

# GWP Strategy 2009 to 2013 Internal Assessment

November 2014



### Document History

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## Table of Contents

<b>Executive Summary</b> .....	<b>4</b>
<b>1. Introduction</b> .....	<b>6</b>
1.1 Background .....	6
1.2 Overall objective of the assessment .....	6
1.3 Methodology.....	6
<b>2. The GWP 2009 - 2013 Strategy</b> .....	<b>10</b>
2.1 The Global Strategy 2009-2013.....	10
2.2 Implementation framework .....	12
2.3 Harvesting achievements .....	14
<b>3. Evaluation</b> .....	<b>16</b>
3.1 Relevance.....	16
3.2 Effectiveness .....	17
3.3 Efficiency.....	23
3.4 Impact.....	25
3.5 Sustainability.....	27
<b>4. Pointers for further analysis</b> .....	<b>31</b>
4.1 Mapping change pathways .....	31
4.2 Working on themes .....	33
4.3 Specific illustrative cases.....	38
<b>5. Conclusions and recommendations</b> .....	<b>46</b>
5.1 Conclusions .....	46
5.2 Recommendations.....	48
<b>Annex 1 – The Evaluation Matrix</b> .....	<b>51</b>
<b>Annex 2 – Previous Assessments/Evaluations/Reviews</b> .....	<b>53</b>
<b>Annex 3 – Key Water Governance Outcomes</b> .....	<b>55</b>
<b>Annex 4 – GWP outcomes reported during 2009 - 2013</b> .....	<b>57</b>
<b>Annex 5 – Indicative “a posteriori” targets</b> .....	<b>60</b>
<b>Annex 6 – Fostering changes, regional pathways</b> .....	<b>63</b>
<b>Annex 7 – Detailed analysis of specific illustrative cases</b> .....	<b>65</b>

## Executive Summary

The *Internal Assessment* presented in this document evaluates GWP's performance in carrying out its 2009-2013 Strategy with the aim of informing and guiding planning and implementation within the subsequent strategy period. The methodology employed posed questions against the standard evaluation criteria of *relevance, effectiveness, efficiency, impact* and *sustainability* examine the extent to which the Strategy 5-year Work Programme was successfully implemented.

The assessment made use of a desk study complemented by interviews with key internal and external stakeholders. In addition, the identification and analysis of *illustrative cases* was conducted to highlight practical examples of Strategy implementation across the network.

### Main findings

The main findings of the assessment, structured according to the evaluation criteria, are as follows:

#### *Relevance:*

- A high level of consistency between the strategic activities planned and the goals, mission and vision contained in the GWP 2009-2013 Strategy suggests that the Strategy was successfully translated into a relevant Work Programme.
- However, in certain cases the low level of detail provided within planning documents weakens the connection between Strategy and Work Programme.

#### *Effectiveness:*

- The results provide a reasonably good indication that the implementation of the 5-year Work Programme has been effective overall.
- A detailed analysis by region and country is however necessary to investigate meaningfully the major factors influencing these achievements.

#### *Efficiency:*

- The link between resources used and results achieved (at the outcome level) is difficult to establish largely due to the uncertain influence of externalities. As such a meaningful analysis of efficiency can only be conducted at the output level. To do so is, however, complicated by the lack of information that was systematically collected from the network on outputs produced and the cost of doing so.
- The fact that GWP was largely effective in implementing the 5-year Work Programme despite the availability of considerably less financial resources than budgeted for suggests that operations were conducted with a good level of efficiency.

#### *Impact:*

- In the context of the implementation of the 2009-2013 Strategy, it was acknowledged that neither sufficiently detailed data nor a robust methodology were in place to carry out a meaningful evaluation of impact achieved.

#### *Sustainability:*

- By construction, the sustainability of GWP results is comparatively higher than other similar interventions due to the existence of GWP partnerships on the ground and their ability to embed GWP interventions in long term processes in countries and regions. The introduction of new project mode of intervention may bring additional risks if not managed carefully.
- A comparative analysis between GWP entities is not possible due to the vastly differing circumstances within which each one operates. As a result, an advanced understanding of the sustainability of the network is only possible through adopting a longer term perspective as part of a larger governance review.

### Key recommendations

The recommendations from this assessment relate largely to improvements in GWP's capacity to better understand the results it achieves, and consequently improve the work that it does. It has to be noted that a number of developments / improvements were implemented in this area end 2013 / 2014. Nevertheless, recommendations to keep the momentum still stand. They focus on the following:

- 1) *Strengthen planning processes across the network*
- 2) *Increase the level of importance attached to critical analysis and organisational learning*
- 3) *Strengthen reporting performance across the network*
- 4) *Foster decentralised analysis of progress (RWP & CWP level)*
- 5) *Further assess the extent to which efficiency should be monitored by GWP*
- 6) *Attach greater importance to the monitoring of impact*
- 7) *Foster strong linkages between all GWP projects and the RWP/CWP platforms (for sustainability of results)*
- 8) *Pursue efforts in understanding the determinants of GWP sustainability as part of strategic review processes (financial, organisational, governance)*

# 1. Introduction

## 1.1 Background

The Global Water Partnership (GWP) is a worldwide action Network of Partner organisations, founded in 1996. During the period 2009 to 2013 GWP has grown from comprising 13 Regional Water Partnerships, 74 Country Water Partnerships and 2176 Partners in 153 countries in 2009 to 13 RWP, 84 CWP and 2904 Partners in 172 countries by the end of 2013. Its Network of partners including states, government institutions (national, regional, and local), intergovernmental organisations, international and national non-governmental organisations, academic and research institutions, private sector companies, and service providers in the public sector, is one of its unique strengths which is providing for multifaceted and integrated cooperation in addressing the water challenge.

The work of GWP globally and throughout its regions has been guided by its Strategy for the period 2009 to 2013. The Strategy was developed through network-wide consultations in 2008 and fully endorsed by GWP's Partners.

It was agreed to carry out **an internal assessment** of the GWP Network's performance during this Strategy period – hereinafter referred to as the "assessment" – for which GWP assigned GeWa Consulting, as an external adviser. The present report is therefore a report prepared by GWPO with the support of GeWa Consulting.

*Note: The scope of the internal assessment was to better understand the relationships between the activities and outputs produced by GWP, and the outcomes and, to a lesser extent, impacts that these resulted in. By design the analysis focuses on the evaluation of the GWP results chain by linking implemented activities/outputs with outcomes. The assessment does not go into detail on issues such as organisational governance, financing and the knowledge management chain, all of which are being considered in other ongoing or forthcoming reviews to which the results of this assessment will contribute.*

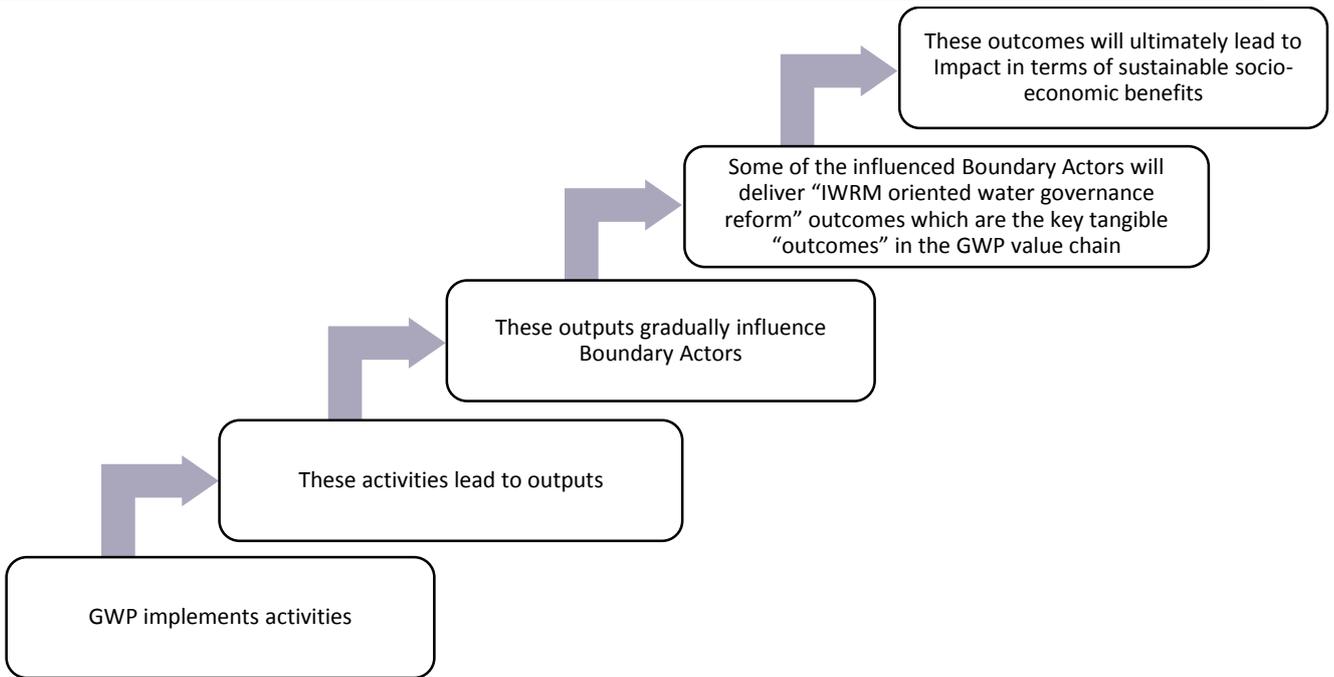
## 1.2 Overall objective of the assessment

The overall objective of the assessment is *"to provide decision-makers in the GWP Steering Committee, management of the GWP Secretariat (including the Technical Committee) and Regional Partnerships, and members of the Financial Partners Group with information to enable informed judgements to be made about the organisation's performance (efficiency and effectiveness) in carrying out the 2009-2013 Strategy, with a view to informing and guiding the implementation of the GWP Work Programme at global and regional levels in the subsequent Strategy period."*

## 1.3 Methodology

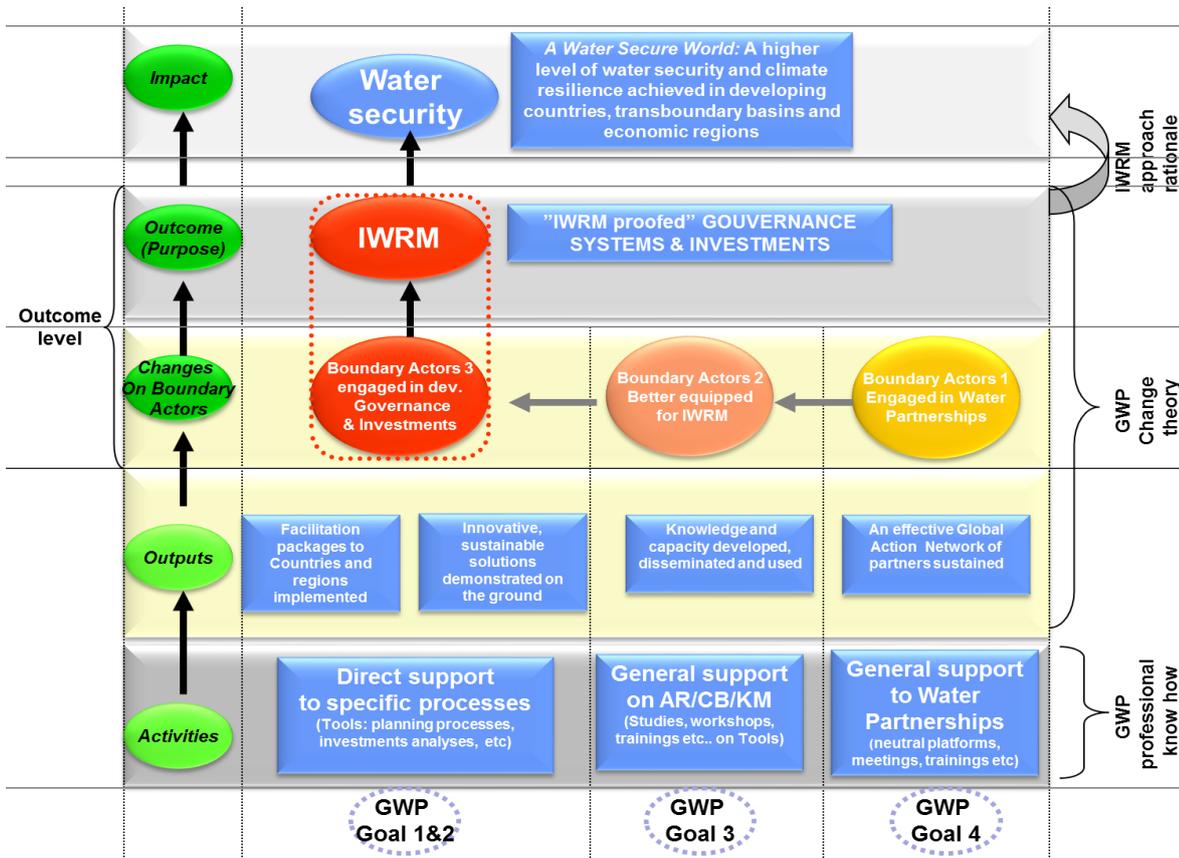
### **The GWP Results Framework**

The 2009-2013 Strategy was implemented through the GWP 5-year Work Programme. The 5-year Work Programme was structured according to the GWP Results Framework which follows the logic shown in Figure 1.



**Figure 1: The GWP Results Chain**

The links between the various elements contributing to delivering the results envisioned in the Strategy are reflected in the full *GWP Results Framework* shown in Figure 2.



**Figure 2: GWP Results Framework (Source: *GWP Programme Management Manual – Draft, August 2014*) – AR: awareness raising; CB: Capacity Building; KM: Knowledge Management.**

The *Results Framework* forms the basis of this assessment thereby maintaining consistency with the structure on which the Strategy and accompanying 5-year Work Programme and annual workplans were based.

### **Methodological approach**

In the context of the *Results Framework*, the assessment made use of standard criteria and principles as outlined in the OECD-DAC Evaluation Quality Standards<sup>1</sup>. This approach applies an Evaluation Matrix (see Annex 1) through which key questions are posed according to *relevance, effectiveness, efficiency, impact* and *sustainability* to determine the extent to which the strategy has achieved its intended aims.

In order to answer the questions posed in the evaluation matrix, the assessment carried out a desk study complemented by interviews with key internal and external stakeholders<sup>2</sup>. More specifically the following tasks were carried out:

#### *Relevance:*

- Review of the outcome challenges included in the 14 5-year Work Programmes<sup>3</sup> for consistency against the strategic goals and associated outcomes
- Assessment of the logic of the 5-year Work Programmes, i.e. outcome challenges → progress markers → activities/outputs

#### *Effectiveness:*

- Review of reported progress throughout the Strategy period
- Mapping of the relationship between implemented activities/outputs, intended outcome challenges and key water governance outcomes

#### *Efficiency:*

- Analysis of the resources used to complete activities/outputs against the results achieved

#### *Impact:*

- High level identification of water security impacts that can be attributed to GWP influenced outcomes

#### *Sustainability:*

- Review of the major factors which influenced the sustainability of the work
- Review of the sustainability of the GWP network itself

In recognition of the fact that the available time and resources for conducting the review would not be sufficient to carry out a detailed assessment of all achievements across the network as a whole, the assessment included the identification and analysis of *illustrative cases* intended to highlight practical examples of (un)successful implementation of key elements contained in the regional 5-year Work Programmes where GWP was known to have invested significant time and resources. These illustrative cases were selected based on the following criteria:

- Profile of the processes/projects;
- Availability of documentation suitable for analysis;
- Degree to which the processes/projects represent a variety of GWP's work; and
- Extent of existing contacts among the review team.

### **Sources of information**

The assessment made use of a range of existing planning and reported information available within the organisation. In particular, the *GWP Summary Progress Review for 2009-2013: Monitoring and Reporting*

<sup>1</sup> <http://www.oecd.org/development/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

<sup>2</sup> Interviewees included GWPO staff, TEC members, Regional Water Partnership staff and external stakeholders.

<sup>3</sup> Sometimes labelled by regions as "strategic plans". For the sake of simplicity, in this document the term 'strategy' shall be used solely for the 'Global Strategy 2009-2013'.

*Progress for the 2009-2013 Strategy Period (Draft 30 May 2014)* as a summary of all reported data collected throughout the strategy period formed the basis for the data reviewed during the desk study. The complete list of sources are as follows:

- GWP 2009-2013 Global Strategy
- GWP 5-year Work Programme 2009-2013 – Implementing the GWP Strategy (January 2011)
- 14 global/regional 5-year Work Programmes (strategic plans)
- GWP 2009-2013 Global Strategy – Mid-Term Review (2011) by Ramböll Natura AB
- GWP Annual Progress Reviews for 2011, 2012 and 2013
- GWP Summary Progress Review for 2009-2013: Monitoring and Reporting Progress for the 2009-2013 Strategy Period (Draft 30 May 2014)
- GWP Present and Future Directions, Executive Summary
- GWP in action, Annual Reports for 2011, 2012 and 2013
- Monthly Reports 2009-2013
- Annual progress markers assessment 2009-2013

### ***Previous Assessments/Evaluations/Reviews***

Several Assessments/Evaluations/Reviews of the GWP have been undertaken. The ones that should be of specific importance to this assessment are the GWP Joint Donor External Evaluation, the 'PARC' 2008; the 'Global Program Review of the GWP' by the World Bank Independent Evaluation Group 2010 (building on material collected 2008 – February 2009), and the Mid-Term Review of the GWP Strategy 2009-2013, undertaken in 2011. Each of these reviews including the main findings/recommendations are briefly summarised in Annex 2.

## 2. The GWP 2009 - 2013 Strategy

### 2.1 The Global Strategy 2009-2013

Developed through network-wide consultations in 2008 and fully endorsed by GWP’s Partners, the GWP Global Strategy 2009-2013 provided the guiding parameters and strategic goals for the whole network during the period it was operational. The Global Strategy was formulated based on a set of guiding principles established according to the Dublin Principles (1992), the Millennium Development Goals agreed at the UN Assembly (2000) and the World Summit on Sustainable Development (2002) with the aim of achieving the GWP vision of a *water secure world* and a mission to *support the sustainable development and management of water resources at all levels*.

The Global Strategy contains four strategic goals that were pursued by all GWP entities from 2009-2013. These goals along with the three generic, high level outcomes that accompanied them were intended to guide the GWP Regional and Country Water Partnerships, the GWPO Secretariat and the GWP Technical Committee, to design their own 5-year Work Programme and annual work plans “based on the needs and priorities of the constituency they serve”.

The strategic goals were as follows (see GWP Strategy 2009-2013, Section V, for a complete description of strategic goals and accompanying outcomes):

- Goal 1 Promote water as a key part of sustainable national development**
- Goal 2 Address critical development challenges**
- Goal 3 Reinforce knowledge sharing and communications**
- Goal 4 Build a more effective network**

The four strategic action goals are mutually reinforcing, in supporting the changes taking place in the behaviour of the key actors that GWP works to support and influence, to advance better and more integrated water governance and management as shown in Figure 3.

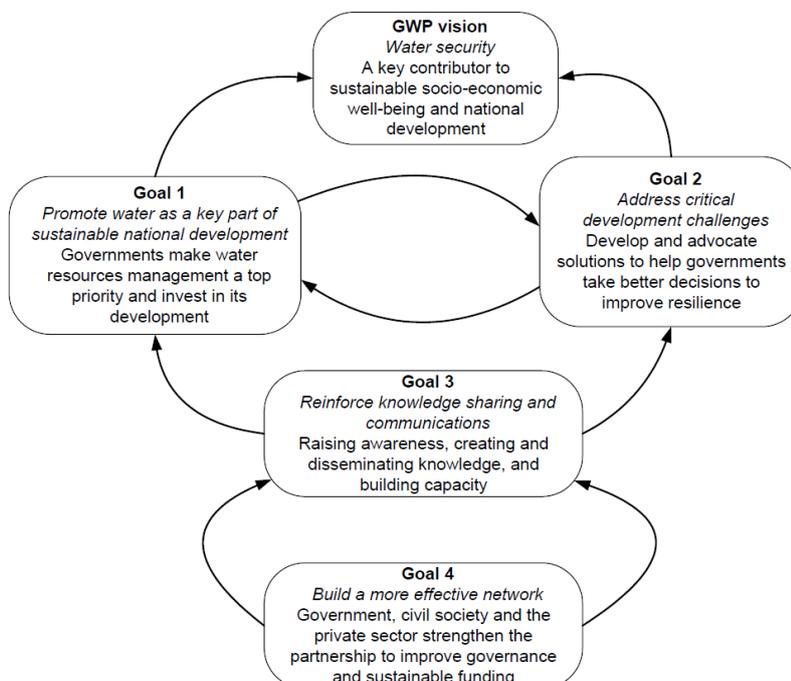


Figure 3: The four strategic goals from the GWP 2009-2013 Strategy

According to the GWP *Theory of Change*, the results from goals 3, 2 and 1 are achievable in a sustainable and cost-effective manner only through strong partnerships – Goal 4. GWP’s broad multi-stakeholder network enables knowledge to be generated and shared globally, regionally, and at country level through Goal 3, empowering the GWP partner organisations and key actors and allies in other sectors. Available human and financial resources are deployed through the network, to help countries and regions develop and implement their 5-year Work Programmes and plans as a basis for investments – Goals 1 and 2.

GWP activities were structured along two dimensions: thematic areas addressed and types of intervention.

### 1. The 18 “GWP strategic elements” listed in GWP strategy referring to GWP thematic focus

#### *Thematic portfolio Goal 1&2*

SE 1.1	Improving support for water management through national processes
SE 1.2	Improving governance systems
SE 1.3	Improving water infrastructure
SE 1.4	Improving financing for water management
SE 1.5	Facilitating transboundary cooperation
SE 1.6	Monitoring progress on IWRM
SE 2.1	Climate change
SE 2.2	Food security
SE 2.3	Tackling urbanization + water supply & sanitation + environment <sup>4</sup>
SE 2.4	Resolving conflict

#### *Thematic portfolio Goal 3&4*

SE 3.1	Improving GWP communication capacity
SE 3.2	Improving GWP outreach
SE 3.3	Strengthening GWP knowledge sharing capacity
SE 4.1	Forging partnerships and alliances
SE 4.2	Measuring GWP performance
SE 4.3	Ensuring GWP financial sustainability
SE 4.4	Supporting GWP network
SE 4.5	Decreasing GWP carbon footprint

### 2. The 7 “types” of activities referring to GWP know how

<b>Process facilitation</b>	Design / participation to significant planning / reform processes (workshops, drafting documents)
<b>Capacity building</b>	Targeted activities with a clear purpose in terms of building capacity (training, forum, dialogue, focused Toolbox training)
<b>Awareness raising</b>	General activities designed for raising awareness of larger public (world water days, exhibition etc)
<b>Knowledge products</b>	Publications and other products (lectures, books, website, newsletters etc)
<b>Operational management</b>	Programme implementation activities (meetings of project management groups, technical advisory groups)
<b>Alliance building</b>	Meetings initiated by GWP for advocacy, designing or advancing a cooperation with partners (liaising with development banks, RECs, RBOs etc)
<b>Overall support water agenda</b>	Participation / contribution to activities or processes initiated by others (e.g. world water forum, world water week, UN processes )

<sup>4</sup> Needs more detailed unpacking

2.1.1 Strategy updates

The following important Strategy updates were enacted during the implementation period:

- Update 1: “Adapting to climate change: building resilience through water security” (2009) – Developed with particular reference to Goal 2, this update set out in more detail key strategies in addressing the global agenda, strategies at regional and at national level as well as identifying GWP activities in climate change adaptation at global level, which GWP intended to undertake in order to implement the ongoing strategy.
- Update 2: Mid strategy update, focus on key areas: based on the findings of the mid-term Strategy review (see Annex 2), five of the 13 strategic elements (SE) were selected as areas of particular focus during the remainder of the strategy period. These were as follows:
  - Investment in Sustainable Water Resources Management and Development
  - Facilitating Transboundary Cooperation
  - Climate Change Adaptation
  - Achieving Food Security
  - Tackling Urbanization

See Section 4.2 for an analysis of results achieved against the five selected SEs.

2.2 Implementation framework

The Global Strategy can be regarded as a framework strategy constituted by the Vision – *a water secure world* – the Mission – *to support the sustainable development and management of water resources at all levels* – and the four goals – *an operational goal, an advocacy goal, a knowledge goal and a partnering goal*.

The implementation of the Global Strategy was defined through the development of 5-year *Work Programmes* covering the entire strategy period for each of the 13 GWP regions as well as GWPO inclusive of TEC. Together these made up the overall *GWP 5-year Work Programme 2009-2013*. In addition detailed *workplans*, including budgeted activities, were produced by the 14 entities on an annual basis which were compiled to form the *GWP annual workplan*. These planning documents provided the implementation framework for each GWP entity at the global, regional and national levels during the course of the Strategy period as shown in Figure 4.

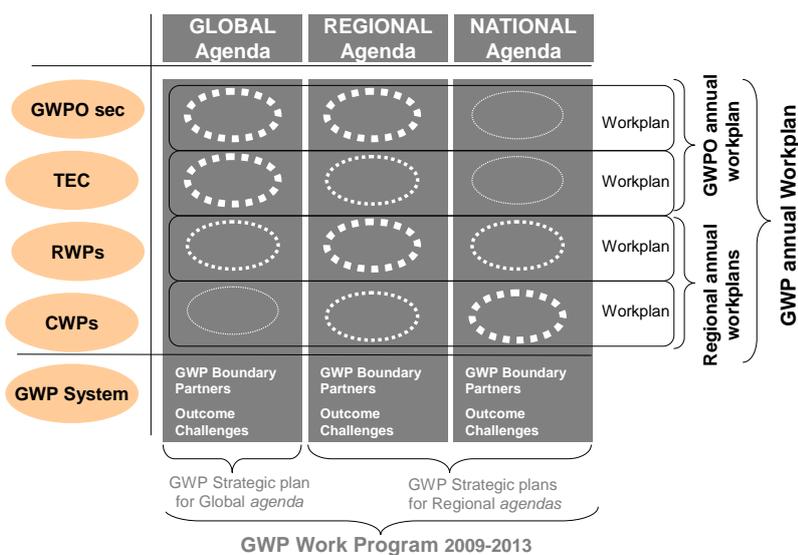


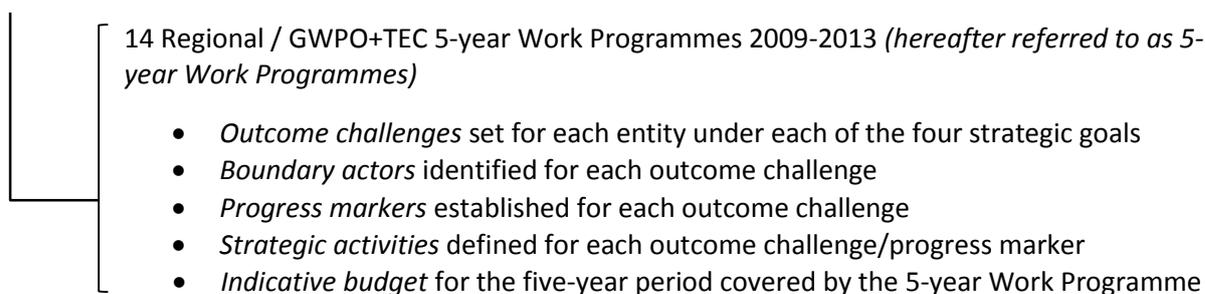
Figure 4: Overarching framework – GWP Strategy 2009-2013

A summary of the structural content of the three levels of planning documents is as follows:

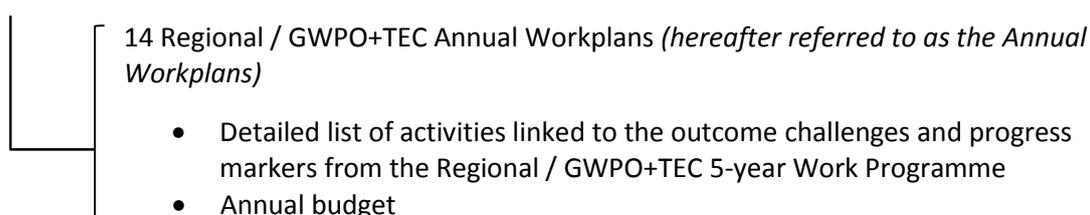
Global Strategy 2009-2013 (*hereafter referred to as the Global Strategy*)

- Vision
- Mission
- Four strategic goals and accompanying outcomes

GWP 5-year Work Programme 2009-2013: Compilation of 13 Regional 5-year Work Programmes and the 5-year Work Programme for GWPO and TEC



GWP Annual Workplan: Compilation of 13 Regional Workplans and the Workplan for GWPO and TEC



The structure of these documents also formed the basis for reporting and evaluating progress, particularly the outcome challenges and progress markers contained in the 14 Regional / GWPO+TEC 5-year Work Programmes 2009-2013.

### 2.2.1 Outcome-Mapping Based Work Programme Management Cycle

As a policy-related organisation and network, and in order to bridge the *attribution gap* in conventional results-based management frameworks, GWP formally adopted in 2007 an *Outcome Mapping*<sup>5</sup> approach to plan, implement, monitor, evaluate and report on its work. Outcome Mapping inherently recognises that direct attribution of outcomes<sup>6</sup> is not possible in organisations such as the GWP. Rather, Outcome Mapping methodologies seek to identify and report on the *plausible linkages* between outputs and outcomes across this *attribution gap*.

Following the Outcome Mapping approach, GWP plans and assesses the *influence* on the *boundary actors*<sup>7</sup> with whom it is working to effect behavioural change. GWP monitors the observed *changes in the behaviour* of these actors and reports in an intellectually credible way the *plausible linkages* between GWP's activities and outputs and these observed changes.

During the Strategy period, GWP carried out 4 assessments based on Outcome Mapping *progress markers* in 2010, 2011, 2012 and 2013. These assessments are summarised in the GWP Annual Progress Reviews produced in 2011, 2012 and 2013, as well as the GWP Summary Progress Review 2009-2013 produced in

<sup>5</sup> IDRC. 2001. Outcome mapping: building learning and reflection into development programs. 120 pp.

<sup>6</sup> *outcomes* as defined as *changes in relationships, activities, actions, or behaviours of boundary actors that can be plausibly linked to a programme's activities although they are not necessarily directly caused by it* (IDRC, 2001).

<sup>7</sup> *boundary actors* are defined as the parties which are to change as a result of GWP's activities. For GWP, examples of *boundary actors* are often national governments or regional economic development bodies

2014. The database of GWP progress markers for the Strategy period comprises some 700 entries obtained from the reported statements provided in the annual reports on monitoring of progress markers.

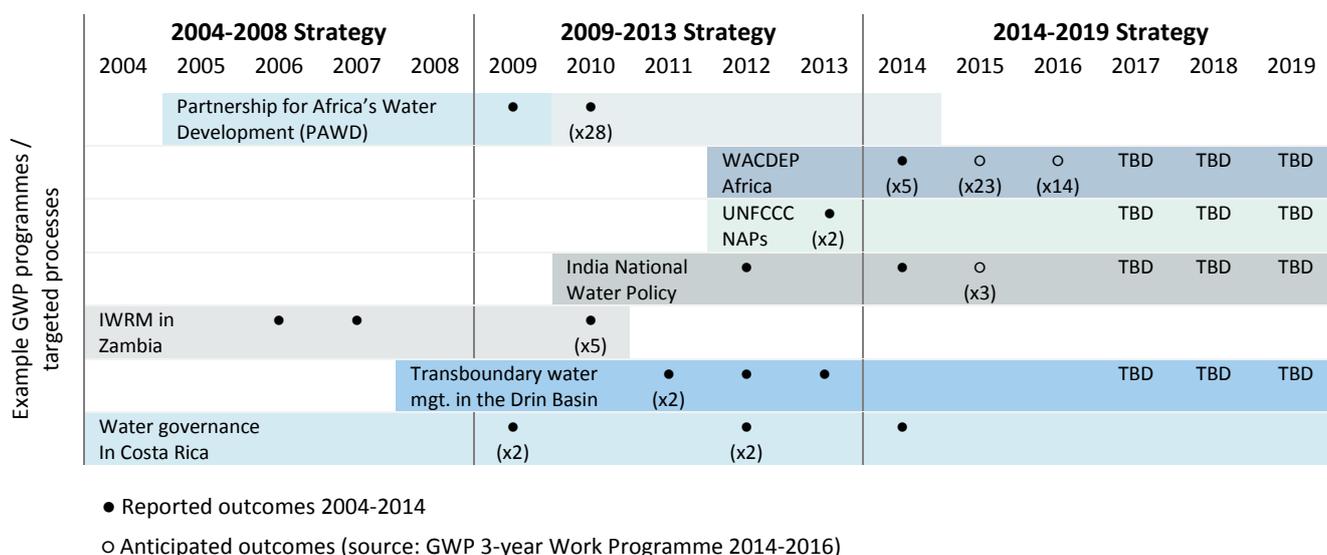
The planning and reporting information generated as a result of GWP's Outcome Mapping Based Work Programme Management Cycle provides the source of much of the material used to carry out this assessment.

In addition to monitoring the change processes through OM methodology (**outcome challenges and progress markers**), GWP monitors the resulting major water governance developments (**Key Water Governance outcomes**), in the countries and regions where it is operating. See Annex 3 for a full description of the definition and categorisation of key water governance outcomes applied within the GWP Results Framework.

## 2.3 Harvesting achievements

### 2.3.1 The time dimension

When reflecting on the results achieved during the strategy period, both at the activity/output and outcome levels, it is important to acknowledge the long-term nature of GWP's work which means that individual strategy periods cannot be viewed in isolation from the preceding and subsequent timeframes. A number of the outcomes achieved in 2009-2013 are the result of activities/outputs that occurred in some cases many years beforehand. Likewise, much of GWP's work up until 2013 will only lead to Key Water Governance Outcomes at a later date. Some examples of this are shown in Figure 5.



**Figure 5: The time dimension of GWP's work**

### 2.3.2 The diversity of results

The results achieved throughout the strategy period are presented in the *Annual Progress Reviews* produced for 2010, 2011, 2012 and 2013, which form the basis for much of the assessment. A complete list of the key water governance outcomes achieved is provided in annex 4. An illustrative summary of these results under the strategic goals is provided below. It reveals a mutually reinforcing mix of outputs (e.g. publications) and outcomes (water policy influenced). This justifies the complementary attempt to discuss the results in a more integrated way through the documentation of full case studies – see section 4.3.

#### Goals 1 and 2

- **Policy development:** New or updated water policy influenced by GWP in 15 countries

- **Legislation:** Legislative reform influenced by GWP in 9 countries
- **Regulatory framework:** Regulatory processes influenced by GWP in 8 countries
- **Strategies/action plans/roadmaps:** The development of more than 40 national level and 7 regional/river basin level strategies/action plans/roadmaps supported and influenced by GWP
- **Institutional reform:** Strengthened institutional structures and mechanisms for increased water security influenced by GWP in 15 countries
- **Advocacy:** GWP acknowledged publications produced by key global actors and UN-Water

### Goal 3

- **Facilitating information exchange:** Establishment of National Water Information Systems supported by GWP in 4 countries and 1 region
- **Global publications:** 5 perspective papers, 6 background papers, 9 policy briefs and 2 technical focus papers published by GWP
- **National guidance:** National guidelines on priority topics developed in 5 countries

### Goal 4

- **Network development:** Establishment of x new Country Water Partnerships and x new Area Water Partnerships
- **Financial growth:** Average annual increase of 6% funding (global and locally raised) during the strategy period
- **Partnership:** 708 new partners during the strategy period and 5 MoUs signed at the global level

### 2.3.3 The absence of quantified objectives

It should be noted that the *GWP M&E system was not set to operate with defined targets*, neither in terms of (i) number of Key Water Governance Outcomes fostered, or in terms of (ii) number of change processes successfully supported or in terms of (iii) outputs produced. This poses a unique challenge to evaluation. As will be apparent below, the evaluator will have to make qualitative statements about the degree of performance; e.g. is an observed level of x% of planned change processes successfully supported an indication of satisfactory performance or not? Possible reasonable targets are suggested in Annex 5 but they are merely plausible a posteriori indications.

Benchmarking with other comparable organizations is a possible methodological way forward but it was not pursued in the present study.

This weakness was identified in the context of the mid-term independent review and remedial steps undertaken in 2013, most notably as a result of the preparation of the Business Case for the GWP window of the DFID water security programme.

Quote Business Case DFID (January 2013)

GWP scored well in terms of its poverty focus and emphasis upon countries largely corresponding to DFID and ICF priority countries. GWP has good governance systems with clear financial management systems and a high degree of transparency and accountability. It rated particularly highly on its focus upon partnerships – a key strength and the quality of its knowledge products and ability to convene stakeholders and influence policy at a range of global, regional and national scales. An independent evaluation in 2010 concluded that GWP is highly regarded as a leading authority on water security with a good track record of delivering results in terms of setting frameworks and enabling environments for improved water security. GWP was however critiqued for setting overly ambitious goals and lacking a sufficiently robust results based framework. As a result of the evaluation GWP is addressing 8 distinct areas for improvement including **developing a results framework**, fund raising and communications. **GWP is currently designing a results based framework for roll-out during 2012-13 which will more effectively ensure and articulate results delivery. Associated with this will be increased capacity in project management and M&E. The Water Security Programme log frame sets out a focus upon results delivery for GWP with requirements for delivery of improved results based performance and capacity included as indicators.**

### 3. Evaluation

#### 3.1 Relevance

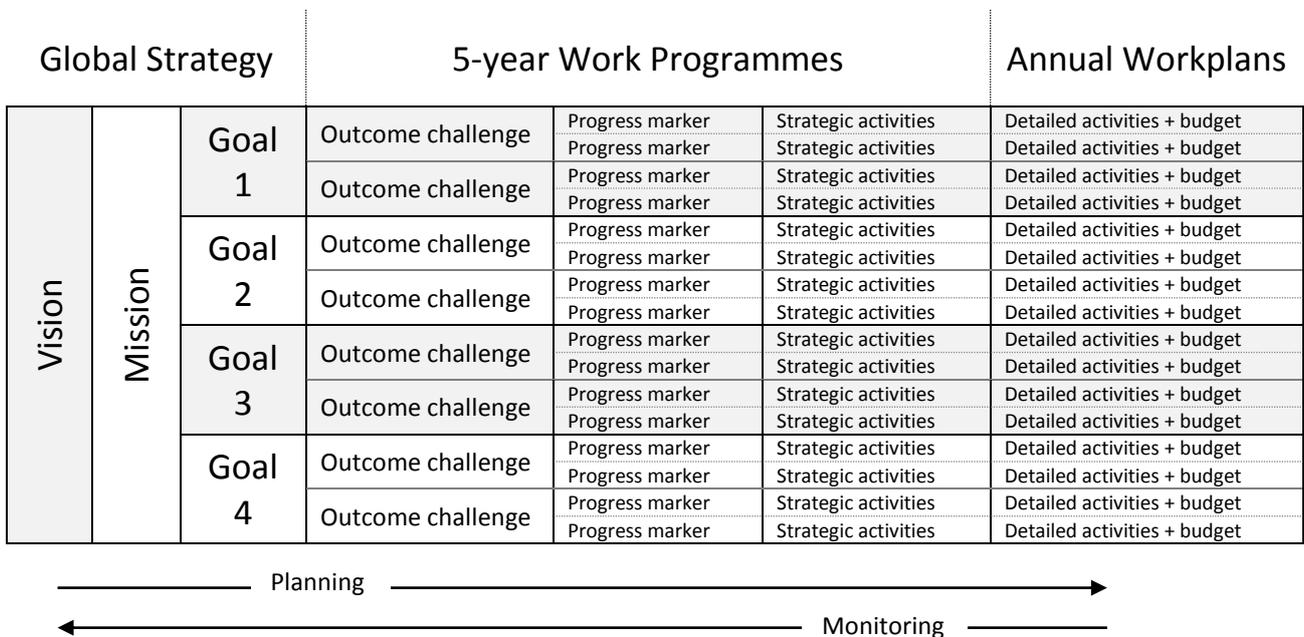
According to the Evaluation Matrix adopted for the review, the criterion of *Relevance* will be addressed through the review of the outcome challenges and progress markers contained in the 14 5-year Work Programmes for consistency against the Strategy so as to determine the extent to which the Strategy was translated into a relevant 5-year Work Programme across the organisation. More specifically, the evaluation questions identified were as follows:

- 1) Was the results framework of the GWP 5-year Work Programme consistent with the Strategy goals, mission and vision?
- 2) Were the activities of the 5-year Work Programmes consistent with the GWP Strategy and related theory of change?

##### 3.1.1 Results framework of the 5-year Work Programme 2009-2013

The overall GWP 5-year Work Programme developed to implement the Global Strategy consisted of a compilation of the 13 Regional 5-year Work Programmes and the one of GWPO+TEC. Each of these had been developed according to a consistent results framework which in turn was aligned with the four strategic goals, mission and vision of the organisation as included in the Global Strategy (see Section 2).

The relationship between the Global Strategy and the results framework as applied to the development of the 5-year Work Programme and annual work plans is shown in simplified form in Figure 6. The diagram demonstrates the logical flow from vision to detailed activities across the three key planning documents (Global Strategy, 5-year Work Programmes and annual workplans). This planning structure is itself consistent with the overall Results Framework presented in Figure 2 above.



**Figure 6: Relationship between the Global Strategy, 5-year Work Programmes and annual workplans in the context of the Results Framework**

The integrity between the 5-year Work Programmes and the Global Strategy is maintained through the link from strategic goals to the outcome challenges which, together with the progress markers, provide the

planning framework for the identification and selection of budgeted activities. This link ensures that the planning and reporting across all GWP entities is anchored to the four strategic goals and hence the mission and vision of the organisation as a whole.

### Relevance – Conclusion 1

*The conclusion of this assessment is therefore that the results framework of the GWP 5-year Work Programme is consistent with the Global Strategy goals, mission and vision.*

### 3.1.2 Strategic activities of the 5-year Work Programme 2009-2013

As described in Section 2.2, each RWP developed its own Regional 5-year Work Programme guided by the parameters and strategic goals set out in the Global Strategy but tailored towards their own needs and priorities. To determine the extent to which these individual 5-year Work Programmes were indeed consistent with the overall strategic framework, a review of the outcome challenges, progress markers and strategic activities included in the 14 5-year Work Programmes was conducted in the context of the strategic goals and associated outcomes of the Global Strategy. The main findings are described in this section.

The 14 5-year work programmes have a rather different character, which is to be expected due to the different needs and priorities of the constituencies they serve. Due to the overarching and general nature of the global strategic goals, this is rarely an issue as the majority of regional priorities, being closely related to water management, are likely to be accommodated under the central concept of IWRM and network development. Nevertheless, there is still the possibility that outcome challenges set by the individual GWP entities are, regardless of regional priorities, irrelevant or even in contradiction to the global strategic goal towards which they are supposed to be contributing.

A review of the outcome challenges set in the 14 5-year Work Programmes suggest there are no obvious examples of outcome challenges that cannot be linked, however tenuously, to the global strategic goal under which they are placed. In many cases this link is a strong one with specific outcome challenges (and associated progress markers and strategic activities) clearly contributing to the higher level goal.

However, there are also examples where the outcome challenges set are worded in a way that it remains unclear as to how exactly their achievement will contribute to the relevant strategic goal. In such cases there is indeed no contradiction between the outcome challenge and the strategic goal but at the same time no clear link connecting planned activity with progress marker with outcome challenge with strategic goal; i.e. the integrity of the planning framework has been weakened.

### Relevance – Conclusion 2

*It is therefore reasonable to conclude that the strategic activities of the 5-year Work Programme 2009-2013 are consistent with the GWP Strategy and related theory of change but with the caveat that in certain cases the level of detail provided in the planning documents is insufficient to confirm a strong connection between the two.*

## 3.2 Effectiveness

According to the Evaluation Matrix adopted for the review, the criterion of *Effectiveness* will be addressed through the analysis of the activities implemented during the strategy period in the context of what was planned and what resulted. More specifically, the evaluation questions identified were as follows:

- 1) *To what extent did the 5-year Work Programme implementation lead to expected results (outputs, outcome challenges and strategic goals, and outcomes)?*
- 2) *What were the major factors influencing the achievement or non-achievement of the expected results during the Strategy period?*

### 3.2.1 Effectiveness – Approach

The outcome mapping (OM) approach employed by GWP throughout the strategy period (see Section 2.2.1) provides the system through which progress can be robustly measured. Backed up by a comprehensive monthly reporting process, the OM data has enabled ongoing analysis of the extent to which activities and outputs implemented by GWP were considered successful in achieving the outcome challenges set in each of the 5-year Work programmes developed by the GWP entities. The complete set of data has been revisited for this assessment and forms a large part of the findings in this section.

During the course of the strategy period, Annual Progress Reviews were carried out for the years 2011, 2012 and 2013. These documents contain a high level analysis of the pre-identified progress markers<sup>8</sup> (PM) for each entity against the four strategic goals. The information included in the Progress Reviews has been built on through the inclusion of the following additional perspectives:

- 1) *Review of PM status at the end of the strategy period according to outcome challenges (OC) – determines the extent to which OCs have been met based on the achievement of key milestones*
- 2) *Review of Key Water Governance Outcomes directly fostered by GWP intervention as observed in all available reporting mechanisms for countries, regions and globally – determines the extent to which the achievement of OCs can be linked to clear governance outcomes*

By combining the above, an analysis can be made of how effective a GWP entity was in achieving a particular OC that it set itself. For example, a situation in which 1) all PMs associated with an OC were fully addressed, and 2) a water governance outcome(s) clearly associated with the OC was reported as being in place, would suggest that the implementation of that aspect of the 5-year Work Programme had been extremely effective.

In reality the number of such cases is limited and it is not always easy to establish such clear cut linkages between the different strands of an entity's work and the resulting outcomes. In certain cases an OC may have been successfully met (as shown through the assessment of PMs) but no direct link to a recorded governance outcome can be made. Alternatively an outcome may have been recorded within a region but a direct link back to a successfully met OC cannot be made. In both cases GWP has clearly been effective at catalysing desired change but the tangible results of such change or how it came about may be difficult to determine and/or become visible only at a later date.

The available data collected through the OM approach goes some way in filling the inevitable *attribution gap* between the water governance outcomes recorded and the activities and outputs implemented by the organisation. However, due to the complex nature of water resource management and a variation in quality of reported data from the different organisational entities the information available is in many cases insufficient to gain a comprehensive understanding of the relationship between GWP's work and the outcomes influenced. The role and contribution of external factors in particular are poorly documented leading to an incomplete picture of how the observed change materialised. The result is that Key Water Governance Outcome influenced by GWP are recorded with a limited indication of how much of a factor GWP's work was in their development.

This difficulty is largely due to the limited extent to which the OM methodology is being applied across the GWP entities. Ideally a comprehensive review of all factors related to processes of change and the full

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<sup>8</sup> Milestones which specify the behavioural change outcomes or actions the programme would expect the boundary actor to exhibit during the period of the strategy in order to meet the accompanying outcome challenge. Each entity has its own set of progress markers defined according to their outcome challenges.

complement of actors involved would be carried out when analysing the behaviour that resulted in progress towards an OC. In reality this is only partially implemented meaning that an incomplete understanding is gained of the relationships, interactions and responses that enabled the observed change to occur.

To advance this understanding and further explore the relationship between GWP’s work and the associated outcomes, the assessment has selected five illustrative cases that have been analysed in more detail using both the available data as well as interviews with key stakeholders. This more detailed analysis has provided observations which, despite being drawn from particular cases, may be relevant for the organisation as a whole. The findings from the five illustrative cases are described in Section 4.3.

**3.2.2 Effectiveness – Analysis**

**Review of progress marker status at the end of the strategy period**

In total the GWP 5-year Work Programme contained 216 OCs accompanied by more than 700 PMs (the desired change in boundary actors over the five year period). Each of the 14 5-year Work Programmes contained a set of PMs for every OC and these were assessed individually on an annual basis according to the following three levels:

/	Some linkage can be reported with a key boundary actor, mostly in terms of connection / interest / participation to GWP activities (10%)
+	A change process is identified. While not fully implemented, the direct link to GWP activities is worth reporting (50%)
++	A significant change can be reported. The influences/ processes leading to this change are worth reporting, including the direct link to GWP activities (90%)

Whether or not OCs have been met is monitored indirectly within GWP’s M&E system. The scoring of progress markers is a method to monitor progress towards the achievement of OCs; i.e. the more PMs for each OC assessed as ‘++’ the more likelihood that the OC has been met. The assessment of batches of PMs is therefore a proxy for determining the extent to which an OC has been reached and consequently how effective GWP has been in meeting its objectives.

There are limitations to this approach not least that the achievement (or lack thereof) of progress markers does not conclusively determine whether an OC has been met. An OC could be reached without achieving all PMs and vice versa. In addition, the following factors need to be considered when drawing conclusions from the assessment of PMs presented in this section:

- **Subjectivity:** The assessment of PMs, through which the achievement of OCs are measured, is subjective and therefore vulnerable to alternative interpretations of what constitutes ‘significant progress’ or lack thereof.
- **Level of ambition:** The nature of OCs and PMs set by the different GWP entities varies considerably with regard to the precision of what is being measured. Variations in the level of ambition and detail contained in an OC/PM impacts upon the range of observed change that can subsequently be reported as progress (for example a PM measuring a specific change in behaviour has a clearer threshold of what constitutes ‘significant progress’ than one that is more vaguely worded).

In spite of these caveats, the use of PM assessment to measure achievement of OCs remains a valid approach whilst acknowledging that detailed analysis is required on a case-by-case basis to form a good understanding of what has actually occurred and why.

Figure 7 shows the breakdown of OCs according to the average score of accompanying PMs (for example, if an OC had three associated PMs which by the end of the strategy period had been scored ‘++’, ‘+’ and ‘+’, the average PM score would be given as ‘+’ for that particular OC). When viewing the graph, it should be noted that the expectation that ‘a significant change’ will be reported for all PMs is unrealistic (not all PMs

defined in 2009 remain valid, so by definition there cannot be 100% fulfilment of all, nor is this the expectation).

As a complement Figure 8 shows the same information but for the whole set of PMs (no aggregation by OCs). This representation was used to present results in the GWP Annual Progress Reviews produced during the strategy period. The graphs show a comforting coherence in the 2 approaches.

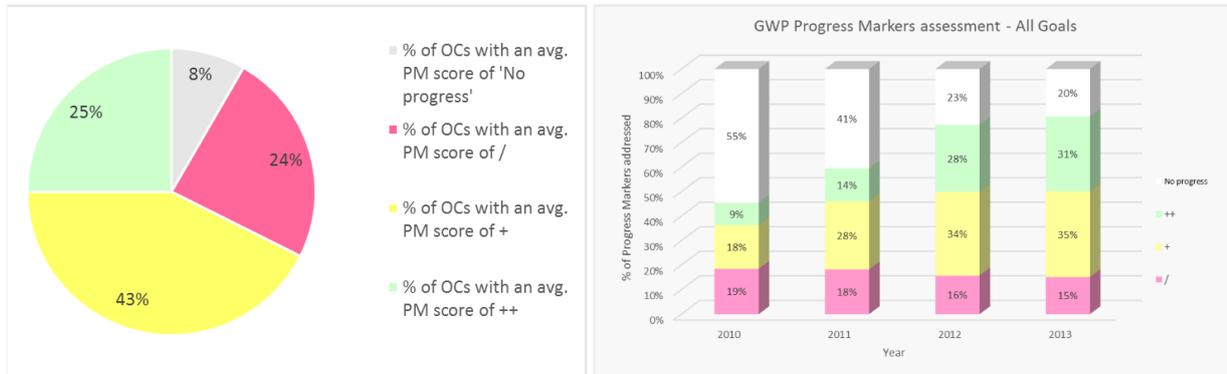


Figure 7: OC assessment according to avg. PM score

Figure 8: PM assessment

It is not possible to draw detailed conclusions from the collective results presented in Figures 7 and 8. These rather provide a rough illustration of overall progress in meeting OCs. In particular, it shows that 68% of outcome challenges were addressed with some degree of intensity (25% significantly, 43% to some extent).

Figures 7 and 8 also show that there has been a rate of under achievement for almost one third of the OCs and PMs for which there will be a number of external and internal explaining factors. These factors have not been analysed in detail although the illustrative cases explored in more detail in Section 4.3 do shed some light on barriers and success factors of individual cases.

It should also be noted that a comparative analysis between regions has not been carried out. Such an analysis is possible but would need to take into account the marked differences in the quality of the PMs set within different regions and alternative interpretations of the (subjective) assessment scoring system among the various assessors. Consequently, *in-depth analysis of overall achievement in implementing the strategy, as measured through the assessment of PMs in relation to OCs, needs to be done at the regional, or even country, level rather than collectively in order to get a clear understanding of successful implementation versus planning objectives.* For now this level of analysis has been limited to the illustrative cases presented in Section 4.3.

### **Review of Key Water Governance Outcomes directly fostered by GWP intervention as observed in all available reporting mechanisms for countries, regions and globally**

In addition to measuring effectiveness through the assessment of PMs as described above, a complimentary approach is to review the complete set of Key Water Governance Outcomes recorded by GWP over the strategy period (see Annex 4) and make a link to the associated OC. This is done on the pretence that individual, or packages of, OCs will, directly or indirectly, manifest themselves in Key Water Governance Outcomes.

As with the review of PM assessments, this approach also comes with a number of caveats that need to be considered, namely:

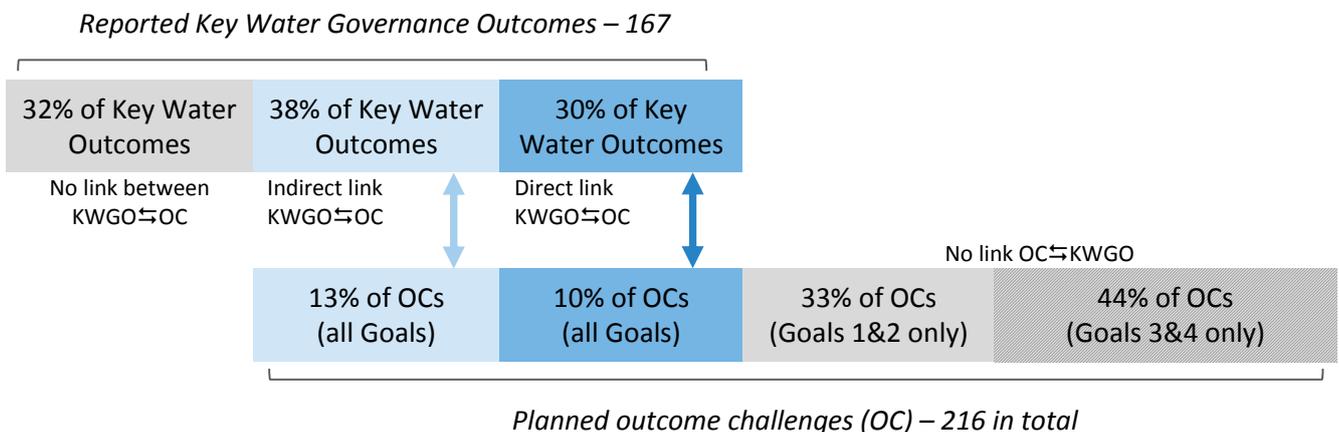
- **Lack of direct links:** A direct link between a successfully achieved OC and a tangible water governance outcome is, depending on the nature of the OC, not necessarily expected. For example,

OCs set under Goals 3 and 4 are more likely than not reinforcing the work under Goals 2 and 1 and are therefore rather indirectly linked to subsequent outcomes under these goals. Monitoring such indirect links is however a challenge

- **Time lag:** OCs achieved during the strategy period may only lead to Key Water Governance Outcomes at a later date. This date may well be outside of the period under review and consequently not picked up using the available data.
- **Unplanned achievements:** Key Water Governance Outcome to which GWP has contributed may be recorded despite no discernible link to planned objectives. Due to the ever changing governance environment within which GWP is active this is to be expected and it is indeed positive that unforeseen opportunities are exploited as and when they arise.

A one-to-one match between OCs and recorded Key Water Governance Outcomes is therefore not necessarily expected despite effective programme implementation.

Between 2010 and 2013 a total of 167 Key Water Governance Outcomes were recorded (outcomes recorded in 2009 have been excluded on the grounds that they are likely to be the result of work carried out in the preceding strategy period). Figure 9 shows the extent to which these can be linked to individual OCs by simply comparing recorded outcomes with the complete set of OCs selected by the 14 GWP entities.



**Figure 9: Linkages between key water governance outcomes and outcome challenges**

Figure 9 shows a high number of OCs (164, 77%) that cannot be linked to a reported outcome. As described above it is not expected that there would be a 100% direct relationship between planned OCs and reported Key Water Governance Outcomes, particularly under Goals 3 and 4 (which is why the diagram displays these separately from Goals 1 and 2). This is due to the relationship between the four strategic goals, unanticipated changes in the governance environment in which GWP is active, possible time lags between the achievement of an OC and the reporting of an outcome, and vague/nondescript formulation of OCs. However, the only way to fully understand why more than three quarters of the OCs are not directly linked to an outcome is to analyse each OC individually which goes beyond the scope of the assessment.

The other point of note in Figure 9 is that over one third of reported Key Water Governance Outcomes cannot be linked to the OCs. Again, the reasons for this differ on a case by case basis but are typically related to one, or a combination, of the following factors:

- The outcome was not foreseen during the establishment of OCs but the opportunity for GWP to exert influence was nevertheless utilised as and when it arose
- The outcome was the result of GWP activities and outputs from the previous strategy period and was consequently not considered in the OCs of the 2009-2013 5-year Work Programme
- The link between an OC and outcome cannot be made due to poor formulation of the OC, i.e. there is a link but the OC was too vague and nondescript for this to be appreciated

In total 53 outcomes which cannot be linked to OCs were recorded in 11 of the 13 regions (the exceptions being East Africa and South America) as well as at the global level. Examples from each of these are listed below:

- *CAC*: Regional Framework for WSS and IWRM (2010)
- *CAF*: Agreement with ECCAS for the elaboration of an hydrometeorological strategy (2013)
- *CAM*: Watershed councils established in Honduras (2011)
- *CAR*: National Water Information System established in Grenada (2012)
- *CEE*: Reestablishment of the Hungarian National Water Management Council (2013)
- *CHI*: Local government institutional reform in Fujian province (2013)
- *MED*: National Assessment on concrete actions for private sector participation in water infrastructure in Lebanon (2011)
- *SAF*: A coordination mechanism for the water security advisory group in Zambia (2010)
- *SAS*: Urban flood risk management framework developed for Dhaka City in Bangladesh (2011)
- *SEA*: Small water service providers in the Philippines recognised as delivering on MDGs (2011)
- *WAF*: National IWRM Coordination Commission set up in Guinea (2010)
- *Global*: AMCOW Strategic Framework for Water Security and Climate Resilient Development (2012)

Caution should of course be exercised in drawing too many conclusions from the numbers presented in Figure 9. As with the assessment of PMs, the collective findings from such a high level analysis do not take into consideration variations in the level of ambition and descriptive detail of the OCs set among the different GWP entities and a genuine understanding can only be gained by analysing individual examples in detail (as has been done for the selected illustrative cases presented in Section 4.3). However, the high-level information presented does give an indication of the extent to which a connection can be made between planning objectives (expressed as OCs) and demonstrated results (Key Water Governance Outcomes) even if those connections are not fully documented.

Some examples where significant links can be made between recorded outcomes and OCs are shown in Table 1.

Region	Key Water Governance Outcome	Related outcome challenge
MED	MoU for the Management of the Extended Transboundary Drin Basin	Regional and local policy dialogue is facilitated and capacity is built for Transboundary IWRM, (within the framework of and in collaboration with the Petersberg Phase II / Athens Declaration Process, GEF IW:LEARN 3, Drin Basin Dialogue and the International Sava Commission-)
EMEA	National Water Policy of Burundi (review)	Support Governments to revise and strengthen their IWRM policies/laws and plans, to incorporate into their national development processes, and implement with all stakeholders
SAF	5 <sup>th</sup> National Development Plan of Zambia (integration of IWRM)	Local and national planning authorities in Malawi, South Africa, Tanzania, and Zambia will begin to mainstream IWRM issues and principles into sectoral & cross-sectoral dev. policies/plans.
SAS	Wainganga Area Water Partnership in India (formation)	All CWP's will expand and strengthen the networks of area, zonal water partnerships, women water networks and local water parliaments so that they significantly support the implementation of IWRM at the grassroots level and basin level.
CAC	The BEAM Economic model for water allocation (development)	Deliver technical support to the countries addressing challenging issues

**Table 1: Examples of linkages between key water governance outcomes and outcome challenges**

### *Interpreting the results*

Broadly speaking and recognising the many caveats associated with the data, it can be said that approximately one third of all OCs were largely met; one third were met to some extent but not to the degree initially foreseen; and one third remained largely unmet.

Considering that the analysis of results is taking place at the outcome level of the results framework (as opposed to the output level where rates of achievement would be expected to be much higher) the figures presented above appear reasonable. Achieving OCs depends not only on the performance of the responsible GWP entity (i.e. successful implementation of planned activities and outputs) but also a range of external factors that can either support or derail the intended change processes. In addition, the subsequent Key Water Governance Outcomes that would be expected to materialise upon achievement of OCs are subject to forces that are largely out of GWP's control, including political instability, institutional reform, delayed timelines and economic trends.

The observed relationship between OCs and Key Water Governance Outcomes reported also needs to be viewed in the context of both the environment in which GWP operates and the inter-linkages between the four strategic goals under which the OCs are set. To get a better understanding of the extent to which OCs have led to outcomes therefore requires the consideration of:

- The goal under which an OC has been set – OCs set under goals 3 and 4 are likely to be designed to strengthen the achievement of OCs under goals 1 and 2 rather than result directly in Key Water Governance Outcomes
- The extent to which the OC was met – an OC for which the associated PMs remained largely unachieved is less likely to result in a Key Water Governance Outcome (although it could)
- Changes that occur within the planning period both in the continued relevance of OCs and PMs, and the actual outcomes that these are expected to lead to – a GWP entity would be expected (and encouraged) to adapt its plans to unexpected opportunities that arise within the planning period even if such changes render certain OCs obsolete

### Effectiveness – Conclusion

*Considering that no targets were explicitly set in term of expected rate of achievement of outcome challenges, the results above (2/3 addressed) provide a reasonably good indication that the implementation of the 5-year Work Programme has been effective overall. A detailed analysis by region and country is necessary to investigate meaningfully the major factors influencing these achievements (the resources allocated to this study did not permit such an analysis but pointers are provided in the section 4 of the report).*

## 3.3 Efficiency

The criterion of *Efficiency* will be addressed through the analysis of the resources used, financial, human and institutional, in order to achieve results, particularly how they were distributed across the different activities implemented, and whether this represents value for money according to expectations. More specifically, the evaluation questions identified were as follows:

- 1) *Was the 5-year Work Programme implementation carried out in a cost-effective manner?*
- 2) *Was the 5-year Work Programme an efficient way of translating the Strategy operationally compared to alternative approaches?*

### 3.3.1 Efficiency – Approach

The assessment of Strategy implementation efficiency has identified three relevant areas, namely:

- **Financial efficiency:** Comparison of financial inputs versus results achieved by region/global entity in relation to the types of activities implemented and actual expenditure incurred

- **Operational efficiency:** Consideration of institutional efficiency in the context of network management
- **Comparative efficiency:** Examination of operational implementation of the Global Strategy compared to alternative approaches

### 3.3.2 Efficiency – Analysis

#### **Financial efficiency**

The analysis of financial efficiency considered whether the 5-year Work Programme implementation needs to be done from the perspective of expenditure incurred.

Whereas the analysis of effectiveness (Section 3.2) focused largely on the outcome level – the level at which meaningful change as a result of GWP’s work was monitored – the financial efficiency should be assessed largely at the output level; the level at which expenditure is incurred (comparison of expenditure versus outputs produced). To do this the following information is required:

- Types of activities reported by entity, outputs produced
- Annual expenditure by activities and entity

Actual outputs themselves were not monitored directly within the GWP M&E system. However, the *types of activities* implemented could potentially serve as a rough indication of outputs produced as a proportion of all activities and expenditure incurred. Activities were monitored according to the following categories:

- Activities directly associated with outputs/outcomes:
  - process facilitation
  - capacity building
  - awareness raising
  - products
- Operational activities
- GWP-initiated meetings for advocacy, designing or advancing cooperation with others and for managing/governing the network
- Activities associated with participation/contribution to events or processes initiated by others

The time devoted to the study did not allow an in depth analysis of this dataset. The procedures in place for scrutinizing budgets and expenditure reports suggest that GWPO is equipped to ensure that financial efficiency is addressed as part of routine management oversight.

#### **Operational efficiency**

Operational efficiency relates to whether the governance of the network were optimal to ensure the best use of available human and financial resources. It is beyond the scope of the assessment to carry out a detailed governance review which is what would be required to comprehensively address the issue.

The graph below shows the variation of revenues (which translated into budgets) during the strategy period considered.

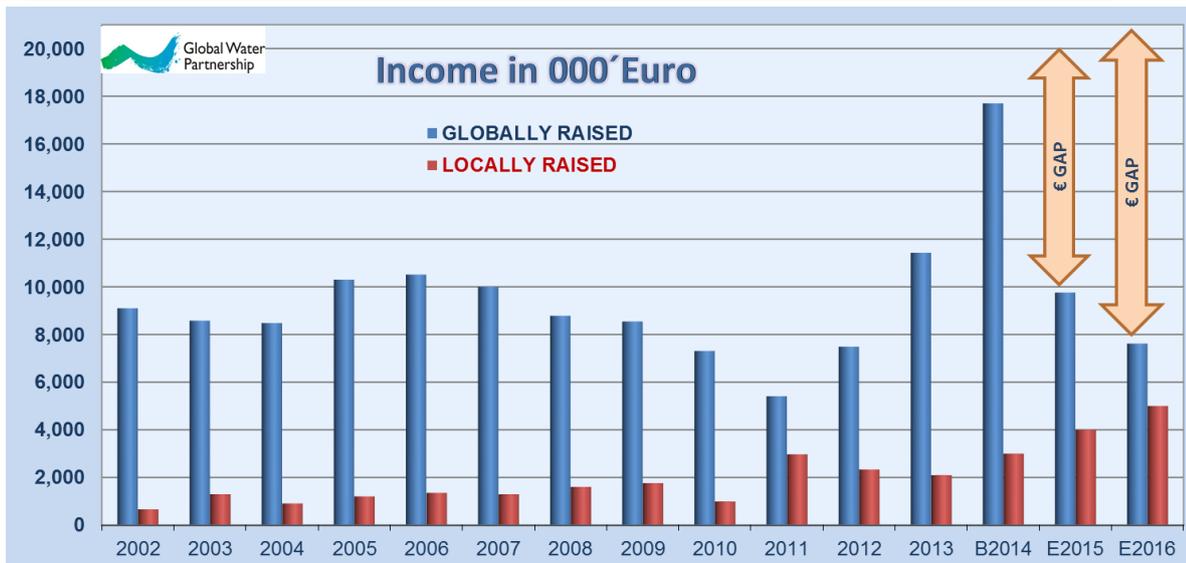


Figure 10: GWP actual and forecast income 2002-2016

The graph reveals the difficult budget situation faced by the network at mid strategy. Budgets were far below planned figures at the onset of the 5-year Work Programme. As suggested in the effectiveness section above, overall delivery of results was preserved indicating a capacity to manage efficiently relatively scarce resources.

**Comparative efficiency**

As already quoted in introduction, the preparation of the Business case for DFID water security programme (2013), involved gathering data on the GWP benefit cost ratio and comparing with alternatives. According to the available business case appraisal report, GWP’s results compared favourably. This dimension of efficiency analysis largely stems from the capacity of the GWP network to mobilize expertise quickly in a decentralized manner and to leverage co-financing or in kind contributions on the ground within the processes where it is engaged.

**Efficiency – Conclusion**

- *The link between resources used and results achieved (at the outcome level) is difficult to establish largely due to the uncertain influence of externalities. As such a meaningful analysis of efficiency can only be conducted at the output level. To do so is, however, complicated by the lack of information that was systematically collected from the network on outputs produced and the cost of doing so.*
- *The fact that GWP was largely effective in implementing the 5-year Work Programme despite the availability of considerably less financial resources than budgeted for suggests that operations were conducted with a high level of efficiency.*
- *In addition to the above, estimates established during the strategy period in the context of business case development<sup>9</sup> suggest that the actual costs incurred to carry out the 5-year Work Programme are less than the equivalent requirements by alternative international organisations (e.g. the UN).*

**3.4 Impact**

According to the Evaluation Matrix adopted for the review, the criterion of *Impact* will be addressed through the analysis of the positive and negative changes produced during the strategy period and the

<sup>9</sup> See DFID water security programme Business Case, GWP window

extent to which Key Water Governance Outcomes influenced by GWP have had a measurable impact. More specifically, the evaluation questions identified were as follows:

- 1) *What has happened as a direct or indirect consequence of the implementation of the GWP 5-year Work Programme during the period?*
- 2) *What tangible change has the implementation of the GWP 5-year Work Programme made to the intended beneficiaries?*

### 3.4.1 Analysis of impact

An impact is defined by the OECD/DAC as “Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended”<sup>10</sup>. According to the Global Environment Facility in their Impact Evaluation approach paper<sup>11</sup> there are different types of impact evaluation models, most of them developed by a cause-effect linkage. However, these kind of models are typically produced and implemented to evaluate the impact of individual projects or programmes. To use such an approach to calculate the effects of implementing the GWP 5-year Work Programme as a whole would not be a straight forward undertaking and consequently it has not been attempted as part of this assessment of the Global Strategy.

The reasons for this include:

- **Time lag:** As, to a lesser extent, with the monitoring of Key Water Governance Outcomes (see Section 3.2.2), a tangible change in the wellbeing of targeted beneficiaries is in most cases only likely to be seen some time after GWP’s activities and outputs have been completed. For example, in the case of the Aral Sea Basin described in Section 4.3 the impact of national and basin level institutional reform may well result in the intended impact (such as increased equality in water allocation) but only after the reform has led to updated policy, revised legislation, enforced regulation, etc., all of which takes time to implement. Impact is therefore not likely (or intended) to be realised within the period under review.
- **Degree of attribution:** The figurative distance between *impact* and GWP *outputs* in the Results Framework inevitably leads to an attribution gap that is difficult to interpret. In practical terms this means that understanding the extent to which GWP’s work has led to the observed impact, in the context of all external contributions, is complex. For example, a reduction in the prevalence of waterborne disease among a target community maybe the result of range of interventions – improved water supply infrastructure, construction of sanitation facilities, behavioural change campaigns, etc. – one of which GWP may have contributed to. Attributing the impact achieved to the GWP contribution in a quantified manner is naturally difficult to do.
- **Lack of reported results:** Unlike the reporting of Key Water Governance Outcomes, the GWP M&E system employed during the strategy period did not systematically monitor impact. Consequently there is not an established record of results at the impact level to use as a basis for a thorough evaluation of progress.

In spite of the above limitations, GWP is certainly in a position to assess the impact of its work. The ease with which this can be done is however dependent on the type of work implemented. In certain cases, for example the implementation of demonstration projects, direct and, to a lesser extent, indirect beneficiaries can be readily quantified. In others the observed improvements in quality of life occur at the end of a sequence of events to which GWP has contributed; for example GWP support provided in drafting climate policy leads to reduced community vulnerability following policy implementation. In the latter case, the link between GWP’s work and the subsequent impact observed, whilst valid, is part of a much

<sup>10</sup> OECD/DAC, 2002. “Glossary of Key Terms in Evaluation and Results Based Management.”

<sup>11</sup> GEF EO Impact Evaluation Information Document No 1, September 2007

larger process involving multiple actors and influences over an extended time period, the analysis of which goes beyond the scope of this assessment.

Although easier to conduct, the estimation of direct impact through specific project work and demonstration activities has also not been comprehensively assessed. The following examples do however highlight the kind of impact that has been achieved during the strategy period:

- **EAF: Bugesera demonstration project, Rwanda/Burundi** – Direct impact includes the planting of approximately 50,000 trees around the shores of Lake Cyohoha, increased energy security among communities and reduced tree cutting through the introduction of biogas facilities as energy sources for cooking (12 units), and the extension of water supply infrastructure to serve 3,000 people (*see also illustrative case in Section 4.3*)
- **SAS: Sand mining in Sri Lanka** – Marked improvement of regulation and enforcement levels as well as a 3-fold increase of detections, arrests and prosecutions in relation to a campaign to fight illicit river sand mining in Sri Lanka
- **MED: Non-conventional water resource solutions** – Approximately 70,000 direct beneficiaries of the installation and reinstatement of more than 50 rainwater harvesting systems, 2 stormwater management applications and 2 greywater reuse systems (*see also illustrative case in Section 4.3*)

As valuable as the documentation of the results described above is, it constitutes only a fraction of the impact resulting from GWP's work which is typically influencing water governance processes rather than implementing tangible interventions on the ground. The challenges of identifying and quantifying such impact are however significant and efforts to do so will always be accompanied by a large margin of error.

### Impact – Conclusion

*In the context of the implementation of the Global Strategy, it is acknowledged that neither sufficiently detailed data nor a robust methodology is currently in place to carry out a meaningful evaluation of impact achieved. The evaluation questions posed for impact can therefore not be satisfactorily answered within the scope of the assessment.*

## 3.5 Sustainability

The criterion of *Sustainability* will be addressed by measuring whether the benefits of the activities are likely to continue from an environmental as well as financial perspective. More specifically, the evaluation questions identified were as follows:

- 1) *What were the major factors which influenced the sustainability of the 5-year Work Programme positive results as assessed against the GWP Change Theory?*
- 2) *What is the sustainability of the GWP network itself, as an outcome/output of the 5-year Work Programme implementation?*

### 3.5.1 Analysis of sustainability

The criterion of sustainability, according to the evaluation questions posed, can be separated into the sustainability of the results achieved and the sustainability of the network itself. Although to a large extent interrelated, these two aspects are dealt with separately within this section.

#### **Sustainability of results**

The issue of sustainability of results is particularly pertinent for international organisations, such as GWP, that have been given the mandate and resources to invest in the development agenda. The risk of funding

projects and programmes that fail to achieve long-term gains is perceived to be high leading to particular scrutiny over how implementing organisations are ensuring that benefits are maintained once external funding is no longer available.

In this respect, the near permanence of GWP's network and the governance arenas within which the organisation is active provides if not a guarantee of sustainability than at least an enabling environment that facilitates ongoing contribution to the maintenance and enhancement of the results achieved. This is in contrast to project based approaches whereby 'results' are handed over to the intended owner with little allowance for continuing support.

In practice this can manifest itself in a number of ways but the unique structure of the organisation – global, regional, country and, in some cases, area level entities – enables long-term interaction with boundary actors and processes as they evolve over time. Naturally such interaction is not necessarily conducted in accordance with strategic cycles but is rather an ongoing relationship without a defined end date. Looking at the 2009-2013 strategy period there are a number of processes that GWP was involved with during the previous strategy period and continue to contribute to post 2013. These include most of the key water governance focus areas that GWP actively supports including:

- **The National Water Policy of India** – Adopted in 2012, the India CWP was heavily involved in its development in preceding years and is currently supporting implementation at State level
- **National IWRM planning in West Africa** – Long-term regional support to countries in West Africa to develop IWRM plans with the result that plans were adopted in seven countries between 2006 and 2013 with a further four anticipated in the coming years
- **Integrated Management of the Drin River basin** – Ongoing regional support to, and facilitation of, greater collaboration between the five riparian nations dating back to 2008
- **Annual Conferences for Legislators in Central America** – Regular facilitation of national statutory improvements for water management dating back to 2002 that has resulted in legislative reform in six countries, most recently in Costa Rica in 2014

The crucial advantage of such ongoing support is that efforts are embedded within formal governance processes thereby strengthening the likelihood that results contribute to long-term benefits, a fact that is apparent when reviewing the list of governance processes to which GWP contributed to during the 2009-2013 strategy period.

Whereas the GWP business model avoids many of the familiar risks associated with project based development funding, there are nevertheless a number of clear threats to the sustainability of the work across the different entities as highlighted within their annual progress reviews and other feedback channels such as the Regional Days meetings. These include:

- **Changes in the political landscape** – GWP's work with boundary actors is heavily dependent on established relationships and mutual trust. Changes in government and political priorities can compromise such relationships thus reducing the influence that GWP is able to exert or even undoing previous gains. Political instability is a further threat to the sustainability of GWP's work as experienced during the strategy period in Libya, Egypt and the Central African Republic among others.
- **Lack of political will** – Much of GWP's work is focused on supporting policy development, planning and regulatory processes. These need to be implemented in order to achieve and maintain intended impact (see also Section 3.4 above) which requires continued political buy-in and availability of funding. In the event of such commitment diminishing over time it is unlikely that progress will be sustained.
- **Institutional capacity** – Goal 3 in the Global Strategy aims at building the capacity of key stakeholders to support better water management. The sustainability of such results requires that the individuals that have benefitted from GWP-led capacity development make use of this knowledge within their field of responsibility. High staff turnover and rearrangements of duties within government institutions can reduce the likelihood of this occurring.

- **Financial insecurity** – During the strategy period, the majority of RWPs/CWPs within the network were dependent on financial resources sourced by GWPO. This lack of self-sufficiency increases the risk to their long-term existence but also limits the extent to which they can continue to maintain and build upon the results achieved to date.

In addition to the above, the 2009-2013 strategy period saw a shift towards the establishment of individual projects, particularly under the WACDEP, within which pilot projects, elements of research and even construction of physical infrastructure was initiated. In such cases the common risk of abandonment once the project is completed become more pronounced. This risk is something that can only be assessed in the subsequent strategy period during which most of the on-the-ground interventions are scheduled to be completed.

### Sustainability – Conclusion 1

*By construction, the sustainability of GWP results is comparatively higher than other similar interventions due to the existence of GWP partnerships on the ground and their ability to embed GWP interventions in long term processes in countries and regions. The introduction of new project mode of intervention may bring additional risks if not managed carefully (full ownership of WPs and coherence with their agendas needed).*

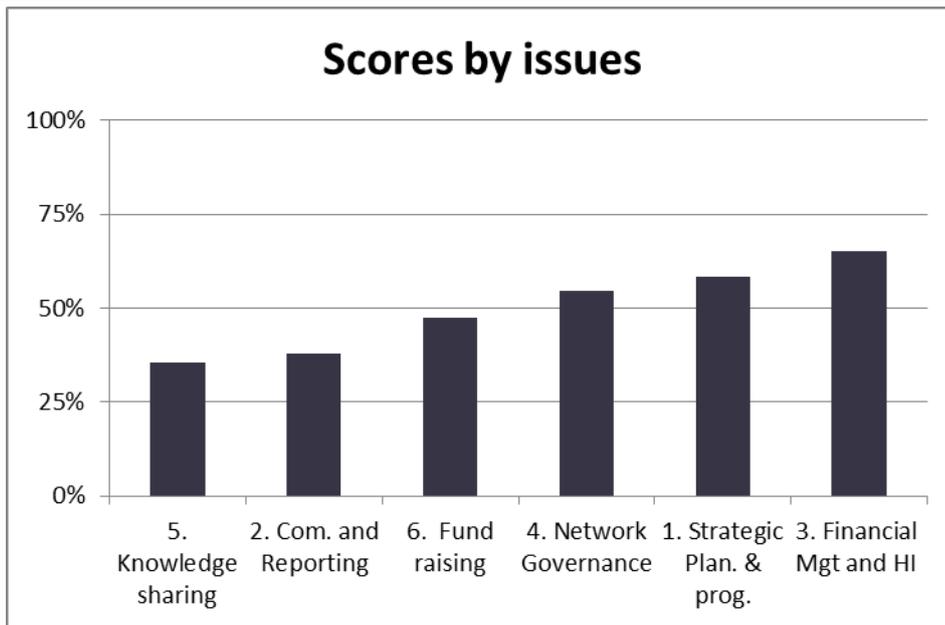
### Sustainability of the network

The second aspect of sustainability concerns the network itself without which the sustainability of results as described above would be compromised. The unique structure of GWP and the way the Partnership functions provides the necessary platform for dialogue and facilitating change processes, and its maintenance was therefore of paramount importance for the successful implementation of the Global Strategy – as recognised in *Goal 4: Build a more effective network*.

The strength of the network can be assessed over the course of the strategy period through a number of key indicators, such as number of CWPs, amount of funding raised locally, number of partners and overall results achieved. However, whereas ‘growth’ may be a good indicator of strength of the network it does not necessarily reflect the sustainability of different entities. Factors that are more likely to result in a more sustainable network include:

- A robust governance structure
- Free of corruption and financial irregularity
- Financial stability
- Low administrative burden
- Low turnover of staff
- Productive relationship with implementing partners

A dataset is available (2012) providing a self-assessment by regions about the areas requiring strengthening in terms of 6 core functions (1. Strategic Planning & programming, 2. Communications and Reporting, 3. Financial Management and Host Institution, 4. Network Governance, 5. Knowledge sharing, 6. Fund raising). The collective results of this assessment is shown in Figure 11.



**Figure 11: Self-assessment by regions about the areas requiring strengthening in terms of 6 core functions**

The three areas identified as requiring the most strengthening were: knowledge sharing, communications & reporting and fund raising. The management response on “communication & reporting” can be identified through a number of actions (e.g. communications officers meetings, development of websites, streamlining of reporting within a programme management manual); the knowledge sharing dimension and fund raising remained issues requiring attention at the end of the strategy period and subject to further review and recommendations.

**Sustainability – Conclusion2**

*A comparative analysis between entities is not possible due to the vastly differing circumstances within which each one operates. As a result, an advanced understanding of the sustainability of the network is only possible through adopting a longer term perspective as part of a larger governance review.*

## 4. Pointers for further analysis

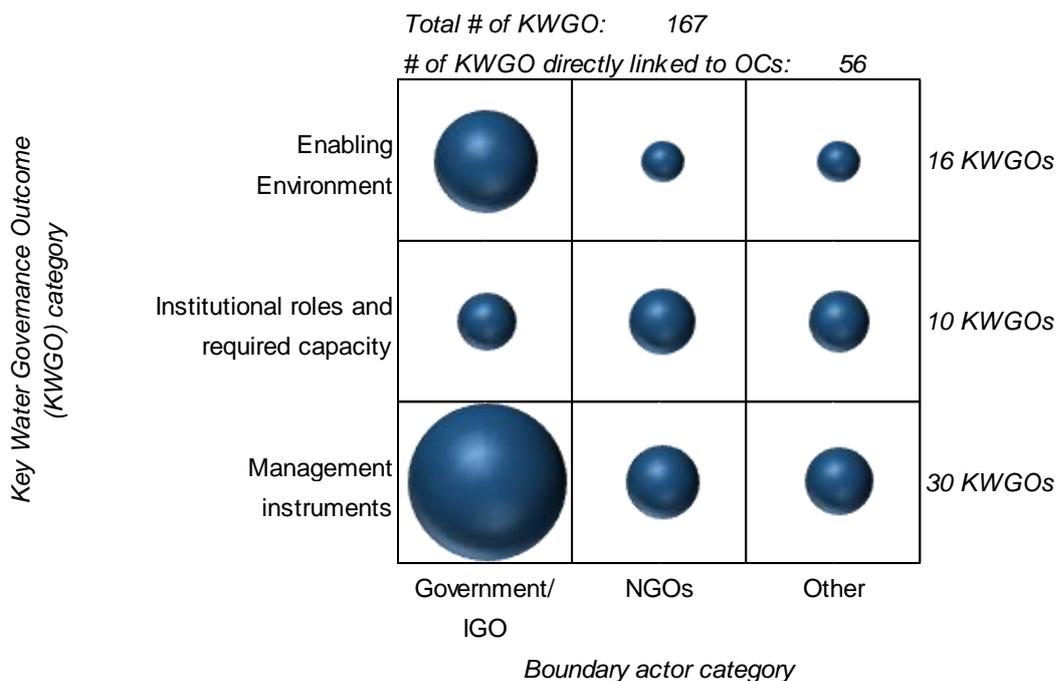
### 4.1 Mapping change pathways

During the strategy period GWP influenced 167 key water governance outcomes (KWGO). Understanding how this occurred is an important means of identifying the areas where GWP has been effective at targeting water governance processes through its work with different types of boundary actors.

On a case by case basis this analysis can be done by exploring the relationship between the KWGO reported and the activities and outputs implemented by GWP, as has been done to some extent in the case studies presented in Section 4.3.

At an organisational level, the same can be done in a simpler manner by connecting KWGOs with OCs (as discussed in Section 3.2) and the associated PMs; each of which targets pre-identified boundary actors. Mapping this link enables different types of KWGOs to be clustered according to the type of boundary actor that enabled change to occur. The picture presented is less detailed than a case by case analysis but still gives a good representation of the relationship between types of boundary actors and the types of KWGOs successfully influenced, i.e. *with which boundary actors has GWP been most successful in influencing which kinds of outcomes.*

This relationship is shown in Figure 12 for the 56 KWGOs that can be directly linked to OCs<sup>12</sup>.



**Figure 12: Relationship between types of boundary actors and the types of KWGOs successfully influenced by GWP during the strategy period. Sphere size represents the comparative degree of influence exerted by boundary actor category on KWGO category (source of data: GWP reported outcomes database; GWP OCs (2009-2013); GWP progress markers assessment (2009-2013) database)**

The categories included in the graph are as follows:

<sup>12</sup> The analysis can also be done for the KWGOs that are indirectly linked to OCs although the weakened connection between the KWGO and the boundary actors associated with PMs renders the results less informative. KWGOs that cannot be linked to OCs require more detailed analysis on an individual basis to determine the types of boundary actors GWP worked with to effect the necessary change.

Type of KWGO:

- Enabling environment (e.g. policies, legal frameworks, financing structures, etc.)
- Institutional roles and required capacity (e.g. organisational frameworks and institutional capacity)
- Management instruments (e.g. IWRM plans, regulatory instruments, water pricing, information management systems, etc.)

Type of boundary actor:

- Government / IGO (including UN organisations)
- NGOs
- Other (including academia, the private sector, community based organisations, etc.)

The size of the spheres within the matrix represents the comparative extent to which different types of reported KWGOs can be linked to boundary actor types, that is, *which type of boundary actor was most relevant for the different types of water governance outcomes influenced by GWP.*

Figure 12 shows that:

- **GWP has been most effective at working with governments and IGOs in order to influence key water governance outcomes that relate to *management instruments* and the *enabling environment*** – This reflects the significant number of key water governance outcomes influenced by GWP that relate to water policy and the development of water management plans and strategies; processes typically owned by government institutions
- **In contrast, the achievement of key water governance outcomes related to *institutional roles and required capacity* are influenced through work evenly spread across all boundary actor categories** – Again this reflects the character of the reported outcomes which relate to the strengthening of institutions; processes that are owned and contributed to by a wide range of stakeholders

There are of course significant regional variations in the distribution of influence within the matrix depending on:

- Bias in the type of outcome targeted by a region (e.g. in West Africa there has been a strong focus on supporting the development of national IWRM plans); and
- The relevance of different types of boundary actor in a regional context (e.g. the importance of NGOs in the development of water management institutions in South Asia).

Figure 13 shows the predominant placing of each region and GWPO in the matrix (i.e. the placement of the largest sphere in the individual regional/global matrices). The individual graphs for each of the 13 regions and the Global agenda can be found in Annex 6.

Key Water Governance Outcome (KWGO) category	Enabling Environment	CAF CAM CHI	SEA SAM		
	Institutional roles and required capacity	CAR Global		SAS	
	Management instruments	CEE EAF MED	WAF SAF		CAC
		Government/ IGO	NGOs	Other	
<i>Boundary actor category</i>					

**Figure 13: Regional variations between the types of boundary actors and the types of KWGOs successfully influenced by GWP during the strategy period**

The information presented above gives scope to increase the understanding of the change processes that GWP has influenced during the strategy period. On the whole GWP has seen the most obvious links between activities/outputs and key water governance outcomes when effecting change among actors connected to government, particularly when targeting government owned processes such as policy making and planning. The emphasis in this analysis is, however, on ‘direct’ links, i.e. the links between boundary actor type and the roughly 30% of outcomes to which a strong connection can be made. The remaining 2/3 of outcomes may well see a different spread across the type of boundary actor that was most influential. In addition, the regional variation inevitably means that conclusions drawn at the collective level are not necessarily true under the unique circumstances within which the different regions and countries operate.

**Pathways – Pointers**

*Looking ahead, analysing the relationship between boundary actors and key water governance outcomes provides valuable information when taking decisions on the type of actors GWP should be looking to influence in order to be most effective. Such analysis should be carried out at the regional, and in some cases even country, level and go further than the data presented in this section, i.e. explore in more detail the relationship between progress markers and key water governance outcomes in terms of both success and failure. The successful accomplishment of such analysis on a regular basis could become a key tool to inform and justify the strategic use of future resources across the organisation.*

**4.2 Working on themes**

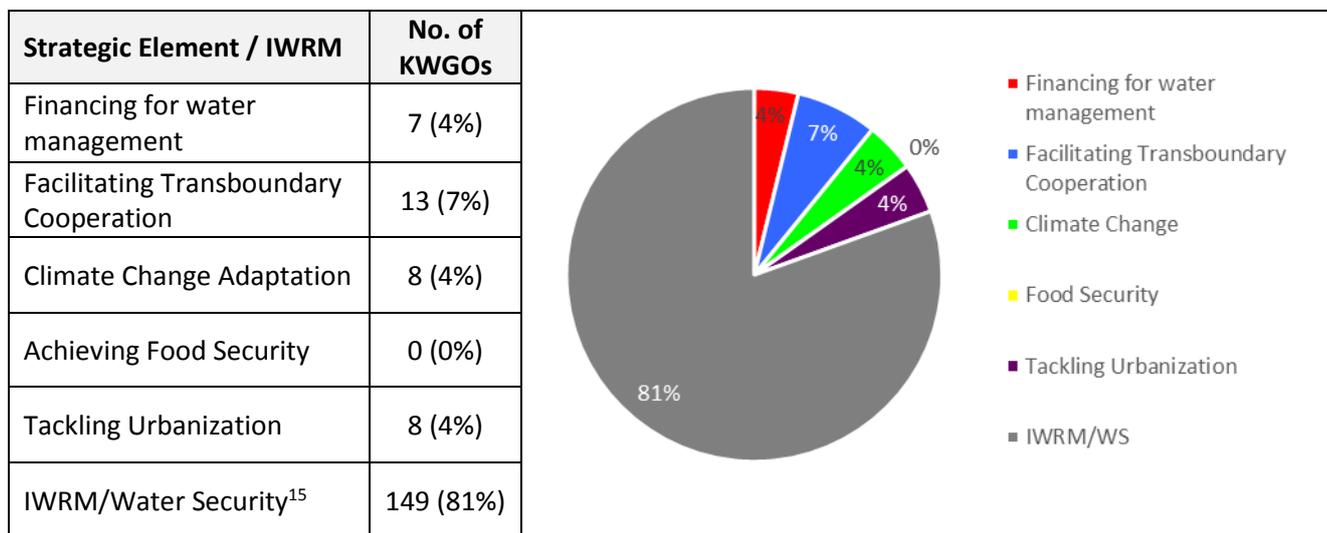
In response to feedback that limited human and financial resources of the Network were being “spread too thinly”, and a corresponding need to consolidate programme implementation for effective management, GWP began developing thematic programmes organised around the ‘strategic elements’ (SE) specified under the four strategic goals.<sup>13</sup> The thematic programmes were designed to manage cross-cutting activities under the overall guidance of the Strategy in order to deliver tangible results. In 2011 GWP identified five SEs upon which future work would be particularly focused. These were as follows:

- Financing for water management

<sup>13</sup> GWP Present and Future Directions – Executive Summary (GWP, 2011)

- Facilitating Transboundary Cooperation
- Climate Change
- Food Security
- Tackling Urbanization<sup>14</sup>

In order to evaluate the effectiveness of making progress towards these highlighted SEs at the outcome level, the assessment has reviewed all 185 key water governance outcomes recorded during the strategy period (see Annex 4) and categorised these according to the five thematic SEs. The results of this categorisation are shown in Table 2.



**Table 2: Categorisation of key water governance outcomes (KWGO) by Strategic Element**

The breakdown of reported outcomes according to themes highlights that during the strategy period, the bulk of GWP’s results at the outcome level (81%) were related to water management in general rather than specific thematic areas

A further breakdown of the ‘Other’ category gives a clear indication of the type of processes targeted by GWP leading up to and during the early years of the 2009-2013 Strategy (the time period, due to an expected time lag, most relevant for the outcomes recorded in the strategy period). More than half of all outcomes reported during the strategy period were related to the following five process areas:

- IWRM plans/roadmaps (approx. 14% of all outcomes)
- National/River basin water resources plans/strategies (approx. 12% of all outcomes)
- National water policy development (approx. 7% of all outcomes)
- Legislative reform for the water sector (approx. 9% of all outcomes)
- Water management institutions (approx. 11% of all outcomes)

*Note: The full list of Key Water Governance Outcomes reported in 2009-2013 can be found in Annex 4.*

Just as it is expected that the outcomes reported from 2009-2013 reflect the organisational priorities dating back to before the strategy period, it is equally expected that the focus on the five SEs prioritised in 2011 would be more likely to manifest themselves in Key Water Governance Outcomes towards the end of the strategy period with the majority of results not being observed until well into the next one. This is highlighted in Figure 14 which shows an overall upward trend (although not consistently across the five themes) between 2009 and 2012 of the number of reported outcomes related to the five prioritised SEs

<sup>14</sup> Important Note: urban related data were merged with “environment” data in the GWP reporting set which renders their interpretation difficult in all analysis presented.

<sup>15</sup> Refers to the remaining key water governance outcomes not specifically related to the five thematic SEs highlighted

followed by a dip in 2013 which is consistent with an overall drop in total outcomes reported across the organisation in 2013<sup>16</sup>.

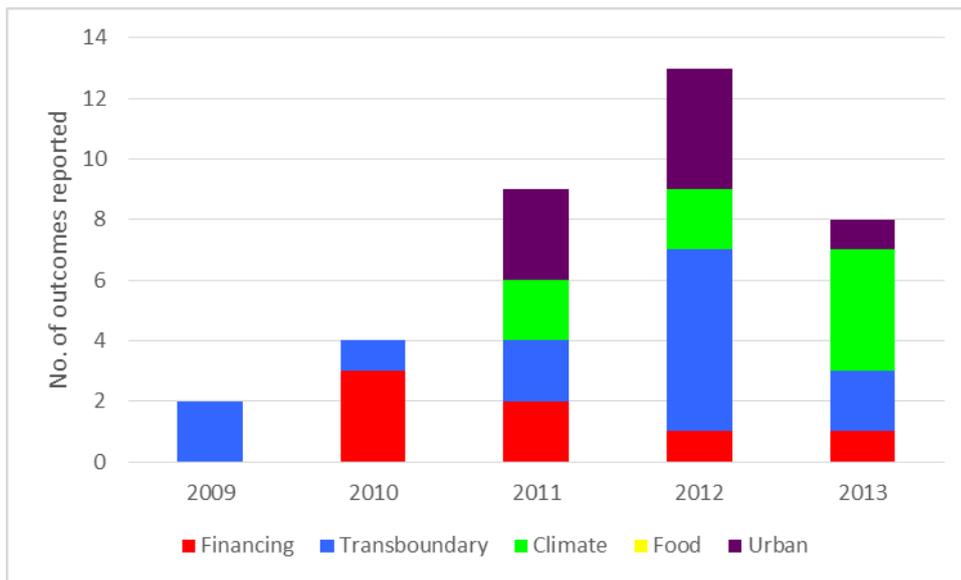


Figure 14: Number of key water governance outcomes reported by Strategic Element 2009-2013

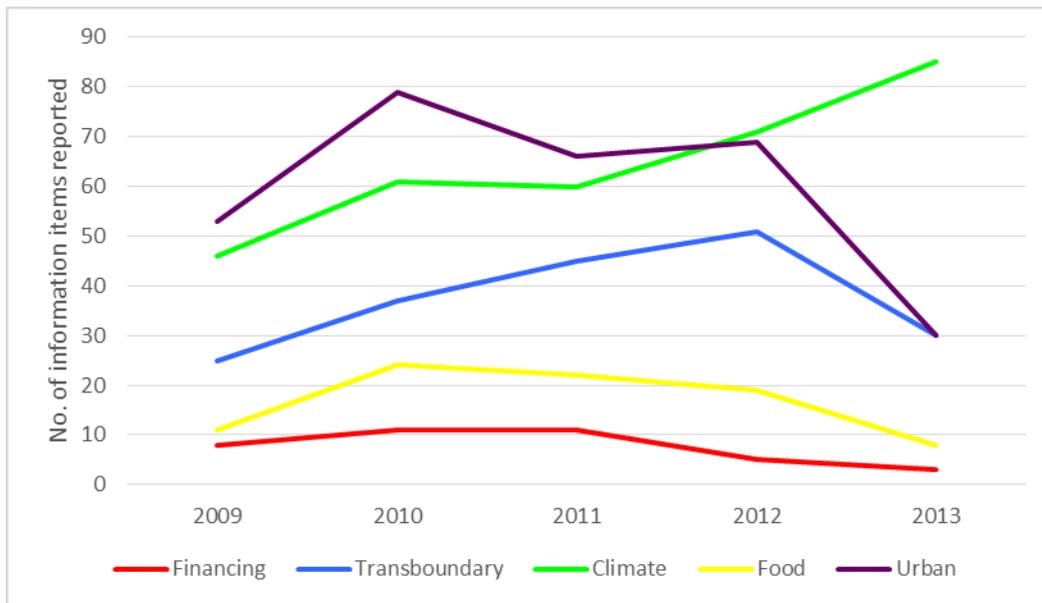
As a result of the anticipated time lag between the implementation of activities/outputs and the resulting outcomes, it is not unexpected to see few outcomes related to the five SEs prioritised in 2011 reported in the strategy period. Essentially, it is too early to carry out a comprehensive analysis of thematic progress according to results achieved at the outcome level.

Data categorised by the complete set of SEs was, however, collected during the strategy period on the number and type of activities implemented across the organisation in 2009-2013<sup>17</sup>. This information, whilst stopping short of demonstrating results at the outcome level, does give an indication of the extent to which GWP directed its resources towards the five cross-cutting themes identified in 2011.

Implemented activities were monitored through the information items reported by GWPO and the 13 regions in their *Monthly Reports*. Each item submitted was tagged according to type of activity and strategic element presenting a good record of what was implemented in relation to the five cross-cutting themes. Figure 15 shows the number of activities reported for the five themes on an annual basis from 2009 to 2013 for the organisation as a whole.

<sup>16</sup> See Section 3.1 in the 'GWP Annual Progress Review for 2013' (GWP, Dec. 2013)

<sup>17</sup> See Section 5.2 in the 'GWP Summary Progress Review for 2009-2013' (GWP, June 2014)

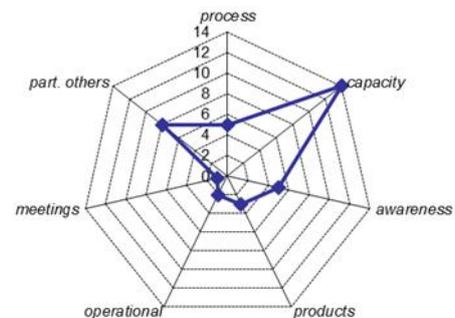


**Figure 15: Number of activities reported for the five themes on an annual basis from 2009 to 2013 for the organisation as a whole**

With the exception of climate and, until 2012, transboundary, there is little indication in the data shown in Figure 15 to suggest that there was an increase in the number of activities implemented under the cross-cutting themes across the strategy period. Interpreting the results in detail would require a comprehensive review of all reported activities within the regional context in which they were implemented in tandem with the complete list of activities included in the annual financial reports<sup>18</sup>. Some basic conclusions for each of the five SEs can however be drawn on the basis of the data presented above as well as the *type of activities*<sup>19</sup> reported under each theme which are included in the ‘GWP Summary Progress Review for 2009-2013’ and repeated below.

**Financing for water management:**

The low number of reported activities and decreasing trend suggests that this area was not prioritised. However, a heavy focus on capacity building activities does indicate that GWP has identified a need among boundary actors for improved skills for investment planning and financing options which would likely contribute to processes in the succeeding strategy period

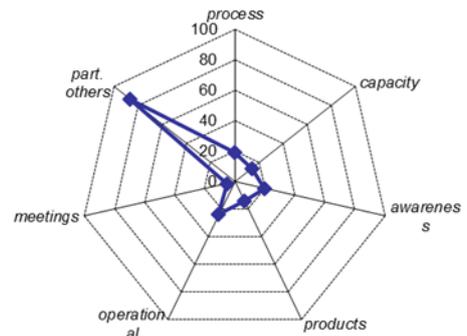


<sup>18</sup> The use of the monthly reports to determine which activities were implemented gives a good indication of what has occurred but does not necessarily provide the complete picture due to variations in the type of activities reported and the levels of detail included across the different entities. Cross-checking against the annual financial reports is an additional level of analysis that could be conducted.

<sup>19</sup> Categorized as follows: Process facilitation; Capacity building; Awareness raising; Products; Operational activities; GWP-initiated meetings; Participation/contribution to events initiated by others

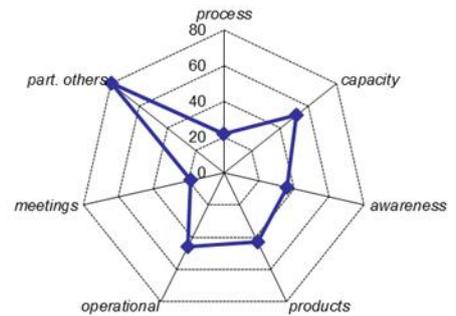
**Facilitating Transboundary Cooperation:**

The number of activities directly related to transboundary water management doubled between 2009 and 2012 in all likelihood reflecting an intensive commitment to the theme in key river basins where GWP is active (e.g. Drin, Danube, Aral Sea, Limpopo, etc.). A large proportion of the reported activities related to participation in events initiated by others suggesting a significant role in supporting the facilitation of transboundary dialogue.



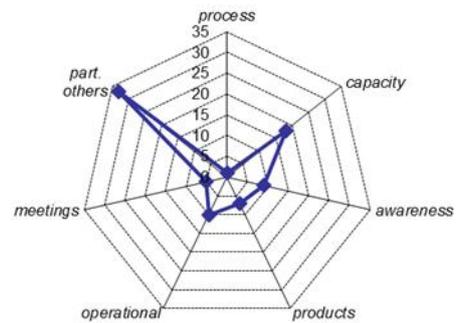
**Climate change:**

The upward trend in reported climate change activities is largely a consequence of the development and implementation of projects under WACDEP as well as the increasing prominence of the area of climate adaptation as a whole. As expected, the activities are spread across all activity types reflecting the variety of focus areas under the eight WACDEP work packages.



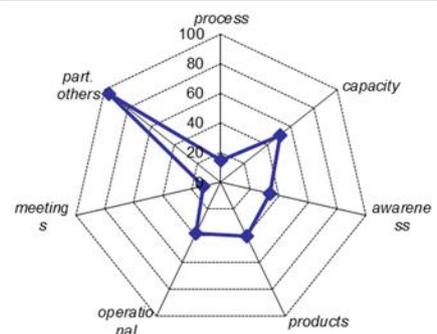
**Achieving Food Security:**

Food security has witnessed a negative trend in the number of reported activities suggesting that the theme has not been specifically targeted during the second half of the strategy period. As with ‘Financing’ the activities are mostly focused on participation in events initiated by others and capacity building, possibly laying the foundations for a more substantial approach to the topic in the succeeding strategy period. There is a strong regional bias in the reported activities with more than half of all activities being implemented in South Asia, mostly between 2010 and 2012.



**Tackling Urbanisation:**

Despite a large number of activities reported, the overall trend for the urbanisation theme was downwards during the strategy period. As with ‘Food security’, the implemented activities are not evenly spread between the regions with South Asia and Central and Eastern Europe accounting for over half of those reported.



Based on the information presented in this section, it is acknowledged that it is too early to evaluate achievements at the outcome level in relation to the five cross-cutting SEs specifically targeted by GWP in 2011. However, the positive trend in number of outcomes recorded in relation to these themes between 2009 and 2012 suggests that results are on the increase, particularly in the case of climate. The expectation

is therefore that this trend will continue beyond 2013 as the work carried out towards the latter half of the strategy period begins to bear fruit.

However, the expectation of a continued positive trend in reported outcomes is based on the assumption that there has been a preceding increase in activities carried out under the five themes leading to these results. With the exception of climate and, to a lesser extent, transboundary the reviewed data suggests otherwise as the numbers of reported activities remain stable or decrease between 2009 and 2013 leading to the following conclusions:

### Themes – Pointers

- *Of the five thematic areas prioritised in 2011, the investment of resources into climate change initiatives and processes increased substantially as observed through the number of activities implemented and the number of outcomes reported. The launch of WACDEP is likely to be the main reason for this along with an increased prioritisation of climate issues among boundary actors.*
- *The number of transboundary activities implemented also rose between 2009 and 2012 suggesting that this is an area that GWP is increasingly targeting cross-border issues. However, the observed decrease in 2013 as well as fluctuations in the number of outcomes recorded across the strategy period indicates that, in contrast to climate, there is less of a coordinated focus (e.g. a portfolio of funded projects) for this theme and opportunities are rather being seized as and when they arise.*
- *Data for the remaining three themes (financing, food security and urbanisation) show no clear trends*

### 4.3 Specific illustrative cases

The collective analysis of data within the assessment has been complemented by the examination of five illustrative cases from across the network. The aim of these cases is to bring an insight into how GWP's work is reflected across the results framework, particularly the relationship between activities/outputs and outcomes, through the analysis of practical examples at the regional level.

The five illustrative cases selected are as follows:

- 1) *Transboundary water resources management in the Aral Sea Basin*
- 2) *The Integrated Drought Management Programme in Central and Eastern Europe*
- 3) *The Water, Climate and Development Programme in Eastern Africa*
- 4) *Promotion of non-conventional water uses in the Mediterranean*
- 5) *GWP's contribution to the UN Framework Convention on Climate Change (UNFCCC)*

These cases are presented in summary form in this section and in more detail in Annex 7.

Analysing the work of GWP and the processes to which it has contributed at this level of detail brings a unique insight into the evaluation, in particular with regard to:

- The nature of the institutional environments within which GWP's work was conducted and the type of actors mobilised
- The barriers and constraints encountered
- The enabling factors that facilitated GWP to influence key water governance outcomes

The unique characteristics and requirements of the different regions and countries where GWP is active inevitably results in a variety of conclusions drawn from the different cases – something that worked well in one region may not be an appropriate approach in another. However, there are certain high level conclusions that appear to be applicable across the examined cases and which are likely to be relevant across the network as a whole. These include the following:

- The **relationship between GWP and the boundary actors** it seeks to influence is a crucial, yet delicate, factor in the achievement of objectives. Particularly in the case of the political landscape, the positioning of GWP, in some cases as neutral (as in the use of the BEAM in the Aral Sea Basin) and in others as government support (e.g. WACDEP in Rwanda and Burundi), is key.
- **Political buy-in** is obviously a key parameter in GWP achieving its objectives. This can be gained through **demand-driven support provided to government institutions** (as in WACDEP Eastern Africa), but also through more complex arrangements such as forming a larger **partnership that collectively advocates for political action** (as in the establishment of the IDMP in CEE).
- The achievements within the case studies examined have also been highly influenced by the ability of the regional partnerships to **embed the projects/initiatives into ongoing processes** in the regions and to make a tangible link with clear priority areas. Examples of this include the overall development agenda in Rwanda and Burundi into which WACDEP was integrated, the continuing bi- and multinational dialogues between the countries sharing the Aral Sea Basin, and the clear need for alternative water sources in water scarce Mediterranean islands.

### **Transboundary water resources management in the Aral Sea Basin**

#### **Background**

The contribution by GWP to the Aral Sea Basin pre-dates the 2009-2013 strategy period. Assistance to the riparian states included supporting the implementation of the national IWRM plan in Kazakhstan and participation in the UNDP funded 'IWRM and Water Efficiency Plan for the Zarafshan River Basin' in Uzbekistan. The success of such initiatives was, however, limited to high level water governance improvements at the national and river basin level with less impact observed at lower levels of water management. In contrast, a 'bottom-up' approach was introduced in the Fergana Valley through a project supported by the Swiss Development Cooperation (SDC) and implemented by national teams from Kirgizstan, Tajikistan and Uzbekistan with technical assistance from the International Water Management Institute (IWMI) and the Scientific-Information Center of the Interstate Water Management Commission (SIC ICWC). These initiatives contributed to the roots of current transboundary water management in Central Asia.

#### **GWP objectives (Outcome Challenges) related to the Aral Sea Basin in 2009-2013**

*Goal 1: International stakeholders in Aral Sea region recognize GWP as a broker in transboundary cooperation*

*Goal 2: Deliver technical support to the countries addressing challenging issues*

*Goal 2: Promote knowledge accumulation and dissemination addressing development challenges*

#### **Main activities implemented during 2009-2013 strategy period**

- Dissemination of IWRM knowledge throughout the region
- Facilitation of stakeholder engagement processes
- Permanent capacity building and training activities linked to IWRM implementation during the strategy period
- Development and use of the Basin Economic Allocation Model (BEAM) within the riparian countries of the Aral Sea Basin which provides the means for calculating the optimal water allocation on a sectoral basis and, hence, the technical background for IWRM (2012-2013)
- Promotion of IWRM and presentation of the BEAM to the Central Asian governments at the conference to celebrate 20 years of water cooperation in Central Asia (2012)
- Initiation of the project "Guidance and Strategies for the Water Security to promote the Green Growth in the Aral Sea Basin" developed together with the Global Green Growth Institute (GGGI) to contribute to the implementation of the Third Aral Sea Basin Program (2012-2013)

#### **Key outputs**

- Increased understanding of IWRM among the key stakeholders
- Development and implementation of the BEAM model

#### **Associated outcomes influenced by GWP activities/outputs**

- Establishment of Transboundary Basin Councils in Kazakhstan and Kirgizstan
- Establishment of river basin committees in Kazakhstan, Kirgizstan and Uzbekistan

- Becoming a party to the UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (the Water Convention) by Turkmenistan
- Use of the BEAM by the national governments of the five Aral Sea Basin countries and the International Fund for Aral Sea Saving (IFAS)

### Conclusions

GWP CACENA's work within the Aral Sea Basin forms the bulk of the activities within the region's Central Asian countries, i.e. the five riparian states. On the one hand this work has focused largely on the ongoing process of promoting IWRM throughout the region through capacity building, knowledge dissemination, advocacy and stakeholder engagement facilitation – largely contributing to the objectives under goals 1 and 3. The culmination of these activities can be linked to a number of reported outcomes realised in the strategy period including the final steps in the development of an IWRM plan in for Kazakhstan and a number of transboundary and national basin management committees established across the region.

The other key outcome relates to the development and use of the BEAM. The existence of the tool in the region is undoubtedly a step forward in the facilitation of an integrated approach within and between the riparian countries. However, the fact that the tool is now available has not, in itself, resulted in the degree of change in approaches to water management for which it was developed. The modelling results have, as of yet, not led to Key Water Governance Outcomes regarding the management of, and investments in, water management in the basin. This is partly due to the lack of mutual confidence among the countries that causes a reluctance to accept BEAM results at the transboundary level. In addition, the focus of the model on water management has potentially reduced its influence at the national level where other sectors, such as energy and agriculture, are a higher political priority. Consequently recommendations provided through modelling results may be disregarded if in conflict with the current policy agendas of more powerful sectors.

On the whole, the BEAM is being used as a tool for better communication between riparian countries when making decisions about the allocation of water upstream and downstream but did not, within the strategy period, succeed in directly influencing national and transboundary decision making processes in the Aral Sea Basin.

*See Annex 7 for the full case study*

## **The Integrated Drought Management Programme in Central and Eastern Europe**

### Background

The Integrated Drought Management Programme (IDMP) was initiated by the GWP in cooperation with the World Meteorological Organization (WMO) in 2011 with the aim *“to support stakeholders at all levels by providing policy and management guidance and by sharing scientific information, knowledge and best practices for Integrated Drought Management”*.

The programme was formally launched in the GWP Central and Eastern Europe region (CEE) in February 2013 with the objective of increasing the capacity and ability of the region to adapt to climatic variability through the enhancement of resilience to drought although initial activities had begun to be implemented from 2010. By the end of the strategy period, over 40 organisations were members of the IDMP in CEE, building on the strong network of Country Water Partnerships in the region.

### **GWP objective (Outcome Challenge) related to the IDMP CEE in 2009-2013**

*Goal 2: Institutions dealing with drought monitoring, assessment, drought prediction, early warning and drought management, together with stakeholders involved recognize the need of IDM implementation in its complexity and consequently coordination at national and regional levels*

### **Main activities implemented during 2009-2013 strategy period**

- Establishment of an IDMP Task Force consisting of members from 5 CEE countries (2011)
- Regional workshop organised in cooperation with GWP TEC and WMO (2012)
- Development of a concept paper and inception report outlining the objectives of the programme in the context of the GWP Global Strategy (2012)
- Launch of the IDMP CEE at the High-Level Meeting on National Drought Policy (HMNDP) in Geneva and recruitment of project manager (2013)
- First cycle of Dialogues on Droughts organised in 10 countries (2013)

- Initiation of six demonstration projects as part of the IDMP implementation (2013)

### Key outputs

- IDMP Task Force
- Funded project launched

### Associated outcomes

*Due to the fact that the IDMP CEE project is largely intended to be implemented in the subsequent strategy period, no direct outcomes were reported in 2009-2013.*

### Conclusions

When analysing the achievements of the IDMP CEE project during the strategy period 2009-2013 it is important to reflect on what was anticipated to be achieved by the project within this period rather than on what the project is likely to achieve in the succeeding years. As such the outcome challenge set for 2013 within the region's 5-year Work Programme was limited to the recognition of the need for an integrated approach to drought management in the region and consequently coordination at national and regional levels (see above). Within this context, the establishment of the ongoing IDMP CEE project, involving as it does considerable buy-in from key national and regional stakeholders, represents a significant achievement.

Reasons why such success was possible in spite of the general perception in the region of drought being low priority include:

- Involvement of global (WMO) and regional (Drought Management Centre for Southeastern Europe) organisations was essential to achieve political buy-in for the programme.
- Availability of funding and expertise enabled the generated interest to be converted into a tangible project.
- Well-established interaction and effective contacts between CWPs and RWP, good positioning of CWPs and RWP as partners for the activities, excellent external communication and cooperation with non-GWP partners (who were involved into the network later on thanks to the project).

*See Annex 7 for the full case study*

## **Water, Climate and Development Programme (WACDEP) Eastern Africa**

### Background

In response to a request from the African Ministerial Conference on Water (AMCOW) for GWP to support the implementation of the climate change commitments in the African Union Sharm el-Sheikh Declaration on Water and Sanitation (2008), GWP initiated the Water, Climate and Development Programme (WACDEP). To be implemented in eight countries and five transboundary basins across the five GWP African regions, the programme had the overall goal to *promote water as a key part of sustainable regional and national development and contribute to climate change adaptation for economic growth and human security.*

In the GWP East Africa Region, WACDEP was initiated in Burundi and Rwanda including the Lake Cyohoha transboundary catchment in the Bugesera region (shared by Burundi and Rwanda) with the goal of *achieving a higher-level water security and climate resilience in Burundi and Rwanda and in the communities of the Bugesera Transboundary catchment for both economic and human security.* Programme initiation began in July 2011 with an inception phase where the projects were introduced to pre-identified country level actors and a work plan relevant to the Rwanda and Burundi context was developed, including specific challenges and opportunities as well as the identification of regional priorities. Implementation started mid-2012 but the majority of the work planned is to take place in the period of the next strategy.

### **GWP objectives (Outcome Challenges) related to WACDEP East Africa in 2009-2013**

*Goal 1: Support Governments to revise and strengthen their IWRM policies/laws and plans, so as to be incorporated into their national development processes, and implemented with all stakeholders*

*Goal 2: National and regional policy makers, civic organizations, water managers, and international development agencies take into account the linkages and develop solutions for climate change adaptation related to water resources.*

### Main activities implemented during 2009-2013 strategy period

- Preparation of a work plan & budget for WACDEP in Burundi, Rwanda & Eastern Africa and establishing WACDEP implementation arrangement/program management structure
- Support to Burundi in developing a national climate change adaptation strategy for the water sector and to Rwanda in establishing a National IWRM framework to enhance water security and climate resilience in the water sector through the organisation of national consultation workshops and production of advocacy materials to integrate water security and climate resilience in national development planning and decision making processes
- Initial assessment of national frameworks for climate adaptation and water resources management in Burundi and Rwanda was undertaken with the involvement of different stakeholders
- Consultation workshops for local level stakeholders from both Rwanda and Burundi in the Bugesera region (Lake Cyohoha catchment)
- Preparation of an action plan and budget for activities in the Bugesera region
- Mapping of planned interventions in the Lake Cyohoha catchment and a situational analysis to identify major problems/challenges/issues, and possible adaptation actions in the catchment

### Key outputs

- Work plan & budget for WACDEP in Burundi, Rwanda & Eastern Africa
- Assessment of national frameworks for climate adaptation and water resources management in Burundi and Rwanda
- Baseline report on the implementation of water security and climate resilience in Burundi and Rwanda
- Action plan and budget for activities in the Bugesera region
- Situational analysis in the Lake Cyohoha catchment

### Associated outcomes

*Due to the fact that the WACDEP in East Africa is largely intended to be implemented in the subsequent strategy period, no direct outcomes were reported in 2009-2013.*

### Conclusions

Compared against the planned activities for the reporting period, the programme has made great progress in delivering results. The Eastern Africa WACDEP program is well designed and it has already started contributing and addressing critical water and climate change challenges through demonstrating solutions at community levels and supporting the national level frameworks for water security and climate resilience in the two countries. The programme is relevant to solve the problems and challenges that the two countries are facing in terms of understanding water security and climate resilience and has tried to be embedded in the ongoing initiatives of the two countries. Its relevance is also demonstrated by its support to community-based climate change adaptive actions on the ground and its potential to improve communities' resilience. Most of the programme activities when fully implemented will benefit the most vulnerable groups in the community, particularly women and children. One of the core outcomes of WACDEP is useful knowledge and information on climate resilience and water security generated, shared and disseminated among stakeholders in Eastern Africa. Moreover, the programme's environmental conservation activities improve local natural resources, which form the basis for community livelihoods.

The program is implemented through a participatory approach and is trying to involve all relevant stakeholders at all levels through the facilitation role of the GWPEA and Country Water Partnerships of Burundi and Rwanda. A large number of stakeholder groups are involved in the process and it has gained high political support. The challenges for the coming years is to maintain the commitment of the various stakeholders in implementing the whole WACDEP programme and create sustained ownership by laying a firm foundation for the sustainability of the initiative after the end of the programming period. It is therefore important for the programme to be adaptive, continuously engage and communicate with stakeholders. It is also critical to always ensure that the programme is integrated into on-going government or regional processes to ensure continued support and engagement.

*See Annex 7 for the full case study*

### *Advancing non-conventional water resources management in the Mediterranean*

#### **Background**

With limited freshwater resources, further depleted as a result of climate change, the Mediterranean islands suffer from water scarcity and heavily depend on desalination and water transfers to tackle their water deficit. In this context, the mobilisation of Non Conventional Water Resources (NCWR), such as rainwater harvesting, greywater as well as treated wastewater reuse, aimed at increasing water availability in a sustainable, cost-effective way and promoting a new water culture, is crucial at both local, national level and regional level. To address this challenge, GWP-Mediterranean (MED) launched in 2009 a programme on NCWR in the Mediterranean, in collaboration with local partners, the Coca-Cola Foundation and the Coca-Cola System in the countries addressed, involving a series of local pilot applications on water scarce islands in the Mediterranean and accompanying dialogue on NCWR management.

#### **Outcome Challenges related to non-conventional water uses in the Mediterranean**

*Goal 2: Implement local pilot applications and promote local and regional dialogue on non-conventional water resources management.*

#### **Main activities implemented during 2009-2013 strategy period**

- Rainwater and stormwater harvesting and greywater reuse demonstration applications on 23 water-scarce islands of Cyclades and Dodecanese, Greece; the island of Gozo, Malta; and in Cyprus
- Educational hands-on activities for students and training of teachers and local technicians
- Awareness raising on the use of NCWR and water saving
- Regional dialogue events on NCWR management

#### **Key outputs**

- Installation of 59 small-scale rainwater harvesting and grey water reuse systems in public building, facilities and areas, in a total of 25 Mediterranean islands (in Greece, Malta and Cyprus), benefiting a total of 68,000 inhabitants, mostly in isolated communities
- Development of educational material on NCWR and interactive tools, tailored made for water scarce areas and Mediterranean islands
- Educational activities for more than 8,300 students and 1,025 teachers
- Training of 178 local technicians
- Sustainable, cost-effective, innovative NCWR technologies showcased as means for replication at domestic and community level
- Local authorities and stakeholders engaged and contributed to application of local NCWR solutions
- Awareness and skills on NCWRM increased

#### **Associated outcomes**

- Local water budget increased, linked with economic activities
- Contributes to the development of the National Water Management Plan for the Maltese Islands
- Supports Eco-Gozo<sup>20</sup>, the local sustainable development strategy for the Island of Gozo, Malta

#### **Conclusions**

- Direct and tangible contributions were made to local water security in the areas of application, including as means for local climate change adaptation and improvement of livelihoods
- Opportunities for upscaling have been identified in Italy and other Mediterranean regions
- Collaboration among key partners continues with secured funding until 2018, primarily with support by the Coca Cola Foundation.

*See Annex 7 for the full case study*

<sup>20</sup> [http://www.ecogozo.com/index.php?option=com\\_content&view=article&id=347&Itemid=38&lang=en](http://www.ecogozo.com/index.php?option=com_content&view=article&id=347&Itemid=38&lang=en)

### *GWPs contribution to the global UN Framework Convention on Climate Change (UNFCCC) process*

#### **Background**

In the 2009-2013 strategy period GWP focused a lot of the global work under the Global Water, Climate and Development Programme on engaging with the UNFCCC processes with the aim of putting water on the climate agenda. Since 2009 at COP 15 in Copenhagen GWP is engaged in mainstreaming better water security in climate change adaptation.

GWP has worked with UNFCCC supporting the implementation of adaptation actions bringing in expertise on water security and climate change adaptation. More specifically GWP have supported the Convention through work with specific bodies for adaptation such as: the UNFCCC Least Developed Countries Expert Group (LEG) in the development of a Water Supplement supporting the integration of water security in the National Adaptation Plan (NAP) process; the Adaptation Committee through submissions on GWP's work on water and climate change adaptation; as well as the Nairobi Work Programme (NWP) through publications on water and adaptation and action pledges as partner organisation. Efforts raising the issue of water and adding to the result of including water as one of four key focus areas of the NWP, as decided in the COP19 in Warsaw. GWP is a partner organisation to the NWP.

The WACDEP promotes a cross-cutting approach to adaptation through building partnerships, strengthening coordination frameworks across sectors while linking local adaptation actions and capturing lessons learned with national and regional economic development to inform global climate policy process, and in addition to the support to the UNFCCC at global level, GWP also directly support the Country Parties in through a demand-driven and bottom-up approach, to integrate water security and climate resilience into development planning and decision making processes. The regional programmes and projects are implemented and coordinated by Regional Water Partnerships and Country Water Partnerships in cooperation with local key stakeholders.

#### **Outcome Challenges related to the work with the UNFCCC processes**

*Goal 1: Policies of global actors, e.g. UN organizations, international and bilateral donors and work of global knowledge partners draw upon IWRM experiences of the GWP network so that water resources management and climate change risks are integrated in development planning and decision making processes.*

*Goal 1: Policies of global actors, e.g. UN organizations, international and bilateral donors draw upon IWRM experiences of the GWP network so that water resources management financing is secured.*

*Goal 2: GWP is perceived as an important actor in the debate around climate change and other critical challenges.*

*Goal 2: Parliamentarians understand and act on new knowledge relating to water resources management. They work with governments cross-sectorally to address challenges.*

*Goal 3: Global entities such as UN agencies, multi- and bilaterals, regional and national water stakeholders are better informed through GWP knowledge dissemination about issues related to managing the world's water resources.*

*Goal 3: A global effort on capacity building is undertaken that support countries to integrate water resources and climate change in development planning processes.*

#### **Main activities implemented during 2009-2013 strategy period**

- Working with the GWP regions to provide support in the development of NAPs both for LDCs and non-LDC developing countries.
- GWP is involved in the work of the National Adaptation Plan-Global Support Programme (NAP-GSP) in providing institutional and technical support and knowledge brokering for the Least Developed Countries (LDCs) to advance the NAPs process.
- Water Security and Climate Resilient Development Capacity Building Programme in Africa, is a 2 years initiative which started in 2013 aiming at strengthening capacity building within the NAPs process.
- Development of a Water Supplement which builds on the NAP Technical Guidelines issues by the UNFCCC Least Developed Countries Expert Group (LEG). The Water Supplement aligns with the objectives of the NAP process and aims at providing support to the integration of water issues into broader national level NAPs, enhancing the understanding of the close linkages between water and climate change adaptation.
- Provides input to the AC through active participation as observer organisation in key meetings of the Adaptation Committee.

- Provides input on GWPs work on water and climate change adaptation through submissions to the AC.
- GWP input into the work of the NWP on continuous basis, providing expertise on water security and climate change adaptation.

### Key outputs

- NWP publication on water and adaptation: *'Climate change and freshwater resources: A synthesis of adaptation actions undertaken by Nairobi Work Programme partner organisations'*
- Draft Water Supplement supporting the Technical Guidelines of the NAPs process.
- GWP as observers in key meetings of bodies and working groups under the UNFCCC.

### Associated outcomes

- Water identified as one of four key focus areas under the NWP.
- LDCs and non-LDC developing countries supported in the NAPs process through e.g. involvement in support programmes for financing NAPs, as well as through capacity building.
- Water security is recognised as a key part of national adaptation planning, within the NAP-GSP.
- Enhanced water security and climate resilience through climate adaptation in LDCs and non-LDC developing countries.
- Enhanced awareness under the adaptation related bodies of the UNFCCC on the need to address water security as part of climate change adaptation.
- GWP is represented in key global, regional and national events on climate change.

### Conclusions

GWP work with UNFCCC is a major part under the Global Water, Climate and Development Programme. Focus during the 2009-2013 strategy period was around positioning GWP as a key organisation for water resources in the climate agenda and to support an enhanced understanding of the importance of water resources management and the inclusion of water in planning processes.

Outputs such as the participation of GWP as observers or active participants in meetings and workshops, input to the different UNFCCC adaptation bodies and working groups contribute to the identified outcome challenges for example under Goal 2.

At global level the importance of addressing water in climate change adaptation has been identified, for example in a workshop of the NWP, held in Mexico 2012, integrated water resources management and disaster risk management were identified as important adaptation strategies bringing both short and long term development benefits, as means to build resilience of water resources to climate change impacts. In 2013 water was included under the NWP as one of four key focus areas, through a decision by the Conference of the Parties on its nineteenth session (COP19). GWP contributed to this development through close engagement in the work of the NWP for example in the mentioned workshop as well as through other activities such as a publication on water and adaptation.

Towards the end of the strategy period work picked up on National Adaptation Plans in line with key decisions of the COP to bring forward medium and long term adaptation planning at national levels. Knowledge products such as the draft Water supplement was developed to support the integration of water in national adaptation planning.

## 5. Conclusions and recommendations

The assessment was conducted to review GWP's performance in carrying out the 2009-2013 Strategy with a view to informing and guiding the implementation of the GWP 5-year Work Programme at global and regional levels in the subsequent Strategy period. This was done using the standard criteria and principles as outlined in the OECD-DAC Evaluation Quality Standards within the context of the GWP Results Framework. Essentially the assessment set out to better understand the relationships between the activities and outputs produced by GWP, and the outcomes and, to a lesser extent, impacts that these resulted in – in other words an analysis of the results chain in operation (see Figure 2).

Prior to the start of the assessment it was acknowledged that a collective analysis of available planning and reported information would produce high-level, indicative findings but shed little light on the manifold reasons for success and failure within the very different regions and countries where GWP was operational. To overcome this limitation, five illustrative cases were selected where a more detailed analysis was carried out to get a better understanding of the extent to which GWP's work contributed to change processes in individual cases and which could be used to formulate lessons learned that are relevant for the network as a whole.

In spite of the more detailed analysis of illustrative cases, a number of limiting factors when carrying out the assessment – lack of robust data, time constraints, etc. – means that the conclusions and recommendations presented in this section fall short of discussing how GWP's work (activities and outputs) can better influence change processes (outcomes) and focuses rather on how GWP can *improve its understanding of this relationship* in the succeeding strategy period. In particular a lack of critical analysis by the GWP entities in their reported information has proven to be a considerable constraint in establishing clear lessons learned that would be of use to the organisation as a whole.

The conclusions and recommendations are presented separately below.

### 5.1 Conclusions

As described above, the conclusions drawn reflect the limitations of the level of detail to which the assessment was able to reach. The high-level analysis conducted has set the scene in terms of GWP's overall achievements during the strategy period but is less conclusive when it comes to understanding these achievements on a case-by-case basis.

In addition, the outcome mapping based M&E system employed during the strategy period was not equipped to carry out the type of evaluation described in the assessment terms of reference, i.e. the OECD-DAC Evaluation Quality Standards criteria. Such an evaluation relies heavily on a solid basis against which to evaluate progress which inevitably requires an element of quantified targets against which results can be judged. The outcome mapping methodology deliberately refrains from setting such targets and instead places the evaluation emphasis firmly on aspects of learning – an approach that has successfully generated significant information upon which to better understand progress but not one that is easily aligned with the OECD-DAC evaluation criteria.

In spite of this, a number of conclusions have been reached under each of the evaluation criteria that provide plenty of scope for discussion and have consequently led to the recommendations presented in Section 5.2. These are as follows:

#### *Relevance*

- The analysis of the Global Strategy and 5-year Work Programmes indicates that there is a **high level of consistency** between the strategic activities planned under the GWP 5-year Work Programme and the Global Strategy goals, mission and vision.

- In certain cases the **low level of detail provided in the 5-year Work Programmes** is insufficient to confirm or deny that there is a strong connection between elements of the 5-year Work Programme and the Strategy.
- The assessment did not go to the level of detail of reviewing the implemented activities (as presented by the entities in the annual workplans) for consistency against the strategic activities laid out in the 5-year Work Programmes. This consistency has however been assumed on the basis that **individual workplans were approved in the context of the 5-year Work Programmes by both regional and global Steering Committees.**

### *Effectiveness*

- High level analysis of the available data suggests that **GWP as a whole was largely successful in effectively implementing the 5-year Work Programme and consequently the Global Strategy.** This is demonstrated through the high achievement rates observed for the progress markers (two thirds with a clearly identified change process or better) as well as the large number of Key Water Governance Outcomes reported (two thirds of which were planned for). For a policy and advocacy organisation like GWP for whom success is judged according to the achievement of results at the outcome and impact levels, this is largely in-line with expectations.
- **A lack of documentation describing the relationship between GWP's work (activities and outputs) and the reported outcomes to which this has contributed remains a significant barrier** to understanding the connection between the two – a fundamental requirement for increased organisational learning. The planning and reporting system employed during the strategy period appeared to be sufficient for this purpose but was not used to its full potential.
- As a consequent of the above, GWP entities have at times **reported activities/outputs without placing these in the context of the change processes to which they are contributing.** This disconnect to a bigger picture makes it difficult to judge the effectiveness of the work implemented by GWP.
- Analysis of progress marker (PM) assessments across the planning period showed that around **one third of outcome challenges (OC) had an average PM score limited to 'some linkage' or less, i.e. fell some way short of being reached.** Understanding the reasons for this can only be done on a case-by-case basis but the regular absence of a strong critical analysis of progress against the planned OCs within the annual progress reviews means that to gain this understanding would require access to additional information than that contained in available documentation.
- At the outcome level of the results framework, **almost one third of reported Key Water Governance Outcomes were not clearly identifiable within the planning documents;** that is, were not obviously planned for. Whereas there are many possible reasons for this, a stronger commitment by GWP entities to the planning process may have reduced this number and consequently led to a stronger basis to reflect on planned versus achieved.
- Of the **five thematic areas specifically targeted from 2011 onwards, two of these (climate and transboundary) saw significant increases in the number of activities implemented** and, in the case of climate, outcomes reported. The other three themes (financing, food security and urbanisation) did not appear to be targeted in the same way and no obvious increase of focus was observed from the data reviewed.

### *Efficiency*

- **The link between resources used and results achieved (at the outcome level) is difficult to establish largely due to the unknown influence of externalities.** As such a meaningful analysis of efficiency can only be conducted at the output level. To do so is however complicated by the lack of information that was systematically collected from the network on outputs produced and the cost of doing so.
- The fact that GWP was largely effective in implementing the 5-year Work Programme despite the availability of considerably less financial resources than budgeted for suggests that **operations were conducted with a high level of efficiency.**

- In addition to the above, the **actual costs incurred to carry out the 5-year Work Programme are estimated to be considerably less than the equivalent requirements by alternative international organisations** such as the UN.

### *Impact*

- **The lack of monitoring process in place during the strategy period to systematically estimate impact has prevented a detailed analysis of this criterion within the assessment.** Within certain aspects of GWP's work, for example pilot projects, qualitative and, to a lesser extent, quantitative data is available to demonstrate the direct impact achieved. However, for the policy development and planning support that constitutes GWP's core business there are few viable means to measure impact at least in terms of quantified numbers.

### *Sustainability*

- As with the criterion of impact, sustainability was not reviewed in detail within the assessment. However, it is acknowledged that **the network approach certainly has the potential to achieve sustainable results on the condition that the network itself remains functional.**
- The trend towards implementation of demonstration projects, particularly within the WACDEP projects, results in a **different set of risk concerning sustainability** compared with GWP's traditional way of working. This approach is likely to be more susceptible to issues of sustainability commonly encountered within short-term financed project-based development work (although less susceptible to the risk associated with governance work).

## 5.2 Recommendations<sup>21</sup>

As indicated above, the recommendations from this assessment relate largely to improvements in GWP's capacity to better understand the results it achieves, and consequently improve the work that it does, rather than direct recommendations to improve the effectiveness and efficiency of operations.

The recommendations for each of the evaluation criterion are as follows:

### *Relevance*

- 1) **Strengthen planning processes across the network:** The basis of GWP's decentralised planning framework relies on a degree of consistency across the hierarchy of planning components among all entities. This ensures that the work of all entities contributes to the strategic goals and consequently the Strategy vision and mission. Future work programmes and annual work plans should be strengthened to increase the coherence and visibility of the relationship between planned activities/outputs, progress markers, outcome challenges and strategic goals. This will increase confidence in the credibility of the planned use of resources as well as providing a more robust basis for monitoring and evaluating progress.

*Suggested way forward: Strengthened capacity within the network to better understand the purpose of planning, the planning framework employed and templates provided, and the need to prioritise planning processes.*

### *Effectiveness*

- 2) **Increase the level of importance attached to critical analysis and organisational learning:** The facility to carry out critical analysis and reflect on lessons learned existed within the annual

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<sup>21</sup> It should be noted that these recommendations are solely the result of the review of data from 2009-2013 and do not consider improvements that have already been made since the end of the strategy period. In particular, the issues related to recommendations 1) and 2) have previously been raised and are consequently already being implemented as part of the 2014-2019 Strategy planning and reporting processes.

progress review process but was not used to its full potential in the strategy period. On the whole there is likely to be an understandable reluctance among entities to be openly self-critical when reporting and consequently the reasons behind a lack of progress remain hidden. For an organisation that aims to consistently review operations and strategically direct the use of resources accordingly this open reflection on past achievements and documentation of lessons learned is essential.

*Suggested way forward: Work towards a reporting culture within the organisation that is open about performance from the perspective of both success and failure*

- 3) **Strengthen reporting performance across the network:** Related to Recommendation #2, information of a certain standard is needed in order to comprehensively review progress and carry out a critical analysis. Improved documentation of implemented activities/outputs and the intended/unintended change processes that these have, or have not, contributed to will enable a more detailed and transparent understanding of both GWP's achievements and lack of progress. The M&E system in use during the strategy period again provides this facility but reaching its full potential as an organisational learning and management tool is dependent on the quality and quantity of the reported information.

*Suggested way forward: Strengthened capacity within the network to understand the purpose of reporting, the M&E framework employed and templates provided, and the need to prioritise reporting processes.*

- 4) **Decentralise the analysis of progress:** Collective analysis of organisational achievements gives a high-level indication of overall progress (or lack thereof) but sheds less light on the reasons behind the findings. In-depth analysis of overall achievement in implementing the strategy, as measured through the assessment of PMs in relation to OCs, needs to be done at the regional, or even country, level rather than collectively in order to get a clear understanding of successful implementation versus planning objectives.

*Suggested way forward: Expanded M&E scope to incorporate increased analysis of progress at the regional and, where relevant, national levels.*

### Efficiency

- 5) **Further assess the extent to which efficiency should be monitored by GWP:** The M&E system and financial planning and reporting tools used during the strategy period did not have the capability to carry out a simple and robust evaluation of resource use efficiency. Despite the obvious planning benefits of increasing the organisational understanding of optimal proportionality of resource use, to move towards such an approach is challenging for an organisation such as GWP due to the difficulty of measuring quantified direct costs incurred against non-quantifiable (in terms of significance) indirect results. Further examination of the advantages and feasibility of establishing such an approach is recommended before determining the extent to which the organisation wants to address this issue.

### Impact

- 6) **Attach greater importance to the monitoring of impact:** Despite being essential for the achievement of the GWP vision, there has not been a strong focus on capturing results at the impact level. This is understandable due to the difficulty of documenting, and particularly quantifying, these results in a transparent and verifiable manner. However, the need to capture and interpret these results is becoming increasingly important as a means of vindicating the work that GWP does.

*Suggested way forward: Establish a methodology through which impact is documented and quantified within the GWP reporting system, and consider the need to monitor sustainability of both the results achieved and the network itself on an ongoing basis*

### *Sustainability*

- 7) **Make use of available data to examine aspects of sustainability:** As with the monitoring of impact, a limited effort was made during the strategy period to systematically examine the sustainability of both established partnerships within the network as well as more tangible results achieved. GWP's network approach is rightly promoted as its key strength, a factor of which is the long-term relationships established and the consequent potential of these to maintain the sustainability of results. **This should be pursued particularly by fostering strong linkages between all GWP projects and the RWP/CWP platforms.** Improved documentation of such benefits, as well as a better understanding and management of the unique risks attached to such an operational approach, would both strengthen organisational learning as well as providing greater assurance to funding agencies of added value.

*Suggested way forward: Establish key criteria against which to document and monitor the aspect of sustainability within GWP's work with an emphasis on demonstrating value added of the partnership mode of operations as compared to alternative development approaches.*

## Annex 1 – The Evaluation Matrix

The Evaluation Matrix describes under *Relevance, Effectiveness, Efficiency, Impact and Sustainability* the Methodology to be applied in order to assess respective criteria, and for each of these criteria the Matrix shows the Evaluation questions presented in the ToR, elaboration of the questions, sources of data and verification methods.

Evaluation questions	Sources of information and verification methods
<p><b>Relevance</b> The outcome challenges and progress markers contained in the 14 five year Work Programmes will be reviewed for consistency against the strategy.</p>	
<p>3) Was the results framework of the 5-year Work Programme 2009-2013 consistent with the Strategy goals, mission and vision? 4) Were the activities of the 5-year Work Programme 2009-2013 consistent with the GWP Strategy and related theory of change?</p>	<p>For questions 1-2: a) Desk review of the Strategy document, 14 five year Work Programmes, progress review documents. Eventually additional documents will be included. b) Interviews with different stakeholder who have a long-term perspective on the GWP development</p>
<p><b>Effectiveness</b> Analysis of the activities implemented during the strategy period in the context of what was planned and what resulted, making use of the monthly reports, progress marker reviews, critical analysis and outcomes recorded (most important aspect of the current assessment)..</p>	
<p>5) To what extent did the 5-year Work Programme implementation lead to expected results (outputs, outcome challenges and strategic goals, and outcomes)? 6) What were the major factors influencing the achievement or non-achievement of the expected results during the Strategy period?</p>	<p>For both questions 3 and 4: a) Desk review for comparison of the MTR report, the 2011, 2012, 1nd 2013 progress review reports + additional documentation as appropriate. b) Interviews with representatives at the implementing end (RWP and CWP) and secretariat staff. c) For question 3: Completing interviews linked to the case studies with boundary actors in the regions/countries, who will give an outsiders perspective including outcomes. This can also lead to follow-up questions under <i>impact</i>.</p>
<p><b>Efficiency</b> Analysis of the resources used in order to achieve results, particularly how they were distributed across the different activities implemented, and whether this represents value for money according to expectations.</p>	
<p>7) Was the 5-year Work Programme implementation carried out in a cost-effective manner? 8) Was the 5-year Work Programme an efficient way of translating the Strategy operationally compared to alternative approaches?</p>	<p>For both questions 5 and 6: a) Desk reviews of 5-year Work Programme documentation, DFID annual review document (including on the issue of 'value for money'), annual review documents, outcome documentation from database, monthly reports on budgetary issues(?), WACDEP Africa report. Discussion with the ones to do the Governance review</p>

	<p>b) Interviews with representatives at all different levels, including the donor communities, budget responsible personnel, to evaluate the issue of cost-effectiveness. Interviews with GWPO unit. It is important to get different perspectives.</p>
<p><b>Impact</b> Analysis of the positive and negative changes produced during the strategy period and the extent to which Key Water Governance Outcomes influenced by GWP have had a measurable impact</p>	
<p>9) What has happened as a direct or indirect consequence of the implementation of the GWP 5-year Work Programme during the period 2009-2013?</p> <p>10) What tangible change has the implementation of the GWP 5-year Work Programme made to the intended beneficiaries?</p> <p>11) Questions along areas where one is trying to assess the impact of observed outcomes during the period and which could be a result/impact of the strategy and the counterfactual.<sup>22</sup></p>	<p>For questions 7 and 8 as well as the type of questions under 9:</p> <p>a) Desk reviews of progress reports, regional/country webpages etc.</p> <p>b) Interviews with RWP- representatives, with a long-term perspective, with key people who have been following GWP for a long time, from inside or outside, key SIWI(?) people and other representatives who have been able to see the long-term impact of GWP activities. Some of the interviews could also be a follow-up to what is presented under <i>Effectiveness</i> (c).</p> <p>c) Item 9 would to a large extent be something that hopefully will come out from the semi-structural interviews with the key people to be identified for interviews under b).</p>
<p><b>Sustainability</b> Measuring whether the benefits of the activities are likely to continue from an environmental as well as financial perspective.</p>	
<p>12) What were the major factors which influenced the sustainability of the 5-year Work Programme positive results as assessed against the GWP Change Theory?</p> <p>13) What is the sustainability of the GWP Network itself, as an outcome/output of the 5-year Work Programme implementation?</p>	<p>For questions 11 and 12:</p> <p>a) Some of the written documentation would include what is currently produced in the ongoing Governance review, documentation produced by people suggested for interview. Documentation produced by “Boundary actors”.</p> <p>b) Key sources to respond to those questions and to address the issue of the GWP long-term sustainability are representatives for interviews, who have a long-term memory from GWP from the beginning and who remain.</p>

<sup>22</sup> OECD/DAC defines impacts as “Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. DAC, 2002:”Glossary of Key Terms in Evaluation and Result Based Management.”

## Annex 2 – Previous Assessments/Evaluations/Reviews

Several Assessments/Evaluations/Reviews of the GWP have been undertaken. The ones that should be of particular importance to this assessment are the ‘PARC’ Joint Donor External Evaluation (2008) the ‘Global Program Review of the GWP’ by the World Bank Independent Evaluation Group (2010), and the Mid-Term Review of the GWP Strategy 2009-2013 (2011). Each of these reviews including the main findings/recommendations are briefly summarised below.

### ***‘PARC’ Joint Donor External Evaluation, 2008***

The objectives of this external evaluation were:

- To undertake a comprehensive assessment of progress, contributions, achievements and impact of GWP during the 2004-2008 Strategy;
- To assess the GWP’s overall approach 10 years after the initiation
- To provide recommendations for enhancement and improvement of GWP governance and performance.

As ‘PARC’ also had undertaken an evaluation in 2003 the conclusions concerning the GWP performance built on performance trends from 2003 to 2008. Regional as well as local IWRM policy facilitation had been strengthened during that period while the global profile had diminished. An important conclusion of this evaluation was that “GWP needs to retain IWRM as its central message for policy continuity but GWP does need to demonstrate policy leadership on how evolving issues in the water, environment and broader development sectors related to IWRM”. Awareness and use of the ToolBox had increased, structure and clarity of partnerships improved, and the trend of decentralisation of management of regional and local water partnerships was positive. The issue of making the RWP/CWP’s legal entities, which could decrease the problem of seeking funding locally, was emphasised as a possible positive outcome. There was considered to be a need for significant changes in governance structure and to strengthen the financial sustainability of the organisation.

### ***The World Bank Independent Evaluation Group’s (IEG) Global Program Review of the GWP, 2010***

The IEG’s Global Program Review of the GWP (undertaken 2008-09) was a review in a series of reviews of global programs (Global program review Volume 4, Issue 3) in which the World Bank was an active partner. The main objectives were:

- To assess the quality and independence of the ‘PARC’ 2008 evaluation (see above)
- To provide a second opinion on the effectiveness of the GWP during the 2004-2008 Strategy period
- To assess the Bank as a partner in the GWP
- To draw lessons for the future

The IEG review specifically emphasises that the findings of the IEG report do not reflect on the governance and management of the GWP after 2008.

The main lessons from this Global Program Review for consideration of the GWP were:

- The evaluation of global programs needs to be transparently independent.
- Weakness in GWP governance and management during the 2004-2008 Strategy period raised issues of transparency, and efficiency.
- The credibility of a global partnership program can be adversely affected by the politicization of office-holders and use of resources at the regional and country level.
- Global partnership programs should have transparent processes in place to ensure the allocation of financial and human resources to where they are most needed.
- Good communication is the lifeblood of networking.
- Better monitoring and evaluation is essential to generate both global knowledge and self-knowledge.

The GWP has in a response to the IEG reacted to the Global Program Review including to the content of the above bullet points. In its response the GWP indicates with detailed explanations that the findings and lessons are built on too few references and too little insights into GWP processes.

### ***Mid-Term Review of the GWP 2009-2013 Strategy, 2011***

The Mid-Term Review (MTR) of the GWP 2009-2013 Strategy was an external review “designed as a forward-looking, independent, constructive assessment of progress in implementing the Strategy, with a view to helping GWP maintain momentum through to the end of 2013, and guiding the ongoing process of change management within the organization”. The objectives of the MTR were:

- To document and analyse progress in implementing the Strategy at national, regional and global levels;
- To identify whether changes are needed to either or both the organisational arrangements and the work programming in order to improve progress in implementing the Strategy; and
- To review options for scaling up delivery of the Strategy and make recommendations for the way forward.

The MTR report raised concern both at the GWP Financial Partners Group and the GWP Steering Committee about gaps and contradictions in results and recommendations. Some of the recommendations also lacked substantive justification. The Steering Committee decided that the best way forward would be to consider all the recommendations and identify specific areas on which additional/new action should be focused and prioritised to enhance Strategy implementation and delivery to the end of 2013. The focus areas for action that were agreed at the November 2011 Steering Committee were the following:

- Defining the role of Integrated Water Resources Management in addressing today’s global challenges;
- Increasing Ownership of Partners in the Network;
- Using a results based planning, monitoring and evaluation approach for Strategy;
- Stepping-up Global and Regional Fundraising;
- Energizing the Technical Function;
- Energizing the Communication Function;
- Reviewing GWP’s Governance Structure;
- Setting the Stage for the next Strategy Period, 2014 to 2019.

The identified focus areas were the basis for SWOT analysis discussions and a two-day meeting agenda during the GWP Regional Days consultations in August 2012 following which key recommendations on tackling the areas for action were identified, each of which were subsequently addressed during the remainder of the strategy period, or being under development for the next strategy period (see Section 4.3.1 in the document *GWP Summary Progress Review for 2009-2013: Monitoring and Reporting Progress for 2009-2013 Strategy Period, 2014*)

## Annex 3 – Key Water Governance Outcomes

The outcomes of GWP’s work are measured through monitoring *changes in relationships, activities, actions, or behaviours of boundary actors that can be plausibly linked to a programme’s activities although they are not necessarily directly caused by it*<sup>23</sup>. The identification of *outcomes* takes place through the monitoring of relevant *progress markers* which allows the relationship between GWP’s activities and interventions, and the desired outcomes to be established.

The identified outcomes are categorised according to the GWP ToolBox<sup>24</sup> classification of IWRM tools that enable good water governance<sup>25</sup>. This classification is organised under three main headings in order to cluster, monitor and report tangible IWRM-related outcomes. These are as follows:

- A. The **enabling environment** (policies, legal frameworks and financing and incentives)
- B. The **institutions and required capacity**; and
- C. The **management instruments** for sharing data/information, assessing, planning, negotiating, cooperating, regulating and financing management and development.

The complete categorisation of types of “Key Water Governance Outcomes” expected to be observed are listed below (ToolBox list).

		ToolBox classification	Outcome type
<b>A Policies</b>			
A1	policies	A1.01	National water resources policy
		A1.02	Policies with relation to water resources
		A1.03	Climate change adaptation policies
A2	legal framework	A2.01	Elements of water law
		A2.02	Implementation and enforcement
		A2.03	Integrating legal framework for IWRM
A3	financing and incentive structures	A3.01	Investment policies / plans
		A3.02	Grants and internal sources
		A3.03	Loans and equity
<b>B Institutional roles</b>			
B1	an organisational framework	B1.01	Reforming institutions
		B1.02	Transboundary organisations
		B1.03	National apex bodies
		B1.04	River basin organisations
		B1.05	Regulatory bodies and enforcement agencies
		B1.06	Service providers and IWRM
		B1.07	Strengthening public sector water utilities
		B1.08	Role of the private sector
		B1.09	Civil society institutions and community based organisations
		B1.10	Local authorities
		B1.11	Building partnerships
B2	building institutional capacity	B2.01	Participatory capacity
		B2.02	Capacity of water professionals
		B2.03	Regulatory capacity

<sup>23</sup> IDRC. 2001. Outcome mapping: building learning and reflection into development programs.

<sup>24</sup> [www.gwptoolbox.org](http://www.gwptoolbox.org)

<sup>25</sup> *Good governance has 8 major characteristics: It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law. It assures that corruption is minimized, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making. (OECD, 2001).*

C Management Instruments			
C1	water resources assessment	C1.01	Knowledge management
		C1.02	Water resources assessment
		C1.03	Modeling in IWRM
		C1.04	Developing water management indicators
		C1.05	Ecosystem assessment
		C1.06	Water footprint and virtual water concept
C2	plans for IWRM	C2.01	National IWRM plans
		C2.02	Basin management plans
		C2.03	Groundwater management plans
		C2.04	Coastal zone management plans
		C2.05	Water infrastructure implementation and IWRM
		C3.01	Efficiency of use
C3	efficiency in water use	C3.02	Recycling and reuse
		C3.03	Efficiency of supply
C4	social change instruments	C4.01	Education curricula
		C4.02	Communication with stakeholders
		C4.03	Information and transparency for raising awareness
C5	conflict resolution	C5.01	Conflict management
		C5.02	Shared water planning
		C5.03	Consensus building
C6	regulatory instruments	C6.01	Water rights and allocation
		C6.02	Water quality
		C6.03	Water services
		C6.04	Land use
		C6.05	Protecting freshwater ecosystem resources
C7	economic instruments	C7.01	Water pricing
		C7.02	Pollution and environmental charges
		C7.03	Water markets and tradeable permits
		C7.04	Subsidies and incentives
C8	information exchange	C8.01	Information management systems
		C8.02	Sharing data for IWRM
C9	assessment instruments	C9.01	Risk assessment and management
		C9.02	Environmental Assessment
		C9.03	Social Assessment
		C9.04	Economic assessment
		C9.05	Vulnerability assessment

## Annex 4 – GWP key water governance outcomes reported during 2009 - 2013

Source: GWP Summary Progress Review for 2009-2013 – Monitoring and Reporting Progress for 2009-2013 Strategy Period (Draft, June 2014)

Location / Region	Tangible Change/IWRM Outcome - GWP ToolBox Classification		
	A. Enabling Environment	B. Institutional Roles and Required Capacity	C. Management Instruments
<b>Global</b>	<ul style="list-style-type: none"> <li>ICPDR climate change adaptation strategy (A1.03)</li> <li>COP16 final declaration (A1.03)</li> <li>Rio+20 declaration (A1.02)</li> <li>AMCOW-GWP Strategic Framework for Water Security and Climate Resilient Development (A1.03)</li> </ul>	<ul style="list-style-type: none"> <li>UNFCCC publications refer to GWP messages (B1.11)</li> <li>GWP accepted as implementation partner for the Global Support Programme on National Adaptation Plans (NAPs)</li> <li>Integrated Water Resources Management (IWRM) Knowledge Centres (B2.02)</li> <li>Training programme in International Water Law at UNESCO Dundee (B2.02)</li> </ul>	<ul style="list-style-type: none"> <li>UN Water Policy Brief on Water Security Indicators (C1.04)</li> <li>Monitoring progress on integrated water resources management (IWRM) (C1.04)</li> </ul>
<b>Caucasus &amp; Central Asia</b>	<ul style="list-style-type: none"> <li><i>Armenia</i>: National water resources policy (A1.01)</li> <li><i>Georgia</i>: Water and health targets and priority measures established for the country (A2.01)</li> <li><i>Kazakhstan</i>: National program on water resources mgt. for 2014-2040 (A1.01)</li> <li><i>Kazakhstan</i>: National water resources policy (A1.01)</li> <li><i>Kyrgyzstan</i>: National water resources policy (A1.01)</li> <li><i>Tajikistan</i>: National water resources policy (A1.01)</li> <li><i>Uzbekistan</i>: National water resources policy (A1.01)</li> </ul>		<ul style="list-style-type: none"> <li><i>Region</i>: Economic model for water allocation (C1.03)</li> <li><i>Region</i>: Framework for WSS and IWRM (C2.05)</li> <li><i>Region</i>: Information management system (C8.01)</li> </ul>
<b>Central Africa</b>	<ul style="list-style-type: none"> <li><i>Region</i>: Agreement with ECCAS for the elaboration of a hydrometeorological strategy (A1.02)</li> <li><i>Region</i>: Regional Solidarity Fund for water (FORSEAU) (A3.01)</li> <li><i>Region</i>: ECCAS Regional Water Policy for Central Africa (A1.02)</li> <li><i>Cameroon</i>: Provision for national IWRM programme in annual budget (A3.02)</li> </ul>	<ul style="list-style-type: none"> <li><i>Region</i>: Regional coordination centre for the management of water resources in Central Africa (CRGE) (B1.01)</li> </ul>	<ul style="list-style-type: none"> <li><i>Region</i>: Strategy for the integration of IWRM in the educational system in Central Africa (C4.01)</li> <li><i>Cameroon</i>: IWRM considered in national strategy for water and land (C2.01)</li> <li><i>Cameroon</i>: Water resources situation analysis (C1.02)</li> <li><i>CICOS</i>: Strategic Action Plan (SAP) for CICOS (C2.02)</li> </ul>
<b>Central America</b>	<ul style="list-style-type: none"> <li><i>Costa Rica</i>: Water Agenda 2030 (A1.01)</li> <li><i>Honduras</i>: Revised groundwater regulation draft (A2.01)</li> <li><i>Honduras</i>: Water Law approved at National Congress (A1.01)</li> <li><i>Guatemala</i>: Water Agenda of Guatemala launched (A1.01)</li> <li><i>Guatemala</i>: Climate Change Law incorporating water approved (A2.01)</li> <li><i>Guatemala</i>: Water regulatory framework (A2.03)</li> <li><i>El Salvador</i>: Water law (A2.01)</li> <li><i>Region</i>: Central American climate change strategy (A1.03)</li> </ul>	<ul style="list-style-type: none"> <li><i>Costa Rica</i>: Working group of academic institutions interested in promoting IWRM (B2.02)</li> <li><i>Guatemala</i>: Group of academic institutions interested in promoting IWRM (2.02)</li> <li><i>Nicaragua</i>: Basin Management regulation (B1.04)</li> <li><i>Region</i>: ECAGIRH monitoring (B1.01)</li> <li><i>Honduras</i>: Watershed councils established in Honduras (B1.04)</li> <li><i>El Salvador</i>: National association of rural water boards of El Salvador (B1.10)</li> </ul>	<ul style="list-style-type: none"> <li><i>Honduras</i>: Annual operative plan for the management of water systems of rural communities in southern Honduras (C2.05)</li> <li><i>Panama</i>: National IWRM Plan (C2.01)</li> <li><i>Costa Rica</i>: National IWRM/ WE plan (C2.01)</li> <li><i>Costa Rica</i>: Water Pollution Levy (C7.02)</li> <li><i>Honduras</i>: Recognition of water resources and the basin as the planning unit in National plan (C2.02)</li> <li><i>Panama</i>: Water plan for the Panama Canal basin (C2.02)</li> <li><i>Panama</i>: IWRM instruments in sustainable management of water strategy (C2.01)</li> </ul>
<b>Caribbean</b>	<ul style="list-style-type: none"> <li><i>Region</i>: 8th Annual High Level Session Ministerial Forum – Declaration (A1.01)</li> <li><i>Region</i>: Declaration recognising the importance of ensuring long term water security (A1.03)</li> </ul>	<ul style="list-style-type: none"> <li><i>Region</i>: 5 Ministers signed a declaration to develop waste water programmes in Caribbean (B1.11)</li> <li><i>Suriname</i>: Launch of a Water Forum for Suriname (B1.09)</li> <li><i>Trinidad &amp; Tobago</i>: NGOs Action Network (B1.09)</li> <li><i>Jamaica</i>: Water Utility reform (B1.06)</li> <li><i>St Kitts &amp; Nevis</i>: Improved capacity enhances water use efficiency in St Kitts &amp; Nevis (B2.02)</li> </ul>	<ul style="list-style-type: none"> <li><i>Grenada</i>: National Water Information System (NWIS) (C8.01)</li> <li><i>Trinidad &amp; Tobago</i>: IWRM/ICZM strategy (C2.04)</li> <li><i>Trinidad &amp; Tobago</i>: Rainwater Harvesting System in Agro-Forestry Community (C2.05)</li> <li><i>Suriname</i>: Water resources information system developed in Suriname (C8.01)</li> </ul>

## GWP Strategy 2009 to 2013 – Internal Assessment

<b>Central &amp; Eastern Europe</b>	<ul style="list-style-type: none"> <li>• <i>Moldova</i>: Water reform process in Bic river region and water and sanitation framework (A1.01)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Hungary</i>: Reestablishment of the Hungarian National Water Management Council (B1.03)</li> <li>• <i>Moldova</i>: Bic River Basin Council (B1.04)</li> <li>• <i>Sava</i>: International Sava River Basin Commission (B1.02)</li> <li>• <i>Ukraine</i>: National Environmental Strategy (state management of water sector) (B1.01)</li> <li>• <i>Ukraine</i>: Reform of water sector and adoption of IWRM implementation on the basin level (B1.01)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Moldova</i>: Bic River Basin Management Plan (C2.02)</li> <li>• <i>Moldova</i>: Plan for management of lower Prut region (C2.02)</li> <li>• <i>Moldova</i>: Plan for Management of Natural Resources for Chisinau City (C2.05)</li> <li>• <i>Latvia</i>: Guidelines for river ecosystems restoration (C6.05)</li> <li>• <i>Ukraine</i>: Water safety plan (C9.01)</li> <li>• <i>Estonia</i>: Manual of waste-water treatment for individual households in rural areas (C3.02)</li> <li>• <i>Region</i>: Sanitation schemes (C2.05)</li> <li>• <i>Region</i>: Danube Strategy (C2.02)</li> <li>• <i>Bulgaria</i>: New National Strategy for Water Sector (C2.05)</li> <li>• <i>Moldova</i>: Flood protection measures in Bic River wetlands (C4.02)</li> <li>• <i>Moldova</i>: National water strategy (C2.01)</li> <li>• <i>Moldova</i>: Preparation of educational curriculum for water management in Free International University (C4.01)</li> </ul>
<b>China</b>	<ul style="list-style-type: none"> <li>• <i>China</i>: Water management mechanism (A1.02)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>China</i>: Local government institutional reform in Fujian province (B1.01)</li> </ul>	
<b>East Africa</b>	<ul style="list-style-type: none"> <li>• <i>Burundi</i>: Review of National water policy (A1.01)</li> <li>• <i>Eritrea</i>: Draft of water policy produced and institutional framework proposed (A1.02)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Burundi</i>: Institutional reform and improvement of water governance (B1.01)</li> <li>• <i>Uganda</i>: NGO IWRM working group (B1.09)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Burundi</i>: National IWRM/WE Plan (C2.01)</li> <li>• <i>Eritrea</i>: Regulations for issuing of permits for water use and construction of water infrastructure (C6.01)</li> <li>• <i>Eritrea</i>: Water quality guidelines (C6.01)</li> </ul>
<b>Mediterranean</b>		<ul style="list-style-type: none"> <li>• <i>Drin Basin</i>: TB Institutional arrangement (B1.02)</li> <li>• <i>Drin Basin</i>: Agreement on a shared vision for the Drin River Basin (B1.02)</li> <li>• <i>Western Balkans</i>: Transboundary waters in Western Balkans (B1.02)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Drin Basin</i>: Action plan for the implementation of the Drin River Basin MoU (C2.02)</li> <li>• <i>Greece, Malta</i>: Rainwater harvesting - non conventional waters (C2.05)</li> <li>• <i>Lebanon</i>: National Assessment on concrete actions for private sector participation in water infrastructure (C9.04)</li> <li>• <i>Tunisia</i>: National Assessment on concrete actions for private sector participation in water infrastructure (C9.04)</li> <li>• <i>Region</i>: Elaboration of Strategy for Water in Mediterranean (C2.04)</li> </ul>
<b>Southern Africa</b>	<ul style="list-style-type: none"> <li>• <i>Botswana</i>: Review of the National Development Plan 10 (A3.01)</li> <li>• <i>Malawi</i>: Revision of the water law and water policy (A1.01)</li> <li>• <i>Mozambique</i>: Water financing strategy (A3.02)</li> <li>• <i>Swaziland</i>: A financing strategy to support implementation of IWRM plan (A3.02)</li> <li>• <i>Swaziland</i>: Water policy included elements of IWRM (A1.01)</li> <li>• <i>Zambia</i>: Revision of the 1948 water law (A1.01)</li> <li>• <i>Zambia</i>: Revision of the 1994 water policy (A1.01)</li> <li>• <i>Region</i>: Climate change adaptation strategy for the SADC water sector launched (A1.03)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Zambia</i>: A coordination mechanism for the water security advisory group (B1.10)</li> <li>• <i>Zambia</i>: A national forum of all sector directors and heads of planning (B1.11)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Botswana</i>: IWRM plan (C1.02)</li> <li>• <i>Botswana</i>: Wastewater management plan developed in Botswana using an integrated approach (C2.01)</li> <li>• <i>South Africa</i>: Economic water use accounting (C1.02)</li> <li>• <i>Zambia</i>: IWRM integrated into the fifth National Development Plan (C2.01)</li> <li>• <i>Botswana</i>: National IWRM/WE Planning process (C2.01)</li> <li>• <i>Botswana</i>: National IWRM plan framework (C2.01)</li> <li>• <i>Malawi</i>: Integrated approach in the National Water Sector Development Programme II (C2.01)</li> <li>• <i>Mozambique</i>: Gender mainstreaming strategy (C4.03)</li> <li>• <i>Namibia</i>: National IWRM plan framework (C2.01)</li> <li>• <i>Swaziland</i>: Draft of national IWRM plan (C2.01)</li> <li>• <i>Zambia</i>: Integration of IWRM plan into National Development Plan (C2.01)</li> </ul>

## GWP Strategy 2009 to 2013 – Internal Assessment

<b>South America</b>	<ul style="list-style-type: none"> <li>• <i>Chile</i>: Environmental institutional framework (A1.02)</li> <li>• <i>Argentina</i>: Water Law and inclusion of IWRM (A1.02)</li> <li>• <i>Venezuela</i>: Water regulatory framework (A2.03)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Chile</i>: Water Sustainability Summit (B2.01)</li> <li>• <i>Brazil</i>: Cooperation among Lusophone Countries (B1.11)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Peru</i>: Water Management Plan of the Chancay-Lambayeque basin (C2.02)</li> <li>• <i>Peru</i>: National Groundwater Management Plan (C2.03)</li> <li>• <i>Peru</i>: IWRM plan, Ocoña River Basin (C2.02)</li> </ul>
<b>South Asia</b>	<ul style="list-style-type: none"> <li>• <i>India</i>: National Water Policy (A1.01)</li> <li>• <i>India</i>: New Water Policy for Rajasthan (A1.02)</li> <li>• <i>Bhutan</i>: Water vision, policy and legislation draft (A1.01)</li> <li>• <i>Nepal</i>: National Water Resource Policy (A1.01)</li> <li>• <i>Nepal</i>: Strategy for Integrity and Accountability in Water Sector" (A1.02)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Nepal</i>: Local Water Resources Management Group established in Tinau (B1.09)</li> <li>• <i>Nepal</i>: Local Water Parliament (B1.09)</li> <li>• <i>India</i>: Formation of Wainganga Area Water Partnership (B1.09)</li> <li>• <i>India</i>: Capacity built for implementation of integrated approach to water resources management in Rajasthan (B2.02)</li> <li>• <i>Pakistan</i>: Cooperation promoted in lower Indus Basin in Pakistan (B1.08)</li> <li>• <i>Bhutan</i>: BhWP formed a consortium of water professionals (B2.02)</li> <li>• <i>India</i>: AWP Wainganga River Basin (B1.09)</li> <li>• <i>Sri Lanka</i>: Regulation and enforcement of policy for illegal river sand mining (B1.05)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>India</i>: India Water Hub (C1.01)</li> <li>• <i>India</i>: Ground Water Policy for Uttar Pradesh (C2.03)</li> <li>• <i>India</i>: Wainganga Integrated River Basin Management Master Planning (C2.02)</li> <li>• <i>Nepal</i>: Citizen Report Card (CRC) (C4.03)</li> <li>• <i>Bangladesh</i>: Urban flood risk management framework developed for Dhaka City: C9.01)</li> <li>• <i>Bangladesh</i>: BWP involved in IWRM road map under ADB RETA Project (C2.01)</li> <li>• <i>Pakistan</i>: Five Year Development Plan 2010-15 on Water Resources (C2.05)</li> <li>• <i>Pakistan</i>: PWP formulated a Five Year Plan 2010-15 on Water Resource Development (C2.01)</li> </ul>
<b>Southeast Asia</b>	<ul style="list-style-type: none"> <li>• <i>Vietnam</i>: New Law on Water Resources (A2.01)</li> <li>• <i>Lao PDR</i>: Revised National Water Resources Strategy and action plan up to 2020 (A1.01)</li> <li>• <i>Indonesia</i>: National Water Resources Policy (A1.01)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Philippines</i>: Small water service providers in the Philippines now recognised as delivering on MDGs (B1.06)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Region</i>: Benchmark status of regional IWRM (C1.04)</li> <li>• <i>Thailand</i>: Nation IWRM /WE plan (C2.01)</li> </ul>
<b>West Africa</b>	<ul style="list-style-type: none"> <li>• <i>Region</i>: Validation of the draft action plan for the implementation of the West Africa Water Resources Policy document (A1.02)</li> <li>• <i>Region</i>: 1997 UN Watercourses Convention ratification in countries (A1.02)</li> <li>• <i>Gambia</i>: Funding received from the African Water Facility to implement actions in the National IWRM roadmap (A3.02)</li> <li>• <i>Niger</i>: Ratification of the 1997 UN Convention on transboundary waters (A1.02)</li> <li>• <i>Benin</i>: New Water Policy based on the IWRM approach (A1.02)</li> <li>• <i>Benin</i>: New Water Legislation based on the IWRM approach (A2.03)</li> <li>• <i>Cape Verde</i>: Legal framework for water resources management (A2.03)</li> <li>• <i>Cote d'Ivoire</i>: National Water Policy (A1.02)</li> <li>• <i>Togo</i>: New Water Legislation based on the IWRM approach (A2.03)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Benin</i>: Technical advisory platform (B2.02)</li> <li>• <i>Benin</i>: Institutional reforms of the water sector (B1.01)</li> <li>• <i>Guinea</i>: National IWRM Coordination Commission set up (B1.03)</li> <li>• <i>Region</i>: IWRM Training modules in universities (B2.02)</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Togo</i>: IWRM Action Plan (C2.01)</li> <li>• <i>Côte d'Ivoire</i>: IWRM Action Plan (C2.01)</li> <li>• <i>Guinea</i>: IWRM Action Plan (C2.01)</li> <li>• <i>Guinea</i>: IWRM Roadmap (C2.01)</li> <li>• <i>Gambia</i>: IWRM Roadmap (C2.01)</li> <li>• <i>Guinea-Bissau</i>: IWRM Roadmap (C2.01)</li> <li>• <i>Sierra Leone</i>: IWRM Roadmap (C2.01)</li> <li>• <i>Benin</i>: Education about water introduced in primary schools across the country (C4.01)</li> <li>• <i>Cape Verde</i>: Information management system for water resources using GIS (C8.01)</li> <li>• <i>Cape Verde</i>: National IWRM/WE Plan (C2.01)</li> <li>• <i>Cape Verde</i>: Water pricing strategy (C7.01)</li> <li>• <i>Cape Verde</i>: Water quality standards (C6.01)</li> <li>• <i>Liberia</i>: National IWRM Plan (C2.01)</li> <li>• <i>Mali</i>: Support to a network of journalists reporting on water issues (C4.02)</li> <li>• <i>Region</i>: Toolbox training module in universities and institutions (C1.01)</li> </ul>

## Annex 5 – Indicative “a posteriori” targets

### Results Summary

#### Global Water Partnership Work Programme 2009-2013

To foster changes in the water sector governance at local, national, regional and global level with a view to improve sustainability								
	Indicator	Baseline	Target	Results	Results	Results	Results	Results
		2009	2013	2009	2010	2011	2012	2013
Indicator 1	Number of changes fostered in the enabling environment for the water sector at national, regional and global level with a view to improve sustainability	0	30	6	23	26	45	53
Indicator 2	Number of changes fostered in the institutional arrangements and capacity of the water sector at national, regional and global level with a view to improve sustainability	0	30	4	12	21	37	45
Indicator 3	Number of management tools introduced within the water sector at national, regional and global level with a view to improve sustainability	0	50	8	39	52	71	80
To ensure that relevant Boundary Actors engage in constructive water governance reform & adaptation processes at all levels								
Change processes - Objective 1	Indicator	Baseline	Target	Results	Results	Results	Results	Results
		2009	2013	2009	2010	2011	2012	2013
Indicator 1	% of changes in Boundary Actors (planned/ observed) relating to water sector governance reform & adaptation	0%	66%	#	29%	46%	64%	67%
To ensure that relevant Boundary Actors engage in tackling water related development challenges, such as Climate Change, Food Security, Urbanization, Financing or Transboundary Management								
Change processes Objective 2	Indicator	Baseline	Target	Results	Results	Results	Results	Results
		2009	2013	2009	2010	2011	2012	2013

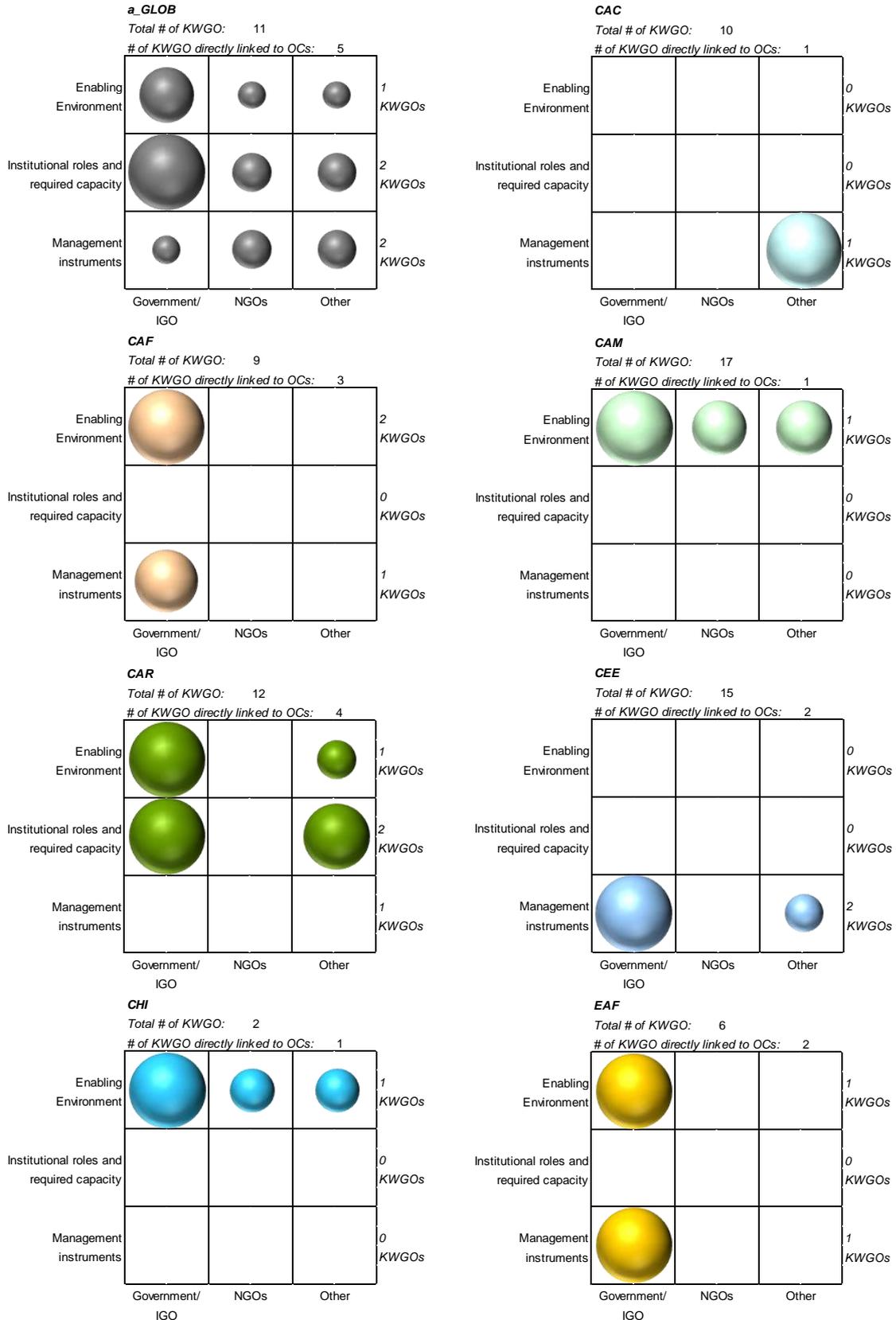
## GWP Strategy 2009 to 2013 – Internal Assessment

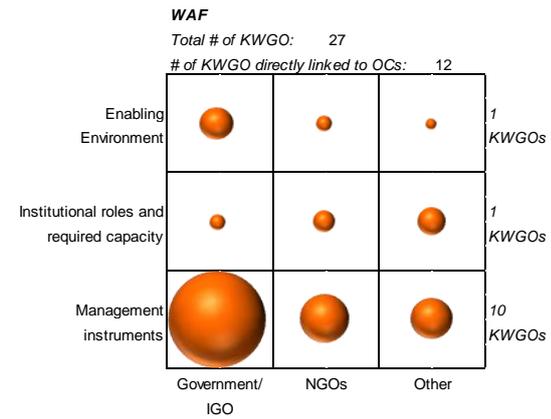
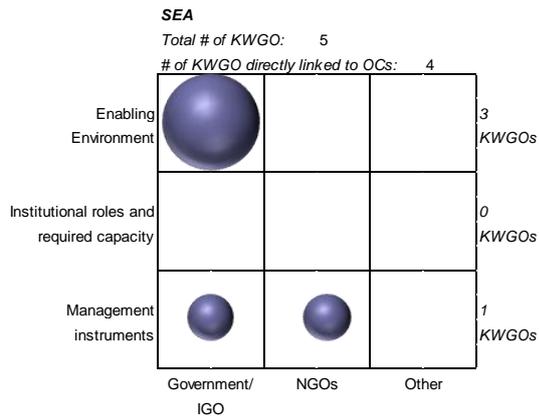
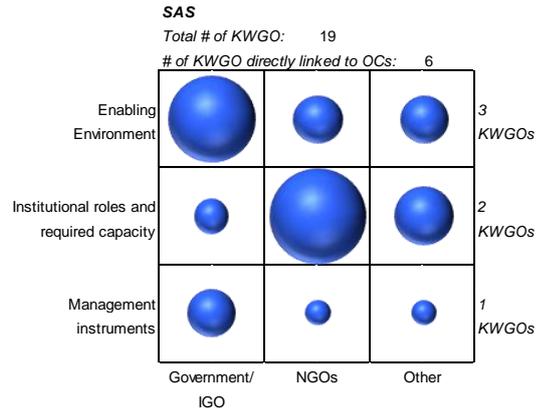
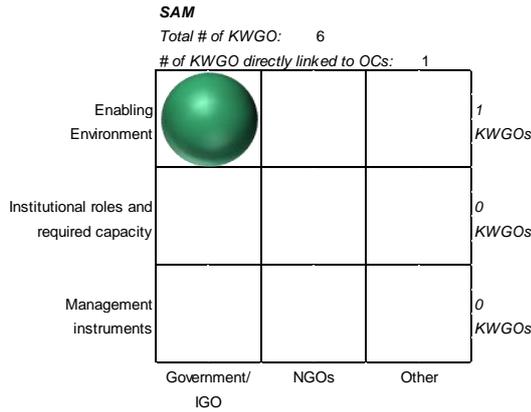
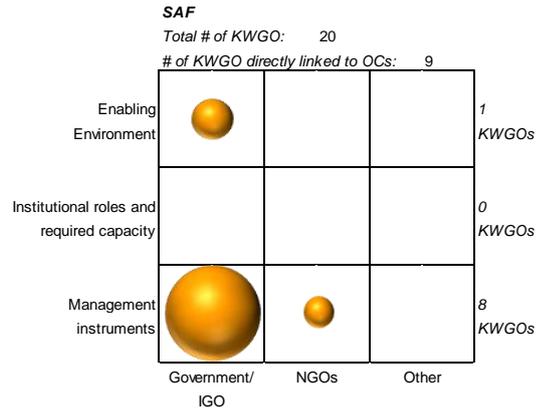
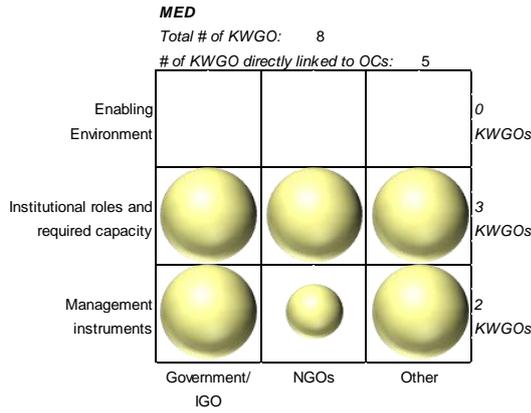
<b>Indicator 1</b>	% of changes in Boundary Actors (planned/ observed) relating to the development and adoption of relevant tools for tackling water related development challenges	0%	66%	#	23%	38%	63%	64%
<b>Change processes Objective 3</b>	<b>To ensure that relevant Boundary Actors have additional Awareness, Capacity and/or Knowledge for reforming &amp; adapting water sector governance</b>							
	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>
		<b>2009</b>	<b>2013</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Indicator 1</b>	% of changes in Boundary Actors (planned/ observed) relating to additional awareness, capacity and/or Knowledge for reforming & adapting water sector governance	0%	66%	#	27%	39%	61%	68%
<b>Change processes Objective 4</b>	<b>To ensure that relevant Boundary Actors engage in Partnerships and Alliances</b>							
	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>
		<b>2009</b>	<b>2013</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Indicator 1</b>	% of changes in Boundary Actors (planned/ observed) relating to their engagement in constructive partnerships and alliances for reforming & adapting water sector governance	0%	66%	#	29%	42%	59%	65%
<b>Output objective 1</b>	<b>To deliver sound facilitation processes and tools for accompanying sustainable water sector reform &amp; adaptation at all levels</b>							
	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>
		<b>2009</b>	<b>2013</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Indicator 1</b>	Number of facilitation processes and tools for accompanying water sector reform & adaptation processes delivered	0	#	67	113	179	202	
<b>Output objective 2</b>	<b>To deliver sound facilitation processes and tools for accompanying the tackling of water related development challenges</b>							
	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>	<b>Results</b>
		<b>2009</b>	<b>2013</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Indicator 1</b>	Number of facilitation processes and tools related to tackling water related development challenges delivered	0	#	9	36	73	93	
<b>Output objective 3</b>	<b>To deliver sound knowledge management processes and tools</b>							

## GWP Strategy 2009 to 2013 – Internal Assessment

	Indicator	Baseline	Target	Results	Results	Results	Results	Results
		2009	2013	2009	2010	2011	2012	2013
Indicator 1	Number of awareness, capacity building and Knowledge processes and tools delivered	0	#	40	85	163	214	
Output objective 4	<b>To deliver sound partnership processes and tools</b>							
	Indicator	Baseline	Target	Results	Results	Results	Results	Results
		2009	2013	2009	2010	2011	2012	2013
Indicator 1	Number of partnerships and alliances processes and tools delivered	0	#	31	46	65	79	

## Annex 6 – Fostering changes, regional pathways





## Annex 7 – Detailed analysis of specific illustrative cases

### 1. Transboundary water resources management in the Aral Sea Basin

#### Background

The GWP Caucasus & Central Asia (CACENA) region's 2009-2013 Strategy emphasised that *“GWP Central Asia and Caucasus is advocating for regional water resources to be ranked higher on policy agendas to address the combined challenges of socioeconomic development and climate change. The focus is on helping countries sustain cooperation around water by bringing key sectors, regional and international actors together to boost cooperation.”* This includes the promotion of Integrated Water Resources Management (IWRM) both at the national and transboundary levels among the countries of Central Asia in the Aral Sea Basin with whom GWP CACENA has been working closely since the early 2000s.

GWP CACENA's approach to influencing water management in the region has alternated between 'top-down', through national level IWRM planning and governance reform, such as in Kazakhstan<sup>1</sup> and Uzbekistan<sup>2</sup>, and 'bottom-up' grassroots water management initiatives with significant end-user engagement, such as in the Fergana Valley<sup>3</sup>. In addition, GWP CACENA has consistently been involved in facilitating transboundary dialogue between the riparian nations of the Aral Sea Basin mainly via the Executive Committee for the International Fund for the Aral Sea (IFAS). The organisation has therefore been a key player in establishing the framework for water management in the region and continues to provide a neutral platform for negotiations in the complex political environment of Central Asia.

#### The role of GWP

The national and transboundary activities initiated by GWP CACENA in the Aral Sea Basin have largely focussed on technical support for the implementation of IWRM principles.

This includes the development and application of the Basin Economic Allocation Model (BEAM) for the Aral Sea in collaboration with IFAS and USAID. The model simulates the inter-linkages between water uses across different sectors including energy, agriculture, industry, water supply and sanitation, and the environment thereby providing technical input for integrated decision-making in the region. The five GWP Country Water Partnerships of Central Asia (Kazakhstan, Uzbekistan, Kyrgyzstan, Tajikistan and Turkmenistan) have all been involved in the ongoing project which was initiated in 2011 and presented to the governments of the Central Asian states at a conference organised by the Interstate Commission for Water Coordination of Central Asia (ICWC) in 2012 to celebrate 20 years of water cooperation in the region. In 2013 GWP CACENA in cooperation with EC IFAS submitted a proposal to the UN Economic Commission for Europe (UNECE) for an assessment of the water-food-energy-ecosystem nexus in transboundary basins under the UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (Water Convention). The work involves the application of the BEAM to examine future development scenarios in the Syr Darya River Basin shared by Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan. In addition, several capacity building and training activities linked to data collection for BEAM implementation in support of IWRM were conducted in 2012 and 2013.

Also in the context of promoting interstate cooperation and a more integrated approach to water management in the region, GWP CACENA has collaborated with the Global Green Growth Institute (GGGI) on initiating the project *Guidance and Strategies for the Water Security to promote the Green Growth in the Aral Sea Basin*. The project is closely aligned with the third phase of the IFAS Aral Sea Basin Program (ASBP)

<sup>1</sup> Kazakhstan National IWRM Plan 2006

<sup>2</sup> UNDP funded IWRM and Water Efficiency Plan for the Zarafshan River Basin

<sup>3</sup> Supported by the Swiss Development Cooperation (SDC) with technical assistance from the International Water Management Institute (IWMI) and the Scientific Information Center of the Interstate Water Management Commission (SIC ICWC)

and includes active participation from the Scientific Information Center of the ICWC as well as the GWP Country Water Partnerships in Kyrgyzstan and Kazakhstan.

Finally, the GWP CACENA network, together with partners such as Cap-Net-UNDP, has been active in disseminating IWRM knowledge in the region and advocating for greater integration among water management institutions. This has been an area where GWP CACENA has been able to influence stakeholders through the promotion of IWRM principles and where the knowledge and experiences of the GWP CACENA members are highly respected. The development of the IWRM approach from a wider perspective in the region has thus gained a lot by the GWP partnership in the process.

### **Results**

The most important output during the 2009-2013 Strategy period was the development and implementation of the BEAM. IFAS, the main client of the model, use it to support future investments in the basin from an integrated perspective, such as the development of operation scenarios for existing and potential storage reservoirs within the basin. The BEAM has been particularly important in influencing the five national governments of the Aral Sea Basin to consider and better understand the interrelationship between different economic sectors from the perspective of water management.

The continued overall advocacy and dissemination work carried out among the key water management institutions and national governments of the Aral Sea basin states has resulted in GWP CACENA becoming a trusted facilitator for intergovernmental negotiations on water issues in a region not renowned for regional cooperation. This acceptance as a neutral platform has enabled GWP CACENA to exert significant influence on regional water management mechanisms and agreements. During the 2009-2013 Strategy period this manifested itself in Turkmenistan becoming the third of the Central Asian country to become a party to the UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (the Water Convention). Kazakhstan is a party since 2001 and Uzbekistan since 2007.

At the national level and following on from the development of IWRM plans in Kazakhstan and Kyrgyzstan, within the 2009-2013 Strategy period GWP successfully influenced a number of institutional reforms including the establishment of Basin Councils in Kazakhstan and Kyrgyzstan and River Basin Committees in Kazakhstan, Kyrgyzstan and Uzbekistan. Work along those lines also progressed in Tajikistan. As with transboundary level negotiation, GWP CACENA was largely able to exert its influence at the national level through ongoing contributions to, and participation in, formal planning procedures due to its reputation within the region as a non-partisan organisation with expert knowledge of IWRM. The achievement of this role is largely due to many years of advocacy work and dissemination activities carried out in the region rather than linked to individual activities or initiatives.

### **Lessons learned**

The development and use of the BEAM has in many ways highlighted the challenges of transboundary water resources management in the Aral Sea Basin. Acceptance of the modelling results is the greatest concern of the client (IFAS) due to the lack of mutual confidence among the countries involved. Whereas the BEAM is being used as a tool for better communication between riparian countries when making decisions about the allocation of water upstream and downstream, it is not being utilised to its full capacity as a *modelling tool* to directly inform future investments in the basin. Its use as such has also been further weakened by a lack of quality input data (both hydrological and economic) necessary to provide results of sufficient robustness to enable confidence in their use.

Perhaps the greatest strength of GWP CACENA's work during the 2009-2013 Strategy period is its continued positioning within the water resources governance frameworks in the region. The reputation the organisation enjoys as a neutral facilitator of transboundary dialogue is a particular strength that has largely been built up over many years advocacy work and promotion of IWRM principles. The individuals involved and the relationships they foster have of course been paramount in ensuring that this reputation is maintained and built upon. Likewise, collaboration with key partners from within and outside the region

has legitimated the work of GWP and enabled significant influence to be wielded within high-level planning processes.

### **Conclusions**

GWP CACENA's work within the Aral Sea Basin forms the bulk of the activities within the region's Central Asian countries, i.e. the five riparian states. On the one hand this work has focused largely on the ongoing process of promoting IWRM throughout the region through capacity building, knowledge dissemination, advocacy and stakeholder engagement facilitation – largely contributing to OC 1.3 and OC 2.2. The culmination of these activities can be linked to a number of reported outcomes realised in the strategy period including the final steps in the development of an IWRM plan in for Kazakhstan and a number of transboundary and national basin management committees established across the region.

The other key outcome relates to the development and use of the BEAM. The existence of the tool in the region is undoubtedly a step forward in the facilitation of an integrated approach within and between the riparian countries. However, the fact that the tool is now available has not, in itself, resulted in the degree of change in approaches to water management for which it was developed. The modelling results have, as of yet, not led to tangible outcomes regarding the management of, and investments in, water management in the basin. This is partly due to the lack of mutual confidence among the countries that causes a reluctance to accept BEAM results at the transboundary level. In addition, the focus of the model on water management has potentially reduced its influence at the national level where other sectors, such as energy and agriculture, are a higher political priority. Consequently recommendations provided through modelling results may be disregarded if in conflict with the current policy agendas of more powerful sectors.

On the whole, the BEAM is being used as a tool for better communication between riparian countries when making decisions about the allocation of water upstream and downstream but did not, within the strategy period, succeed in directly influencing national and transboundary decision making processes in the Aral Sea Basin.

## **2. Regional and integrated drought management (Central and Eastern Europe)**

### **Background**

The Integrated Drought Management Programme (IDMP) was initiated by the GWP in cooperation with the World Meteorological Organization (WMO) in 2011 and formally launched in February 2013. Within this programme and based on activities already initiated on regional and integrated drought management in 2010, the IDMP in Central and Eastern Europe (IDMP CEE) was established as a regional project aimed at building capacity on the ability to manage droughts across a part of Europe more commonly associated with floods. More specifically the project is targeting:

- Investments in regional and national development;
- Demonstration of alternative technologies and management approaches
- Knowledge and capacity development
- Partnership and sustainability.

The IDMP CEE makes use of the strong network of Country Water Partnerships that make up the GWP Central and Eastern Europe Regional Water Partnership (GWP CEE) which has enabled the mobilization of more than 40 organisations to participate in the project.

### **The role of GWP**

Even before the formal establishment of the global IDMP programme by GWP and WMO, GWP CEE had already highlighted the importance of the topic and the eco-social issues that inadequate drought

management was causing across the region. In 2011 GWP CEE established an IDMP Task Force of members from 5 CEE countries to produce a Concept paper and an Inception report. The inception report was finalized in August 2012 and launched at the High-Level Meeting on National Drought Policy (HMNDP) held in Geneva in March 2013 where the program as such was also launched.

The implementation of activities under the IDMP CEE commenced in 2013 with the organization the first IDMP CEE workshop held with the aim to promote networking, gain common ground for understanding of the IDMP CEE objectives, present and discuss all activities, find links and synergies among different activities and plan next steps. This coincided with a series of national dialogues on drought organized with the objective of identifying stakeholders and key partners dealing with drought issues or touched with the drought impacts. Meanwhile a number of demonstration projects were launched addressing drought related topics in different parts of the region.

The initial phase of the IDMP CEE is scheduled to run until 2015. As such, the bulk of the activities were yet to be implemented at the time of writing.

### **Results**

As with much of GWP's work, the IDMP CEE has been designed to influence policy and planning processes over a period of time that extends beyond the defined project end date. In the case of the IDMP CEE, this relates to the long-term processes through which countries in the region develop and ultimately implement national drought plans. Consequently high-level results are not foreseen to materialize for a number of years. Nevertheless, initial project output results have been produced within the early stages of the IDMP CEE, including:

- the establishment of a web-based Integrated Drought Management Platform as a key regional knowledge base to support integrated drought planning in the region
- the completion of a regional study on *Increasing Soil Water Holding Capacity: An Example of Best Practice in Drought Mitigation*
- the development of a set of National Drought Management Policy Guidelines
- the development of a Drought Help-desk to provide for sound and appropriate drought policy development and management plans by countries and regions, as well as the improved use of drought prediction services.

Whereas the initial project outputs are of course essential for the successful implementation of the project as a whole, the main achievements to date rather relate to the foundations that have been laid through the establishment of partnerships and the buy-in generated among key stakeholders in the region. These include numerous national and subnational institutions and organisations as well as key regional actors such as the Drought Management Center for South Eastern Europe (DMCSEE), the European Commission and the UN Economic Commission for Europe (UNECE).

### **Lessons learned**

A key outcome from the IDMP-process will be linking the global level support function with the development and implementation of regional and national drought management policy and strategy. As such the parallel development of the global framework coincides nicely with the implementation of a practical project at regional and national level. Whereas the lack of a fully operational global support framework naturally limits the overall support available for the IDMP CEE, the implementation of the regional project itself does provide practical scenarios within which global materials and tools can be tested during development.

The timing of the launch of the IDMP CEE is also considered a key reason for its initial success in mobilizing partners and achieving political buy-in from the participating countries. Within most of these countries drought had been perceived as low priority at the political level. Coinciding with the project development,

drought became an increasingly important issue at the global level, particularly within the UNFCCC Conference of the Parties negotiations and among organisations such as WMO, the Food and Agriculture Association (FAO), the International Fund for Agricultural Development (IFAD) and the World Food Programme. Drought issues therefore became a lot more prominent just at the time that the IDMP was being developed both globally and in Central and Eastern Europe contributing considerably to the interest shown by national and regional stakeholders.

### **Conclusion**

When analysing the achievements of the IDMP CEE project during the strategy period 2009-2013 it is important to reflect on what was anticipated to be achieved by the project within this period rather than on what the project is likely to achieve in the succeeding years. As such the outcome challenge set for 2013 within the region's five-year Work Programme was limited to the recognition of the need for an integrated approach to drought management in the region and the subsequent coordination mechanisms at national and regional levels. Within this context, the establishment of the ongoing IDMP CEE project, involving as it does considerable buy-in from key national and regional stakeholders, represents a significant achievement.

Reasons why such success was possible in spite of the general perception in the region of drought being low priority include:

- Involvement of global (WMO) and regional (Drought Management Centre for Southeastern Europe) organisations was essential to achieve political buy-in for the programme.
- Availability of funding and expertise enabled the generated interest to be converted into a tangible project.

## **3. Water, Climate and Development Programme (WACDEP) in East Africa**

### **Background**

In an effort to address the twin challenges of water security and climate change a 5-year Global Water, Climate and Development Programme (WACDEP) was initiated by the Global Water Partnership in 2011. The programme was developed as a response to the November 2010 AMCOW request for GWP to support the implementation of the climate change commitments included in the 2008 African Union Sharm el-Sheikh Commitments for Accelerating the Achievement of Water and Sanitation Goals in Africa<sup>4</sup>. The goal of WACDEP is to promote water as a key part of sustainable regional and national development and contribute to climate change adaptation for economic growth and human security. The overall objective is to support integration of water security and climate resilience in development planning and decision-making processes, through enhanced technical and institutional capacity, predictable financing and investments in water security, better drought/flood management, and climate change adaptation.

Launched in 2011, WACDEP in Africa has been implemented through individual projects taking place in eight countries, four transboundary river basins and one shared aquifer. As well as responding to the African Union Sharm el-Sheikh Commitments, the programme also contributed to the African Ministers Council for Water's (AMCOW) triennial work program for 2010-2013 under the theme "Global changes and risk management: climate variability and climate change".

The WACDEP in Eastern Africa is being implemented in the transboundary Kagera basin straddling Burundi and Rwanda, and more specifically in the Lake Cyohoha catchment in the Bugesera region shared by both

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<sup>4</sup> Assembly of the African Union, Eleventh Ordinary Session, 30 June – 1 July 2008, Sharm El-Sheikh, Egypt – Assembly/AU/Decl.1 (XI)

countries. The Goal of the Eastern Africa WACDEP is to achieve a higher-level water security and climate resilience in Burundi and Rwanda and in the communities of the Bugesera Transboundary catchment for both economic and human security through the implementation of eight work packages aligned with the four GWP strategic goals.

### ***The role of GWP***

WACDEP implementation began in July 2011 with an inception phase where the programme was introduced to country level key actors and a detailed work plan developed for the three interlinked projects taking place in Burundi, Rwanda and the Kagera Basin as a whole. Implementation started mid-2012 onwards and the first phase is due to run until 2016.

The eight work packages within the project work plans are being implemented with the following objectives:

*Work Package 1: Regional and Transboundary cooperation:* Support to the East African Community (EAC) and Lake Victoria basin Commission (LVBC) in strengthening cooperation for water security and climate resilience regarding Kagera Basin.

*Work Package 2: National Development and Sector Plans:* Ensuring that at the national level no/low regret investments are integrated in development and sector plans by following a demand driven approach and by building on the momentum of ongoing related activities and using these as entry points for definition and integration of no/low regrets investment.

*Work Package 3: Investments:* Support the development of gender sensitive 'No/low Regrets' investments and financing options documents at all levels.

*Work Package 4: Project preparation and financing:* Ensuring that no/low regrets investments identified, prioritized and appraised are taken forward for financing.

*Work Package 5: Innovative green solutions:* Develop innovative pro-poor and gender sensitive 'green solutions' for addressing critical water security challenges such as water, food, and energy, to enhance climate resilience within the transboundary Bugesera communities

*Work Package 6: Capacity Development:* Development of the skills and knowledge required by GWP Regional and Country Teams and planners to deliver the work packages 1-5.

*Work Package 7: Knowledge management and awareness:* Raising awareness on WACDEP amongst stakeholders in Burundi and Rwanda at the national and local levels which led to increased stakeholders participation in both countries and the in the Bugesera region.

*Work Package 8: Governance and Fundraising:* Build internal capacity of GWP and enhance regional/country level partnerships' key competencies in fund raising, project coordination, financial management, stakeholder engagement, monitoring and evaluation

In Eastern Africa focus in the reporting period was on preparing a work plan & budget for WACDEP in Burundi, Rwanda & Eastern Africa and establishing WACDEP implementation arrangement/program management structure. Activities undertaken and progress include:

- Programming and planning in GWP Eastern Africa
- WACDEP work plan and budget for Burundi, Rwanda and Eastern Africa region prepared and reviewed by stakeholders Setting up programme implementation arrangements
- Implementation arrangement/program management structure agreed by stakeholders
- Commitments expressed for implementation of the program

The demonstration of innovative green solutions in the Bugesera transboundary region (work package 5) with the aim to enhance the resilience of communities' to climate change has been the main focus for project activities in the early years of the project. Most activities have targeted local stakeholder

engagement and include a situational analysis of the Lake Cyohoha catchment carried out by a joint team of experts from Burundi and Rwanda. Representatives from the local communities reviewed and endorsed the findings of the situational analysis and identified major problems/challenges/issues, and possible adaptation actions identified for Lake Cyohoha catchment. Tangible climate resilient solutions were then identified and installed such as rain-water harvesting techniques and biogas generators.

### **Results**

Compared against the planned activities for the reporting period, the programme has made great progress in delivering results. The Eastern Africa WACDEP program is well designed and it has already started contributing and addressing critical water and climate change challenges through demonstrating solutions at community levels and supporting the national level frameworks for water security and climate resilience in the two countries. The programme is relevant to solve the problems and challenges that the two countries are facing in terms of understanding water security and climate resilience and has tried to be embedded in the ongoing initiatives of the two countries. Its relevance is also demonstrated by its support to community-based climate change adaptive actions on the ground and its potential to improve communities' resilience. One of the core outcomes of WACDEP is useful knowledge and information on climate resilience and water security generated, shared and disseminated among stakeholders in Eastern Africa. Moreover, the programme's environmental conservation activities improve local natural resources, which form the basis for community livelihoods.

### **Lessons learned**

The program is implemented through a participatory approach and is trying to involve all relevant stakeholders at all levels through the facilitation role of GWP Eastern Africa and the Country Water Partnerships of Burundi and Rwanda. A large number of stakeholder groups are involved in the process and the programme has gained some political support. As any program intervention that involves different stakeholders the programme has created expectations and some high level government officials have expressed their concern that the project was not delivering what they expected. Stakeholders are people who matter to the program. People in all sort of situations assess the position of others on a given situation, to enable them to gauge the level of support or opposition from others, and predict how they will behave if a program intervention that bring change is there. It is therefore important in interventions like this in the future to undertake a stakeholders' power analysis in order to understand the system by identifying key stakeholders in the system and try to assess their respective interest in, or influence on that system. As well as evaluating existing policies and institutions a proper stakeholder power analysis that asks whose problems are we trying to solve? Who benefits? Who loses out? What are the power differences and relationships between stakeholders? What relative influence do they have? Analysis of answers to these questions enables the identification of institutions and relationships which need to be developed or dealt with to avoid negative outcomes and enhance positive ones.

In addition to the proper stakeholder power analysis it is also important to clarify that WACDEP can do and what WACDEP cannot do. The programme will/can catalyse collaborative actions with all actors and strengthen institutional arrangements but will not be able to solve the day to day demands of all the initiatives ongoing on the ground. It should be made clear that there are limitations to any intervention.

### **Conclusions**

The challenges for the coming years is to maintain the commitment of the various stakeholders in implementing the whole WACDEP programme and create sustained ownership by laying a firm foundation for the sustainability of the initiative after the end of the programming period. It is therefore important for the programme to be adaptive, continuously engage and communicate with stakeholders. It is also critical to always ensure that the programme is integrated into on-going government or regional processes to ensure continued support and engagement.

## 4. Advancing non-conventional water resources management (Mediterranean)

### Background

With limited freshwater resources, further depleted as a result of climate change, the Mediterranean islands suffer from water scarcity and heavily depend on desalination and water transfers to tackle their water deficit. In particular, Malta and Cyprus have been identified as the water poor countries of the European Union. In this context, the mobilisation of Non Conventional Water Resources (NCWR), such as rainwater harvesting, greywater as well as treated wastewater reuse, aimed at increasing water availability in a sustainable, cost-effective way and promoting a new water culture, is crucial at both local, national level and regional level.

To address this challenge, GWP-Mediterranean (MED) launched in 2009 a pilot programme on NCWR in 3 Cycladic islands in Greece, with special focus on rainwater harvesting—a millenia-old traditional method for water availability practiced in the water scarce islands—in collaboration with local partners and the “Mission Water” CSR Programme of the Coca-Cola System in Greece. The Programme aims to advance the use of NCWR in the water scarce islands in order to secure water availability and facilitate sustainable development. It involves a series of local pilot applications; educational and training activities; capacity building and awareness raising activities; and accompanying dialogue on NCWR management. The programme through its holistic approach offers tangible results to local water security, coupled with increased awareness and building of local capacity, showing significant replication potential. In 2011, the Coca-Cola Foundation supported the Programme to advance its activities in more-mainly isolated-islands in the Cyclades, Greece, and also to develop a new programme in Malta, expanding its focus also to grey water and treated wastewater reuse. In 2013, the programme expanded to the Dodecanese complex of islands in Greece and activities were also launched in Cyprus. These activities were considered among the top-3 achievements of GWP-MED during several of the reporting years of the Strategy, with a total budget of locally raised funds, exceeding 2.6 million USD, with main donor the Coca-Cola System in Greece and the Coca-Cola Foundation. In early 2014, GWP-Med and the Coca-Cola Foundation agreed on a 5-year programme (2014-2018) program, with 2.,5 million USD support by the Foundation, for activities in Cyprus, Greece, Italy and Malta.

### The role of GWP

GWP’s work within the NCWR Programme mainly focuses on three pillars of action:

- NCWR applications: Installation of new and reinstatement of existing NCWR systems, mainly rainwater harvesting, stormwater management & greywater reuse systems, in selected public buildings and areas
- Educational Activities on NCWR and Sustainable Water Use: development of educational material; educational hands-on activities in schools for students; Teacher training seminars for local teachers and educators, on how to apply the material
- Capacity Building, Training & Awareness Raising: i) Training activities for local technicians and local authorities’ technical services on the installation & maintenance of modern NCWR technologies, in order to enhance their know-how and foster the expertise sharing among the local technical community; ii) Capacity Building workshops for local & regional authorities, institutions, stakeholders, NGOs, in order to enhance their NCWR management capacity and promote multi-stakeholder partnerships for local NCWR initiatives; iii) Awareness raising among the general public with regards to smart NCWR and sustainable water use solutions that can be easily and cost effectively applied at domestic & community level.

In the frame of the NCWR Programme, in September 2011 a **Regional Conference on ‘Advancing Non-Conventional Water Resources Management (NCWRM) in the Mediterranean’** was organised in Athens by GWP-Med, the Secretariat of the Union for the Mediterranean, the Greek Ministry for Environment, Energy

and Climate Change, and the Coca-Cola System in Greece. The conference highlighted that the use of non-conventional waters such as the reuse of treated waste water, recycling of agricultural run-off, rainwater harvesting and desalination already is applied in several countries of the region, but for full and sustainable development of such sources there exist a set of policy, institutional, legal, technical, social, environmental and economic constraints that pose impediments.

The Conference therefore intended to provide a platform for multi-stakeholder dialogue on priorities and needed synergies for advancing NCWRM in the Mediterranean. Further the Conference aimed at elaborating the role of the private sector, sharing best practices, brainstorming on ideas for regional, sub-regional and transnational projects, and discussing ways to enhance awareness raising.

The NCWR Programme was presented as a solution for climate change adaptation at local level during the 6<sup>th</sup> World Water Council in Marseille in 2012, under Regional Target Med Group 2.1. The Programme was also included as a solution<sup>5</sup> at the platform of the 6<sup>th</sup> WWF.

### **Results**

As a demonstration of its successful evolution, the programme was launched in 2009 in 3 Cycladic islands (Syros, Tinos, Naxos) in Greece and reached out to 5 new islands (Santorini, Iraklia, Koufonisia, Anafi, Ios) in 2010, in cooperation with the Coca Cola CSR Programme “Mission Water” and the respective local authorities in the islands. In 2011 it received a Coca-Cola Foundation Grant of 580,000 USD to expand to 6 water scarce islands of Cyclades (Milos, Folegandros, Sikinos, Sifnos, Serifos, Syros). The programme’s success in Greece resulted in financing for a new 2-year project in Malta, with a grant of 800,000 USD by the Coca-Cola Foundation and 440,000 USD co-financing by the Ministry for Gozo. Also in 2012 the project progress resulted in extension to 6 new water-scarce islands of the Cyclades (Kythnos, Kea, Andros, Amorgos, Paros, Antiparos). A total of 23 islands in Greece were reached between 2009-2013, while the programme was replicated in Malta and in Cyprus. Further to the practical demo application, successful parts included the educational, training and capacity building activities. All technical applications were conducted in close collaboration with local authorities that, in many cases, supported with in-kind and in-cash contributions the activities. The educational activities were implemented under the formal auspices of the Ministries of Education in the countries and in direct synergy with the schooling system.

The programme has directly benefitted more than 38,000 permanent inhabitants, mostly in isolated communities, through 48 NCWR applications. It also included educational hands-on activities for more than 5,200 students and training for approximately 600 teachers, while it enhanced technical capacity of 130 local technicians to install and maintain such systems in the islands, enabling the expansion of the applications at domestic and community level.

As a result of the success of the activities in Greece, the Programme expanded to Malta in 2011, where it focused on rainwater harvesting, stormwater management and grey water recycling. The Programme partnered with the Ministry for Gozo and the Coca-Cola System in Malta, directly contributing to Eco-Gozo, the local sustainable development strategy for the Island of Gozo (Malta). There it showcased 11 innovative as well as traditional NCWR solutions, benefiting the 30,000 permanent inhabitants of the Island of Gozo. Educational activities included the development of “Alter Aqua” educational material, including also interactive tools<sup>6</sup>, and hands-on educational programme in schools, attracting more than 3200 students and 250 teachers. 48 local technicians enhanced their technical skills to install, retrofit and maintain NCWR systems.

In March 2013, NCWR activities commenced in Cyprus, focusing on grey water reuse in schools and community sports centers. Educational activities are implemented in partnership with the Cyprus Ministry for Education and Culture, reaching out to 175 teachers.

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<sup>5</sup> <http://goo.gl/vO45a>

<sup>6</sup> <http://www.gwp.org/en/GWP-Mediterranean/AlterAquaVideogame/>

GWP-Med promotes sustainable management of NCWR through localised action and region-wide dialogue. The capacity building component includes aspects of rainwater harvesting, grey- and waste-water treatment and reuse. These components as well as installation of small-scale rainwater harvesting and grey water reuse systems in Mediterranean islands, where access to freshwater is very limited, result in contributions to the local water balance, including for economic activities like agriculture, local security through floods prevention, income-producing activities through enhanced skills of local technicians, etc. Knowledge and interest in these kinds of solutions was raised at political level. Among others, the Malta Ministry for Energy and Health requested GWP-Med to technically assist the elaboration of the NCWRM part of the new National Water Management Plan for Malta; a technical and stakeholders consultation process is ongoing.

### ***Lessons learned***

The activities not only involve site-specific NCWR applications in public buildings and areas with measurable water-yielding results, from which permanent inhabitants are benefiting, but also demonstrate innovative, cost effective solutions that directly contribute to local water security and climate change adaptation at local level. Important components are the development of educational material, based on the principles of Education for Sustainable Development, as well as a strong component of local capacity building on NCWR management. As the interventions are becoming more and more successful, spreading over an increasing area in the region, there is a clear added value through both the practical interventions and the knowledge shared.

The engagement of the local authorities in a multi-stakeholder partnership for delivering tangible results as well as raising awareness on the water sustainability and saving issues in the remote water scarce communities of the beneficiary islands, proved ownership of the Programme, constituting a successful model that can be expanded and replicated in other water scarce regions.

The increased readiness in the region of the Non-Conventional Water Resources Programme has resulted in a rapid expansion not only geographically but also to relatively new themes, including on desalination (through activities under the EU-supported Sustainable Water Integrated Management Programme) and, most recently, steps towards developing the GWP-Med integrated urban water management agenda.

Currently, the NCWR Programme is among the flagship activities of GWP-Med, has secured funds for its implementation until 2018, is well presented in the Mediterranean and beyond, and with a several requests for expansion in more countries of the region.

### ***Outcome Challenges versus Progress Markers***

The Outcome Challenge identified for the project is to “Implement local pilot applications and promote local and regional dialogue on non-conventional water resources management”, a challenge to be met through activities providing the following Progress marker “Local authorities and individuals, particularly in water scarce islands of the Mediterranean, are motivated to promote RWH as a standard practice contributing to the household water supply”.

Another aspect under the project was directed towards decision-makers and stakeholders, where progress should be marked by “Decision makers and stakeholders develop better understanding of non-conventional water resources solutions and related challenges”. Progress was marked through a Regional Dialogue on Non-Conventional Water Resources Management advanced in 2011 (Athens, Greece, attracting more than 150 high level participants from 15 Mediterranean and European countries) and awareness raising and sensitization about the NCWR activities during other relevant GWP MED activities during 2009-2013). Furthermore, a number of local awareness raising and dialogue events were organised in different islands.

The NCWR Programme in the Mediterranean has great replication potential in water scarce islands in other regions. For example, discussions between GWP-Med and GWP-Caribbean have recently launched.

### ***Conclusion***

The NCWR Programme involves small-scale applications implemented on water-scarce islands in the Mediterranean region, focusing on rainwater and storm water harvesting, waste- and grey-water reuse, and from which local people have benefitted, while innovative technologies and low cost, replicable solutions are showcased, causing a multiplier effect at local level to expand these technologies thus contributing to the local water budget and enhancing local water security. These techniques have since many years back been commonly developed and documented in water scarce areas around the world, also in much larger scale, for instance in Israel already in the 1970ths, and should be possible to upscale to other water scarce regions. GWP-Med has secured the funds to continue these activities in Cyprus, Greece, Italy and Malta through 2018 and explores further opportunities for expansion.