval process for budget revisions |
| 5. | Co-Financing | 3.7.4.2 | PCU should follow-up with the partners to determine an accurate level of co-financing committed to the project. GEF should consider a standardised approach to calculating co-financing to ensure that partners are calculating their commitments on the same basis |
| 6. | Effectiveness | 3.8.3.1 | The management of the IW:LEARN website content should be a core function of the PCU with a dedicated project assistant to work with the IW projects to manage the content and populate the website. A communications strategy should be developed to encourage more IW projects to share information on a more regular basis and to maintain up-to-date contact information for their projects |
| 7. | Efficiency | 3.8.4 | The design of future phases of IW:LEARN should eliminate sub-activities and include a core of activities designed to deliver concise sets of SMART outputs with clear linkages to SMART outcomes |
| 8. | Gender | 3.8.6 | All relevant project outputs and outcomes in the next phase of IW:LEARN should include gender-sensitive indicators, for example for twinning exchanges, training workshops, conferences and dialogue processes. These indicators should not be limited to sex-disaggregated data but should also include gender-responsive indicators, where appropriate. |
| 9. | Sustainability | 3.8.7 | Executing partner sustainability plans should be submitted with their proposals and included in their contractual agreements. The plans should be updated in every progress report and the PCU should prepare an exit strategy for review by the PSC at its penultimate meeting |
| 10. | Sustainability | 3.8.7 | A permanent solution should be found for hosting and maintaining the IW:LEARN.net website to ensure that it continues to function during any prolonged period between IW:LEARN phases |
| 11. | Impact | 3.8.8 | The IW:LEARN "impact tracker" should be converted into a relational database to allow specific queries. The PCU should analyse the current database and produce metrics on project impact for reporting to the final PSC meeting. |

**Lessons**

For projects of the duration and complexity of IWL4 and LME:LEARN, many lessons have been learned by the Implementing and Executing Agencies and the executing partners during implementation. Moreover, as this is the fourth phase of a series of IW:LEARN projects and a fifth phase is in the planning stage, a cumulative catalogue of lessons should have been compiled that will benefit the design and implementation of subsequent phases.

The terminal evaluation stresses that robust, clear results-based project designs lead to more efficient implementation with results frameworks that can be used as effective management tools rather than simply for reporting purposes. It is important that there is clear linkage between outputs and their related outcomes and that outcome indicators are sufficient and suitable for measuring the change the outcome seeks to achieve. Both ProDocs are highly prescriptive in terms of activities but often the links between activities and results are not well established. Activities should not be so tightly prescribed and there should be some flexibility to adapt to evolving requirements and to encourage innovation in response to emerging issues.

In terms of project management, a key lesson of this and previous phases of IW:LEARN is that a geographically split PCU is not an efficient modality for managing complex projects. Furthermore, the Project Manager needs to have full control over the core functions and budget for all components of the project.

The incompatibility of UNDP's and UNESCO's accounting systems caused delays in the approval of annual budgeting and the release of funds in the first few years of implementation. Budget revisions were also difficult to achieve involving many steps at both UNESCO and UNDP with the result that it could take up to three months for a revision to take effect. UNESCO and UNDP should learn lessons from these experiences and attempt to resolve these administrative inefficiencies for the next phase of IW:LEARN.

Many interviewees provided examples of lessons learned from their own perspectives out of which several important themes emerge that should be taken into consideration for the next phase of IW:LEARN:

- There were more executing partners involved in IWL4 than in previous phases and some of the new partners did not fully understand their roles within IW:LEARN. Partners should be able to demonstrate their engagement with IW projects and commit to post-project sustainability planning with and without further GEF increments.
- It is important to define a vision and mission for IW:LEARN that all partners understand and can subscribe to in order to strengthen a sense of partnership and purpose for their activities.
- The target audience for IW:LEARN should not be limited to GEF IW projects. For replication effect, cooperation should be extended to a wider audience.
- Networking and collaborative opportunities are very important for IW:LEARN but it should not be assumed that networking for the sake of it is worthwhile. Consideration should be given to the beneficiaries of and contributors to regional networks and what incentives there are for them to join, given the time and resource pressures under which most project managers operate.
- Training workshops tend to be "top down" with trainers brought in from the executing partners. However, many IW project managers have a lot of experience and should be considered as a trainer resource. This would also encourage south-south cooperation.
- To be able to execute the Information Communication Technology (ICT) activities effectively, it is important to understand how the IW portfolio of projects operates and to understand the needs of all stakeholders. This will promote better understanding of the website guidelines and lead to increased flow of information to the IW:LEARN website from the projects.

# 1   Introduction

Since it was established in 1991 as a pilot programme in the preparatory phase for the Rio Earth Summit in 1992, the Global Environment Facility (GEF) has provided over $19 billion in grants and mobilised an additional $100 billion in co-financing for more than 4,700 projects in 170 countries[1]. The mandate of GEF is to help tackle the world's most pressing environmental problems in six Focal Areas: Biodiversity, Climate Change, International Waters, Land Degradation, Ozone Depletion and Persistent Organic Pollutants.  GEF is the single largest donor for environmental projects around the world.

The International Waters (IW) Focal Area targets transboundary water systems, such as river basins with water flowing from one country to another, aquifers , lakes and groundwater resources shared by several countries, or large marine ecosystems bounded by more than one nation.  As of November 2018, the cumulative GEF IW portfolio consisted of 359 projects with about US$1.9 billion of GEF grants and $12.6 billion in co-finance invested in more than 170 GEF recipient countries.  Since the inception of the GEF in 1991, the IW portfolio has delivered substantive results and replicable experiences to be scaled up and mainstreamed globally[2]

With its ever-increasing portfolio of IW projects, GEF recognised that it was important to share learning from its investments and replicate project successes and impacts on a larger scale.  To this end, the International Waters: Learning Exchange and Resource Network (IW:LEARN) was initiated in 2000 with a pilot phase, followed by three further operational phases the last of which completed in 2014.  The current fourth phase commenced in March 2016 and is co-executed with LME:LEARN for which IW:LEARN is the umbrella project. Together, the two projects are designed to help promote learning among project managers, country officials, implementing agencies, and other partners in GEF IW projects.

The IW:LEARN project is jointly implemented by UN Environment (Component 1) and UNDP (Components 2-4) and is executed through GRID-Arendal (Component 1) and UNESCO IOC (Component 2-4).  The LME:LEARN project is implemented by UNDP with UNESCO IOC as the executing agency.  UNDP/UNESCO IOC is additionally responsible for the project management of both projects.  The projects share a joint Project Coordination Unit (PCU), which is primarily housed at UNESCO IOC in Paris, France with additional PCU members for IW:LEARN Component 1 situated at GRID-Arendal in Norway.

The core partners involved in IW:LEARN implementation are: Conservation International (CI), the Global Water Partnership (GWP), the International Commission for the Protection of the Danube River (ICPDR), the International Union for the Conservation of Nature (IUCN), the International River Foundation (IRF), the Nature Conservancy (TNC), the United Nations Economic Commission for Europe (UNECE), the UNESCO International Hydrological Programme (UNESCO-IHP), the UNESCO World Water Assessment Programme (UNESCO-WWAP), the United Nations Industrial Development Organization (UNIDO), and the World Wildlife Fund (WWF).

The core partners involved in LME:LEARN implementation are: CI, IUCN, the International Council for the Exploration of the Sea (ICES), and the US National Oceanic and Atmospheric Administration (NOAA).

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[1] www.thegef.org/about-us
[2] 9th GEF International Waters Conference Brochure, 5-8 November 2018, Marrakesh, Morocco

The projects are overseen by a joint Project Steering Committee (PSC) that provides strategic guidance and ensures good coordination between the projects and comprises all project partners and immediate stakeholders.

The total budget for IW:LEARN is USD17,109,816 comprising USD4,987,500 GEF grant funding and USD12,152,316 in co-financing. The total budget for LME:LEARN is USD15,854,599 comprising USD2,500,000 GEF grant funding and USD13,354,599 in co-financing. The implementation period for IW:LEARN is 16 March 2016 to 16 March 2020. The original implementation period for LME:LEARN was 17 March 2016 to 17 March 2019 but this was extended to 17 March 2020 to allow sufficient time for the project to finalise all its outputs and give projects the opportunity to integrate knowledge and achieve their outcomes.

## 1.1   Purpose of the Evaluation

In accordance with the Terms of Reference, the purpose of the terminal evaluation is "*to provide an impartial review of both projects in terms of their relevance, effectiveness, efficiency, impact, sustainability, overall performance, management and achievements. The information, findings, lessons learned, conclusions and recommendations generated by the evaluation will be used by the UNDP and the executing partners to strengthen the remaining projects' implementation and inform prospects for the replication and sustainability of the intervention*". This is particularly important because the PIF for the fifth phase of IW:LEARN has been submitted for the consideration of the 57th Meeting of the GEF Council in December 2019.

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

The evaluation assesses the extent to which planned project results have been achieved since the beginning of the projects in March 2016 and the likelihood of their full achievement by the end of the projects in March 2020 based on their Project Document and Project Results Framework. The evaluation will also assess the monitoring and evaluation component of both projects and their compliance with UNDP and GEF minimum standards, including SMART criteria for indicators.

## 1.2   Scope and Methodology

In accordance with the Terms of Reference (Annex 3), the scope of the evaluation covers the following specific aspects:

- Project design, risk assessment and management
- Progress toward results, outputs, outcomes and impacts
- Implementation and execution arrangements, including GEF Agency oversight
- Partnership approach and stakeholder participation
- Communications and public awareness
- Work planning, financial management/planning and co-financing
- Flexibility, innovation and adaptive management
- Gender and human rights integration and mainstreaming in implementation
- Catalytic role: replication and up-scaling

The evaluation has been performed in accordance with UNDP guidelines for conducting evaluations of UNDP-supported, GEF-financed projects[3]. An evidence-based approach has been adopted to assess the projects' performance, including a desk review of 93 relevant project documents and website research (Annex 6), and semi-structured interviews with as many stakeholders as possible within the limited time available for the evaluation (Annex 5). A consultative, participatory approach has been adopted throughout, engaging with the Project Coordination Unit (PCU) in Paris and Arendal, the GEF secretariat, the Implementing Agencies UNDP and UNEP, the executing project partners and other key stakeholders. Due to time limitations, it was not possible to arrange any field visits as originally envisaged in the Terms of Reference. However, the consultant visited the PCU offices at UNESCO IOC in Paris for two days of face to face consultation and information gathering. All other interviews were conducted by Skype and email.

An evaluation matrix was designed for the inception report and is attached as Annex 4. The matrix provides a set of review questions to be addressed and indicators against which project performance has been measured. It also identifies the data collection and analysis methods to be adopted and the information sources to be used. Table 1 lists the data collection methods, information sources and number of interviewees.

**Table 1          Data collection methods, information sources and respondents**

| Data Collection Method | Information Source | Number of documents/ respondents | Annex for details |
|---|---|---|---|
| Document Review | <ul><li>Project documents</li><li>PIFs</li><li>Steering Committee minutes</li><li>PIRs</li><li>QPRs, QERs</li><li>Workplans</li><li>PCU progress reports (internal)</li><li>Financial reports</li><li>Co-financing letters</li><li>Evaluation reports</li><li>Workshop reports</li><li>Executing partner IPAs</li><li>Miscellaneous documents</li><li>Evaluation guidelines</li></ul> | 93 | 6 |
| Key Informant Interviews in-person, by Skype or email | <ul><li>GEF IW Secretariat</li><li>Implementing Agencies</li><li>Executing Agencies</li><li>Executing Partners</li><li>GEF IW Project Managers</li></ul> | 29 | 5 |

The methods used to analyse the information collected were entirely qualitative as insufficient data were collected to justify a quantitative analysis. This approach is considered appropriate for this evaluation as apart from verifying the results achieved and the financial statements provided by the

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[3] Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects. UNDP Evaluation Office, 2012

PCU, the evaluation is mostly concerned with the perceptions of the interviewees. Information has been triangulated to the extent possible i.e. verified from different sources such as documents, interviews and project publications and IWL website.

The evaluator has reviewed all project documentation and published outputs in parallel with the comments and opinions expressed by the interviewees to establish the relevance and effectiveness of the outputs delivered, the efficiency of implementation, the likelihood of sustainability beyond the project cycle. The evaluator has also investigated the challenges faced during implementation, why they occurred, the resulting lessons learnt and has made recommendations to improve the design and efficiency of future interventions.

## 1.3   Structure of the Evaluation Report

The evaluation report follows the outline provided in the guidelines for conducting UNDP-supported, GEF-financed terminal evaluations[4] as summarised in the Terms of Reference (Annex 3). The main sections of the report are as follows:

Section 1   Introduction: *purpose of the evaluation; scope and methodology, report structure*

Section 2   Project Description and Development Context: *problems that the projects sought to address; project objectives; baseline indicators; main stakeholders; expected results*

Section 3   Findings: *project design; project implementation; project results*

Section 4   Conclusions, Recommendations and Lessons Learnt: *corrective actions; follow-up actions; proposals for future directions; lessons learnt*

As this report covers two projects, each project is evaluated separately in the relevant sections below. Primarily this concerns the projects' descriptions, objectives, designs and results. However, as the projects were co-managed by one PCU (albeit with a separately located PCU for Component 1 of the IWL project) and had many partners in common and inter-connected activities, there are overlapping areas where it is appropriate to combine evaluations, such as in the management and administration of the projects.

The terminal evaluation is based on the status of the projects as of 30 September 2019, which is six months before the scheduled closure of both projects and within 15 months of the Mid Term Review (MTR). The IWL4 MTR report is referenced throughout this report and rather than repeat the detailed analysis of activities conducted and outputs delivered up to the mid-term, this report builds on the findings of the MTR, assesses the overall progress that has been made since the start of the project and considers the sustainability of the projects' outcomes and the achievement of their intended impacts.

# 2   Project Description and Development Context

## 2.1   IW:LEARN

The IW:LEARN project was established in 2000 to strengthen global transboundary water management by collecting and sharing best practices, lessons learned, and innovative solutions to common problems across the GEF IW portfolio. It promotes learning among project managers, country official, implementing agencies, and other partners. Following the pilot phase in 2000-2003, the first operational phase of IW-LEARN commenced in 2004, followed by two subsequent phases

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[4] Ibid

from 2009-2012 and 2011-2014. The previous third phase of the project was designed 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, the project was designed to emphasise 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 current fourth phase (IWL4) is designed to provide additional support aimed at building the capacity of river and lake basin projects in areas such as the water-energy-food-ecosystems nexus, economic valuation, climate change and variability, benefit sharing, legal and institutional support for basin organizations, sustainable infrastructure, and conjunctive management of surface and groundwater. In particular, its **goal** is "*to move IW:LEARN from a demonstration phase where successful knowledge management services to GEF IW projects were piloted, tested and replicated, towards a scaled-up project which becomes a hub for global learning on transboundary waters, working both inside and outside the GEF-financed portfolio*". The project therefore seeks to build on previous phases and enhance IW:LEARN's role as a global knowledge hub that will support the scaling up of GEF IW investments globally.

### 2.1.1   Project Start and Duration

**Project Milestones**

| | |
|---|---|
| PIF submitted to GEF: | 07 March 2014 |
| PPG approved | 01 April 2014 |
| Concept Approved: | 01 May 2014 |
| GEF CEO Endorsement: | 03 December 2015 |
| Start Date: | 16 March 2016 |
| Project Duration: | 48 months |
| Project End Date (planned): | 16 March 2020 |

The above milestones have been obtained from the GEF website and the terminal evaluation Terms of Reference. There is a small discrepancy in the start date as the project document was officially signed on 17 March 2016 at the inception workshop. The ProDoc available on the GEF website lists a start date of 1 January 2016 but it is assumed that this was superseded by the signed version. It should also be noted that Component 1, implemented by UNEP and executed by GRID-Arendal, commenced on 1 January 2016 and closed on 31 December 2019.

### 2.1.2   Problems that the Projects Sought to Address

Most regions of the world are experiencing increased water scarcity and stress. The continuing degradation of surface and ground freshwater and marine systems and increasing climate instability is creating additional pressure on water resources with adverse impacts on biodiversity and economic development, which disproportionally affects the world's poorest populations. The barriers to addressing these threats are multiple and include the lack of scientific knowledge and its effective management for decision-making and actions; inadequate institutional arrangements; stakeholder participation; sustainable financing; and inadequate strategic planning and policy development at the global, regional, national and local levels. The GEF IW investment is targeted at addressing these barriers.

With a growing portfolio of IW projects, IW:LEARN was established in 2000 to serve as a central hub for information and knowledge sharing and to deliver a range of content and experience to benefit the IW projects. After three phases of implementation, this fourth phase is intended to support GEF's 2020 strategic objective to use knowledge to compound the impact of GEF IW investments and address the threats and barriers identified above. Furthermore, the project has sought to engage a broader set of development partners to advance learning and experience exchange in the field of governance and management of international waters and build on a baseline of activities implemented by global partners.

## 2.1.3   Immediate and Development Objectives of the Project

The specific **Project Objective** is "*to strengthen knowledge management capacity and promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners—in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments*".

The project is being implemented through four inter-linked and mutually compatible components:

**Component 1**:  **Support the harvesting, standardization, dissemination and replication of portfolio and partner results, data and experience.**

Through this component, the project will enhance visibility of project results through more readily useable tools, guides and materials in order to catalyse experience sharing among projects and replication of successes throughout the portfolio.

**Component 2:**  **Share knowledge and results across projects and partners (through dialogue processes and face-to-face capacity building) to advance transboundary water management.**

The project will enhance portfolio capacity building at the local, regional and global levels, and establish effective portfolio-wide dialogue opportunities for south-to-south learning through a suite of programmes and events.

**Component 3:**  **Expand global freshwater Communities of Practice to advance conjunctive management of surface freshwater and groundwaters and source-to-sea linkages with marine waters and partner with new enterprises on initiatives to better manage international waters**.

The project will mobilise external partnerships to work together for improved learning and knowledge management through enhanced global surface and ground freshwater Communities of Practice (CoPs) to impact results and advance conjunctive management.

**Component 4:**  **Launch programmatic tools to improve portfolio performance and sustain project interventions.**

This component aims to improve project performance and the harmonization of GEF methodological approaches across the IW portfolio. The GEF increment will support the project to deliver new guidance to realize global environmental benefits from improved IW project performance.

The four components are supported by a total of 18 sub-components and 54 project activities delivering 18 related outputs designed to achieve the five outcomes, which are directly related to the corresponding project components:

**Outcome 1**:    Increased experience sharing and replication of successes throughout and beyond the IW portfolio, as well as enhanced stakeholder buy-in to GEF IW project interventions.

**Outcome 2a**:    Enhanced portfolio and partner capacity at the regional and global levels, and portfolio-wide dialogue opportunities for increased transboundary cooperation.

**Outcome 2b**:    Increased global awareness of GEF results and additional partner collaboration with GEF projects.

**Outcome 3**:    External partnerships mobilized and working together for improved learning and knowledge management, through an enhanced global freshwater Community of Practice—to impact results and advance conjunctive management of water resources.

**Outcome 4**:    Increased capacity of beneficiary governments, intergovernmental bodies and GEF projects to implement agreed actions identified in existing Strategic Action Programs, with an eye to long-term sustainability.

### 2.1.4   Baseline Indicators Established

As the IWL4 project builds on three previous phases, the baselines for the project objective and five outcomes are well established in the Results Framework with a mixture of qualitative and quantitative information (Annex 8).  Performance indicators and targets have been defined for the objective and each of the outcomes against which achievement of results can be assessed at the end of the project (Table 8).  Indicators are also defined for each of the 18 outputs with mid- and end of project targets set against which progress towards results can be measured (Annex 1).

### 2.1.5   Main Stakeholders

The main stakeholder groups are identified in the ProDoc as: GEF IW project managers, participating countries, GEF agencies, the GEF IW secretariat, Civil Society/local Community Organisations, academic research institutes, bilateral/multilateral agencies, the private sector, Transboundary Commissions and vulnerable groups.  The GEF IW project managers, participating countries, CSOs and vulnerable groups may be considered as the primary beneficiaries with the GEF agencies, bilateral/multilateral agencies as primary executors.

The main agencies involved as executing partners and the components they are responsible for executing are listed in Table 2.  As Executing Agency for Components 2 to 4 and host for the PCU, UNESCO IOC had primary responsibility for many activities and overall management responsibility for all activities.

**Table 2        IWL4 Project partners and their primary and supporting responsibilities**

| Partner | Primary Responsibility | Supporting |
|---|---|---|
| GRID-Arendal (Executing Agency for Component 1) | 1.1  Visualisation, 1.2  Website 1.3  Dissemination 1.4  Synthesis 1.5  ICT Training | |
| Conservation International (CI) | 3.3 Source-to-Sea | |
| Global Water Partnership (GWP) | 2.3 Regional Dialogue 4.3 Online Thematic Training | 1.2 Website 2.2 IWCs |

| | | |
|---|---|---|
| International Commission for the Protection of the Danube River (ICPDR) | 3.1.6 Legal and Institutional Frameworks | 2.1.2 Institutional Twinning<br>2.2 IWCs<br>2.4 Training<br>3.1.3 Flows<br>3.4 Private sector |
| International River Foundation (IRF) | 2.1.2 Institutional Twinning | 2.1 Twinning<br>2.2 IWCs |
| International Union for the Conservation of Nature (IUCN) | 3.1.1 Learning Exchange Service Centre<br>3.1.4 Benefit Sharing | 1.2 Website<br>2.2 IWCs<br>2.4 Training<br>4.1 Economic Valuation |
| The Nature Conservancy (TNC) | 3.1.3. Sustainable water infrastructure and cooperative water allocation | 2.2 IWCs<br>2.4 Training |
| UN Economic Commission for Europe (UNECE) | 3.1.2 Water-Energy-Food Ecosystem Nexus<br>3.1.5 Climate Resilience | 1.4 Synthesis<br>2.2 IWCs<br>2.4 Training<br>2.6 Global dialogue<br>4.1 Economic Valuation<br>4.3 Online courses |
| UNESCO International Hydrological Programme (UNESCO-IHP) | 3.2 Groundwater Community of Practice | 2.2 IWCs<br>2.4 Training<br>2.6 Global dialogue |
| UNESCO World Water Assessment Programme (UNESCO-WWAP) | 2.5 Gender Mainstreaming | 2.2 IWCs<br>2.6.Training |
| UN Industrial Development Organisation (UNIDO) | 4.1 Economic Valuation | 2.2 IWCs<br>2.4 Training |
| World Wildlife Fund | 2.5 Gender Mainstreaming<br>3.4 Private Sector Engagement | 2.2 IWCs<br>2.4 Training |

Additional partners supported the project during the implementation period: NOAA and the University of Cape Town supported the development of the LME Assessment and Management MOOC.

### 2.1.6   Expected Results

The project's expected results were provided in the Results Framework in the ProDoc.  The framework was modified by the PSC at its third meeting in April 2018 and in response to changes recommended in the MTR report.  These modifications relate to indicators and targets which were considered to be difficult to measure or otherwise inappropriate.  The final Results Framework used as the basis for the terminal evaluation is provided in Annex 8 and an assessment of achievement of project outcomes and objectives is discussed in Section 3.8.1.

### 2.2   LME:LEARN

The Large Marine Ecosystem (LME) concept was developed by NOAA in cooperation with the University of Rhode Island over 30 years ago as a model to implement ecosystem approaches to assessing, managing, recovering, and sustaining LME resources and environments.  Over the last three decades work has been continuing globally involving a number of agencies and institutions such as UNDP, UNEP, UNESCO IOC, ICES, CI, IUCN, FAO, UNIDO as well as NOAA.

LMEs produce about 80% of the annual world's marine fisheries catch.  Globally they are centres of coastal ocean pollution and nutrient over-enrichment, habitat degradation, overfishing, biodiversity loss, and climate change effect.  Over the course of nearly 30 years, GEF has invested in 128 countries through projects in 23 of the world's 66 LMEs.  These projects have encouraged governmental and non-governmental stakeholders to embrace the LME approach as a means of addressing issues such as overfishing, habitat degradation and loss, and pollution, among other serious threats.

The "Strengthening global governance of Large Marine Ecosystems and their coasts through enhanced sharing and applications of LME/ICM/MPA knowledge and information tools (LME:LEARN)" project aims to improve global ecosystem based governance by generating knowledge, building capacity, harnessing public and private partners and supporting south-to-south learning and north-to-south learning.   In this sense, it is entirely complementary to the IW:LEARN project, which supports the rationale for joint implementation.

## 2.2.1   Project Start and Duration

**Project Milestones**

| | |
|---|---|
| PIF submitted to GEF: | 07 February 2013 |
| PPG approved: | 20 February 2013 |
| Concept Approved: | 01 April 2013 |
| GEF CEO Endorsement: | 27 May 2015 |
| Start Date: | 1 March 2016 |
| Project Duration: | 36 months |
| No Cost Extension Granted: | 8 February 2019 |
| Project End Date: | 17 March 2020 |

With the exception of the no cost extension date, the above milestones have been obtained from the GEF website and the terminal evaluation Terms of Reference.  There is a discrepancy in the start date of the project registered on the GEF website as the project document was officially signed on 17 March 2016 at the inception workshop.  It is understood that the start date for the project was delayed to coincide with the IWL4 start date to facilitate efficient coordination between the two projects.

## 2.2.2   Problems that the Project Sought to Address

Healthy oceans and coasts are fundamental components of humanity's life-support system.  Their productive ecosystems and rich biodiversity provide wide-ranging social and economic benefits, including food-security for large populations.  It has been estimated that marine and coastal ecosystems provide 63% of global ecosystems services, with a global market value of $3 trillion per year, equivalent to 5% of global GDP[5].  However, many oceans and coasts face decline due to increasing population pressures and development in coastal and marine areas, in turn increasing the demand for food, water, energy and other services.  A balance must therefore be struck between the benefits of activities for human well-being and the resulting cumulative impacts on marine and coastal ecosystems.

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[5] UNDP-GEF Project Document "Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools".  Page 6, para 1

The 66 LMEs of the world are the most productive regions. However, productivity is declining due to pressure from pollution, overfishing, introduced species, and habitat and species loss. The root causes of the over-utilisation and degradation of the LMEs stems from failures in governance of the relevant sectors (fisheries, tourism, shipping, agriculture, etc.), including inadequate policies and legislation, poor enforcement, weak institutions, and insufficient participation of civil society in the management of both marine and freshwater systems. Prompt and large-scale action is needed to achieve integrated adaptive ecosystem-based management and governance of transboundary resources to overcome the downward trend of losses of goods and services, and to mitigate the degradation of the LMEs in the face of the accelerating effects of climate change. LME:LEARN is designed to address this challenge by improving global ecosystem-based governance of LMEs and their coasts by generating knowledge, building capacity, harnessing public and private partners and supporting south-to-south learning and north-to-south learning. Immediate and Development Objectives of the Project.

## 2.2.3   Immediate and Development Objectives of the Project

The specific **Project Objective** is "*to improve global ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners, and supporting south-to-south learning and north-to-south learning*".

The LME results hierarchy is structured differently to the IW:LEARN project with the project components framed as outcomes in the Results Framework. To maintain consistency with the project document Results Framework, PIRs and the Mid Term Review this structure will also be adopted in the terminal evaluation. The four main project components/outcomes are as follows:

**Component/Outcome 1:**     Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF LME/ICM/MPA projects to address their needs and incorporate climate variability and change.

This component is designed to set the stage for implementation of the other three components. By assuring a solid and engaged foundation of partners, an adequate basis for implementing the major activities and achieving the outcomes of the project will be assured

**Component/Outcome 2**:     Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change including the 5 LME modules.

All activities under this component draw heavily on lessons learned from past projects and experiences. Best practices previously identified are key to success in developing methods and tools.

**Component/Outcome 3**:     Capacity and partnership building through twinning and learning exchanges, workshops, and training among LMEs and similar initiatives (e.g., Seascapes).

Twinning is a scheme by which two projects contribute resources to mobilize personnel, expertise and mutually share their experiences and has been demonstrated to be a successful Capacity Development strategy. This component is directed towards south-south training, as well as north-south training

**Component/Outcome 4:**      Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned.

The intended outcome of this component is to strengthen the role of the GEF International Waters portfolio on LMEs, and associated ICM and MPA activities.

LME:LEARN has an additional administrative component for project management:

**Component 5:**      Project Management:  establish a functioning Project Coordination Unit at IOC, encouraging participation by Partner Network, including short-time visits, seconding of personnel, etc.  Work closely with NOAA in transitioning their non-science and technical support capacity to the Project Unit

The five components/outcomes are implemented through a total of 24 project activities and 23 sub-activities delivering 49 outputs designed to achieve 14 sub-outcomes which are directly related to the corresponding project components/outcomes.  Annex 2 lists the project activities and outputs relating to each of the main components/outcomes.

### 2.2.4   Baseline Indicators Established

The baselines for the project objective and five components/outcomes are based on the *status quo* in the absence of project implementation and are generally well-developed.  They portray a negative picture of what would happen if the *status quo* was maintained thereby strengthening the justification for each objective and component/outcome.

Performance indicators are lacking for the project outputs (Annex 2), nor are there any mid- or end of project targets defined.  Many of the outputs are self-contained and imply their own indicators and targets, e.g. "Internet-based portal operational", but many others require quantitative targets.  For example, Component/Outcome 3.3 output "Twinning experiences occurring" is open-ended and could mean any number greater than two.

Indicators and targets are provided in the results framework for project objectives and component/outcomes (see Table 9).  However, the targets are generally qualitative, nor were there any mid-term targets set, as noted in the MTR report.  Moreover, the performance indicators are phrased as outcomes rather than indicators and in fact are referred to as outcomes in the project document narrative sections.  This confusing terminology and lack of quantitative targets is discussed further in Section 3.2.1.

### 2.2.5   Main Stakeholders

The main stakeholder groups are identified in the ProDoc as: LME, MPA and ICM practitioners, participating countries, Civil Society Organisations, academic research institutes, bilateral/multilateral agencies, the private sector, local communities, the GEF Implementing and Executing Agencies and the executing partners engaged in the project.  The core executing partners and the components they are responsible for executing are listed in Table 3. As Executing Agency and host for the PCU, UNESCO IOC had primary responsibility for most components and overall management responsibility for all activities.

**Table 3        LME:LEARN Project partners and their primary and supporting responsibilities**

| Partner | Primary Responsibility | Supporting Activities |
|---|---|---|
| Conservation International (CI) | 2.1.2 Stakeholder Participation Toolkit<br>2.1.4 LME Assessment Toolkit,<br>3.2 Standardized Materials for Twinning and Exchanges | 2.1 Co-chaired Ecosystem Based Management Working Group |
| International Council for the Exploration of the Sea (ICES) | 2.2.1 Governance Toolkit and supporting activities | 1.1.2 LME Consultation Meeting Planning Group<br><br>2.2 Co-Chaired Governance Working Group |
| International Union for the Conservation of Nature (IUCN) | 2.2.1 Environmental Economics Toolkit<br><br>4.1 Large Marine Ecosystem Hub | 1.1.2 LME Consultation Meeting Planning Group,<br><br>2.1 Co-chaired Ecosystem based Management Working group |
| National Oceanic and Atmospheric Administration (NOAA) | 2.2.1 Co-led on governance toolkit<br><br>3.6 Supported related training activities | 1.1.2 LME Consultation Meeting Planning Group |

## 2.2.6   Expected Results

The project's expected results were provided in the Results Framework in the ProDoc.  It was modified by the PSC following changes recommended in the MTR report.  These modifications and refinements relate to indicators and targets for Outcomes 2 and 3 which were considered to overlap or duplicate each other or were imprecise.  The final results framework used for the terminal evaluation is provided in Annex 9 and an assessment of achievement of project outcomes and objectives is discussed in Section 3.8.1.2.

# 3   Findings

It is clear from a review of the ProDocs, PIRs, PSC meeting minutes, other project documents and interviews with 28 stakeholders that the IW:LEARN and LME:LEARN projects are complex in their scope, presenting challenges for their implementation and management.  The projects represent a combined total of 10 outcomes, 67 outputs and around 100 activities and sub-activities, and it is a testament to the commitment and diligence of the PCU and the projects' partners that so much has been achieved during the last four years.

The MTR report made a number of recommendations to enhance the performance of the projects to improve the efficiency of their implementation and be better able to meet their targets by their end dates.  Annex 7 lists these recommendations together with the management response and assesses the extent to which they have been addressed.  Most of the recommendations were accepted or partially accepted and most have been addressed, although some remain outstanding, particularly the initiation of project exit strategies.

## 3.1    Project Design/Formulation – IW:LEARN

### 3.1.1    Analysis of Results Frameworks

The Results Framework for IWL4 (Annex 8) for the most part follows a logical sequence with five outcomes designed to achieve one project objective.  The outcomes are framed as changes in conditions and capacities (increased experience sharing, enhanced portfolio and partner capacity, increased capacity of beneficiary governments etc) that may reasonably be expected to be achieved in the short to mid term.  The indicators are mostly SMART[6] but some of the targets are unrealistic and beyond the control of IWL4 to influence.  For example, the target for number of projects to complete Economic Valuation (Outcome 4) is 10 by the end of the project whereas only two had completed at the time of the TE.  Although EV training has been conducted it is a major step and cost for projects to conduct EV assessments.  This has an impact on the overall achievability of Outcome 4.  Similarly, the removal of all indicators and targets except one for Outcome 1 has severely limited the possibility of this outcome being achieved even though most of its outputs have been delivered.

The project outputs are considered separately from the Results Framework in the ProDoc such that the connection between outputs and outcomes is not clearly established in the project logic.  Normally it would be expected that if an outcome's outputs have been delivered then the outcome should be on target to be achieved.  For this reason, it would be better to include outputs and their indicators and targets within the Results Framework so that it can be used as a management tool for monitoring achievement of results.  Having said that, the outputs and their indicators are SMART and the mid- and end of project targets are clear and realistic.

The MTR report contains a Theory of Change analysis for the IW:LEARN strategy that maps the causal pathway from outcomes to impact and defines several intermediate states required to achieve impact.  Although it may not be a requirement of UNDP-GEF projects to conduct Theory of Change analyses, this tool is a useful starting point for mapping out the logic of a project's intervention from outputs to impact, particularly for complex, multi-component projects.

### 3.1.2    Assumptions and Risks

The Results Framework lists a number of risks and assumptions that were identified as applying to all project activities.  These mainly relate to the active participation of the IW projects and agencies in project activities, the timely provision of data and information and participation in meetings and conferences.  The Risks and Mitigation table in the ProDoc identifies six risks and rates them mainly as low.  Two risks are rated as medium and these relate to the complexity of project implementation and engagement of new IW projects that are not aware of IW:LEARN.  No new risks were identified during project implementation and none of the existing risks were identified as critical.  The annual PIRs provided commentaries on the risks identified in the ProDoc, as required in the Monitoring and Evaluation plan.

### 3.1.3    Lessons from other Relevant Projects

Building on three previous phases of IW:LEARN, IWL4 has inherited lessons learnt from the earlier project and this legacy is highlighted in many places in the ProDoc.  Furthermore, IWL4 benefits from the lessons learnt by the individual partners from their own programmes and projects. IWL4 therefore has taken advantage of a long and broad history of experience in the wide range of activities that it has programmed.  In the same way, subsequent phases of IW:LEARN should benefit from the lessons learnt during the implementation of IWL4.  To this end, the PCU should have maintained a log of

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[6] Specific, Measurable, Achievable, Relevant, Time-bound

lessons learnt and good practice, as required in the Monitoring and Evaluation plan but it understood that this has not been compiled.  It is suggested that the PCU includes a list of key lessons learnt in its final report to the PSC.

### 3.1.4   Planned Stakeholder Participation

All the stakeholders interviewed for this evaluation expressed their satisfaction at their engagement in the project at various levels.  The interviewees were from the GEF Secretariat, the Implementing Agencies, Executing Agencies and executing partners.  Most (though not all) of the partners agreed that they were well represented and were involved to some extent in the design of the project.  A few commented that their input at the design phase was limited or that they had not been involved in the later stages of project preparation.  All partners were included in the PSC meetings and appreciated the workshops, meetings and conferences they participated in, particularly the IWC events, which are very popular with partners and IW Project Managers alike.

Unfortunately, due to time constraints it has been possible to interview only four of the main beneficiaries of the project, the IW Project Managers.  However, the MTR was able to conduct a short online survey of project managers and found the following regarding their engagement in the project: "*few found the web-site very useful in terms of supporting individual project outcomes, while some found it "unhelpful" or rarely used it to find information. Overall there was a "neutral" attitude towards it. The conferences, twinning, regional meetings were felt overall to be "very useful" in supporting project goals and outcomes.  The face-to-face interaction seems essential to helping to develop CoPs and maintaining a sense of family.  Over 90% of projects applied changes to approaches in management following the IWC8 conference*".  From this short survey it appears that the IW Project Managers prefer face-to-face interaction at twinning exchanges, workshops and conferences over impersonal engagement via the IW:LEARN website or email correspondence and this was borne out by the IW project managers interviewed.

## 3.2   Project Design/Formulation – LME:LEARN

### 3.2.1   Analysis of Results Frameworks

The final Results Framework for LME:LEARN used for the terminal evaluation is provided in Annex 9. As noted previously, the LME:LEARN results hierarchy is structured differently to the IW:LEARN project with the project components framed as outcomes in the Results Framework. This evaluation has adopted the term "component/outcome" as used in the MTR report even though the components are not strictly speaking "outcomes" in a results-based management sense.  However, their intention is clear. There are four implementation component/outcomes and one functional component/outcome to cover the establishment and operation of the PCU.  As noted in Section 2.2.4, the performance indicators are phrased as outcomes and indeed they are referred to as outcomes in the body of the text.  The targets are generally qualitative and several are open-ended, for example "regional networks established…", "demonstration at partner meetings…", "functional dialogue, project twinning, learning exchange and training workshops…".  In these examples the "specific" element is missing and the indicators are therefore not entirely SMART.  That said, the purpose of the indicators is generally clear and it is possible to assess progress towards the component/outcomes and the project objective from the Results Framework albeit in a qualitative manner only.

As with the IWL4 ProDoc, the LME:LEARN project outputs are not included in the Results Framework. They are embedded in the text of the ProDoc for each activity.  Confusingly, the ProDoc also lists outputs for each activity in tabular format but these do not always align with the outputs listed in the text.  Very few of the outputs have defined indicators or targets although quantitative targets can often be found in the body of the activity descriptions. The LME:LEARN project is very much activity-based and it is difficult to see how the Results Framework can be used as a management tool as

monitoring of progress has been more a question of completing activities rather than monitoring results. Having said that, the list of activities is comprehensive and very detailed which on the one hand closely defines the tasks to be implemented but on the other leaves little room for flexibility.

As noted for the IWL4 Results Framework, a Theory of Change analysis is a useful starting point for mapping out the logic of a project's intervention from outputs through outcomes to impact, particularly for complex, multi-component projects.

### 3.2.2   Assumptions and Risks

The Results Framework lists a number of assumptions for two of the component/outcomes. For Component/Outcome 1, the assumption is that key partners will engage in the project despite possible competing agendas and that all entities are prepared to collect and share data. For Component/Outcome 3, the assumption is that the LME/ICM/MPA project staff and practitioners will have the time and willingness to engage in learning and experience sharing activities. The Risks and Mitigation table in the ProDoc identifies five risks and rates three of them as medium. These are: key partner organisations decide not to engage in the project; the challenges of coordinating a large number of partner organisations will jeopardise or slow progress; the benefits of LME:LEARN may not be realised until after the closure of the four year project if the project is not self-sustaining at the end of four years. For each risk mitigation measures are proposed. No new risks were identified during project implementation and none of the existing risks were identified as critical. The annual PIRs provided commentaries on the risks identified in the ProDoc, as required in the Monitoring and Evaluation plan.

### 3.2.3   Lessons from other Relevant Projects

GEF has adopted the LME concept as the marine component of its IW Focal Area and there are now more than 23 GEF-funded multinational and transboundary LME projects. The LME:LEARN project benefits from the involvement of key partners that have long experience of LMEs. NOAA developed the LME concept around 30 years ago and continues to support this international initiative. IUCN has been associated with the LME portfolio for 20 years. ICES has focused primarily on the North Atlantic Ocean and Baltic Sea and has extensive experience of ecosystem-based approaches to the management of marine and coastal systems. CI has over 10 years' experience of implementing large-scale regional marine projects in four Seascapes. Since the early 1990s, IOC UNESCO has promoted the LME approach from a conceptual and scientific point of view as well as on the ground by contributing to the formulation of GEF LME projects in various regions, and the development of a wide network of LME experts. IOC also led the assessment of LMEs under the GEF Transboundary Waters Assessment Programme (TWAP). This combined wealth of experience brings a rich history of lessons learnt from previous global, regional and national projects.

### 3.2.4   Planned Stakeholder Participation

Recognising that close coordination between LME, MPA and ICM projects is essential to strengthen regional governance of LME regions, LME:LEARN's strategy was to select three demonstration LME regions (Africa, Latin America-Caribbean and Asia Pacific) for regional networking. LME, MPA and ICM project partners, and other institutions and stakeholders were identified and the regional networks were supported through facilitation of annual meetings and training workshops. The project also established Inter-project Collaboration Opportunities (ICO) and provided seed funding for projects that have specific needs to team up and address common transboundary issues. In this way, the project aimed to facilitate the participation of relevant stakeholders to promote and develop regional governance strategies in the three demonstration regions. Other activities such as twinning and

learning exchange helped to build capacity and promote partnership between the stakeholders that participated in the exchanges.

## 3.3    Replication Approach

The replication approaches of IWL4 and LME:LEARN are well-developed with the development of toolkits, training products, webinars, manuals and guidance, MOOCs etc.  Although some of these outputs have been delayed, the products are available on the IW:LEARN website.  Regional training workshops in Africa, LAC and Asia Pacific regions and other targeted thematic training workshops ensure that material developed under the project is replicated consistently.

## 3.4    UNDP Comparative Advantage

UNDP's comparative advantage lies in its global network of country offices, its experience in integrated policy development, human resources development, institutional strengthening, and non-governmental and community participation. Over the last 10 years, UNDP has been involved in co-ordinating water related projects from non- GEF sources with a substantial overall budget of about $300 million.  Of particular relevance to IWL4 are the Cap-NET, GoAL Waters and the Shared Waters Partnership (SWP).  Through its Water & Ocean Governance Programme (WOGP), UNDP also helps countries achieve integrated, climate-resilient, sustainable and equitable management of water and ocean resources, and universal access to safe water supply and sanitation in support of SDG 14 and SDG 6.

## 3.5    Linkages between Projects and other Interventions

Through its IWL4's 11 and LME:LEARN's four executing partners, the projects have been able to leverage their partners' individual portfolios to expand their networks and engage with other stakeholders.  IWL4's co-implementation with LME:LEARN brings a new community of MPA, ICM and Fisheries projects to the GEF IW family.  This is a positive outcome of the project and for the future of IW:LEARN although sustaining and maintaining an expanding network of projects will be a challenge and will require careful management.

## 3.6    Management Arrangements

**Figure 1          Management structure for IW:LEARN4 and LME:LEARN**
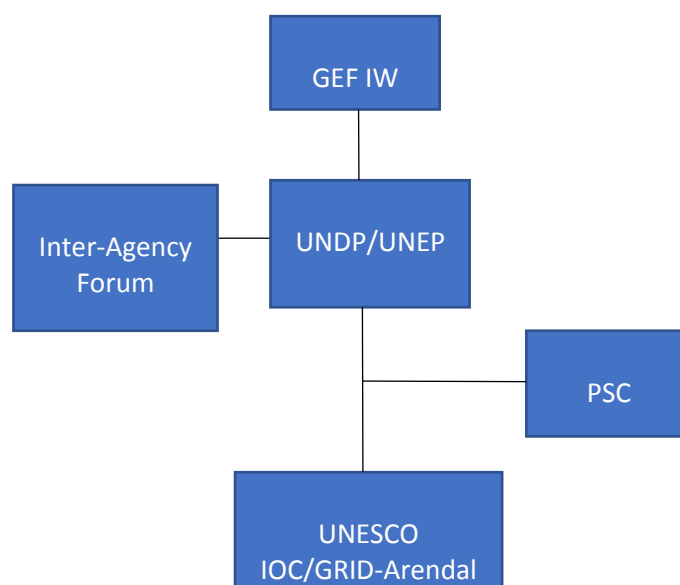
The overall management structure for the projects is shown on Figure 1. The IWL4 and LME:LEARN projects are overseen by a joint PSC comprising the GEF IW Secretariat, the two Implementing Agencies UNDP and UNEP, the two Executing Agencies UNESCO IOC and GRID-Arendal, and the 13 executing partners from both projects. The Food and Agriculture Organisation (FAO) is also included as a GEF Implementing Agency with special interests in fisheries and LMEs. The Terms of Reference for the PSC are provided in the Inception Report and specify that the overall role of the PSC is to "formally supervise all activities undertaken through the Join Project Coordination Unit (PCU) of the IW:LEARN4 and LME:LEARN projects, providing strategic direction, guidance and assessment to maximize the project's execution progress, relevance and impact on its beneficiaries". An Interagency Forum consisting of the IAs, EAs and the PCU was also established to ensure close liaison over the execution of both projects.

The PSC met annually in Paris (2016), Washington DC (2017), Athens (2018) and Geneva (2019). The meetings were two days in duration and most of the partners attended. The minutes of the meetings record the discussions virtually word for word and provide a summary of the key decisions made and actions to be taken. This approach, while providing a detailed and accurate record of all interventions, does not provide an overall sense and direction of the discussions or an executive summary of the main discussion points and conclusions. It is suggested that full reports of the PSC meetings are produced in future complete with the meeting agenda and list of participants including their full job titles and contact details.

Many of the interviewees commented that the PSC meetings focused more on partners reporting back to the IAs and PCU on progress made and challenges faced rather than discussing issues of strategic importance. The exception to this was the third PSC meeting in 2018 when sustainability issues and preliminary ideas for the fifth phase of IWL were discussed. To make best use of the time that the PSC has together it is suggested that the time allocated for reporting back on progress by partners should be limited and that at least half a day should be devoted to issues of strategic importance, such as sustainability, engaging IW projects in IW:LEARN, improvements to the website, forward planning etc. Items for discussion could be forwarded to the PCU in advance to add to the meeting agenda to allow all partners to prepare for the discussions. Time spent reporting back may be freed up by designing a report template for partners to complete and share with the PSC in advance with time at the meetings restricted to a short presentation and Q&A session.

| Recommendation 1: | PSC should streamline its meetings to limit the time allocated for reporting back by executing partners and allow more time for discussing issues of strategic importance. |
|---|---|

Several of the interviewees commented that the composition of the PSC should be reviewed for future phases of IW:LEARN. They commented that there is a potential conflict of interest in having executing partners on the PSC as in a sense they are providing oversight of themselves. On the other hand, the project is reliant on the partners to implement the project activities and therefore it seems appropriate that they should be involved in the PSC. One solution to this might be for the PSC membership to comprise the GEF IW Secretariat and the project IAs, and to invite other GEF IAs (FAO is already a member) and representatives from regional networks and RBOs to join the PSC. The executing partners could be invited to join the PSC as observers.

| Recommendation 2: | PSC membership should comprise the GEF Secretariat, the project Implementing Agencies, other GEF IW Implementing Agencies and representatives from regional networks/River Basin Organisations with the executing partners attending as observers. |
|---|---|

The management arrangements, composition and roles of the joint PCU are detailed in the IWL4 ProDoc. The main PCU is located at the offices of UNESCO IOC in Paris while the PCU for Component 1 of IW:LEARN is located in Arendal. The PCU team comprises: a Project Manager, a Deputy Project Manager and Training Specialist, an LME:LEARN Chief Technical Advisor (CTA), an Administrative/Finance Assistant and the Information Coordination Team based in Arendal. An additional team member was recruited in April 2019 to manage the content of the IW:LEARN website. The PCU positions and reporting lines are shown on Figure 2.

**Figure 2        Project Coordination Unit structure and reporting lines**
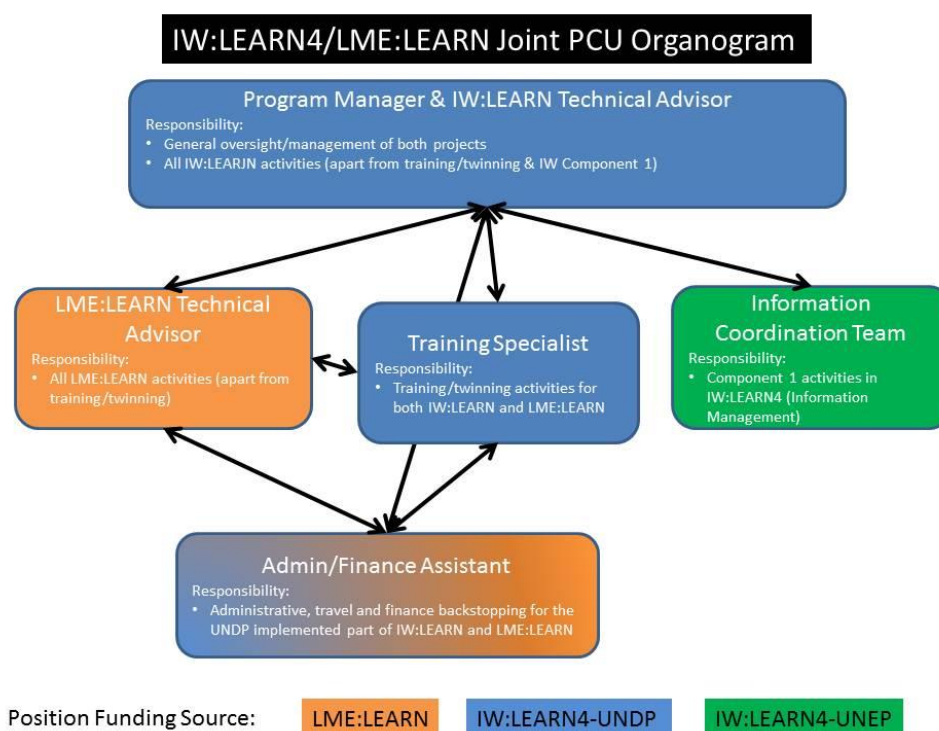


Most of the PCU team were appointed between July and September in 2016 although the Deputy Project Manager/Training Specialist was not recruited until May 2017. The Project Manager was hired on a consultancy contract to oversee the inception phase and organise the Inception Workshop and to initiate project implementation. Fortunately, the PM had also managed IWL3 thus ensuring continuity between the phases although there was a long gap of some 20 months between closure of IWL3 in June 2014 and the start of the IWL4 project in March 2016. The delayed recruitment of the Training Specialist led to delays of many twinning and training activities and it took some time to catch up on the backlog of activities.

The effectiveness and efficiency of having a split PCU has been questioned by several of the interviewees. Although the two offices held weekly Skype meetings and have met face-too-face on several occasions, it is clear that communications were not as effective as they could have been if the two units had been co-located, resulting in many misunderstandings. The different reporting lines to their respective IAs also did not make for efficient management, with separate PIRs and QPRs going to UNEP and UNDP. To compound this problem, the Paris-based Project Manager had overall responsibility for coordination of the projects and their deliverables but did not have control over the core functions or budget for Component 1. The dual PCU arrangement is not an effective or efficient way to run such complex projects and it is recommended that future phases of IW:LEARN are managed by one central PCU with overall control of all management functions.

| Recommendation 3: | Future phases of IW:LEARN should have one central PCU reporting to one Implementing Agency and the Project Manager should have control over the core functions and budget for all components of the project. |
|---|---|

## 3.7 Project Implementation

### 3.7.1 Adaptive Management

Revisions were made to some project outcome indicators and/or targets in the IWL4 results framework by the PSC at its April 2018 meeting and following recommendations by the MTR in September 2018 (see Annex 7). These changes particularly affected IWL4 Outcome 1 for which the PSC considered some of the indicators to be unrealistic or nearly impossible to measure. The PSC agreed to remove or replace an indicator for the project objective because it was felt that it had no means to measure or assess its targets. A number of revisions were also made to the LME:LEARN results framework on the recommendation of the MTR to combine several similar indicators. However, despite these revisions being approved by the PSC it is noted that the results frameworks in the 2019 PIRs for both projects have not been updated. This should be addressed by the PCU for the end of project report.

Most of the interviewees agreed that the PCU had been responsive and willing to adapt to changing circumstances, when possible. Within the constraints of the projects' activity workplans there has been some room for flexibility and adaptation. For example, LME:LEARN Activity 1.1.3 changed from global level workshops to regional workshops which were more relevant to engage the private sector, and LME:LEARN Activities 3.5 and 3.6 modules and trainings on "strategic, stakeholder participation and scorecards" were dropped based on the feedback at the regional network meetings, and additional focus given to MSP, Economic Valuation and Governance. However, with major budget revisions proving difficult to get approval for there was understandable caution in making many major changes to the activity workplans.

### 3.7.2 Partnership Arrangements

Partnership arrangements were agreed with the 11 executing partners for IWL4 and the four executing partners for LME:LEARN prior to CEO endorsement, with roles and responsibilities detailed in the ProDocs. The activities that the partners were primarily responsible for implementing are detailed in Tables 2 and 3 and the partners signed individual Implementing Partner Agreements (IPA) with UNESCO to carry out the specified activities. These IPAs had to be renewed on an annual rather than multi-year basis in accordance with UNESCO policy, meaning that there were often gaps of a few months between IPAs at the start of a new calendar year. Several partners expressed their frustration at this system and commented on the higher transaction costs of working with UNESCO. On the other hand, the use of annual IPAs does provide some flexibility in programming and allows room for adaptive management in the event of delays or non-delivery of annual narrative and financial reports by the partners. A compromise solution for future IWL phases should be sought whereby stage payments on multi-year IPAs can be made on submission of annual reports by the executing partners.

All executing partners confirmed that they were represented at the Inception Workshop and the three subsequent PSC meetings and therefore had had roles in the decision-making process at these meetings. They also confirmed that they had been represented at the IWC8 and IWC9 conferences and many expressed their appreciation for these events as valuable opportunities for face-to-face interaction. Many interviewees emphasised that IW:LEARN is a family of practitioners in which personal relationships are very important and integral to its success. The value of strong partnership arrangements going forward into the next phase of IW:LEARN should therefore not be underestimated.

### 3.7.3    Feedback from Monitoring and Evaluation Activities used for Adaptive Management

As noted in Section 3.7.5, the Monitoring and Evaluation plans of both projects were followed throughout implementation, particularly for IWL4.  The lack of mid-term targets and the paucity of quantitative targets for LME:LEARN meant that its M&E plan was less effective for adaptive management.  The MTR made recommendations to amend the Results Frameworks of both projects which were mostly accepted and implemented, although the 2019 PIRs were not updated to reflect the changes.  The annual PIRs have provided useful summaries of project progress and challenges from the Project Manager and the UNDP-GEF Technical Advisor with the latter acknowledging that the PCU had exhibited adaptive management skills. This view was supported by many of the executing partners interviewed for this evaluation.

### 3.7.4    Project Finance/Co-Finance

#### 3.7.4.1    Project Finance

No financial audit has been conducted as part of this evaluation and the financial summaries reviewed were provided by UNESCO IOC and GRID-Arendal and the latter provided an audit from an independent accountancy firm for the 2018 financial year.  The projects have applied standard and appropriate financial practices of review, monitoring and reporting.   UNESCO IOC uses the SAP accounting system to record all income and expenditure and the project Administrative/Finance assistant also keeps detailed accounts of project budget and expenditure in a "shadow" budget spreadsheet.  The UNESCO "System of Information on Strategies, Tasks and the Evaluation of Results (SISTER)" provides an up to date snapshot of budget expenditure and availability by budget line and records full details of Budget Operation Requests for reallocation of funds across budget lines as approved by the PSC and/or UNDP.  The annual budget and expenditure per outcome for IWL4 and LME:LEARN are shown in Table 4 and 5 respectively.  The overall budget utilisation rate for IWL4 stood at 87% as of 30 September 2019 and for LME:LEARN it was 89%.  The PCU is confident that the remaining funds will be utilised before the end of the project as a number of workshops and meetings are planned for the first quarter of 2020.

An issue that has caused an administrative bottleneck is that the UNDP's ATLAS accounting system is incompatible with UNESCO's SAP system.  This delayed the approval of annual budgeting and the release of funds in the first few years but the situation has improved in recent years.  However, budget revisions can still be difficult to achieve and is a complicated process involving many steps involving UNESCO and UNDP staff with the result that it can take up to three months for a revision to take effect.  The PCU and the UNDP and UNESCO administrative teams have worked hard to overcome these difficulties, with quarterly Project Delivery Reports (PDR) submitted by UNESCO to UNDP and the latter manually updating its ATLAS system.  These may be considered as the "teething problems" of aligning two different systems for the first time, but the impact on the early years of project implementation was significant.  Whereas it seems unlikely that either UNDP or UNESCO will change their accounting systems, it is recommended that the administrative teams from both agencies learn lessons from their IWL4 and LME:LEARN experiences and come together to formulate practicable solutions in advance of the start of the next IWL phase.

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|---|---|
| **Recommendation 4:** | **UNDP and UNESCO administrative officers should learn lessons from the problems encountered during implementation of IW:LEARN-4 and LME:LEARN and formulate practicable solutions to avoid delays in the approval of budgets and release of funds, and to simplify the approval process for budget revisions.** |

**Table 4**         **IWL4 planned and actual budget expenditure to 30 September 2019**

| | 2016 | | 2017 | | 2018 | | 2019 | | | Totals | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Planned | Actual | Planned | Actual | Planned | Actual | Planned | Assigned | | Planned | Actual | Available |
| **Component 1** | 375,750 | 255,198 | 211,750 | 286,594 | 200,750 | 238,893 | 211,750 | 132,022 | | 1,000,000 | 912,707 | 87,293 |
| **Component 2** | 587,065 | 365,190 | 328,415 | 188,135 | 568,855 | 711,109 | 290,925 | 306,664 | | 1,775,260 | 1,571,098 | 204,162 |
| **Component 3** | 364,730 | 67,395 | 302,590 | 250,400 | 277,590 | 439,600 | 252,590 | 237,215 | | 1,197,500 | 994,610 | 202,890 |
| **Component 4** | 197,865 | 112,285 | 193,125 | 273,239 | 193,125 | 192,101 | 193,125 | 126,253 | | 777,240 | 703,878 | 73,362 |
| **Component 5** | 49,375 | 22,985 | 69,375 | 38,385 | 49,376 | 74,096 | 69,375 | 25,862 | | 23,7501 | 161,328 | 76,173 |
| | | | | | | | | | | | | |
| **Total** | 1,574,785 | 823,053 | 1,105,255 | 1,036,753 | 1,289,696 | 1,655,799 | 1,017,765 | 828,016 | | 4,987,501 | 4,343,621 | 643,880 |

**Table 5**         **LME:LEARN planned and actual budget expenditure to 30 September 2019**

| | 2016 | | 2017 | | 2018 | | 2019 | | | Total | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Planned | Actual | Planned | Actual | Planned | Actual | Planned | Assigned | | Planned | Actual | Available |
| **Comp/Outcome 1** | 163,000 | 40,804 | 227,000 | 131,421 | 209,000 | 220,610 | 11,000 | 136,879 | | 610,000 | 529,714 | 80,286 |
| **Comp/Outcome 2** | 140,000 | 35,583 | 415,000 | 164,588 | 55,000 | 260,888 | 0 | 104,544 | | 610,000 | 565,603 | 44,397 |
| **Comp/Outcome 3** | 139,870 | 33,266 | 206,140 | 111,246 | 201,140 | 276,810 | 42,850 | 136,417 | | 590,000 | 557,739 | 32,261 |
| **Comp/Outcome 4** | 110,000 | 15,525 | 345,000 | 226,180 | 105,000 | 234,511 | 5,000 | 45,707 | | 565,000 | 521,923 | 43,077 |
| **Comp/Outcome 5** | 14,095 | 6,219 | 51,890 | 12,801 | 30,490 | 19,603 | 28,525 | 18,525 | | 125,000 | 57,148 | 67,852 |
| | | | | | | | | | | | | |
| **Total** | 566,965 | 131,397 | 1,245,030 | 646,236 | 600,630 | 1,012,422 | 87,375 | 442,072 | | 2,500,000 | 2,232,127 | 267,873 |

### 3.7.4.2 Co-Financing

The level of co-financing pledged at the start of each project was $12,152,316 for IWL4 and $13,354,599 for LME:LEARN.  For IWL4, the total recorded co-financing as of the TE was $24,161,615, which is double the total pledged in the ProDoc.  However, this sum is skewed by the much higher than pledged co-financing from UNDP and GWP.  UNDP's recorded contribution is 6.7x the amount pledged in the ProDoc. GWP's contribution stood at nearly $9 million in 2018 which is 2.7x the amount in the ProDoc and has not yet been updated for 2019.  Other sources of co-finances are recorded above 60% of the amount pledged while some sources remain at low levels and it is not clear if these will reach the level committed by the end of the project.  New sources of co-financing were pledged by the World Meteorological Organisation (WMO), NOAA, the Spanish Agency for International Development Cooperation (AECID) and the University of Cape Town (UCT) totalling $274,281.

For LME:LEARN, the total recorded co-financing as of the TE was $5,051,320 which is 38% of the amount pledged in the ProDoc.  In this case, the sum is skewed by the lower than pledged co-finance from NOAA due to its planned climate buoy array for an LME project not going ahead.  Of the other partners pledges, three of them are above the 60% level and two of them, IUCN and ICES stand at less than 30%.  In both cases, no co-financing has been recorded since the MTR and it remains to be seen of the level of their commitments increases before the end of the project.

The ratio of GEF financing to co-financing was 1:4.8 for IWL4 and 1:5.3 for LME:LEARN.  This is lower than GEF-6 aspirational ratio of 1:7 and IW's median ratio for GEF-6 Full Sized Projects of 1:9.6[7]. However, it is higher than the ratio of co-financing for IWL3 (1:3).  Table 6 and 7 shows the co-finance pledged by partner in the ProDocs for IWL4 and LME:LEARN respectively and the amount recorded at the time of the TE (November 2019).

As noted in the MTR, the partner reporting of co-financing has been generally poor, due to a lack of timely reporting rather than a lack of activity.  It may also have been due to an over-estimation of co-financing during the preparation phase or the cancellation of some activities such as the NOAA example cited above.  However, the importance of correct accounting for co-financing cannot be emphasised enough as it is one of the basic requirements for GEF to grant funding.  It is highly recommended that the PCU follows up with the partners to determine an accurate picture of the level of co-financing committed as a basis for GEF to consider for the next phase of IWL.  A more standardised approach to calculating co-financing should also be considered to ensure that all partners are using the same basis for calculating their commitments, especially their in-kind contributions.

| Recommendation 5: | PCU should follow-up with the partners to determine an accurate level of co-financing committed to the project.  GEF should consider a standardised approach to calculating co-financing to ensure that partners are calculating their commitments on the same basis. |
|---|---|

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[7] GEF/C.54/10/Rev.01. June 25, 2018

**Table 6** **IWL4 Co-financing pledged at start of project and recorded at MTR and TE**

| Source of Co-financing | Name of Co-financer | Type of Co-finance | Amount co-finance confirmed In ProDoc (USD) | % of total pledged | Co-finance recorded up to MTR (June 2018) (USD) | Co-finance recorded since MTR (USD) | Total recorded co-finance at TE (Nov 2019[8]) (USD) | % of pledge received |
|---|---|---|---|---|---|---|---|---|
| GEF Agency | UNDP | In-kind | 1,670,000 | 14% | 0 | 11,198,615 | 11,198,615 | 670% |
| GEF Agency | UNEP | Cash | 170,000 | 1% | 0 | 0 | 0 | 0% |
| | | In-kind | 2,066,526 | 17% | 666,900 | 416,835 | 1,083,735 | 52% |
| GEF Agency | UNEP GRID-Arendal | Cash | 250,000 | 2% | 149,818 | 0 | 149,818 | 60% |
| GEF Agency | UNEP-DHI | In-kind | 600,000 | 5% | 0 | 0 | 0 | 0% |
| | | Cash | New source | - | 800 | 0 | 800 | - |
| GEF Agency | CI | In-kind | 210,000 | 2% | 0 | 0 | 0 | 0% |
| Multilateral Agency | GWP | In-kind | 3,330,000 | 27% | 5,917,390 | 3,067,369 | 8,984,759 | 270% |
| Multilateral Agency | ICPDR | In-kind | 212,000 | 2% | 9,500 | 69,747 | 79,247 | 37% |
| CSO | IRF | In-kind | 133,790 | 1% | 24,900 | 0 | 24,900 | 19% |
| GEF Agency | IUCN | In-kind | 220,000 | 2% | 40,000 | 25,000 | 65,000 | 30% |
| CSO | TNC | In-kind | 95,000 | 1% | 25,538 | 20,022 | 45,560 | 48% |
| Multilateral Agency | UNECE | Cash | 300,000 | 2% | 200,000 | 100,000 | 300,000 | 100% |
| | | In-kind | 200,000 | 2% | 200,000 | 0 | 200,000 | 100% |
| Multilateral Agency | UNESCO-IHP | In-kind | 250,000 | 2% | 24,500 | 125,318 | 149,818 | 60% |
| Multilateral Agency | UNESCO-WWAP | In-kind | 210,000 | 2% | 75,000 | 141,300 | 216,300 | 103% |
| GEF Agency | UNIDO | Cash | 1,860,000 | 15% | 660,250 | 724,000 | 1,384,250 | 74% |

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[8] The PCU updated the co-financing tables for both IWL4 and LME:LEARN at the end of November 2019

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| GEF Agency | WWF | In-kind | 375,000 | 3% | 0 | 6,532 | 6,532 | 2% |
| Multilateral Agency | WMO | In-kind | New source | - | 3,037 | 0 | 3,037 | - |
| Bilateral | NOAA | | New source | - | 134,000 | 0 | 134,000 | - |
| Bilateral | AECID | | New source | - | 19,544 | 0 | 19,544 | - |
| Institutional | UCT | | New source | - | 15,000 | 100,700 | 117,700 | - |
| | | **Totals** | **12,152,316** | | **8,166,177** | **15,995,438** | **24,161,615** | **199%** |

**Table 7**      LME:LEARN Co-financing pledged at start of project and recorded at MTR and TE

| Source of Co-financing | Name of Co-financer | Type of Co-finance | Amount co-finance confirmed In ProDoc (USD) | % of total pledged | Co-finance recorded up to MTR (June 2018) (USD) | Co-finance recorded since MTR (USD) | Total recorded co-finance at TE (Nov 2019) (USD) | % of pledge received |
|---|---|---|---|---|---|---|---|---|
| GEF Agency | UNDP | In-kind | 1,800,000 | 13% | 0 | 1,800,000 | 1,800,000 | 100% |
| Bilateral | NOAA | Cash | New source | | 200,000 | 0 | 200,000 | - |
| | | In-kind | 5,046,576 | 38% | 245,000 | 227,612 | 472,612 | 9% |
| Multilateral Agency | UNESCO-IOC | In-kind | 1,730,500 | 13% | 0 | 1,383,070 | 1,383,070 | 80% |
| GEF Agency | IUCN | In-kind | 950,000 | 7% | 0 | 0 | 0 | 0% |
| Multilateral Agency | ICES | In-kind | 3,354,524 | 25% | 952,865 | 0 | 952,865 | 28% |
| GEF Agency | CI | In-kind | 373,000 | 3% | 242,773 | 0 | 242,773 | 65% |
| | | **Totals** | **13,354,599** | | **1,640,638** | **3,410,682** | **5,051,320** | **38%** |

### 3.7.5    Monitoring and Evaluation

The monitoring and evaluation (M&E) frameworks in the ProDocs provide details of M&E plans that include an Inception Workshop and report; quarterly and annual reporting; and mid-and end of project evaluation requirements.  The frameworks also provide for learning and knowledge sharing and, in the case of LME:LEARN, requirements for communications and visibility. Tables of responsible parties, budget and timeframes for M&E activities are provided in both ProDocs.  The M&E frameworks for both projects are consistent with GEF Monitoring and Evaluation policy and have formed the basis for tracking progress towards achieving objectives.  The roles and responsibilities are well articulated and the budget allocated was sufficient to cover the requirements of the M&E plans.  The M&E plan design for IWL4 is rated as **Satisfactory**.  As noted in Section 3.2.1, very few of the LME:LEARN outputs have defined indicators or targets although quantitative targets can often be found in the text of the activity descriptions.  There were no mid-term targets set for LME:LEARN, which made monitoring of progress and performance more difficult and is considered to be a design weakness.  The M&E plan design for LME:LEARN is therefore rated as **Moderately Satisfactory**.

For IWL4, GRID-Arendal prepared separate quarterly reports and PIRs for submission to UNEP.  These were in a different format to UNDP's and were compliant with GEF M&E policy.  The UNESCO IOC PCU did not produce formal quarterly reports but provided activity implementation updates to UNDP in spreadsheet format.  The GRID-Arendal/UNEP quarterly reports contained more narrative and quantitative information and are more useful for monitoring purposes.  GRID-Arendal also provided formal quarterly expenditure reports (QER) to UNEP.  Although it is recognised that different Implementing Agencies have their own reporting requirement and styles, from an M&E point of view it is more useful to have access to narrative reports rather than spreadsheet checklists.

The output indicators and mid-point and end of project targets defined for IWL4 proved to be effective for measuring performance and progress, particularly at the MTR stage, when corrective actions were recommended to advance activities that were lagging.  As noted above, there were no mid-term targets set for LME:LEARN and the MTR relied on the end of project targets for assessing progress.

As a requirement of UNESCO's results-based management approach, the PCU also provided reports to UNESCO's "System of Information on Strategies, Tasks and the Evaluation of Results (SISTER)" for both projects.  These biannual narrative reports often provided more succinct narrative information than the annual PIRs.

Monitoring and Evaluation implementation is rated as **Satisfactory** for IW:LEARN4.  Despite the lack of performance indicators and mid-term targets in its project design, Monitoring and Evaluation implementation for LME:LEARN is also rated as **Satisfactory** as the PCU followed the framework at design to the extent possible during implementation.

### 3.7.6    UNDP and UNEP Implementation/IOC UNESCO and GRID-Arendal Execution

UNDP and UNEP have served as dual implementing agencies for IWL4 with UNEP being responsible for Component 1 and UNDP for Components 2 to 4, and UNDP was the sole Implementing Agency for LME:LEARN.  UNDP has assumed responsibility for the Monitoring and Evaluation function for both projects.  UNDP and UNEP supported their Executing Agencies, UNESCO IOC and GRID-Arendal respectively, and appear to have performed their implementing responsibilities in accordance with the ProDocs and expected practice.  However, the Interagency Forum comprising the IAs and EAs envisaged in the IWL4 ProDoc does not appear to have functioned in a formal sense.  The rating for IA implementation is **Satisfactory**.

The dual implementation arrangement has been in place since IW:LEARN-2 and has been the subject of comments in the IWL3 MTR and TE reports as well as the MTR report for IWL4. This evaluation concurs with the views expressed in previous evaluations that dual IA and dual EA arrangements create additional layers of complexity in already complex multi-activity projects leading to higher transaction costs and potential inefficiencies in project delivery. These views were supported by a number of interviewees who, while acknowledging the added value that can be brought to the projects by two UN agencies, recognised the increased management complexity and transaction costs for the PCU in having to deal with two different administration systems. This is further exacerbated by having a geographically split PCU of two EAs with different reporting lines to their respective IAs. Although IOC UNESCO and GRID-Arendal have made every effort to work together and adapt to these arrangements, there have been miscommunications and misunderstanding on occasions, particularly regarding the management of the IW:LEARN web content. For these reasons, the rating for both EAs for IWL4 is **Moderately Satisfactory**. LME:LEARN was not affected by the constraints of dual IA and EA arrangements and the rating for the EA is **Satisfactory**. (See Section 3.6 and Section 3.8.4 for further discussion on the benefits and drawbacks of dual IA and EA arrangements.)

## 3.8   Project Results

### 3.8.1   Overall Results

#### 3.8.1.1   IW:LEARN-4 Overall Results

The project is on target to achieve its expected outputs and outcomes by the end of the project with a few exceptions as described below. Table 8 lists the achievement of project objectives and outcomes and Annex 1 lists the outputs delivered as of the TE.

**Outcome 1**      Increased experience sharing and replication of successes throughout and beyond the IW portfolio, as well as enhanced stakeholder buy-in to GEF IW project interventions

Of the five outputs linked to this outcome, two have been fully delivered and three have been partially delivered. The most significant target that is unlikely to be achieved is for Output 1.2 – "percentage of active portfolio sharing news and results to IW:LEARN.net" which had reached approximately 38% against a target of 80% at the time of the TE. The poor rate of sharing of project news has been a common theme throughout the project and was also noted in the MTR. (See Section 3.8.3.1, Recommendation 6 and Section 4.1.4 for further discussion of this issue). The other output target that is unlikely to be achieved is for Output 1.3 – "24 issues of monthly eBulletins distributed". As of the TE, 18 bimonthly newsletters had been published with one more due by the end of GRID-Arendal's project agreement (31 December 2019). The decision to publish bimonthly newsletters was reasonable given the difficulty in obtaining news items from the IW projects and the output indicator should have been changed to reflect this. This shortfall is considered minor and as GRID-Arendal have pointed out, the tools are in place to produce the newsletters so they could become self-sustaining beyond the end of the project provided that there are human resources available to compile them.

As noted previously, the deletion of all indicators except one for Outcome 1 has technically resulted in its failure to be achieved. At the time of the TE, approximately 48% of IW projects had websites consistent with IW:LEARN website standards against a target of 80% (according to data provided by the PCU) and it is unlikely that the target will be reached before the end of the project, although it should be noted that the achievement of this target is largely beyond the PCU's control. Overall, most of the outputs for Outcome 1 have been delivered and for this reason it is rated as **Moderately Satisfactory.**

**Outcome 2**    Enhanced portfolio & partner capacity at the regional & global levels, and portfolio-wide dialogue opportunities for increased transboundary cooperation

**Outcome 2b**    Increased global awareness of GEF results and additional partner collaboration with GEF projects

All six outputs linked to these two outcomes have been fully delivered or on target to be delivered by the end of the project and in many cases the targets have been exceeded.   Similarly, all six outcome targets have been achieved and mostly exceeded.   Outcome 2 is therefore rated as **Highly Satisfactory.**

**Outcome 3**    External partnerships mobilized and working together for improved learning and knowledge management, through an enhanced global freshwater Community of Practice—to impact results and advance conjunctive management of water resources

Three of the outputs related to this outcome have been fully delivered.  The output on "Expanded global groundwater Communities of Practice to mobilize GEF and non-GEF partnerships and knowledge sharing" has only been partially delivered.  The target for the first indicator "number of IW projects with personnel attended in conjunctive water management" has been achieved through the attendance of personnel from 15 projects at the 4th Targeted Regional Workshop for GEF IW Projects in LAC, Montevideo, Uruguay, October 2017, the ANBO General Conference and sessions at IWC8 and IWC9.  However, there has been little or no progress in expanding the groundwater Community of Practice because of staffing issues at UNESCO IHP.  This output will not be fully deliverable within the project timeframe and an extension will be required to complete the activities, evaluate the Community of Practice and publish a book on conjunctive management.

Three of the four targets for Outcome 3 have been achieved and one will be at least partially achieved by the end of the project.  However, due to the shortcoming in enhancing a freshwater Community of Practice, this outcome is rated as **Moderately Satisfactory** at the TE stage.   It could become Satisfactory if a project extension is granted allowing time to develop the Community of Practice.

**Outcome 4**    Increased capacity of beneficiary governments, intergovernmental bodies and GEF projects to implement agreed actions identified in existing Strategic Action Programs, with an eye to long-term sustainability

All three outputs linked to this outcome have been delivered.  Good progress has been made on reaching two of the three outcome indicator targets and they are expected to be achieved by the end of the project.  However, the target "10 IW projects complete EV assessments based on IWL guidance and other information" will not be reached with only two projects out of a target of 10 completing an Economic Evaluation (YSLME and Dniester River).   This target is considered to be unrealistic as although training has been conducted it is a major undertaking for projects to conduct Economic Valuation without additional funding.  This outcome is rated as **Moderately Satisfactory.**

**Table 8        Achievement of IWL4 objectives and outcomes at TE**

| Achieved at TE | On target to be achieved by end of project | Not on target to be achieved by end of project |
|---|---|---|

| Objective/Outcome | Indicator | Baseline | Targets End of Project | Status at 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| **Project Objective** To strengthen knowledge management capacity and promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners—in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments. | 1) Strengthened KM capacity across IW portfolio and beyond | Previous phases of IW:LEARN have built on the growing experience base to populate the interactive baseline. The needs of the projects and other stakeholders is growing and without continuing development the information sharing and other learning experiences will stagnate and become dated. | Through the partnership, KM approaches and capacity within the IW portfolio are strengthened through new methods/lessons of managing/using information and knowledge | This target has been achieved and is ongoing. | The Project has achieved this target through demonstrated changes in management as a result of IWCs, twinnings and regional workshops.  KM approaches and capacity will continue to be strengthened until the end of the project and hopefully beyond. | S |
|  | 2) Scaled-up learning /dissemination of experiences, tools and methodologies |  | Partners activities utilise results and experiences from IW projects to enhance non-GEF projects as indicated by partner responses to surveys | The PCU does not presently have a means to measure if results are being utilised. | Although the PCU does not have the means to assess if this target has been achieved, it can be generally said that the activities have resulted in scaled-up learning, experiences, tools and methodologies.  The PCU may want to consider conducting a survey before the end of the project. |  |

| Objective/Outcome | Indicator | Baseline | Targets End of Project | Status at 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | 3) Improved effectiveness of IW projects to deliver results | | *Increasing number of IW projects delivering improved P, SR or ES/SE performance and attributing (through surveys) achievement to IW:LEARN supported activities/information*<br><br>*Increasing number of projects deliver an exit strategy with sustainable financing indicating lessons/experiences facilitated by IW:LEARN* | *There are no means to access improved P, SR or ES/SE performance measures until there is the ability to access Tracking Tool Data consecutively. IW:LEARN activity summaries do indicate improved project performance as a result of participation in IW:LEARN activities.*<br><br>*There is no means to systematically assess project exit strategies* | This is a legacy comment from the MTR and holds true for the TE | |
| **Component 1:** : Support the Harvesting, Standardization, Dissemination and Replication of Portfolio and Partner Results, Data and Experience | | | | | | |
| **Outcome 1 (**UNEP Implemented) Increased experience sharing and replication of successes throughout and beyond the IW portfolio, as well as enhanced stakeholder buy-in to GEF IW project interventions | Percentage of projects utilising the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines | To-date 54% of the IW Projects operate websites consistent with the IW:LEARN Website Guidelines | 80% of projects utilising the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines | 48% of projects are utilising the IW:LEARN website toolkit or offering a website consistent with IW:LEARN website | The uptake of the website toolkit and the number of project websites consistent with the IWL website guidelines is lower than expected and the target is unlikely to be reached before the end of the project. The other indicators for this outcome were deleted by the PSC meaning that overall it appears that the outcome will not be achieved. However, this is unrepresentative because | **MS** |

| Objective/Outcome | Indicator | Baseline | Targets End of Project | Status at 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | | | | <span style="background-color:red"></span> | many other outputs were delivered.  It should also be noted that although the project can seek to influence this target its achievement is largely beyond control of the PCU. | |
| **Component 2:** Share Knowledge and Results across Projects and Partners (Through Dialogue Processes and Face-to-Face Capacity Building) to Advance Transboundary Water Management | | | | | | |
| **Outcome 2** (UNDP Implemented) Enhanced portfolio & partner capacity at the regional & global levels, and portfolio-wide dialogue opportunities for increased transboundary cooperation | Number of IW projects adopting new management approaches/replication of practices and experience from twinnings | Projects have only partially been tracked to assess progress of up-take of training, twinning, etc. over time (following event, in 6 and 13 months) | 10 IW projects demonstrate new approaches following twinnings | 12 IW projects demonstrate new approaches following twinnings (Dniester, FDMT, IWECO, PacR2R, CLME+, Amazon, Romania Nutrients, Mano, Drin, Global Nutrient, Chad) | The target has been fully achieved and exceeded | **HS** |
| | Number of IW projects adopting new management approaches/replication of concepts from workshops/IWC | | 50 IW projects indicate at least 1 new approach following workshops/IWC | 47 IW projects indicate at least 1 new approach following workshops/IWC [12PM IWC8, 22 PM IWC9, 13 PM from regional workshops] | This target is expected to be achieved following a workshop scheduled to be held in Istanbul, Turkey in February 2020. | |
| | Percentage of IWC project participants indicate increased capacity to execute IW projects | | 90% of project participants provide positive responses to capacity increase following IWC | 95% of project participants provide positive responses to capacity increase following IWC | The target has been fully achieved and exceeded | |

| Objective/Outcome | Indicator | Baseline | Targets End of Project | Status at 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | Number of basins/LMEs where Transboundary co-operation strengthened as a result of IWL | | 2 basins have enhanced co-operation as a result of IWL activities | 2 basins have enhanced co-operation as a result of IWL activities (Drin and North Western Sahara Aquifer) | This target has been achieved | |
| | Percentage of IW projects with a clear gender mainstreaming plan/policy | | <u>70%</u> of existing IW projects and <u>100%</u> of projects starting after 2016 have gender mainstreaming policy | 100% of existing IW projects and 100% of projects starting after 2016 have gender mainstreaming policy | This target has been achieved and exceeded. This is in line with GEF policy on gender mainstreaming in its projects. | |
| **Outcome 2B** (UNDP Implemented) Increased global awareness of GEF results and additional partner collaboration with GEF projects | GEF IW has increased activities on programmes at Stockholm Water Week and World Water Forum | On average, no sessions solely on GEF IW interests | 25% Increase in global dialogues sessions on GEF IW | 57% Increase in global dialogues sessions on GEF IW | The target has been achieved and exceeded. 3 events organised at the Stockholm World Water week and participated in the 8th Meeting of the Parties to the Helsinki Convention | **HS** |
| **Component 3:** Expand Global Freshwater Communities of Practice to Advance Conjunctive Management of Surface Freshwater and Groundwaters and Source-to-Sea Linkages with Marine waters and Partner with New Enterprises on Initiatives to Better Manage International Waters | | | | | | |
| **Outcome 3** (UNDP Implemented) External partnerships mobilized and working together for improved learning and knowledge management, through an enhanced global freshwater Community of Practice—to impact | Number of partnerships encouraged through IW:LEARN activities promoting improved conjunctive management of surface and groundwater | Current partnerships in IW projects are developed on an *ad hoc* basis and there has been little attempt to actively engage partners outside the GEF IW | 5 new partnerships between projects on conjunctive management | 5 projects promoting partnership on conjunctive management: Bug and Neman; MEDPROGRAMME; Nubian Sandstone Aquifer System; Niger Basin and Iullemeden-Taoudeni/Tanezrouft; African Network of Basin Organisation (ANBO).. | Additionally, a seminar was held at IWL9 conference attended by large number of GEF projects with 2 sessions focusing on joint management of surface and coastal zones projects and 1 session on importance of conjunctive management | **MS** |

| Objective/Outcome | Indicator | Baseline | Targets End of Project | Status at 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| results and advance conjunctive management of water resources | | community at a global level | | | | |
| | | | 5 projects have adopted improved conjunctive management approaches to ground/surface waters | 5 projects have adopted improved conjunctive management approaches to ground/surface waters | 5 projects are Bug and Neman; MEDPROGRAMME; Nubian Sandstone Aquifer System; Niger Basin and Iullemeden-Taoudeni/Tanezrouft; ANBO. | |
| | The number of cases of linked management of ecosystems is strengthened | | 1 freshwater basin and 1 LME have enhanced co-ordination as a result of IWL activities | 1 freshwater basin and 1 LME have enhanced co-ordination as a result of IWL activities (Amazon/CLME) | This target has been achieved. | |
| | Number of IW projects with PSC approved sustainability/exit plans involving the private sector | | 5 projects identify IWL support as assisting private sector engagement in exit/sustainability projects | 2 projects identify IWL support as assisting private sector engagement in exit/sustainability projects (SAPPHIRE and Dniester) | This target is expected to be achieved or partly achieved by the end of the project | |
| **Component 4:** : Launch Programmatic Tools to Improve Portfolio Performance and Sustain Project Interventions | | | | | | |
| **Outcome 4** (UNDP Implemented) Increased capacity of beneficiary | Number of EV studies completed by GEF IW projects | Baseline will need to be established on the number of IW projects using EV | 10 IW projects complete EV assessments based on IWL guidance and other information | 2 IW projects complete EV assessments based on IWL guidance and other information [YSLME and Dniester River] | This target was optimistic and will not be reached by the end of the project. Although EV training has been conducted it is a | **MS** |

| Objective/Outcome | Indicator | Baseline | Targets End of Project | Status at 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| governments, intergovernmental bodies and GEF projects to implement agreed actions identified in existing Strategic Action Programs, with an eye to long-term sustainability | | Projects' have not been assessed in developing 'implementable' SAPs to-date<br><br>IWL does not offer any MOOCs | | <span style="background-color:red"> </span> | major step and cost for projects to conduct EV assessments. | |
| | Percentage of new projects implementing a TDA-SAP Process are trained in economic valuation | | 100% of new projects implementing a TDA-SAP Process are trained in economic valuation | 68% of new projects implementing a TDA-SAP Process are trained in economic valuation | This target is expected to be reached at the Istanbul workshop planned for February 2020 | |
| | SAPs and SAP implementation enhanced and attracting additional co-finance and enhanced community engagement | | 100% new SAP projects follow the guidance prepared by IWL on enhancing implementation of SAPs | 75% new SAP projects follow the guidance prepared by IWL on enhancing implementation of SAPs (CLME+, Kura, Okavango, Orange, WIO-SAPPHIRE/SAP, YSLME) | This target is expected to be achieved for new IWL projects by the end of the project. | |
| | MOOCs result in increase in skilled professionals in IW project related activities | | 2000 people register for MOOC including 50 from GEF IW projects and partner organizations<br><br>100 complete the courses including 30 from GEF IW projects showing a higher engagement level from within the IW portfolio | For the LME Assessment and Management MOOC the figures for this from Coursera on 30 September 2019 were:<br><br>•2580 registered for the MOOC<br>•112 completed the course<br><br>For the Freshwater MOOC, as of September 2019:<br>• 17 registered for the MOOC. | This target is mostly achieved for the LME Assessment and Management MOOC. However, the number of people registering from GEF IW projects is not known known due to Coursera's data privacy policy. The PCU hopes to ascertain this by the end of the project. | |

### 3.8.1.2    LME:LEARN Overall Results

The LME:LEARN project has delivered most of its outputs and achieved nearly all of its component/outcomes with only a few activities to be completed before the end of the project. The one year no cost extension has been a contributory factor in the successful completion of the project as implementation was lagging significantly for several activities at the MTR stage. There are no quantitative targets for either outputs or outcomes in the ProDoc so the successful completion of an activity translates directly to the delivery of its linked outputs. Table 9 lists the achievement of project objectives and outcomes and Annex 2 lists the outputs delivered as of the TE.

| **Component/Outcome 1:** | Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF-IW LME/ICM/MPA projects to address MPA needs and incorporate climate variability and change |
|---|---|

Nearly all outputs have been delivered and at the time of TE three more ICOs are underway and will be completed by end of project. Under Activity 1.2, the global directory of LME/ICM/MPA projects, practitioners and institutions has been compiled and disseminated and a new round of project approvals will be added before project end, as will the evaluation of ICO effectiveness. One of the outputs for Activity 1.4 is framed as an aspirational indicator and cannot be easily measured. Component/Outcome 1 is rated as **Satisfactory**

| **Component/Outcome 2:** | Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change within the 5 LME modules |
|---|---|

Nearly all outputs for this component/outcome have been delivered. The one remaining output is the LME project cycle toolkit under Activity 2.1. The other six toolkits have been produced and are available on the Marine Hub website. Apart from this, all other targets for Component/Outcome 2 have been achieved and it is therefore rated as **Satisfactory**.

| **Component/Outcome 3:** | Capacity and partnership building through twinning and learning exchanges, workshops and training among LMEs and similar initiatives (e.g. Seascapes) |
|---|---|

All outputs under this component/outcome have been delivered and all its targets have been achieved. It is therefore rated as **Highly Satisfactory**.

| **Component/Outcome 4:** | Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned |
|---|---|

Two outputs for this component/outcome remain to be completed and they will be closed out by the end of the project. Under Activity 4.1, the interactive website is up and running and IUCN has worked closely with three LMEs to populate the LME Hub. The plan was to include 10 LMEs on the hub but IUCN has had difficulty obtaining information from other LMEs. IUCN will continue to work on the hub up to the end of its IPA in February 2020. Under Activity 4.3, a special issue on Latin America and the Caribbean has been compiled and printed and the intention is to support another special issue for the Asia Pacific region. Apart from the above, all targets for Component/Outcome 4 have been achieved and it is rated as **Satisfactory**.

**Component/Outcome 5:**     Establish a functioning Project Coordination Unit at IOC, encouraging participation by Partner Network, including short-time visits, seconding of personnel, etc.  Work closely with NOAA in transitioning their non-science and technical support capacity to the Project Unit

The PCU is fully staffed and functioning well at the time of the TE although recruitment was staggered throughout the project with the Deputy Project Manager/Training Specialist only started in July 2017. The MTR was completed by September 2018 and the Terminal Evaluation will be completed by January 2020.  The one outstanding output is the development of long-term LME governance strategy which the PCU intends to complete in Q1 2020.  All other targets for this Component/Outcome have been achieved and it is rated as **Satisfactory**.

**Table 9          LME:LEARN achievement of project objectives and component/outcomes**

| Achieved at TE | On target to be achieved by end of project | Not on target to be achieved by end of project |
|---|---|---|

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| **Project Objective** To improve global ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners, and supporting south-to-south learning and north-to-south learning. (equivalent to output in ATLAS) | N/A | Multiple initiatives by numerous different organizations which support ecosystem-based approaches to the management of marine and coastal environment at different management and governance scales (and sectors), duplicates effort, wastes limited funding resources, and creates a drain on host nation staff time that can ultimately result in confusion and hinder the progress in achieving ecosystem-based management and governance | The GEF increment will enable the establishment of a functional, fully-facilitated governance network of ecosystem based and learning practices for GEF IW Large Marine Ecosystems and their coasts which will strengthen existing alliances and build new relationships at both the global and regional level to create a network of learning partners to support the delivery of coherent advice on the best tools and techniques to achieve adaptive ecosystem-management of marine and coastal environment. The LME/ICM/MPA Governance project will provide the opportunity to achieve coherence with partner initiatives, increase consistency in the advice provided to host States, improve | The project has delivered all regional network meetings, all regional training workshops, all of the twinnings and 3 Inter project Collaboration Opportunity initiatives. Partnership meetings have been regularly held on an annual basis, and a special meeting on regional ocean governance was held. Website enhancements, DIM training, seven thematic technical toolkits, LME marine hub aimed at general public, and training modules developed have significantly contributed to the project's knowledge sharing objective. | The project has met its targets with a few outputs yet to be delivered.  LMEs need to be continually encouraged to supply information for LME hub. | S |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | | | performance of projects within the IW LME/ICM/MPA portfolio, and increase the achievement of ecosystem-based management of marine and coastal environments. | | | |
| **Component/Outcome 1:** Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF-IW LME/ICM/MPA projects to address MPA needs and incorporate climate variability and change | Enhanced network of partners working together to provide consistent management and ecosystem-based methods and technical support. | | Established network (community of practice) of GEF IW Large Marine Ecosystems and their coasts projects, and other marine and coastal initiatives supported by GEF and partner organizations. | Network of GEF LME/ICM/MPA projects (community of practice) is fully established and has been extended by inclusion of recent MPA, ICM, MSP and coastal climate change adaptation projects | The target has been achieved. A Community of Practice has been established including LMEs, ICMs, MPAs and MSPs and coastal climate change adaptation projects. 21st Annual LME Consultation Meeting held in Cartagena, Colombia in September 2019. | S |
| | Increased interaction between GEF- LME, MPA and ICM projects and other marine and coastal initiatives supported by GEF and partner organizations. | | Technical and Policy-level LME Governance project Steering Committee established. | The Joint IW/LME:LEARN Project Steering Committee meeting took place in May 2019 in Geneva, jointly with the IW:LEARN partners | A joint PSC for IW/LME:LEARN was established and has met 4 times so far. | |
| | Increased collaboration and coordination between GEF-LME, | | Technical Working Groups established to develop new LME governance tools in partnership with GEF- | All technical working groups have been established and have been meeting regularly during | Technical Working Groups for Ecosystem Based Management, LME Governance and Data and | |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | ICM and MPA projects and partners, within the geographic boundaries of LMEs | | LME/ICM/MPA projects, and other marine and coastal initiatives. | the preparation of the marine toolkits. | Information Management have been established. Mostly they have met on the sidelines of other meetings but the LME Governance WG has had a stand-alone meeting. | |

| | | | | | |
|---|---|---|---|---|---|
| | Progress towards fully integrated 'ridge to reef' ecosystem-based management of freshwater and marine transboundary water systems, based on good governance practices, through increased generation of knowledge and enhanced coordination between GEF-IW surface, ground water and LME and ICM projects | Best-practice ecosystem-based assessment and management and governance techniques to support the recovery of LME goods and services from the IW projects and other analogous initiatives would not be captured or codified. States would therefore not derive maximum benefits from the lessons learned over the past 15 years and the technical expertise of public and private partners that have engaged in the projects to date and are willing to engage with the LME/ICM/MPA-Governance project. States would not benefit from new tools to help embed ICM into the LME framework, to build adaptive institution and reduce vulnerability to | Regional Networks established to enhance interactions and harmonization between GEF- LME, ICM and MPA and other GEF-IW transboundary surface and ground water projects.(jointly with IW:LEARN) | Regional Networks established and meetings held.  6 meetings for 3 Regional Networks were held (Africa: Zanzibar in August 2017 and Dakar September 2018; Latin America and Caribbean: Montevideo in October 2017 and Panama in October 2018; Asia: Bangkok in May 2018 and Hanoi in February 2019)<br><br>3 Inter-project Collaboration Opportunities (ICO) grants have been completed to enhance collaboration between LME, ICM, MSP and MPA projects. | Regional networks established in Africa, LAC and Asia-Pacific with 2 meetings held in each region.<br><br>3 ICOs have been completed so far:  EMIS-WACOM – Abidjan Convention; CERMES-- CROP, and PEMSEA-CLME+.<br><br>3 further ICOs will complete before end of project: Benguela Current Convention– Barcelona Convention; Asia DIM Regional Network Meeting (ATSEA, YSLME, ISLME, SCS LME); and YSLME-Caribbean IMTA | S |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | | climate variability and change, or to integrate actions with other transboundary water systems. | | | | |
| **Component/Outcome 2** Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change within the 5 LME modules | Innovative approaches captured and available for use by LME, MPA and ICM practitioners in LME governance | LME governance would continue on an ad hoc basis without the benefit of experience sharing and the incorporation of best practices and shared data | A series of LME/ICM/MPA/MSP toolkits for adaptive ecosystem-based governance incorporating a series of validated tools on best practices supported by GEF and partner organizations, including new GEF6 requirements | 5 marine toolkits have been developed and uploaded to the marine toolkits platform, while the sixth (project development toolkit) is undergoing some revision before being uploaded. | Most of the toolkits have been published and are available on the Marine Hub website. The last toolkit on LME Project Cycle is still in preparation but will be published before the end of project. | **S** |
| | | | A toolkit for Governance mechanisms to cross GEF sectors is developed | The Toolkit for adaptive ecosystem-based governance has been finalised and uploaded on the marine Toolkits Platform. | The toolkit on LME Governance is published and available on the Marine Hub website | |
| | Facilitate the exchange of experiences between LME's on data and information management issues, and promote the | | Establishment of an "LME/ IW environmental data management committee" | Data and Information Management Committee has been established and met twice | The DIM committee has been established and has met twice in Oostende, Belgium (2017) and Paris, France (2019). | |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | development of common data management approaches for LME/ICM/MPA projects | | | | | |
| | GEF LME/ICM/MPA projects are aware of and are using new tools to enhance the management effectiveness of LMEs | | Training tool on information management is developed | Training curriculum developed | Training tools developed and promulgated to regional networks at regional face-to-face meetings. | |
| | | | Toolkit is disseminated through the development of the Marine Toolkit brochure and an on-line online Marine Toolkit Platform. | DIM materials converted to toolkit platform | DIM materials are available on the IWL website | |
| | | | Demonstration at partner meetings and other regional or global meetings, | DIM materials demonstrated in DIM meetings, LME Consultation Meetings | DIM workshop was held in Paris in July 2019. A second regional workshop is to be held in Denpasar, Indonesia in December 2019. | |
| | | | At least 5 IW Projects are using one or more of the tools. | 6 LMEs attend DIM workshop and embrace tools | Assumed that the workshop participants will use the tools. | |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| **Component/Outcome 3** Capacity and partnership building through twinning and learning exchanges, workshops and training among LMEs and similar initiatives (e.g. Seascapes)o | Increased collaboration and learning exchanges South-to-South between the GEF LME, MPA and ICM projects, and North-to-South and South-to-North partnerships with non-GEF marine and coastal initiatives (.g. Seascapes) to build capacity and develop training and education materials | Training within the LME/ICM/MPA projects provided on an ad-hoc and inequitable basis between regions, host States and stakeholders, dependent on the project and partner resources available in the region. Delivery of the individual projects delayed by lack of capacity and availability of trained practitioners. Project costs increased due to the lack of easily accessible training and educational | Functional dialogue, project twinning, learning exchanges, and training workshops in ecosystem-based governance among GEF LME/ICM/MPA projects and other GEF and non-GEF funded marine and coastal initiatives, such as Seascapes, to build capacity and for portfolio learning  GEF LME/ICM/MPA practitioners fully trained in ecosystem-based governance techniques and approaches including adaptation to climatic variability and change | 6 twinnings have been completed between LME, MPA, MSP and ICM projects, which have enhanced the exchange of experience and knowledge among regional projects, the sharing of lessons and best practices. The final twinning on CoastSnap took place 28-31 January 2019 in Suva and was attended by 8 Pacific Ridge to Reef projects  Additional requests for twinnings have been received by the projects. The internet portal established for the purpose of twinning has proven instrumental in facilitating twinning | Twinning have been organised between:  • GoM and Cuba (2017) • GOMMPAN (2018) • EMIS-Wacom (2018) • MAR2R-CLME+ (2019) • CoastSnap UNSW-Pacific R2R • LMEs of Asia (2017)  An internet portal to facilitate twinning and learning exchanges has been established on the IWL website with GRID-Arendal.  LME/ICM/MPA/MSP projects have participated in 6 global events: NYC SDG14, MSP Forum, FishCrimes, East Asian Seas, PROG, Fisheries Symposium | **HS**  **HS** |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| **HS** | GEF LME/ICM/MPA practitioners trained in new techniques and approaches for ecosystem-based management and governance practices and priorities in GEF 6 | materials. Existing training materials prepared by learning partners not fully mobilized. No strategy in place to be able to train the number of practitioners needed to be able scale up the Coordination of ecosystem-based management and governance practices.  Existing LME projects will not be able to build the capacity of participating countries to apply ICM or adapt to climate change and maintain ecosystem resilience. Reduced impact and the level of consistency in the achievable performance of the IW portfolio | New training materials developed in collaboration with learning partners (e.g. IUCN, FAO, IOC, ICES, NOAA, IOI, Conservation International, UNU-INWEH) and through learning exchanges and workshops to address priority issues in GEF6 | The training strategy has been executed, with nine regional trainings on Ocean Governance, Marine Spatial Planning and Economic Valuation completed between September 2018 and February 2019  The trainings were based on the respective thematic training modules developed in earlier years, in collaboration with the project's partners. Catalytic outcomes of the trainings have included two regional communities of practice on Ocean Governance which are being self-sustained by the members of the LAC and Asia-Pacific networks. | Training materials have been developed for on-line and face to face training in Governance, Marine Spatial Planning, and Economic Valuation.  Training modules for LME governance and MSP are fully accessible online on UNDP Cap-NET Virtual Campus | **HS** |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| **Component/Outcome 4** Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned | Communication of results to stakeholders, increased awareness of LME issues and engagement in networks through global and regional LME /COPs | The global awareness, impact, and legacy of the LME/ICM/MPA projects amongst different stakeholder groups and partners would remain at current levels | Global LME/ICM/MPA-communication platform linking GEF LME, ICM and MPA projects with other relevant initiatives | The LME:LEARN web portal, functioning as the Global LME/ICM/MPA-communication platform, has been established and regularly updated and the information contained therein revised. Two communications experts have assisted five LME projects to develop their communications strategies | Global communication platform is established. The LME Hub has been developed by IUCN and Google layers have been developed. 3 LMEs agreed to provide audiovisual and other content to serve as examples for other LMEs to follow. Plan is to apply to a total of 10 LMEs but uptake has been slow. IUCN will continue until February 2020. | S |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | Strategy developed for showcasing LME and ICM assessment and governance best practices among project partners, stakeholders, resource managers, broader scientific community, government representatives, private companies, universities, schools and the public | | Publication of findings from LME/ICM/MPA projects in peer-reviewed scientific, coastal and ocean management journals | Lessons from LME/ICM/MPA projects have been regularly presented in the Newsletter , which is followed by more than 1700 subscribers  The LME hub project partner IUCN executed numerous enhancements to the overall design and layout of the LME Hub.<br><br>Two volumes of LME related peer-reviewed scientific papers were published in the Environmental Development Journal. Two more volumes are in preparation.<br><br>Ten policy briefs were prepared. The briefs cover subjects of general interest to the LME community. | Target achieved and is ongoing.<br><br>Online newsletters are published approximately bi-monthly. | S |
| | Global policy discussions informed and impacted by knowledge and experience of GEF- | | Participation of GEF ecosystem-based LME/ICM/MPA project staff and practitioners in regional and global conferences (e.g., Global | The project has supported participation of GEF ecosystem-based LME/ICM/MPA project staff and practitioners in several major ocean events: SDG14 Conference | Target achieved. | |

| Objective/ Component/Outcome | Sub-Outcome/ Indicator | Baseline | Targets End of Project | Status at TE 30/09/2019 | Terminal Evaluation Comments | Rating |
|---|---|---|---|---|---|---|
| | ecosystem based LME/ICM/MPA governance project | | Ocean Forum, ICES Science Conferences, etc.). | in New York, EAS Congress in Philippines, MPA Congress in Chile, New events are planned. In addition, the LME projects' staff participated in several side events organised by the LME:LEARN at various major events | | |
| **Component/Outcome 5** Project Management: establish a functioning Project Coordination Unit at IOC, encouraging participation by Partner Network, including short-time visits, seconding of personnel, etc.  Work closely with NOAA in transitioning their non-science and technical support capacity to the Project Unit | Functioning, minimalistic Project Coordination Unit focusing management of partner activities established | Governance of LMEs would remain at status quo, with no long-term strategy incorporating best practices to guide LME management | Monitoring and Evaluation (mid-term and terminal evaluations) conducted | Mid-term evaluation has been finalised and management response prepared and adopted. The terminal evaluation is underway with a target for completion of final report by early February 2020 | Combined Terminal evaluation undertaken in Q4 2019 for both LME:LEARN and IW:LEARN4 | S |
| | Strategy for LME Governance best practices for the long-term for the GEF portfolio, with overlapping interests within LME, ICM, and MPA domains prepared | | Establishment of unit that will manage project, ensuring cooperation with partner network. | The joint IW/LME:LEARN PCU has now been fully staffed. It is fulfilling regularly its tasks regarding the financial management and reporting obligations. | Achieved | |
| | | | Development of a long-term LME global governance strategy | The strategy will be developed before the closure of the project, based on the overall project's results. | The strategy will be elaborated in the final project report to the PSC in Q1 2020 | |

### 3.8.2   Relevance

As the fourth phase of IW:LEARN programme, IWL4 remains closely aligned to GEF's strategic objective to support foundational capacity building, portfolio learning and targeted research needs for ecosystem-based joint management and governance of transboundary water systems.  IWL4 is also closely aligned with UNDP, UNEP and UNESCO IOC strategic objectives and expected results.  At the IW portfolio level, IWL4 has focused on delivering thematic capacity-strengthening workshops and project/partner roundtables based on primary themes emerging from the IW portfolio mapping and capacity-needs assessment, as well as corporate and strategic priorities.  IW:LEARN continues to be a central coordinating mechanism for IW projects and the website is a "shop window" for sharing and show-casing the many results, publications, tools and information generated by the IW projects.  Most of the interviewees attested to the continued relevance and importance of IW:LEARN.  The relevance of the project is therefore rated as **Highly Satisfactory.**

LME:LEARN shares the same relevance to the same strategic objectives of GEF, UNDP, UNEP and UNESCO IOC and is particularly closely aligned to UNESCO IOC's Main Line of Action "Promoting knowledge and capacity for protecting and sustainably managing the oceans and coasts" and its associated Expected Results.  The project was designed to address specific issue of LME governance, which was an identified weakness in the GEF IW programme by identifying global governance models within LME, ICM and MPAs that have worked and for providing tools for improved governance of LMEs.  As such, the project is highly relevant to the identified needs of the LMEs and is therefore rated as **Highly Satisfactory.**

### 3.8.3   Effectiveness

#### 3.8.3.1   IW:LEARN-4

As noted in Section 3.8.1.1 above, most of the outcomes for IWL4 have been achieved or are on target to be achieved by the end of the project in March 2020 with a few notable exceptions as discussed below.  With approximately 13% of its budget remaining as of 30 September 2019, there are sufficient funds remaining to complete the outstanding project activities and cover a limited project extension.

**Component 1**:  Support the harvesting, standardization, dissemination and replication of portfolio and partner results, data and experience.

The goal of this component is to enhance visibility of IW project results through more readily useable tools, guides and materials in order to catalyse experience sharing among projects and replication of successes throughout the portfolio.  A total of five sub-components with 19 associated activities and five outputs contributed to this component and have been delivered.  However, the IW projects are still not sharing news and results to IW:LEARN.net on the scale envisaged, nor are the number of IW project websites consistent with IW:LEARN website standards likely to reach its target by the end of the project.  Why this is the case is unclear and it is important that further analysis of IW project needs and requirements for IW:LEARN.net is carried out so that tailored assistance can be provided where needed to improve the sharing of project information on the website.

Regarding the IW:LEARN.net website, many comments were provided by the interviewees with the consensus of opinion being that although it has improved significantly in recent years, there is still room for improvement.  It was widely recognised that the website is very important for the entire IW portfolio and should provide a "one stop shop" for all IW-related information.

Most of the comments were related to a) the functionality of the website, and b) the website content.  The functionality of the website is very important in making the experience of using it as user-friendly

as possible. The evaluator notes that although he found it initially quite difficult to navigate beyond the front page, he found it easier with practice and after developing an understanding of the website's page structure. However, first impressions are important and new users may be put off if their initial experience is negative.

As a repository for toolkits, reports, manuals, information, news, project results and experience notes etc, it is very important that the website content is kept up to date because if users cannot find what they are looking for then they will find other websites that can provide the information. This problem has been identified by many of the interviewees and although GRID-Arendal has stated that it managed all content that was provided, it is apparent that a bottleneck in the flow of information between the projects and GRID developed. To address this, the PCU brought in an assistant to manage the content in April 2019.

Regardless of where the website is hosted after the end of IWL4 (see [Section 3.8.7](#) for discussion on sustainability), it is recommended that the management of content should become a core function of the PCU. The PCU should develop a communications strategy to encourage more IW projects to share information about their projects on the website and also maintain up-to-date contact details with the PCU. (Some interviewees commented that contact details were out of date). The IWL Website toolkit supports a dynamic Content Management System (CMS) that incorporates usability, accessibility and metadata standards to link to IW:LEARN's distributed discovery mechanism. However, few projects now use the toolkit. The flow of information from the projects using the toolkit has mostly ceased and the PCU has taken on the role of populating the IWL website. Whether or not they use the toolkit, the projects should follow the IW:LEARN website guidelines to independently develop their websites and ensure that information (news, events, contacts, documents etc) can be automatically harvested by the IW:LEARN website. As noted previously, it is largely beyond the control of the PCU to enforce this but it can certainly encourage compliance through regular communications with the projects coordinated by a dedicated content manager and supported by the individual project IAs.

| Recommendation : 6 | The management of the IW:LEARN website content should be a core function of the PCU with a dedicated project assistant to work with the IW projects to manage the content and populate the website. A communications strategy should be developed to encourage more IW projects to share information on a more regular basis and to maintain up-to-date contact information for their projects |
| --- | --- |

**Component 2:** Share knowledge and results across projects and partners (through dialogue processes and face-to-face capacity building) to advance transboundary water management.

The goal of this component is to enhance portfolio capacity building at the local, regional and global levels, and establish effective portfolio-wide dialogue opportunities for south-to-south learning through a suite of programs and events. A total of six sub-components with 15 associated activities and six outputs contributed to this component and have been delivered. This goal has been achieved through 12 twinning exchanges, two successful IW Conferences, enhanced transboundary cooperation between two basins (Drin and North Western Sahara Aquifer) through regional dialogue processes and increased global awareness of GEF results and additional partner collaboration at Stockholm World Water week (2016, 2017, 2018 and 2019) and the 8th Meeting of the Parties to the Helsinki Convention (2018). Another target that has been achieved under this component is that 100% or existing IW projects and 100% of projects starting after 2016 have gender mainstreaming policies.

**Component 3:** Expand global freshwater Communities of Practice to advance conjunctive management of surface freshwater and groundwaters and source-to-sea linkages with marine waters and partner with new enterprises on initiatives to better manage international waters.

The project sought to mobilize external partnerships to work together for improved learning and knowledge management through enhanced global surface and ground freshwater Communities of Practice (CoPs) to impact results and advance conjunctive management. The enhanced surface and ground freshwater CoPs should also link and provide support to the LME:LEARN project by facilitating terrestrial and marine project linkages. A total of four sub-components with 12 associated activities and four outputs contributed to this component.

There have been mixed results for this component. Whereas all targets have been achieved for the freshwater sub-components with the learning exchange service centre established, nexus, green infrastructure, benefit sharing and climate resilience training events all conducted, only partial progress has been made on expanding the global groundwater CoP as measured by the number of IW projects that have attended workshops and meetings on conjunctive water management. Progress on expanding the groundwater CoP has been constrained due to staffing issues at UNESCO IHP and an extension will be required to complete this activity. On a positive note, five new partnerships between projects on conjunctive management and five projects have adopted improved conjunctive management approaches to ground/surface waters.

**Component 4:** Launch programmatic tools to improve portfolio performance and sustain project interventions.

This component aimed to improve project performance and the harmonization of GEF methodological approaches across the IW portfolio. A total of three sub-components with eight associated activities and three outputs contributed to this component all of which have been delivered. As of 30 September 2019, 2,580 people have registered for the LME MOOC and 112 have completed it, of which 30 were from IW projects or partner organisations, and 17 people have registered for the Freshwater Security MOOC. The TDA/SAP methodology was updated and expanded with good practices from existing SAP implementation and water body-specific guidance has been completed; and the EV methodology and supporting documents have been developed and has been embedded in TDA/SAP guidance. EV training has been completed and the tools are available for download from the IW:LEARN website. An outstanding target that will not be reached by the end of the project is that only 2 out of 10 IW projects have completed EV assessments based on the guidance and tools developed by IWL4. However, this was an optimistic target given the resources and funding that the IW projects need to conduct such assessments. For the next phase of IW:LEARN consideration should be given to conducting in-project training with national consultants supported by an international consultant to put the EV assessment on track.

**Project Objective** Strengthen knowledge management capacity and promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners—in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments.

The IWL4 project has strengthened knowledge management approaches and capacity within the IW portfolio through demonstrated changes in management approaches as a result of the IW Conferences, twinning exchanges and regional workshops. Knowledge management and capacity will continue to be strengthened until the end of the project and beyond, with the continued support of GEF. The project can also be generally said to have scaled-up learning and dissemination of

experiences, tools and methodologies and to have improved the effectiveness of IW projects to deliver results, although there are currently no means to quantify this assessment.

The effectiveness of the project at achieving its expected outcomes and objectives is rated as **Satisfactory**.

### 3.8.3.2   LME:LEARN

The LME:LEARN project has delivered most of its outputs and achieved nearly all of its component/outcomes and is on track for full achievement by March 2020.  With approximately 11% of its budget remaining as of 30 September 2019, it is expected to reach close to full utilisation of the GEF financing by the end of the project.

As discussed in Section 3.2.1, the LME:LEARN ProDoc used the terms "component" and "outcome" interchangeably and, to be consistent with the MTR report, this report has adopted the term "component/outcome" to refer to both the components listed in the body of the ProDoc and the outcomes listed in the Results Framework[9].

**Component/Outcome 1:**   Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF LME/ICM/MPA projects to address their needs and incorporate climate variability and change.

The purpose of this component/outcome was to establish the basis for the other component/outcomes by assuring a solid and engaged foundation of partners.  A total of four sub-components with four associated activities, 11 sub-activities and 14 outputs contributed to this component/outcome most of which have been delivered at the time of TE.   The MTR report commented that although the database of "GEF LME/MPA/ICM projects with overlapping areas, non-GEF projects and the private sector" had been established and functional, there was a lack of data from the projects, particularly spatial data.  The database has now been expanded and spatial data has been added for many projects.  The PCU will update the database with recently approved projects before the end of the project.  The following are the key outputs:

- A Community of Practice including LMEs, ICMs, MPAs is fully established and has been extended by inclusion of recent MPA, ICM, MSP and coastal climate change projects.
- Since the MTR, the 20th and 21st LME annual consultation meetings have been held in Marrakesh, Morocco and Cartagena, Colombia respectively.
- Regional networks have been established in Africa, Latin America and Caribbean (LAC) and Asia-Pacific, with two meetings held in each region.
- Three Inter-project Collaboration Opportunities (ICO) have been completed (EMIS-WACOM – Abidjan Convention; CERMES - CROP; and PEMSEA-CLME+.  Three more are underway as of the TE and will be completed by end of project (Benguela Current Convention– Barcelona Convention; Asia DIM Regional Network Meeting (ATSEA, YSLME, ISLME, SCS LME), and YSLME – Caribbean IMTA).

**Component/Outcome 2**:   Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change including the five LME modules

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[9] Outcomes imply changes in conditions or capacity not delivery of products and services

The activities under this component/outcome were designed to draw on lessons learned from past projects and experiences as best practices previously identified are key to success in developing methods and tools. A total of four sub-components with six associated activities, six sub-activities and 14 outputs contributed to this component/outcome most of which have been delivered at the time of TE. Three technical Working Groups on Ecosystem-Based Management, LME Governance and Data and Information Management have been established and have met several times on the sidelines of other meetings. The MTR report rated this component/outcome as moderately satisfactory due to significant elements such as the EBM toolkit and the DIM manual and training lagging behind schedule. Nearly all of these outputs have been delivered at the time of TE with only the LME project cycle toolkit to be finalised before the end of project. The DIM committee was established and met twice in Oostende, Belgium (2017) and Paris, France (2019). A DIM workshop was held in Paris in July 2019 and a second regional workshop was held in Denpasar, Indonesia in December 2019.

**Component/Outcome 3**: Capacity and partnership building through twinning and learning exchanges, workshops, and training among LMEs and similar initiatives (e.g., Seascapes).

The purpose of twinning is to bring two projects together to mutually share their experiences and it has been demonstrated to be a successful Capacity Development strategy. This component/outcome was directed towards south-south training, as well as north-south training. A total of three sub-components with seven associated activities and 10 outputs contributed to this component/outcome all of which have been delivered at the time of TE. The MTR report did not highlight any particular concerns with this component and rated it as Satisfactory. The following are some of the key outputs from this component/outcome:

- Internet portal to facilitate twinning and learning exchanges established
- Six twinnings have been completed: 1). LMEs of Asia symposium, 2). Gulf of Mexico LME (GoM)/Cuba 3). Environmental Management Information System (EMIS)/West African Coastal Observation Mission (WACOM) 4). Gulf of Mexico LME/Gulf of Mexico Protected Areas Network (GOMMPAN) 5). Caribbean and North Brazil Shelf (CLME+)/MesoAmerican Ridge to Reef project (MA R2R) and 6). Pacific Community Ridge to Reef project (PacR2R)/University of New South Wales (UNSW)
- Training materials developed for online and face-to-face training in LME Governance, MSP and Economic Valuation, with training modules for LME Governance and MSP available on UNDP Cap-NET Visual Campus.
- The training materials were deployed at regional workshops and regional network meetings: 1). African regional network meeting in Senegal, 2017, 2). Latin America-Caribbean regional network meeting in Panama, 2017, 3). Asia-Pacific regional network meeting in Vietnam, 2018.

**Component/Outcome 4:** Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned.

The purpose of this component/outcome is to strengthen the role of the GEF International Waters portfolio on LMEs, and associated ICM and MPA activities. A total of three sub-components with five associated activities, six sub-activities and 10 outputs contributed to this component/outcome most of which have been delivered at the time of TE. The MTR report rated this component/outcome as Moderately Satisfactory on the basis that activities and outputs were lagging behind schedule. The report highlighted Output 4.2 and in particular the development of a strategy for showcasing LME, ICM, and MPA assessment and governance best practices, and Output 4.3, implementation of the strategy. Progress has improved by the TE with the strategy for showcasing materials developed, five

projects provided with technical support and 10 policy briefs produced.  Three science to management sessions were conducted at regional network meetings in Bangkok, Dakar and Panama.

Other key outputs from this component/outcome are as follows:

- LME Hub established with Google layers developed.  Three LMEs (CLME+, Med and YSLME) have provided audiovisual and other content to serve as examples for other LMEs.  The target was to apply to 10 LMEs, and it is unlikely this will be reached by the end of the project.  The delay in developing the hub was due to a change in the Google Earth product necessitating a change in strategy and design, which IUCN was able to adapt to.  The lack of LMEs that the Google layers are applied to is due to the poor response from the LMEs.  The LME Hub could be further enhanced by providing links to other information systems such as the CLME+ Caribbean Marine Atlas.
- Lessons from LME/ICM/MPA projects have been regularly presented in the Newsletter, which is followed by more than 1700 subscribers.
- Two volumes of LME related peer-reviewed scientific papers were published in the Environmental Development Journal. Two more volumes are in preparation.
- LME/ICM/MPA project staff and practitioners supported in several major ocean events: SDG14 Conference in New York, EAS Congress in Philippines, MPA Congress in Chile,

The LME:LEARN project had an additional component/outcome for project management covering the establishment and operation of the PCU.  This has been fully achieved and is discussed further under Section 3.8.7 on efficiency below.

**Project Objective**: Improve global ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners, and supporting south-to-south learning and north-to-south learning

The project has been successful at establishing a Community of Practice for LMEs, MPAs and ICMs and has extended it to include MSPs and coastal climate change projects.  Three regional networks have been established and have each held two meetings.  The project has organised six twinnings and three Inter-project Collaboration Opportunities have been completed.  Technical working groups were established and all except one of the planned toolkits were developed, albeit behind schedule.  The LME Hub has been established, again behind schedule, and Google layers have been developed for three LMEs.  Training materials have been developed for online and face-to-face training in LME Governance, MSP and Economic Valuation.  Although nearly all targets have been achieved, obtaining feedback and information from the LMEs remains a challenge for the future.  Nevertheless, the networks, structures, toolkits and training material are in place and future phases of IW:LEARN should focus on scaling-up and disseminating information to the wider LME/MPA/ICM/MSP community.

The effectiveness of the project at achieving its expected component/outcomes and objectives is rated as **Satisfactory**

## 3.8.4  Efficiency

As the IWL4 and LME:LEARN projects were implemented jointly, the assessment of efficiency is combined for both projects.

The designs for both projects were ambitious and highly detailed with implementation strategies that were primarily activity-based.  This complexity is most likely due to inviting contributions from more executing partners than in previous phases of IW:LEARN with the result that the large number of

activities reflected the partners' interests and work programmes. IWL4 has a clearer Results Framework with outcomes and indicators that are mostly SMART. On the other hand, the LME:LEARN Results Framework confuses components, outcomes and indicators and has many indicators that are not SMART. The LME:LEARN implementation strategy was based on a large number of activities and in many cases the outputs are imprecise with no indicators or targets. In both ProDocs, outputs are not included in the Results Frameworks such that direct links between outputs and outcomes are not well established. The evaluator recognises that the format of logical frameworks/results frameworks varies between organisations and that the GEF has its own specific formatting requirements, but makes the point that robust, clear results-based project designs lead to more efficient implementation with results frameworks that can be used as effective management tools rather than simply for reporting purposes. Furthermore, it is suggested that as a minimum, an outline Theory of Change analysis should be conducted at project design stage to map out the causal pathways between outputs, outcomes and impact. This would help to focus on implementation strategies that will achieve key outcomes and objectives. It is further recommended that the design of future phases of IW:LEARN should eliminate sub-activities (to the extent possible) and concentrate on activities that are designed to deliver more concise sets of SMART outputs with clear linkages to SMART outcomes.

| Recommendation 7: | The design of future phases of IW:LEARN should eliminate sub-activities and include a core of activities designed to deliver concise sets of SMART outputs with clear linkages to SMART outcomes. |
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There were delays at the start of the project while the PCU was recruited and IPAs were signed with the executing partners. This is symptomatic of the "stop-start" nature of IW:LEARN which has an impact on the continuity and ultimately the sustainability of IW:LEARN, discussed further in Section 3.8.7 below. As noted in Section 3.7.2, the need for annual renewal of IPAs resulted in slow starts to the calendar year for some partners who had to delay implementation of their activities. This inefficiency should be addressed and a compromise solution satisfying UNESCO's reporting requirements and the contractual and forward funding needs of partners should be found.

Financial administration at the start of the projects proved to be problematic due to incompatibility between UNDP and UNESCO administrative systems, which caused stress for both parties and led to delays in funds transfers and allocations to project activities. Although a solution to this was eventually found, the process remains inefficient requiring manual updates to UNDP's ATLAS system based on quarterly Project Delivery Reports provided by UNESCO in spreadsheet format. Note that this was not an issue for Component 1 implementation as GRID-Arendal is a collaborating partner of UNEP and their financial systems are already aligned. This inefficiency needs to addressed and resolved for future phases of IW:LEARN involving IOC UNESCO as EA (see Recommendation 4). As noted in Section 3.7.4.1, budget revisions were difficult to achieve and could take up to three months to approve and take effect. This process needs to be simplified to avoid delays.

Although no independent audit of project expenditure has been conducted, the accounts provided for the TE indicate that the projects have been implemented cost-effectively to achieve results and mostly in line with the original ProDoc budgets. Expenditure was lower than planned in the first year of implementation for IWL4 (first two years for LME:LEARN), due to the delay in establishing the PCU and in transferring funds but picked up in the second and third years. As of the TE, 11% (LME:LEARN) and 13% (IWL4) of the budgets remained to be programmed. The PCU is confident that there will be sufficient funds to sustain the PCU and fund the remaining activities should a no-cost extension be granted.

In general, the PCU has communicated well and has had excellent relationships with the main project stakeholders. Many interviewees highlighted the experience and effectiveness of the Project

Manager who has been involved in IW:LEARN since 2006 and has been Project Manager for IWL3 and IWL4, providing continuity between the phases.  While this institutional knowledge has been an asset to the projects, it should also be considered as a risk to IW:LEARN if it is lost.

The issue of dual IAs and EAs has been raised by MTR and TE evaluators since IWL2 and this evaluator echoes the view that it has been an inefficient means of implementing the IWL4 project.  The argument for dual IAs has been that it brings benefits by integrating the oversight and experience of the two primary UN agencies involved in international waters issues leading to broader promotion of outcomes and uptake by projects.  On the other hand, it has resulted in inefficiencies in project implementation exacerbated by a geographically split PCU with each EA having different reporting lines to their respective IAs.  In the case of the Paris-based PCU, an additional complexity has been its responsibility for coordinating IW:LEARN and LME:LEARN simultaneously although it is recognised that the PCU team has handled this well with a CTA brought in with specific responsibility for the LME:LEARN project.  Nevertheless, for future phases of IW:LEARN it is recommended that there should be one centralised PCU located at a single EA (see Recommendation 3).  The benefits and drawbacks of having dual IAs should be reviewed and if the practice is continued in the next phase, the project's Monitoring and Evaluation Framework should be integrated to ensure that the EA/PCU is required to submit harmonised quarterly and annual reports to both IAs rather than preparing separate reports for each IA according to their own reporting formats.  Furthermore, given the problems encountered during the IWL4 and LME:LEARN projects due to the incompatibility of UNDP's and UNESCO's financial and administrative systems, serious consideration will need to be given to the impact of introducing additional financial reporting system requirements for a second IA.

Although the projects have been implemented cost-effectively, there have been some problems and shortcomings brought about by delays (particularly at the start of the projects), financial administration issues, inefficiencies resulting from the dual IA and EA modality and, in the case of LME:LEARN, a one year no cost extension was required to complete the project.  The rating for efficiency for both projects is therefore **Moderately Satisfactory.**

### 3.8.5   Country Ownership

As a global service provider to the IW project portfolio, IW:LEARN aims to support and improve the management of IW projects and enhance capacity to address national priorities and plans.  IWL4 has continued the strategy at regional and national levels by promoting regional dialogue and developing networks, developing toolkits, conducting training, organising IWCs and twinning exchanges.  For example,  IWC8 was attended by 299 participants from 82 countries and IWC9 was attended by 350 participants from 80 countries.

IWL4 has not worked directly at national level.  The stakeholders are the IW projects and all projects assisted by IWL4 have the endorsement of the GEF country focal points.  IWL4 has helped to build capacity at national level by bringing country representatives to the conferences and workshops.

It is difficult to judge if country ownership has improved as no interviews with country representatives were conducted but it is more likely that countries involved in SAPs will have seen benefits from their involvement in IW:LEARN.

### 3.8.6   Mainstreaming

Mainstreaming in this context refers to UNDP country programme strategies, which the objectives and outcomes of the projects are supposed to align with.  However, as global projects, IWL4 and LME:LEARN do not align with any particular Country Programme Document (CPD), Country Programme Action Plan (CPAP) or country level UNDAF.  As mentioned in Section 3.8.5, IWL4 and LME:LEARN support the IW projects and it these that are more likely to mainstream UNDP country

priorities such as poverty alleviation, improved governance, prevention and recovery from natural disasters and women's empowerment. That said, both projects are concerned with issues that are related to poverty alleviation and enhanced governance and it can therefore be said that IWL4 and LME:LEARN are contributing to the mainstreaming of UNDP country priorities by supporting and developing the capacity of IW project and country representatives, for example by updating the TDS/SAP methodology with improved guidance based on good practices from existing SAP implementation, particularly guidance on gender mainstreaming.

Regarding gender, IWL4 has made a direct contribution to gender mainstreaming through sub-component 2.5 "Promotion of Gender Mainstreaming in the GEF IW Portfolio", with the scope of achieving increased recognition of gender issues and attention on gender equality throughout the GEF IW projects. This responds to GEF policy on gender mainstreaming (SD/PL/02)[10] under which every GEF project is expected to design gender responsive approaches and incorporate gender mainstreaming as one of the key principles to ensure that all individuals, male and female, have the opportunity to participate and benefit equitably and at the time of the TE, 100% of new GEF IW projects starting before and after 2016 now have gender mainstreaming policies. The sub-component was implemented by UNESCO-WWAP and WWF and resulted in a series of six webinars on how to incorporate gender considerations in water resources management, and eight workshops including two at IWC8 and three at IWC9. The aims of the webinars are to provide GEF IW projects with the elements and tools for training project staff and client country experts on water and gender issues and how to incorporate gender considerations into water policies, in different project contexts. Additionally, the PCU developed a brochure for "Twinning on Sex-Disaggregated Water Data" to encourage gender-related twinning exchanges facilitated by WWAP. The next phase of IW:LEARN should build on the achievements of IWL4 by developing toolkits and other training material and should further encourage the inclusion of gender dimensions into twinning exchanges. Furthermore, it is recommended that all relevant project outputs and outcomes should include gender-sensitive indicators, for example for twinning exchanges, training workshops, conferences and dialogue processes. These indicators should not be limited to sex-disaggregated data but should also include gender-responsive indicators, where appropriate.

| Recommendation 8: | All relevant project outputs and outcomes in the next phase of IW:LEARN should include gender-sensitive indicators, for example for twinning exchanges, training workshops, conferences and dialogue processes. These indicators should not be limited to sex-disaggregated data but should also include gender-responsive indicators, where appropriate |
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### 3.8.7 Sustainability

Each of the IWL4 and LME:LEARN project partners is required to provide sustainability plans to the PCU along with their final reports as a final deliverable under their IPAs. As of the TE, no sustainability plans had been submitted to the PCU. However, the partners provided outlines of their proposed sustainability plans at the third meeting of the PSC in April 2018, although these amounted to comments and ideas rather than plans and don't represent commitments. The MTR recommended[11] that "*the Exit Strategy for IW:LEARN should be initiated soon allowing time for it to inform the next phase*". It further recommended that "*consideration should be given to expanding the Exit Strategy to conduct a Strategic Direction outlining IW:LEARN core activities that are ongoing and require foundational support…*". The PCU had not initiated the Exit Strategy at the time of the TE but intended to do so in Q1 2020. However, the delivery of partner sustainability plans and the preparation of project exit strategies for both projects in the final three months is considered very late in the project

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[10] Updated in 2017 – GEF/C.53/04
[11] MTR Recommendation No. 7

cycle to inform the next phase of the IW:LEARN, especially considering that the PIF for IWL5 was submitted to the GEF Council for approval in December 2019. Ideally, sustainability plans and exit strategies should have been submitted for review by the PSC at its fourth meeting in June 2019.

The ProDoc for IWL4 states that "*the expectation of this phase of the project is that the sustainability plan concepts developed by the previous phases' partners will be both replicated with the partners (both new and previous) in this project and the progress of the previous sustainability plans will be assessed. This will form the basis of a project Exit Strategy and will indicate how the actions of the project (including the website) can be sustained post-project*" and "*In addition to this, as usual, partners (both new and old) will be expected to design activities in this project with sustainability as a first consideration in contractual agreements. The sustainability of all Components will be reviewed accordingly as implementation progresses*". The TE finds no evidence that either the progress of previous sustainability plans has been monitored and assessed or that the sustainability of all project components has been reviewed as implementation has progressed other than the discussion held at the third PSC meeting in April 2018.

| Recommendation 9: | Executing partner sustainability plans should be submitted with their proposals and included in their contractual agreements. The plans should be updated in every annual progress report and the PCU should prepare an Exit Strategy for review by the PSC at its penultimate meeting. |
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The sustainability of the IW:LEARN.net website beyond the closure of the project is a cause for concern. The evaluator understands that it will be hosted by GRID-Arendal for one year after the end of its EA agreement for Component 1 (31 December 2019) but thereafter the hosting arrangements are uncertain. The website is an important component of IW:LEARN and it is therefore vital that the hosting and maintenance arrangements are addressed and a long term solution found to ensure it is sustained and maintained from one phase of IW:LEARN to the next without any break in service (see Recommendation 10).

**Financial Risks to Sustainability**

The assumption of all interviewees was that GEF will continue to support IW:LEARN for the foreseeable future. Given the service that IW:LEARN provides to the GEF Secretariat by organising the biennial IWCs and coordinating the IW portfolio knowledge base and IW:LEARN.net website, this assumption is reasonable and indeed the PIF for the next phase of IWL was approved by the GEF Council in December 2019. Although the financial sustainability of IW:LEARN remains highly dependent on the continual support from GEF, it is also recognised that co-financing by project partners has been important in helping IWL4 and LME:LEARN to achieve their outcomes and objectives.

The financial dimension of sustainability for IWL4 is rated as **Likely** in the near term on the assumption that the next phase of IW:LEARN is approved. Its long term financial sustainability however is rated as **Moderately Unlikely** on the basis that financial support from GEF is not assured beyond the next phase of IW:LEARN. It is highly recommended that the longer term funding modality for IW:LEARN is reviewed by the PSC for IWL5, which should also take future institutional arrangements into consideration.

It is understood that LME:LEARN will be merged with the next phase of IW:LEARN so the issue of its financial sustainability will to a large extent be dependent on continued GEF support for IW:LEARN and therefore the same ratings apply, i.e.. Likely in the near term and Moderately Unlikely in the long term. The middle rating of **Moderately Likely** is therefore applied. That said, there is strong

institutional support for LMEs provided by IOC UNESCO, NOAA and ICES and financial sustainability for LMEs is therefore **Likely** to be stronger in both the short and long terms.

**Socio-Economic Risks to Sustainability**

As a coordination and service-oriented project supporting the IW portfolio, there are no direct socio-economic risks associated with IW:LEARN and LME:LEARN *per se* as any such risks will be manifested at individual project level.  However, in terms of stakeholder ownership of the projects' outcomes, more needs to be done to create a sense of ownership of IW:LEARN by the IW projects, particularly the website.  Many interviewees commented on the difficulty of getting the projects to engage with and provide material for the website for various reasons, including lack of time and, more importantly, lack of motivation as the benefits of doing so are not fully understood.

The socio-economic dimension of sustainability for both projects is rated as **Moderately Likely**.

**Institutional Framework and Governance Risks to Sustainability**

Both projects have addressed institutional and governance arrangements by enhancing the capacity of IW projects, regional organisations and their participating national governments to develop sustainable institutional arrangements.  The development of toolkits and conduct of training should be contributing towards stronger governance of IW resources.  However, in general, the capacity of institutions and national governments to sustain and build on project outcomes will continue to rely on continued external support either from GEF IW or other non-GEF  sources.  In the near term therefore, assuming that the next phase of IW:LEARN goes ahead, institutional sustainability is **Moderately Likely** but in the longer term it is moderately unlikely unless there is a concerted effort to enhance institutional frameworks and strengthen governance arrangements at regional level that can be cascaded down to national level.  In this respect, IW:LEARN should do more to promote its strategic advantage as a modality for supporting the implementation of relevant Sustainable Development Goals (SDG) and achievement of targets, in particular SDG 6 on Clean Water and Sanitation and SDG 14 on Life Below Water.

Institutional sustainability risk also applies to the lack of certainty and hence vulnerability of IW:LEARN itself as an ongoing GEF project.  Previous evaluators have commented on the unsatisfactory cycle of IW:LEARN project approval, preparation and implementation, which has resulted in long gaps between successive phases (nearly 20 months between IWL3 and IWL4).  The stop-start nature of IW:LEARN has an impact on continuity and can potentially lead to a loss of institutional knowledge due to PCU staff turnover.

Breaks in continuity affect all aspects of IW:LEARN but it particularly affects the IW:LEARN.net website.  If the website is not permanently hosted and managed there is a high risk that it will lose its relevance and become redundant.  For this reason, it is highly recommended that a permanent solution be found for hosting and maintaining the website so that it continues to function and maintain relevance in any prolonged down period between IW:LEARN phases.  Furthermore, as noted in , the management of the IW:LEARN website content should be a core function of the PCU with a dedicated project assistant to work with the IW projects to manage its content (see Recommendation 6).

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| **Recommendation 10:** | **A permanent solution should be found for hosting and maintaining the IW:LEARN.net website to ensure that it continues to function during any prolonged period between IW:LEARN phases.** |

The MTR also highlighted the risks posed by IW:LEARN project turnover every four years and the impact this has on the continuity that is needed to sustain and build on project outcomes.  It also noted that whereas GEF provides the financial mechanism for supporting the secretariats of several

conventions[12], there is no similar permanent mechanism within GEF to support International Waters to the same extent. After four phases of implementation and with a fifth phase planned, it is clear that IW:LEARN has reached a stage of maturity where a more programmatic approach would be appropriate. The evaluator is aware that discussions around this have taken place in the past and have either been rejected or not moved forward. Nevertheless, to sustain the institutional framework for IW:LEARN, the evaluator suggests that a longer term programmatic approach should be adopted and that at least the core functions of IW:LEARN should be made permanent. These core functions would include a programme manager, website hosting, a website content manager and an administrative assistant. Individual project phases could then be implemented on four year cycles in the usual way, with components, outcomes, activities and workplans dependent on the needs and requirements of the IW projects. Such an arrangement would iron out the troughs and peaks in IW:LEARN programming and facilitate a smoother trajectory towards achieving longer term outcomes and objectives. An alternative arrangement would be to extend the PCU function for six months or one year beyond closure of the main project implementation period (e.g. five years for a four year project) to allow for a smooth transition from one phase to the next.

**Environmental Risks to Sustainability**

The IW:LEARN-4 and LME:LEARN projects have been service providers to the IW portfolio of projects and have not been directly involved in "on the ground" implementation. The services provided have supported the IW projects and strengthened their capacity through the development of toolkits, organisation of training, and convening of conferences to exchange knowledge that directly address environmental risks and their mitigation within the IW portfolio and beyond. The environmental dimension of sustainability for both IW:LEARN-4 and LME:LEARN is therefore rated as **Likely**.

Taking all dimensions of sustainability into account and in accordance with UNDP guidance for conducting terminal evaluations of GEF-financed projects which stipulates that the overall rating for sustainability should be no higher than the lowest rated dimension, the overall rating for both IW:LEARN-4 and LME:LEARN projects is **Moderately Likely in the near term** but Moderately Unlikely in the long term**.**

### 3.8.8   Impact

The assessment of impact for global service-oriented projects such as IW:LEARN and LME:LEARN depends on the definition of impact used. For development projects, impact is assessed in terms of changes in human development as measured by improvements in people's well-being. For GEF projects, it is changes in global environmental benefits as verified by environmental stress and/or changes in environmental status. IWL4 and LME:LEARN do not have direct impact at national level but by building capacity and strengthening regional governance in front line IW projects they are supporting improvements in people's lives and positive changes in global environmental benefits.

The MTR consultant developed an outline Theory of Change for IWL4 which defined the medium to long term impact of the project as "*enhanced cooperation and effective management of international water resources in achieving SDGs 6 and 14*" leading to the positive development impact of "*improved state of international waters ecosystem".* The MTR also developed four "intermediate states" that would need to be achieved in order for impact to be realised.

1.   **Increased knowledge and understanding of EBM and governance for international waters.**

The projects have improved knowledge and understanding of ecosystem-based management and governance for international waters through further development of the IW:LEARN.net website and

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[12] Convention on Biological Diversity (CBD); UN Framework Convention on Climate Change (UNFCC); Stockholm Convention on Persistent Organic Pollutants (POP); UN Convention to Combat Desertification (UNCCD); Minimata Convention on Mercury; Montreal Protocol on Substances that Deplete the Ozone Layer

LME hub; development of toolkits, manuals, webinars and MOOCs; organisation of IWCs, regional dialogues, workshops and other training events; and development of freshwater and LME communities of practice. However, at the time of TE, a groundwater Community of Practice had not been fully established.

## 2. Increased involvement of private sector and scaled-up investments for management of international waters.

Private sector engagement has been promoted through Activity 3.4 executed by WWF, through participation in three regional workshops (Entebbe, Montevideo and Gaborone) and the production of four webinars (not available on the website). Sessions on private sector were also held at IWC8 and IWC9. As of the TE, two projects (SAPPHIRE and Dniester) had identified IWL support as assisting private sector engagement in their exit/sustainability plans. LME:LEARN also engaged with the private sector by organising sessions at a World Ocean Council (WOC) summit and WOC facilitated roundtable sessions at three of the regional network meetings in Africa (Senegal, 2018), LAC (Panama, 2018) and Asia-Pacific (Thailand, 2018). Engagement of the private sector in IW:LEARN is at an early stage and there are challenges to be addressed. However, the GEF-7 International Waters strategy states that GEF IW investments will stimulate private sector investment through all of its three objectives and the next phase of IW:LEARN will address this directly through one of its project components. It is therefore anticipated that further progress towards achieving this intermediate state will continue be made.

## 3. Cohesive and complementary approaches promoted by development partners

The extent to which external partnerships have worked together for improved learning and knowledge management has been mixed. There have been examples of close collaboration between the executing partners, for example between UNESCO-WWAP and WWF on gender mainstreaming and between UNECE and GWP on the water-food-energy-ecosystems nexus. All partners attended the IWCs and many contributed to the targeted regional training workshops. On the other hand, many of the partners implemented their activities and did not interact with other partners to a great extent. This may be a result of the project design and the partner contractual arrangements, which placed more emphasis on the specific activities to be implemented and less on cohesive and complementary approaches to achieving results. This also comes across in many of the partners' contributions to the discussion on sustainability at the PSC meeting in April 2018 where the emphasis was on individual partner's sustainability planning rather than planning for sustaining project outcomes. This may be a symptom of the large number of partners for IWL4 compared to previous phases and the need for specific roles for each of the 11 partners which were not necessarily complementary. Some progress has therefore been made towards achieving this intermediate state but it is suggested that the project design for IW:LEARN should focus more on cohesive and complementary partnerships to achieve results rather than implementation of activities.

## 4. Increased dialogue and development of institutional arrangements

IWL4 has made significant progress towards achieving this intermediate state through the organisation of two IWCs, three regional dialogues, five regional training workshops and three structured twinning exchanges and other *ad hoc* exchanges. Nearly all interviewees and particularly the project managers interviewed emphasised the importance and value of these face to face activities for capacity building and strengthening institutional arrangements.

Another means of assessing impact is to monitor how participants in the IW conferences, workshops and twinning exchanges have used their training to improve their performance and the benefits that their projects have accrued. The PCU has developed an "impact tracker" to follow and measure IW:LEARN participants over time so that the impact of IWL engagement might be better assessed in the future. This was developed during IWL3 and as noted by the IWL3 terminal evaluator, it should be capable of providing improved metrics for IWL's growing impact. This evaluator

reiterates the IWL3 recommendation that the current flat file spreadsheet, which is understood to be very large, should be converted to a relational database so that it can be accessed by specific queries. It is further recommended that the PCU analyses the current database and produces a report on project impact for the final PSC meeting.

| | |
|---|---|
| **Recommendation 11:** | **The IW:LEARN "impact tracker" should be converted into a relational database to allow specific queries. The PCU should analyse the current database and produce metrics on project impact for reporting to the final PSC meeting.** |

# 4 Conclusions, Recommendations and Lessons Learnt

## 4.1 Conclusions

The IWL4 and LME:LEARN projects have completed and delivered an impressive range of activities and outputs and both projects are on target to achieve nearly all of their outcomes by the end of the projects, with the few exceptions highlighted below. Both projects are closely aligned with GEF's strategic objectives and UNDP, UNEP and UNESCO IOC strategic objectives and expected results. At the IW portfolio level, IWL4 has focused on delivering thematic capacity-strengthening workshops and project/partner roundtables based on primary themes emerging from the IW portfolio mapping and capacity-needs assessment, as well as corporate and strategic priorities. LME:LEARN is particularly closely aligned to IOC's Main Line of Action "Promoting knowledge and capacity for protecting and sustainably managing the oceans and coasts" and its associated Expected Results. The project was designed to address the issue of LME governance and is therefore highly relevant to the identified needs of the LMEs.

### 4.1.1 Achievement of Results

The IWL4 and LME:LEARN projects have achieved a combined total of 10 outcomes, 66 outputs and around 100 activities and sub-activities, and the PCU and project partners are to be congratulated for achieving so much during the last four years.

The IWL4 project has strengthened knowledge management approaches and capacity within the IW portfolio as a result of the IW Conferences, twinning exchanges and regional workshops. Knowledge management and capacity will continue to be strengthened until the end of the project and beyond. The project has also scaled-up learning and dissemination of experiences, tools and methodologies and has improved the effectiveness of IW projects to deliver results, although there are currently no means to quantify this assessment. Targets that have not been met yet include the expansion of the global groundwater Community of Practice and the completion of Economic Valuation assessments by 10 IW projects and neither are likely to be achieved without a project extension. In the case of EV assessments, the original target is considered to have been unrealistic and will not be achieved without further technical and funding support to assist the IW projects to conduct the assessments. Despite these shortcomings, **IWL4 has made good progress towards achieving its objective and is well placed to make further progress up to the end of the project and beyond, with continued support into the next phase of IW:LEARN.**

The LME:LEARN project has succeeded in improving global ecosystem-based governance of LMEs by establishing an LME/MPA/ICM Community of Practice and extending it to include MSPs and coastal climate change projects. Technical working groups on LME Governance, Ecosystems-Based Management and Data and Information Management were established and five toolkits were developed and are available on the IW:LEARN.net website. The LME Project Cycle toolkit is still in

preparation and will be published before the end of the project. Capacity has been developed and south-to-south and north-to-south learning supported through the establishment of three regional networks in Africa, LAC and Asia-Pacific, the completion of six twinning exchanges and three Inter-project Collaboration Opportunities (ICO) and a further three ICOs are due to complete by the end of project. Training materials have been developed for online and face-to-face training in LME Governance, Marine Spatial Planning and Economic Valuation and have been deployed at meetings and workshops in each of the three regional networks. Overall, **LME:LEARN has delivered most of its outputs and achieved most of its targets as of the TE and has made good progress towards achieving its objective.**

### 4.1.2   Project Design and Implementation Issues

**Project Design**

The designs for both projects were ambitious and highly detailed with complex activity-based implementation strategies. For IWL4, this complexity is thought to be due to the greater number of executing partners than in previous phases of IW:LEARN which resulted in a large number of activities and sub-activities reflecting the partners' interests and work programmes.

IWL4 has a clear Results Framework with outcomes and indicators that are mostly SMART. On the other hand, the LME:LEARN Results Framework confuses components, outcomes and indicators and has many indicators that are not SMART. The LME:LEARN implementation strategy was based on a large number of activities and sub-activities and in many cases the outputs are imprecise with no indicators or targets. Outputs are not included in the Results Frameworks of either ProDoc such that direct links between outputs and outcomes are not well established. The evaluator suggests an outline Theory of Change analysis should be conducted at project design stage to map out the causal pathways between outputs, outcomes and impact to help focus on implementation strategies that will achieve key outcomes and objectives. It is further recommended that the design of future phases of IW:LEARN should eliminate sub-activities (to the extent possible) and concentrate on core activities that are designed to deliver concise sets of SMART outputs with clear linkages to SMART outcomes.

**Partnerships**

Eleven executing partners supported IWL4 compared to six partners for IWL3. Three of the partners were common to IWL3 and IWL4 meaning that there were eight new partners contributing to IWL4, three of which are GEF Implementing Agencies. For LME:LEARN there were four executing partners, two of which were also partners for IWL4. The intention of inviting more partners to participate was to broaden the knowledge base and tap into the specific expertise of each partner. However, coordination of so many partners placed an additional administrative burden on the EA and PCU, particularly in managing the annual renewals of IPAs, and several partners commented on the high transaction costs of working with the UNESCO system. Staff turnover at many of the executing partners added to the administrative workload of the PCU as new partner contacts had to be inducted into their project activities. Opinions were expressed at IA and EA level that some of the partners were not fully committed to supporting the IW portfolio beyond the end of project without further funding from GEF as evidenced by their initial comments on sustainability at the PSC meeting in April 2018. Most of the partners have yet to deliver their sustainability plans to the PCU and their ongoing commitment will become clearer at the final PSC meeting when the overall exit strategy is discussed.

For the next phase of IW:LEARN it is suggested that the number of executing partners should be reduced to a core that can contribute to the activities and deliver outputs that are based on the needs and requirements expressed by the IW projects. The partners should also identify which IW projects they are committed to support based on pledged co-financing as well as GEF increments.

## Project Management

Considering the complexity of the projects, the large number of executing partners and the dual IA arrangement, the PCU has managed the projects competently and with sensitivity to the needs of the IW projects. It is clear that the PCU has communicated well and has had excellent relationships with the main project stakeholders. However, the dual IA and EA arrangement has resulted in inefficiencies in project implementation exacerbated by a geographically split PCU with each EA having different reporting lines to their respective IAs. For future phases of IW:LEARN, it is recommended that there should be one centralised PCU located at a single EA. The benefits and drawbacks of having dual IAs should be reviewed and if the practice is continued in the next phase, the project's Monitoring and Evaluation Framework should be integrated to ensure that the EA/PCU is required to submit harmonised quarterly and annual reports to both IAs.

The PSC met annually from 2016 to 2019 and is due to meet again before the closure of the projects. This frequency is considered adequate as there are also informal exchanges taking place between meetings. Many interviewees commented that the PSC meetings spent too much time on receiving progress reports from the partners and that more time should be allocated to forward looking strategic discussions, which many felt was the main purpose of the PSC, and it is recommended that the PSC should streamline its meetings to limit the time allocated for reporting back and to allow more time for discussing issues of strategic importance.

Several interviewees commented that the composition of the PSC should be reviewed for future phases of IW:LEARN. They commented that there is a potential conflict of interest in having executing partners on the PSC as they are potentially providing oversight of themselves. However, the project is reliant on the partners to implement the project activities and therefore it seems appropriate that they should be involved in the PSC. One possible solution would be for the PSC membership to comprise the GEF IW Secretariat and the project IAs, and to invite other GEF IAs (FAO is already a member) and representatives from regional networks and RBOs to join the PSC with the executing partners participating as observers. However, although this structure might improve project oversight and bring external viewpoints to the PSC, it may also reduce the sense of partnership that IW:LEARN seeks to foster.

## Project Finance

Although no financial audit has been conducted as part of this evaluation, both EAs appear to have applied standard and appropriate financial practices or review, monitoring and reporting in accordance with their internal administrative and accounting systems. The overall budget utilisation rate for IWL4 stood at 87% as of 30 September 2019 and for LME:LEARN it was 89%. The PCU is confident that the remaining funds will be utilised before the end of the project as a number of workshops and meetings are planned for the first quarter of 2020.

An issue that caused an administrative bottleneck is that the UNDP's ATLAS accounting system is incompatible with UNESCO's SAP system. This delayed the approval of annual budgeting and the release of funds in the first few years but the situation has improved in recent years. However, budget revisions can still be difficult to achieve and is a complicated process involving many steps involving UNESCO and UNDP staff with the result that it can take up to three months for a revision to take effect. It is recommended that the administrative teams from both agencies learn lessons from their IWL4 and LME:LEARN experiences and come together to formulate practicable solutions in advance of the start of the next IWL phase.

The highly detailed workplans for both projects based on the large number of activities designed into the ProDocs left little room for budgetary flexibility throughout implementation. In projects of four years' duration, new issues arise and demands may evolve and the PCU should have some flexibility

to respond by cutting back on some activities and introducing new ones as long as they are linked to the overall project outcomes. Although flexibility or contingency may be difficult to build into UN accounting systems, improving the approval process and reducing the time taken for budget revisions will encourage more flexibility during implementation.

## Co-financing

The level of co-financing pledged at the start of each project was $12,152,316 for IWL4 and $13,354,599 for LME:LEARN. For IWL4, the total recorded co-financing as of the TE was $24,161,615 and for LME:LEARN it was $5,051,320. The higher figure for IWL4 was as result of much higher co-financing from UNDP and GWP. The lower figure for LME:LEARN was due to the much lower than pledged co-financing from NOAA. As of the TE, the ratio of GEF funding to co-financing was 1:4.8 for IWL4 and 1:5.3 for LME:LEARN in comparison to the GEF-6 aspirational ratio of 1:7 and IW's median ratio for GEF-6 Full Sized Projects of 1:9.6.

The reporting of co-financing by partners has been generally poor, due to a lack of timely reporting rather than a lack of activity. The importance of correct accounting for co-financing cannot be emphasised enough as it is one of the basic requirements for GEF to grant funding. It is highly recommended that the PCU follows up with the partners to determine an accurate picture of the level of co-financing committed as a basis for GEF to consider for the next phase of IWL. A more standardised approach to calculating co-financing should also be considered to ensure that all partners are using the same basis for calculating their commitments, especially their in-kind contributions.

## Sustainability

Taking all its dimensions into account, the sustainability of IW:LEARN is considered to be moderately likely in the near term but moderately unlikely in the long term. This is based on the high dependence on continued GEF funding which is only assured for the next phase of IW:LEARN. It is understood that LME:LEARN will be merged with the next phase of IW:LEARN so its sustainability is also dependent on continued support from GEF. However, there is strong institutional support for LMEs provided by IOC UNESCO, NOAA and ICES and financial sustainability for LMEs is therefore likely to be stronger in both the short and long terms.

Of particular concern to the institutional sustainability of IW:LEARN is the lack of certainty and hence its vulnerability as an ongoing GEF project. The cycle of IW:LEARN project approval, preparation and implementation, which has resulted in long gaps between successive phases (nearly 20 months between IWL3 and IWL4) is unsatisfactory. The stop-start nature of IW:LEARN has an impact on continuity and can potentially lead to a loss of institutional knowledge due to PCU staff turnover. Breaks in continuity can have a particularly profound effect on the IW:LEARN.net website. If the website is not permanently hosted and managed there is a high risk that it will lose its relevance and become redundant. It is highly recommended that a permanent solution be found for hosting and maintaining the website so that it continues to function and maintain relevance in any prolonged down period between IW:LEARN phases. The management of the IW:LEARN website content should be a core function of the PCU with a dedicated project assistant to work with the IW projects to manage its content.

After four phases of implementation and with a fifth phase planned, it is clear that IW:LEARN has reached a stage of maturity where a more programmatic approach would be appropriate. To sustain its institutional framework, the evaluator suggests that at least the core functions of IW:LEARN should be made permanent. These core functions would include a programme manager, website hosting, a website content manager and an administrative assistant. Alternatively, the PCU function could be

extended for six months or one year beyond closure of the main project implementation period to allow for a smooth transition from one phase to the next.

### 4.1.3   Gender

IWL4 has made a direct contribution to gender mainstreaming through sub-component 2.5 "Promotion of Gender Mainstreaming in the GEF IW Portfolio", with the scope of achieving increased recognition of gender issues and attention on gender equality throughout the GEF IW projects. UNESCO-WWAP and WWF conducted six webinars on how to incorporate gender considerations in water resources management, and eight workshops including two at IWC8 and three at IWC9.  The PCU has also produced a brochure for "Twinning on Sex-Disaggregated Water Data".  The next phase of IW:LEARN should build on these achievements by developing toolkits and other training material and should build a gender dimension into twinning exchanges.  It is recommended that all relevant project outputs and outcomes should include gender-sensitive indicators.  These indicators should not be limited to sex-disaggregated data but should also include gender-responsive indicators, where appropriate.

### 4.1.4   IW:LEARN Core Activities

In a multi-faceted project such as IW:LEARN it is important to comment on how IWL4 has contributed to the core functions of IW:LEARN as identified in the ProDoc and as highlighted during the stakeholder interviews.  Strengthening knowledge management capacity is one of the key objectives of both IWL4 and LME:LEARN.  In IWL4 this has been achieved through the IWCs, twinning exchanges, targeted regional workshops and other training events such as webinars and MOOCs.  In the case of LME:LEARN knowledge management capacity has been enhanced through establishment of a Community of Practice for LMEs, the establishment of three regional networks, six twinning exchanges, six ICOs, the development of toolkits and organisation of training workshops and the development of a Google layer based LME Hub.  Knowledge management however implies a transformational process between the collection, organisation and sharing of information and the development of knowledge products that can be readily accessed by users.  IWL4 and LME:LEARN have been successful in developing knowledge products for the use of the IW portfolio of projects (and beyond).  The collection, organisation and sharing of information is the function of the IW:LEARN.net website and in this respect IWL4 has fallen short.

The IW:LEARN.net website attracted many comments during the stakeholder interviews with the consensus of opinion being that although it is better than it used to be, it requires further work to improve its functionality and make it easier to find information.  That said, all interviewees appreciated having the website and some pointed out that other GEF focal areas do not have such a facility.  Nevertheless, the website clearly has problems that need to be addressed.  Numerous suggestions were offered, but most common were the need to make navigation more user-friendly so that it is easier to locate information; keeping the content up-to-date; and redesigning the front page and populating it with links to news items, brochures, recent publications, notice of meeting etc.  This information is often available on the internal web pages but should be brought to the fore to make the front page more current and attractive.  Several interviewees commented that the IW:LEARN website should link to the Transboundary Water Assessment Programme (TWAP) website as much useful information of direct relevance to the IW projects can be found there.  The issue of website content management has been discussed elsewhere in this report but the need for this to be a core function of the PCU is reiterated here. The website content is also dependent on a flow of information from the IW projects and this has ceased in recent years.  The PCU should conduct a survey to canvas opinions about the website to understand the barriers that are preventing more active engagement by the projects and to enhance its value in facilitating the exchange of information and knowledge and the sharing of good practices by the IW projects.

Of the other core functions of IW:LEARN, the biennial International Waters Conferences are popular with nearly all of the interviewees (although one interviewee thought that they were too long and too general) and the participant surveys indicated a high level of satisfaction with both IWC8 and IWC9. Twinning exchanges are also highly rated by all interviewees and particularly the IW project managers, who stressed how valuable the exchanges had been to their projects. The toolkits, manuals and experience notes produced by both projects were also highly rated by the interviewees with again the IW project managers particularly appreciative. One commented that without IW:LEARN, life as a project manager would be a lot more difficult.

## 4.1.5   Looking Forward

After 20 years and four phases of implementation IW:LEARN can be considered as mature, but that does not mean it has to be static or boring. Nor does it mean that it necessarily has to grow. There is always a temptation to keep adding more activities to the successive project phases, but often "less is more" and the next phase should reflect on the achievements so far and act on the lessons learned over recent phases. IW:LEARN needs to take care of its core services first and foremost (such as the website and the IWCs) and innovate to remain relevant to its end users. This will require consultation during the PPG phase for IWL5 to ensure that the project design is relevant to and addresses the needs of all stakeholders, from GEF secretariat to IW project level.

Beyond the GEF IW portfolio, IW:LEARN should leverage its comparative advantage and further strengthen its collaboration with external organisations such as the UNEP Regional Seas Conventions and Action Plans (RSCAP), Regional Fisheries Management Organisations (RFMO), River Basin Organisations (RBO) and marine Areas Beyond National Jurisdiction (ABNJ) to avoid duplication of effort and exploit synergies. Engaging the private sector in the next phase should also be a priority for IW:LEARN. The first steps toward this have been taken in IWL4 and the needs and requirements of the private sector and the barriers to its engagement need to be understood through consultations and workshops. The project should also consider hiring a consultant to develop an engagement strategy and coordinate this activity.

## 4.2   Recommendations

Table 10 summarises the recommendations contained in the previous sections of this report. The recommendations are intended to be practical and feasible and are targeted at improving project design, improving the efficiency of implementation and enhancing the sustainability of IW:LEARN in its future phases.

**Table 10       Table of Recommendations**

| No. | Topic | Section | Recommendation |
|---|---|---|---|
| 1. | Project Management | 3.6 | PSC should streamline its meetings to limit the time allocated for reporting back by executing partners and allow more time for discussing issues of strategic importance |
| 2. | Project Management | 3.6 | PSC membership should comprise the GEF Secretariat, the project Implementing Agencies, other GEF IW Implementing Agencies and representatives from regional networks/River Basin Organisations with the executing partners attending as observers |
| 3. | Project Management | 3.6 | Future phases of IW:LEARN should have one central PCU reporting to one Implementing Agency and the Project Manager should have control over the core functions and budget for all components of the project |

| 4. | Financial Management | 3.7.4.1 | UNDP and UNESCO administrative officers should learn lessons from the problems encountered during implementation of IW:LEARN-4 and LME:LEARN and formulate practicable solutions to avoid delays in the approval of budgets and release of funds, and to simplify the approval process for budget revisions |
|----|----------------------|---------|---|
| 5. | Co-Financing | 3.7.4.2 | PCU should follow-up with the partners to determine an accurate level of co-financing committed to the project.  GEF should consider a standardised approach to calculating co-financing to ensure that partners are calculating their commitments on the same basis |
| 6. | Effectiveness | 3.8.3.1 | The management of the IW:LEARN website content should be a core function of the PCU with a dedicated project assistant to work with the IW projects to manage the content and populate the website.  A communications strategy should be developed to encourage more IW projects to share information on a more regular basis and to maintain up-to-date contact information for their projects |
| 7. | Project Design / Efficiency | 3.8.4 | The design of future phases of IW:LEARN should eliminate sub-activities and include a core of activities designed to deliver concise sets of SMART outputs with clear linkages to SMART outcomes |
| 8. | Gender | 3.8.6 | All relevant project outputs and outcomes in the next phase of IW:LEARN should include gender-sensitive indicators, for example for twinning exchanges, training workshops, conferences and dialogue processes.  These indicators should not be limited to sex-disaggregated data but should also include gender-responsive indicators, where appropriate. |
| 9. | Sustainability | 3.8.7 | Executing partner sustainability plans should be submitted with their proposals and included in their contractual agreements.  The plans should be updated in every progress report and the PCU should prepare an Exit Strategy for review by the PSC at its penultimate meeting |
| 10. | Sustainability | 3.8.7 | A permanent solution should be found for hosting and maintaining the IW:LEARN.net website to ensure that it continues to function during any prolonged period between IW:LEARN phases |
| 11. | Impact | 3.8.8 | The IW:LEARN "impact tracker" should be converted into a relational database to allow specific queries.  The PCU should analyse the current database and produce metrics on project impact for reporting to the final PSC meeting. |

## 4.3   Lessons Learned

For projects of the duration and complexity of IWL4 and LME:LEARN, many lessons have been learned by the IAs, EAs and executing partners during implementation.  Moreover, as this is the fourth phase of a series of IW:LEARN projects and a fifth phase is in the planning stage, a cumulative catalogue of lessons should have been compiled that will benefit the design and implementation of subsequent

phases. Indeed, the Monitoring and Evaluation frameworks for both projects imply that a quarterly log of lessons learned should be kept by the PCU.

As highlighted in Section 3.8.4, robust, clear results-based project designs lead to more efficient implementation with results frameworks that can be used as effective management tools rather than simply for reporting purposes. In this respect, it is important that there is clear linkage between outputs and their related outcomes and that outcome indicators are actually suitable for measuring the change the outcome seeks to achieve. Both ProDocs are highly prescriptive in terms of activities but often the links between activities and results are not well established. A common opinion expressed during interviews is that activities should not be so tightly prescribed and there should be more flexibility to adapt to evolving requirements and to encourage innovation in response to emerging issues.

In terms of project management, a key lesson of this and previous phases of IW:LEARN is that a geographically split PCU is not an efficient modality for managing complex projects. Furthermore, the Project Manager needs to have full control over the core functions and budget for all components of the project.

The incompatibility of UNDP's and UNESCO's accounting systems caused delays in the approval of annual budgeting and the release of funds in the first few years of implementation. Budget revisions were also difficult to achieve involving many steps at both UNESCO and UNDP with the result that it could take up to three months for a revision to take effect. UNESCO and UNDP should learn lessons from these experiences and attempt to resolve these administrative inefficiencies for the next phase of IW:LEARN.

Many interviewees provided examples of lessons learned from their own perspectives out of which several important themes emerge:

- There were more executing partners involved in IWL4 than in previous phases and some of the new partners did not fully understand their roles within IW:LEARN. Partners should be able to demonstrate their engagement with IW projects and commit to post-project sustainability planning both with and without further GEF increments.

- It is important to define a vision and mission for IW:LEARN that all partners understand and can subscribe to in order to strengthen a sense of partnership and purpose for their activities.

- The target audience for IW:LEARN should not be limited to GEF IW projects. For replication effect, cooperation should be extended to a wider audience.

- Networking and collaborative opportunities are very important for IW:LEARN but it should not be assumed that networking for the sake of it is worthwhile. Consideration should be given to the beneficiaries of and contributors to regional networks and what incentives there are for them to join, given the time and resource pressures under which most project managers operate.

- Training workshops tend to be "top down" with trainers brought in from the executing partners. However, many IW project managers have a lot of experience and should be considered as a trainer resource. This would also encourage south-south cooperation.

- To be able to execute the Information Communication Technology (ICT) activities effectively, it is important to understand how the IW projects operate and to understand the needs of all stakeholders. This will promote better understanding of the website guidelines and lead to increased flow of information to the IW:LEARN website from the projects.

## Annex 1 IWL4 expected outcomes, outputs, output indicators and targets achieved at MTR and TE

| Achieved at TE | On target to be achieved by end of project | Not on target to be achieved by end of project |
|---|---|---|

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| **Outcome 1** (UNEP Implemented): Increased experience sharing and replication of successes throughout and beyond the IW portfolio, as well as enhanced stakeholder buy-in to GEF IW project interventions | | | | | | |
| 1.1 | Upgraded IW portfolio visualization tool, including a spatial data-based results reporting interface and standardized indicator-based monitoring of project interventions | Number of projects visualizing spatial data at IW:LEARN.net | 10 | 11 | 20 | 18 |
| | | Number of portfolio visualization maps/graphs produced | 20 | 128 | 40 | >200 |
| | | Number of layers uploaded in the visualization tool | 25 | 80 | 50 | 801 |
| 1.2 | IW:LEARN website incorporating partners' online knowledge platforms, serving global network learning partnership and supporting GEF IW results-based management and GEF-wide knowledge management activities | % of *active* portfolio sharing news and results *to IW:LEARN.net* | 40% of on-going project websites | N/A | 80% of on-going project websites | 37.6% |
| | | Increase in unique page views | 15% | N/A | 25% | 33.2% |

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| 1.3 | Published IW e-newsletter, blogs, webinars, videos and mailings on current transboundary IW issues | Number of monthly electronic bulletins highlighting project, partner and portfolio news, events, results | 12 issues of monthly eBulletin distributed | 8 | 24 issues of monthly eBulletins distributed | 18 Bimonthly newsletters. 1 more issue to be published before end of project |
| | | Number of subscribers to social media, blogs and mailing lists. *% quota increase for Facebook/Twitter* | Facebook 10% increase Twitter: 20% increase | Facebook: 12% Increase Twitter: 15% increase | Facebook 10-15% increase Twitter: 20-25% increase | Facebook: 51% increase Twitter: 147% increase |
| 1.4 | Synthesis reports on portfolio and non-GEF approaches to with on priority topics addressing the management of transboundary water systems | Number of synthesis reports & guidance produced | 2 synthesis report/ guidance published | 0 | 2 -3 synthesis report/ guidance published | 3 From Source to Sea; Reducing nutrient pollution; Nexus approach |
| | | IW Experience Notes and IW Achievement Notes received from the portfolio | 12 | 0 (10 in pipeline) | 24 | 31 experience notes 3 results/ achievements notes |
| 1.5 | Training on information and communication technology for improved management of | Number of ICT trainings conducted | 4 face-to-face regional ICT workshop and 2 webinars organized | 1 face-to face and 0 webinars | 8 webinars organized (Changed by PSC) | 8 |

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| | information by GEF projects | Percentage of requests for technical assistance responded to | >99% | | >99% | 100% |
| **Outcome 2a**(UNDP Implemented): Enhanced portfolio and partner capacity at the regional and global levels, and portfolio-wide dialogue opportunities for increased transboundary cooperation. | | | | | | |
| 2.1 | Structured project-project twinning exchange program | Number of planned twinning partnerships established | 2 | 2 | 5 | 3 |
| | | Number of *ad hoc* exchanges | 3 | 2 | 6 | 4 |
| 2.2 | GEF Biennial International Waters Conference 8 and 9 | Number of IW participants at IWC 8 & 9 | 300 | 299 at IWC8 | 600 | 629 (at IWC8 and 9) |
| | | % of IW projects exhibit an innovative or replicable experience at IWC | 50% of IW projects attending IWC exhibit/present at least one innovation and/or replicable experience | 80% | 50% of IW projects attending IWC exhibit/present at least one innovation and/or replicable experience | 80% |
| | | IW projects indicate at least 1 new approach following workshops and the IWCs | | | 50 | 47 (12 PM at IWC8 and 22 PM at IWC9 and 13 PM at regional workshops) |

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| 2.3 | Regional dialogue approach for enhanced transboundary cooperation sustained and conducted in regions with limited GEF IW investment | Number of roundtables/workshops in SEE/MENA | 1 | 1 | 3 | 3 |
| | | MAGD available for regional dialogue | Completed | | Completed | Completed (MAGD available for regional dialogue in Dec 2018) |
| | | Number of roundtable/workshops in new regions | 1 | 0 | 2 | 1 |
| 2.4 | Structured regional training workshops for GEF projects & partners, delivered by the global partner learning network and together with global LME governance project | Number of global and regional workshops addressing identified knowledge gaps | 3 | 3 | 6 | 5 |
| 2.5 | Distilled summary material on gender strategies from all GEF Agencies disseminated through IW portfolio and available at IW:LEARN website and GEF IW Community of Practices on freshwater resources. | Number of gender mainstreaming activities at IWC and other IW workshops | 3 | 5 of 6 webinars, 1 video, 2 of 3 workshops | 8 | 14 |
| | | Number of IW personnel participating in gender webinars | 50 | Over 100 | 100 | >100 |
| **Outcome 2b** (UNDP Implemented): Increased global awareness of GEF results and additional partner collaboration with GEF | | | | | | |

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| 2.6 | Participation in key global dialogue processes to promote GEF IW results and exchange tools to enhance knowledge management activities | Involvement of IW:LEARN in global water dialogue process (e.g. World Water Forum, Stockholm Water Week, etc.) | 4 | 3 | 8 | 9 |
| **Outcome 3** (UNDP Implemented): External partnerships mobilised and working together with improved learning and knowledge management, through an enhanced global freshwater Community of Practice, to impact results and advance conjunctive management of water resources | | | | | | |
| 3.1 | Expanded global surface freshwater Communities of Practice to mobilize GEF and non-GEF partnerships and knowledge sharing | Establishment of freshwater learning service centre | Established | Almost | Established | Established |
| | | Number of training events supported on Nexus | 1 | 2 | 2 | 2 |
| | | Number of training events supported on sustainable hydropower *(changed to green infrastructure)* | 1 | 1 | 2 | 3 |
| | | Number of training events supported on benefit sharing / stakeholder analysis | 1 | 1 | 2 | 2 |
| | | Number of training events supported on climate resilience | 1 | 2 | 2 | 2 |
| 3.2 | Expanded global groundwater Communities of Practice | Number of IW projects with personnel attended in | 4 | Not known but 4 workshops attended | 8 | 15 |

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| | to mobilize GEF and non-GEF partnerships and knowledge sharing | conjunctive water management | | | | |
| | | Number of IW projects active in GW CoP | 8 | 0 | 15 | 0 |
| 3.3 | Partner exchanges to promote conjunctive management of freshwater GEF projects, both surface and groundwater (together with global partner learning network), as well promotion of Source-to-Sea with coastal and ocean projects (together with global LME governance project) | Number of IW projects participating at workshops between LMEs and linked basins | 1 | 2 | 2 | 2 |
| 3.4 | Structured engagement with the private sector through dialogue and joint activities | Number of regional workshops completed | 2 | 2 | 3 | 3 |
| **Outcome 4** (UNDP Implemented): Increased capacity of beneficiary governments, intergovernmental bodies and GEF projects to implement agreed actions identified in existing Strategic Action Programmes, with an eye to long-term sustainability | | | | | | |
| 4.1 | Systematic consideration of the economic valuation of natural resources into the | EV methodology and supporting documents available on IW:LEARN's website | Draft available | Final | Final available | Achieved |

| Output Number | Expected Output | Key Indicator | Targets: Mid-Point | Achieved by MTR (30/06/2018) | Targets: End of Project | Achieved by TE (30/09/2019) |
|---|---|---|---|---|---|---|
| | TDA/SAP process and targeted learning | EV methodology embedded in the guidance on TDA/SAPs | Draft available | Training materials developed | Final available | Achieved |
| 4.2 | TDA/SAP methodology updated and expanded with good practices from existing SAP implementation and waterbody-specific guidance | Review of SAPs completed for good practices for SAP implementation | Completed | Draft | | Completed |
| | | Guidance on Good Practices on SAP implementation available | Draft available | Draft waiting for review | Final available | Completed |
| 4.3 | Interactive online training courses based on priority thematic content to fill portfolio learning gaps (inter alia on legal frameworks, water-energy-food ecosystems nexus) | MOOCs prepared and available online | 1 | 1 | 2 | 2 |
| | | Number of registered participants in MOOC | 1000 | 431 | 2000 | 2597 (LME 2,580 : Freshwater Security 17) |

## Annex 2    LME:LEARN expected components/outcomes, activities and outputs delivered

| Achieved at TE | On target to be achieved by end of project | Not on target to be achieved by end of project |
|---|---|---|

| Activity Number | Activity | Outputs | Delivered by TE (30/09/19) | TE Comments |
|---|---|---|---|---|
| **Component/Outcome 1:** Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF LME/ICM/MPA projects to address their needs and incorporate climate variability and change | | | | |
| 1.1 | Terms of reference for Technical Partner Network developed by Project Coordination Unit, and Partner Network formally established based on existing mechanisms (such as IW:LEARN) | Terms of Reference for Partner Network developed and agreed | | Steering Committee ToR |
| | | Partner Network Formalized (Community of Practice, CoP) and annual LME project meetings invigorated and working effectively | | Regular Partner Network meetings conducted at the LME Consultations |
| | | Annual partner network meeting reports | | Reports for each LME Consultation Finalized |
| 1.2 | Database of GEF LME, MPA and ICM projects, in collaboration with IW:LEARN, along with other surface and groundwater projects having common or overlapping ecosystem boundaries, assembled and disseminated; partner network expanded to include GEF MPA and ICM projects and other related projects. Identification and inclusion of key non-GEF LME, MPA and ICM projects into Project Activities. | Global directory of LME/ICM/MPA projects, practitioners and institutions compiled and disseminated. | | Database available at https://iwlearn.net/marine/portfolio, nearly completed but new round of project approvals to be added |
| | | Web-based access to database directory available on Project Website and linked to Google maps | | See above |
| | | Training of projects in visualization and website hosting accomplished (by IW:LEARN) | | GRID-Arendal completed training activities (Gaborone, Cape Town and virtual) |
| | | List serve and training calendars available on line. | | https://iwlearn.net/events |

| Activity Number | Activity | Outputs | Delivered by TE (30/09/19) | TE Comments |
|---|---|---|---|---|
| 1.3 | Policy-level Steering Committee established, and annual meetings held | Annual Steering Committee meeting reports | 🟩 | PSC Meeting Reports |
| 1.4 | Establishment of regional networks with IW:LEARN | Three regional networks established (jointly with IW:LEARN) | 🟩 | 3 RN's established |
| | | Annual reports demonstrating networking effectiveness produced. | 🟩 | Reports available |
| | | Short reports from ICO grants, with lessons learned | 🟩 | ICO activity underway, reports available |
| | | Evaluation by PCU of effectiveness of ICO grant program | 🟨 | This is still to be done |
| | | By end of project, new GEF LME PIFs and CEO Endorsements will reflect incorporation of Regional Networks and their integration amongst projects | | This is aspirational and is an indicator rather than an output. |
| | | Surveys at end of this project show increase in GEF coastal biodiversity and climate adaptation projects including linkage components with IW LME projects | 🟨 | This is an indicator, not an output. However, the PCU may undertake this by inspecting recent IW ProDocs |
| **Component/Outcome 2**: Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change including the 5 LME modules | | | | |
| 2.1 | Working Group Established for Ecosystem Management | Key partners identified and working groups formed to complete each toolkit. | 🟩 | IUCN and CI lead the working group, consultants and organizations selected for the 7 toolkits |
| | | Sub-contracts issued and tracked to develop or otherwise deliver those selected tools. | 🟩 | |

| Activity Number | Activity | Outputs | Delivered by TE (30/09/19) | TE Comments |
|---|---|---|---|---|
| | | Toolkits on environmental economics analysis, social aspects of environmental policy, nutrient over-enrichment, LME valuation and satellite remote sensing completed | | 6 of 7 toolkits produced, LME project cycle toolkit to be finalized |
| 2.2 | Working Group Established for Governance Mechanisms | Key partners identified and working group formed to develop Governance Handbook | | ICES and NOAA lead the WG on governance toolkit |
| | | Sub-contracts issued and tracked to develop or otherwise deliver Governance Handbook. | | ICES contracted to do the work |
| | | Governance Handbook completed | | Handbook completed in both PDF and online storymap version |
| 2.3 | Demonstrations and dissemination of toolkits | Toolkits and Governance Handbook disseminated to project Partners | | Toolkit brochure developed and toolkits distributed and marketed online, as well as paper versions |
| | | Toolkits and Governance Handbook available on the internet | | Toolkits available on the marine hub and manuals section |
| 2.4 | Data and Information Management Working Group established | Key partners identified and working group formed on Data and Information Management | | Consultant recruited and UNDP/IOC lead the working group |
| | | Terms of Reference for working group completed by Project Coordination Unit. | | ToR prepared |
| | | Workshops on DIM held and reports made available on web resources. | | DIM workshop conducted in Paris in July 2019, as well as sessions at the LME global consultation meetings A further workshop was held in Bali in December 2019. |
| | | Learning exchanges created and used by Partner Network | | DIM workshop conducted in Paris in July 2019, as well as sessions at the LME global consultation meetings A further workshop was held in Bali in December 2019. |

| Activity Number | Activity | Outputs | Delivered by TE (30/09/19) | TE Comments |
|---|---|---|---|---|
| 2.5 | Training tools for DIM prepared and disseminated | Training tools for Data and Information Management developed | | Consultant prepares metadata catalogue, DIM guidelines, training curriculum and indicator proposal for LMEs |
| 2.6 | Publication of results | Essential results published and accessible to broader community | | SDG14 brochure prepared and LME briefs for IOC, SRSG for the Oceans |
| **Component/Outcome 3**: Capacity and partnership building through twinning and learning exchanges, workshops, and training among LMEs and similar initiatives (e.g., Seascapes | | | | |
| 3.1 | Establish internet-based portal to facilitate twinning and learning exchanges. | Internet-based portal operational | | Twinning portal established at iwlearn.net |
| 3.2 | Standardized materials developed for projects looking for twinning and learning exchanges. | Project Coordination Unit develops and disseminates twinning training materials | | PCU developed brochures and twinning guidelines |
| 3.3 | Foster and encourage twinning and learning exchanges, and formally assess their successes, failures, and lessons learned to pass on to other efforts and improve training materials. | Twinning experiences occurring. | | 6 twinning exchanges conducted |
| | | Twinning experiences tracked and evaluated and lessons learned included in training materials. | | Twinning mission reports collected by the PCU |
| | | Internet portal for twinning and exchanges established | | See 3.1 |
| 3.4 | Implement training strategy that is based on the short-term Capacity Development Survey and included in the Results Report | Training subcommittee established, and training program developed | | Training committee established from toolkit producers |
| | | Training strategy based on short-term capacity building needs assessment developed and implemented. | | Training strategy developed to guide the training |
| 3.5 | Develop training modules appropriate for on-site training or web-based training on ecosystem 5-modular assessment, management and governance practices, including climate variability and change | Existing training materials compiled and new training materials developed as necessary. | | Training modules developed from governance toolkit and MSP toolkit |

| Activity Number | Activity | Outputs | Delivered by TE (30/09/19) | TE Comments |
|---|---|---|---|---|
| 3.6 | At least six training sessions held, regionally distributed, to include GEF LME, ICM, and MPA staff, focusing on national ownership of ecosystem based management and cross-environmental (LME, ICM, and MPA) management | Training sessions held and GEF LME/ICM/MPA practitioners fully trained in ecosystem-based governance techniques and approaches including adaptation to climatic variability and change | | A total of 9 trainings conducted by the PCU with partners |
| 3.7 | Participation of LME community in global policy discussions to set/meet sustainable development goals | Database of extent of participation, and finding of impact on debate | | 8 global dialogues participated and 7 side events |
| **Component/Outcome 4**: Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned. | | | | |
| 4.1 | Interactive web site and social network sites established for LME Governance project | Interactive web site operational, creating a global LME/ MPA /ICM communication platform linking GEF LME, ICM and MPA projects with other relevant initiatives | | LME Hub developed by IUCN |
| 4.2 | Working Sub-Group established within Partner Network to develop strategy for showcasing LME, ICM, and MPA assessment and governance best practices amongst stakeholders | Terms of Reference for Working Sub-Group developed by Project Coordination Unit. | . | ToR developed |
| | | Working Sub-Group members identified within Partner Network. | | Members identified |
| | | Working Sub-Group established and strategy for showcasing LME, ICM, and MPA assessment and governance best practices developed | | Strategy for showcasing materials developed (communications strategy), 5 projects provided technical support with communications 10 policy briefs produced |
| 4.3 | Strategy for Showcasing Best Practices implemented by | Regional science-to-management workshops held. | | 3 science to management sessions conducted at regional network meetings |

| Activity Number | Activity | Outputs | Delivered by TE (30/09/19) | TE Comments |
|---|---|---|---|---|
| | Project Coordination Unit and Partners | Publication of findings from LME/ICM/MPA projects in peer-reviewed scientific, coastal and ocean management journals | | LAC Special issue procured and printed, Asia-Pac issue to be supported |
| 4.4 | Participation of GEF ecosystem-based LME/ICM/MPA project staff and practitioners in regional and global conferences (e.g., Global Ocean Forum, ICES Science Conferences, etc.). | Participation of GEF ecosystem-based LME/ICM/MPA project staff and practitioners in regional and global conferences | . | See 3.7, actually the same activity |
| | | Biennial conferences on ecosystem management and ocean governance held. | | Cape Town 2017 (budget only for one such event), Session conducted on regional ocean governance at 6th GEF Assembly |
| | | Conference and workshop proceedings published and disseminated | | Proceedings published |
| 4.5 | Interact closely with IW:Learn (assumes follow-on project is funded), and share experiences, best practices. | N/A | | Jointly executed projects |
| **Component/Outcome 5**: Project Management: establish a functioning Project Coordination Unit at IOC, encouraging participation by Partner Network, including short-time visits, seconding of personnel, etc. Work closely with NOAA in transitioning their non-science and technical support capacity to the Project Unit. | | | | |
| 5.1 | Establish a functioning, minimalistic Project Coordination Unit focusing management of partner activities | Staff hired and office operational | | PCU established |
| 5.2 | Conduct Monitoring and Evaluation (mid-term and terminal evaluations, PIR). Prepare a Strategy for LME Governance best practices for the long-term for the GEF portfolio, with overlapping interests within LME, ICM, and MPA domains | Mid-term and terminal evaluation reports, PIR | | All M&E requirements met, LME strategy under development |
| | | Long-term LME Governance strategy developed | | To be developed in Q1 2020 |

# Annex 3 Terminal Evaluation Terms of Reference

## 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 following projects: "International Waters Learning Exchange and Resource Network (IW:LEARN)" - PIMS no. 5337; and (2) "Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools" (LME:LEARN)" – PIMS no. 4481.

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

## IW:LEARN PROJECT SUMMARY TABLE

| Project Title: | International Waters Learning Exchange and Resource Network (IW:LEARN) | | | |
|---|---|---|---|---|
| GEF Project ID: | 5729 | | _at endorsement (Million US$)_ | _at completion (Million US$)_ |
| UNDP Project ID: | 5337 | GEF financing: | 4,987,500 | |
| Country: | | IA/EA own: | 5,006,526 | 1,715,442 |
| Region: | Global | Government: | | |
| Focal Area: | International Waters | Other: | 7,145,790 | 12,236,352 |
| FA Objectives, (OP/SP): | | Total co-financing: | 12,152,316 | 13,951,794 |
| Executing Agency: | IOC/UNESCO | Total Project Cost: | 17,109,816 | |
| Other Partners involved: | UN Environment, GRID-Arendal, CI, GWP, ICPDR, International River Foundation, IUCN, The Nature Conservancy, UNECE, | ProDoc Signature (date project began): | | 16 March 2016 |
| | | (Operational) Closing Date: | Proposed: 16 March 2020 | Actual: 16 March 2020 |

| | UNESCO-WWAP, UNIDO, UNESCO-IHP, WWF | | | |
|---|---|---|---|---|

## LME:LEARN

| Project Title: | Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools | | | |
|---|---|---|---|---|
| GEF Project ID: | 5278 | | *at endorsement (Million US$)* | *at completion (Million US$)* |
| UNDP Project ID: | 4481 | GEF financing: | 2,500,000 | |
| Country: | | IA/EA own: | 3,530,500 | 3,183,070 |
| Region: | Global | Government: | | |
| Focal Area: | International Waters | Other: | 9,824,099 | 1,868,249 |
| FA Objectives, (OP/SP): | | Total co-financing: | 13,354,599 | 5,051,319 |
| Executing Agency: | IOC/UNESCO | Total Project Cost: | 15,854,599 | |
| Other Partners involved: | ICES, NOAA, IUCN, CI | ProDoc Signature (date project began): | | 17 March 2016 |
| | | (Operational) Closing Date: | Proposed: 17 March 2020 | Actual: 17 March 2020 |

## PROJECTS BACKGROUND

For seventeen years, **IW:LEARN** has helped strengthen transboundary water management around the globe by collecting and sharing best practices, lessons learned, and innovative solutions to common problems across the GEF International Waters portfolio. The latest round of the project, started in 2016, marks the beginning of the new phase of IW:LEARN and the start of its co-executed sister project, **LME:LEARN**. Together, the two projects help promote learning among project managers, country officials, implementing agencies, and other partners in GEF International Waters projects.

Both projects offer a suite of technical and financial assistance that have become standardized as IW:LEARN enters into its seventeenth year of operations. While IW:LEARN provides support to the entire portfolio of GEF International Waters projects, this phase contains additional support aimed at building the capacity of river and lake basin projects in areas such as the water-energy-food nexus, climate change and variability, benefit sharing, legal and institutional support for basin organizations, sustainable infrastructure, and conjunctive management of surface and groundwater. For its part, LME:LEARN will undertake additional activities in support of the marine portfolio. In order to carry out proper regional governance of Large Marine Ecosystem regions, coordination between LME, Marine Protected Area, and Integrated Coastal Management projects will be supported.

The outcomes of the IW:LEARN are as follows:

- **Outcome 1:** Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF LME/ICM/MPA projects to address their needs and incorporate climate variability and change.
- **Outcome 2:** Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change including the 5 LME modules.
- **Outcome 3:** Capacity and partnership building through twinning and learning exchanges, workshops, and training among LMEs and similar initiatives (e.g., Seascapes).
- **Outcome 4:** Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned.

The focal point of the projects is the IW:LEARN website which serves as the premiere results archive and data collection service for the GEF International Waters portfolio. The site makes available case studies and best practices, Transboundary Diagnostic Analyses and Strategic Action Programmes from projects around the world, news and events related to International Waters, and targeted knowledge sharing tools to practitioners and the wider public. The website also hosts a unique Portfolio Visualization Tool and Portfolio Results Archive that allows users to quickly discover and analyze the impacts of GEF interventions across the world. Guidance documents and other resources are also made available here to further disseminate the experiences of International Waters projects. LME:LEARN holds a special section of that web site, with a structure that is similar to IW:LEARN but adapted to marine issues.

In addition to the website, both IW:LEARN and LME:LEARN support GEF International Waters projects through activities such as face-to-face training and knowledge sharing activities. The GEF Biennial International Waters Conference (IWC) is the signature learning event for the GEF International Waters portfolio. Bringing together a broad range of stakeholders, the conference aims to facilitate cross-sectoral and portfolio-wide learning and experience sharing, and to assist in building capacity in key management and technical areas. The Ninth GEF IWC took place in 2018 in Marrakech, Morocco. In addition to the IWC, both projects also support Targeted Training activities on water resources management and capacity building, Regional Dialogues and Workshops to help foster transboundary cooperation, Project Twinning for face-to-face engagement between project sharing common objectives or challenges and Global Dialogue Participation support to build partnerships with organizations working outside the immediate GEF IW portfolio

IW:LEARN has been a leader in designing and delivering new management tools, guidance and approaches for International Waters projects. The new phase of IW:LEARN undertook activities to support gender mainstreaming by introducing systematic consideration of gender equity, women's empowerment, and social inclusion into International Waters projects for the improved management of transboundary waters. IW:LEARN will also supported private sector engagement to help facilitate effective partnerships between projects and private enterprises. Activities included training on water stewardship and risk tools, dialogues on business participation in water resource management, and multi-stakeholder basin funds. IW:LEARN has also worked to integrate the economic valuation of natural resources into the Transboundary Diagnostic Analysis/Strategic Action Plan (TDA/SAP) process to influence decision-making and helping to bridge the science-policy gap. IW:LEARN also aimed to improve the quality of the SAPs to ensure that they focus on actions that can realistically be implemented through new guidance. LME:LEARN has provided additional value-added support in terms of governance, ecosystem-based

management, environmental economics, data and information management, marine spatial planning and stakeholder engagement.

A joint Project Coordination Unit (PCU) for IW:LEARN and LME:LEARN was established at IOC of UNESCO in Paris, France. The PCU has a joint Project Manager, Deputy Project Manager and the Administrative Assistant, while a Chief Technical Advisor has been hired as a long-term consultant to assist implementation of LME:LEARN.

## EVALUATION OBJECTIVES AND SCOPE

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

The **purpose** of the TE is to provide an impartial review of both projects in terms of their relevance, effectiveness, efficiency, impact, sustainability, overall performance, management and achievements. The information, findings, lessons learned, and recommendations generated by the TE will be used by the UNDP and the executing partners to strengthen the remaining projects' implementation and inform prospects for eventual replication and sustainability of the intervention.

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

The TE will assess the extent to which planned project results have been achieved since the beginning of the projects in March 2016 and likelihood for their full achievement by the end of the projects in March 2020 (based on their Project Document and Project Results Framework). Also, the TE will assess the monitoring and evaluation aspect of both projects and their compliance with UNDP and GEF minimum standards, including SMART criteria for indicators.

The **scope** of the evaluation covers the following specific aspects, integrating the GEF's Operational Principles[13] as appropriate:

- Project design, risk assessment/management;
- Progress toward results, outputs, outcomes and impacts;
- Implementation and execution arrangements, including GEF Agency oversight;
- Partnership approach and stakeholder participation;
- Communications and public awareness;
- Work planning, financial management/planning, co-financing;
- Flexibility, innovation and adaptive management;
- Gender and human rights integration and mainstreaming in implementation;
- Catalytic role: Replication and up-scaling.

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[13]https://www.thegef.org/sites/default/files/council-meeting
documents/C.31.12_Operational_Guidelines_for_Incremental_Costs_4.pdf

## EVALUATION APPROACH AND METHOD

An overall approach and method[14] 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 <u>UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects</u>.  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 government counterparts, in particular Project Coordination Unit (PCU), project partners, UNDP-GEF Regional Technical Advisor, and other key stakeholders. The evaluator is expected to conduct a field mission to Cartagena, Colombia in September 2019 during the 21st LME Annual Consultative Meeting. The meeting will be the opportunity to meet stakeholders FOR BOTH PROJECTS. If necessary, the consultant will carry out other missions agreed with the PCU.

The evaluator will review all relevant sources of information, such as the project documents, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, 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 <u>Annex B</u> of this Terms of Reference.

As a part of the evaluation **inception report**, the evaluator will propose a detailed evaluation methodology and agree on a plan for the assignment. The proposed methodology may employ any relevant and appropriate quantitative, qualitative or combined methods to conduct the TE.

As a part of **desk review,** the evaluator will review for each project all relevant sources of information, such as the project document, project reports – incl. Annual PIR and other reports, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, and any other material that the evaluator considers useful for this evidence-based assessment. A list of documents that the PCU will provide to the evaluator for review is included in Annex A of this Terms of Reference. **Data analysis** should be conducted in a systematic manner to ensure that all the findings, conclusions and recommendations are substantiated by evidence. Appropriate tools should be used to ensure proper analysis (e.g. data analysis matrix).

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

## EVALUATION CRITERIA & RATINGS

An assessment of both projects' 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

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[14] For additional information on methods, see the <u>Handbook on Planning, Monitoring and Evaluating for Development Results</u>, Chapter 7, pg. 163

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 (to be developed for each project separately): | | | |
|---|---|---|---|
| **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 IOC/UNESCO Execution | |
| Overall quality of M&E | | Overall quality of Implementation / Execution | |
| **3. Assessment of Outcomes** | **rating** | **4. Sustainability** | **rating** |
| Relevance | | Financial resources | |
| Effectiveness | | Socio-economic | |
| Efficiency | | Institutional framework and governance | |
| Overall Project Outcome Rating | | Environmental | |
| | | Overall likelihood of risks to sustainability | |
| **5. Impact** | **rating** | **6. Overall Project Results** | **rating** |
| Contribution to knowledge and experience exchange | | Enabling environment for knowledge management improved | |
| Contribution to capacity development | | Capacities improved | |
| Progress towards status change | | Progress towards better management and implementation of international waters projects | |

## 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 will receive assistance from the PCU 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 evaluators will assess the extent to which the projects are achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the projects have demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[15]

## 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 TE resides with the Commissioning Unit. The Commissioning Unit for these projects' TE is IOC of UNESCO.

The Commissioning Unit will contract the consultant and ensure the timely provision of per diems and travel arrangements for the TE consultant. The PCU will be responsible for liaising with the TE consultant to provide all relevant documents, set up stakeholder interviews, and arrange the mission.

**Travel:**

- International travel will be required to travel to attend the 21st LME Annual Consultative Meeting (Cartagena, Colombia).
- The Basic Security in the Field II, Advanced Security in the Field and UNESCO Security in the Field courses must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under https://dss.un.org/dssweb/
- All related travel expenses will be covered and will be reimbursed as per IOC/UNESCO rules and regulations upon submission of a travel claim form and supporting documents.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be *30* days according to the following plan:

| Activity | Timing | Completion Date |
|---|---|---|
| **Preparation (Inception Report)** | *4* days | 7 September 2019 |

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[15] A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: ROTI Handbook 2009

| Evaluation Mission | *7* days | 21 September 2019 |
|---|---|---|
| **Draft Evaluation Report** | *15* days | 26 October 2019 |
| **Final Report** | *4* days | 15 November 2019 |

## EVALUATION DELIVERABLES

The evaluator 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. (by 7 September 2019) | Evaluator submits to PCU |
| **Presentation** | Initial Findings | End of evaluation mission (by 21 September 2019) | To PCU, UNDP CTA |
| **Draft Final Report** | Full report, (per annexed template) with annexes | Within 5 weeks of the evaluation mission (by 26 October 2019) | Sent to PCU, reviewed by RTA, PCU |
| **Final Report\*** | Revised report | Within 1 week of receiving UNDP comments on draft | Sent to PCU, UNDP 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.

## REQUIRED EVALUATOR'S SKILLS AND EXPERIENCE

One independent consultant will conduct the TE. The consultant cannot have participated in either of the projects' preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with projects' related activities.

The selection of consultant will be aimed at maximizing the overall qualities in the following areas:

| Consultant's experiences/qualification related to the services | |
|---|---|
| Criteria | Maximum Points |
| 1. Recent experience with result-based management evaluation methodologies | 20 |
| 2. Experience applying SMART indicators and reconstructing or validating baseline scenarios | 10 |
| 3. Competence in adaptive management, as applied to GEF International Waters Focal Area | 10 |
| 4. Experience working with the GEF or GEF evaluations | 10 |
| 5. Work experience in relevant technical areas for at least 10 years | 10 |
| 6. Demonstrated understanding of issues related to gender and GEF International Waters Focal Area; experience in gender sensitive evaluation and analysis | 5 |

| 7. | Excellent communication skills | 5 |
|---|---|---|
| 8. | Demonstrable analytical skills | 5 |
| 9. | Project evaluation/review experiences within United Nations system will be considered an asset | 5 |
| 10. | A Master's degree in water resource management, environmental management, international waters, climate change, transboundary monitoring, and other environmental issues, marine spatial planning, integrated coastal zone management or other closely related field | 20 |
| | **TOTAL** | 100 |

## 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

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

## APPLICATION PROCESS

Recommended Presentation of Proposal:

a) **Letter of Confirmation of Interest and Availability** using the template[16] provided by UNDP;

b) **CV** and a **Personal History Form** (P11 form[17]);

c) **Brief description of approach to work/technical proposal** of why the individual considers himself/herself as the most suitable for the assignment, and a proposed methodology on how he/she will approach and complete the assignment; (max 1 page)

d) **Financial Proposal** that indicates the all-inclusive fixed total contract price, exclusive of travel cost, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an

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[16]
https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx
[17] http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted by email at the following address ONLY: (j.barbiere@unesco.org with CC to i.chavez@unesco.org) by **26 August 2019.** Incomplete applications will be excluded from further consideration.

**Criteria for Evaluation of Proposal:** Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% (based on the criteria in Table 5) and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

## ANNEX A: PROJECT LOGICAL FRAMEWORK

**IW:LEARN**   *See Annex 8 for most recent logframe*

**LME:LEARN**   *See Annex 9 for most recent logframe*

## ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by PCU
13. Midterm Review

The following documents will also be available:
14. Project operational guidelines, manuals and systems
15. Minutes of the Project Steering Committee Meetings and other meetings (i.e. Project Appraisal Committee meetings)

## ANNEX C: EVALUATION QUESTIONS

*This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.*

| Evaluative Criteria Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| **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?** | | | |
| • To what extent are the projects in line with international and national priorities in transboundary water governance? | • | • | • |
| • Do the projects' objectives fit GEF and UNDP strategic priorities? | • | • | • |
| • To what extent do the projects contribute to gender equality, empowerment of women and human rights of target groups? | • | • | • |
| **Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?** | | | |
| • What are the positive or negative, intended or unintended, changes brought about by the projects' interventions? | • | • | • |
| • What factors have contributed to achieving or not achieving the intended specific objective/outcome and outputs/results? | • | • | • |
| • To what extent have the projects increased knowledge & understanding of partners and beneficiaries on transboundary water ecosystems? | | • | • |
| **Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?** | | | |
| • Are there any weaknesses in programme design, management, human resource skills, and resources? | • | • | • |
| • Have resources (financial, human, technical) been allocated strategically to achieve the programme results? Were projects | • | • | • |

| | | | |
|---|---|---|---|
| implementation as cost effective as originally proposed (planned vs. actual)? | | | |
| • Did the leveraging of funds (co-financing) happen as planned? | • | • | • |
| • How was the results-based management used during projects' implementation? Was the projects' communication strategy sufficient to influence projects' results ? | • | • | • |
| • To what extent have the projects adhered to set guidelines for GEF, UNDP in achieving results? | • | • | • |
| **Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?** | | | |
| • To what extent have the risks identified within the projects influenced the project results? | • | • | • |
| • To what extent is the sustainability of projects' results likely to depend on continued financial support? What is the likelihood that any additional financial resources will be available to sustain the projects' results once the GEF assistance ends? | • | • | • |
| • To what extent has the programme approach (intervention strategy) managed to create ownership of the key international and national stakeholders? | • | • | • |
| • Do relevant stakeholders have the relevant capacities to ensure sustainability of the results achieved by the projects? | • | • | • |
| • What is the projects' potential for scaling-up and replication in terms of the need expresses by institutional partners and stakeholders? | • | • | • |
| **Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?** | | | |
| • To what extent are key stakeholders/final beneficiaries satisfied with the benefits generated by the projects? | • | • | • |

## ANNEX D: RATING SCALES

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

## ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

*See Annex 10*

## ANNEX F: EVALUATION REPORT OUTLINE[18]

**i.**     Opening page:
- Title of UNDP supported GEF financed project
- UNDP and GEF project ID#s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program/Strategic Program
- Implementing Partner and other project partners
- Evaluation team members
- Acknowledgements

**ii.**     Executive Summary
- Project Summary Table
- Project Description (brief)
- Evaluation Rating Table
- Summary of conclusions, recommendations and lessons

**iii.**     Acronyms and Abbreviations

(See: UNDP Editorial Manual[19])

**1.**     Introduction
- Purpose of the evaluation
- Scope & Methodology
- Structure of the evaluation report

**2.**     Project description and development context
- Project start and duration
- Problems that the project sought to address
- Immediate and development objectives of the project
- Baseline Indicators established
- Main stakeholders
- Expected Results

**3.**     Findings

(In addition to a descriptive assessment, all criteria marked with (*) must be rated[20])

**3.1**     Project Design / Formulation
- Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

**3.2**     Project Implementation
- Adaptive management (changes to the project design and project outputs during implementation)

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[18]The Report length should not exceed *40* pages in total (not including annexes).

[19] UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

[20] Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

**3.3**     Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

**4.**     Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

**5.**     Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

### ANNEX G: EVALUATION REPORT CLEARANCE FORM

*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____     Date: _____

UNDP GEF RTA

Name: _____

Signature: _____     Date: _____

# Annex 4    Evaluation Matrix

| Evaluative Criteria Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| **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? | | | |
| • To what extent are the projects' objectives aligned with international and national priorities in transboundary water governance?<br>• Do the projects' objectives fit GEF IW and UNDP strategic priorities and how do they support the GEF IW focal area?<br>• Were project partners adequately identified and were they involved in the project design and inception phase?<br>• To what extent are the projects' designs, objectives and outcomes aligned with the needs and requirements of key partners and stakeholders?<br>• To what extent have the projects contributed to gender equality, empowerment of women and human rights of target groups, including in relation to sustainable development? | • Alignment with international and national priorities<br>• Alignment with GEF IW and UNDP strategic priorities<br>• Evidence of partner identification process and of partner involvement in project design and implementation<br>• Evidence that partners' and stakeholders' needs and requirements were taken into consideration<br>• Evidence that gender equality, human rights and sustainable development were taken into consideration in project design and implementation<br>• Quantity and quality of references to gender equality, human rights and sustainable development in project activities and outputs | • ProDocs, PPG, PIF, CEO endorsement<br>• Project Inception Report<br>• PIRs, AWPs, PSC minutes<br>• SESP documents<br>• Project output reports<br>• PCU team<br>• UNDP, UNEP, GEF<br>• Project partners | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |

| Evaluative Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| **Effectiveness** – To what extent have the expected outcomes and objectives of the project been achieved? | | | |
| • Have the changes to the Results Frameworks' indicators and targets recommended in the Mid Term Review been adopted and implemented?<br><br>• Have there been any changes to planned activities and outputs since the Mid Term Review, and if so, how was the implementation schedule and budget adapted to accommodate the changes?<br><br>• Have the projects delivered their outputs and outcomes against the indicators and targets provided in the Results Frameworks?<br><br>• What are the main factors that have contributed to achieving (or not achieving) the intended objectives, outcomes and outputs?<br><br>• What are the positive or negative, intended or unintended changes brought about by the projects' interventions?<br><br>• To what extent have the projects increased knowledge and understanding of partners and beneficiaries on transboundary water ecosystems? | • Confirmation that changes recommended by MTR adopted and implemented<br><br>• Changes to Results Framework since MTR<br><br>• Status of outputs and outcomes achievement<br><br>• PIR narrative analysis<br><br>• Evidence that beneficial development effects are being generated<br><br>• Perspectives of PCU, partners and stakeholders | • Results Frameworks, PIRs, AWPs, PSC meeting minutes<br><br>• Mid Term Review<br><br>• PCU team<br><br>• UNDP, UNEP, GEF<br><br>• Project partners | • Document review<br><br>• Interviews by phone, Skype or face to face.<br><br>• Email/online questionnaire |

| Evaluative Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| *Efficiency* – Was the project implemented efficiently, in-line with international and national norms and standards? | | | |
| • Were the Project Documents sufficiently clear and realistic to enable effective and efficient implementation?<br>• Were any delays encountered in project start up and implementation?  What were the causes of the delays and how have these been resolved?<br>• Have work-planning processes been based on results-based management and has the Results Framework been used as a management tool?<br>• Has the project management structure operated effectively, producing efficient results and synergies?<br>• Was the PCU effective in providing leadership towards achieving the project results?<br>• Was the PCU able to adapt to changing circumstances and solve problems as they arose?<br>• Were adaptive management changes reported by the PCU and shared with the PSC and other key stakeholders?<br>• Were progress reports produced accurately, timely and in accordance with reporting requirements? | • Quality of project design<br>• Evidence of delays and their impact on project implementation<br>• Clarity of project management structure<br>• Evidence of adaptive management, problem solving and reporting<br>• Evidence that project management decisions have delivered efficient results<br>• Quality and timeliness of progress reports | • ProDocs, Project Inception Report, PIRs, AWPs, PSC meeting minutes, SISTER reports<br>• UNDP, UNEP, GEF<br>• Project partners | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |
| • Did the PCU maintain productive relationships and communications with the partners and other key stakeholders throughout implementation? | • Quality and timeliness of communications between PCU, partners and other stakeholders<br>• Perspectives of partners and stakeholders | • PIRs, PSC meeting minutes, project correspondence (as available)<br>• Project partners<br>• PCU team, IOC UNESCO administration, UNDP | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |

| | | | |
|---|---|---|---|
| • Has communication between the PCU, UNDP, GEF and the stakeholders been clear, effective and timely?<br><br>• Has the coordination between UNDP and IOC UNESCO administrative systems been efficient allowing for the timely transfer of funds? Have there been any problems or delays and if so, what impact did these have on implementation and how were they resolved? | • Quality and timeliness of communication between IOC UNESCO and UNDP administrative units.<br><br>• Timeliness of transfer of funds against project budget requirements and allocation to budget lines<br><br>• Impact of delays in funds transfers on implementation | | |
| • Have financial, human and technical resources been allocated strategically to achieve project results?<br><br>• Were the accounting and financial systems in place adequate for project management and for producing accurate and timely financial information?<br><br>• Were the projects' implementations as cost effective as originally proposed (planned vs actual)?<br><br>• Did the leveraging of funds (co-financing) happen as planned? | • Extent to which funds were used to deliver results in accordance with the expectations of the ProDocs<br><br>• Demonstrable financial control and due diligence<br><br>• Evidence of communication between project management and financial management teams<br><br>• Details of co-financing received against co-financing pledged | • PIRs, PSC meeting minutes, project correspondence (as available)<br><br>• SISTER reports, budget reports.<br><br>• Co-financing pledge letters<br><br>• Co-financing tables<br><br>• PCU team, IOC UNESCO administration, UNDP | • Document review<br><br>• Review of SISTER and budget reports<br><br>• Interviews by phone, Skype or face to face.<br><br>• Email/online questions |
| • To what extent were partnerships/linkages between institutions/ organizations encouraged and supported and how efficient were the cooperation and collaboration arrangements? | • Documentary and verbal evidence of cooperation and collaboration arrangements | • PIRs, PSC meeting minutes, project correspondence<br><br>• PCU team, UNDP, UNEP GEF<br><br>• Project partners | • Document review<br><br>• Interviews by phone, Skype or face to face.<br><br>• Email questions |

| | | | |
|---|---|---|---|
| • To what extent have project-level monitoring and evaluation systems, reporting and project communications supported the project's implementation?<br><br>• Are there sufficient resources allocated for monitoring and evaluation and are these being used effectively? | • Timely and meaningful monitoring and evaluation of project activities<br><br>• Funding and resource allocation for M&E | • ProDocs, PIRs, AWPs, PSC meeting minutes<br><br>• PCU team, UNDP, UN Environment, GEF | • Document review<br><br>• Interviews by phone, Skype or face to face.<br><br>• Email questions |
| **Evaluative Questions** | **Indicators** | **Sources** | **Methodology** |
| *Sustainability* – To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results? | | | |
| **Financial Risks to Sustainability**<br><br>• To what extent is the sustainability of projects' results likely to depend on continued financial support?<br><br>• What is the likelihood that any additional financial resources will be available to sustain the projects' results once the GEF assistance ends? | • Estimates of financial and human resource requirements to sustain project results<br><br>• Evidence of financial and human resource commitments to sustain project results<br><br>• Evidence of project exit strategy<br><br>• Perception of PCU, UNDP, UNEP, GEF and other key partners and stakeholders | • ProDocs, PIRs, PSC meeting minutes, Mid Term Review<br><br>• PCU team, UNDP, UNEP, GEF<br><br>• Project partners and other stakeholders | • Document review<br><br>• Interviews by phone, Skype or face to face.<br><br>• Email questions |

| | | | |
|---|---|---|---|
| **Socio-economic Risk to Sustainability**<br><br>• To what extent have the projects' intervention strategies created ownership of the key international and national stakeholders?<br>• What is the risk that that the level of stakeholder ownership will be insufficient to sustain the project outcomes/benefits?<br>• Has the project achieved stakeholders' consensus regarding courses of action on project activities after the project's closure date? | • Evidence of ownership of project outcomes by key partners and stakeholders<br><br>• Exit strategies for the projects have been reviewed by the PSC and a plan agreed<br>• Course of action on project activities after the project's closure agreed by stakeholders | • ProDocs, PIRs, PSC meeting minutes, Mid Term Review<br>• PCU team, UNDP, UNEP, GEF<br>• Project partners and other stakeholders | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |
| **Institutional Risk to Sustainability**<br><br>• Has the project developed sufficient institutional capacity (systems, structures, staff, expertise, etc.) to ensure sustainability of results achieved by the project?<br>• What are the projects' potentials for scaling-up and replication in terms of the needs expressed by institutional partners and stakeholders? | • Systems, structures, staff and expertise to ensure sustainability of project results established<br>• Capacity of institutions and programmes to sustain and build on project outcomes developed<br>• Institutional partners and stakeholders' needs for scaling-up and replication of specific aspects of the projects have been reviewed by the PSC | • ProDocs, PIRs, PSC meeting minutes, Mid Term Review, IWL-3 Terminal Evaluation report<br>• PCU team, UNDP, UNEP, GEF<br>• Project partners and other stakeholders | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |

| Environmental Risks to Sustainability<br><br>• Are there environmental factors that could undermine the project's results, including factors that have been identified by project stakeholders? | • Risk assessment of environmental factors that could undermine the project's results conducted and updated | • ProDocs, SESP reports, PIRs, PSC meeting minutes, Mid Term Review,<br>• PCU team, UNDP, UNEP, GEF<br>• Project partners and other stakeholders | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |
|---|---|---|---|
| **Evaluative Questions** | **Indicators** | **Sources** | **Methodology** |
| *Impact* – Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status? | | | |
| • To what extent are key stakeholders/final beneficiaries satisfied with the benefits generated by the projects?<br>• Is there any evidence that the projects have achieved impact or enabled progress towards reduced environmental stress and/or improved ecological status? | • Extent to which stakeholders/final beneficiaries have expressed satisfaction with the benefits generated by the projects<br>• Indications that projects have achieved impact or achieved progress towards reduced environmental stress and/or improved ecological status | • PIRs, PSC meeting minutes, IWC reports<br>• PCU team, UNDP, UNEP, GEF<br>• Project partners and other stakeholders | • Document review<br>• Interviews by phone, Skype or face to face.<br>• Email/online questionnaire |

# Annex 5 List of interviewees

| Name | Organisation | Date | Method |
|---|---|---|---|
| Christian Severin | GEF International Waters<br>Washington DC, USA | 26/11/19 | Skype |
| Vladimir Mamaev | UNDP<br>Istanbul, Turkey | 26/11/19 | Skype |
| Isabelle Vanderbeck | UN Environment<br>Washington DC, USA | 06/12/19 | Skype |
| Tiina Kurvits | GRID-Arendal<br>Norway | 27/11/19 | Skype |
| Miles MacMillan-Lawler | GRID-Arendal<br>Norway | 27/11/19 | Skype |
| Julian Barbière | IOC UNESCO<br>Paris, France | 22/11/19 | In-person |
| Ksenia Yvinec | IOC UNESCO<br>Paris, France | 22/11/19 | In-person |
| Ana Gloria Guzman | CI<br>Arlington, USA | 05/12/19 | Skype |
| Alice Aureli | UNESCO-IHP<br>Paris, France | 22/11/19 | In-person |
| Yumiko Yasuda | GWP<br>Stockholm, Sweden | 29/11/19 | Skype |
| Wojciech Wawryznski | ICES<br>Copenhagen, Denmark | 28/11/19 | Skype |
| Ivan Zavadsky | ICPDR<br>Vienna, Austria | 28/11/19 | Skype |
| James Dalton | IUCN (Freshwater)<br>Gland, Switzerland | 28/11/19 | Skype |
| James Oliver | IUCN (Marine)<br>Gland, Switzerland | 29/11/19 | Skype |
| Rebecca Shuford | NOAA<br>New York, USA | 06/12/19 | Skype |
| Colin Apse | TNC<br>Arlington, USA | 26/11/19 | Skype |
| Sonja Koeppel | UNECE<br>Geneva, Switzerland | 28/11/19 | Skype |
| Michela Miletto | UNESCO WWAP<br>Perugia, Italy | 28/11/19 | Skype |
| Christian Susan | UNIDO<br>Vienna, Austria | 27/11/19 | Skype |
| Sarah Davidson | WWF<br>Washington DC, USA | 27/11/19 | Skype |
| Janeiro Avelino | Cubango-Okavango River SAP<br>Implementation<br>Gaborone, Botswana | 13/01/20 | Skype |
| Tamara Kutonova | Dniester River GEF IW project<br>Kyiv, Ukraine | 14/01/19 | Skype |

| Yinfeng Guo | YSLME SAP Implementation Incheon, Republic of Korea | 15/01/20 | Email |
|---|---|---|---|
| Laverne Walker | CLME+ Cartagena, Columbia | 16/01/20 | Email |
| Mish Hamid | IOC UNESCO PCU Paris, France | 05/12/19 | Skype |
| Natalie Degger | IOC UNESCO PCU Paris, France | 03/12/19 | Skype |
| Ivica Trumbic | IOC UNESCO PCU Paris, France | 21/11/19 | In-person |
| Josu Icaza | IOC UNESCO PCU Paris, France | 22/11/19 | In-person |
| Khristine Custodio | IOC UNESCO PCU Paris, France | 21/11/19 | Skype |

## Annex 6    List of Documents Reviewed

| DOCUMENT | DATE |
|---|---|
| **Project Documents** | |
|    IW:LEARN Project Document | 15/01/2015 |
|    LME:LEARN Project Document | 03/03/2016 |
| **Project Identification Forms** | |
|    IW:LEARN | 21/03/2014 |
|    LME:LEARN | 07/02/2013 |
| **Social and Environmental Screening Procedures Reports** | |
|    IW:LEARN | 07/12/2015 |
|    LME:LEARN | 21/11/2014 |
| **Initiation Plans for Project Preparation Grants** | |
|    IW:LEARN | 03/06/2014 |
|    LME:LEARN | 03/07/2013 |
| **IW:LEARN4 and LME:LEARN Projects Inception Report** | 17/09/2016 |
| **Project Implementation Reports (PIR)** | |
| IW:LEARN | |
|    2017 | 02/10/2017 |
|    2018 | 14/09/2018 |
|    2019 | 05/09/2019 |
| Component 1 – GRID-Arendal | |
|    2018 | 30/6/2018 |
|    2019 | 30/6/2019 |
| LME:LEARN | |
|    2017 | 28/09/2017 |
|    2018 | 18/09/2018 |
|    2019 | 05/09/2019 |
| **Quarterly Progress Reports (QPR)** (GRID-Arendal) | |
|    Q1 2019 and Q3 2019 | |
| **Workplans** | |
|    IW:LEARN. Q3 2016 – Q2 2019 | Undated |
|    LME:LEARN Q3 2016 – Q2 2019 | Undated |
| **PCU Cumulative progress reports** | |
|    IW:LEARN to Q3 2019 | |
|    LME:LEARN to Q3 2019 | |
|    IW:LEARN activities spreadsheet | |
|    LME:LEARN activities spreadsheet | |
| **Project Steering Committee Meeting Minutes and Documents** | |
|    June 2017 | 12/09/2017 |
|    April 2018 | 05/06/2018 |
|    May 2019 | 21/11/1019 |
|    Individual sustainability plans of GEF IW:LEARN Partners.   Input document 11 to PSC April 2018 meeting | 04/18 |
| **Evaluation Reports** | |
|    IW:LEARN4/LME:LEARN Mid Term Review | 15/09/2018 |

| | |
|---|---|
| UNDP Management Response to IW:LEARN 4/LME:LEARN MTR | October 2018 |
| MENARID GEF IW:LEARN3 Mid Term Review | 13/03/2013 |
| MENARID GEF IW:LEARN 3 Terminal Evaluation | 18/07/2014 |
| IWC8 Evaluation Report (Colombo, Sri Lanka, 9-13 May 2016) | June 2016 |
| IWC9 Evaluation Report (Marrakesh, Morocco, 5-8 November 2018) | Undated |
| **Workshop Reports** | |
| Report on the 3rd Targeted Regional Workshop for GEF IW projects in east Europe and Asia-Pacific, Bangkok, Thailand | 30/4 – 02/5/2018 |
| Report on the 5th Targeted Regional Workshop for GEF IW projects in Africa, Gaborone, Botswana | 28-31/5/2019 |
| Report on the 5th Targeted Regional Workshop for GEF IW projects in Latin America Caribbean, Cartagena, Colombia | 16-18/9/2019 |
| **Financial Reports** | |
| IW:LEARN Shadow Budget to 30 September 2019 | 01/10/2019 |
| LME:LEARN Shadow Budget to 30 September 2019 | 01/10/2019 |
| IW:LEARN Co-finance Map 2016 – 2019 (November) | 09/12/2019 |
| LME:LEARN Co-finance Table 2016 – 2019 (May) | 05/05/2019 |
| Component 1 Quarterly Expenditure Report (QER)-GRID-Arendal | |
| 2016 Q1, Q2, Q3, Q4 | |
| 2017 Q1, Q2, Q3, Q4 | |
| 2018 Q1, Q2, Q3, Q4 | |
| 2019 Q3 | |
| **Executing Partner IPAs (Year 1)** | |
| CI (IW) | 31/1/2017 |
| CI (LME) | 03/9/2017 |
| ICES (LME) | 12/10/2016 |
| ICPDR | 26/10/2016 |
| IRF | 20/12/2016 |
| TNC | 24/01/2017 |
| UNECE | 13/01/2017 |
| UNIDO | 27/4/2016 |
| University of Cape Town | 03/03/2017 |
| WWF (IW) | 23/02/2017 |
| **Co-Financing Letter** | |
| IW:LEARN | |
| UNDP | 27/04/2015 |
| UNEP | 20/07/2015 |
| UNESCO-WWAP | 29/04/2015 |
| UNIDO | 05/05/2015 |
| IUCN | 12/05/2015 |
| UNECE | 28/05/2015 |
| GWP | 08/06/2015 |
| CI | 08/06/2015 |
| WWF | 12/06/2015 |
| IRF | 12/06/2015 |
| UNESCO-IHP | 18/06/2015 |

| | |
|---|---|
| ICPDR | 13/07/2015 |
| TNC | 24/07/2015 |
| GRID-Arendal | 09/09/2015 |
| UNEP-DHI | 15/09/2015 |
| LME:LEARN | |
| IOC UNESCO | 13/10/2014 |
| NOAA | 04/04/2014 |
| UNDP | 16/10/2014 |
| ICES | 17/10/2014 |
| CI | 23/10/2014 |
| IUCN | 20/10/2014 |
| **Miscellaneous** | |
| IW:LEARN Web Platform Review and Analysis | 18/03/2013 |
| IW:LEARN Knowledge Management Strategy | 13/11/2014 |
| IW:LEARN Website – Invitation to re-design/re-build | 20/10/2016 |
| IW:LEARN Activity Synergy Mapping | 10/12/2014 |
| IW:LEARN 2015 Survey of Web Platforms for Partner | 02/05/2015 |
| Summary Table of Partners Responses to IWL Web Survey Questionnaire | 12/05/2015 |
| **Evaluation guidelines** | |
| Guidance for conducting Terminal Evaluations of UNDP-supported, GEF-financed projects. UNDP Evaluation Office, 2012 | |
| Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects.  GEF, 2017 | |

# Annex 7 Review of MTR recommendations

| | Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|---|
| 1. | The PCU should apply the PSC recommended changes and review the suggested changes related to the indicators and targets for the Results Frameworks, particularly for LME:LEARN. A list of proposed changes should be circulated to the PSC and changes made in time for the next reporting period (if possible these should be applied to the 2018 PIR). In particular, indicators associated with web use under IW 1.2 should be monitored for the duration of the project and realistic targets developed for the next phase of IW:LEARN. | **Accepted**<br><br>The PCU endorses recommended changes of indicators and targets for Results. | In most cases the proposed changes to the Results Frameworks of both projects has been accept and satisfactorily addressed. |
| | **Old:** IW: Project Objective indicators "Increasing number of IW projects delivering improved P, SR or ES/SE performance and attributing (through surveys) achievement to IW:LEARN supported activities/information". & "Increasing number of projects deliver an exit strategy with sustainable financing indicating lessons/experiences facilitated by IW:LEARN"<br><br>**Proposed:** Replace or remove these indicators as: There is limited means to access improved P, SR or ES/SE performance measures, only recently is there the ability to access Tracking Tool Data consecutively. Moreover, the performance measures may not adequately reflect IW:LEARN activities –they are geared for on-the ground projects. IW:LEARN activity summaries do indicate improved project performance as a result of participation in IW:LEARN activities; and, there is no means to systematically assess project exit strategies. | **Accepted**<br><br>The PCU endorses recommended changes of indicators and targets for Results. | Not addressed. This indicator still appears in the Results Framework and in the annual PIRs. However, the reasons for replacing of deleting it are included as a note in the Results Framework |
| | **Old**: IW Sub-component 1.1 "% of existing IW and % of new projects utilize IWL recommended approaches to visualization" & "% projects utilizing the IW:LEARN Website toolkit or offering websites consistent with ILW guidelines | **Accepted** | Addressed but original wording kept, as follows:<br><br>Indicator: Percentage of projects utilising the IW:LEARN Website toolkit or |

| Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|
| **Proposed:** Combine them to have ""% projects offering websites consistent with IWL guidelines" with a project target of 80% of projects with CEO approval post March 2016. | The PCU endorses recommended changes of indicators and targets for Results. | offering a website consistent with IW:LEARN Website Guidelines<br><br>Target: 80% of projects utilising the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines |
| **Old**: IW Sub-component 1.2 , "% web metric indication goal vs. conversion rate for targeted campaigns and key webpages in IW:LEARN.net (using GoogleAnalytics)" needed to be revised<br><br>**Proposed:** Monitor for a suite of web use indicators (the following are easily measured): i) total website traffic to the site over time (not cumulative by page) ii) the source of the traffic either from search engines, or links from other sites (and what sites), direct typing, or social media; iii) best performing pages – what people are looking at iv) conversion rate which allows you measure how often the same people visit as opposed to "one time". At the end of the project analysis of visitors will be able to create informed performance metrics for the future of the site. | **Accepted**<br><br>The PCU endorses recommended changes of indicators and targets for Results. | This output indicator was deleted by the PSC |
| **Old**: IW Sub-component 2.3, "Basins have enhanced co-operation as a result of IWL activities" needed revision.<br><br>**Proposed:** Linking IWL indicators with those being assessed and developed for SDG 6.5, transboundary cooperation | **Accepted**<br><br>The PCU endorses recommended changes of indicators and targets for Results. | Not addressed.  The indicator target remains as in the ProDoc |
| **Old:** LME Outcome 2, with indicator "Innovative approaches captured and available for use by LME, MPA | **Partially accepted** | Satisfactorily addressed |

| Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|
| and ICM practitioners in LME".  Simplify the three targets into 2.<br><br>**Proposed:** "An LME/ICM/MPA Toolkit for adaptive ecosystem-based governance incorporating a series of validated  tools on best practices supported by GEF and partner organizations, including new GEF6 requirements."<br><br>"A toolkit for Governance mechanisms to cross GEF sectors is developed" | First proposed target as follows:<br><br>"A series of LME/ICM/MPA/MSP toolkits for adaptive ecosystem-based governance incorporating a series of validated  tools on best practices supported by GEF and partner organizations, including new GEF6 requirements."<br><br>Second target accepted as proposed | |
| **Old:** LME Outcome 2 Indicators: "GEF LME/ICM/MPA projects equipped with new tools that incorporate ICM, MPAs and climate variability and change" & "LME/ICM/MPA projects accessing and using the tools to address the emerging priorities and new requirements for GEF"<br><br>**Proposed:** Combine to: "GEF LME/ICM/MPA projects are aware of and are using new tools to enhance the management effectiveness of LMEs" – with targets:<br><br>• Toolkit is disseminated through the development of an on-line Toolkit brochure and online access to kit.<br><br>• Demonstration at partner meetings and other regional or global meetings,<br><br>• At least 5 IW Projects are using one or more of the tools. | **<u>Partially accepted</u>**<br><br>Combined Outcome 2 indicator as follows:<br><br>"GEF LME/ICM/MPA/MSP projects are aware of and are using new tools to enhance the management effectiveness of LMEs" – with targets:<br><br>• Toolkit is disseminated through the development of the Marine Toolkit brochure and an on-line online Marine Toolkit Platform.<br><br>• Demonstration at partner meetings and other regional or global meetings.<br><br>• At least 5 IW Projects are using one or more of the tools. | Satisfactorily addressed. |
| **Old:** LME Outcome 2 indicator "Facilitate the exchange of experiences between LME's on data and information management issues, and promote the development of common data management approaches" | **<u>Partially accepted</u>**<br><br>• Training tool for Data and Information Management will be developed. | Satisfactorily addressed |

| | Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|---|
| | **Proposed:** Add an additional target: "Training tools on information management are developed and training occurs for each of the regional networks" | • Training cannot be carried out in two regional networks because no meetings are planned.<br>• Proposed target as follows: "Training tool on information management is developed" | |
| | **Old**: Outcome 3, indicators "GEF LME/ICM/MPA practitioners trained in new techniques and approaches for ecosystem-based 5-modular assessment, management and governance practices " & "Increased capacity of GEF LME, ICM and MPA project staff and practitioners, to address the new ecosystem-based governance priorities in GEF6"<br><br>**Proposed:** Combine to make "GEF LME/ICM/MPA practitioners trained in new techniques and approaches for ecosystem-based management and governance practices and priorities in GEF 6". | **<u>Partially accepted</u>**<br><br>The proposed indicator as follows:<br><br>"GEF LME/ICM/MPA/MSP practitioners trained in new techniques and approaches for ecosystem-based management and governance practices and priorities in GEF 6" | Satisfactorily addressed |
| 2 | The PCU and Inter-Agency Forum should review the recommended actions in section 4.1.1.2 & 4.2.1.2 of this report to advance activities that are lagging. In particular:<br><br>• IW 1.1. website, 1.2 visualization, 1.4 synthesis notes 1.5 training - have a senior consultant check the historic TDA and SAP (fact sheets); Hire a junior consultant to check basic project data with the most relevant source; engage the Inter-Agency Forum (or IW TASK Force) to provide greater guidance and support for completing and populating the web site, and developing the synthesis documents, and experience notes by developing an action memo to be sent to respective IW projects; | **<u>Accepted</u>**<br><br>PCU and project partners have taken measures to speed up the implementation of activities that have been lagging behind the schedule, namely:<br><br>• IW website, 1.2 visualization, 1.4 synthesis notes 1.5 training: Project will find some funding for this purpose within the existing budget. The memo can be developed and another appeal will be made to the GEF IWTF. | Satisfactorily addressed.  The PCU and project partner have worked together to take measures to speed up implementation and have largely been successful  At the time of the terminal evaluation, the establishment of the Groundwater Community of Practice is lagging behind. |

| Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|
| • IW 2.1 (GEF to Non-GEF twinning)- PCU should independently identify the GEF and non-GEF twinning partners, send to IRF for comment with a set date to initiate the activities;<br>• IW 3.2.2 (Groundwater CoP) - develop a new accelerated timeline for the Groundwater Community of Practice and link it to a conference for an external milestone to meet;<br>• IW 4.3.2 (Freshwater Legal Frameworks) - PCU should review an and agree to a new timeline for activities with UNECE and GWP;<br>• LME 1.2.3 (non-GEF inclusion) - ensure any private sector entity that has been involved in a workshop or conference has information on the appropriate website with links etc.;<br>• LME 2.1 &2.3 (Production and dissemination of EBM tools) - disseminate the EBM tools as they become available and integrate them when all are available;<br>• LME 2.5 – (DIM tools) - select a new accelerated timeline for DIM activities linked to an external event for presentation.<br>LME 4.2 &4.3 (Showcase best practices) - emphasize the "Showcase of best LME practices" and take advantage of IWC9 as a dissemination and training opportunity. | • IW2.1: The PCU has already identified twinning partners in connection with IRF<br>• IW3.2.2: The project will work with partner IHP-UNESCO to develop milestones and accelerated timeline<br>• IW4.3.2: The PCU will work with partners to create a new timeline for the activity<br>• LME 1.2.3 (non-GEF inclusion): the option will be made available to all non-GEF actors, including the private sector entities, to access all information at the web site.<br>• LME 2.1 & 2.3 (Production and dissemination of EBM tools): all tools will be disseminated via Marine Toolkit Platform at the iwlearn.net web site; LME20 participants will be presented a demonstration exercise to use the toolkits; toolkits brochure will be printed and widely disseminated.<br>• LME 2.5 (DIM tools): DIM tool will be developed and a special event to promote it will be organised.<br>• LME 4.2 &4.3 (Showcase best practices): The LME20 and IWC9 have several occasions planned for | |

| | Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|---|
| | | dissemination of project's products and training. | |
| 3 | To improve project input develop on-line easy to fill forms whenever possible; solicit assistance of GEF IW Task Force (and UNDP and UNEP) to contact relevant projects; use IWC9 as a venue for updating and collecting information and develop some incentive or award for inputting data; hire a junior part time position to check basic project data. | **Accepted**<br><br>• IWC9 and LME20 will be used as venue for updating and collecting information.<br>• Junior consultant has been hired to check basic project data. | Satisfactorily addressed |
| 4 | Efforts should be made to increase the level of support for the PCU to meet administrative duties through additional staffing as required and consider shifting more official administrative responsibility to the LME Technical Advisor for management of the LME project. | **Accepted**<br><br>The PCU will maximise its efforts to meet all the administrative requirements of both projects. The administrative responsibilities will be shifted to LME CTA as needed. | Satisfactorily addressed |
| 5 | Continue to seek efficiencies in budgeting, approvals and reporting. Consider: continue aligning contracts with annual reporting (contracts should conclude by mid-December to allow for proper budgeting and planning for the subsequent year); assess if number of persons involved in approving budgets can be reduced, etc., streamlined, in accordance with the principle of subsidiarity; the Inter-Agency Forum should review the co-financing reporting and encourage all partners to review and report their cash and in-kind contributions to determine what actual co-financing levels are. | **Partially accepted**<br><br>The PCU is permanently seeking efficiencies in budgeting, approvals and reporting.<br><br>Every effort will be made to align contract with annual reporting.<br><br>PCU is bound to follow the UNESCO budgeting rules, and reducing the number of persons in that process is not possible.<br><br>Partners are regularly asked to provide information on co-financing. | This issue has not changed significantly since the MTR. In particular, UNESCO budgeting rules cannot be changed. |

| | Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|---|
| 6 | Review the Co-financing commitments and contributions to determine the actual co-financing levels for both IW:LEARN and LME:LEARN. This should be ideally be done for the PIR 2018. | **Partially accepted**<br><br>Partners are regularly asked to provide information on co-financing.<br><br>The 2018 PIR has been already prepared and approved. However, the new PIR template does not ask information about the co-financing. | The PCU requests updates on partner co-financing but the reporting rate remains at a low level |
| 7 | The "Exit Strategy" for IW:LEARN should be initiated soon allowing time for it to inform the next phase. It should, amongst other things, clearly lay out how the web-infrastructure developed during this phase will be maintained.  Consideration should be given to expanding the Exit Strategy to conduct a "Strategic Direction" outlining IW:LEARN core activities that are ongoing and require foundational support, and peripheral activities that may have 3-4 year time lines and can be expanded and contracted as appropriate. | **Accepted**<br><br> The IW:LEARN Exit Strategy will be initiated soon. | Not yet addressed.  The PCU plans to initiate the IW (and LME): LEARN exit strategy in Q1 2020. |
| 8 | LME:LEARN should consider applying for an extension to coincide with the closure of IW:LEARN. It would allow for sufficient time for the project to finalize all its outputs and give projects the opportunity to integrate the knowledge and better achieve outcomes. | **Partially accepted**<br><br>The "no-cost" LME:LEARN project extension will be requested, though for six months only, which will allow adequate time to complete all the project's activities. | A no cost extension of one year was requested and granted by UNDP on 8 February 2018.  The project will now close on 16 March 2020 |
| 9 | To assist twinning and learning exchange between projects consider instituting a "mentor program" for projects such that in their 3rd year they design into their project the ability of assisting other projects that are either starting out or have similar issues that they can share. While, this is similar to the current twinning it is the concept that it will | **Accepted**<br><br> PCU will develop the mentoring programme that will be proposed for institutionalization in future IW projects. | Not initiated yet. |

| | Mid-Term Evaluation Recommendations/Suggested Course-Corrections | IWL Response | TE Notes/Comments |
|---|---|---|---|
| | be built into the projects.  This would also help build a more cohesive sense of community among the projects. It could be implemented through the twinning portal, where projects are asked to become knowledge donors. | | |
| 10 | Review the roles of partners and consultants to develop a more streamlined project structure in future phases of IW:LEARN. | **Accepted**<br><br>The role of each partner in current projects will be assessed and appropriate proposals will be submitted for the discussion on the next phase of IW:LEARN. | Also recommended by the terminal evaluation |
| 11 | Ask that all the project partners have information about IW:LEARN on their website as currently few have any information. At the very least a link to IW:LEARN and LME:LEARN. This will help dissemination of IW:LEARN materials. | **Accepted**<br><br>All partners will be requested to create links and demonstrate this at the next PCU meeting | Also recommended by the terminal evaluation |

# Annex 8 IWL4 Final Results Framework as modified by PSC

| | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|
| **Project Objective To strengthen knowledge management capacity and promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners—in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments.** | 1) Strengthened KM capacity across IW portfolio and beyond 2) Scaled-up learning /dissemination of experiences, tools and methodologies 3) Improved effectiveness of IW projects to deliver results | Previous phases of IW:LEARN have built on the growing experience base to populate the interactive baseline. The needs of the projects and other stakeholders is growing and without continuing development the information sharing and other learning experiences will stagnate and become dated. | Through the partnership, KM approaches and capacity within the IW portfolio are strengthened through new methods/lessons of managing/using information and knowledge Partners activities utilise results and experiences from IW projects to enhance non-GEF projects as indicated by partner responses to surveys Increasing number of IW projects delivering improved P, SR or ES/SE performance and attributing (through surveys) achievement to IW:LEARN supported activities/information. Increasing number of projects deliver an exit strategy with sustainable financing indicating lessons/experiences facilitated by IW:LEARN | The main source of verification for IW:LEARN objective and outcomes will be surveys conducted routinely by the PCU as part of an on-going M&E programmes IW projects' PIRs PSC minutes IWL website 'hits' MTE and TE reports In addition the sources of verification (below) will also apply to outcomes as shown | Full details to be elaborated in the inception phase The risks and assumptions apply to all project activities Project outputs (e.g. visualisation tool, web, EV, gender approaches, etc.) are actively supported, and their use by projects encouraged, by Agencies. All IW projects provide timely data, on-request, to IWL and these requests are supported by IWL Partners and GEF Agencies. IW Projects participate at expected meetings together with their key beneficiaries/partners IWL GEF Agencies insist that all IW projects participate at IWCs and relevant regional meetings. |

| | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|
| **Outcome 1** (UNEP Implemented) Increased experience sharing and replication of successes throughout and beyond the IW portfolio, as well as enhanced stakeholder buy-in to GEF IW project interventions | ~~Percent of projects utilising IWL recommended approaches to visualisation~~ | 10% of existing IW projects utilise IWL recommend approaches | ~~50% of existing IW and 70% of new[21] projects utilise IWL recommended approaches to visualisation~~ | Analysis of project visualization tool usage | |
| | ~~Number of new stakeholders partnering IW projects as a result of improved awareness (web, newsletters, synthesis reports, etc.) of activities and achievements~~ | TBD | ~~10 new stakeholder groups supporting IW projects with their sustainability plans (as reported by surveys from projects)~~ | Workshop participant evaluations  IW Experience Notes  IW Achievement Notes | |
| | ~~Percentage of IW projects and partners cite improved web presence in gaining new partners for execution or sustainability~~ | TBD | ~~75% of GEF 5 (and previous) IW projects and >80% of GEF 6 IW projects cite improved web presence~~ | Online subscriptions  IWL website hits  Provision of information to IW:LEARN Visualisation tools by IW projects | |
| | % of projects utilising the IW:LEARN Website toolkit or offering a website consistent with IW:LEARN Website Guidelines | To-date 54% of the IW Projects operate websites consistent with the IW:LEARN Website Guidelines | 75% of projects utilising the IW:LEARN Website toolkit or | Analysis of project websites and visualization tool use | |

[21] 'New' GEF IW projects will be those where the CEO endorsements follow the launch of this phase of IW:LEARN

| | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|
| | | | offering a website consistent with IW:LEARN Website Guidelines | | |
| **Outcome 2** (UNDP Implemented) Enhanced portfolio & partner capacity at the regional & global levels, and portfolio-wide dialogue opportunities for increased transboundary cooperation | Number of IW projects adopting new management approaches/replication of practices and experience from twinnings | Projects have only partially been tracked to assess progress of up-take of training, twinning, etc. over time (following event, in 6 and 13 months) | 10 IW projects demonstrate new approaches following twinnings | Reports from IW twinning activities IWC reports IW Projects' PSC meeting reports | |
| | Number of IW projects adopting new management approaches/replication of concepts from workshops/IWC | | 50 IW projects indicate at least 1 new approach following workshops/IWC | | |
| | % of IWC project participants indicate increased capacity to execute IW projects | | 90% of project participants provide positive responses to capacity increase following IWC | | |
| | ~~%age of IW projects have PSC agreed sustainability plans as a result of experiences facilitated by IWL~~ | | ~~75% of projects have plans in-place at closure~~ | | |
| | Number of basins/LMEs where Transboundary co-operation | | 2 basins have enhance co-operation as a result of IWL activities | | |

| | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|
| | strengthened as a result of IWL %age of IW projects with a clear gender mainstreaming plan/policy | | 70% of existing IW projects and 100% of projects starting after 2016 have gender mainstreaming policy | | |
| **Outcome 2B** (UNDP Implemented) Increased global awareness of GEF results and additional partner collaboration with GEF projects | GEF IW has increased activities on programmes at SWW and WWForum | On average, no sessions solely on GEF IW interests | 25% Increase on global dialogues sessions on GEF IW | Reports from global events (e.g. WWForum/SWW) | |
| **Outcome 3** (UNDP Implemented) External partnerships mobilized and working together for improved learning and knowledge management, through an enhanced global freshwater Community of Practice—to impact results and advance conjunctive management of water resources | Number of partnerships encouraged through IW:LEARN activities promoting improved conjunctive management of surface and groundwater The number of cases of linked management of ecosystems is strengthened Number of IW projects with PSC approved sustainability/exit plans involving the private sector | Current partnerships in IW projects are developed on an *ad hoc* basis and there has been little attempt to actively engage partners outside the GEF IW community at a global level | 5 new partnerships between projects on conjunctive management 5 projects have adopted improved conjunctive management approaches to ground/surface waters 1 freshwater basin and 1 LME have enhanced co-ordination as a result of IWL activities 5 projects identify IWL support as assisting private sector engagement in exit/sustainability projects | IW Projects' PSC meeting reports Reports from twinnings and other inter project co-operation processes CoP reports | |

| | Indicator | Baseline | Targets End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|
| **Outcome 4** (UNDP Implemented) Increased capacity of beneficiary governments, intergovernmental bodies and GEF projects to implement agreed actions identified in existing Strategic Action Programs, with an eye to long-term sustainability | Number of EV studies completed by GEF IW projects | Baseline will need to be established on the number of IW projects using EV | 10 IW projects complete EV assessments based on IWL guidance and other information | IW Projects' PSC meeting reports Publication of SAPs | |
| | Percentage of new projects implementing a TDA-SAP Process are trained in economic valuation | Projects' have not been assessed in developing 'implementable' SAPs to-date | 100% of new projects implementing a TDA-SAP Process are trained in economic valuation | | |
| | SAPs and SAP implementation enhanced and attracting additional co-finance and enhanced community engagement | IWL does not offer any MOOCs | 100% new SAP projects follow the guidance prepared by IWL on enhancing implementation of SAPs | Registration details | |
| | MOOCs result in increase in skilled professionals in IW project related activities | | 2000 people register for MOOC including 50 from GEF IW projects and partner organizations | Certificates issued on completion | |
| | | | 100 complete the courses including 30 from GEF IW projects showing a higher engagement level from within the IW portfolio | | |

# Annex 9    LME:LEARN Final Results Framework as modified by PSC

| | | | | | |
|---|---|---|---|---|---|
| **UNDP Strategic Plan Environment and Sustainable Development <u>Primary</u> Outcome:** | | | | | |
| **Outcome 7.** Development debates and actions at all levels prioritise poverty, inequality and exclusion, consistent with our engagement principles | | | | | |
| **UNDP Strategic Plan <u>Secondary</u> Outcome:** | | | | | |
| 7.5  South-South and Triangular cooperation partnerships established and/or strengthened for  development solutions | | | | | |
| **Applicable GEF Strategic Objective and Program: GEF-5 IW Strategic Objective 3: support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based, joint management, and governance of transboundary water systems; Objective 2:  catalyze multi-state cooperation to rebuilt marine fisheries and reduce pollution of coasts and Large Marine Ecosystems while considering climatic variability and change.** | | | | | |
| **Applicable GEF Expected Outcomes:  3.3:  Active experience/sharing/learning practiced in the IW project portfolio.** | | | | | |
| **Applicable GEF Outcome Indicators:  multiple** | | | | | |
| | **Indicator** | **Baseline** | **Targets** <br> **End of Project** | **Source of verification** | **Risks and Assumptions** |
| **Project Objective[22]** <br><br> To improve global ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners, and supporting south-to-south learning and north-to-south learning. <br><br> **(equivalent to output in ATLAS)** | | Multiple initiatives by numerous different organizations which support ecosystem-based approaches to the management of marine and coastal environment at different management and governance scales (and sectors), duplicates effort, wastes limited funding resources, and creates a drain on host nation staff time that can ultimately result in confusion and hinder | The GEF increment will enable the establishment of a functional, fully-facilitated governance network of ecosystem based and learning practices for GEF IW Large Marine Ecosystems and their coasts which will strengthen existing alliances and build new relationships at both the global and regional level to create a network of learning partners to support the delivery of coherent advice on the best tools and techniques to achieve adaptive ecosystem-management of marine and coastal environment. The LME/ICM/MPA Governance project will provide the opportunity to achieve coherence with partner initiatives, increase consistency in the advice provided to host States, improve | | |

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[22] *Objective (Atlas output) monitored quarterly ERBM  and annually in APR/PIR*

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| | | the progress in achieving ecosystem-based management and governance. | performance of projects within the IW LME/ICM/MPA portfolio, and increase the achievement of ecosystem-based management of marine and coastal environments. | | |
| **Outcome 1[23]**<br>Global and regional network of partners to enhance ecosystem-based management and to provide support for the GEF-IW LME/ICM/MPA projects to address MPA needs and incorporate climate variability and change. | Enhanced network of partners working together to provide consistent management and ecosystem-based methods and technical support to GEF-LME/ICM/MPA projects.<br>Increased interaction between GEF- LME, MPA and ICM projects and other marine and coastal initiatives supported by GEF and partner organizations.<br>Increased collaboration and coordination between GEF-LME, ICM and MPA projects and partners, within the geographic boundaries of LMEs.<br>Progress towards fully integrated 'ridge to reef' ecosystem-based management of | actice ecosystem-based assessment and management and governance techniques to support the recovery of LME goods and services from the IW projects and other analogous initiatives would not be captured or codified. States would therefore not derive maximum benefits from the lessons learned over the past 15 years and the technical expertise of public and private partners that have engaged in the projects to date and are willing to engage with the LME/ICM/MPA-Governance project. States would not benefit from new tools to help embed ICM into the LME framework, to build | Established network (community of practice) of GEF IW Large Marine Ecosystems and their coasts projects. and other marine and coastal initiatives supported by GEF and partner organizations.<br>Technical and Policy-level LME Governance project Steering Committee established.<br>Technical Working Groups established to develop new LME governance tools in partnership with GEF- LME/ICM/MPA projects, and other marine and coastal initiatives.<br>Regional Networks established to enhance interactions and harmonization between GEF- LME, ICM and MPA and other GEF-IW transboundary surface and ground water projects.(jointly with IW:LEARN) | Terms of Reference for Partner Network.<br>Annual partner network meeting reports<br>Global directory of LME/ICM/MPA projects, practitioners and institutions.<br>Annual Steering Committee meeting reports.<br>Web-based access to database directory available on Project Website and linked to Google maps.<br>Completed LME strategic approach and assessment toolkits completed. | Assumes that key partner organizations will engage in the project, despite possible competing agendas. Assumes all entities are willing to collect and share data in a transparent way. |

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[23] *All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.*

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| | freshwater and marine transboundary water systems, based on good governance practices, through increased generation of knowledge and enhanced coordination between GEF-IW surface, ground water and LME and ICM projects. | adaptive institution and reduce vulnerability to climate variability and change, or to integrate actions with other transboundary water systems. | | | |
| **Outcome 2** Synthesis and incorporation of knowledge into policy-making, capture of best LME governance practices, and development of new methods and tools to enhance the management effectiveness of LMEs and to incorporate ICM, MPAs and climate variability and change within the 5 LME modules. | Innovative approaches captured and available for use by LME, MPA and ICM practitioners in LME governance. Facilitate the exchange of experiences between LME's on data and information management issues, and promote the development of common data management approaches for LME/ICM/MPA projects. GEF LME/ICM/MPA projects are aware of and are using new | LME governance would continue on an ad hoc basis without the benefit of experience sharing and the incorporation of best practices and shared data. | A series of LME/ICM/MPA/MSP toolkits for adaptive ecosystem-based governance incorporating a series of validated tools on best practices supported by GEF and partner organizations, including new GEF6 requirements. A toolkit for Governance mechanisms to cross GEF sectors is developed Establishment of an "LME/ IW environmental data management committee". Training tool on information management is developed | Key partners identified and working groups formed to complete each toolkit. Toolkits on environmental economics analysis, social aspects of environmental policy, nutrient over-enrichment, LME valuation and satellite remote sensing completed. Governance Handbook completed and disseminated to Project Partners. Toolkits and Governance | |

| | | | Toolkit is disseminated through the development of the Marine Toolkit brochure and an on-line online Marine Toolkit Platform.<br><br>Demonstration at partner meetings and other regional or global meetings.<br><br>At least 5 IW Projects are using one or more of the tools. | Handbook available on the internet.<br><br>Environmental Data Management Committee established.<br><br>Training tools for Data and Information Management developed. | |
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| **Outcome 3**<br><br>Capacity and partnership building through twinning and learning exchanges, workshops and training among LMEs and similar initiatives (e.g. Seascapes). | Increased collaboration and learning exchanges South-to-South between the GEF LME, MPA and ICM projects, and North-to-South and South-to-North partnerships with non-GEF marine and coastal initiatives (e.g. Seascapes) to build capacity and develop training and education materials.<br><br>GEF LME/ICM/MPA practitioners trained in new techniques and approaches for ecosystem-based management and governance practices and priorities in GEF 6 | Training within the LME/ICM/MPA projects provided on an ad-hoc and inequitable basis between regions, host States and stakeholders, dependent on the project and partner resources available in the region. Delivery of the individual projects delayed by lack of capacity and availability of trained practitioners. Project costs increased due to the lack of easily accessible training and educational materials. Existing training materials prepared by learning partners not fully mobilized. No strategy in place to | Functional dialogue, project twinning, learning exchanges, and training workshops in ecosystem-based governance among GEF LME/ICM/MPA projects and other GEF and non-GEF funded marine and coastal initiatives, such as Seascapes, to build capacity and for portfolio learning.<br><br>GEF LME/ICM/MPA practitioners fully trained in ecosystem-based governance techniques and approaches including adaptation to climatic variability and change.<br><br>New training materials developed in collaboration with learning partners (e.g. IUCN, FAO, IOC, ICES, NOAA, IOI, Conservation International, UNU-INWEH) and through learning exchanges and workshops to address priority issues in GEF6. | Internet portal operational.<br><br>Completed twinning training materials.<br><br>Twinning experiences occurring.<br><br>Twinning experiences tracked and evaluated and lessons learned included in training materials.<br><br>Training strategy based on short-term capacity building needs assessment developed and implemented. | Assumes that GEF LME/ICM/MPA project staff and practitioners will have time and willingness to engage in learning and experience sharing activities. |

| | | | | Training sessions held and reports written. | |
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| | | be able to train the number of practitioners needed to be able scale up the Coordination of ecosystem-based management and governance practices. Existing LME projects not be able to build the capacity of participating countries to apply ICM or adapt to climate change and maintain ecosystem resilience. Reduced impact and the level of consistency in the achievable performance of the IW portfolio. | | | |
| **Outcome 4** Communication, dissemination and outreach of GEF LME/ICM/MPA project achievements and lessons learned. | Communication of results to stakeholders, increased awareness of LME issues and engagement in networks through global and regional LME /COPs Strategy developed for showcasing LME and ICM assessment and governance best practices among project partners, stakeholders, resource | The global awareness, impact, and legacy of the LME/ICM/MPA projects amongst different stakeholder groups and partners would remain at current levels. | Global LME/ICM/MPA communication platform linking GEF LME, ICM and MPA projects with other relevant initiatives. Lessons from GEF ecosystem-based LME/ICM/MPA projects disseminated through IW:LEARN website, partners and project website.(1% of the overall budget will be spend on IW:Learn related activities) | Interactive web site operational. Report on strategy for showcasing LME, ICM, and MPA assessment and governance best practices. Regional science-to-management workshops held. | |

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| managers, broader scientific community, government representatives, private companies, universities, schools and the public.<br><br>Global policy discussions informed and impacted by knowledge and experience of GEF-ecosystem based LME/ICM/MPA governance project. | | | Publication of findings from LME/ICM/MPA projects in peer-reviewed scientific, coastal and ocean management journals.<br><br>Participation of GEF ecosystem-based LME/ICM/MPA project staff and practitioners in regional and global conferences (e.g., Global Ocean Forum, ICES Science Conferences, etc.). | Journal publications of findings from LME/ICM/MPA projects.<br><br>Biennial conferences on ecosystem management and ocean governance held.<br><br>Published conference and workshop proceedings. | |
| **Outcome 5**<br>Project Management: establish a functioning Project Coordination Unit at IOC, encouraging participation by Partner Network, including short-time visits, seconding of personnel, etc. Work closely with NOAA in transitioning their non-science and technical support capacity to the Project Unit. | Functioning, minimalistic Project Coordination Unit focusing management of partner activities established.<br><br>Strategy for LME Governance best practices for the long-term for the GEF portfolio, with overlapping interests within LME, ICM, and MPA domains prepared. | Governance of LMEs would remain at status quo, with no long-term strategy incorporating best practices to guide LME management. | Monitoring and Evaluation (mid-term and terminal evaluations) conducted.<br><br>Establishment of unit that will manage project, ensuring cooperation with partner network.<br><br>Development of a long-term LME global governance strategy. | Staff hired and office operational.<br><br>Completed Long-term LME Governance strategy.<br><br>Mid-term and terminal evaluation reports. | |

## Annex 10    Evaluation Consultant Code of Conduct and Agreement Form

**Evaluators:**

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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

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**Evaluation Consultant Agreement Form**

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

**Name of Consultant:** __Tony Elliott_____

**Name of Consultancy Organization** (where relevant)**:** _____N/A_____

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

Signed at Blackawton, Devon, United Kingdom on 24/01/2020

*[signature]*

Signature: _____

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