

Final Report

External Review of Sida's support to the UNDP Water and Ocean Governance Programme (WOGP)

PEMconsult a/s



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Table of Contents

ACRONYMS AND ABBREVIATIONS	2
EXECUTIVE SUMMARY	4
1. INTRODUCTION	9
1.1. BRIEF OVERVIEW OF UNDP-WOGP	9
1.2. CONTEXT OF THE REVIEW	9
1.3. PURPOSE OF THE REVIEW	10
1.4. LIMITATIONS, CHALLENGES AND OPPORTUNITIES RELATED TO THE REVIEW	11
2. FINDINGS.....	11
2.1. STATUS OF IMPLEMENTATION OF RECOMMENDATIONS OF PREVIOUS REVIEWS.....	11
2.2. WOGP	12
2.3. WATER GOVERNANCE FACILITY (WGF)	18
2.4. GOAL WASH	21
2.5. SHARED WATERS PARTNERSHIP (SWP)	23
2.6. CAP-NET	24
3. CONCLUSIONS	29
3.1. RELEVANCE	29
3.2. EFFECTIVENESS.....	31
3.3. EFFICIENCY.....	33
3.4. IMPACT	35
3.5. SUSTAINABILITY.....	36
4. RECOMMENDATIONS	41
4.1. PLANNING.....	41
4.2. REPORTING	44
4.3. PARTNERSHIPS	45
ANNEXES	47
ANNEX 1: RESPONSES TO QUESTIONS POSED IN THE TOR.....	48
ANNEX 2: GOAL WASH: EXAMPLES OF CONTRIBUTIONS TO LEVERAGING OF FUNDING AND INFLUENCING IMPLEMENTATION OF OTHER PROJECTS	54
ANNEX 3: TERMS OF REFERENCE	61
ANNEX 4: METHODOLOGY (AS CONDUCTED).....	66
ANNEX 5: LIST OF PERSONS CONSULTED	68
ANNEX 6: LIST OF DOCUMENTS CONSULTED	70

Acronyms and Abbreviations

Aguajaring	South East Asia Regional Network for Capacity Building in IWRM
ArgCapNet	Argentine Capacity Building Network
BCBN	Cap-Net Bangladesh - Bangladesh Capacity Building Network
BPPS	Bureau for Policy and Programme Support
Cap-Net	UNDP's International Network for Capacity Development in Sustainable Water Management
Cap-Net Brasil	IWRM Capacity Building Network for Lusophone Countries
Cap-Net Lanka	Sri Lanka Capacity Building Network for IWRM
Cap-Tec	Developing Capacity in the Use of New Technologies for Improved Water Management and Productivity
CAR@WAN	Capacity Building Network for Central Asia
CKNet-INA	Capacity Development and Knowledge Network for Indonesia
CO	UNDP Country Office
EU	European Union
GCF	Green Climate Fund
GEF	Global Environment Facility
GMS	General Management Support (fee, UNDP)
GW	GoAL WaSH
GWP	Global Water Partnership
GoAL WaSH	Governance, Advocacy and Leadership for Water, Sanitation and Hygiene Programme
HRBA	Human Rights-Based Approaches
ISS	Implementation Support Services (fee, UNOPS)
IWRM	Integrated Water Resource Management
LAC	Latin America and the Caribbean region
LA-WETnet	Latin American Water and Education Network
MDG	Millennium Development Goal
MDG-F	Millennium Development Goals Achievement Fund
MELP	Monitoring Evaluation and Learning Plan
MOOC	Massive Open Online Course
MyCDNet	Malaysian Capacity Development Network
NBCBN	Nile Basin Capacity Building Network
NGO	Non-Governmental Organisation
OECD-DAC	Organisation for Economic Co-operation and Development-Development Assistance Committee
OFID	OPEC Fund for International Development
OFRM	UNDP Office of Financial Resources Management
OPEC	Organisation of Petroleum Exporting Countries
QA	Quality Assurance
RBO	River Basin Organisation
REDICA	Red Centroamericana de Instituciones de Ingeniería ((Central American Regional Network for Capacity Building in IWRM)
RT	Review Team
SaciWATERS	South Asia Consortium for Interdisciplinary Water Resources Studies
SCaN	SaciWATERS Capacity Development Network
SDG	Sustainable Development Goal
Sida	Swedish International Development Cooperation Agency
SIWI	Stockholm International Water Institute

SWP	Shared Waters Partnership
ToR	Terms of Reference
ToT	Training of Trainers
UN	United Nations
UNDAF	United Nations Development Action Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP-DHI	UNEP-DHI Group Centre for Water and Environment
UNESCO-IHE	Institute for Water Education
UN-Habitat	United Nations Human Settlements Programme
UNICEF	United Nations Children's Fund
UNOPS	United Nations Office for Project Services
URA	Basque Water Agency
VC	Virtual Campus
WASH	Water Sanitation and Hygiene
WaterLex	Organization based in Geneva for water law and policy frameworks
WaterNet	Regional Network for Southern African Developing Countries
WGF	Water Governance Facility
WIP	Water Integrity Programme
WOGP	UNDP Water and Ocean Governance Programme
WWDR	World Water Development Report
WWW	Stockholm World Water Week

Executive Summary

OVERVIEW

The overall purpose of this external review is to assess the accomplishments of UNDP WOGP and its delivery mechanisms within the ongoing phase of Sida funding, covering the period 2014 to 2017, with the aim of providing strategic direction with regard to Sida's future support to WOGP. The timing of this review is opportune in that it provides almost one year of lead time before the current phase of Sida funding runs out. The review, jointly commissioned by UNDP and Sida, was conducted between July and November 2016. The review is limited to the Sida-supported components of WOGP and does not examine the oceans and coastal waters portfolios that are also part of the UNDP WOGP family.

Information for the review was gathered through analysis of relevant literature and documentation, including outputs and products generated by WOGP and its delivery mechanisms, complemented by interviews of programme staff, management and partners (via Skype and face to face during World Water Week 2016 in Stockholm). The time and budgetary resources available to the review team did not allow for visits to any outreach locations. The review assesses tangible and qualitative results and impact stories and makes suggestions aimed at enhancing the performance of ongoing activities as well as informing the strategy for garnering support for a future phase.

With a view to further promoting and improving water governance, the review has suggested some strategic directions in the form of a menu of possible topics that merit in-depth discussion within the programme as part of the upcoming strategic planning exercises and the discussions with Sida and other potential donors. WOGP's core competencies and comparative advantage and the likely funding opportunities associated with the implementation of the current global development agendas (notably the SDGs, Paris Agreement on Climate Change and Habitat III) are key considerations that underpin these suggestions. They also open up avenues for strengthening collaboration among different parts of the WOGP family, notably with interventions supported by its so-called 'vertical funds', and with other UN agencies such as UN-Habitat and UNICEF.

As regards strategic partnerships for solidifying the funding base of the programme, the review reiterates the need to diversify funding sources, a situation already recognised internally (e.g., WGF risk matrix) and in previous reviews. The 2016-17 budget cuts illustrate the vulnerability of reliance on a single donor. The review acknowledges the ongoing resource mobilisation efforts of WOGP and its delivery mechanisms including developing fund-raising strategies and contacts with other potential donors.

RELEVANCE

WOGP interventions are aligned with local, national and regional needs. The activities of the delivery mechanisms are developed in response to needs and requests from national governments and other stakeholders, and implemented jointly with on-the-ground partners. The interventions cover water governance, policy support, capacity development and knowledge management. They contribute to the realisation of WOGP's thematic priority areas and are hence also relevant from the point of view of contributing to UNDP's strategic plan and delivering on the MDG and SDG targets.

In addition, valuable work is being carried out to advance cross-cutting issues such as water integrity, gender, human rights, climate and intersectoral linkages/nexus issues. These aspects are factored into the design of WOGP projects, creating shared responsibility and encouraging cross-disciplinary interactions and mutual benefits. Relevance with respect to Sida's thematic priorities, notably pertaining to democracy and human rights, environment, climate, and gender equality are maintained.

The continued demand for services from governments, national agencies and regional and transboundary organisations is also a measure of relevance. However, the review notes that WOGP's relevance to potential users in an increasingly crowded international playing field in the era of the SDGs and the Paris Agreement could be further enhanced if the comparative strengths of this complex programme and the inter-linkages between the delivery mechanisms are well explained.

The overall conclusion of the review in respect of the relevance of the Sida-supported parts of WOGP is positive.

EFFECTIVENESS

The review confirms the substantial body of accomplishments, both in terms of quantity and quality, of WOGP and its Sida-financed delivery mechanisms. They have extended assistance to countries to formulate the policies, acquire the requisite leadership skills, forge partnerships and networks, and develop the institutional capabilities to deliver sustainable results. It is reported that knowledge products developed by WOGP delivery mechanisms such as practices, tools and databases have generated fresh insights and outlooks in the water and sanitation sectors in several countries. And that WOGP training materials are widely shared among partners and other interested organisations for their own use.

WOGP's contribution to propel water governance to the centre-stage of the processes of water sector reform, decentralisation and deconcentration launched by many developing countries is particularly noteworthy. WOGP partners are generally appreciative of the support provided by the different delivery mechanisms in project formulation and implementation: backstopping technical support and advice, guidance on the elaboration of policies, critical review and feedback.

The review highlights the important role of the UNDP Senior Water Advisor position in coordinating effective delivery of the WOGP mandate. It also draws attention to potential areas for improvement such as in tracking achievements of delivery mechanisms against objectives.

The review concludes that UNDP WOGP is effective but with unfulfilled potential, in general, and requiring improvements in progress tracking and benchmarking accomplishments, in particular.

EFFICIENCY

Partnerships and networks, connecting the programme and delivery mechanisms to beneficiaries and other stakeholders, form the bedrock upon which UNDP WOGP construct sits. Partnerships are entered into with government agencies, NGOs, international organisations, UNDP country offices and the private sector. In addition, Cap-Net can call upon the members of its nearly 30 partner networks.

This is usually a cost-effective mode of operation. Moreover, many WOGP partners have been quite successful at leveraging additional funds and in-kind support to supplement their WOGP budgets.

The delivery mechanisms face some real resource challenges, human and material, in many of the fragile, post-conflict locations where WOGP chooses to intervene. Implementing projects in such challenging contexts could entail higher operating costs in terms of scarce skills and capacities, staff turnover and funding delays. The review points out the unfulfilled potential of partnerships between WOGP delivery mechanisms and UNDP country offices; greater engagement between them holds the promise of mutually beneficial returns.

There does not appear to be a formal institutional platform for mutual learning and knowledge-sharing within WOGP. Current efforts appear to be ad-hoc and dependent on personal initiatives.

Staff costs at the two main delivery mechanism hubs located at SIWI and at Cap-Net have not registered huge escalations over the past two years of the strategy period. But the recent reductions in funding have resulted in a slowing down of the size and momentum of programmatic activity.

The Review Team finds that UNDP WOGP is efficient, but with improvements possible in internal knowledge sharing, programme coordination and relationships with UNDP country offices.

IMPACT

Making an assessment of impact poses a few challenges. Firstly, WOGP products, focusing mainly on governance and capacity development, are mostly 'soft' and less tangible compared to those generated by traditional infrastructure-oriented development projects. Secondly, the typical two to three year duration of individual WOGP projects limits the possibility of realising and capturing impacts. Furthermore, the impacts of WOGP projects, being governance oriented, are mainly indirect in nature and consequently, difficult to assess. The more 'upstream' nature of WOGP interventions also makes direct attribution of outcomes and impacts more difficult.

The review acknowledges the efforts already underway to capture and communicate outcome and impact and strongly encourages the continuation of such efforts more widely. The review also notes, with regret, that WOGP's intention to undertake systematic studies that take a retrospective look at previous interventions with the objective of identifying and documenting impacts has had to be curtailed due to budget reductions.

Anecdotal and qualitative evidence and testimonials from stakeholders demonstrate that WOGP projects do influence water policy and governance. Quantitative assessment of outcomes and impacts is not realistic in the absence of relevant data. A positive outcome of the efforts of the WOGP delivery mechanisms is their contribution to gradually changing perceptions, especially at local level. There appears to be more awareness and acceptance that addressing issues related to water governance policy and practice and capacity strengthening are essential to achieve sustainable water development. But obviously, several other factors need to be in place to bring about real change, such as an enabling institutional environment.

The Review Team finds that UNDP WOGP has contributed to the realisation of impacts in water governance and capacity development, but that efforts to systematically identify, document and communicate evidence of outcomes and impacts should be actively pursued.

SUSTAINABILITY

The review team offers an analysis of some internal and external factors that determine prospects for a continued flow of benefits beyond the end of direct project interventions.

In terms of supportive internal and external environments, WOGP benefits from strong leadership support within its two main host organisations. UNDP and SIWI have organisational systems that support the various programmatic and operational needs of the delivery mechanisms. WOGP also enjoys considerable external support as evidenced by continued requests for assistance and advice which are themselves a reflection of the positive contributions by WOGP delivery mechanisms to capacity development, MDG improvements, water governance and policy reform, shared international waters dialogue and consensus-building. WOGP therefore operates in an internal and external environment that is conducive to sustainability.

Given its wide partnership base, particularly with institutions that not only generate knowledge products for the programme but contribute to upscaling, replication and sustainability, WOGP is favourably positioned to identify and promote champions to help support continued adoption and application of knowledge on the ground. Such partners, especially if genuinely committed to ensuring the success of project and programme activities, could be expected to make key contributions to sustaining benefits post-intervention.

As far as a communications contribution to sustainability is concerned, WOGP and its delivery mechanisms need to pay special attention to securing and maintaining public awareness around its results. Presenting evidence of the successes and the benefits derived from its work and effectively articulating the programme construct to partners and other stakeholders could result in a better appreciation among them of the larger context that the delivery mechanisms operate in as well as the broader goals to which they subscribe.

With the Sida-UNDP funding agreement ending in 2017, UNDP has initiated dialogue with Sida about a fresh phase of funding. At the same time, diversifying funding sources should also be part of the resource mobilisation strategy. It is also relevant to take stock of the UNDP WOGP construct, inquiring, in particular, if there are other modes of partnership and operation to deliver on the UNDP strategy.

An argument in favour of conserving the existing umbrella arrangement includes the fact that the UNDP partnership provides substantive benefits to the delivery mechanisms such as gaining access to UNDP's extensive partner network at international, regional and country levels and linkages to other UN agencies, thereby expanding their reach and enhancing the scope for achieving meaningful results. Furthermore, uptake and application of governance concepts and achieving institutional change are long-term undertakings and would benefit from having stable core funding support. So ideally, UNDP WOGP would be in a position to mobilise such support by marketing the synergies and added value of the present setup featuring a basket of delivery mechanisms.

If the UNDP umbrella arrangement were disbanded, it is theoretically conceivable that WOGP and the Sida-supported delivery mechanisms would be able to exist independently. But from a substantive standpoint, it would result in loss of added values. On the one hand, WOGP would be rendered less meaningful by the loss of a vital freshwater arm. On the other hand, WGF, GoAL WaSH, SWP and Cap-Net might no longer have the same reach and facility to make the strategic and valuable contributions they are capable of in regard to water governance and capacity building.

The review finds that UNDP WOGP is worth sustaining but that it should make the effort to communicate (and take advantage of) the clear values added through internal coherence and synergies among its constituent parts.

RECOMMENDATIONS

The recommendations are grouped into three clusters, namely (a) Planning, (b) Reporting, and (c) Partnerships. Each recommendation is accompanied by a set of associated sub-recommendations that can be consulted in the Recommendations chapter of the review report.

Planning

1. Adopt a coherent, aggregated business plan approach to the annual WOGP planning cycle
2. Develop and implement strategies for diversifying the funding base and mobilising new funding
3. Continue to adopt a demand-driven outlook in selecting and prioritising activities and strategic partners while simultaneously maintaining focus and alignment as defined by the strategy and results framework
4. WOGP should consider the following subject areas in planning for the future, particularly relevant to a development agenda likely to be dominated by the SDGs and the Paris Agreement, while upholding its core competencies and comparative strengths in water governance, policy advice, capacity development and conflict resolution
 - a. The water-energy-food security (and ecosystem) nexus
 - b. Meeting the water and sanitation challenges of the rural-urban continuum
 - c. Expanding the scope of the water governance entry point to include improving the resilience of communities to adapt to climate change
 - d. Water, migration and disaster mitigation

Reporting

5. Improve results reporting and progress monitoring
6. Institutionalise internal learning and knowledge management within WOGP
7. Clearly articulate the internal coherence within WOGP and the value added through synergies among its delivery mechanisms
8. Capture and communicate impact stories and enhance the visibility and comparative strengths and advantages of WOGP

Partnerships

9. Reflect on WOGP's relevance vis-à-vis the future UNDP strategy
10. Continue to strengthen collaboration with UNDP country offices to enhance delivery and sustainability of WOGP outputs and outcomes

1. Introduction

1.1. Brief overview of UNDP-WOGP

“The Water and Ocean Governance Programme (WOGP) is the main global mechanism contributing to the delivery on the water and ocean aspects of the UNDP Strategic Plan. WOGP consists of a number of coordinated programmes and projects that deliver on particular aspects and sub-themes.” (*UNDP Water and Ocean Governance Programme contribution to realising the UNDP Strategic Plan 2014–2017*).

Recognising the diverse socio-economic benefits derived from freshwater and marine systems, the UNDP Strategic Plan Water and Ocean Vision is “to achieve integrated, climate-resilient, sustainable and equitable management of water and ocean resources, and universal access to safe water supply and sanitation, through improved water and ocean governance and building capacities”.

UNDP implements the WOGP through distinct delivery mechanisms based upon strategic partnerships with key organisations and initiatives. The UNDP/GEF International Waters programme, the Water Governance Facility (WGF), the Governance, Advocacy and Leadership for Water, Sanitation and Hygiene Programme (GoAL WaSH), the Shared Waters Partnership (SWP), and UNDP’s International Network for Capacity Development in Sustainable Water Management (Cap-Net) are the main vehicles under the WOGP umbrella that deliver on particular aspects and strategic areas. UNDP has overall responsibility for managing the work of the various delivery mechanisms.

The WGF, GEF/IW and Cap-Net delivery mechanisms predate WOGP. WOGP came into existence as a framework nearly concurrently with the UNDP Strategic Plan and WOGP responded by articulating the WOGP Contribution to the Strategic Plan.

The major share of WOGP’s work is funded and delivered through its so-called ‘vertical funds’, mobilised mainly via the Global Environment Facility (GEF) and associated adaptation funds¹. The partnership with the Swedish International Development Cooperation Agency (Sida) on Water Governance, launched in 1997, has been instrumental for bringing water governance to the forefront within UNDP and beyond.

1.2. Context of the Review

Sida support to water governance within UNDP has been crucial in enabling UNDP to leverage substantial funding for water governance activities from several other sources, bilateral, multilateral and private sector: the Dutch Ministry of Foreign Affairs, European Union, USA, Millennium Development Goals Achievement Fund (MDG-F), the Coca-Cola Company, among others. The present phase of Sida funding to UNDP-WOGP and its related delivery mechanisms mentioned above has been agreed for the 2014-2017 period.

¹ Including LDCF=Least Developed Countries Fund; SCCF=Special Climate Change Fund; AF=Adaptation Fund; GCF=Green Climate Fund

Funding for the period beyond 2017 has to be secured. Moreover, previous reviews of WOGP and its delivery mechanisms as well as the Sida appraisal of 2014² have underscored the need for UNDP-WOGP to diversify its sources of funding. The global development agenda has also evolved with the advent of the SDGs and the Paris Agreement on climate change, all of which would (and should) shape the thrust of the future WOGP.

So this present external review, jointly commissioned by UNDP and Sida, and undertaken by PEMCONSULT a/s³, is a logical step in this suite of events. The findings, conclusions and recommendations of this review are expected to provide a basis for dialogue with Sida (and other donors) on possible future support to WOGP.

1.3. Purpose of the Review

The overall purpose of the review is to assess UNDP-WOGP accomplishments to date, covering the ongoing funding period of 2014-2017, with the aim of providing strategic direction regarding Sida's future support to WOGP.

The review results support the identification of:

- a. strategic priority areas of collaboration for WOGP to further promote and improve water governance;
- b. strategic partnerships for solidifying the funding base of the programme.

More specifically, the review:

1. Examines the outcomes of the WOGP programme, as implemented through Cap-Net, WGF, and GoAL WaSH, in relation to the stated objectives and the expected results in support of the WOGP contribution to realising the UNDP Strategic Plan 2014-2017;
2. Analyses the performance of the three related programme delivery mechanisms, namely, WGF, GoAL WaSH and Cap-Net⁴, in terms of relevance, efficiency, effectiveness, impact and sustainability;
3. Highlights particularly strong areas that would merit from additional emphasis and support, along with weaker areas that would merit from rethinking or phasing out;
4. Suggests ways forward to develop WOGP, Cap-Net, WGF and GoAL WaSH in the new SDG era, and beyond the present (2014-2017) WOGP strategy period.

In addition, the review responds to 13 specific questions that have been formulated in the ToR. The responses to these questions are given in Annex 1. The ToR are contained in Annex 3.

² The full list of past reviews is given in Annex 6: List of documents consulted

³ The Review Team consisted of:

1. Dr. Hilmy Sally - Independent Water Professional and Team Leader
2. Mr. Jens Lorentzen - PEMconsult Partner and Capacity Development Expert
3. Mr. Kris B. Prasada Rao - PEMconsult Partner, Evaluation Expert and Quality Assurance Manager

⁴ A fourth delivery mechanism, the Shared Waters Partnership (SWP) was subsequently subsumed under the scope of the review at UNDP WOGP's request, although not a part of the original ToR

The methodology adopted in carrying out this review is described in Annex 4.

1.4. Limitations, Challenges and Opportunities related to the Review

This is a review and does not constitute a detailed evaluation of UNDP-WOGP and its delivery mechanisms. The time and budgetary resources available to the review team did not allow for visits to any project sites. As indicated in Annex 4, the review is essentially based on the examination and analysis of relevant documentation, complemented by interviews of WOGP stakeholders (via Skype and face to face during WWW 2016 in Stockholm).

The review is limited to the Sida-supported components of WOGP and therefore does not examine the non-Sida funded (vertical funds, private sector, other bilaterals) parts which include the sizeable oceans and coastal waters portfolio that are also part of the WOGP structure. Furthermore, the review only covers the current phase of Sida funding, 2014-2017.

The review team appreciates the willingness of the WOGP partners to provide relevant project documentation and their readiness to share their views and experiences. However, the sheer volume of documentation put at the team's disposal is such that it was an ongoing challenge to digest the material within the available time frame, attempting to separate the "need to read" from the "nice to read".

On the other hand, the review team is of the opinion that the timing of this UNDP-WOGP review is opportune. Not only will fresh funding support have to be mobilised after 2017, but a number of important developments have occurred in the global development agenda since the previous Sida-UNDP funding agreement, such as the SDGs and the Paris Agreement. Moreover, the current strategy periods for UNDP, Sida, SIWI and Cap-Net will be ending in 2017 and new strategic plans will have to be prepared. The review team cannot speculate as to the contents of these strategies but expects them to show alignment with the SDGs.

2. Findings

2.1. Status of implementation of recommendations of previous Reviews

The comprehensive external evaluation of the Sida support to the UNDP Water Governance Programme 2008-2011⁵ made several strategic and operational recommendations. UNDP responded to these recommendations by way of a detailed management response. One direct consequence was the reconfiguring of UNDP's Water Governance Programme to also include Oceans and become the present-day UNDP Water and Ocean Governance Programme.

The desktop review undertaken by John Soussan in 2013⁶ assessed the progress achieved by UNDP-WOGP during the preceding two years and discussed the implementation of the (new) strategic framework for the Water and Ocean Governance Programme 2014-2017. The review team

⁵ Johan Holmberg /Nordic Consulting Group Sweden AB (2011). Final report. External review of the Sida support to the UNDP Water Governance Program 2008-2011

⁶ John Soussan (2013). Evaluation of the UNDP's Water and Ocean Governance Programme

understands that no formal management response was deemed necessary. Instead, the recommendations of this review were said to be reflected in the finalisation of the document describing the WOGP contribution to the UNDP Strategic Plan 2014-2017.

In addition, specific reviews of two of the WOGP delivery mechanisms were conducted:

- a. The 2012 Gabriel Regallet Strategic review of the GoAL-WaSH programme phase II, 2013–2017⁷
- b. The final joint donor review of Cap-Net Phase III carried out by PEMConsult in 2014⁸

The review team has taken note of the formal management response prepared in respect of the Cap-Net review⁹. Furthermore, the Cap-Net work plan and budget 2016 document states that *“The recommendations of the 2014 joint donor external review were responded to and incorporated in the operations of the Cap-Net secretariat in 2015. This will continue to be given due attention in 2016 as the implemented improvements will be further streamlined in the day-to-day practices of the Cap-Net secretariat and programme.”* However, follow-up actions in respect of three specific recommendations aimed at strengthening Cap-Net’s human resources capability in communications, monitoring and fund-raising have been shelved. The review team was informed that the reduction in funding that intervened as a result of the non-renewal of DGIS support to Cap-Net prompted a prudent rethink about the (initially agreed to) recommendations related to engaging additional programme staff. Instead, the secretariat has used and (re)deployed already available in-house staff resources. The review team understands that two of the suggested staff positions (in communications and fund-raising) may be considered under the overall WOGP umbrella

The review team has not seen a formal management response to the GoAL WaSH strategic review of 2012. However, the positive steps taken by GoAL WaSH to address two key shortcomings highlighted in the Regallet review, namely the insufficient attention paid to issues around sanitation on the one hand, and around accountability and integrity in the sector, on the other hand are acknowledged.

2.2. WOGP

UNDP WOGP activities are framed around four thematic priority areas related to water and ocean resources and services:

1. Climate-resilient access to water supply and sanitation
2. Climate-resilient integrated water resource and coastal management
3. Protection of transboundary surface and groundwaters in a changing climate
4. Sustainable management of oceans in a changing climate.

The work of UNDP WOGP also falls into four strategic activity areas that aim to advance governance and make positive impacts on water and ocean resources and services:

1. Programme development and delivery
2. Capacity development
3. Knowledge management
4. Global policy work

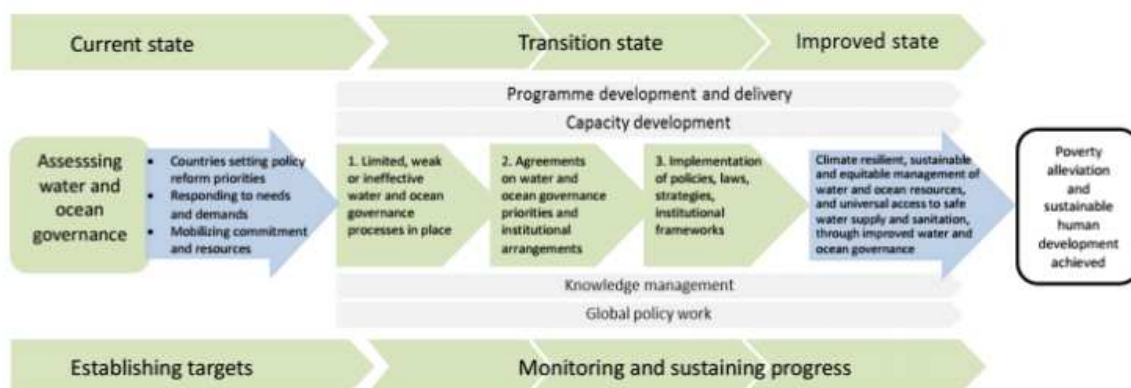
⁷ Gabriel Regallet (2012). Final report. Strategic Review of GoAL-WaSH Programme Phase II, 2013–2017

⁸ PEMConsult (2014). Final Joint Donor Review of Cap-Net Phase III

⁹ UNDP Cap-Net (2014). Management Response to Joint Donor Review of Cap-Net Phase III: 2010-2014

Programme Intervention Logic: UNDP WOGP has developed the following Theory of Change to illustrate the progression through three governance stages towards achieving the UNDP WOGP vision.

Figure A1.3. Theory of change: stages in governance progression to achieve the UNDP Water Vision



Source: UNDP (n.d.). *Water and Ocean Governance Programme contribution to realising the UNDP Strategic Plan 2014–2017*

In the opinion of the reviewers, the intervention logic could be further strengthened with a description of how the programme will actually exert influence and the inclusion of drivers and assumptions.

Results-based Management Framework: The implementation of WOGP is guided by a results-based management framework describing the intended impacts and outcomes in each of the above four thematic areas. The picture below (copied from Appendix 2 of *Water and Ocean Governance Programme contribution to realising the UNDP Strategic Plan 2014–2017*) shows that part of the framework applicable to the WOGP thematic area ‘Climate-resilient access to water supply and sanitation’. Each of the remaining three thematic areas has a separate 4 rows x 2 columns matrix of its own. The outcomes represent the changes that UNDP WOGP and its partners seek to contribute to as a result of their activities. The framework also specifies explicit indicators and precise targets to help assess the degree of attainment of each outcome within the strategic plan period.

Appendix 2: UNDP WOGP Results Based Management Framework

Climate-resilient access to water supply and sanitation

Impact: Sustainable and equitable water supply and improved sanitation and hygiene services		
	<i>Indicator</i>	<i>Target</i>
Outcome 1 Common understanding among stakeholders at different levels on gaps and priorities in enhancing access to water supply and sanitation. Contributing programmes: <ul style="list-style-type: none"> • WGF • EDM • MDG GoAL WaSH 	Number of national or local water governance gap/barrier assessments leading to joint understanding and enhanced political will to take action on water supply and sanitation via governance reform and/or direct local action.	<ul style="list-style-type: none"> • 12 national water governance assessments leading to joint understanding and will to take national level action on accelerating access to water supply and sanitation. • Assessments of and requests for proposals leading to 200–250 local level projects in 30 countries completed.
Outcome 2 Agreement on priority water supply and sanitation governance reforms and/or investment priorities. Contributing programmes: <ul style="list-style-type: none"> • EDM • MDG GoAL WaSH • MDG Achievement 	Number of countries implementing MDG Acceleration Framework (MAF) action plans to drive progress on water/sanitation by adopting water governance reforms that remove barriers and enable acceleration of access to water supply and sanitation and achievement (or better) of MDGs or post-MDG water/sanitation targets. Number of communities developing local actions to enhance sustainable access to climate-resilient water supply and sanitation; number of countries impacted.	<ul style="list-style-type: none"> • Water governance reforms for improved WASH access adopted in 16 countries. • 200–250 local level projects in 30 countries identified leading to direct local action to enhance access to sustainable water supply and/or sanitation services. • Institutional arrangements addressing gender and WASH established in four countries. • Institutional arrangements addressing water integrity and WASH established in six countries. • Institutional arrangements addressing HRBA and WASH

Impact: Sustainable and equitable water supply and improved sanitation and hygiene services		
	<i>Indicator</i>	<i>Target</i>
Fund (MDG-F)– Towards Trans-cultural Transparency (TTT) <ul style="list-style-type: none"> • MDG-F – Knowledge Management (KM) • WGF (e.g. Tajikistan, Palestinian Water Authority) 	Number of formal and informal institutional arrangements (effectively) addressing gender and water. Number of formal and informal institutional arrangements (effectively) addressing water integrity. Number of formal and informal institutional arrangements (effectively) addressing HRBA to water supply and sanitation.	established in four countries.
Outcome 3 Implementation of agreed governance frameworks (policies, laws, institutions, strategies, etc.) and local action to enhance access to water supply and sanitation. Contributing programmes: <ul style="list-style-type: none"> • GoAL WaSH • WGF • EUWI Africa • EDM 	Number of people with improved access to sustainable, climate-resilient safe water and sanitation services and improved hygiene. Number of countries implementing agreed water and sanitation governance reforms. Number of institutional frameworks effectively implementing gender, HRBA and/or water integrity in water supply and sanitation services and strategic planning processes.	<ul style="list-style-type: none"> • 600,000 people with access to improved water supply and/or sanitation, in 20 countries. • Eight countries implementing agreed reforms to catalyze acceleration of progress on water and sanitation MDGs/post-MDG targets. • Institutional frameworks being implemented in five countries.
Outcome 4 Institutional and human capacity and knowledge	Number of trainers available on relevant themes. Number of individuals that have gained strengthened knowledge and capacity to formulate and implement	<ul style="list-style-type: none"> • 50 trainers on WASH governance capacity development. • 1,000 individuals trained, at least 40 % female participants. • 200 organizations/networks with enhanced capacity for

Impact: Sustainable and equitable water supply and improved sanitation and hygiene services		
	<i>Indicator</i>	<i>Target</i>
base strengthened to formulate and implement relevant policies, laws and strategies. Contributing programmes: <ul style="list-style-type: none"> • Cap-Net • IW:LEARN • MDG-F-KM • MDG-F – TTT • WGF • Water Integrity Programme • EDM 	relevant policies, laws and strategies. Number of organizations/networks that have gained strengthened capacity to implement relevant policies, laws and strategies. Number of organizations/networks and individuals strengthened in cross-cutting issues; gender, HRBA and/or water integrity. Number of downloads and visits to WOGP knowledge products, databases and training materials. Number of people applying new knowledge to enhance their own performance, sharing benefits to their organization and sharing benefits to society. Number of awareness raising campaigns on increased WASH. Number of WASH processes/experiences documented, analyzed and disseminated.	delivering, up-scaling and replicating water supply and sanitation services. <ul style="list-style-type: none"> • 40 organizations/networks and 250 individuals strengthened in cross-cutting issues. • 40,000 downloads and 1,000,000 visitors to WOGP knowledge products (web stats).⁹ • 500 people applying knowledge to enhance own performance and sharing benefits to own organization and society. • Awareness campaigns carried out in 40 countries. • At least 100 knowledge and information products developed and disseminated to appropriate target groups. • At least 25% of the knowledge products address gender, HRBA and/or water integrity.

The review team notes that the UNDP WOGP reporting to Sida does not use such a results-based management framework to form the basis for annual planning, progress monitoring and reporting of results in respect of WOGP. Instead, a modified form of the above framework called ‘Key indicators of the WOGP results based management framework’, pictured below, is followed.

Revised Appendix 2: Key indicators of the WOGP Results Based Management Framework

Stage in governance progression WOGP Sub-theme	Outcome 1 Common understanding among stakeholders at different levels on gaps and barriers.	Outcome 2 Agreement on priority water governance reforms and/or investment priorities.	Outcome 3 Implementation of agreed governance frameworks (policies, laws, institutions, strategies, etc.) and local action.	Outcome 4 Institutional and human capacity and knowledge base strengthened to formulate and implement relevant water and ocean policies, laws and strategies.
5.1 Climate-resilient access to water supply and sanitation	Number of national or local water governance gap/barrier assessments leading to joint understanding and enhanced political will to take action on water supply and sanitation via governance reform and/or direct local action.	Number of national or local commitments to water and/or sanitation governance reforms and investments. Number of formal and informal institutional arrangements (effectively) addressing gender, water integrity and HRBA to water supply and sanitation.	Number of people with improved access to sustainable, climate-resilient safe water and sanitation services and improved hygiene. Number of countries implementing agreed water and/or sanitation governance reforms	Number of individuals that have gained strengthened knowledge and capacity to formulate and implement relevant water and sanitation policies, laws and strategies. Number of people applying new knowledge to enhance their own performance, sharing benefits to their organization and sharing benefits to society.
5.2 Climate-resilient integrated water resources and coastal management	Number of national and local water and/or coastal assessments leading to joint understanding and political will to take action on water resources and/or coastal management.	Number of agreed national and local strategies on improving water resources and coastal management.	Number of countries implementing national, sub-national and local water or ocean governance strategies and plans to advance integrated water resources and coastal management.	Number of individuals that have gained strengthened capacity to formulate and implement relevant policies, laws and strategies. Number of people applying new knowledge to enhance their own performance, sharing benefits to their organization and sharing benefits to society.

RESUME TABLE

<p>5.3 Protection of transboundary surface and groundwaters in a changing climate</p>	<p>Number of shared surface and groundwater bodies completing TDA³ using latest GEF⁴-International Waters methodology.</p>	<p>Number of multi-country agreements on governance reforms for transboundary waters (SAPs⁵) adopted to ensure sustainable and equitable water management in a changing climate.</p>	<p>Number of major transboundary water bodies with agreed action programmes for sustainable management under implementation.</p>	<p>Number of individuals that have gained strengthened knowledge and capacity to implement transboundary processes.</p> <p>Number of people applying new knowledge to enhance their own performance, sharing benefits to their organization and sharing benefits to society.</p>
<p>5.4 Sustainable management of oceans in a changing climate</p>	<p>Number of LMEs⁶ completing TDAs.</p>	<p>Number of multi-country LMEs that adopt strategic action programmes (SAPs) of agreed governance reforms and priority investments.</p>	<p>Number of multi-country LME SAPs under implementation.</p>	<p>Number of individuals that have gained strengthened knowledge and capacity to implement effective LME governance and management.</p> <p>Number of developing countries with enhanced capacity to comply with provisions of global IMO⁷ convention on ship ballast water, with new IMO hull fouling guidelines, and with new IMO shipping energy efficiency standards.</p>

The revised framework was introduced in the UNDP letter to Sida dated 21 May 2014 explaining that it intended to clarify the logical structure of the WOGP results based management framework, while also suggesting “a more succinct set of indicators that could be monitored to capture the results of the Swedish contribution to the programme”.

The revised version of the framework is more compact – a matrix with 4 rows (i.e., WOGP’s 4 priority themes) and 4 columns (the outcomes), compared to the original framework’s four separate matrices (one for each WOGP thematic area), each matrix containing 4 rows (the 4 outcomes) and 2 columns (indicators and targets).

Furthermore, the four outcomes in the revised version are framed in more generic terms compared to the 16 thematic area specific outcomes in the original framework. However, the indicators are practically identical in the two versions. The revised framework did not list any targets.

However, in conjunction with the reduction in the Sida contribution for the years 2016 and 2017, an updated result matrix was submitted to Sida on 17 June 2016 to reflect the effects of the budget cuts. This updated matrix featured minor revisions to the original indicators and included also targets for all Sida-financed delivery mechanisms (the first two pages of this matrix are shown below). WOGP will report according to this updated matrix in 2016 and 2017.

Revised result matrix 2016-2017 (extract showing first 2 pages)

WOGP Outcomes	Outcome Indicators	Target 2016-2017
<i>5.1 Climate-resilient access to water supply and sanitation</i>		
Outcome 1 Common understanding among stakeholders at different levels on gaps and barriers.	Number of national or local water governance gap/barrier assessments leading to joint understanding and enhanced political will to take action on water supply and sanitation via governance reform and/or direct local action.	6 national or local water governance gap/barrier assessments leading to joint understanding and enhanced political will to take action on water supply and sanitation via governance reform and/or direct local action (Goal WASH) ¹ 1 thematic assessment (WASH sustainability) undertaken leading to joint understanding and enhanced political will to take action on water supply and sanitation via governance reform and/or direct local action (UNDP-UNICEF Accountability for Sustainability)
Outcome 2 Agreement on priority water governance reforms and/or investment priorities.	Number of formal and informal institutional arrangements (effectively) addressing gender, water integrity and HRBA to water supply and sanitation	4 countries have established institutional arrangements addressing WASH governance reform, gender, water integrity and/or HRBA (Goal WASH) 2 countries have established institutional arrangements addressing accountability (UNDP-UNICEF Accountability for Sustainability)
Outcome 3 Implementation of agreed governance frameworks (policies, laws, institutions, strategies, etc.) and local action.	Number of countries and local areas where agreed reforms are being implemented	3 countries where agreed reforms are being implemented (Goal-WASH) 5 countries implementing OECD Water Governance Principles (OECD WGI) ²

Outcome 4 Institutional and human capacity and knowledge base strengthened to formulate and implement relevant policies, laws and strategies.	Number of individuals/institutions that have gained strengthened knowledge and capacity to formulate and implement relevant policies, laws and strategies. Number of people/institutions applying new knowledge to enhance their own performance, sharing benefits to their organization and sharing benefits to society.	600 individuals trained to formulate and implement relevant policies, laws and strategies (Cap-Net, Goal-WASH + WIP-SIWI ¹) at least 40 % female participants. 20 trainers on WASH governance capacity development. 32 institutions/water utilities have gained knowledge and capacity to formulate and implement relevant policies, laws and strategies (Goal-WASH) 400 people applying knowledge to enhance own performance and sharing benefits to own organization and society. (Cap-Net, Goal-WASH + WIP-SIWI) 225 organizations/networks institutions/water utilities with enhanced capacity applying new knowledge to enhance water supply and sanitation services. (Cap-Net, Goal-WASH + WIP-SIWI) 40 organizations/networks and 200 individuals strengthened in cross-cutting issues. 10,000 downloads and 40,000 visitors to Cap-Net knowledge products (web stats). At least 2 knowledge and information product developed and disseminated to appropriate target groups. (Cap-Net)
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¹ Governance, Advocacy and Leadership in Water, Sanitation & Hygiene

² OECD Water Governance Initiative, where the UNDP Water Governance Facility leads one work group.

¹ Water Governance Facility – Water Integrity Programme (WIP), including Water Integrity programmes implemented through SIWI.

Planning and Reporting: The annual WOGP reporting to Sida is done according to this revised results framework. However, a consolidated WOGP annual work plan to compare the reported results against does not exist. Moreover, while the activities carried out are described in considerable detail, the relevant targets (and baselines) against which these achievements should be measured are not indicated. Hence, tracking progress and levels of achievement is not evident unless one drills down into the activity reports of the respective delivery mechanism.

Finally, the reporting in the second year of the current phase (i.e. 2015) does not incorporate progress already realised in the previous year, so it is not possible to compare the cumulative level of achievement against the target for the entire strategy period. This is a natural consequence of using the revised results framework, which does not list any targets.

Visibility: The UNDP WOGP portfolio of work, aiming to ensure better water and ocean governance at local, national, regional and global levels, extends to over 100 countries¹⁰. In spite of its global coverage, the review team found that the WOGP 'brand' was not well-known among stakeholders interviewed. While most of them were familiar with the particular delivery mechanism they were

¹⁰ <http://www.undp.org/content/undp/en/home/ourwork/sustainable-development/natural-capital-and-the-environment/water-and-oceans.html>

working with, they were largely unaware that it formed part of a cluster of like delivery mechanisms grouped under the WOGP umbrella. For example, GoAL WaSH partners interviewed by the review team were generally unaware of the GoAL WaSH relationship to Cap-Net (and vice versa) or indeed of the existence of a WOGP 'family'.

Staffing: UNDP WOGP has a lean governance structure with the overall Head located in UNDP headquarters in New York and a UNDP Senior Water Advisor located in SIWI in Stockholm, Sweden. The Senior Water Advisor was initially based in New York. Substantive reasons for relocating the position to Stockholm included its proximity to many water-centred activities in Europe, notably the 'Stockholm Water Hub', strengthening cooperation with SIWI and facilitated contact with Sida. The Senior Water Advisor is directly responsible for coordinating the entire programme (steering committees/ boards, contents guidance, budget and financial administration, consolidating annual progress reporting from delivery mechanisms for submission to Sida) and for managing WOGP's relations with its technical and financial partners, notably Sida.

Cap-Net, whose global secretariat is located in Rio de Janeiro, Brasil, is run with administrative support provided by UNOPS. The Cap-Net staff complement is equivalent to 6 persons¹¹. WGF, GoAL WaSH and SWP share staff (roughly the equivalent of 4 full-time staff) and office space within SIWI.

Funding: The total funding negotiated by UNDP WOGP for the 2014-2017 strategy period is approximately USD 119 million¹². The primary funding support (82%) consists of so-called 'vertical funds', mobilised through a consortium of donors including GEF and various Adaptation Funds. The agreed Sida contribution of SEK 110 million over the same four-year period 2014-2017 represents approximately 12% of the total funding and is the second largest funding source.

As regards financial reporting, per the Sida-UNDP grant agreement, UNDP is required to submit a properly audited annual financial report to Sida. The WOGP annual reports to Sida contain a summary table of budget realisation. The review team understands that a "certified financial statement" is sent separately from UNDP Office of Financial Resources Management (OFRM). The review team is not sure of the extent to which WOGP-specific budget realisations and related results are easily discernible from UNDP's consolidated financial reports, but there have been wishes from the donor side for more focused financial reporting.

2.3. Water Governance Facility (WGF)

The UNDP Water Governance Facility (WGF), hosted at Stockholm International Water Institute (SIWI), is a collaborative initiative between UNDP and SIWI, established in 2005 with support from Sida. WGF contributes to strengthening UNDP's capacity to provide relevant policy support and advice to middle and low income countries, and to build the knowledge and capacities for improved water governance within governments and civil society as well as among UN agencies.

¹¹ The staff strength at the CapNet secretariat in Rio at the start of the review was equivalent to 7 full-time positions. The total went down to the 6 persons following the departure of one staff member in August 2016.

¹² UNDP-WOGP (2016). Revised Budget 2016-17 for the Sida Contribution to the UNDP Water and Ocean Governance Programme (WOGP), 24 Jun 2016

Scope and Comparative Advantage: WGF undertakes knowledge generation and knowledge management, provides advisory services to national governments and plays an active role in international processes such as supporting UNDP's contribution to the UN-Water World Water Development Report (WWDR), among other activities. WGF is, most notably, a well-respected international voice on water governance. Its location and institutional anchorage within SIWI bestows considerable added value, such as, access to a valuable repository of water governance knowledge, ability to call upon a world-class human resource talent pool and impartial technical assistance capability, and deriving benefit from SIWI's convening power at the World Water Week. WGF is also the main vehicle to deliver on the objectives and outcomes of SIWI's Water Governance theme.

WGF is therefore well-positioned to assume leadership in managing and implementing an important component of the water arm¹³ of the UNDP Water and Ocean Governance Programme (WOGP) and for generating, storing and disseminating water governance knowledge. WGF could be characterised as a sort of 'engine room', providing the overarching coordination for several programmes (such as GoAL WaSH) that are implementing parts of the UNDP-WOGP. Other programmes affiliated to WGF and also under the wider (i.e. including non-Sida supported) WOGP umbrella include the Accountability for Sustainability Programme and the Water Integrity Programme.

Programme Structure: WGF conceptualises and plans its activities around three work areas:

Work Area 1: Policy Support and Programme Coordination: This is the largest of the three work areas. Its focus is to contribute to improved water governance in countries and areas of programme intervention by providing policy support and advice. The management and coordination of WOGP delivery mechanisms like GoAL WaSH and the Shared Waters Partnership (SWP) is also housed within this work area.

Work Area 2: Water Governance Knowledge Base: The aim of this component is to document and disseminate insights, experiences and good practices with a view to improving knowledge and institutional capacity to improve water governance. Maintenance of the website (www.watergovernance.org) and publications such as the WGF Reports Series are other key responsibilities.

Work Area 3: Contribution to International Processes: The focus here is to lead WGF's contribution to international water-related assessments and processes (such as WWDR) and to ensure the Facility's presence and visibility at international fora, such as at the World Water Week in Stockholm.

Planning: The review team has observed that the annual work plans of WGF for 2014, 2015 and 2016 have indeed been structured according to the above three work areas. The plans are described in narrative form, listing the activities to be undertaken in order to generate the various outputs in each work area. In addition, the 2016 work plan contains a detailed table listing all the intended outputs related to each of the three WGF work areas, the relevant output indicators, baselines and

¹³ N.B. In actual fact this 'arm' is limited to the Sida-supported portions of WOGP; it does not include the sizeable portfolio of transboundary water activities supported through the WOGP 'vertical funds'

targets for 2016, the idea being to link each output to one or several WOGP outcomes. Furthermore, the partners involved, WGF funding in the 2016 work plan, and the matching funds expected to be leveraged are also included. So, all in all, quite a comprehensive seven-column results framework.

Reporting: The review team notes that the annual progress reports, so far available for 2014 and 2015, are structured around the four WOGP thematic priority areas. A narrative section, also structured on the same lines, is supplemented with a presentation of results according to the revised WOGP results framework. But as just discussed above, the work plans had been presented in a different, detailed tabular format. This inconsistency between the presentation formats used in work plans and reports results in a disconnect that is not conducive to tracking achievements and progress.

It is hoped that the 2016 annual report format would attempt to establish a more explicit connection between the announced plan and the achieved results.

Results: Notwithstanding the possible improvements in reporting and progress monitoring, the volume and range of achievements reported demonstrate the immense contributions made by WGF towards achieving the WOGP themes and outcomes, and thereby the UNDP strategic plan. Being an integral part of SIWI and leading its water governance theme, WGF also contributes to the implementation of SIWI's strategy.

Staffing and Budget: Indeed, WGF's embedment within SIWI allows it to harness the skills and expertise of over a dozen SIWI staff who contribute in different proportions to implement its activities. The annual staff time input is roughly four full-time staff equivalents. Budgets have remained stable over the current phase and the ratio of personnel to operational costs also appears to be holding steady, as seen in the table below.

	2014 USD^a	2015 USD^b	2016 USD^c
Work Area 1	331,064	254,019	293,024
Work Area 2	220,146	225,989	195,806
Work Area 3	101,966	103,775	126,003
Staff costs	653,176	583,783	614,833
Total spent	863,957	737,599	788,159
Staff cost %	75.6%	79.1%	78.0%
Full-time staff equivalents	3.6	4.3	4.1

a: Source UNDP Water Governance Facility at SIWI, Annual Progress Report for 2014 (n.d.)

b: Source UNDP Water Governance Facility at SIWI Annual Progress Report for 2015 (n.d.)

c: Source Water Governance Facility Work Plan for 2016 DRAFT – updated for annual UNDP-WGF Steering Committee meeting at WWW 2016 (2016-08-20)

2.4. GoAL WaSH

GoAL WaSH (GW) is the WGF component programme focusing on enhancing the performance of the drinking water and sanitation sectors in partner countries by supporting water governance reform, sector leadership and capacity development. GoAL WaSH supports work in three sequential areas:

1. Identifying the gaps, needs, constraints and opportunities in national water and sanitation plans, strategies and capacities.
2. Supporting development and reform of action plans, policies, laws, coordinating mechanisms and regulatory functions.
3. Supporting the implementation with accountability and transparency.

Scope: GoAL WaSH is a demand-driven programme, responding to country demands as well as requests from UNDP country offices. GoAL WaSH projects are typically identified and designed following three-way consultations and fact-finding/needs assessment missions involving government, GoAL WaSH and UNDP.

Geographical coverage: GoAL WaSH is currently active in 11 countries (Bosnia & Herzegovina, Kyrgyzstan, Tajikistan, Niger, Togo, Liberia, Paraguay, Cambodia, Lao PDR, Jordan and Madagascar) and the Mekong region (including Laos, Cambodia and Vietnam). The list of countries has evolved as some drop out (e.g. Mongolia, El Salvador) and new ones join (The Philippines will be the latest country to join, with the project document recently signed). The typical project duration is 2-3 years. Selection of country projects is based on country needs and UNDP country office willingness and availability¹⁴. Priority is accorded to fragile and post-conflict countries and countries that (were) measurably behind on the Water and Sanitation MDGs (and now, on achieving SDG 6.1 and 6.2¹⁵), in addition to maintaining regional balance and diversity.

Mode of operation: GoAL WaSH projects in a given country are implemented jointly in partnership with UNDP and the relevant national agencies. The UNDP country office acts as the executing agency. The national GoAL WaSH project manager, attached to the local UNDP Country Office, also functions as the first point of contact for government agencies seeking support for water and sanitation governance reform over and beyond the project. GoAL WaSH national managers receive support from the GoAL WaSH coordination team at SIWI as well as from national and international consultants. While the GoAL WaSH-UNDP country office mode of collaborative operation has its advantages (e.g., recognised country presence, facilitated contacts with national agencies), it also has certain limitations in terms of capacity to deliver on time and maintaining quality. For example, project implementation in Liberia practically came to a halt in the second half of 2015 following the resignation of the national project coordinator; in Togo, project progress was disrupted due to the reconfiguration of partner ministries after the 2015 general elections.

¹⁴ cf. UNDP GoAL WaSH Programme 2014-2017: Guidelines for selecting new countries

¹⁵ 6.1: by 2030, achieve universal and equitable access to safe and affordable drinking water for all
6.2: by 2030, achieve access to adequate and equitable sanitation and hygiene for all, and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations

Funding: GoAL WaSH activities are primarily funded by Sida, through UNDP WOGP, presently at an annual level of SEK 6.84 million for the period 2014-2017¹⁶. GoAL WaSH has been able to raise additional funding in certain countries. For example, the Basque Water Agency (URA) provided supplementary funding (€ 271,886) in Liberia while OFID supported GoAL WaSH work in El Salvador (USD 100,000 in 2013-2014). GoAL WASH and its partners have been also able to leverage very significant funding at national level, through national UNDP office and national governments (as further detailed below).

Achievements: Since its inception in 2008, GoAL WaSH has successfully raised awareness about water governance in several countries, particularly among fragile and post-conflict economies. It has also generated comprehensive sets of country-specific and generic outputs and created a database of knowledge and information products. GoAL WaSH is now transitioning from supporting the elaboration of policy documents to supporting the implementation of these agreed policy frameworks (e.g., decentralisation, tariff setting methodologies, regulatory functions etc.).

In the review team's interviews with a sample of GoAL WaSH partners, it was very evident that they all greatly appreciated the outcomes of the GoAL WaSH interventions in their countries and they had high regard for the quality of the support received from GoAL WaSH staff. However, many partners had one regret -- that is, that the relatively modest size of the GoAL WaSH project budgets didn't allow for investments in infrastructure rehabilitation or improvements sometimes necessary prior to testing or implementing certain governance interventions. As strategically designed to be catalytic, 'hard' investments are not part of the GoAL WaSH mandate. However, GoAL WaSH does have the possibility of extending 'soft' support to countries in mobilising financial support for various purposes, both investments and otherwise; e.g., helping to draw up bankable investment projects on the basis of GoAL WaSH initial results. GoAL WaSH has already begun to act on these lines, such as organising a donor roundtable in Togo and carrying out a study for a Pool Fund for the WASH sector in Liberia.

Leveraging and Influencing Funding: The review team notes that GoAL WaSH has begun to systematically document instances where it has exerted influence and had impact in helping partners and countries raise additional resources. In fact, the early results of an analysis being conducted by GoAL WaSH management (Annex 2) suggest that GoAL WaSH interventions have contributed to leveraging investments totalling USD 58.3 million from other sources in different countries; there are also indications that GoAL WASH outputs and learning have influenced, and/or are being used in, other projects to the value of USD38 million. With an estimated total GoAL WaSH investment of USD 3 million at country level during the current 4 year phase, this suggests that one US dollar invested in GoAL WASH at national level has contributed to leveraging USD 19 and influencing other programmes for USD 13. In addition, important impacts on national strategies and programmes have been reported. See Annex 2 for details.

Planning and Reporting: The planning, budgeting and reporting of GoAL WaSH activities are included as part of the Water Governance Facility. So, the comments made in respect of the WGF planning and reporting still hold true at this level of aggregation. It is however acknowledged that

¹⁶ The annual level of SEK 6.84 million was reduced with the 2016-2017 WOGP-wide Sida budget cut

GoAL WaSH also maintains its own internal system of planning, monitoring and reporting in respect of its country projects, covering their technical, administrative and financial aspects¹⁷. The GoAL WaSH Management Strategy document notably provides detailed guidelines about the types and frequency of reporting and the outputs that should be ultimately fed in to the GoAL WaSH knowledge management database. The review team's perusal of a sample of the documentation produced by GoAL WaSH countries indicated that these guidelines are being generally adhered to. At the same time, GoAL WaSH has also established its own brand, its own logo and its own reputation. Guidelines about the use of the logo are spelt out in the GoAL WaSH Visibility Guidelines¹⁸.

2.5. Shared Waters Partnership (SWP)

SWP helps prevent conflict over shared surface and ground waters by supporting processes to build trust and promote cooperation among riparian stakeholders in regions where water is, or may become, a source of conflict.

Comparative Advantage: SWP operates strategically at the nexus of diplomacy and development to build capacity and create robust and responsive institutions for managing shared waters. Thanks to its UNDP and SIWI 'parentage' (in addition to being a programme within the Water Governance Facility, SWP is part of SIWI's Transboundary Water Management theme, TWM), SWP can call upon the expertise and resources of a network of strategic partners to design targeted interventions with a view to encouraging dialogue and strengthening multi-stakeholder platforms to address situations of dispute and conflict around shared waters. On one hand, SWP can work closely with UNDP focal points from headquarters, Regional Technical Advisers (RTAs), UNDP/GEF transboundary waters projects, and country offices. On the other hand, it has the possibility of leveraging support from the pool of knowledge and expertise within SIWI in general and the Transboundary Water Management theme in particular.

Sida's interest in supporting SWP can be viewed through the lens of SWP's role as an entry point for Sida into critical brokering roles related to transboundary water issues. The anchoring of SWP in SIWI takes advantage of SIWI's 20 year track record as a policy institute as well as Swedish neutrality (perceived as an impartial third party). SWP's comparative advantages are that it is flexible, opportunistic and rapidly responsive, in contrast to, for instance, the major development banks and their long-term large-scale engagements. The types of SWP support vary considerably and could be as simple as arranging a conference room or plane tickets or extend to a regional TA to unwrinkle conflict, or it could be media training etc. In the Nile Basin, the World Bank requested SWP to do a political economy analysis. SWP is meant to be "discreet" and often works "behind the scenes" in the often sensitive situations it addresses. The review team understands that SWP has mostly been activated though spin-off from SIWI's role and work rather than through formal requests via UNDP.

Geographical Coverage: SWP has worked, and continues to work, in several major transboundary river basins cross the developing world – the Nile, Volta, Mekong to name just a few. In the process, SWP has not only contributed to brokering agreements on actions and reforms around consensual

¹⁷ GoAL WaSH (n.d.) GoAL WaSH Management Strategy

¹⁸ GoAL WaSH (n.d.) GoAL WaSH Visibility Guidelines

management of shared waters but has also contributed to institutional and human capacity building and strengthening the knowledge base.

Funding: SWP was born out of a grant from the US State Department to UNDP; the US State Department has been the main donor but SWP has also been successful in leveraging support from other sources, including Sida, the Dutch Ministry of Foreign Affairs, and the Australian Department of Foreign Affairs and Trade. The US grant came to a close at the end of September 2016.

Staffing and management: Besides the SWP Programme Manager, there are 2 other SIWI staff working on SWP in Stockholm plus one based in Bangkok. SIWI has a contract with UNDP to manage SWP, which is based within SIWI's transboundary water management theme.

2.6. Cap-Net

Cap-Net is UNDP's global network for capacity development towards sustainable development and management of water resources and improved access to water supply and sanitation. It is made up of a partnership of autonomous international, regional and national institutions and networks committed to capacity development in the water sector. Cap-Net was established in 2002 and functioned as a largely independent entity. According to Soussan (2013)¹⁹, the decision to integrate WOGP and Cap-Net more closely was a consequence of the 2011 Holmberg review, to an extent to provide administrative simplicity for Sida funding.

Alignment with UNDP WOGP: During this strategy period 2014-2017, Cap-Net aligns itself with the UNDP WOGP thematic priority areas of which the first three are directly addressed by Cap-Net. Cap-Net therefore focuses on capacity development for climate resilient water and oceans management, climate-resilient access to water supply and sanitation, and the protection of transboundary surface and groundwaters. In addition, it develops capacity on cross-cutting issues such as water integrity, gender, human right based approach to water, water diplomacy, and finally on innovative learning and formal education.

Scope: With this backdrop, Cap-Net has identified three priority areas of activity for 2014-2017:

1. *Delivery of Capacity Development:* To develop capacity of institutions and individuals to manage, and use water and coastal zone resources sustainably, and to adapt to increasing climate variability within a context that addresses, human rights, gender equity, integrity, diplomacy and sustainable livelihoods.
2. *Strengthening networks and partnerships.* To improve water management practices by (a) using effective networks of capacity developers to have impact on the ground, and (b) developing partnerships with international agencies and private sector organisations to improve their outreach and collaboration on capacity developing.
3. *Knowledge management.* To develop and implement knowledge management systems that ensure access to the best of international and local knowledge for all, measuring the effectiveness of capacity development services, and reviewing indicators and monitoring systems.

¹⁹ John Soussan (2013). Evaluation of the UNDP's Water and Ocean Governance Programme

Planning and Reporting: The Cap-Net annual work plan of activities and outputs is structured according to the three work areas listed above. In addition to a detailed narrative on the above lines, the work plans of 2015 and 2016 also feature a result-based framework that lists indicators, targets and outcomes/impact under three WOGP thematic areas plus cross-cutting themes. However, the review team observes that the framework employed here is not the same as either of the two WOGP frameworks discussed previously.

The Cap-Net annual reporting documents explicitly compare achievements to the corresponding work plan outputs and targets (e.g., number and themes of training courses, number of people trained, types of training materials produced, number of website downloads). The review team observes that the achievements have consistently exceeded the targets in practically every area. For example, considering the metric of ‘numbers trained’, it is noted that roughly 1000 water managers, professionals and practitioners have participated in training programmes annually. Cap-Net should analyse if this is because of their good performance or whether they are being overly cautious in their target-setting. However, numbers alone are not sufficient to tell the whole story. The extent to which the knowledge acquired is actually applied to effect, or influence, change is also important. However, data pertaining to this aspect was not available to the review team.

One final point to note in regard to reporting is that while the results reported by Cap-Net are duly included in the narrative portions of the annual WOGP report to Sida, the detailed Cap-Net outputs, although framed according to the WOGP thematic areas, do not find a place in the WOGP results matrix of the WOGP report to Sida. So, this is yet another ‘disconnect’ in the reporting processes of WOGP and not helpful from the point of view of having a consolidated ‘dashboard’ to monitor progress of what is admittedly a complex overall WOGP programme.

Funding: Sida and DGIS (the Netherlands government) have historically been Cap-Net’s largest donors, with additional funding coming from the Norwegian government and the European Union Water facility. In this current phase, Cap-Net’s share of Sida funding is 11 million SEK per year (roughly USD 1.3 million at current exchange rates). Cognisant of the impending end of Sida support, Cap-Net has outlined a fundraising strategy for the 5-year period 2016-2020 which has been a topic of discussion at all meetings of the Cap-Net Board since 2014. Potential donors (bilaterals, international financial institutions, private sector) are identified and funding level options and related strategic and operational scenarios are discussed.

Staffing: Cap-Net is managed by a global secretariat located in Rio de Janeiro, Brazil consisting of 4 full-time staff based in Rio,²⁰ 1 full-time staff person working from home and 2 part-time (equivalent to 1 full-time) technical staff operating from home, for a total of 6 full-time staff equivalents. The size of the secretariat has remained practically unchanged since 2014²¹. Fixed costs, for salary and operations, also haven’t varied greatly. However, with a decreasing programmable budget, the proportion of secretariat costs to programme costs has become higher than before.

²⁰ The number of full-time staff came down from 5 to 4 in August 2016.

²¹ UNOPS in Copenhagen provides administrative support services for which they receive a fee of 7% of the annual budget.

The secretariat staff strength is periodically boosted by short-term attachments of professionals affiliated with network partners for periods of around 3 months each. Such attachments not only allow the appointees to gain specific networking skills that they can take back to improve their home networks but also serve to strengthen the linkages between partner networks and the Cap-Net secretariat. The appointee also gets the opportunity to experience how the Cap-Net programme operates while at the same time, contributing to implementation of the Cap-Net work-plan.

Partner Networks: Cap-Net currently has 29 affiliated partner networks (9 national, 14 regional and 6 thematic). Networks are hosted by universities, research institutions, NGOs, government agencies, or, in some cases, even private companies. These networks are the key partners and implementing members of Cap-Net. They are autonomous, usually informal, associations of people and organisations with a common interest in capacity development and water. It is indeed worth recalling that Cap-Net regional and country networks were initially established as independent entities, with little or no collaboration with each other or with the UNDP Country Offices. But in an era of acute competition for donor resources, there is merit in exploring greater cooperation between individual networks as well as between country and regional networks (as in the case of LA-WetNet with ArgCapNet)²². This echoes one of the conclusions of Cap-Net's 2013 Internal Peer Review²³ which noted that "pooling together institutions and resources to offer joint programmes led to efficient and effective capacity development activities".

Networks become affiliated to the global network once they satisfy certain agreed entry criteria. However, there do not appear to be any explicit 'exit criteria' by which a partner network could be removed from the network. The expectation seems to be that if networks fall short of the criteria to qualify for continued Cap-Net secretariat support, they will naturally fade away.

Network partners are represented on the Cap-Net Board by three network managers, selected by their peers at the annual network managers meeting to serve a 2 year term of office. These network representatives serve as spokespeople for the networks and can communicate directly with their peers independent of the secretariat.

Supporting and Sustaining Partner Networks: Most partner networks have no independent funding whereas they commit a considerable amount of their own time and resources to the network. So, every year, depending on the requests received from the partner networks, the Cap-Net secretariat provides what is called "core support" or "seed money" to cover part of the operational cost of certain networks. The rules for the award of "core support" are set from year to year as agreed at the annual network managers meeting but presenting a work plan to support the request is a minimum requirement. And there will be no possibility of renewal of core support in the absence of a report.

²² But not all regions have regional networks in addition to country networks.

²³ Cap-Net (2013). Synthesis Report of Internal Peer Review of Cap-Net affiliated networks

Twenty geographic and thematic networks are currently supported. This number varies from year to year. Inactive²⁴ networks do not receive core support. It is worth mentioning that two networks, namely, CK-Net-Ina and NBCBN, who historically never received core support, have been compelled to request for this in recent years due to a downturn in their financial situation as a result of their main funder pulling out or an expected reduction in support. Apart from funding, the main substantive advantage of membership of the Cap-Net family is the technical assistance that networks can call upon from the secretariat (and fellow partner networks) and the access to top-quality training materials and documentation.

The degree of preparedness of Cap-Net partner networks, most of whom depend on Cap-Net core support for basic operations, for functioning under a further restricted funding scenario is unclear. On the other hand, partner networks do have a good track record of leveraging matching funds and raising in-kind contributions from various sources for carrying out training programmes; a demonstration of their resourcefulness and resilience that needs to be better documented. At least one network (WaterNet) does not require core support, being able to attract its own donor funding. The already highlighted case of the two networks (CK-Net-Ina and NBCBN) that have been compelled to request core support of late illustrates the relative fragility of this situation. The sustainability of its partner networks that, after all, constitute important capacity development delivery vehicles, will obviously be a key strategic consideration for Cap-Net, going forward.

Communication and Visibility: Cap-Net is a recognised water knowledge hub with a vast storehouse of downloadable resources on its website (www.cap-net.org), which has proved to be an effective means for dissemination and outreach. Nevertheless, not every network website is fully functional or up-to-date (see table below). Partner networks are encouraged to keep their websites updated, especially as the rules for “core support” dictate that the existence of a regularly updated website, among other criteria, is a pre-requisite for support. Indeed, partner networks, being aware of it, do endeavour to fulfil this requirement. But they are sometimes handicapped by limited technical knowhow and the funding required to develop and maintain a functional website.

State of websites of partner networks as of October 2016 (source: Cap-Net secretariat)

	Network	Website	Comments
Functional and updated			
1	AWARENET	http://www.awarenet.info/	Functional and updated
2	WaterNet	http://www.waternetonline.org/	Functional and updated
3	Aguajaring	http://aguajaring-sea.org/	Functional and updated
4	CAR@WAN	http://www.carawan-net.org/eng	Functional and updated
5	CKNet-INA	http://www.cknet-ina.org/	Functional and updated
6	MyCDNet	http://mycdnet.org/	Functional and updated
7	SaciWATERs-Cap-Net Network (SCaN)	http://www.saciwaters.org/	Functional and updated
8	ArgCapNet	http://www.argcapnet.org.ar/	Functional and updated

²⁴ The definition of (in)active is contentious because the notion of ‘active’ might vary from year to year. Furthermore, most networks conduct other activities which do not form part of the Cap-Net global work plan and budget or strategy. Given that such activities will obviously not feature in the reporting, it is not straightforward to label a network active or inactive.

9	LA-WETnet	http://www.la-wetnet.org/	Functional and updated
10	REDICA	http://redicanetwork.com/	Functional and updated
11	WaterCap	http://www.watercap.org/	Functional and updated
12	Cap-Net Brasil	http://www.capnet-brasil.org/	Functional and updated
13	Caribbean WaterNet	http://caribbeanwaternet.org/	Functional and updated
14	REMERH	http://remerh.mx/	Functional and updated
15	AGW-Net	http://www.agw-net.org	Functional and updated
Functional but not updated			
16	CB-HYDRO NET	http://www.cb-hydronet.org	Last updated in November 2014
17	Nile IWRM Net	http://www.nileiwrn-net.org/	Last updated in November 2014
18	WA-Net	http://wa-netofficial.org/	Last updated in November 2015
19	Cap-Net Bangladesh	http://www.capnet-bd.org/	Last updated in November 2015
20	Cap-Net Lanka	http://www.capnetlanka.lk/	Last updated in August 2014
21	Cap-Net Pakistan	http://hisaar.org/hisaar-site/capnet-pakistan	Last updated in 2012 (month unknown)
Nonfunctional but available			
22	NBCBN	http://www.nbcbn.net/	Functional after updating in November 2016
Website not available			
23	Phil Cap-Net		Never established before

Cap-Net Virtual Campus: The Cap-Net Virtual Campus (VC), launched in 2015, is an innovative way to expand outreach and overcome the high costs of face to face training courses. Online training courses are delivered by partner networks (Arg Cap-Net became the first network to deliver an online course through VC in 2015) as well as the global secretariat. The VC thus helps to extend the reach of capacity development delivery to locations beyond the habitual catchments of local networks.

The VC experienced high user demand for its courses from all over the world. But final enrolment is limited to 50-55 participants per course, which is considered a manageable level in order to enhance personalised interactions and peer exchange. Around 50% (i.e., 23 to 30 active participants) completed the courses and earned certificates. This performance is actually quite good compared to typical online courses (Massive Open Online Courses or MOOCs) that only have around 10% completion rates²⁵. Further, the results of course evaluations completed by participants have been excellent.

From Knowledge Transfer to Effecting Change: Cap-Net has hitherto focused on developing and disseminating knowledge among various groups of water actors, mostly middle-level professionals, from different geographic areas, via short training courses on various subjects. And it has performed quite a good job in this regard. While acknowledging that imparting knowledge is necessary, like, for instance, building local capacity and strengthening partner networks so that they are able to respond and deliver independently on local demand, it must also be recognised that this is no longer sufficient. Metrics like the numbers trained are, by themselves, not an adequate measure to judge change and long-term impact.

²⁵ https://en.wikipedia.org/wiki/Massive_open_online_course#Completion_rates

Hence, there is a need to move beyond simple knowledge transfer towards building competence and applying knowledge to effect change. The 2014 joint donor review of Cap-Net recommended that Cap-Net should engage in more long-term relationships to help build institutions and provide evidence of both individual and institutional learning. The short-course type of interaction can, at best, contribute to shaping knowledge, thoughts and attitudes towards sustainable water management and creating a critical mass of like-minded thinkers. The review team understands that Cap-Net is considering the option of targeted (institutional) capacity development continuously over time. Its Cap-Tec proposal is considering the inclusion of approaches such as 'on-the-job training' and 'demonstration projects' besides conventional training courses; the underlying assumption being that influence and impact would be more direct and closer to implementation.

The implementation of post-training Monitoring Evaluation and Learning Plan (MELP) procedures is a positive step in the effort to identify and capture qualitative success stories at outcome level (and even impact stories). The decision to ask the respective networks to conduct the MELP in place of the Cap-Net global secretariat appears to have paid off, with the response rates showing a progressive increase: 40% in 2013; 50% in 2014; 61% in 2015.

Legal Status of Partner Networks: Most partner networks do not have a separate legal identity. A few network managers who were interviewed flagged this as an obstacle, mainly because this limited their possibility to enter into legal agreements and conduct financial transactions, for which they have to depend on their respective host institutions. The review team is not sure if this is a real impediment to effective functioning, but the review team's view is that the existence of an effective host institution, offering solid institutional anchorage and sound support, preferably with shared interest in capacity development, is a critical determinant of partner network functionality and a potential win-win scenario. Nevertheless, the question of legal status might be applicable to other parts of WOGP and its delivery mechanisms, in which event the subject would merit discussion at a broader level.

3. Conclusions

This section is based on the findings of the document analyses and the outcomes of the stakeholder interviews and is structured according to the OECD/DAC criteria of relevance, effectiveness, efficiency, impact and sustainability²⁶. It must also be stressed that the use of the term UNDP WOGP refers only to the Sida-supported components of UNDP WOGP, subject of the present review.

3.1. Relevance

OECD/DAC's definition of relevance is "the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies".

UNDP WOGP and its delivery mechanisms pride themselves on being demand-responsive. Requests for assistance are received from a range of clients including government agencies, civil society, river basin organisations and other partners. Governance, policy advice and capacity development are the main entry points. WOGP interventions are therefore aligned with national and regional needs, and

²⁶ Source: <http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/2754804.pdf>

expected to deliver valued governance and policy advice. Moreover, the WOGP delivery mechanisms, thanks notably to their UNDP and SIWI linkages, are able to work at international, regional, national and decentralised levels.

For instance, WGF and GoAL WaSH respond to government requests, often channelled through UNDP, to help formulate a programme of water sector reform or boost a county's progress towards attainment of the MDGs (and now the SDGs). SWP has been called upon to facilitate dialogue and promote cooperation in transboundary waters hotspots. Cap-Net supports training programmes on priority topics identified by its network members and other water stakeholders. UNDP WOGP is hence relevant in terms of addressing needs and priorities at different levels -- from local and national to regional and global levels.

WOGP is also relevant in terms of project content, design and implementation, which are done jointly with its on-the-ground partners. For example, GoAL WaSH projects are typically identified and designed following three-way consultations and fact-finding/needs assessment missions involving government, GoAL WaSH and UNDP. Continued collaboration during project implementation further guarantees relevance, ownership and institutional memory.

Furthermore, WOGP interventions, oriented around its four thematic priority areas, are not only relevant from the point of view of contributing to UNDP's strategic outcomes and delivering on MDG and SDG targets, but are also relevant with respect to Sida's thematic priorities, notably pertaining to democracy and human rights, environment and climate, and gender equality.

WOGP's pragmatic approach in its choice of countries and partners, striving to strike a balance between selecting 'quick win' situations versus intervening to support water governance in fragile states faced with capacity problems and limited financial resources must also be highlighted. In addition, the governance emphasis of WOGP interventions nicely complements the infrastructural investments underway (or completed) in the water sector in many countries with technical and financial assistance from a variety of (other) funding sources. The continued demand for WOGP services from governments and national water agencies is also a measure of its relevance.

However, given the complexity of the programme, its comparative strengths and advantages as well as the inter-linkages between the delivery mechanisms deserve to be well articulated. These factors could otherwise challenge WOGP's relevance to potential users in an increasingly crowded playing field on the international arena in the aftermath of the SDGs and the Paris Agreement.

In light of the foregoing, the review team is of the opinion that the WOGP programme is relevant. It must however be reiterated that this opinion applies to the parts of the programme that the review team has reviewed (i.e., not the oceans components of WOGP which were not part of this review).

3.2. Effectiveness

According to OECD/DAC, effectiveness is “the extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.”

The promotion of water governance has come at an opportune moment for many developing countries that have embarked on water sector reform, in parallel with processes of decentralisation and deconcentration in government. UNDP WOGP has extended support to help such countries formulate the policies, acquire the requisite leadership skills, forge partnerships and networks, and develop the institutional capabilities to deliver sustainable results. The WOGP partners that the review team has spoken with are generally appreciative of the valuable support provided by the different delivery mechanisms: backstopping technical support and advice, guidance on the elaboration of policies, critical review and feedback on project outputs and other knowledge products, and training.

The review team has been informed that training materials developed in the context of UNDP WOGP are widely shared among partners and other interested organisations for their own use. But there is no evidence about the extent of use and impact. For example, curriculum and training modules developed with Cap-Net assistance for the IWRM Masters and other training courses are said to be used by university teachers and students. Cap-Net network partners have also stated that post-grad students, university teachers and water professionals use global Cap-Net and partner network materials – but information on the magnitude of use is lacking

There is also a need to improve the turnaround time for publications such as manuals - there are examples of manuals taking 3 to 4 years to produce, running the risk of being already outdated when finally published.

The documentation analysed by the review team and the stakeholders the team has spoken with confirm the substantial body of accomplishments, both in terms of quantity and quality, of UNDP WOGP and its Sida-financed delivery mechanisms. A simple example is that of the baseline information and databases on water and sanitation facilities and coverage that GoAL WaSH established in certain countries now means that there is more reliable information available for planning and monitoring. Another case in point is the individual and institutional capacity strengthening occurring as a result of training in the use of new tools and techniques on one hand and the learning of ‘soft’ skills related to human rights based approaches and gender equality, on the other hand.

However, the WOGP reporting system could benefit from showcasing more examples of the internal coherence and synergies between the delivery mechanisms. There is evidence of cooperation between WGF and Cap-Net such as in the development of manuals on the human rights-based approach to water resources management and on water integrity, and in the implementation of (virtual) training in some of these areas. Highlighting further such examples of internal cross-fertilisation, are worthy of encouragement; such as how GoAL WaSH results inform the development of Cap-Net training material on a particular topic (assuming that such exchanges are actually taking place). Or, conversely, how GoAL WaSH might be using ‘off the shelf’ Cap-Net materials for its training purposes.

Two delivery mechanisms, Cap-Net and the Water Governance Facility, produce their own separate annual work plan and budget. The plans, activities and expected outputs of GoAL WaSH and Shared Waters Partnership are subsumed as part of WGF. After the completion of the year, WGF and Cap-Net produce individual annual progress reports. In addition, WOGP prepares an annual progress report, incorporating activities of all delivery mechanisms, for submission to Sida. But there is no consolidated WOGP annual work plan and budget to report against. So, in the absence of targets and baselines, it is not possible to assess whether expectations have been fulfilled. Progress monitoring of an already complex programme becomes even more complicated.

Moreover, the delivery mechanisms do not use the same planning and reporting frameworks. This appears to bolster the case in favour of a joint annual work plan for WOGP, discussing both substantive content and process. In this respect, it is also worth recalling the Soussan (2013) review's comment that "while showcasing the values of the individual delivery mechanisms, it is also vital that they are internally coherent, implemented efficiently and effectively communicated to the stakeholders involved in them."

With regard to the question of whether the WOGP relationship to the UNDP country offices is yielding mutually satisfactory benefits, especially with regard to implementing the work plans of the delivery mechanisms, the review team finds the effectiveness of the support and coordination provided by UNDP country offices mixed and it appears to be highly dependent on individual situations. But they remain an important cog in the WOGP wheel, especially insofar as in-country presence, knowledge, networks and coordination (e.g. via UNDAF and facilitating linkages to other members of the UN family) are concerned. Inasmuch as GoAL WaSH and WGF seem to be a preferred provider of water and sanitation governance knowledge, UNDP country offices might be sensitised to the fact that Cap-Net, a fellow member of the UN family, could be the first port of call when it comes to water-related training and capacity building. (See the answers to questions 1 and 2 in 'Annex 1: Responses to Questions posed in the ToR', for a more detailed discussion on the topic of UNDP country office interactions).

A notable programmatic achievement of WOGP, specifically of its former Senior Water Advisor, is the highly active role in UN-Water including leadership of the task force advocating for a water related sustainable development goal and targets. These efforts culminated in the full acceptance of the proposal for SDG6 and indicators. The Senior Water Advisor position has to now focus on delivery and play a strategically important role in assisting countries in planning and implementation to achieve the SDG agenda.

To sum up, the UNDP WOGP concept with its different delivery mechanisms offers a unique opportunity for implementing complementary, mutually reinforcing intervention packages in support of water governance; but is a potential yet to be fully realised.

The review team's assessment is that UNDP WOGP is effective but with unfulfilled potential, in general, and requiring improvements in progress tracking and benchmarking accomplishments, in particular.

3.3. Efficiency

OECD/DAC's defines efficiency as "a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results."

Staff costs at the two delivery mechanism hubs located at SIWI and at Cap-Net have not seen huge escalations over the past two years of the strategy period. But the recent reductions in funding have meant that the size and momentum of programmatic activity have had to slow down on account of the reduced programmable budgets.

There is no formal mechanism for promoting substantive collaboration and ensuring internal coherence among the different WOGP delivery mechanisms. Current efforts appear to be ad-hoc and dependent on personal initiatives. The joint result reporting to Sida is indeed an attempt in this direction, albeit with room for improvement. Participating in each other's meetings does help information sharing and mutual awareness-raising. UNDP WOGP management would also have to weigh the pros and cons (including costs, real and transactional) of instituting any formal coordinating/governance mechanism. But the bottom line is that evidence of internal coherence and synergy would need to be showcased, not only as a marketing tool to the outside world, but also to improve the programme's own understanding of how best its constituent parts can function together and add value through cross-fertilisation on innovations and more systematic sharing of experience.

The challenges of reporting and monitoring using different results frameworks within the same programme have already been pointed out when discussing the individual delivery mechanisms in the previous chapter "Findings". So suffice it to say here that, while appreciating the efforts deployed to map results and fashion the reporting to suit the requirements of UNDP, WOGP and SIWI (WGF being also an integral part of SIWI and responsible for its water governance theme), the UNDP WOGP management, in the review team's view, would need to reflect on improving coordination, result-based management and reporting to facilitate tracking of progress and of the level of result achievement. The UNDP Senior Water Advisor appears to be well-positioned to assume responsibility for this overall coordinating function, internally, while also helping to raise UNDP WOGP's profile, externally.

The place of Sida funds within the overall WOGP funding basket needs to be better articulated to improve the understanding from a donor perspective about how and where their investment fits in the overall funding 'big picture'. In parallel, the concept of the 'vertical funds' (to which many WOGP donors anyway contribute through other mechanisms) might also be better explained in simple language and perhaps with graphical visualisation, on the lines of the document "*Revised Budget 2016-17 for the Sida Contribution to the UNDP Water and Ocean Governance Programme (WOGP)*" shared with the review team. The review team acknowledges and encourages the very recently launched initiative towards developing a visual/diagrammatic conceptualisation of the WOGP organisational arrangement.

Another area requiring more clarity is the added value/benefit derived by WOGP and its delivery mechanisms in return for the 8% General Management Support (GMS) fee paid to UNDP²⁷. There is certainly some UNDP staff contribution to WOGP plus major advantages such as access to UNDP country office resources, country level coordination and facilitation of synergies with vertical funds and with other members of the UN family. But all this needs to be more explicitly spelt out. This will help WOGP underscore the value of its UNDP relationship and also help in communicating the benefits of the UNDP-WOGP construct to the outside world.

Partnerships form the bedrock upon which UNDP WOGP and its delivery mechanisms design and implement projects. Partnerships are entered into with government agencies, NGOs, international organisations, UNDP country offices and the private sector. In addition, Cap-Net can call upon the members of its nearly 30 partner networks.

With awareness and assessment of the pros and cons of working with particular partners and a 'due diligence' being performed before entering into agreements, this is usually a cost-effective mode of operation. UNDP and SIWI have the convening and mobilising capacity to leverage the requisite skills and expertise. National agencies and UNDP country office are already present in-country and possess the necessary local knowledge, networks and language competency.

On the other hand, there are some real resource challenges, human and material, in many of the locations where WOGP chooses to intervene, like scarce skills, staff turnover and funding delays. The issue of human resource and capacity gaps is particularly acute in post-conflict countries; for example, hardly any GoAL WaSH Liberia project activities took place in 2015 due to the resignation of the project coordinator. This situation was compounded by the Ebola crisis that ravaged the country at that time, further hampering the implementation of activities in the field and complicating the task of finding a replacement coordinator. Notwithstanding the reality of capacity challenges faced by a country emerging from a long civil conflict, it is hoped that GoAL WaSH was able to critically analyse and plan (to the extent possible) to deal with such situations and draw lessons for the future about operating in such fragile situations. One fact that emerges is that implementing projects in such challenging contexts could entail higher operating costs in terms of human resources and capacities.

Sometimes it is difficult to forge stable partnerships with state agencies in a fluid institutional setup with frequent reshuffling and reconfiguration of government ministries and departments. UNDP Country Offices may not always be informed about (or interested in) WOGP activities because water governance may not be on everyone's radar. In which event WOGP would be compelled to seek another partner, or go elsewhere.

WOGP partners have been quite adept at leveraging additional funds and in-kind support to supplement their WOGP budgets. GoAL WaSH is also assisting local partners in the preparation of bankable follow-on projects, leveraging resources from a variety of new funding streams like the technical assistance of IFIs. Cap-Net partner networks are anyway required to mobilise at least 50%

²⁷ Note that Cap-Net pays an additional 7% to UNOPS as project management fees. WGF also pays overhead costs to SIWI as part of the cost of staff time. (Contractually permitted to the level of 6% of grant)

of the cost of training programmes that are co-funded by the Cap-Net global secretariat. Some networks are also able to secure additional in-kind support for their day to day functioning by virtue of their generous hosting arrangements. Hosting at a university or research institution appears to be particularly cost-effective. There is an important pool of human and intellectual capital readily available. The host institution often absorbs overheads and makes in-kind contributions, notably staff time.

There does not appear to be a formal platform for exchange and sharing of knowledge and experiences among Cap-Net partner networks apart from the annual network managers' meeting and email. Several network managers expressed interest in such peer to peer knowledge transfer, mostly with a view to avoid 'reinventing the wheel'²⁸. It would be useful for Cap-Net global secretariat to assess whether there is a real need and usefulness for a forum over and beyond current mechanisms (costs and benefits) and then act on the basis of the outcome of this assessment.

Further, the evidence in regard to uptake and transfer is not extensive; the results of Cap-Net's MELP exercise are a step in this direction (N.B. the reported improvement in the levels of participation in Cap-Net MELP might be an indication of interest and perhaps, uptake). There is need for systematic collection of information such as impact stories, going forward. Deploying a multi-pronged outreach strategy, including various active (e.g. MELP, participation at WaterNet annual symposium) and passive (e.g. website visits and hits, document downloads) approaches is essential.

The Review Team finds that UNDP WOGP is efficient, but with improvements possible in overall programme coordination, in relationships with UNDP country offices and in horizontal, inter-network collaboration within Cap-Net.

3.4. Impact

According to OECD/DAC, "impact refers to the positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."

Making this assessment is a challenge. Firstly, WOGP products, focusing mainly on governance and capacity development, are mostly 'soft' and less tangible compared to those generated by traditional infrastructure-oriented development projects. So, at least initially, WOGP has been difficult to sell, especially at local level. But perceptions are gradually changing and there is more awareness and acceptance that addressing issues related to water governance policy and practice and capacity strengthening are essential ingredients to achieve sustainable water development. The more 'upstream' nature of WOGP interventions also makes direct attribution of outcomes and impacts more difficult.

²⁸ A typical issue that could be dealt with in such a forum is the question raised by one Cap-Net network manager about organising activities at local community level, where there is a need and demand for certain types of training. Such courses would ideally be conducted in the local language by resource people from the local community to maximise the potential for comprehension and uptake. But many local organisations find it difficult to mobilise the 50% co-funding component. So it would be helpful to know if such a problem had been successfully resolved elsewhere among Cap-Net partners.

The typical two to three year duration of WOGP projects is rather limited for the realisation and capture of impacts within the life of the project. Furthermore, the impacts of WOGP projects, being governance oriented, are mainly indirect in nature and consequently, difficult to assess. However, qualitative evidence and testimonials from stakeholder interviewees demonstrate that WOGP projects do influence water policy and governance and these are indeed reflected when reporting results. Quantitative assessment of outcomes and impacts is not realistic in the absence of relevant data.

The review team acknowledges the efforts already underway to capture and communicate outcome and impact and encourage the continuation of such efforts more widely. For example, the Cap-Net annual reports feature outcome stories from training programme alumni while the WOGP and WGF annual reports highlight selected outcomes realised by GoAL WaSH and SWP. Additionally, Cap-Net requires visitors to its website to register and provide certain information before downloading any material such as the purpose for which the material is intended and how the person found out about the material; this is considered as an effective means of capturing the extent of use of its training materials and potential impact. The findings based on analysis of the data thereby captured are included in the annual reports for wider sharing.

The review team has been informed of WOGP's intention to carry out systematic studies that take a retrospective look at previous interventions with the objective of identifying and documenting impacts. One example of this is the forthcoming WGF report no. 6²⁹. The review team understands that further follow-up studies have had to be suspended due to budget cuts.

Meanwhile, an impact file log could be created, either within each delivery mechanism or across all of WOGP, to systematically document impact stories as and when they emerge. The review team is also cognisant of the fact that several other factors need to be in place to bring about real change, such as an enabling institutional environment.

The Review Team finds that UNDP WOGP has contributed to the realisation of impacts in water governance and capacity development, and supports the continuation of the special efforts to systematically identify, document and communicate evidence of outcomes and impacts.

3.5. Sustainability

OECD/DAC defines sustainability as “the continuation of benefits from a development intervention after major development assistance has been completed. Also, “the probability of continued long term benefits”. And “the resilience to risk of the net benefit flows over time”.

Sustainability is a measure of whether the benefits of the intervention are likely to continue in the longer term after completion of all activities. Given the 2014-2017 time frame of the review, it is too early to provide a reliable assessment of sustainability at this time. Instead, the review team is offering an analysis of some internal and external determinants that affect prospects for a continued flow of benefits, post-intervention. Among the factors that can affect WOGP's ability to maintain the

²⁹ WGF Report No. 6 (2016): Capacity building related to water integrity

flow of benefits after the end of direct programme interventions are: the supporting environment, partnerships, communications and funding stability.

Supporting Environment: Supportive internal and external environments are important contributing factors to ensuring sustained benefit flows from the programme. In this respect, WOGP benefits from strong leadership support from within its two main host organisations. UNDP and SIWI have organisational systems in place to support the various programmatic and operational needs of the delivery mechanisms. The extent of external support can be gauged from the results achieved in capacity building, MDG improvements, water governance and policy reform, and shared international waters dialogue and consensus-building and the continued requests for assistance and advice.

So, the programme is favourably positioned to identify champions on the ground to help support continued adoption and application of knowledge and also troubleshoot as needed. WOGP has the distinct advantage of also being able to call upon UNDP country offices for assistance. In fact, provision of this “after care” deserves to be recognised as a legitimate activity to be included in WOGP’s Theory of Change and appropriately resourced as part of future projects.

On the other hand, the environment, both internal and external, is subject to change, leaving little room for complacency. The programme therefore has to be capable of adapting to changes in the environment. Strategies and tactics might require modification in order to meet altered expectations. Flexibility and adaptive capacity are critical in determining the programme’s continued relevance and ultimate sustainability.

Partnerships: The WOGP construct is very much built upon partnerships, connecting the programme and delivery mechanisms to beneficiaries and other stakeholders. These partners, especially if genuinely committed to ensuring the success of project and programme activities, could also make key contributions to sustaining benefits. The results of the Cap-Net experience, obtaining improved response rates when using its national partner networks to conduct MELP surveys, testify to the benefits of close engagement with on-ground partners. Another example of forging partnerships to improve prospects for sustainability is that of encouraging strategic substantive internal collaboration among delivery mechanisms, calling upon UNDP country offices and other national partners as appropriate. Obviously, appropriate resources have to be found for all such initiatives.

Communications: From the point of view of maximising the probability of continued long term benefits, the overarching aim of the communication strategies of WOGP and its delivery mechanisms is to secure and maintain public awareness around results. The value of the programme has to be demonstrated; evidence has to be provided of the successes and the benefits derived from the programme. Effectively articulating the programme construct to partners and other stakeholders, including the linkages among the delivery mechanisms to the overall WOGP, could result in a better appreciation among them of the larger context that the delivery mechanisms operate in as well as the broader goals to which they subscribe.

The review team has addressed the question of financial sustainability from two angles:

1. The sustainability of the overall UNDP WOGP construct in the context of the imminent end of the current phase of Sida funding
2. The sustainability of the delivery mechanisms independent of the UNDP WOGP umbrella

Aspects such as the sources, nature, flexibility and diversity of funding are considered.

Sustainability of the overall UNDP WOGP construct: The Sida-UNDP agreement covering funding support to WOGP ends in 2017. The current UNDP, Sida, SIWI and Cap-Net strategic plans also draw to a close in 2017. UNDP has initiated dialogue with Sida about a fresh phase of funding; UNDP and SIWI will collaborate in proposal development. Ideally, the proposal would be aligned with the future UNDP, Sida, SIWI and Cap-Net strategic plans. Although it is too early to speculate about their respective priorities and focus areas, it is very likely that the SDGs will figure prominently in these strategies. Therefore, given the global consensus around them, the SDGs (mainly SDG 6 – Water and sanitation for all, and SDG 14 – Sustainable use of oceans and marine resources) offer a robust framework against which any new WOGP proposal can be constructed³⁰. In addition, water cuts across several development domains and is thus a topic relevant to several other SDGs as well, thereby offering greater flexibility in shaping a future proposal.

Diversifying funding sources for WOGP overall, and Cap-Net in particular, is vital. Not only is the Sida funding ending in 2017 but DGIS has already terminated its support to Cap-Net³¹. In fact, the 2014 Sida appraisal of the UNDP WOGP request noted the risk of insufficient external funding as ‘high’ with a possible ‘major consequence’. This outlook is reinforced in the WGF risk matrix (table 6 in the Water Governance Facility Work Plan for 2016) where the impact of budget cuts and funding shortfalls is classified as ‘high’.

When discussing diversification of funding sources, the private sector is often cited as a potential source. It is worth remembering that, in fact, the ‘private sector’ itself is quite diverse. It is not only the multinationals (and large foundations) but could also include say, small community-based water utility operators. So it might be helpful to view the private sector not only as a donor or funding source but also as a potential beneficiary of WOGP knowledge products. Clearly, WOGP’s governance and capacity development focus has the potential to strengthen the enabling framework for action that the private sector needs and often asks for – another area of synergy with the private sector. The challenge for UNDP WOGP is to properly ‘package’ and ‘market’ their (policy, institutions, governance, capacity development) products; admittedly less easy to ‘sell’ than more tangible items like technologies and tools. However, the transfer and sharing of tried and tested WOGP practices (e.g., GoAL WaSH experience in regulations, compliance etc.) could still be of interest to some private sector entities.

The current Sida funding to UNDP WOGP is a support to WOGP’s contribution to realising the UNDP strategic plan 2014–2017. The nature of the funding is essentially ‘core’ rather than ‘restricted/earmarked’. Having a single agreement instead of separate agreements with the different

³⁰ The RT finds the pamphlets on UNDP support for SDG 6 and SDG 14 very useful and informative

³¹ However, the review team understands that DGIS is considering some earmarked support to the upcoming Cap-Tec initiative, specifically focused on using remote sensing techniques in support of water management

delivery mechanisms is no doubt advantageous from a grant administration point of view. In addition, the UNDP partnership provides considerable substantive benefits. The WOGP delivery mechanisms gain access to UNDP's extensive partner network at international, regional and country levels thereby expanding their reach and enhancing the scope for achieving meaningful results. UNDP also facilitates direct access to government partners and can facilitate linkages to other members of the UN family. UNDP's role in the vertical funds provides leverage of other WOGP inputs. Inasmuch as UNDP is transparent in regard to the 8% GMS fee that is levied on the Sida grant, it might wish to also further highlight the significant added value that this arrangement brings to WOGP among its partners.

The Sida (2014) appraisal also noted that by 2016, UNDP will have to seek additional 'unearmarked' funding to supplement Sida which was the only donor providing unearmarked funding to WOGP. It is hoped that the 2016 Annual Report will report against this requirement, as well as an assessment of the WGF risk matrix. One argument that might be made in favour of retaining unearmarked funding is that the uptake and application of governance concepts and bringing about institutional change are long-term undertakings and would hence benefit from having stable core funding support. But UNDP WOGP would also have to demonstrate more clearly the benefits and synergies of the present construct including its delivery mechanisms.

Sustainability of the delivery mechanisms: The WOGP delivery mechanisms are considered as important knowledge hubs for water governance. However, the WOGP brand is less well known compared to the individual delivery mechanisms. Practically all stakeholders are familiar with UNDP. They are also obviously familiar with the particular delivery mechanism they interact most closely with and may know of perhaps another, by association. But the fact that the delivery mechanisms are all part of a single UNDP WOGP family is known to very few of them.

This may be due to the fact that the individual delivery mechanisms pre-date the advent of the WOGP umbrella. They could conceivably continue to exist outside the WOGP umbrella, provided they are able to attract independent funding. Most of them have been able to in the past (and even the present phase). Cap-Net has already drafted a fundraising strategy for the 5 year period 2016-2020 that notably discusses various strategic and operational scenarios in relation to different levels of funding.

On the other hand, over 80% of WOGP funding is from sources other than Sida (see footnote 11). So, theoretically and from a purely funding standpoint, it would appear that WOGP might also be able to exist without these particular delivery mechanisms. But obviously not in its current substantive shape; losing one of its vital arms would render it less meaningful. WGF, GoAL WaSH, SWP and Cap-Net offer a solid substantive backbone to the current WOGP construct and make highly strategic and valuable contributions to achieving the UNDP strategy, especially in regard to its water governance and capacity building components. And more fundamentally, to the WatSan MDGs and now SDGs 6.1, 6.2, 6.4, 6.5, 6a³²; WGF, GoAL-WaSH and Cap-Net were, and are, well- positioned to make key contributions.

³² 6.1: By 2030, achieve universal and equitable access to safe and affordable drinking water for all

So, this is perhaps a good time to take stock of the UNDP WOGP construct. To seek dispassionate answers to strategic questions like what is its added value in a crowded playing field? Is water (and oceans) governance really relevant to UNDP's (new) strategy? Are there other modes of partnership and operation to deliver on the UNDP strategy? What is it that the delivery mechanisms bring to the UNDP table? Have the values added resulting from the synergies and coherence between the delivery mechanisms been sufficiently identified and communicated?

UNDP WOGP is arguably the only UN (and perhaps external entity that addresses integrated water resources and ocean matters under a single umbrella; this is becoming increasingly vital in the now wide recognition of the need to acknowledge the close inter-linkages between freshwater and coastal zones/ oceans and to use 'source to sea'/ 'ridge to reef' approaches in linking freshwater and coastal management and addressing related sanitation issues. At a more operational level, the several positive benefits that the UNDP affiliation brings are already highlighted. The need to find ways and means for the delivery mechanisms to strengthen/ take better advantage of the potential of the UNDP country offices to implement their activities has also been flagged.

It is relevant here to also briefly address the prospects for sustaining the Cap-Net partner networks. Now is also a good time for them to be preparing themselves for functioning in a post Cap-Net era. Their annual planning is demand-driven but appears to be ad-hoc and not guided by any overall strategy. Many partner networks have no strategic plan. So, if they are really serious about wanting to become self-sustaining entities, a good point of departure for them would be to start developing summary strategic plans³³. Such a strategy might then offer some direction to their planning. Ideally, their annual work plan should reflect the vision and objectives of the strategic plan. The existence of a strategic plan might also encourage a donor to consider engaging in a more long-term relationship rather than the present ad-hoc short-term funding.

The Cap-Net global secretariat could assist its partner networks in such endeavours by running network leadership workshops, providing strategic support such as on how to operate and sustain networks, and offer opportunities for participation in joint activities (with Cap-Net secretariat as well as with fellow networks). In any event, providing strategic support to its partner networks on how to become self-sustaining is consistent with the recommendation of the 2014 Joint donor Review that Cap-Net move in the direction of helping to build institutions.

6.2: By 2030, achieve access to adequate and equitable sanitation and hygiene for all, and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations

6.4: By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity

6.5: By 2030, implement integrated water resources management at all levels, including through trans-boundary cooperation as appropriate

6a: By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies

³³ In fact, the Cap-Net internal peer review of 2013 also recommended that the networks prepare long-term strategic plans, emphasising that such plans would also be useful when seeking funding from donors

Some partner networks and initiatives are already self-sustaining such as WaterNet and its regional IWRM master's degree programme. Some others, such as NBCBN, are actively working towards attaining self-sustainability. On the contrary, it must also be recognised that some of the Cap-Net partner networks are weak³⁴. They should probably not continue to be 'fed' by Cap-Net. Cap-Net insists that partner networks have to clearly demonstrate active engagement in partnerships, activities and networking in order to be 'fed'. Cap-Net has established a working group to assess whether or not dormant or weak networks qualify for core support or seed money. Networks that have received core support but have not fulfilled their engagements in terms of implementation of activities or securing matching or alternative funding, will normally not qualify for core support the following year. At the same time, there is recognition that certain weaker networks would nevertheless require continued support if they are located in poorly resourced regions. Accepting that networks are a 'nice to have' rather than a 'need to have', the weaker ones should be ultimately allowed to fall away by a process of natural selection.

Given the effectiveness and efficiency of WOGP and its continued relevance in meeting the ongoing development challenges (e.g., SDGs, Paris Agreement), the review team finds that UNDP WOGP is worth sustaining but that it should make the effort to communicate (and take advantage of) the clear values added through internal coherence and synergies among its constituent parts.

4. Recommendations

Preamble: These recommendations are intended to provide some strategic direction and pointers that may be taken up for further in-depth consideration during the respective strategic planning exercises of WOGP, its delivery mechanisms and SIWI. The recommendations are also explicitly crafted with a view to providing guidance and support to the identification of (a) strategic priority areas of collaboration for WOGP to further promote and improve water governance, and (b) strategic partnerships for solidifying the funding base of the programme.

The recommendations are grouped around three clusters: (a) Planning, (b) Reporting, and (c) Partnerships. Every recommendation is preceded by a short paragraph summarising the underlying reasoning. The recommendation itself is written as a short action statement, followed by a series of sub-recommendations that 'unbundle' and provide further detail of what the recommendation entails.

4.1. Planning

1. **Rationale:** The different delivery mechanisms produce annual work plans and budgets separately. An overarching, consolidated annual work plan for the entire WOGP is absent and overall strategic planning and prioritisation could be strengthened, considering known and targeted funding levels.

³⁴ It is worthwhile recalling one of the conclusions of the 2013 Internal Peer Review of Cap-Net affiliated networks that "performance of networks varies greatly, from very efficient and effective capacity development organisations to weak ones which conducted very few activities"

Recommendation #1: Adopt a coherent, aggregated business plan approach to the annual WOGP planning cycle:

- a) Work toward a more unified Theory of Change (TOC) and results framework for all UNDP-WOGP delivery mechanisms that would serve as a common dashboard for monitoring progress towards achievement of WOGP declared objectives and targets.
- b) Identify the relevant assumptions and impact drivers for the TOC, which could also contribute to progress monitoring, and include a description of how the programme will exert influence.
- c) Prepare an aggregated annual business plan for WOGP as a whole, including substantive as well as financial content; the business plan could feature scenarios related to known and targeted funding levels and reflect relevant strategic priorities.
- d) Clearly articulate the objectives, outcome and output targets, activities, and indicators with means of verification in terms of the agreed results framework.

2. **Rationale:** The current phase of Sida funding to UNDP-WOGP ends in 2017. Funding for the period beyond 2017 has to be secured. Previous reviews have highlighted the need for UNDP-WOGP to diversify its sources of funding. Attracting support from other funding sources will testify to wider interest in, and appreciation of, WOGP's work and would encourage Sida to renew its own support. The Senior Water Advisor, assisted by the heads of the delivery mechanisms, would be expected to lead these resource mobilisation efforts.

Recommendation #2: Develop and implement strategies for diversifying the funding base and mobilising new funding:

- a) Emphasise the programme's 'selling points', notably the track-record of innovation and knowledge generated by its partner institutions, together with evidence of impact, documented outcomes, synergies and comparative advantages.
- b) Build on the success of WOGP and its partners to attract co-financing and leverage funding, including mobilising in-kind support from a wide range of partner institutions.
- c) Recognise the diversity of the private sector – view it as both a potential funder and a consumer of WOGP knowledge products.

3. **Rationale:** UNDP WOGP and its delivery mechanisms take pride in the fact that their work is demand-driven. While there are a lot of positive things to be said about being demand-driven, there is also a risk of WOGP spreading itself too thinly and even not being able to deliver on its mandate if its activities are not aligned with the strategy and results framework. Innovative initiatives such as the Cap-Net Virtual Campus and Cap-Tec are expanding the reach of WOGP capacity development and merit encouragement. While the Virtual Campus is already being implemented and showing promising initial results, Cap-Tec is still a proposal aimed at capacity development in the use of new technologies for improved water management and productivity.

Recommendation #3: Continue to adopt a demand-driven outlook in selecting and prioritising activities and strategic partners while simultaneously maintaining focus and alignment as defined by the strategy and results framework:

- a) Ensure that selected activities are clearly pegged against the deliverables in the results framework and not chosen purely in response to pressure from interested stakeholders.
- b) Strike a judicious balance between institutional learning and individual learning when considering options for capacity development.

- c) Retain governance, policy advice and capacity development as the main entry points as they are likely to be relevant in contributing towards achieving the (new) UNDP strategic objectives.
- d) Exercise care in the choice of Cap-Tec topics and techniques, the guiding principles being that they should respond to a clear need and be the strategic ones most likely to facilitate and support real transformational change.

4. Rationale: As already stated, the SDGs (mainly SDG 6 – Water and sanitation for all, and SDG 14 – Sustainable use of oceans and marine resources) offer a robust framework around which any new WOGP proposal could be developed. Water is also increasingly seen as a broad enabler of development that creates (inter-sectoral) linkages among most of the 17 SDGs and the evolving global development initiatives. In order for WOGP to continue to be relevant, it would have to periodically review the evidence base and proactively adapt to new science and changes in the internal and external environment.

Recommendation #4: WOGP should consider the following subject areas in planning for the future, particularly relevant to a development agenda likely to be dominated by the SDGs and the Paris Agreement, while upholding its core competencies and comparative strengths in water governance, policy advice, capacity development and conflict resolution:

- a) The water-energy-food security nexus, establishing synergies with the SIWI theme on the same subject. WOGP activities could not only complement SIWI's work but also act as a vehicle for delivering already available knowledge and tools³⁵.
- b) Meeting the water and sanitation challenges of the rural-urban continuum (and not a 'divide' as sometimes portrayed), accompanying the trend of increasing urbanisation. Inverting the tendency to treat rural-urban needs and issues as being in opposition and instead viewing them through a more positive lens as elements of an interlinked supply chain offers a useful point of departure. The recently adopted Habitat III New Urban Agenda³⁶ may also provide appropriate entry points, particularly for continued GoAL WaSH activity.
- c) Expanding the scope of the water governance entry point to include improving the resilience of communities to adapt to climate change, complementing other UNDP climate change adaptation efforts. It should be noted that the implementation of the Paris Agreement which came into force on 4 November 2016 is expected to make available considerable resources to support both adaptation and mitigation efforts on the ground.
- d) Water, migration and disaster mitigation: In line with UNDP poverty alleviation strategies for "empowered lives and resilient nations," solving the water and sanitation crisis among the poorest in a sustainable manner would bring huge humanitarian and economic benefits, and could spur the next leap forward in poverty reduction and human

³⁵ It may be relevant to also consider expanding this theme to encompass the ecosystem perspective (i.e., the water-energy-food-ecosystem nexus) on the grounds that this is better aligned with the social/ economic/ environmental dimensions of the SDGs and because WGF, in addition to SIWI's work, is supporting an 'Action Platform on Source-to-Sea Management' to generate, share knowledge and implement activities aimed at enhancing coordination between upstream and downstream management priorities.

³⁶ Among the New Urban Agenda Commitments are i) to provide basic services for all citizens including access to safe drinking water and sanitation; ii) promote measures that support cleaner cities.

development³⁷. Poverty alleviation and water management are also prominent goals in the 2030 Agenda for Sustainable Development, which sets the tone of the future operational environment for much of international development cooperation and fulfilling the SDGs.

4.2. Reporting

5. **Rationale:** The individual delivery mechanisms do not employ the same reporting frameworks. On the other hand, the annual reporting to Sida is done according to the WOGP results framework. As a result, assessing the actual performance of a given delivery mechanism with respect to a particular objective in the WOGP results framework is not evident; this would require drilling down into the details of the relevant annual report. Moreover, monitoring of *overall* progress of the programme, particularly important from the donor perspective, is also not easy.

Recommendation #5: Improve results reporting and progress monitoring:

- a) Adopt consistent results frameworks across delivery mechanisms as well as in the overall WOGP programme to facilitate reporting and progress tracking.
 - b) Include an overview table that gives the annual targets, targets for the entire phase, annual results and cumulative results in the annual progress reports to Sida and other future donors.
 - c) Track progress comparing this overview table to the consolidated WOGP work plan.
 - d) UNDP-WOGP should engage in dialogue with the prospective donor(s) to agree on reporting requirements and formats, including financial reporting directly related to the donor's contribution.
6. **Rationale:** Within a complex programme setup such as UNDP WOGP with its several delivery mechanisms (and multiple donors, partners and clients), it is of paramount importance to ensure institutional memory and mutual learning *throughout the programme* and, ultimately, improved quality and operational application of outputs and products. Information exchange happens to a certain extent through the annual meetings. But learning and sharing mechanisms do not appear to be institutionalised.

Recommendation #6: Institutionalise internal learning and knowledge management within WOGP:

- a) Set up a platform for programme-wide information and knowledge sharing to ensure capture and dissemination of the learning emerging from the activities of the delivery mechanisms for the benefit of the entire WOGP family and its users and beneficiaries.
 - b) Incorporate, or link with, any already existing system of internal communication for document sharing and information exchange within individual delivery mechanisms.
7. **Rationale:** WOGP is a complex programme and busy decision makers in ministries, line agencies and donor organisations would benefit from a quick overview of the WOGP construct and the

³⁷ It is noted that UNDP is already active and successful in this area but the bulk of the work falls under the Climate Change and Disaster Risk Reduction clusters of UNDP's BPPS (WOGP falls under the Sustainable Development cluster)

value added by the delivery mechanisms individually and jointly. This would be helpful both as a communication and marketing tool to the outside world as well as to improve the programme's own understanding of how its constituent parts function to mutually reinforce one another. WOGP reports provide little evidence of systematic cross-fertilisation among delivery mechanisms.

Recommendation #7: Clearly articulate the internal coherence within WOGP and the value added through synergies among its delivery mechanisms:

- a) Develop, at a minimum, a visual/diagrammatic conceptualisation of who is doing what and how it all ties together to achieve the UNDP strategy and support the SDGs
- b) Showcase evidence of internal coherence and synergy to 'communicate' the benefits of the WOGP construct, especially among prospective donors.

8. **Rationale:** Not many stakeholders were aware of the fact that 'their' individual delivery mechanism was part of a cluster of like initiatives under the UNDP WOGP umbrella. As a programme whose raison d'être is to make a substantial and substantive contribution to the UNDP strategic plan, WOGP and its delivery mechanisms may add value by bringing this 'bigger picture' objective and outlook more to the fore in their interactions with partners and stakeholders. Furthermore, there is increasing emphasis, especially on the part of donors, to demonstrate results -- in addition to numbers, qualitative information is also considered acceptable to serve this purpose; showcasing the WOGP connection can only help its visibility.

Recommendation #8: Capture and communicate impact stories and enhance the visibility and comparative strengths and advantages of WOGP:

- a) Create mechanisms such as an impact file and related web-based platforms to systematically log and disseminate impact stories, either within each delivery mechanism or across the WOGP family to supplement ongoing efforts to document transformational change and impact, and effectively communicate these results in a targeted manner to key audiences.
- b) Raise and address strategic questions about the added value of the UNDP WOGP construct, particularly the mutual synergies arising from its partnership and operational modalities.
- c) Reflect on WOGP's relevance vis-à-vis the future UNDP strategy.

4.3. Partnerships

9. **Rationale:** The potential for mutually beneficial collaborative work between delivery mechanisms remains under-utilised. Joint activities could lead to products of common interest. For example, the results of a GoAL WaSH activity could inform the development of Cap-Net training material on the topic.

Recommendation #9: Actively promote strategic alliances and joint ventures within WOGP:

- a) Encourage strategic substantive collaboration (as opposed to ad-hoc efforts) between delivery mechanisms.
- b) Actively seek ways of sharing resources, exploiting synergies, economies of scale, and enhancing scope for uptake and impact.

- c) Co-opt UNDP country offices, Cap-Net partner networks and other national partners as appropriate.

10. Rationale: The WOGP delivery mechanisms are not capitalising fully on the unique resources and advantages offered by their UNDP ‘parentage’ such as access to governments, local knowledge and contacts, country level coordination through UNDP offices, linkages to members of the UN family, linkages to “vertical funds” etc. More importantly, this enhances possibilities to work in areas badly in need of technical assistance and where not many donors are active like, for example, the fragile and post conflict states that GoAL WaSH pays special attention to. Even though UNDP country offices might sometimes have other preoccupations, or not have special interest nor skills in a particular activity, their long-term in-country commitment puts them in a favourable position to assure follow-up and contribute to sustaining impact. At the same time, it must be recognised that the success of such efforts is predicated on the continued promotion of country and regional UNDP ownership of the WOGP from within UNDP.

Recommendation #10: Continue to strengthen collaboration with UNDP country offices to enhance delivery and sustainability of WOGP outputs and outcomes:

- a) Draw on UNDP’s on-site presence, local knowledge and contact network, its credibility with national governments and agencies, its considerable convening power and its reputation for neutrality and impartial advice without conditionalities to shorten the time taken for project preparation and planning and to facilitate project implementation.
- b) Seek the assistance of UNDP country offices to undertake (or supervise) the documentation of outcomes and impacts after the end of direct WOGP intervention, calling upon their long-term in-country commitment and proximity to WOGP stakeholders and beneficiaries.
- c) Develop suitable methods to assist UNDP offices to engage and maintain contact with WOGP stakeholders and beneficiaries post-project as a means of sustaining the capacity, personal relations and trust built up over the course of the WOGP activity.

Annexes

Annex 1: Responses to questions posed in the ToR

1. How can UNDP country offices and partners be best supported by these WOGP delivery mechanisms in their WASH and water governance programmes?

GoAL WaSH projects are implemented through the respective UNDP country offices, with the local GW project manager either attached to, or operating through, this office. However, based on the sample of interviews with GoAL WaSH stakeholders, it appears that UNDP country office involvement is largely in the realms of administrative and financial monitoring. This is perhaps a reflection of the various other preoccupations and priorities they have.

The review team (RT) understands that UNDP country offices are generally not expected to possess in-house expertise in WASH and water governance. This provides additional reasons for supporting them, particularly with expertise housed within the WOGP delivery mechanisms and SIWI and through the Cap-Net databases of water experts. In fact a couple of interviewees expressed the wish for a greater degree of technical support, including site visits, especially as the UNDP personnel are actually present in-country. On the other hand, the GoAL WaSH focal points and project coordinators seem to be benefitting by way of enhanced knowledge and exposure to the wider WGF knowledge base and actors. But as they are not regular UNDP staff, the extent of internalisation within the UNDP country offices is difficult to judge.

Partnering with UNDP country offices offers several advantages. UNDP enjoys credibility with national governments and agencies, has considerable convening power and a reputation for providing impartial advice. Furthermore, UNDAF is important at country level and UNDP also facilitates links with other members of the UN family and with interventions supported by the vertical funds, not least GEF and now with the SDG's, UNDP's role is likely to increase.

The WOGP delivery mechanisms could therefore seek stronger engagement with the UNDP country offices. For instance, Cap-Net and its partner networks (especially in cases where an in-country network does exist) could look for ways to involve the country offices in their training programmes. A recommendation has also been formulated to examine the feasibility of securing UNDP Country Office assistance for monitoring WOGP outcomes and impacts, post-project.

2. What is the demand from UNDP country offices and partner organizations for WOGP services through Cap-Net, WGF and GoAL WaSH?

At the outset, the RT wishes to point out that the answers to this question, as well as the previous one concerning the role of UNDP country offices, are based on RT Skype discussions with a sample of WOGP partners that included UNDP-contracted GoAL WaSH project coordinators.

The RT understands that government requests for WASH-type assistance are often channelled through the UNDP country office. GoAL WaSH programmes are designed in partnership with national agencies as a stand-alone project (the usual case) or as part of a larger UNDP-Govt

programme (e.g., in Liberia). The GoAL WaSH programme in a given country is implemented by UNDP and the relevant national and local-level agencies. The RT encountered several examples of UNDP-based requests for WOGP services, notably GoAL WaSH, as well as requests from non-UNDP partners.

Solicitations for WGF assistance in 2014 include requests from UNDP country offices, among others, such as for the review of the draft UNDAF for Madagascar and provision of technical support to development of a GEF proposal in Liberia. In 2015, WGF responded to a variety of different requests from UNDP headquarters, regional centres and country offices, including Costa Rica, Panama and Guinea Bissau.

The RT has also been informed that WOGP supports UNDP Executive Office with briefings, speeches, technical advice for all UNDP senior management engagements pertaining to water and oceans.

It is worthwhile noting that “Limited capacity or interest among UNDP country offices to work on water governance (subject-related, implementation of projects)” forms part of the WGF Risk Analysis Matrix. The matrix lists countermeasures such as “Engage with UNDP regional offices. Careful country selection and facilitate contacts to promote UNDP country offices buy in. Clearly communicate expectations, requirements and available support resources at start of project. Regularly coordinate activities and provide extra support from programme manager.” The RT is not aware if any follow up action has been taken in this regard.

It is added that inasmuch as WOGP is expecting to sharpen its focus on how best to elicit and communicate its comparative advantages in the marketing effort vis-à-vis Sida and other/new donors, similar improved communication of key ‘selling points’ would also assist in marketing the programme to UNDP country offices.

3. How is the programme responding to new demands and opportunities to promote water governance?

Arguably the greatest value of WOGP and its delivery mechanisms is their ability to draw on a storehouse of governance-related knowledge, skills, experience and lessons learnt from diverse contexts which in turn help to fast-track the application and uptake of governance practices in new situations. So, the programme is very favourably situated to respond to new demands and opportunities in regard to water governance. For instance, Cap-Net and its partner networks have conducted training programmes, both pro-actively and in response to demands, on emerging topics such as water and climate change, water policy reform, human rights-based approaches and other ‘soft’ subjects that complement the ‘hard’ engineering aspects favoured by many Masters level programmes offered by local universities.

Some Cap-Net partner networks (e.g., WaterNet, NBCNB) align their activities with the relevant regional or basin-wide strategic action plans corresponding to their geographical locations. As already discussed, GoAL WaSH projects are invariably a direct response to national efforts to address priority issues in their WASH sectors. SWP interventions are a testimony to their proven track record in troubleshooting transboundary waters. Going forward, WOGP will have

demonstrate proactiveness and call upon all these attributes and resources in responding to the SDGs.

4. How effective is Cap-Net's network approach for building local capacity development capacities, developing relevant training materials and delivery of capacity development services?

Cap-Net's decentralised network mode of operation, working through national and regional partners, appears to be an effective approach with each party bringing something substantive to the table. There is, first of all, shared interest in the subject of capacity development. National and regional partner networks are familiar with the local terrain and the role players; they are close to the ground and are sensitive to on-ground needs and trends. The Cap-Net global secretariat provides technical backstopping, training materials and international exposure as well as limited funding. But most partner networks are not financially autonomous; WaterNet in Southern Africa is a notable exception. Many networks are also dependent on Cap-Net for core funding support. But there is obligation on the part of partner networks to co-fund activities. To their credit, partner networks have been successful in leveraging these resources, the UNDP Cap-Net label no doubt contributing positively to this effort. So, while this is a fairly low-risk arrangement for the global secretariat from the financial standpoint as 'empty' networks will probably die a natural death, this structure might be a 'hard sell' to prospective donors. As has been already pointed out, there is scope for improved inter-network cooperation.

5. How accessible and utilised is the information (publications, training materials and web-sites) generated by the WOGP, Cap-Net, WGF and GoAL WaSH?

Communication of information relating to WOGP's WGF-affiliated delivery mechanisms is primarily done through the WGF website, namely www.watergovernance.org and by way of quarterly updates which are distributed as a newsletter by email and also posted to the website. The number of hits and downloads would be expected to give an indication of the intensity of use.

Cap-Net has its own website (www.cap-net.org) where it posts all its own material. Some material is also uploaded to Cap-Net partner network websites, in addition to the partners' own material (N.B. some partner websites are dormant, some inactive, others out of date). Now, with the recent launching of an online training via the Virtual Campus and the likely advent of Cap-Tec, there also exist platforms for online learning and for using new technologies in support of water management.

Distribution of materials also occurs during workshops and training programmes, sometimes modified (or translated) to suit specific national and regional contexts and requirements. Material is frequently distributed on flash disks at such events, marking a move away from printed hard copies.

Some data on the extent of use and impact of WOGP results and products is available, notably via Cap-Net's MELP exercise. But systematic collection of information related to impact stories is a big need going forward.

6. How relevant are the subject matters handled in the programme's knowledge management and capacity development efforts?

Being a largely demand-driven programme, usually responding to requests from partners and governments, its subject matter is generally pertinent. For example:

- GoAL WaSH projects carry out institutional assessments and gap analyses at local level, provide guidelines to improve knowledge and understanding about WASH and pilot-test innovative management practices in collaboration with relevant local-level role players.
- In Cap-Net, the selection of projects and training programmes is done on the basis of calls for proposals circulated among all Cap-Net partners.
- WaterNet training programmes are aligned with the SADC Regional Strategic Action Plan on Integrated Water Resources Development and Management.

The programme needs to be prepared for an increased demand for local level activities, including training, in line with decentralisation and deconcentration governance trends. This would give rise to requirements such as local language competence among resource people, translation of materials etc.

For the future, there should be careful assessment of the 'market' for new tools and technologies (e.g., RS-GIS) before launching new initiatives, the underlying principle being that substantive interest and content rather than new gadgetry should be the main drivers. The SDGs and the Paris Agreement and other major international developments (e.g. the New Urban Agenda adopted by Habitat III in Quito) provide a dynamic context in which WOGP is well placed to respond, adjusting its services and products to demands as they develop.

7. How do the results and products of the programme take into consideration the priorities and cross-cutting issues relating to poverty, gender, inter-culturality, human rights, integrity and climate?

The above cross-cutting issues are all fundamental considerations at the heart of UNDP's 2014-2017 Strategic Plan. They are usually factored in to the design of WOGP projects. Work on these issues has led (or will lead) to the production of several relevant products, mainly by WGF and Cap-Net, such as:

- WGF Report No.1 (2012): Human rights-based approaches and managing water resources - Exploring the potential for enhancing development outcomes
- WGF Report No.2 (2013): Mutual rights and shared responsibilities in water services management - Enhancing the user-provider relation
- WGF Report No.4 (2014): Gender practice in water governance programmes - From design to results
- WGF Report No. 6 (2016): Capacity building related to water integrity
- WGF Report No.7 (2016): Gender and water integrity
- Cap-Net (draft) Human rights-based approach to integrated water resources management
- Cap-Net, GWA (2014). Why gender matters in IWRM: A tutorial for water managers
- Cap-Net (n.d.) Conflict resolution and negotiation skills for integrated water resources management

8. What can be said about the programme's outputs in terms of quantity, quality and timeliness?

The issues of quantity and quality of WOGP outputs and the improvements possible in the results reporting frameworks have been extensively addressed in the main text, notably in the Findings and Conclusions chapters, in the sections dealing specifically with WOGP and its Effectiveness. The RT would like to add that WOGP being a very complex and multi-faceted programme would need to guard against spreading itself too thinly, consequently affecting its capacity to deliver, with regard to quantity, quality and timeliness.

A final word about timeliness – the programme could benefit from a reduction in the turnaround time for publications in some cases. There have been lengthy production times for some manuals (3-4 years) that raised concern within WOGP management and some partners. The time factor is key in today's dynamic context characterised by constant change and rapid innovation.

9. What can be said about the cost efficiency of WOGP and the subject delivery mechanisms?

Please refer to the discussion on Efficiency in chapter 3.3 of the main body of the report.

10. How could the WOGP, Cap-Net, WGF and GoAL WaSH be directed, organized or restructured to improve efficiency?

Some suggestions:

- More structured interaction between and among the WOGP delivery mechanisms – as discussed elsewhere, the current informal and slightly ad-hoc attendance of each others' meetings does give some cross-fertilisation, but needs to be more structured
- Initiate actions to get Cap Net designated as the preferred water management and water governance capacity development service provider to UNDP and its country offices
- In future GoAL WaSH programmes, consider including provision for assistance to national agencies to develop bankable infrastructure projects, building upon GoAL WaSH project results
- Promote greater cooperation between Cap-Net regional networks and the relevant national partner networks. E.g. avoid situations where the regional network runs country-level activities where a national partner network is in existence without the involvement of the latter; encourage regional networks to solicit inputs from country-level networks to its work planning process (and vice versa)

11. How is the programme doing in terms of partnerships development and alignment with other agencies and organisations?

An assessment of the partnerships with UNDP and its country offices and Cap-Net partner networks has been discussed elsewhere. In terms of alignment with other agencies and organisations, a SWOT-type approach to better understand and articulate WOGP's comparative strengths and also areas where value could be added by partnering with others would be a good starting point. A more visual representation of what WOGP is and how the different delivery mechanisms interact and complement each other's work, while all working towards the common goal of realising the UNDP Strategy may also be developed. The SDGs and the Paris Agreement have brought new dynamism and new resources. For example, the Green Climate Fund and other new funding mechanisms where WOGP as a governance programme could help

improve framework conditions and capacities that in turn could facilitate the development of more bankable projects that could tap into these new funding opportunities.

12. To what degree has the Sida funding to WOGP been leveraged through other programmes?

As Cap-Net global secretariat does not provide its partner networks with more than 50% of the funding needed to cover their training activities, the partner networks are obliged to raise the remaining requirements. The partner networks also manage to leverage additional funds from a variety of sources as well as to attract in-kind contributions. It is necessary to better capture, quantify and record these results. GoAL WaSH has begun to do this – see Annex 2. Two key examples are the funding raised from URA (for Liberia) and OFID (for El Salvador). Moreover, the programme’s synergy with the UNDP-WOGP vertical funds reflect a strong leverage power of Sida core funding.

13. How is the programme contributing to (Sida and) UNDP overall objectives and specific endeavours, as well as the MDG/SDGs, to promote good water governance?

The programme and its delivery mechanisms are well aligned with Sida and UNDP objectives. Improving water governance is also a core UNDP concern. For example, GoAL WaSH explicitly intervened in some countries to boost achievement of the MDGs with water governance as the main entry point. We expect that the next phases of work will be targeted to achieving the SDGs, while also satisfying the needs and priorities of national governments and other stakeholders.

Annex 2: GoAL WaSH: Examples of contributions to leveraging of funding and influencing implementation of other projects



Version: 21 October 2016

Table A. Contribution to the leveraging of funding from other sources: Has the GoAL WaSH program in your country triggered other investments in the sector?

Country	Name of project/program/plan	Budget (USD)	Describe how GoAL WASH triggered this investment
Tajikistan	Tajikistan Water Supply and Sanitation (TajWSS) – to be funded by the Swiss, Phase III (December 2017 – November 2020)	3,000,000	Lessons learned and outcomes from GoAL WaSH are forming part of next phase of TajWSS project which is to focus on exit strategy for policy dialogue and coordination. The new phase will partly build on GoAL WaSH results to support overall management of WSS systems in rural Tajikistan.
	Tajikistan drinking water supply and sanitation sector improving social accountability project (TWISA) – funded by the World Bank, implemented by Oxfam GB	~ 800,000	New approaches focusing on empowering consumer groups, HRBA driven good governance mechanisms, triggered funding by the World Bank of a project that builds, scales up and replicates approaches launched by GoAL WaSH.
Kyrgyzstan	World Bank – “Third Rural Water Supply and Sanitation” Project	28,000,000	The National Coordination Commission for WSS and the new rural statistic reporting – both supported by GoAL WaSH – improved confidence in the sector and provided evidence base for investments.
	Asia Development Bank – “Road Map” for reforming the sector of drinking water supply and sanitation.	750,000	The Road Map was developed with support of the Coordination Commission (which was set up with support of GoAL WaSH).
	UNDP-Coca Cola – “Improving access to drinking water and hygiene and sanitation practices in rural Kyrgyzstan”	123,600	Communities that had received capacity development by GoAL WaSH identified needs for rehabilitation of local WaSH infrastructure. 2,770 people (1,360 women; 1,410 men) benefit from sustainable access to safe water.
	UNDP-Coca Cola – “Improving to drinking water in rural	93,710	Communities that had received capacity development by GoAL

	communities Karabak Aiyl Aimak in Batken Province” project		WaSH identified needs for rehabilitation of local WaSH infrastructure. They also received co-financing from the Local Self Government. 16,720 inhabitants of 7 villages (Karabak, Chet Kyzyl, Kyzyl Bel, Dostuk, Zardaly, Dobo, Bai Karabak) of which 8,220 are women and 3,900 are children now benefit from sustainable access to safe water.
Cambodia	Community Based WATSAN intervention of Urban Basic Services Branch/ United Nations Human Settlements Programme (UN-Habitat)	5,000	As part of the WaSH Governance Guidelines piloting, UNHABITAT has provided funding to expand the water pipe system, community awareness raising and capacity building of a specific village.
Jordan	Mainstreaming Rio Convention Provisions into National Sectoral Policies in Jordan	1,046,000	The Drought Strategy, which is being developed with support of Goal WASH, led to mobilization of 150,000 USD to develop a pilot projects on drought management at Municipal Level. The Ministry of Water and Irrigation recognized the importance of drought management in the drinking water sector and took the decision to establish and set up a drought management unit within its organisation structure to will incur the annual running cost from its domestic budget. The running cost is roughly estimated with 30,000 USD/Year
	Badia Restoration Program	1,000,000	The Badia Restoration Program recognized the importance of Drought as major driver in the socio-ecological system of the Badia region in Jordan which occupies approximately 80 % of the country area, accordingly, the Badia program mobilized 1,000,000 USD and is currently in communication with UNDP to allocate this fund to operationalize the drought strategy through the implementation of several socio-economic initiatives in the Badia region that lessen the impact of drought.

Paraguay	Government of Paraguay with support of the World Bank – “Modernisation of the Water Supply and Sanitation Sector”	15,000	Six technical units for water supply and sanitation was set up in the Chaco region with support of the GoAL WaSH programme. This was followed by nine more units being set up by the Government under this project.
	Government of Paraguay (Ministry of Health and Social Welfare) – “Microproyectos demostrativos en Fuerte Olimpo y Carmelo Peralta-Alto Paraguay” Servicio Nacional de Saneamiento- Ministerio de Salud Pública y Bienestar Social- En coordinación con la Dirección de Asuntos Comunitarios y Sociales-DASOC y la Mesa Intersectorial de Agua y Saneamiento-MIAS-Chaco.	68,000	GoAL WaSH has supported from our side with technical assistance, as well as intercultural and gender approaches, in the implementation of micro-projects to rehabilitate water supply and sanitation systems in four communities in the Chaco region.
	Government of Togo –Programme d’Urgence pour le Développement Communautaire (PUDC): Volet réhabilitation des Mini AEP	23,415,700 (1,4 milliards de FCFA)	The study of Mini-AEP (drinking water supply systems in semi-urban areas), funded by GoAL WaSH, provided a diagnosis on the status of these systems and proposed a strategy to improve them. The study facilitated the investment by the Government in this area.
Total (USD):		58,317,010	



Version: 21 October 2016

Table B. Influencing other projects: Are GoAL WaSH learnings and outputs (studies, guidelines, methodologies etc.) being used in other projects/programmes in the country? If yes, please give the name and the budget of that project/programme, and how the learnings/outputs are used, inserting the information in the following table:

Country	Name of project/program/plan and main Funder	Budget of the influenced project (USD)	Describe how GoAL WASH is influencing this project
Tajikistan	Tajikistan Water Supply and Sanitation (TajWSS) – Swiss funded project (SDC) Phase II December 2013 – November 2017	5,000,000	Approaches promoted by GoAL WaSH focusing on empowering consumer groups, HRBA driven good governance mechanisms, and targeted strategies in implementing full-cost recovery

			tariff schemes, ensured funding by the SDC of a project that builds and complements the approaches launched by GoAL WaSH.
	Rural Water Supply and Sanitation Project (RWSS) – Swiss funded project (SDC), implemented by the International Secretariat to Water (ISW)	5,000,000	Methodology for tariff setting for rural and urban water supply operators and the hand-book on consumer rights protection are expected to be used by the RWSS project.
	Japan International Cooperation Agency (JICA) – targeted in Pyanj district, bordering with Afghanistan.	10,000,000	Methodology for tariff setting for rural and urban water supply operators and the hand-book on consumer rights protection are expected to be used in this project.
BiH	UNDP – Municipal economic and environmental governance (MEG)	12,000,000	<p>The tariff setting methodology developed by GoAL WASH, will be promptly tested in two water utility companies within municipalities included into MEG project. MEG project covers in total 18 municipalities. The methodology, with eventual minor revisions, will be applied in all of them.</p> <p>MEG will, if being successful in the first phase, be extended to two more phases lasting four and three years, what will probably bring more water utilities into the project.</p>
Cambodia	UN-Habitat – Human Rights contribution of Housing Unit, Housing and Slum Upgrading Branch/United Nations Human Settlements Programme	30,000	The WASH governance guidelines is an input to this UN-Habitat project. Human Rights Based approaches will also be included in the Guidelines.
Laos	UN-Habitat – Mekong Region Water and Sanitation Initiative (MEK-WATSAN)	1,480,000	The first phase of Goal WASH in Laos focused on developing capacities of water utilities through building a database on design of new infrastructures. Also the strategy document developed under Goal WASH provides increased focus on emerging towns.

Kyrgyzstan	UNICEF – “Improving Access to Water Supply, Sanitation and Hygiene in Schools”	750,000	Training material developed by the GoAL WaSH used for capacitate staff in at least 50 schools.
	UNDP – RF TF “Integrated development of Osh Province”	3,500,000	Information and training materials developed by GoAL WaSH will be used for capacity building in 30 villages of the Osh Province.
	UNDP “Osh Area-Base Development Programme”	350,000	Information and training materials developed by GoAL WaSH will be used for capacity building in 12 municipalities of the Osh Province.
	UNDP “Batken Area-Base Development Programme”	100,000	Information and training materials developed by GoAL WaSH will be used for capacity building in four municipalities of the Batken Province.
Paraguay	A collaboration between United Nations Human Rights Office of the High Commissioner, FAO, UNICEF, OPS, PMA, UNFPA and UNWOMAN – “Dialogues with indigenous women of the three departments of the Chaco region in Paraguay”	19,167	GoAL WaSH contributed with financial and technical assistance for this dialogue initiative with indigenous women and youth in Chaco.
	UNDP – “Strengthening Human Security in four districts of Chaco”	429,537 (tentative)	GoAL WaSH and this program did planning and coordination of activities in an integrated manner. Inputs by GoAL WASH were used in the project to be replied in more communities (methodologies, etc..)
Niger	UNICEF	50,000 (tentative)	As part of the development of the National Guidelines for Sanitation in Niger", UNICEF will fund the Community Lead Total Sanitation (CLTS) component of the Guidelines.
Total (USD)		38,708,704	



Version: 21 October 2016

Table C. Other synergies, indirect impact or leverage produced by GoAL WaSH

Country	Name of project/program/institution	Budget	Description
Kyrgyzstan	The National WaSH Strategy (until 2026)	130,6 million	Mechanisms set up by GoAL WaSH was used during the development of the National WaSH Strategy: <ul style="list-style-type: none"> - Public hearings of the draft Strategy with civil society and representatives from pilot communities. - Review of the Strategy by the National Coordination Commission, including relevant Government officials.
Tajikistan	Inter-Ministerial Group on Drinking Water Supply and Sanitation (IMCG)	n.a.	The products and outcomes of GoAL WaSH project have been shared, presented and discussed at the meetings of the Inter-Ministerial Working Group on Drinking Water Supply and Sanitation. The group is designed to lead the policy work and improve coordination amongst development organizations and government agencies at national and grass-roots levels. The GoAL WaSH products have been well perceived by all participants in coordination and policy meetings. It is possible that other implementing agencies have been inspired to use the GoAL WaSH products in different parts of Tajikistan.
Togo	World Bank – Program of priority investments and priority actions to strengthen the institutional reform of the urban water sector.	272,625,000 (163 milliards de FCFA)	Following the GoAL WaSH capacity development of government officials on sector wide approaches to water and sanitation (e.g. through exchange visit to Burkina Faso), as well as techniques for mobilization of resources, the Government managed to make a plea to the World Bank who agreed to provide funding to the sector, particularly in urban areas. The Bank is now willing to mobilize

			technical partners to implement the action plan 2016-2020.
BiH	World Bank	TBD	The World Bank is developing a new project “Providing TA to institutional reform in WSS sector in Bosnia and Herzegovina”. Proposed activities are closely linked with Danube Water Program which secured different assistance for service improvements including benchmarking, strengthening of utility capacities, etc. The Bank will also take a more active role in the on-going projects led by UNDP, including GoAL WaSH, on the design of a suitable regulatory and accountability framework.
Paraguay	Ministry of Public Works and Communication (MoPWC) – Paraguay joining the regional information system for rural water and sanitation (Sistema de Información Rural de Agua y Saneamiento-SIASAR)	n.a.	GoAL WaSH provided technical assistance to the MoPW in order to enable Paraguay to join SIASAR. SIASAR questionnaires were prepared, adapted to the Paraguay context, as well as a roadmap for implementation. The technical water and sanitation units, partly supported by GoAL WaSH, will be the focal points for the implementation of SIASAR in Paraguay.
Jordan	Ministry of Water and Irrigation	n.a.	The process of developing a Drought strategy, supported by GoAL WaSH, has considerably improved the level of coordination among the concerned institutions. It also triggered a comprehensive revision of the relevant legal framework and the capacity needs assessment.

Annex 3: Terms of Reference

Terms of Reference (as per Annex 1 in the contract)

External Review of Sida's support to UNDP Water and Ocean Governance Programme (WOGP)

"Meeting the needs of people today, without compromising those of future generations, requires governance to rise to new levels of effectiveness and develop new capacities for integrated policy-making around a clear vision for sustainable development."

Helen Clark, UNDP Administrator

1. Background

The Strategic Plan (2014-2017) of the [United Nations Development Programme \(UNDP\)](#) emphasizes the critical links between environmental sustainability and efforts to eradicate poverty, reduce inequalities, and strengthen resilience. The point of departure for UNDP's efforts to achieve equitable and sustainable development is poor people's conditions, needs, interests and capacities. UNDP works to achieve good governance in the water and ocean sectors by promoting a conducive enabling environment within which water and ocean resources are managed equitably and sustainably.

The [Water and Ocean Governance Programme \(WOGP\)](#) of the UNDP is a global programme within the Bureau for Policy & Programme Support (BPPS). The WOGP, assists countries to improve water and ocean governance, build capacities, and mainstream effective water and ocean resources management, and water supply and sanitation policy at local, national, regional and global levels. UNDP implements the WOGP through strategic partnerships with key organisations and initiatives, including global networks (e.g. UN-Water and the Global Water Partnership) and its specific mechanisms for programme delivery (see below). The portfolio of [UNDP-GEF International Waters](#), funded through the Global Environment Facility (GEF), encompasses the largest share of WOGP activities. Yet, the partnership with the [Swedish International Development Cooperation Agency \(Sida\)](#) has been instrumental for the development and institutionalizing of the WOGP in UNDP and beyond over the past 1½ decade.

The Sida support has enabled UNDP-WOGP to strengthen its assistance to countries through:

- The [UNDP Water Governance Facility \(WGF\) at SIWI](#) which is a resource pool and technical assistance facility established in cooperation with the [Stockholm International Water Institute \(SIWI\)](#). WGF develops water governance knowledge and manages programmes on behalf of UNDP.
- The national-level support mechanism for [Governance, Advocacy and Leadership in Water, Sanitation and Hygiene \(GoAL WaSH\)](#) to enhance the performance of the drinking water and sanitation sectors. More effective, equitable and sustainable service delivery is enabled through the support of governance reform, sector leadership and capacity development.
- [Cap-Net](#), UNDP's global network for capacity development towards sustainable water management. It is made up of a partnership of autonomous international, regional and national institutions and networks committed to capacity development in the water sector.

The present Sida support to WOGP and the three related delivery mechanisms mentioned above has been agreed for the 2014-2017 period. Additional support and collaborations have previously been leveraged by partnering with the private sector (e.g. The Coca-Cola Company's support to [Every Drop Matters](#)), multilateral funding (e.g. the Millennium Development Goals Achievement Fund's support to [knowledge management](#) and [interculturality](#)) and the Dutch Ministry of Foreign Affairs

(supporting e.g. Cap-Net). Important ongoing joint efforts with other UN Agencies includes the [Accountability-for-Sustainability](#) collaboration with UNICEF.

Within the framework of improving water governance, the WOGP works within the thematic areas of:

- Integrated Water Resource Management (IWRM),
- Transboundary Waters, and
- Water Supply and Sanitation.

In this work, a range of ‘cross-cutting’ issues are being addressed:

- Poverty eradication
- Capacity Development
- Knowledge Management
- Climate Change Adaptation
- Integrity & Anti-corruption
- Gender Equality
- Human Rights Based Approaches, and more recently
- Indigenous Peoples.

In line with UNDP poverty alleviation strategies for “empowered lives and resilient nations,” solving the water and sanitation crisis among the poorest in a sustainable manner would bring huge humanitarian and economic benefits, and could spur the next leap forward in poverty reduction and human development. Poverty alleviation and water management are also prominent goals in the 2030 Agenda for Sustainable Development, which sets the tone of the future operational environment for much of international development cooperation and fulfilling the Sustainable Development Goals (SDGs).

2. Objectives and Scope of Work

This external review is jointly commissioned by UNDP and Sida, and will provide a basis for a dialogue on Sida’s future possible support to the WOGP. The review should provide guidance and support to the identification of:

- a. strategic priority areas of collaboration for WOGP to further promote and improve water governance
- b. strategic partnerships for solidifying the funding base of the programme

The review is to assess the outcome to-date and provide strategic direction for the future with regard to Sida’s support to WOGP by:

1. Reviewing the outcomes of the WOGP programme, particularly as implemented through Cap-Net, WGF, and GoAL WaSH³⁸, related to the stated objectives and the expected results.³⁹
2. Assessing the relevance, appropriateness, efficiency, effectiveness and sustainability of results of the WOGP, particularly as produced through its delivery mechanisms of Cap-Net, WGF, and GoAL WaSH.
3. Highlighting particularly strong areas that would merit from additional emphasis and support, along with weaker areas that would merit from rethinking or phasing out.
4. Suggesting ways forward to develop the WOGP, Cap-Net, WGF and GoAL WaSH in the new SDG era, and beyond the present (2014-2017) WOGP strategy period.

³⁸ The Shared Waters Partnership (SWP) was subsequently added to the list of delivery mechanisms to review (cf. email from Andrew Hudson of 27 July 2016)

³⁹ Particularly as related to the Water and Ocean Governance Programme Contribution to Realizing the UNDP Strategic Plan 2014-2017.

A set of more specific questions to be considered in the review include:

- How can UNDP country offices and partners be best supported by these WOGP delivery mechanisms in their WASH and water governance programmes?
- What is the demand from UNDP country offices and partner organizations for WOGP services through Cap-Net, WGF and GoAL WaSH?
- How is the programme responding to new demands and opportunities to promote water governance?
- How effective is Cap-Net's network approach for building local capacity development capacities, developing relevant training materials and delivery of capacity development services?
- How accessible and utilised is the information (publications, training materials and websites) generated by the WOGP, Cap-Net, WGF and GoAL WaSH?
- How relevant are the subject matters handled in the programme's knowledge management and capacity development efforts?
- How do the results and products of the programme take into consideration the priorities and cross-cutting issues relating to poverty, gender, inter-culturality, human rights, integrity and climate?
- What can be said about the programme's outputs in terms of quantity, quality and timeliness?
- What can be said about the cost efficiency of WOGP and the subject delivery mechanisms?
- How could the WOGP, Cap-Net, WGF and GoAL WaSH be directed, organized or restructured to improve efficiency?
- How is the programme doing in terms of partnerships development and alignment with other agencies and organisations?
- To what degree has the Sida funding to WOGP been leveraged through other programmes?
- How is the programme contributing to (Sida and) UNDP overall objectives and specific endeavours, as well as the MDG/SDGs, to promote good water governance?

3. Methodology

The review comprises three main phases:

- inception and desktop literature review;
- consultations with stakeholders; and
- analysis and reporting.

A combination of methods will be used to gather data in order to triangulate information and thereby ensure their consistency. The review will be based on a combination of secondary data (e.g. programme documentation, annual work plans and reports, M&E data, and other documents) and consultations with WOGP stakeholders.

A virtual (skype) inception meeting will be held between the Consultant and key staff from UNDP HQ, Cap-Net and WGF in order to fine-tune methodology and agree on stakeholders to be consulted. The basis for discussion will be methodology as proposed by the Consultant, as described below.

Inception and desktop literature review: The team will review the available programme-relevant documentation such as proposals, agreements, results frameworks, annual work plans and reports, publications, review/evaluation reports, manuals, guidelines, web-based information and newsletters to get a good understanding of the WOGP, with particular emphasis on the WGF, Cap-Net and GoAL WaSH programme delivery mechanisms. Key issues and possible information gaps to be addressed during the interviews and consultations will be identified. In parallel, the review team will interact with the WOGP team to agree on the stakeholders to consult (both face-to-face

during WWW in Stockholm and remotely). Introductions and appointments will be secured with key stakeholders with assistance from WOGP.

Consultations with stakeholders: Consultation is particularly important as the stakeholders are the ones with the main interest in – and often responsible for – achieving the programme’s intended results, and also the ones most knowledgeable. The target group will encompass the extended 'WOGP family', including key staff/coordinators/ managers of WOGP, Cap-Net, WGF, and GoAL WaSH, donor representatives, partners and beneficiaries of the WOGP. The consultations will take different forms: face-to-face interviews with key stakeholders present at the 2016 World Water Week in Stockholm and remote dialogue (via email communications and phone/Skype conversations) with global partners elsewhere. The ToR require that the views of UNDP country offices and partners be sought. However, actual country visits are not foreseen within the scope of the assignment and the stipulated resource allocations. Considering the global geographical coverage of the WOGP and the wide range of stakeholders and partners, we propose to use email questionnaires to consult a representative sample of stakeholders, complemented, as appropriate, with Skype interviews to enable the broadest possible stakeholder consultation. The PEM team has good experience with conducting such distance interactions and interviews.

Analysis and reporting: The analysis of findings will be an iterative process throughout the review. This will enable the team to discuss and test the initial findings with stakeholders as the evaluation progresses, to ensure a) that the analysis is participatory and stakeholders assume ownership of the findings, and b) that the review team can adjust its emphasis, if needed, and ensure that the evaluation focuses on the key issues.

After the stakeholder consultation process has been completed, the results of initial analysis of the information gathered will be shared with all relevant parties for feedback and comments.

Thereafter, further analysis of the information gathered will take place to assess the WOGP achievements, notably generated through its WGF, and GoAL WaSH delivery mechanisms, against the evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability. Follow-up consultations with stakeholders over email/Skype/phone may take place to clarify specific issues as well as to test findings and recommendations.

The draft review report will be prepared and submitted to UNDP WOGP. It will notably contain the findings translated in to implementable recommendations for consideration by UNDP WOGP and Sida in discussions pertaining to future Sida support to WOGP. Comments and suggestions received on the draft will be carefully taken into account in close liaison with the client in preparing the final review report.

Time frame

Work component	Time frame
Inception and desktop literature review <ul style="list-style-type: none"> - Start-up communication with UNDP WOGP and securing documentation - Document analysis and preparations for interviews - Securing introductions and appointments with stakeholders 	15 July – 31 August
Consultations with stakeholders <ul style="list-style-type: none"> - Email/skype online interactions with stakeholders 	8 August – 2 September

- Attendance at World Water Week and face-to-face interviews	
Analysis and reporting	2 September – 30 November
- Initial analysis, sharing results and receiving feedback	
- In-depth analysis and drafting of report	
- Submission of draft report	
- Feedback received on draft report	28 October
- Report finalization	
- Submission of final report	30 November
UNDP/SIWI/Sida to approve final report	31 January 2017

4. Reporting

The Reviewer(s) will stay in close contact with UNDP-WOGP during the assignment, and report on critical findings and steps in the review, as appropriate.

Initial findings will be shared in an appropriate format, e.g. draft text or powerpoint, for discussions during September for the finalisation of the draft report.

The draft report, to be submitted in October, should have the same format as the final report, to be submitted after UNDP commentary, in November.

The report should include the following:

- Executive summary
- Project description – brief outline of WOGP, Cap-Net, WGF and GoAL WaSH set of programmes
- Findings from assessment of programmes’ achievements, relevance and effectiveness
- Conclusion (summary of insights and lessons learned)
- Recommendations for programme future and further improvement
- Annexes:
 - o Terms of reference (as agreed)
 - o Methodology (as conducted)
 - o List of persons met/interviewed
 - o List of documents consulted

The language of the report should be English.

5. Contracting

The external review is jointly commissioned by UNDP and Sida. It is jointly funded by UNDP and the Sida contribution to WOGP.

The consultant will be contracted by SIWI on behalf of the WOGP, the UNDP Water Governance Facility at SIWI, and Cap-Net UNDP.

The UNDP Water Governance Facility at SIWI will handle all financial and administrative aspect of the review assignment.

The UNDP-WOGP office in Stockholm will serve as the focal point for the Reviewer(s) for information, documents and other technical matters related to the review.

UNDP, SIWI and Sida shall approve the final report of the Reviewer(s) before final payment is made.

Annex 4: Methodology (as conducted)

The approach adopted was external and independent, aiming to provide an unbiased assessment of the use of Sida's support to UNDP WOGP. The review emphasised stakeholder participation in a spirit of mutual learning with a view to securing stakeholder ownership of the findings and recommendations and their eventual contribution to inform future programme design and implementation.

The review was based primarily on a combination of secondary data (e.g., annual work plans and reports and other relevant programme documentation) and consultations with WOGP stakeholders (via Skype and face to face during World Water Week 2016 in Stockholm). The review examined the documented outputs and outcomes and also endeavoured to identify qualitative results and impact stories.

The time and budgetary resources available to the review team did not permit visits to any project sites. Furthermore, the review is limited to the Sida-supported components of WOGP covering the period 2014-2017 and does not examine the oceans and coastal waters portfolios that are also part of the WOGP family. Finally, the scope and methodology of the review does not allow for an assessment of the sustainability of individual projects.

The review comprised three main phases:

1. inception and desktop literature review;
2. consultations with stakeholders; and
3. analysis and reporting.

Inception and desktop literature review: The review team held inception Skype discussions with the management of UNDP-WOGP and its delivery mechanisms on 13 July and 09 August 2016. Meanwhile, WOGP and its delivery mechanisms made available a substantial body of literature to the review team via a dedicated Dropbox, with supplementary documents added, or transmitted directly, from time to time. The review team analysed extensive programme-relevant documentation such as proposals, agreements, results frameworks, annual work plans, annual reports, publications, previous review and evaluation reports, manuals, guidelines, web-based information and newsletters to get a good understanding of WOGP and its programme delivery mechanisms. The review team had to necessarily be selective in its readings given the sheer volume of material put at its disposal on one hand, and the available time frame, on the other.

Consultations with stakeholders: The review team interviewed members of the extended 'WOGP Family': staff and management of WOGP and its delivery mechanisms, donor representatives, and a cross-section of partners and stakeholders. Country visits were not undertaken in light of the resources allocated for the review. Face-to-face discussions were held with those present at the World Water Week in Stockholm during end-August 2016 while others were interviewed remotely, via Skype. Stakeholders were selected for interview in consultation with WOGP programme delivery mechanism managers, striving to maintain geographical and category (e.g., UNDP focal points, key national partner, network manager) balance. The full list of interviewees is presented in Annex 5. There was a high level of responsiveness (ca. 95%) from stakeholders to requests for interviews, a

good indication of the willingness of WOGP partners to provide relevant project documentation and share their views and experiences.

Analysis and reporting: Following the stakeholder consultation process, the results of the initial analyses of the documentation and the interview information were shared with the UNDP WOGP team on 30 September 2016 in the form of a 56-slide PowerPoint presentation. Both written and verbal feedback and comments were received from the UNDP WOGP team, via email on 07 October 2016 and a Skype discussion on 14 October 2016. The review team found this intermediate reporting step particularly helpful in providing an opportunity to test, discuss and clarify the initial findings with the UNDP WOGP team and orient the preparation of the draft report.

The draft review report was prepared after further analysis and some follow-up consultations with stakeholders over email and Skype to clarify specific issues and was submitted to UNDP WOGP on 01 November 2016. Comments and suggestions on the draft were received on 15 November 2016. Supplementary documentation was also obtained. The feedback and additional information have been taken into account in preparing this final review report.

The timeline followed is shown below:

Work component	Time frame
Inception and desktop literature review <ul style="list-style-type: none"> - Start-up communication with UNDP WOGP and securing documentation - Inception Skype with UNDP, Cap-Net, WGF - Inception Skype with GoAL-WaSH - Document analysis and preparations for interviews - Securing introductions and appointments with stakeholders 	10 July – 31 August 2016 13 July 09 August
Consultations with stakeholders <ul style="list-style-type: none"> - Email and Skype interactions with stakeholders - Attendance at World Water Week and face-to-face interviews 	08 August – 02 September 2016 28 August – 01 September
Analysis and reporting <ul style="list-style-type: none"> - Initial analysis, sharing results via PPT - Receiving feedback (via email & Skype) - In-depth analysis and drafting of report - Submission of draft report - Feedback received on draft report - Report finalization - Submission of final report 	02 September – 30 November 2016 30 September 07 & 14 October 01 November 15 November 30 November
UNDP/SIWI/Sida to approve final report	31 January 2017

Annex 5: List of persons consulted

Name	Designation	Email	Date(s)
UNDP			
Dr Andrew Hudson	Head, UNDP WOGP	andrew.hudson@undp.org	13 Jul 2016 (via Skype); 01 Sep 2016 (@WWW)
Dr Marianne Kjellén	Senior Water Advisor & Former Director WGF (till end Aug '16)	marianne.kjellen@undp.org	13 Jul 2016 (via Skype); 31 Aug 2016 (@WWW)
WGF, GoAL WaSH and SWP Secretariats			
Dr Hakan Tropp	Director WGF (w.e.f. Sep 2016)	hakan.tropp@siwi.org	16 Sep 2016(via Skype)
Ms Birgitta Liss Lymer	Programme Manager WGF	birgitta.liss.lymer@siwi.org	13 Jul 2016 (via Skype)
Dr Alejandro Jimenez	Programme Manager GoAL WaSH	alejandro.jimenez@siwi.org	09 Aug 2016(via Skype)
Ms Lotten Hubendick	Programme Officer GoAL WaSH	lotten.hubendick@siwi.org	09 Aug 2016(via Skype)
Mr Kerry Schneider	Programme Manager SWP	kerry.schneider@siwi.org	31 Aug 2016 (@WWW)
GoAL WaSH Country Partners			
Mr Kumar Kylychev	Head of Department, UNDP Kyrgyzstan, Bishkek	kumar.kylychev@undp.org	23 Aug 2016(via Skype)
Mr Vladimir Grebnev	UNDP Kyrgyzstan, Focal Point GoAL WaSH, Bishkek	vladimir.grebnev@undp.org	23 Aug 2016(via Skype)
Mr Stephen Dorbor	Deputy Minister, Ministry of Lands Mines and Energy, Liberia	sbdorbor@yahoo.com	25 Aug 2016(via Skype)
Mr Momo Kamara	Project Coordinator UNDP, GoAL-WaSH Focal Point, Liberia	momo.kamara@undp.org	25 Aug 2016(via Skype)
Ms. Marie S. Gbah	Coordinator, Ministry of Lands Mines and Energy, Liberia	mtogbana@gmail.com	25 Aug 2016(via Skype)
Mr Bakhadur Khabibov	Chairman, Consumers Union of Tajikistan, Dushanbe	bakhadur@uw.edu	25 Aug 2016(via Skype)
Ms Alisa Grabus	Programme Associate, UNDP Bosnia-Herzegovina, Sarajevo	alisa.grabus@undp.org	26 Aug 2016(via Skype)
Mr Branko Vucijak	Consultant to UNDP Bosnia-Herzegovina	branko.vucijak@undp.org	26 Aug 2016(via Skype)
Mr Avi Sarkar	Regional Advisor-South-East Asia, UN-HABITAT, Laos	avi.sarkar@undp.org	26 Aug 2016(via Skype)
Mr Bawa Djatoz	Focal point for GoAL WaSH, Ministry of Water, Togo	batoz3@yahoo.fr	29 Aug 2016(via Skype)
Cap-Net			
Dr Themba Gumbo	Director	themba.gumbo@cap-net.org	13 Jul 2016 (Skype); 29, 30 Aug 2016

Name	Designation	Email	Date(s)
Cap-Net Partner Networks			
Prof Nimal Gunewardena	Country Coordinator, Cap-Net Lanka, Sri Lanka	nimalgun@pdn.ac.lk	17 Aug 2016(via Skype)
Dr Aditya Bastola	Coordinator, SaciWATERs-Cap-Net Network (SCaN) India	aditya@saciwaters.org	26 Aug 2016(via Skype)
Dr Jean-Marie Kileshye Onema	Network Manager, WaterNet, Zimbabwe	jmkileshye-onema@waternetonline.org	25 Aug 2016(via Skype)
Mr Jan Yap T.L.	Aguajaring, South East Asia Regional Network for Capacity Building in IWRM, Indonesia	jtlyap@yahoo.com.sg	05 Sep 2016(via Skype)
Mr Md Gollam Rabbani	Coordinator, Cap-Net Bangladesh	golam.rabbani72@gmail.com	01 Sep 2016(via Skype)
Dr Amel M. Azab	Manager, Nile Basin Capacity Building Network (NBCBN), Egypt	a_azab@nbcbn.net	31 Aug 2016(via Skype)
Mr Damian Indij	Cap-Net Virtual Campus Coordinator and LA-WETnet Manager	damian.indij@cap-net.org	19 Sep 2016(via Skype)
Sida			
Name	Designation	Email	Date(s)
Ms Frida Rodhe	Programme Officer, Global Economy and Environment, Sida	frida.rodhe@sida.se	31 Aug 2016 (@WWW)
Mr Mats Åberg	Senior Policy Specialist, Sida	mats.aberg@sida.se	31 Aug 2016 (@WWW)
Others			
Mr Job Kleijn	DGIS Netherlands Ministry of Foreign Affairs	job.kleijn@minbuza.nl	29 Aug 2016 (@WWW)
Ms Rose Osinde Alabaster	Program Director, Africa Region, WaterLex	r.osindealabaster@waterlex.org	31 Aug 2016 (@WWW)
Mr Gareth James Lloyd	Senior Programme Advisor UNEP-DHI Centre on Water and Environment, Denmark	gjl@dhigroup.com	22 Aug 2016(via Skype)
Dr Joakim Harlin	Head of Freshwater, UNEP (former Senior Water Advisor UNDP WOGP)	joakim.harlin@unep.org	22 Nov 2016

Annex 6: List of documents consulted

N.B. It is observed that there are numerous internally produced documents that do not carry dates of publication; it would be good practice to systematically insert dates in future documents

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