



Mid Term Review

Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS)

Final Report



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Basic Information Table

Project Title:		Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS)	
GEF Project ID:	5535	PIF Approval Date	21 March 2014 ¹
Agency Project ID:	UNDP – 4798 / UNEP - 00850	CEO Endorsement Date	30 January 2018 ²
Country:	Algeria, Benin, Burkina, Cameroon, Chad, Cote d'Ivoire, Guinea, Mali, Mauritania, Niger, Nigeria	Project Start date	31 May 2018 ³
Region:	North Africa, West Africa and Central Africa	Planned Closing date	31 May 2023
Implementing Agency	UNDP & UNEP	Revised closing date	NA
Executing Partners	Niger Basin Authority (NBA), Sahara and Sahel Observatory (OSS), United Nations Industrial Development Organization (UNIDO) and United Nations Educational, Scientific and Cultural Organization (UNESCO)	GEF Focal Area:	International Waters
Project Partners			
Project Financing		At CEO Endorsement (US\$)-Jan 2018	At Midterm Review (US\$)-July 2021
(1) GEF financing	13,425,000	13,425,000	
(2) UNDP.	13,892,418	13,892,418	
(3) UNEP	130,000	130,000	
(4) Governments ()	446,945,977	446,945,977	
(5) Other partners (NBA, OSS, UNIDO, UNESCO)	610,482,050	610,482,050	
(6) Total Co-Fin	1,071,450,445	1,071,450,445	
Project Total Costs	1,084,875,445	1,084,875,445	
Evaluation Period	20 July – 30 September, 2021		
Evaluators	Glen Hearn & Ibrahim Madougou		

¹ PIR (2020)² CEO Letter (2018)³ PIR (2020)

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Disclaimer

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Acronyms and Abbreviations

AfDB	African Development Bank
CI	Continental Intercalaire
CT	Continental Terminal
CWM	Conjunctive Water Management
ESMP	Environmental and Social Management Plan
FCFA	Franc of the French colonies of Africa
FFEM	Fonds Français pour l'Environnement Mondial (French Global Environment Facility)
GEF	Global Environmental Facility
GIS	Geographic Information System
IAS	Iullemeden Aquifer System
INGO	International Non-Governmental Organization
IP-SDAP	Investment Plan for the Sustainable Development Action Plan
IRD	Research Institute for Development
ISARM	Internationally Shared Aquifer Resources Management (UNESCO&IAH initiative)
ITTAS	Iullemeden-Taoudeni/Tanezrouft Aquifer System
IWRM	Integrated Water Resource Management
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
NAP	National Action Plan
PANLCD	National Action Plan to Combat Desertification
NBA	Niger Basin Authority
NBO	Niger Basin Observatory
NFP	National Focal Point
NFS-NBA	National Focal Structures of the NBA
NGO	Non-Governmental organization
NIA	National Implementing Agency
NRC	Niger River Commission
NRM	Natural Resource Management
NTT	National Technical Team
OSS	Sahara and Sahel Observatory
PCT	Project Coordination Team
POPs	Persistent Organic Pollutants
PRSP	Poverty Reduction Strategy Paper
RAG	Regional Advisory Group
RCU/NRNB	Regional Coordination of users of Natural resources in the Niger River Basin
SAP	Strategic Action Program
SDAP	Sustainable Development Action Plan
SLM	Sustainable Land Management
TDA	Transboundary Diagnostic Analysis
TEST	Transfer of Environmentally Sound Technology
ToR	Terms of Reference
TPR	Terminal Tripartite Review
TTAS	Taoudeni/Tanezrouft Aquifer System
UEMOA	West African Economic and Monetary Union
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
UNDP-CO	United Nations Development Programme – Country Office
UNDP-RCU	United Nations Development Programme – Regional Coordination Unit
WB	World Bank

1 Executive Summary

1.1 Project Information Table

Table 1 Project Information for GEF NB-ITTAS

Project Title:	Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS)		
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Evaluation Period	20 July – 30 September, 2021		
Evaluators	Glen Hearn &. Ibrahim Madougou		

⁴ PIR (2020)

⁵ CEO Letter (2018)

⁶ PIR (2020)

1.2 Project Description

The “Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (NB-ITTAS)” is a GEF funded project, implemented by the UNDP and UNEP and executed through the NBA, OSS, UNIDO and UNESCO. This project supports governance and knowledge management for ecosystem-based management for conjunctive and integrated water management within the Niger Basin and ITTAS.

It optimizes use of i) existing knowledge of the surface water systems, improved understanding of groundwater systems (to be achieved under this project) and of the linkages and connections between the ITTAS and the Niger Basin systems, and ii) as a result promotes a governance system focusing on ecosystem based conjunctive management of groundwater and surface water resources. The establishment of an efficient governance system of the transboundary water resource is supported by the strengthening of existing institutions, primarily the NBA, but also the OSS as international organization; and regulations to govern the management of groundwater and surface water on local, national and regional levels.

This GEF project focuses “to improve knowledge-based management, governance and resource conservation of the Niger River Basin and the Iullemeden-Taoudéni/Tanezrouft Aquifers (ITTAS), and to support IWRM for the benefit of communities and the resilience of ecosystems”.

The project will progress towards this objective through the achievement of five outcomes over four components:

Component 1	1.1 IWRM supported by a sound understanding of ground water resources and their linkages with surface water systems
Component 2	2.1 Niger Basin Users Associations and National NGOs engaged in basin resources management and conservation for better control of flood/drought/pollution, reduction of pressure on land, forest and biodiversity while improving living conditions of households
Component 3	3.1 Introduce systematic and integrated approach of industrial competitiveness and environmental/social responsibility to reduce wastewater discharges and pollution loads in the Niger River; and, 3.2 Industrial Competitiveness and Environmental /Social Responsibility for reduced wastewater discharges reinforces by legal and policy frameworks.
Component 4	4.1 National Policies and Institutions, civil society platforms, support Niger River ecosystem based management

1.3 Summary of Project Progress

The project was set to commence in May 2018; however, progress has been hampered by considerable delays due to i) administrative difficulties in hiring the first project coordinator (March 2019); ii) replacement of the project coordinator in 2021; iii) late hiring of the Task Leader for Component 2 (March 2020) and the monitoring and evaluation, GIS and IWRM specialists (April and May, 2021); iv) late integration of UNESCO (2020); v) delays in disbursement of funds from NBA for pilot projects; and, vi) the delays associated with COVID-19 that undermined planned meetings, workshops and field studies. As such the overall project has experienced some 12-15 months delays.

Despite these shortcomings, the project has achieved some significant advances (Table 2). The project has achieved its modelling goals of the Taoudéni/Tanezrouft aquifer systems and interaction with surface water, and advanced the understanding of regional water resources flow pattern both in terms of surface water and groundwater. It has initiated pilot projects in Niger the results of which will provide examples for other pilot projects around the basin. It has developed relations with industry; is poised to roll out the TEST approach for pollution mitigation; is advancing guidelines on pollution discharge levels; and, has developed governance options for ecosystem-based conjunctive management of groundwater and surface water resources.

1.4 MTR Ratings & Achievement Summary Table

Table 2: MTR Ratings & Achievement Summary Table for GEF NB-ITTAS

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	<p>The NB-ITTAS project is an innovative collaboration between the project partners created from two separate projects. It is the first GEF project which addresses the conjunctive management of groundwater and surface water resources, and as such has both regional and global significance. The project builds upon the success of previous GEF work and is supported through the Niger Basin Water Charter; MOU on the integrated and concerted management of the Iullemeden, Taoudeni/Tanezrouft Aquifer Systems; MOU on the concerted management of the Iullemeden Aquifer System. As such, the projects support regional and national objectives as well as contributing towards SGD 6 goals. The project also aligns well with the UN partner agendas, and helps strengthen the roles of the NBA and OSS as regional organizations.</p> <p>The theory of change underlying the project is sound, and the four components and five outcomes are well developed to address the key challenges of limited knowledge or water resources; low institutional capacity; and poor management of natural resources, and helps address the challenge of lack of sustainable financing through the application of the TEST approach to incentivize industry to mitigate pollution discharges, and proved financial community level in pilot projects for replication and adaptation.</p>
Project Objective To improve knowledge-based management, governance and resource conservation of the Niger River Basin and the Iullemeden-Taoudéni/Tanezrouft Aquifers (ITTAS), to support IWRM for the	MS	<p>The project has experienced significant delays in starting and challenged due to COVID-19. Despite this, the project has advanced the knowledge and understanding of water resources in the region and the interaction between surface and groundwater. Aquifer models have been developed, national level TDA assessments completed, and a regional TDA is close to completion. Pilot projects have been initiated to engage user associations in resource management and conservation in the Niger River and ITTAS transboundary groundwater resources; however, they are delayed in the other basin countries. Focus is being given to address this and the project has recently hired</p>

benefit of communities and the resilience of ecosystems		specialists to advance project delivery. Progress has been made on identifying hotspots, engaging industry in the region, conducting training and the TEST approach is ready for delivery. Draft regional discharge guidelines have been developed and a Draft Governance Mechanism covering surface water and groundwater will be discussed at an upcoming workshop. By 30 June 2021 the Project had disbursed 20% of the GEF grant. If the project can be extended by 18 months to compensate for the initial delays then it is highly likely to achieve its intended outcomes.
Outcome 1.1 - IWRM supported by a sound understanding of ground water resources and their linkages with surface water systems.	S	Information has been collected, the ITTAS aquifer system has been modelled and calibrated, 26 national and regional scientific experts have been recruited, national level assessments have been mostly completed, and the regional TDA is 80% complete. A conjunctive water resource model has been developed, software has been installed, and three training sessions have been delivered on (1) TDA/SAP process, (2) Database-GIS and (3) Groundwater Modelling. SAP formulation will be partially informed through implementation of the pilot sites (Output 2.1.4), which have not yet been initiated..
Outcome 2.1 - Niger Basin Users Associations and National NGOs engaged in basin resources management and conservation for better control of flood/drought/pollution, reduction of pressure on land, forest and biodiversity while improving living conditions of households	MU	This component has been affected by the late hiring of the task leader in March 2020 and the change of Project Manager in 2021. These factors have been further complicated by COVID-19. As a result, pilot projects have only been initiated in Niger. However, significant progress has been made in the last few months and pilot projects have been prepared for Cameroon, Nigeria and Chad and their execution is expected to be initiated before the end of 2021. Projects have been identified for Benin and Burkina Faso; and sites are being determined for Mali and Guinea. Sites for Côte d'Ivoire are being identified. In Niger, the hippopotamus wetland project in Ayourou is complete, the woodland is 50% complete, the invasive plant project in Koudjé is complete, and the associated community garden project is poised to start. So far 131 women have been involved in pilot projects and are being empowered for managing resources, although no training for outreach workers has yet been conducted. The significant advances in the last three months suggest that the component would be able to achieve its objectives given an extension on the project. Actions in the Pilot demonstrations are planned to be implemented (Output 2.1.4) for SAP formulation. However, the identification and implementation of the pilot projects are delayed and will require focus in the latter half of the project if they are to be completed with sufficient time to inform SAP formulation
Outcome 3.1 Introduce systematic and integrated approach	S	Despite being initially impacted by COVID-19, significant progress has been made in terms of identifying 426 industries throughout the region where the TEST approach could be tested.

of industrial competitiveness and environmental/social responsibility to reduce wastewater discharges and pollution loads in the Niger River		Discussions are currently being held with 19 companies, and 7 have signed agreements in place. A hot spot pollution report was prepared, training components developed and delivered to industry, and a brochure produced. Eight national workshops were conducted for pollution discharge standards. The pilot projects should be implemented soon to provide sufficient monitoring time to inform policy directives in 3.2.
Outcome 3.2 - Industrial Competitiveness and Environmental Social Responsibility for reduced wastewater discharges reinforced by legal and policy frameworks	S	This component depends upon outputs related to other outcomes and has experienced some delays due to the postponement of validation workshops. Nevertheless, studies have been conducted on pollution hotspots for the entire basin, and draft discharge guidelines have been produced which will be presented at an upcoming workshop. Polluter pays policies are being promoted throughout the basin and there is a strong likelihood of their adoption both by the NBA and basin countries. The bulk of the activities involve monitoring pilot projects with industry and are scheduled for the latter half of the project. However, these need to be implemented soon to provide sufficient time to inform policy directive in this outcome.
Output 4.1 - National Policies and Institutions, Civil Society Platforms support Niger River Ecosystem based management	MS	The development of sustainable governance mechanisms suffered administrative delays at the onset of the project. Nevertheless, a paper of options and governance mechanisms has been developed and will be delivered at a validation workshop, following training on Transboundary Groundwater Governance, National and Transboundary water law and conjunctive management. Cooperative platforms are being developed for ecosystem management between Nigeria and Cameroon, and between Niger, Benin and Burkina Faso. Academic research institutions are being involved in certain pilot projects. There's no project website and there has not been any media releases, or experience notes submitted to IW:LEARN. Promotion of the project can be improved. A gender strategy has been developed and is being implemented.
Project Implementation & Adaptive Management	HS	The management of the project has gone through challenges related to the complex nature of dealing with two implementing agencies and four executing partners. The project has had to adapt to significant challenges including the COVID-19 pandemic. The project has used the steering committee to its advantage and has implemented the majority of its recommendations, including the establishment of inter-agency meetings, and hiring additional support staff. The project has promoted COVID-19/insecurity proofing mechanisms including travel and meeting guidelines during the COVID-19 pandemic to ensure that future activities are not unduly hampered by external factors.

Sustainability	L	The sustainability of the project benefits are considered likely primarily due to the institutional and governance continuity through the NBA and OSS; support and interests of national governments, developing agencies, financial institutions such as the AfDB; the benefits received by local communities; and the projected incentives of industry due to efficiencies associated with pollution control. Environmental impacts and climate change are not seen to be risk as these are the factors the project seeks to address.
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1.5 Conclusions

The “Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS)” is an innovative project in the GEF portfolio, and indeed in the water resources development context globally. It has merged two separate, but complementary and geographically overlapping projects, dealing with surface water (from NBA, implementing SAP) and groundwater (from OSS, developing TDA/SAP) to develop a novel conjunctive management approach towards integrated conjunctive water resource management in the Niger Basin and ITT aquifer system. In this regard the project is helping to build capacity of the national governments and strengthen the governance capability of the NBA, thereby promoting sustainable use of transboundary water resources. The project further strengthens the OSS as an international institution for groundwater management. Moreover, the project has brought together institutional relationships between UN agencies that will undoubtedly persist beyond the life of this project providing an example of cooperative engagement on conjunctive management of water resources. The significance of this project, therefore, extends well beyond the Niger Basin and ITTAS.

The project has, unfortunately, experienced significant delays. One of the major factors being the challenge of the complex implementation arrangements and the challenges of developing and implementing a pioneering project addressing conjunctive water resources management. The PCU has responded to recommendations of the Steering Committee and hired new staff. The advances made since the hiring of the new Project Coordinator, in June 2021, show all indications that the project will prove successful providing provided enough time is allowed to catch up on the initial delays. Internal communication concerns have been addressed through the establishment of the monthly Inter-agency Meetings; however, the need for a web-site and a knowledge management platform remain a priority for outreach to national level stakeholders and focal points. The project is addressing the COVID-19 and security situation through Task Leaders developing a “COVID/insecurity Proof” strategy for conducting activities and meetings.

In summation, while the project has experienced delays and operational challenges it has, for the most part, addressed these and is now in a position to successfully complete the project, providing the initial delays can be adjusted for through an extension of the project.

1.6 Recommendations

1	The project should have an extraordinary no-cost extension of 18 months until 30 November 2024 to ensure sufficient time for the products and results to be fully realized. The reasoning for this includes: i) a delay of 12 months in starting project activities due to administrative issues and delay in hiring the Project Coordinator; ii) further 3 months administrative delay in bringing on the new project Coordinator; and, iii) ensuring sufficient time (2-3 months) to close such a complex project implemented in different countries. Based on the release of
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	funds to date (20% of the GEF grant), it is reasonable to assume that there will be sufficient funds to continue until the recommended closure date. It should additionally be recommended for any future projects that the “start-up time” be incorporated into the planning phase and that it be a minimum of 3 months in duration.
2	A continued focus on communication between stakeholders and partner agencies is needed to ensure project success. A project website and a knowledge management platform should be developed as soon as possible to provide information on events, reports, project details, contact information of partners and focal points. Consideration should be given for a designated communications officer. The Inter-Agency Meetings should continue on a regular basis (monthly or as needed). Component level coordination meetings should occur prior to the Inter-Agency meetings and include relevant Focal Points when appropriate.
3	All documents released and general communication to Focal Points in the project should be in both French and English for ease of communication between stakeholders.
4	Steering committee meetings should be held every 12 months. To avoid the delay of decisions needed by the Steering Committee, virtual meetings should be convened for specific decisions when a physical meeting is either not feasible or not warranted, or a system of email decision making based on no-objection passes. The Project Coordinator should provide the Steering Committee and stakeholders with a 2-3 page update at the time of PIR reporting in June.
5	Component 4 should be reviewed in terms of meeting activity commitments and reassessing collaboration and support between executing agencies. A revised program of activities including roles and responsibilities should be developed that considers a project extension, and be approved by the Steering Committee.
6	Project planning would benefit from a combined annual budgeting and planning for all components with the Gantt chart to facilitate understanding and decision-making of the project Steering Committee.
7	The Pilot Project Manual should be promoted to focal points, user associations, NGOs, and other stakeholders; and placed on the web-site for easy access. Key issues should be included such as developing and signing contracts between partner agencies and local communities of businesses, how to take precautions around COVID, maintaining medical equipment on the project site. The Pilot Project Manual should form part of the “lessons learned” from the NB-ITTAS project and promoted through “Experience Notes” on IW:LEARN.
8	The project needs to finalize its review and assessment of project indicators and have the changes approved of by the Steering Committee to facilitate monitoring of the project.
9	Where possible and feasible, national academic institutions and NGOs should be encouraged to be involved in the implementation of pilot projects and the collection and analysis of data. This helps develop greater cohesion between line agencies responsible for many activities and academic institutions and NGOs and promotes greater sustainability of project benefits.
10	The PCU and the executing agencies should align and streamline administrative procedures to ensure that there are no further hold up of funds for the pilot projects, in particular at the local community level. The procedure should be presented at the next Steering Committee meeting.
11	Where possible, the private sector should be collaborated with to help advance outcome 3.2
12	To ensure active participation in key internet (web-based) meetings the project should consider renting conference room space at hotels with acceptable internet connection and IT support, providing food, and explore the possibility of an honorarium for participation.

2 Introduction

The objectives of the MTR are to:

- i. Assess progress towards the achievement of the projects' objectives and outcomes as specified in the Project Document;
- ii. Assess of early signs of projects' success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results; and,
- iii. Review of the project's strategy, and the risks to sustainability.

The review covers the time period between the initiation of the Project (May 2018) and 30 August 2021, approximately 37 months of project delivery. However, due to a delay in the appointment of the Project Regional Coordinator, the inception meeting was held 20-22 May 2019⁷. Furthermore, the NBA-OSS joint decision establishing the steering committee, its mandate, attributions, composition and operation (Annex 4 of PRODOC) was taken last January 13 and 14, 2020 in Niamey. As a consequence, the project can be assumed to have started a full 12 months after anticipated. The MTR covered all activities undertaken within the framework of the project and compared planned project outputs and outcomes to actual/achieved outputs and outcomes. It determines their contribution to the attainment of Project objectives.

The MTR extracted lessons learned, diagnosed and analysed issues of concern and formulated a concrete and viable set of recommendations (no more than 12). It evaluates the effectiveness and efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency. The MTR will also determine the likely outcomes and impact of the Project in relation to the specified Project goals and objectives.

2.1 Scope & Methodology:

The approaches developed for this review have been informed by both the TOR and UNDP guidance document, and is predicated on the following principles

2.1.1 Evidence Based Information

The MTR provides information that is credible, reliable, and useful. All sources of information which were considered relevant by the Project Team⁸ and other key stakeholders, were included in the MTR. This includes, but is not limited to a desk review of:

- i) 25 documents⁹ and reports, including preparatory documents,¹⁰ monitoring and annual reports;¹¹ as well as any significant products.¹²
- ii) Websites or web-based information that is relevant to the project.¹³

⁷ See PCU (2019) Rapport de Synthèse (Inception Report) NB-ITTAS 22 May 2019.

⁸ Project Coordination Unit (PCU); Project Steering Committee; project implementation agencies UNDP, UNEP, and executing partners NBA, UNIDO, OSS and UNESCO

⁹ See Annex G

¹⁰ This includes: PIF, UNDP Initiation Plan, UNEP ESE Screening, the Project Document, project reports including, project budget revisions, GEF screening, and any other materials that the team considers useful for this evidence-based review.

¹¹ This includes: baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Indicators/Tracking Tool, Annual Project Review/PIRs, Steering committee meetings, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review – see Annex A for a list of Documents provided to date.

¹² Report on Pollution Hot Spots; TEST brochure; modelling framework.

¹³ See Annex G - there is no project website. And information that exists on partner websites is inconsistent.

The approach used a mixed methods approach¹⁴ combining qualitative and quantitative data collection simultaneously, and employing triangulation to compare information on outcomes, impacts and other key indicators from different independent sources.¹⁵ The bulk of the review will be based on quantitative data from documents and websites, but will be complimented by qualitative data from interviews to i) support quantitative results and ii) verify fill in gaps which quantitative data have not adequately covered.

2.1.2 Collaborative and Participatory Approach

The review was undertaken in a collaborative manner to support existing partnerships and enhance collaboration within the GEF NB-ITTAS project. Ultimately, for any real and meaningful change to occur within project implementation there must be sense of mutual accountability which this evaluation will emphasize.¹⁶ Consequently, to ensure a collaborative outcome to the evaluation and recommendations, the evaluation was developed and conducted in coordination with the PCU, and broader Project Team, including UNDP and UNEP.

2.1.3 Stakeholder Engagement

32 Stakeholders were engaged through segmented consultation through individual interviews, or in some cases through a questionnaire (Annex F). Stakeholders were selected based on their level of involvement in the project, their contribution to the technical elements of the project, membership or participation in the executing agencies, membership to the Project Steering Committee, membership in beneficiary organisations, such as national line agencies or local community representatives in the case of pilot projects. The stakeholder list was forwarded by the PCU and Project Team and was augmented during the course of the review.

2.2 Limitations of MTR

The mid-term review does not provide:

- i. A financial audit of the activities. Financial expenditure was reviewed in light of annual budgeting, project planning and disbursements, and assessed in terms of costs benefits in general;
- ii. A detailed assessment of substantive documents produced. For example, it is beyond the scope of this review to provide a detailed analysis of products, beyond their general impressions. For example, in reviewing the “Pollution Hot Spot” report¹⁷ it was limited to its relevance in supporting the project objectives as opposed to conducting a peer review.
- iii. Due to travel restrictions, field visits were undertaken only in two of four pilot project sites in Niger. Consequently, the bulk of interviews were conducted through telecommunications and internet. A questionnaire was sent to interviewees to help focus discussion.¹⁸

¹⁴ UNDP. (2013). *Innovations in Monitoring and Evaluating Results* United Nations Development Programme, 5 November 2013 Retrieved from: <http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/>

¹⁵ Bramberger (2012). From

¹⁶ OECD (2010) Quality Standards for Development Evaluation available at <http://www.oecd.org/development/evaluation/dcdndep/36596604.pdf>

¹⁷ UNIDO (2020b) Pollution Hotspots in the Niger Basin: Short list of potential pilot enterprises for TEST Niger. TEST Roll-out in the Niger Basin ; “Introduce Systematic and Integrated Approaches of Industrial Competitiveness and Environmental/Social Responsibility to Reduce Wastewater Discharges and Pollution Loads in the Niger River” – SAD ID: 140323; August 2020.

¹⁸ See Annex C.

3 Project Description and Background Context

The “Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (NB-ITTAS)” is a GEF funded project, implemented by the UNDP and UNEP and executed through the NBA, OSS, UNIDO and UNESCO. This project supports governance and knowledge management for ecosystem-based management for conjunctive and integrated water management within the Niger Basin and ITTAS

The geographical scope of the GEF intervention covers the entire area covered by ITTAS and the Niger River Basin. The countries sharing this large area are the nine NBA member countries: Benin, Burkina Faso, Cameroon, Chad, Côte d'Ivoire, Guinea, Mali, Niger and Nigeria, plus Mauritania and Algeria.

3.1 Development context

The River Niger Basin covers an area of more than 2.2 million km², of which about 1.5 million km² are hydrologically active basins spread over the nine member countries of the Niger Basin Authority- Benin, Burkina Faso, Cameroon, Chad, Côte d'Ivoire, Guinea, Mali, Niger, and Nigeria. The Iullemeden and Taoudéni/Tanezrouft aquifer systems covers an area of approximately 2.5 million km². It includes the seven countries of Algeria, Benin, Burkina Faso, Mali, Mauritania, Niger and Nigeria. In total there are 11 countries involved in the NB-ITTAS project. Prior to this project, the groundwater resources of the Niger Basin were not sufficiently studied at the basin-wide level, notably because the resources for putting in place monitoring systems are limited, and because they have conventionally been seen as local resources, represent a critical issue for the population. Key challenges were associated with i) acquiring knowledge; ii) putting in place an international management system – as ground water is considered as a localized resource; and, iii) unregulated exploitation.

Modelling work carried out in order to inform the TDA for the Iullemeden aquifer system quantified the level of exchange between surface and groundwater systems. On average, there is an exchange of 4.79 m³/s between the IAS and the Niger, Dallols and Rima river. These interlinkages and interdependency clearly highlight the need to manage surface and groundwater in an integrated manner.

The institutional context of the project is complex and involves a wide-range of organisations from the community level right up to the transboundary level. It will be important to make use of and build on existing stakeholder and communication structures. The NB-ITTAS project advances and supports existing transboundary and national level institutional mechanisms and local level organizations including:

- Niger Basin Authority (NBA): NBA is entrusted with the harmonization and coordination of national water resources development policies of the Niger Basin;
- Tripartite Consultation Mechanism (Mali, Niger, Nigeria): outlines a consultation mechanism for information gathering, information exchange and decision making for sustainable water resource management of the Iullemeden aquifer;
- The Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS) Consultation Mechanism: outlines a consultation mechanism for information gathering, information exchange and decision making for sustainable water resource management of the ITTAS aquifer;
- Sahara and Sahel Observatory (OSS): OSS facilitates partnerships on common challenges related to shared water resources management, implementation of international agreements on desertification, biodiversity and climate change in the Sahara and Sahel region;

- National Coordination of Users/Regional Coordination of Users of Natural Resources (RCU/BNR): RCU/BNR is a coalition of civil society organizations in the Niger Basin focusing on sustainable use of the natural resources;
- Community basin organizations and user associations; and,
- Private sector involved in industry, agriculture and mining.

Key environmental problems facing the region are related to:

- **Climate change**
Climate change is both a threat and an underlying cause. It is a threat as a trend to higher aridity reduces the overall water content in the system through increased variability in rainfall, increased evaporation, reduced runoff and reduced groundwater recharge. As a cause, these changes put pressures on human health, food security and livelihoods in general. Rainfall levels are already low compared to pre 1970 values and global circulation models project further changes in precipitation over the Niger River Basin and ITTAS (between – 6% - 7%), and major increases in temperature.¹⁹
- **Land degradation**
Deforestation and poor farming practices, together with the degradation of protected areas particularly in source areas results in lower rates of retention of precipitation. This results in rapid runoff and reduced groundwater recharge. The impact on the surface water regime is a decrease in base flows during the dry season and an increase in the magnitude of flood events. Sediment loads are also increased.
- **Changes to the hydrological regime**
The Niger River has faced substantial reductions in its flow volumes in all its compartments. In the Lower Niger, including the Benue Basin, rainfall has recovered to within about 5% of pre-1970 levels, to an extent ending the period of below average rainfall conditions that have persisted during the 1970s and 1980s. In contrast, annual rainfall is still well below the pre-1970 values in the Upper Niger Basin. This regional disparity is significant since the Upper Niger sub-basin is the water tower for the Niger River.
- **Water quality and pollution**
The water quality in the ITTAS is generally good although there are local risks of salinization and contamination in the surface water and the lower artesian aquifers, mainly in the populated zones of the South, where groundwater table is close to the soil surface and at the highly populated banks of the Niger and the Bani. The main point sources include industrial pollution from block-making factories, agro-food industries (milk production factories, slaughtering houses, oil production factories, soap production factories, etc.), textile industries tanneries and dyeing industries; mining in the upper Niger River; petroleum pollution in the lower delta region; agricultural pollution; and invasive species.
- **Socio economic factors**
The basin's population of 160 million²⁰ is expanding very rapidly. Living conditions are threatened by the extremely variable flow of the Niger River. About 70% of the people in the Basin live in rural areas where food security and social well-being are largely dependent on unreliable rainfall and highly-variable river flow patterns, as the main economic activities in the region are agriculture, mostly rain-fed in the wetter south or recessionary in the flooded areas as well as nomadic, semi-nomadic or transhumant cattle herding in the North.

3.2 Project strategy and problems the project addresses

The project was synthesized from two separate, but complementary and geographically overlapping projects. The Niger Basin Authority (NBA), in collaboration with UNDP, submitted a PIF to the GEF for the "Niger Basin Strategic Action Programme (SAP) implementation" requesting a grant of USD\$10 million. Similarly, the OSS with the support of UNEP, submitted a PIF to the GEF for "The

¹⁹ UNDO 2013 - Project Document

²⁰ NBA – presentation at the 11ème ASSEMBLEE GENERALE DU RIOB, Marrakech, 30 Sept- 03 October 2019

Iullemeden Aquifer System : strengthening transboundary groundwater management in the Niger River Basin and enhancing knowledge management and governance in the associated Taoudeni/Tanezrouft Aquifer Systems" project for groundwater concerning seven (7) member countries (Algeria, Benin, Burkina Faso, Mali, Mauritania, Niger and Nigeria) requesting a grant of USD\$3.5 million. The GEF agency encouraged the two projects to combine forces and develop a unique conjunctive management approach to advancing water resources in the region. The level of understanding of surface waters in the region is greater than that of the groundwater. Consequently, the NBA / UNDP proposal focused on SAP implementation, while the OSS/UNEP proposal focused on TDA and SAP development for the aquifer systems.

The project has been designed to address the key barriers of achieving effective water resource management (See Section 4.1 for a more detailed discussion). The overall project objective is to *“to improve knowledge-based management, governance and resource conservation of the Niger River Basin and the Iullemeden-Taoudéni/Tanezrouft Aquifers (ITTAS), to support IWRM for the benefit of communities and the resilience of ecosystems.”*²¹

The key barriers to effective management of the water resources that the project the project is based on are i) limited knowledge, ii) low institutional capacity; iii) lack of sustainable financing mechanisms; and, iv) poor management of natural resources. The project addresses these through four main components:

- Component 1: Promotion of conjunctive management of ground and surface water (lead by OSS);
- Component 2: Sharing responsibilities and benefits with local communities and civil society for the preservation of basin resources, including groundwater (NBA and OSS);
- Component 3: Capacity building for environmental and social responsibility of industries (UNIDO and NBA); and,
- Component 4: Capacity development and involvement of stakeholders in the ecosystem-based management of the River Niger (NBA, OSS, UNESCO and UNIDO).

NB-ITTAS supports governance and knowledge management for ecosystem-based management of conjunctive and integrated water management within the Niger Basin and ITTAS. Under this project it will make optimum use of i) existing knowledge of surface water systems, an improved understanding of groundwater systems (to be achieved under this project) and the linkages and connections between the ITTAS and Niger Basin systems, and ii) as a result, a governance system that treats groundwater and surface water as interconnected systems. The project supports the establishment of an effective transboundary water resources governance system through the strengthening of existing institutions and regulations to govern groundwater and surface water management at local, national and regional/transboundary levels. Additionally, through the pilot projects the NB-ITTAS project helps communities in the basin to increase their livelihoods and to be engaged in the sustainability of the basin's resources. Specific pilot projects are discussed in Section 4.2.

3.3 Project Implementation Arrangements.

GEF support has been implemented through two implementing agencies, UNDP and UNEP, with 9.0 million USD budget through the UNDP and 4.5 million through UNEP. Executing agencies for the UNDP are the NBA and UNIDO, while the UNEP part is executed by OSS and UNESCO (See section 4.3.1). The overall management arrangements are shown in **Error! Reference source not found.**²²

²¹ UNDP (2018) ProDoc: Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS).

²² *ibid*

Overseeing the project is the Steering Committee the terms of reference for which was defined in the ProDoc and elaborated on in a meeting in March 2020.²³ The Steering Committee contains representatives of the implementing and executing agencies; the Project Coordination Unit (PCU); country representatives, and the Regional Coordination of Users of Natural resources in the Niger River Basin (representing civil society organisations in the basin). The 2nd Steering Committee has 37 participants and the private sector also participated in the inception workshop. The PCU is housed in the NBA providing good coordination with that key executing partner. Note, there is also the Project Coordination Team (PCT) which is used to oversee implementation of the activities in the various components and contains representatives from all the partner agencies. The roles and responsibilities are described in the Project Document and are maintained in the current management structure and include :

- Component 1 - OSS is the Task Leader;
- Component 2 – NBA is the Task Leader, with OSS responsible for outcome 2.1.4;
- Component 3 – UNIDO is the Task Leader for 3.1 and NBA for 3.2; and,
- Component 4 – NBA is the Task Leader with support from all partners as this is a cross cutting theme.

Figure 1 Management Arrangement for NB-ITTAS

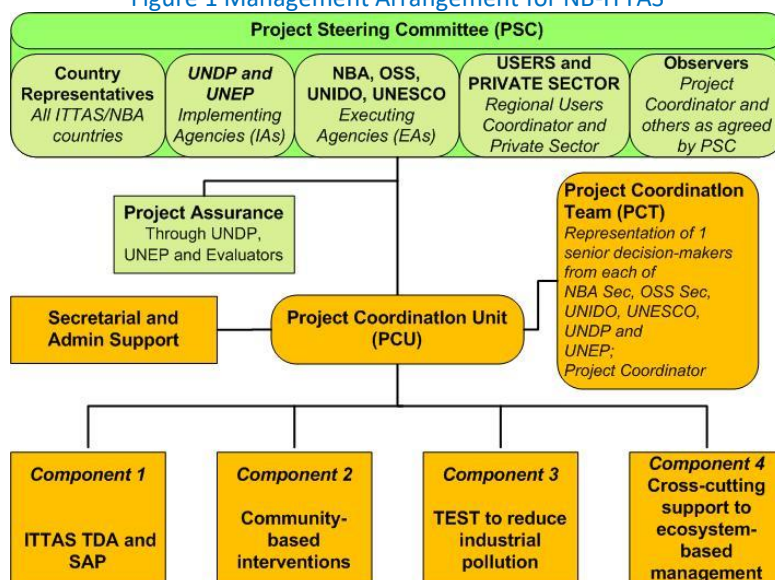
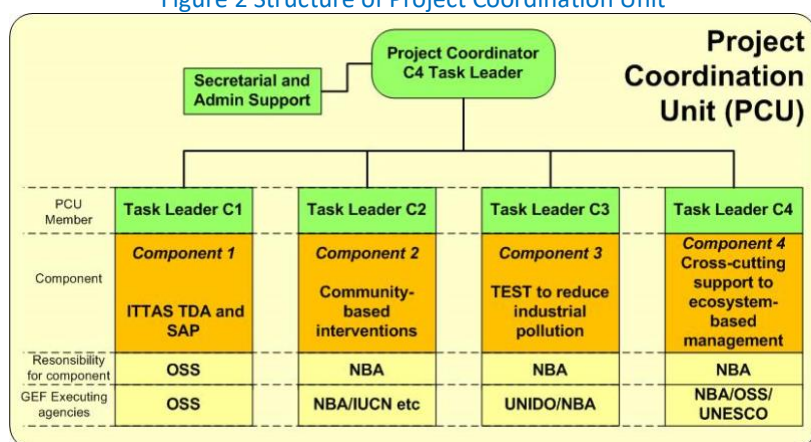


Figure 2 Structure of Project Coordination Unit



²³ la DÉCISION CONJOINTE ABN/OSS N° 0016 du 02 mars 2020

4 Findings

4.1 Strategy and Design

4.1.1 Project Strategy

The NB-ITTAS project is an innovative collaboration between the project partners. It was created from two water related geographically overlapping GEF financed projects: one focusing on surface water management and pollution executed through NBA and UNIDO and implemented under the UNDP; and the other focusing on groundwater management executed through OSS and UNESCO and implemented under UNEP.

The merging together of the projects has created GEF's first project for integrated conjunctive management of surface waters and groundwaters. The lessons learned from this single project should help to advance conjunctive management in other regions. As such, the project not only has regional, but also global significance.

Combining the individual projects helped to avoid overlap and duplication, enhancing the effectiveness of the GEF incremental funding; strengthen cooperation among the regional and international institutions of NBA and OSS; and enrich relationships between the UN organisations of UNDP, UNEP, UNIDO, and UNESCO. The OSS has 27 African member counties and NBA has nine member countries²⁴ which helps to strengthen governance awareness of conjunctive water resources management. However, the merging of the projects did not come without some drawbacks, such as the increased institutional and consequent administrative complexity. Financial disbursements and reporting remain separated and are aligned with the original separate project designs which helps facilitate activities on the one hand, but complicates reporting on the other. Moreover, consultation within the NBA has prolonged appointments within the PCU.

The project objective is:

“to improve knowledge-based management, governance and resource conservation of the Niger River Basin and the Iullemeden-Taoudéni/Tanezrouft Aquifers (ITTAS), to support IWRM for the benefit of communities and the resilience of ecosystems”²⁵

The project is designed to contribute towards SDG 6 on clean water and sanitation, and in particular target 6.5 related to integrated water resources management at all levels, including through transboundary cooperation. However, it also directly addresses target 6.3 related to pollution mitigation; 6.6 to protect and restore water related eco-systems; 6.4 to increase water use efficiency (in this project through conjunctive management); 6.a related to expanding international cooperation and capacity building (in this case for water efficiency and water treatment); and 6.b that supports and strengthens the participation of local communities in improving water management. The project also addressed other SDGs, notably to SDG 5 to address gender inequity and empower women, primarily through Component 2. As such the project is well aligned with the goals of the UN partner agencies.

The project is well aligned to needs and country priorities many of whom depend greatly on the sustainable management of the water resources of the Niger watershed.²⁶ The basin covers 1.3 million km² where the majority of people depend upon groundwater resources. The integrated management of surface waters and groundwater directly supports the mandate of the NBA which is to “improve the living conditions of the basin populations through sustainable management of water resources and associated ecosystems”²⁷ and is guided by the Water Charter for the Niger Basin, as a

²⁴ Benin, Burkina Faso, Cameroon, Côte d'Ivoire, Guinea, Mali, Niger, Nigeria and Chad.

²⁵ UNDP (2018) ProDoc: Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudéni/Tanezrouft Aquifer System (ITTAS).

²⁶ In particular Mali, Niger and Nigeria.

²⁷ The revised Convention on the creation of the Niger Basin Authority on October 29, 1987

mechanism to address regional development issues through a basin-wide investment framework for developing infrastructure, reducing poverty and promoting social and economic growth.

The project is built upon the success of previous projects in the region which have resulted in formal cooperation on water resources, including:

- Niger Basin Water Charter (Revised 23 August 2011);
- MOU for the Establishment of a Consultation Mechanism for the integrated management of the Iullemeden, Taoudeni/Tanezrouft Aquifer Systems;²⁸ and,
- MOU relating to the setting up of a Consultation Mechanism for the management of the Iullemeden Aquifer System²⁹

The theory of change which underpins the project is based upon addressing the key barriers to sustainable use of water resources in the Niger Basin and ITTAS, acknowledging the scientific information linking groundwater and surface waters. Table 2 outlines the key barriers identified in the ProDoc and relates how they are addressed in the Project Design.

- The key barriers outlined in the ProDoc were:

Table 2: Key Barriers and Project Response

Key Barriers	Project Response
Limited knowledge of the water resources, particularly with respect to groundwater resources, but also related to pollution and abatement measures.	Component 1 focuses on developing understanding of groundwater resources,
Low institutional capacity with respect to groundwater management and implementing polluter pays principles at the national level and sub-national levels.	All components have capacity development elements. Component 4 focuses on capacity development at regional and national levels. Component 2 contains capacity building at localized levels. In particular, output 2.4.1 will involve among others, groundwater management at a pilot project level. Component 3 has capacity development related to pollution prevention at the private sector level (3.1) and at national and regional levels (3.2).
Lack of sustainable financing mechanisms as the overall costs of SAP implementation is estimated at 1.6 billion USD.	Component 3 (3.1) addresses this through involvement of the private sector and promoting cost effective recovery of waste through the TEST program. Thus incentivising pollution protection in the private sector. Component 2 focusses on pilot projects and creating local economic development opportunities to help incentivize water management goals.
Poor management of natural resources including: agricultural extension into protected and/or marginal areas, overgrazing, bush fires,	Component 2 applies a livelihood-based approaches to promote the sustainable development and integrated management of water and associated natural resources. This

²⁸ Memorandum of understanding for the Establishment of a Consultation Mechanism for the integrated Management of the Water Resources of the Iullemeden, Taoudeni/Tanezrouft Aquifer Systems (ITAS) – Algeria, Benin, Burkina Faso, Mali, Mauritania, Niger and Nigeria (OSS, March 28th 2014)

²⁹ Memorandum of Understanding relating to the setting up of a Consultative Mechanism for the management of the Iullemeden Aquifer System (IAS), (OSS, June 20th, 2009)

clearing for firewood or construction, misuse of pesticides, etc;	approach recognises that the key to improved natural resources management is breaking the vicious cycle of poverty and natural resources degradation.
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4.1.2 Project Design

As noted, the project was fused together from two individual GEF proposals, and the design captures well the different elements of each project avoiding unnecessary overlap and duplication, as well as promoting synergies and collaborative work. The project is structured around four components which are inter-related and designed to be mutually supportive:

Component 1 focuses on improved knowledge of water resources for conjunctive management. It focusses on the development of the TDA and SAP for the ITTAS. It relies on consultation with the scientific community and holders of relevant data and information to complete the TDA. Development of the SAP is stakeholder driven with the putting in place of a regional working group (in the process of being developed) and national working groups (in place for most countries). Training is also envisioned (both in Component 1 and 4) for key stakeholders responsible for developing TDA and formulating SAP (OSS) and implementing the SAP (NBA), such as NBA, OSS and nationally based institutions.

Component 2 focuses on implementation of a wide range of community-based projects for water resources management, including conjunctive management pilot projects. This is based on a livelihood benefits approach whereby local community interests are addressed at the pilot projects and on-the-ground benefits achieved. This promotes sharing responsibilities and benefits with local communities and civil society in conserving basin resources.

Importantly, the issue of poverty, land degradation and the challenge of sustainable development at the local level falls primarily on women. Accordingly, women are encouraged to have a prominent role in the decision-making process by promoting the representation of women in the user associations. The goal is to have women form at least 50% of the associations.

Component 3 is aimed at improving the accountability of some of those who are responsible for pollution discharge into the Niger River basin. The approach of Component 3 is two-fold: i) applying the TEST approach so industry becomes self-incentivized (through cost savings) to be accountable and respect the rule of law; and, ii) to promote and institutionalize the polluter-pays principle through improved legislation (rule of law).

Component 4 is cross-cutting and provides capacity and awareness building to support ecosystem-based management at all levels. It focuses on promoting the knowledge developed in Components 1,2 and 3 to ensure that institutions have the capacity in place to develop eco-system based national policies and their implementation through improved management practices. It also covers the development of governance options for the conjunctive management of surface water and groundwater at transboundary level.

4.1.3 Results Framework/Logframe

The complete Results Framework is found in Annex H. Overall the results framework captures the principle elements of each of the components, and follows the logic of outcomes and outputs in a consistent fashion. However, the framework is excessively complex with over 120 specific indicators to monitor, and many of them are repetitive. Overall the indicators are SMART;³⁰ however, there are indicators which have some concerns including:

³⁰ Specific - It describes a specific action, behaviour, outcome or achievement that is observable; Measurable - It is quantifiable and has indicators associated with it so it can be measured; Audience-specific - It is appropriate and relevant to your target audience; Realistic - It is achievable with the available resources; Time-Bound - It states the time-frame within which the indicator - target will be achieved

- some of the targets do not match the indicators and could be better aligned;
- some indicators may be either difficult to monitor or, in the case of Niger basin region, would be difficult to find sufficient data;
- in other cases there is an some interchange between indicators and targets; and,
- in other cases the targets themselves are unrealistic for the timeframe associated with the project.

The need to review indicators was identified by the 2nd Steering Committee meeting which called for an “immediate review of the indicators”.³¹ The project team responded to this by hiring a monitoring and evaluation specialist in March 2021. Since then they have made some progress in revising the indicators. For example, in discussion with UNIDO, of the 23 indicators associated with Component 3 outcome 3.1 they have reduced them to 13³² which is more realistic. OSS and UNESCO (with UNEP advice) have submitted their proposals and discussions are ongoing within NBA regarding components 2, 3.2 and 4.³³

While it is beyond the scope of this mid-term review to conduct a detailed assessment of indicators, issues concerning indicators were discussed during the interviews and some observations made have been included in Table 3. In general, there should be an attempt to have detailed specific indicators associated for outputs and outcomes should have more generalized indicators that can still be measured. If no suitable outcome level indicator can be found, then output indicators could be proxy indicators for outcomes.

Table 3 Indicators and Target Recommendations

Indicator	Target	Recommendation
Water consumption per capita and Gini- coefficients of water consumption among countries	15% reduction of Gini coefficient (as related to per capita water consumption) across all NBA/ITTAS countries	This is pertinent to the need for water balancing, but will require a level of detailed data that is not likely to be readily available by the end of the project. It should be removed, or entrusted to an academic institution.
State of development of common monitoring system measured through parameters and methods monitored	Common harmonized monitoring system for key environmental variables in place and operational	Unlikely to have a system operational in all countries. More realistic to achieve 5 of 9.
Number of demonstration projects yielding positive outcomes (use of sub-indicators)	There is no target for this	Suggest: 80% of proposed pilot project have been implemented with positive results.
Water balance within NB/ITTAS compared to 1970 level with sub-indicators as appropriate	Water balance within the NB/ITTAS higher than 1970 (pre-drought) levels. Water balance for ITTAS at CT and Ci well established	Water balance within the NB/ITTAS higher than 1970 (pre-drought) levels” needs to be clarified in terms of what is expected under this project..
Degree to which ecosystem-based and integrated SW/GW management approach is integrated into the NBA SDAP and IP & Level of governance of the integrated SW/GW resource at the national and regional levels	Mechanism for long-term and sustainable governance of the surface and ground waters of the ITTAS and Niger Basin is ready for phased roll out	The target should be the preparation and adoption of a Roadmap to guide the political process. The project cannot control national level adoption.
Degree to which principles of User-Payer and especially Polluter-Payer have been developed and	There was no target at the Project Objective level.	Suggest a target of “harmonized polluter pay principles” adopted by NBA

³¹ PCU (2020b) Rapport de la Session 2020 – 2nd Comite de Pilotage du Project NB-ITTAS (Décembre 2020).

³² Interviews with UNIDO and email from Younoussi Hamani (dated 30 June 2021).

³³ Verified through excel files submitted.

Indicator	Target	Recommendation
harmonized across all NBA/ITTAS member states		
Component 1 indicators		
% of TTAS system modelled and understood to same level as IAS & Functioning of Models for total ITTAS area with respect to the production of information relevant to CWM (distances between recovery and recharge areas, the permeability and storage capacities of the aquifer system, the time lag between extraction of water from one resource and its impact on the other, transmissivity etc	<ul style="list-style-type: none"> A full research chain including data collection, modelling and mapping exists for TTAS in the same way as currently for IAS Detailed functioning models deliver all necessary parameters on available for total ITTAS in higher resolution 	Suggest: Model operation for the total ITTAS area, with respect to generating information relevant to conjunctive surface and groundwater management.
Availability of TDA/SAP for TTAS, measured by list of SAP-SDAP parameters based upon SAP IAS according to Scorecard		This is difficult to measure and redundant based on the other Indicators in 1.1.2
<ul style="list-style-type: none"> Number of persons in specific institutions (NBA, OSS and others) able to run and update ITTAS groundwater models. And similar ones in 1.1.3 	OSS, NBA and other institutions' water balance and allocation models fully include conjunctive use	Either the indicator or the target need to reformulated. For example, the target should be related to # of people who receive training . Or the indicator needs to be changed to reflect if models are being used.
Component 2		
No specific outcome level indicator.	River users (navigation and fisheries) not significantly impeded by aquatic weeds	The indicator should be % of people surveyed who feel the river not significantly impacted by weeds post project. The target should be >75% or something similar.
The outcome level indicators for 2.1 are all related to outputs. More global indicators could be: <ul style="list-style-type: none"> % of User Associations and NGOs that feel there is improved engagement in basin resources management and conservation. 	Targets could be : >75% surveyed feel there is improved engagement in basin resources management and conservation due to demonstration pilot projects.	Revise the outcome indicators for 2.1.
Output 2.1.1 – 2.1.2 & 2.1.3 are all relevant as they are specific to each pilot project site.	Targets are reasonable.	There are lot of indicators here, because each site deserves and indicator.
Output 2.1.4 - the indicators are sound – but could be combined. There is currently # of demonstration projects as well as % successful. Only need : Number of demonstration projects chosen and successfully implemented	The targets listed are not targets for the indicators. - Some are targets for outcome level - eg. Plan for replication and taking to scale agreed and endorsed at national and NBA/ITTAS levels. Also results disseminated and shared.	Review the specific indicators and develop targets. Eg. At least 5 sites have been successfully implemented.
Component 3		
Positive impacts on women from reduced pollution loads and discharges to the water system will be tracked (through interviews, etc.).	Positive impacts on women recorded and the info shared widely.	There is concern that this indicator will be difficult to measure within the timeframe of the project. The outcome indicators should focus on improved water quality and positive experiences of businesses engaged.
Outcome 3.2 has :	Polluter-payer policies implemented and mechanisms	The targets are redundant.

Indicator	Target	Recommendation
Number of NBA countries to have passed appropriate polluter-payer legislation	to enforce laws in place across the basin & Appropriate and effective harmonized polluter-payer laws in place across all basin states	The targets are not realistic within the timeframe of the project. Perhaps 3 of 9 countries at a maximum. But in general stay away from developing legislation – the process can be very long and beyond the control of the project.
Component 4		
Some indicators are too detailed for outcome level: for example • \$ usefully spent on acquirement of specialist equipment for research and analysis		This indicator is very hard to measure. Revise the outcome indicators and targets for component 4 in general.

4.2 Progress Towards Results

4.2.1 Progress towards outcomes analysis

The project had a significant delay in starting due to the delay in hiring the project coordinator. The Project was set to begin in May 2018 and did not have the inception workshop until May 2019, with the Project Coordinator hired in March 2019. This has resulted in most aspects of the project being behind schedule. Moreover, the Task Leader for Component 2 was not hired until March 2020. The Project Coordinator left in March 2021 and a new Project Coordinator was not in place until June 2021. As the Project Coordinator is the Task Leader for 3.2 and Component 4 this has resulted in further delays in these areas.

The progress towards results is identified in Table 4 and can be summarized as follows:

4.2.1.1 Component 1

The modelling of the TTAS system is at the same level of the IAS and they have been integrated and calibrated such that the groundwater model for the region is complete. It has also developed a combined groundwater - surface water model, installed software, and has delivered 3 training sessions: on TDA/SAP, Database & GIS, and Hydrogeological modelling. The TDA is 80% complete and expected to be finalized by the end of 2021. The SAP process for the aquifers has been initiated with the identification of pilot studies to address five key themes in the seven countries. The five key themes³⁴ are:

1. Effective management of groundwater;
2. Reduction of the strong mineralization of groundwater (fluorides, ...);
3. Fight against pollution of various origins (mining, domestic, agricultural, industrial);
4. Adaptation to climate extreme events;
5. Integrated Management / planning Surface water - Groundwater (agro-pastoral activities).

However, the pilot projects have not been initiated and are behind schedule when considering that they need to conduct activities to inform the development of the SAP. Despite this the component is generally on-track to completing its goals.

4.2.1.2 Component 2

Component 2 was affected by the delay in starting the project and because of lack of key staff in the PCU (see section 4.3.1). Pilot project areas were identified in the Project Document, but required validation and site selection. Despite not having a Task Leader until March 2020, activities in component 2 have progressed, although remain behind schedule assuming a start date of May 2018. The key advances to date include:

³⁴ The themes were decided in 2015 at a technical meeting in Niamey as part of the foundation work on this project.

- The NB-ITTAS Project Focal Points have been assigned and have signed contracts (although in at least two cases payment has been delayed);
- In 2019, 10 sites were pre-selected to host pilot projects for protected areas (2 for each of the 5 countries; Benin, Burkina Faso, Cameroon, Niger and Chad.³⁵
- National workshops were organized to validate the baseline study reports. On this occasion, the pilot project sheets were changed or reoriented. The pilot project sheets were retained and validated in each country.;
- the NB-ITTAS Project commissioned a baseline study with the elaboration of pilot project sheets in eight countries of the Niger Basin Authority, namely: Benin, Burkina Faso, Cameroon, Guinea, Mali, Niger, Nigeria and Chad
- Focal Points and PCU experts were called upon to collect additional data and finalize the formulation of pilot projects;
- A manual for the implementation of these community pilot demonstration projects has been developed and is being validated.
- An form has been sent out to focal points for the identification of groundwater pilot projects based on the five priority groundwater themes identified in 2015.

Currently the status on demonstration pilot projects under component 2 is:

- **Niger**
There have been 4 project sites initiated associated:
Output 2.1 on wetlands has focused on aquatic plants, specifically, the invasive *Typha domingensis*. Two pilots are being done centered around Falmey in southern Niger. One project, removal – mowing and desilting of Koudjé pond has been completed (though there remains an issue of delay in payment of the workers). They have done 10ha of 20 ha at the village level. The second, is the development of a collective garden for *Moringa oleifera* and *Adansonia digitata* with composting of the *Typha domingensis* stalks cut from the first demonstration site. The field visit noted that the land has been cleared but the garden has not been initiated as the local community noted that payment was significantly delayed. Payment was confirmed during the second week of September, 2021.
Under Output 2.2 relating to protected areas an additional 2 projects have been undertaken. This involves the production of 10 ha of fodder plants, notably Bourgou (*Echinochloa stagnina*) in the flood plains of the Niger River in Firgoune near Ayourou in the RNNK Hippopotamus. This is part of the extensive inland delta and very important for multiple use of pasture and grazing on the Niger River near the border of Mali. The second is approximately 50% complete and involves the establishment of a village woods on 10ha of land in Yalwani (Gotheye), approximately 70Km NE of Niamey on the Niger River
- **Nigeria**
There has been introductory meeting last October in Nigeria and a validation workshop. There have been two sites chosen, one is at Edo in the South which is a wetlands project. The other is at Sokoto in the north and maybe a forestry project. The GIS specialist arrived to collect additional data in late September.
- **Cameroon**
Meeting was held in Cameroon in July to discuss the Manda Plateau mosaic project, between Nigeria and Cameroon. Two pilot projects sites have been chosen. i) the Bouba Ndjidda Reserve, which is a biodiversity and protected areas project, is ready to go but awaiting funding. ii) the Adamaoua is a forest-mountain project. It requires additional studies, and complementary data collection is scheduled for the end of September.
- **Chad**
The pilot project is already developed and ready for implementation.

³⁵ (PCU-NBA, 2019b)

- **Benin**
The sites of the three projects have been identified as well as the beneficiary communities.
- **Burkina Faso**
The sites of the two projects have been identified as well as the beneficiary communities.
- **Mali and Guinea**
The sites are being determined and should be identified by late September.
- **Côte d'Ivoire**
Sites have not been chosen.
- **Groundwater – Surface Water**
The community pilot projects (under 2.1.4) have not been initiated and are at risk of not being accomplished if they are not done

Considerable work has been achieved since the establishment of the new Project Coordinator in June 2021. The MTR established that there has been a significant delay in transferring funds to the field sites for communities, and to the focal points in other countries. It was indicated that this has further delayed implementation of projects, at least Nigeria and Cameroon. At the time of writing this report the new Project Coordinator has placed emphasis on mobilizing funds, and the community working on the Koudjé pond has received payment. It is anticipated that with such focus the pilot projects projected for Component 2 will be achieved on budget providing an additional amount of time is extended commensurate to the delays experienced.

4.2.1.3 Component 3

Initially, component three had experienced delays associated with COVID-19.³⁶ However, the project has been able to respond to the pandemic and the need for virtual meetings, and has made considerable progress over the last 12 months. The project has :

- Identified businesses to apply the TEST approach (17 identified with 7 contracts signed);
- Developed training programs, and implemented capacity training for the national Focal Points and the businesses;
- Finalized and produced a “Pollution Hotspot” report,³⁷ Draft Guidelines for Discharge in the Niger Basin,³⁸ and a brochure for businesses informing them of the TEST approach;³⁹

Despite the progress in component 3, concerted focus on outcome 3.1 will be needed to ensure that the incorporation of the TEST approach in the identified businesses can be accomplished with sufficient time to be able to monitor the effect on both the business and the environment. This is also important to have sufficient time to inform policy development in outcome 3.2.

4.2.1.4 Component 4

Component 4 experienced delays due to administrative issues. And UNESO was not active in the project until 2020. Despite this, and the effects of COVID-19, an assessment of transboundary governance mechanisms for conjunctive management of surface and groundwater has been developed. A workshop to present and validate the findings is planned for Q2 2022.

Three platforms for cooperative action on ecosystems have been initiated i) between Nigeria and Cameroon (Mandara Plateau) with a meeting in July 2021, ii) between Niger, Burkina Faso and

³⁶ PIR 2020

³⁷ UNIDO (2020b) Pollution Hotspots in the Niger Basin: Short list of potential pilot enterprises for TEST Niger. TEST Roll-out in the Niger Basin ; “Introduce Systematic and Integrated Approaches of Industrial Competitiveness and Environmental/Social Responsibility to Reduce Wastewater Discharges and Pollution Loads in the Niger River” – SAD ID: 140323; August 2020. (Also translated into French).

³⁸ UNIDO (2020a) Project de Normes de Rejet des Polluants dans le Bassin du Niger; « Améliorer la gestion et la gouvernance fondées sur les connaissances de la GIRE du Bassin du Niger et du système aquifère Iullemeden-Taoudeni / Tanezrouft – NB-ITTAS » février 2020.

³⁹ Verified during the MTR.

Benin with a workshop in April 2021; and iii) between Cameroon and Chad in the Yamoussa complex.

However, communication activities are well behind schedule. There is no project website, and information is inconsistent on websites of partner agencies which do have information (see Annex G). Although, the IW:LEARN template for the website has been delayed the project should develop its own which can be modified to fit IW:LEARN once it is available. The project website provides the first place where stakeholder search for information.

Also it is important that all project reports, planning tools, and communication be in both French and English. While official documents should be professionally translated, un-official documents can employ professional software to produce good quality translations. The project should invest in good quality software with multiple licenses.

Component 4 is a cross cutting component that will require considerable coordination from the project coordinator. The Project Document indicated that: "Outputs 4.1.1, 4.1.2, 4.1.3, and 4.1.6 will be delivered by OSS (under UNEP) with significant inputs and close consultation with NBA. Outputs 4.1.4, and 4.1.5 will be delivered by UNDP with significant inputs from UNEP-OSS activities. Output 4.1.7 will be delivered by both GEF Agencies." The NBA budget in component 4 is \$2.6M, UNESCO has \$200,000 and OSS has \$75,000. NBA will therefore need to provide support and significant input to other executing agencies in order to achieve some of the activities under Component 4.

For example, Under the ProDoc 4.1.1 activity "Adoption (by NBA and NL/ITTAS countries) of the options analysis report for the integration of surface and groundwater governance mechanisms is assigned to OSS/UNESCO but will clearly need "significant input" from NBA to be successful.

A review of component 4 for activities and the level of support required by each partner agency is recommended to develop a clear plan of action for the latter part of the project.

4.2.1.5 Discussion

While the project is significantly behind in some areas, overall it is progressing well and shows signs of accomplishing the objectives within the budget allocated. However it is unlikely to be able to do that within the original timeframe allocated. It is therefore recommended that there be an extension of the project by 18 months, sans incidence sur le budget global. The reasoning being that there was a delay of 12 months for project activities, as well as a further delay in the changing of the project coordinator which had significant impact on component 2. Moreover the delay in hiring a task leader for component 2 also had unintended impacts.

Also, a reevaluation of the activities, roles and responsibilities and associated budget for this component is advised.

Table 4 Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets May 2023)

Indicator Assessment Key		Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved	
Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
Project Objective The objective of the project is to improve knowledge-based management, governance and resource conservation of the Niger River Basin and the lullemeden-Taoudéni/Tanezrouft Aquifers (ITTAS), to support IWRM for the benefit of communities and the resilience of ecosystems	Water balance within NB/ITTAS compared to 1970 level with sub-indicators as appropriate.	15% reduction of Gini coefficient (as related to per capita water consumption) across all NBA/ITTAS countries - Water balance within the NB/ITTAS higher than 1970 (pre-drought) levels. . Water balance for ITTAS at CT and Ci well established	The modelling which integrates surface and groundwater has been developed by OSS and is being calibrated. It will be populated with data and information from the remaining TDA data.		There is inadequate data from countries and the NBA on water withdrawals to populate the transient model. However, the OSS has reconstructed the series of data on the hydrodynamic behavior of the aquifer system from 1970 to 2000. It is anticipated to be done in the later stage of the project when data from the TDA can be integrated into the models.
	State of development of common monitoring system measured through parameters and methods monitored	Common harmonized monitoring system for key environmental variables in place and operational	The common harmonized monitoring system for key environmental variables is not yet in place.		The establishment of the remote monitoring platform is 90% complete. Holding of the workshop of the cooperation and collaborative action platform set up (33%) Training of the representatives of the seven (7) ITTAS + NBA countries on Database management and GIS (13 people) (by OSS, 05 to 09 August 2019 in Tunis (Tunisia))
	Number of demonstration projects yielding positive outcomes (use of sub-indicators)	No clear target – but at least 2 protected area per country, and groundwater sites; and sites for TEST (at least 1 in each country)	Under component 2 Niger – has 4 projects (3 underway); other countries have projects identified, but have not commenced on the ground. Under Component 3 pilots projects for TEST are being initiated with 17 industries.		Component 2 - The delays in the project related to the staffing of the PCU (Task Lead hired in March 2020) had impacted pilot project development. Pilot projects in Nigeria, Cameroon and Chad are soon to be initiated and other countries are close to identifying sites. Component 3 – training has been done with 17 industries and TEST approach is soon to be initiated.
	Degree to which ecosystem-based and integrated	Transboundary Conjunctive Water management based on	the long-term governance mechanism for surface and groundwater in ITTAS and the Niger Basin is not yet in place.		This is considered on track as Training of the representatives of the seven (7) ITTAS + NBA countries on the development processes of TDA/SAP (13 people)

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
	SW/GW management approach is integrated into the NBA SDAP and IP	scientific modelling and Transboundary mechanisms for International Water management have increased (target no aligned with indicator)			(OSS, 16-20 Dec 2019). Delineation of the Taoudeni/Tanezrouft Aquifer System and the extension of aquifers with the elaboration of litho-stratigraphic correlations have been completed Construction of the two-layer model of the Taoudeni/Tanezrouft Aquifer System, - Construction of the combined ITTAS-Niger River model
	Degree to which principles of User-Payer and especially Polluter-Payer have been developed and harmonized across all NBA/ITTAS member states	No specific target?	Finalization process of the selection of pilot companies for the TEST approach is complete, training on approach done. But there has not been the results to initiate and inform the wider process.		The indicator is considered on track as there is a need to undertake some of the pilot projects in component 3 to help inform the polluter pays policies to be developed.
	Level of governance of the integrated SW/GW resource at the national and regional levels	Mechanism for long-term and sustainable governance of the surface and ground waters of the ITTAS and Niger Basin is ready for phased roll out	No development of mechanism as yet.		Studies have been conducted by UNESCO and governance options are being developed for discussion at the ministerial level. It is anticipated that this can be achieved.
	Number of women sensitized, through outreach activities,(.....)	At least 25 women in the basin trained to become outreach agents -At least 100 women in each basin country sensitized about the key messages from the project.	No outreach agent training, 2 training events with 25 people (1 woman).		A Gender strategy has been conducted. Women are included in many of the User Associations working with the pilot projects. Consequently, the gender sensitization is linked closely to the development of pilot projects. To date 131 women have been involved in 4 pilot projects. The number is expected be significantly larger once all pilot projects are implemented. However, training for outreach agents needs to commence soon.
Component 1 Outcome 1:	% of TTAS system modelled and understood to same level as IAS	Ground and surface water interaction modelled and quantified	100 % of TTAS system modelled and understood to same level as IAS. Two two-dimensional hydrodynamic models		All baseline data have been collected; to date, the ITTAS-bi-layered aquifer system model has been calibrated, allowing the Modelling of ITTAS flows and transport. 100 % of TTAS system modelled and understood to same

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
IWRM supported by a sound understanding of ground water resources and their linkages with surface water systems. (Lead is OSS)		for entire ITTAS to same level as currently for IAS	(Ci, CT) in steady state and in transient state have been realized		level as IAS. Two two-dimensional hydrodynamic models (Ci, CT) in steady state and in transient state have been realized. Calibration done.
	TDA for ITTAS completed and endorsed	No project target?	The development of the TDAs at the National level for the TTAS countries almost complete (slightly behind...)		26 Experts in Hydrogeology, Socioeconomics, Environment, Climate Change, Governance have been recruited for the development of the TDA. Regional level for the whole ITTAS are ongoing and will serve as a basis for the formulation of the SAP. The development of the TDAs at the National level for the TTAS countries 80% complete
	SAP for ITTAS completed and endorsed	NBA SDAP and IP has fully incorporated applicable parts of ITTAS SAP	SAP formulation is linked to the pilot projects. An identification form has been sent to focal points to help identify pilot projects.		The SAP process has begun, though slowly. COVID has made meetings more difficult. While still considered "on track" it is highly important that this process be initiated very soon.
	# of water balance and allocation modelling that incorporates both GW and SW	NBA and other institutions' water balance and allocation models fully include conjunctive use approach	The ITTAS and surface water system has been modelled (see above) and the results are helping to inform NBA planning.		HR capacities strengthened with 3 specific training sessions on Water management tools (Database, GIS, Modelling). Hardware (Desktop and accessories) & Software (PModflow in place), Aquachem & Rockworks ordered from University of Waterloo are being provided to the countries. The conjunctive model is developed and capacity development is needed to ensure uptake.
	% of Community-level IWRM initiatives taking integrated GW/SW planning and utilization approach	All water resource development and planning initiatives within OSS, NBA and others adopt an integrated SW/GW approach	An identification form has been sent out to focal points to .		No specific local groundwater projects have been initiated (under 2.4.1). Sites should have been selected and preparations for implementation should be finished. It is unlikely this will be achieved without a project extension
Component 2 Outcome 2 Niger Basin Users Associations and National NGOs engaged in basin resources	a) 2.1.1 Area of Infestation by aquatic weeds at selected project sites	a) River users (navigation and fisheries) not significantly impeded by aquatic weeds - Biodiversity of aquatic ecosystems restored to >	a)Project interventions demonstration sites have reduced the infestation rate of invasive plants from 90% to 40% in Niger only		Project interventions demonstration sites have commenced in Niger only : Two (2) pilot projects, one for the clearing of 10 ha of <i>Typha domingensis</i> at the Koudjé pond (complete) and one pilot project for the creation of a collective garden of one ha for the production of Moringa and Baobab leaves for women. The latter pilot project did not start due to lack of funding. Other invasive plant sites need to be initiated.

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
management and conservation for better control of flood/drought/pollution, reduction of pressure on land, forest and biodiversity while improving living conditions of households (Lead NBA)		50% of status of reference sites			
	b) 2.1.2 % of total area of all wetland demonstration sites in which biodiversity has been restored	Biodiversity of wetlands at demonstration sites restored to > 50% of that of reference sites	b) The Biodiversity of wetlands in demonstration sites has been completed as part of the protected area project in Niger.		Pilot project in Niger for the production of aquatic plants "Bourgou" (Eichinoclo stagnina) for hippo fodder (10 ha) in Firgoune (Ayorou) to reduce human-hippo conflicts (100% complete) . Edo wetlands in Nigeria has been selected but not started. Other wetland projects in other countries need to be initiated
	2.1.3 % of total area of all protected area demonstration sites in which biodiversity has been restored	Biodiversity of protected areas of Niger W, Chad and Northern Cameroon at demonstration sites restored to > 50% of that of reference sites	Pilot sites undertaken in Niger, and identified in Cameroon, but no action has yet been undertaken.		Pilot project in Niger for the production of aquatic plants "Bourgou" (Eichinoclo stagnina) for hippo fodder (10 ha) in Firgoune (Ayorou) to reduce human-hippo conflicts (100% complete) Pilot project in Niger for the establishment of a village woodland in Yalwani to combat desertification (10 ha)- (70% complete. The saplings are available, but not yet moved for the plot). Pilot sites identified in Cameroon as Réserve de Bouba Ndjidda – for biodiversity and protected areas -but no action has yet been undertaken as they are awaiting funds.
	d) 2.1.4 % of total area of all mountain forest ecosystem demonstration sites in which biodiversity has been restored	Mountain forest ecosystems in Upper Guinea, the Sikasso region and the Bani Basin in Mali, Adamaoua in Cameroon and Northern Benin effectively restored at demonstration sites to > 50% of condition of reference sites	Sites for pilot projects on mountain forest ecosystems have been characterized with specific activities to reduce erosion and sediment transport. But no demo projects undertaken to restore Mountain forest ecosystems have not been undertaken yet.		Sites for pilot projects on mountain forest ecosystems have been characterized with specific activities to reduce erosion and sediment transport. For Adamaoua (Cameroon) data was being used from similar Nigerian forests, and a consultant was contracted to conduct local studies and will commence in late September.

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
	e) 2.1.5 Average change in sediment transport in selected streams exiting protected are and mountain forest ecosystem demonstration sites	25% reduction in sediment load	No implementation of pilot project. No Assessment		Pilot projects have not been initiated and time will be needed to determine sediment load reduction (at minimum 2 years of monitoring).
	f) 2.1.6 % of groundwater and conjunctive use demonstration sites where issues of water quality or quantity identified at inception have improved	25 % increase in combined use	No implementation of pilot project. No Assessment		Pilot projects have not been initiated and time will be needed to determine groundwater quality standards (at minimum 2 years of monitoring).
	g) 2.1.7 % of demonstration sites where drought and flood impacts have decreased (baseflow and flood index)	10% increase in baseflow 10% decrease in flood index	No implementation of pilot project. No Assessment		Pilot projects have not been initiated and time will be needed to determine changes in base flow (at minimum 2 years of monitoring).
	h) 2.1.8 Extent of combined use of surface and groundwater resources	25 % increase in combined use	The TDA has been almost complete.		The tracking of this indicator is linked to the development of the TDA, which is almost complete and information is likely to be available by the end of the project.
	i) 2.1.9 Average per capita income of populations at demonstration project areas	50% increase	Pilot projects have only been initiated in Niger.		There are not enough pilot projects initiated to be able to determine increase in per capita income. Several years will be needed to monitor the outcome over time. Additional time will be needed to make useful surveys.

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
	(sex-disaggregated data will be collected.)				
	j) 2.1.10 Number of Equitable benefit-sharing regimes established among communities (sex-disaggregated data will be collected.)	No target (unless it refers to 50% increase)	There are 2 Equitable benefit-sharing regimes established among communities in Niger		As there is no specific target it is not possible to track this.
	k) Participation of women in all demonstration activities tracked in numbers	Sex-disaggregated data tracked by the project show improvement in gender mainstreaming and women empowerment compared to the baseline	The number of women in all demonstration activities tracked is 131.		The number of women involved has been encouraging to date in only 4 demonstration projects in Niger. It is anticipated that will the development of other pilot projects there will be a significant improvement in gender mainstreaming and women empowerment.
	l) Gender Assessment both at the national and regional level produced	No indicator (assessment conducted)	Gender Assessment both at the national and regional level produced		The gender study carried out has made it possible to highlight all the gender dimensions in the target communities; however, it will only be possible to provide information on the evolution of this indicator with the actual implementation of the pilot projects
	m) Gender Action Plan, based on the Gender Assessment, developed by end Year 1	Gender Action Plan implemented	Gender Action Plan developed (by year 1)		Gender strategy developed
Component 3 Outcome 3.1	Over 50% of the TEST innovative approaches implemented at	More than half of the participating pilot enterprises have taken on board the proposed systematic and integrated	At this stage of implementation, it is still early to comment on the level of adoption or implementation of the TEST approach in the selected pilot companies		426 industrial units were identified and geo-located across the basin member countries. Of these, 45 were shortlisted. Currently, 17 companies are in discussion, and 7 have signed agreements with UNIDO to apply the TEST approach.

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
Introduce systematic and integrated approach of industrial competitiveness and environmental/social responsibility to reduce wastewater discharges and pollution loads in the Niger River (lead UNIDO)	the pilot enterprise levels	approach of industrial competitiveness and environmental/social responsibility			<p>UNIDO has produced a brochure outlining the TEST procedures and distributed it to industry.</p> <p>A hot-spot assessment was conducted with a validation workshop in 23-26 Sep 2019 in Ouagadougou</p> <p>The elaboration of the draft report for discharge standards of pollutants into Niger Basin (by the NBA-comp 4).</p> <p>Communications agency has been recruited to help the national consultants and the UNIDO TEST team to communicate properly with the companies.</p> <p>Have included institutions in charge of monitoring water quality in each NBA member country in TEST approach.</p>
	% decrease of concentration and/or volume discharges of the selected enterprises' recorded	(based on baseline parameters), at least 10% decrease in the volume of a target pollutant in discharges from the selected enterprises' recorded	No data as no pilots have been initiated		<p>The preparation of the draft report on the standards for the discharge of pollutants in the Niger Basin.</p> <p>-8 national workshops relating to the draft report on pollutant discharge standards in the review of the Niger basin were organized throughout the basin; where 16 women participated out of a total of 128 participants</p> <p>-</p>
	% Financial return on environmental investments and application of the TEST approach witnessed		No data as no pilots have been initiated		<p>Pilots need to conducted to determine this. It can be considered on track as implementation was planned for the latter half of the project</p>
	% success rate after the introduction and implementation TEST Approach recorded in most pilot enterprises	Specific Success depends on industry Eg. Energy efficiency gain in operations at the participating enterprises, resulting from the application of the TEST approach	No data as no pilots have been initiated		<p>Pilots need to conducted to determine this. It can be considered on track as implementation was planned for the latter half of the project</p>

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
	Positive impacts on women from reduced pollution loads and discharges to the water system will be tracked (through interviews, etc.).	At least 15 % financial return on environmental investments and application of the TEST approach witnessed at >2/3 of the sites TEST is piloted	No data as no pilots have been initiated		Pilots need to be conducted to determine this. It can be considered on track as implementation was planned for the latter half of the project
Component 3 Outcome 3.2 Industrial Competitiveness and Environmental Social Responsibility for reduced wastewater discharges reinforced by legal and policy frameworks	NBA polluter-payer guidelines agreed aimed at supporting development of harmonized laws/policies	No appropriate target – should have NBA guidelines developed (and approved).	The draft report on wastewater discharge standards has been developed		PIR says “countries recognize polluter pays principle, but laws not harmonized” Due to COVID-19 pandemic restrictions, the discharge standards validation workshop could not be held
	Number of NBA countries to have passed appropriate polluter-payer legislation	Appropriate and effective harmonized polluter-payer laws in place across all basin states	No new laws.		However, nine preliminary studies of pollution hotspots for the entire basin have been conducted in the NBA countries. These studies will correlate selected companies with their level of contaminant discharge and allow for the subsequent enactment of polluter-pay legislation. It is suggested that this indicator be changed as it is overly ambitious. Indicator should not be linked to legislation. The project has no control over national legislation.
	Number of NBA countries to have developed effective polluter-payer policies	Polluter pays policies implemented and mechanisms to enforce laws in place across the basin.	The PIR reports : Adoption of the polluter pays policy by main countries.		Polluter pays policies are being promoted throughout the basin under the project. There is likelihood that specific policies will be adopted and developed. However, the reference to laws in place should be modified as it is unrealistic to assume all countries would have legislation.
Component 4 Outcome 4.1 National Policies and Institutions, Civil Society Platforms support	Short-term (provisional) governance mechanism for the surface and ground waters of the ITTAS and		Short-term (provisional) governance mechanism for the surface and ground waters of the ITTAS and Niger Basin is not in place		Delayed, but still considered on-track. UNESCO has conducted studies and developed a consultation paper of options and is planning a workshop to discuss findings.

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
Niger River Ecosystem based management	Niger Basin in place for project duration				
	Long-term and sustainable governance mechanism for the surface and ground waters of the ITTAS and Niger Basin endorsed by NBA/ITTAS countries	long-term and sustainable governance mechanism for the surface and ground waters of the ITTAS and Niger Basin ready for implementation	Long-term and sustainable governance mechanism for the surface and ground waters of the ITTAS and Niger Basin is not yet endorsed by NBA/ITTAS countries		Delayed, but still considered on-track. UNESCO has conducted studies and developed a consultation paper of proposed governance options and is planning a workshop to discuss the findings.
	Platform for cooperation and collaborative action operational	No target- # of platform for cooperation is operational and used.	Advances have been made in platform development : Niger, Burkina Faso and Benin & Nigeria and Cameroon.		Platform for protected areas between Niger, Burkina and Benin was established and a workshop was held from April 13 to 16, 2021. Platform to include local institutions and communities in management decisions regarding the forest area (targeted ecosystem). Platform for cooperation and collaborative action is being put in place for the Biodiversity cross-border complex Manda Plateau (Nigeria and Cameroon). Also, the Cameroon-Chad Yamoussi complex had a meeting in August 2021.
	# of academic and research institutions capacitated to provide required training courses	Academic and research institutions are providing training on the management of basin resources	Academic and research institutions have been identified and during the last quarter 2021 they will provide training plan on the management of basin resources		OSS is very keen to include universities and academic institutions in its pilot projects.
	\$ usefully spent on acquirement of specialist equipment for research and analysis	Research at NBA/ITTAS national academic institutions is taking place on an ongoing basis	No data		There has been no indication that there is a mechanism for tracking of this indicator.

Project Strategy	Indicator	End of Project Targets	Mid Term Level	Rating	Justification
	Community and inter-state level transboundary learning mechanisms are in place	Communities capacitated in transboundary basin management issues	Not implemented or reported on as yet		It is scheduled that this will occur in the latter portion of the project.
	Harmonized monitoring mechanisms in place	Harmonized monitoring programme in place and exists for at least 5 agreed indicators	No data – or no harmonized mechanism for monitoring. No meetings held,		It is scheduled that this will occur in the latter portion of the project once UNIDO and OSS have monitoring parameters identified.
	Number of communication media, which report about conjunctive water management as well as positive impacts on women, number of media accessed	At least the IWLEARN website plus three additional media acknowledge and report Conjunctive Water Management within the ITTAS and Niger Basin. At least five media stories featuring women's positive contribution or positive impacts of improved water resources management practices in the basin on women disseminated through IW:LEARN, websites of NBA, OSS, or UNDP, and other channels	IWLEARN Website not operational No data on media of communication.		There is no project website, and websites which do contain some information are not consistent. There has been not media releases or experience notes developed.

4.2.2 Remaining barriers to achieving the project objective

The continued effect of the COVID 19 Pandemic may impact significantly the progress of the project, particularly due to the continued need for on-line and virtual meetings. While virtual meetings will not replace the need for face to face meetings it should be seen as an opportunity to enhance and use technology for communication and capacity development. For example, the Inter-Agency Meetings of the PCT included the following suggestions to address “on-line meeting fatigue”; poor internet connection; and re-incentivize people to participate. These include:

- Divide meetings over multiple days;
- Technical check before the start of the meetings;
- Having precise agenda with specific time allocation;
- Having a moderator, who will ensure the conversations do not go over time and who stimulates the conversation and ensures active participation;
- Rent a space in each country where multiple participants in the same country can gather to ensure a good internet connection, and the provision of lunch and break snacks.⁴⁰

The instability of the region will likely to challenge the implementation of the project, particularly in relation to the pilot projects under component 2. The project coordination team, in collaboration with the steering committee, will ensure that priority is given to interventions in secure areas.⁴¹ This may limit the initial intention of the demonstration projects and areas of intervention. However, an on-going surveillance and communication with the National Focal points will help provide continued connection with the communities benefitting from the pilot project. In general, the pilot projects associated with the implementation of TEST are not generally affected by the insecurity of the region, as they are in urban areas.

Improved communication and coordination on the part of the PCU with other agencies, focal points, will need to be addressed beyond the establishment of the Inter-Agency Meetings of the PCT. The lack of a project and data platform website where focal points, national agency staff, and stakeholders can go to get up to date information on events and reports is a shortcoming that needs addressing. Even if it is not immediately compliant with IW:LEARN standards, it should be made a priority and have stakeholders practice at using it as a first source of information. Also the lack of a platform for managing geolocated data should be addressed.

4.3 Project Implementation and Adaptive Management

There is quite a need for adaptive management in this project as the political/security/health context and subsequent intervention logistics require constant evaluation. For example, the effect of COVID 19 has proved difficult in conducting meetings. The project has adapted through implementation and improvement of virtual meetings, with suggestions on how to improve communication – for example, renting a conference room in a hotel for important meetings. The security context prevented the field site visit of two of four pilot projects in Niger. The project has adapted by requesting each component to develop “Covid proofing” strategies for continued implementation.

The project has used the steering committee to its advantage and has implemented eight of 13 recommendations from the 2nd Steering Committee meeting.⁴² For example, in response to

⁴⁰ Inter-Agency Meeting July 1, 2021

⁴¹ PCU-PIR (2020)

⁴² See Annex 2nd Steering Committee Recommendations and Responses, Tunis, Dec 2020.

- i) the need to better operationalize country teams, the PCU hired IWRM and GIS specialists to assist national teams;
- ii) the need for improved communication, the PCU has set up a monthly Inter-agency meeting;
- iii) the need of a common reporting framework for all the implementing agencies, a new template has been circulated;

That said, there are several important recommendations which remain outstanding, or require additional attention. For example,

- i) “To ensure that funds are safely channelled to countries as part of the implementation of in-country activities” has not been fully addressed. An implementation manual has been developed for financially managing the community projects, however, delays in payment have delayed the community garden project in Kabouje (Niger) and projects in Nigeria and Cameroon.
- ii) “Organize a working meeting between the partners to possibly review of the activities/budget of component 4 so that UNESCO properly carries out the activities assigned to it”. This has not been undertaken and delay of a review may undermine achieving Component 4 objectives.

4.3.1 Management Arrangements for the Project Partners

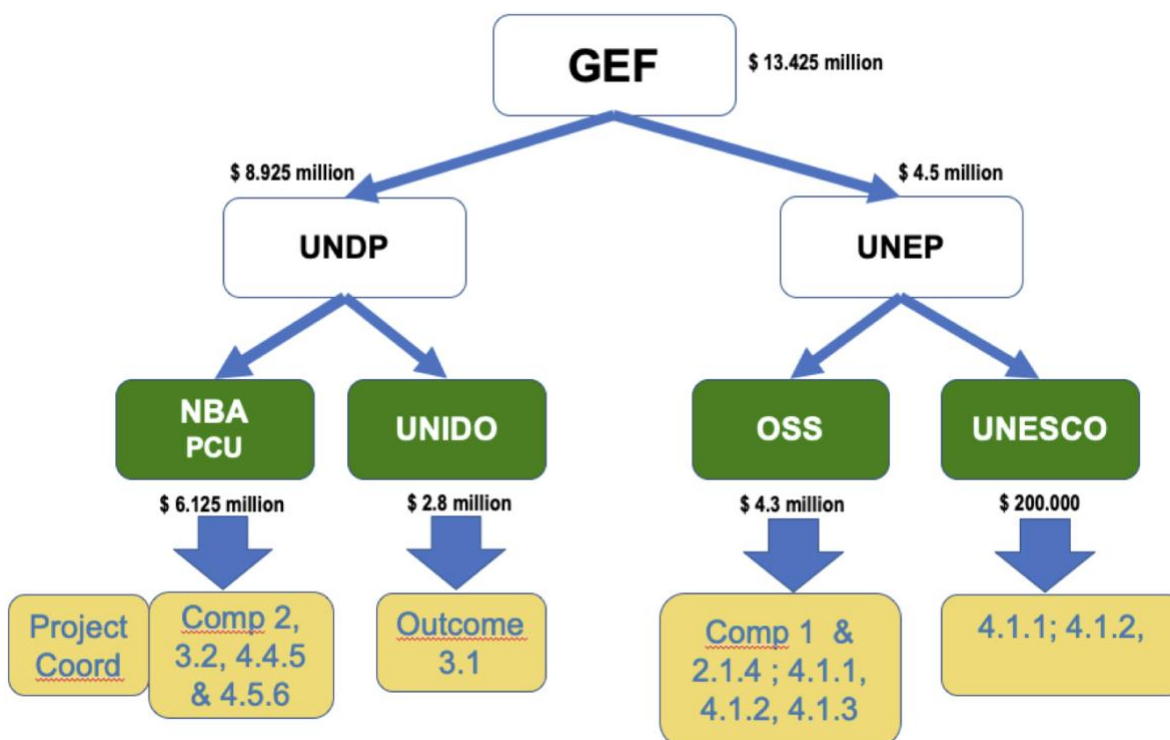
Figure 3 outlines the management arrangements for the project. Oversight is conducted through GEF executing agencies UNDP and UNEP. UNDP works with executing agencies NBA and UNIDO, while UNEP works with the executing agencies OSS and UNESCO. In January 2021, the project partners have created an Inter-agency project team that meets on a regular basis (every 1 -2 months). These have been conducted virtually, and have proved very successful in helping to maintain continuity and integrate coordination of the different components.

Each of the executing partners is responsible for financial disbursements and financial reporting its respective implementing agency related to its activities.

The Project Coordinating Unit is responsible for all day-to-day management and for coordinating the four executing agencies. It is housed in the NBA and therefore also acts as the executing agency for outcomes related to component 2, 3.2, and much of component 4.

The Steering Committee provides guidance and approves of the annual workplan and budgeting. It is comprised of members of the implementing and executing agencies, representatives of the 11 basin countries, and civil society. Consequently, the Steering Committee needs to convene a large number of stakeholders. The 2nd SC meeting had 37 participants.

Figure 3 Management Arrangements



The ProDoc envisioned specific Task Leaders for each of Component 1, Component 2, and output 3.1 of Component 3. The ProDoc notes “Project Coordinator will take charge of the work leading to Outcome 3.2”, but unfortunately does not mention the lead for component 4, which is not well defined in general.⁴³ It is understood within the Inter-agency Project Team that the Project Coordinator is also responsible for coordinating of component 4. However, there remains lack of clarity regarding roles and responsibilities, for example regarding 4.1.3 “Policy actions at regional and national levels to further integrate conjunctive management of transboundary ground and surface waters into SDAP, National plans and strategies leading to mainstreaming and implementation of policy reforms”.

UNEP replaced its task manager in June 2021. However, this did not delay the activities of OSS and UNESCO.

4.3.2 Work planning

Work planning is conducted on an annual basis as evidenced in the annual activity reports which are jointly submitted,⁴⁴ and the Steering Committee meetings.⁴⁵ The workplan submitted in January appears reasonable and achievable (based on the need to make adjustments in reducing the dispensing of the budget), and accounts for \$USD 1,932,600 of expenditure.⁴⁶

⁴³ CEO Approved ProcDoc (2018)

⁴⁴ NBA (2019) Bilan Annuel de Mise en Oeuvre du Plan de Travail Annuel 2020 (Sep 2019- Sep 2020).

⁴⁵ PCU (2020)

⁴⁶ NBA (2021) Bilan Annuel de Mise en Oeuvre des Activities (Janvier-Décembre 2020) - Projet « Améliorer la GIRE, la gestion et la gouvernance fondées sur la connaissance du bassin du Niger et du système aquifère d’Iullemeden-Taoudeni/Tanezrouft (SAIT) »

Planning is developed using a basic project management tool through an excel based workplan that details tasks and actions at the activity level and relates who is responsible and when. A Gantt chart outlining activities and timing would help communicate activity planning and disbursements.

4.3.3 Finance and co-finance

Although the project ostensibly began in May 2018, the earliest reported expense are from the OSS are in their Jan-March 2019 Quarterly Expense reports. Table 5 shows the disbursements from the project up to 30 June 2021. The total disbursements account for only 39% of those anticipated by year 3 of the project or a total of 20% of the project budget. If we account for an entire year delay (see section 4.2), the project would have been expected to have disbursed \$2.6 M USD (or 31%) by year 2 (Table 7) which is in keeping with the disbursements to date of \$ 2.7M USD.

Table 6 shows the disbursements by component and partner illustrating the different levels of expenditure by organisation.

Table 5 Overview of Expenditure from Executing Agencies up to 30 June 2021

Expenditure for NB-ITTAS up to June 2021											
Organisation	2019				2000				2021		total
UNDP/NBA/	260467.33				434053.87				229160		923681
UNIDO under different reporting. Estimate only											1120000
	Quarterly				Quarterly				Quarterly		
	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	
OSS	15393	21483	140567	94325	53285	76030	43404	63790	56544	90581	655402
UNESCO					20367						20367
Total											2719450
GEF Grant Budgeted by year 3.											6,956,208
% of GEF Project expenses anticipated by year 3											39%
GEF total project Budget											13,425,000
% of total GEF project budget											20%

Table 6 Expenditure by component and partner agency

	Component 1	Component 2	Component 3	Component 4	Project Man	Total	As of June 30, 2021	% of total
UNDP-NBA		2,917,678	200,000	2,593,036	414,286	6,125,000	923,681	15%
UNDP-UNIDO			2800000			2,800,000	1,120,000	40%
UNEP-OSS & UNESCO								
UNEP-OSS Act 1.1; 2.1.4;	2,300,000	1,700,000		75,000	225,000	4,300,000	655,402	15%
UNEP-UNESCO 4.1.1,4.1.2,				200,000		200,000	20,367	10%
Total	2,300,000	4,617,678	3,000,000	2,868,036	639,286	13,425,000	2,719,450	20%

The initial project activities budgeted in the ProDoc (see Table 7) are fairly consistent across all years, with year 1 being budget for 2018, year 2 being 2019, and so on, until year 6 being expenditure in 2023. This indicates that in the planning consideration was not given to start up and closure, nor that more expenditure would be needed in the latter portion of project, particularly associated with component 4.

Table 7 projected expenditure from the ProDoc

Funding Sources	Amount Yr 1	Amount Yr 2	Amount Yr 3	Amount Yr 4	Amount Yr 5	Amount Yr 6	Total
GEF	599,164	1,147,450	1,266,650	1,166,650	1,261,550	683,536	6,125,000
UNDP (both in TBWP & parallel)	2,332,068	2,312,070	2,312,070	2,312,070	2,312,070	2,312,070	13,892,418
cumulative	2,332,068	4,644,138	6,956,208	9,268,278	11,580,348	13,892,418	
Participating Govts, NBA & OSS	149,313,282	149,313,285	149,313,285	149,313,285	149,313,285	149,313,285	895,879,707
TOTAL	152,244,514	152,772,805	152,892,005	152,792,005	152,886,905	152,308,891	915,897,125

4.3.3.1 Co-financing

All co-financing commitment letters were reviewed and validate the numbers in Table 8. It is of note that co-financing for this project is estimated at 1.07B USD which represents a ratio of 80:1 against GEF incremental financing. This is an extremely high ratio of co-financing, and can be explained in two major ways:

- i) The co-financing associated with the NBA accounts for over ½ of all co-financing at \$542M USD. This is because the mission of the NBA is to advance water management in the basin, consequently it can be said that the bulk of its work advances the objectives of this project.
- ii) Co-financing is therefore primarily determined by assessing how well certain projects are advancing. For example, the Programme “intégré de développement et d’adaptation au changement climatique dans le Bassin du fleuve Niger (PIDACC/BN)” is a US\$ 222 Million regional project supported, in part, by the African Development Bank and will run from 2016 to 2024.⁴⁷ As part of their co-financing countries used their portion of this mega- project as part of their national contribution.

Co-financing is difficult to determine under most situations. The Project Coordination Team has made an effort to request co-financing statements or assessments from the various countries and partner agencies.⁴⁸ Despite this there has been no submission accounting for co-financing to date. Nevertheless, some assessment can be made by following the progress of those projects listed as “in-kind”. For example, as the (PIDACC/BN) project is advancing,⁴⁹ it is assumed that its co-financing can be validated.

Table 8 Co-financing Commitments by country and partner agency

Project Financing	Co-financing Table		
	Type	At CEO Endorsement (US\$)	At Midterm Review (US\$)
Democratic and popular Republic of Algeria	Cash & in-kind	45,698,123	unable to confirm
Republic of Benin	Cash & in-kind	53,475,820	“
Burkina Faso	Cash & in-kind	157,080,000	“
Niger Republic	Cash & in-kind	72,097,745	“
Ministry of Energy and Water, Mali	Cash & in-kind	15,444,237	“

⁴⁷ <https://territoiresgn.com/2020/02/06/developpement-la-bas-lance-le-programme-de-developpement-et-dadaptation-au-changement-climatique-dans-le-bassin-du-fleuve-niger/>

⁴⁸ Inter-agency Meeting #2 Minutes 2 February 2021. Provided by Clotilde Goeman.

⁴⁹ See project reports from <https://projectsportal.afdb.org/dataportal/VProject/show/P-Z1-C00-071>

Federal Ministry of water resources, Nigeria	Cash & in-kind	1,900,000	"
Ministry of Water and Forests, Cote d'Ivoire	Cash & in-kind	7,272,268	"
Islamic Republic of Mauritania	Cash & in-kind	285,784	"
Government of Cameroon	Cash & in-kind	8,692,000	"
Government of Chad	Cash & in-kind	84,000,000	"
Government of Guinea	Cash & in-kind	1,000,000	"
Niger Basin Authority	Cash & in-kind	542,000,000	"
Observatoire Sahrah et Sahel	Cash & in-kind	53,949,500	"
UNIDO	Cash & in-kind	14,082,550	"
UNESCO	Cash & in-kind	450,000	"
UNDP	Cash	13,892,418	"
UNEP	in-kind	130,000	"
Total Co-financing		1,071,450,445	unable to confirm

4.3.4 Project-level monitoring and evaluation systems

Project level monitoring is generally consistent with GEF guidelines.

- The project did not convene and inception workshop within the first three months. The Inception meeting occurred in 20-22 May 2019. Inception Workshop report was produced and submitted to the different agencies as per the monitoring plan in the ProDoc. The 2nd Steering Committee meeting was delayed from May 2021 to December 2020 due to COVID 19 pandemic related challenges. The mandate, composition and attributes of the SC were re-defined at a regional workshop in NBA, in January 2020.
- The project has submitted a PIR in 2019, 2020 and in September 2021.
- There have been two PCU level reports (2019 and 2020) for the implementing agencies (PCU, 2019 and 2020 – Rapport du Project).

The inception meeting (PCU 2019) was followed by a SC meeting and made recommendations to the PCU, NBA, OSS, UNDP, and member states. For example, to "Revise the Steering Committee to take into account the participation of ITTAS Project implementing and executing partners" or "Finalize the establishment of the project coordination unit (regional and national)." These recommendations illustrate the guidance and direction provided by the Steering Committee from the onset of the project.

The 2nd steering committee noted 13 recommendations to enhance the delivery of the project (PCU, 2020). These included both strategic recommendations, such as "review the indicators", "involve Côte d'Ivoire in demonstration projects", and "revise the budget activities of Component 4"; as well as logistical recommendations, such as "developing a remote monitoring platform" and "improve channelling of funds to countries". The full set of recommendations are in Annex J, along with the measures the project has taken to address them.

The project uses a GEF tracking tools excel sheet for monitoring its progress. As noted in Section 4.1.3, the project has over 120 indicators to keep track of which is excessive and requires revision. The project hired a monitoring and evaluation specialist in March 2021 to address project level monitoring. All executing agencies have been contacted regarding revision of the indicators and a summary of proposed changes is being prepared for the 3rd Steering Committee in November 2021.

4.3.5 Stakeholder engagement

Despite the delay in recruiting the PCU, the project activities have started effectively. The regional project coordinator plays a pivotal role in seeking to integrate project activities between the various executing and implementing agencies (UNDP, UNEP, OSS, UNESCO, NBA, UNIDO).

The Steering Committee contains representatives of all the partner agencies as well as the beneficiary countries of the NB-ITTAS and functions well. It has played its role as the decision-making body of the project, in charge of the orientations and the validation of the project results. Two (2) meetings were organised on the following dates:

- From 20 to 22 May 2019 was held at the Hotel Soluxe in Niamey, the ITTAS project launch workshop, coupled with the first steering committee;
- From 15 to 16 December 2020 was held online, coordinated from the OSS offices in Tunis (Tunisia), the 2020 session of the NB-ITTAS Project Steering Committee. Further, it should be noted that this meeting engaged an external moderator which greatly facilitated the effective participation of the participants and keep the meeting on time.

The main objective of these first two meetings was the presentation of the Steering Committee members and the detailed description of the project. During the following two meetings, the project's progress and the planning of the work to be carried out was analyzed.

The project has also engaged national level focal points for Component 1,2 and 3 to help engage national level agencies as well as local communities.

In Niger, the project contributed to the establishment of village work groups within the communities. These women's or men's groups play a good role as a platform for consultation and organisation of community work (stump removal, production of Bourgou, village wood and collective garden). They allow for exchanges with local associations and raise awareness among the local population in an effective manner.

The private sector has been engaged successfully through outcome 3.1 Where 17 companies are in dialogue with UNIDO, and seven have signed agreements to run the TEST approach. It would be beneficial to explore ways that the private sector could enhance the development of governance options for the polluter pays principal under outcome 3.2. This could occur with their prominent participation in workshops delivered at the NBA level, or in meetings with national level agencies, that promote the TEST approach.

A stakeholder engagement plan was initially developed but requires updating based on COVID and on the knowledge acquired with the pilot projects to date.

4.3.6 Social and Environmental Standards (Safeguards)

The project was assessed for social and environmental safeguards using UNDP's Social and Environmental Screening Procedure.⁵⁰ The assessment was reviewed under this MTR and remains applicable. The only "high" level risk is that "duty-bearers do not have the capacity to meet their obligations in the Project". This is related specifically to Component 2 and the undertaking of pilot projects with communities. The risk is mitigated through capacity building of the local communities and user associations to help develop their ability to undertake the pilot project and help ensure benefits are

⁵⁰ <https://www.undp.org/publications/undps-social-and-environmental-screening-procedure-sesp#modal-publication-download>

on-going post project. Some local capacity was conducted with user associations in relation to the Koudjé pond project in southern Niger.

The project also had an Environmental, Social and Economic Review Note for NB-ITTAS under UNEP's process. Overall the project was deemed a "low risk".⁵¹

4.3.7 Reporting

Reporting has been conducted as per GEF standards. The following have been reviewed:

- Inception report (Steering Committee 1), May 2019;
- Steering Committee 2, 20 December 2020— was postponed from April 2020;
- PIR – reporting June 2020;
- PIR – reporting June 2021 (9 September);
- NBA annual reports 2019 and 2020, and quarterly reporting;
- OSS quarterly reporting, for all years;
- Interagency meetings minutes (since 2021); and,
- GEF Tracking Tool.

The project reporting had been segmented along the lines of the implementing agencies. For example NBA annual reports and OSS quarterly reports reported on agency activity. The Steering Committee reports and the PIR serve as integrated reports. The project would benefit from the Steering Committee receiving a mid-year update from the Project Coordinator based on information compiled for the PIR report in June.

4.3.8 Communications & Knowledge Management

The project has been slow in developing effective communications with stakeholders. Nevertheless, the inter-agency meetings of the Project Coordination Team have been convened regularly since January 2021. This has greatly improved the communications and effective delivery of project activities and provides a platform for synergies between different components. All those interviewed expressed the importance of maintaining these meetings. The component has also developed component level meetings which are led by the task leaders of each component.

However, national level stakeholders, such as focal points, remain unaware of the activities of the greater project. This emphasizes the importance of a project website which should have already been put in place. This has been delayed because there is currently no support available from IW:LEARN as its next phase has not been advanced as yet. However, in light of the importance of a project level communication platform the project should develop its own website which can be integrated into an IW:LEARN website when their template is available. Moreover, it is recommended that when preparing the PIR reporting in June of each year a 2-3 page summary be made and sent out to all project stakeholders and in particular the Steering Committee.

4.4 Sustainability

There is an Exit and Sustainability Plan as part of the ProDoc.⁵² The central theme of employing a livelihood-based approach aimed at mainstreaming socio-economic development into environmental conservation (as in component 2) remains salient. Similarly, component 3, through the TEST process promotes sustainability through financial incentives to industry and integration at the regional level through policy.

⁵¹ UNEP (2014) Environmental, Social and Economic Review Note for NB-ITTAS (*Note deemed low risk*) available from https://addis.unep.org/projectdatabases/00850/project_general_info

⁵² Section 6.7.2 of ProDoc (2018)

The evaluation team considers the socio-economic, institutional, environmental and financial sustainability of the results to be achieved by the project, including the extension period, to be moderately likely (ML). Between now and the end of the project, the management team needs to deepen 3 points: (i) improvement of benefits for local populations through the implementation of pilot projects (ii) implementation of the TEST approach (iii) promotion of effective governance in the management of natural resources in the basin.

The main challenges for the project are to complete the implementation of all the pilot projects, which constitutes a strong guarantee of the project's sustainability.

4.4.1 Financial risks to sustainability

The risks to financial sustainability are related to adoption of the national governments to integrated management of water resources and applying the Polluter Pays principle. Interviews indicated that national governments are interested in advancing effective water management, but are also challenged by modest budgets. There is however, potential for national governments to sustain and advance project benefits where there are clear financial rewards to be gained, such as “clearing of invasive species to be used as compost in community gardens”. However, it is unlikely national governments will financially support activities that do not bring short term financial benefits. The African development bank and other international donors have already committed significant funding in the region. As noted the Climate Adaptation Project for the Niger alone is some \$122 M USD. The role and importance of the NBA in the region with long term programs further supports the likelihood that project benefits will be sustained after the Project closes assuming that the policies and guidelines developed are integrated into the strategic plans of the NBA. The impact on communities will likely help to maintain interest in activities such as the removal of aquatic plants, provided a financial benefit is maintained beyond the life of the project. This can likely be assessed in Niger where the pilot projects have been initiated and where there may be sufficient time to assess the long-term effects on the communities. Assuming the TEST approach proves successful and is adopted by industries within the region then it is highly likely that industries will continue to undertake pollution reduction measures.

4.4.2 Socio-economic risks to sustainability

The results are important and will improve the living conditions of the local population.

The NB ITTAS project has made it possible to :

- strengthen the capacities of the actors through improved modelling and water resources and therefore improved management;
- to have a comprehensive policy for the preservation of water quality, through the prospection of wastewater discharge standards in the basin area
- improve the availability of water resources for socio-economic needs;
- to preserve the quality of water and ecosystems through polluting activities (mining, industrial and domestic activities): (1) identifying pollution hotspots, (2) developing regional water quality standards, (3) setting up a regional quality monitoring system.

It is very likely therefore, that from a Socio-economic perspective the results of the project will be sustained by the local communities and businesses.

4.4.3 Institutional framework and governance risks to sustainability

Most countries have adopted the SDGs.6, relating to sustainable water management, and the "polluter pays" principle is one of the guiding principles for good water governance governed by integrated water resources management (IWRM). In Niger, the adoption of the PANGIRE and PROSEHA, has solidified the choice for a sustainable development of our water resources.

The water code has a clear provision on this principle and the provisions of the revised standards in 2020 on drinking water quality and wastewater discharge constitute a regulatory and legislative framework to promote the implementation of this principle. However, the Water Code needs to be implemented through national level legislation and decrees and is not effective in all countries.

The primary institutional security for the project, will be the adoption of the project results by the NBA. In this regard the institutional risks to sustainability are very low.

4.4.4 Environmental risks to sustainability

This project has major implications for water availability in the region directly addressing some of the key challenges the region faces in terms of climate change, pollution, and integrated management of water. Since 1970, the region has experienced a decrease in precipitation and corresponding hydrological response. The average inter-annual flow volume in the Upper Niger at Koulikoro has experienced a decrease of 23% from 1,350 m³/s (1929-1970) to 1,039 m³/s (1971-2002).⁵³ Moreover, the flow at Niamey has decreased some 34%. Global circulation models project further decreases in precipitation of -6 to -7% over the Niger River Basin and ITTAS as well as a major increase in temperature. Temperature increases will cause increased evaporation and place further pressure on wetlands. While the project can do little itself to reduce climate change in the basin; however, it reduces the potential impact by developing and promoting methods to adapt to the impacts. The future impacts themselves may pose a risk to the physical works that the project has undertaken in terms of ecosystem protection, however, such risks in no way render the project activities ineffective but rather should work to promote their application in other priority areas.

The pollution hotspot report outlines the key areas and industries along the river which require attention to ensure water quality is improved. There is a risk that continued industrial development will lead to increased pollution load; however, benefits promoted by the project such as cost savings through application of the TEST will not be at risk by further development. Rather, there may be increasing opportunities to apply the approach.

5 Conclusions and Recommendations

5.1 Conclusions

The “Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS)” is an innovative project in the GEF portfolio, and indeed in the water resources development context globally. It has merged two separate from NBA (to implement the SAP priority Actions) and OSS (to develop TDA/SAP of ITTAS transboundary Groundwaters), but related projects, dealing with surface water and groundwater to develop a novel conjunctive management approach towards integrated conjunctive water resource management in the region. In this regard the project is helping to build capacity of the national governments and strengthen the governance capability of the NBA, thereby promoting sustainable use of transboundary water resources. The project has also been designed to further establish the OSS as an international institution for groundwater management. Moreover, the project has brought together institutional relationships between UN agencies that will undoubtedly persist beyond the life of this project providing an example of cooperative engagement on conjunctive management of water resources. Consequently, the significance of this project extends well beyond the Niger Basin.

⁵³ ProDoc (2016)

The project has, unfortunately, experienced significant delays caused by:

- i. Delays in the establishment of the PCU within the NBA. The project was endorsed in January 2018 and anticipated to start in May 2018, however a Project Coordinator could only be agreed upon in March of 2019. Furthermore, recruitment of key staff was delayed. The coordinator for the NBA lead Component 2 was hired only in January 2020, the project monitoring and evaluation specialist was hired in March of 2021, and IWRM and GIS specialists have been recently hired in May 2021 to assist with the pilot projects;
- ii. UNESCO joined the project in late 2019 when funding was made available;
- iii. Challenges in scheduling key meetings. The steering committee and inception workshop was delayed to May 2019.⁵⁴ The 2nd Steering committee was scheduled for April 2020 but was postponed until December 2020 due to the lockdown established by COVID-19. The postponement of the steering committee meeting undermined the implementation of certain priority activities where decisions were needed;
- iv. Change of staff. The Project Coordinator left in March 2021 and was not replaced until June 2021. The Project Coordinator is responsible for the overall coordination of the project activities and is the Task Lead for Outcome 3.2 and Component 4;
- v. The PCU has been slow to release funds for pilot projects under component 2. This is partly due to the change of Project Coordinator;
- vi. COVID 19 hindering scheduled activities, particularly under Components 1 and 2.

An additional factor in these delays is due to the complex implementation arrangements, with two GEF implementing agencies (UNDP and UNEP) and four executing partners (NBA, OSS, UNESCO and UNIDO), operating in eleven countries. Nevertheless, the project appears to have moved through the initial growing pains of dealing with the administrative and coordination complexity, and changes to PCU staff. The PCU has responded to recommendations of the Steering Committee and hired new staff (including a IWRM and GIS specialist). Moreover, the advances made since the hiring of the new Project Coordinator in June show all indications that the project will prove successful providing provided enough time is allowed to catch up on the initial delays. It should be noted that the activities associated with TEST deployment for pollution control did not experience any significant delays due to the rapid deployment of Focal Points and identification of potential pilot industries. Also, the development of the TDA has experienced minor delays primarily due obtaining information from national agencies. The significant delays in implementing the pilot projects in Component 2, including the groundwater projects, have also hindered the ITTAS SAP activities.

The review also found concerns related to communication of the project in general with national stakeholders and initially between project partners. Project partner communication has been enhanced with the introduction of Inter-agency Meetings⁵⁵ on a regular basis where project level decision making is already showing signs of improvement; and through component level meetings led by Task Leaders. An area of improvement will be greater coordination of the pilot activities led by the different executing agencies. For example, the OSS driven groundwater surface water pilot projects may benefit from the Focal Points, contacts, and pilot projects being developed through the NBA.

The Inter-agency Meeting will be key to ensuring constant coordination and communication between the various components and serve as a tool for effective management of the cross-cutting Component 4. Indeed, it is opportune to review the activities and support between partners needed to ensure the successful completion of the component.

⁵⁴ Note the structure and function of the Steering Committee revised in January 2020

⁵⁵ Beginning in January 2021 at the recommendation of the 2nd Steering Committee meeting.

The inter-agency Meetings will help share operational experiences from different components. For example, the UNIDO led outcome 3.1 has identified and operated with its own national Focal Points and provides funds through national UNDP offices as they do not have their own. This efficiency of their administrative model could be examined for use by other partners.

Communication has been further hindered due to language differences. For example, focal points in Nigeria do not speak French, and often reports are in French. A project website in both English and French with quarterly information and events is a priority and will help to ensure communication with stakeholders throughout the basin.

As some activities were starting to take off, the COVID-19 pandemic hit the project countries and slowed down most of the activities, particularly related to the pilot projects or where regional travel was anticipated, or areas where regional meetings were required. Despite this, field pilot projects under component 2 were able to be initiated in Niger due the proximity to the PCU in Niamey. And preparations were able to be conducted for the other pilot project sites. The project has built on this by developing a manual for pilot project implementation for use in other pilot sites.

Finally, although consideration was given to the security situation when choosing project sites, it has moderately impeded progress of the project, primarily the pilot projects associated with remote areas. For example, during the course of the Mid-term evaluation the northern file site of Ayourou in Niger was not visited due to security concerns.

The project has addressed the COVID and security through Task Leaders developing a “COVID/insecurity Proof” strategy for conducting activities and meetings.

In summation, the project experienced the initial growing pains of dealing with the administrative complexity and changes of staff, and was further undermined by COVID. However, it has addressed its initial administration shortfalls, is implementing improved inter-agency coordination, is now in a position to successfully complete the project, providing the initial delays can be adjusted for.

5.2 Recommendations

1	The project should have an extraordinary no-cost extension of 18 months until 30 November 2024 to ensure sufficient time for the products and results to be fully realized. The reasoning for this includes: i) a delay of 12 months in starting project activities due to administrative issues and delay in hiring the Project Coordinator; ii) further 3 months administrative delay in bringing on the new project Coordinator; and, iii) ensuring sufficient time (2-3 months) to close such a complex project implemented in different countries. Based on the release of funds to date (20% of the GEF grant), it is reasonable to assume that there will be sufficient funds to continue until the recommended closure date. It should additionally be recommended for any future projects that the “start-up time” be incorporated into the planning phase and that it be a minimum of 3 months in duration.
2	A continued focus on communication between stakeholders and partner agencies is needed to ensure project success. A project website and a knowledge management platform should be developed as soon as possible to provide information on events, reports, project details, contact information of partners and focal points. Consideration should be given for a designated communications officer. The Inter-Agency Meetings should continue on a regular basis (monthly or as needed). Component level coordination meetings should occur prior to the Inter-Agency meetings and include relevant Focal Points when appropriate.
3	All documents released and general communication to Focal Points in the project should be in both French and English for ease of communication between stakeholders.

4	Steering committee meetings should be held every 12 months. To avoid the delay of decisions needed by the Steering Committee, virtual meetings should be convened for specific decisions when a physical meeting is either not feasible or not warranted, or a system of email decision making based on no-objection passes. The Project Coordinator should provide the Steering Committee and stakeholders with a 2-3 page update at the time of PIR reporting in June.
5	Component 4 should be reviewed in terms of meeting activity commitments and reassessing collaboration and support between executing agencies. A revised program of activities including roles and responsibilities should be developed that considers a project extension, and be approved by the Steering Committee.
6	Project planning would benefit from a combined annual budgeting and planning for all components with the Gantt chart to facilitate understanding and decision-making of the project Steering Committee.
7	The Pilot Project Manual should be promoted to focal points, user associations, NGOs, and other stakeholders; and placed on the web-site for easy access. Key issues should be included such as developing and signing contracts between partner agencies and local communities of businesses, how to take precautions around COVID, maintaining medical equipment on the project site. The Pilot Project Manual should form part of the “lessons learned” from the NB-ITTAS project and promoted through “Experience Notes” on IW:LEARN.
8	The project needs to finalize its review and assessment of project indicators and have the changes approved of by the Steering Committee to facilitate monitoring of the project.
9	Where possible and feasible, national academic institutions and NGOs should be encouraged to be involved in the implementation of pilot projects and the collection and analysis of data. This helps develop greater cohesion between line agencies responsible for many activities and academic institutions and NGOs and promotes greater sustainability of project benefits.
10	The PCU and the executing agencies should align and streamline administrative procedures to ensure that there are no further hold up of funds for the pilot projects, in particular at the local community level. The procedure should be presented at the next Steering Committee meeting.
11	Where possible, the private sector should be collaborated with to help advance outcome 3.2
12	To ensure active participation in key internet (web-based) meetings the project should consider renting conference room space at hotels with acceptable internet connection and IT support, providing food, and explore the possibility of an honorarium for participation.
1	The project should have an extraordinary no-cost extension of 18 months until 30 November 2024 to ensure sufficient time for the products and results to be fully realized. The reasoning for this includes: i) a delay of 12 months in starting project activities due to administrative issues and delay in hiring the Project Coordinator; ii) further 3 months administrative delay in bringing on the new project Coordinator; and, iii) iii) ensuring sufficient time (2-3 months) to close such a complex project implemented in different countries. Based on the release of funds to date (20% of the GEF grant), it is reasonable to assume that there will be sufficient funds to continue until the recommended closure date. It should additionally be recommended for any future projects that the “start-up time” be incorporated into the planning phase and that it be a minimum of 3 months in duration.
2	A continued focus on communication between stakeholders and partner agencies is needed to ensure project success. A project website and a knowledge management platform should be developed as soon as possible to provide information on events, reports, project details, contact information of partners and focal points. Consideration should be given for a designated communications officer The Inter-Agency Meetings should continue on a regular

	basis (monthly or as needed). Component level coordination meetings should occur prior to the Inter-Agency meetings and include relevant Focal Points when appropriate.
3	All documents released in the project should be in both French and English for ease of communication between stakeholders. The Project should purchase a professional level translating software (on-line) to facilitate translation of non-official documents.
4	Steering committee meetings should be held every 12 months. To avoid the delay of decisions needed by the Steering Committee, virtual meetings should be convened for specific decisions when a physical meeting is either not feasible or not warranted, or a system of email decision making based on no-objection passes. The Project Coordinator should provide the Steering Committee and stakeholders with a 2-3 page update at the time of PIR reporting in June.
5	Component 4 should be reviewed in terms of meeting activity commitments and reassessing collaboration and support between executing agencies. A revised program of activities including roles and responsibilities should be developed that considers a project extension, and be approved by the Steering Committee.
6	Project planning would benefit from a combined annual budgeting and planning for all components with the Gantt chart to facilitate understanding and decision-making of the project Steering Committee.
7	The Pilot Project Manual should be promoted to focal points, user associations, NGOs, and other stakeholders; and placed on the web-site for easy access. Key issues should be included such as developing and signing contracts between partner agencies and local communities of businesses, how to take precautions around COVID, maintaining medical equipment on the project site. The Pilot Project Manual should form part of the “lessons learned” from the NB-ITTAS project and promoted through “Experience Notes” on IW:LEARN.
8	The project needs to finalize its review and assessment of project indicators and have the changes approved of by the Steering Committee to facilitate monitoring of the project.
9	The project should ensure promotion of the innovation and experiences in developing and implementing a truly conjunctive management project by developing an “Experience Note”; promote lessons learned at the next IW Conference; and ensure media profiling under output 4.1.7
10	Where possible and feasible, national academic institutions and NGOs should be encouraged to be involved in the implementation of pilot projects and the collection and analysis of data. This helps develop greater cohesion between line agencies responsible for many activities and academic institutions and NGOs and promotes greater sustainability of project benefits.
11	The PCU and the executing agencies should align and streamline administrative procedures to ensure that there are no further hold up of funds for the pilot projects, in particular at the local community level. The procedure should be presented at the next Steering Committee meeting.
12	Ensure the amount of funds each country receives to implement pilot project in component 2 is balanced and reasonable based on the number and size of the projects.
13	Where possible, the private sector should be collaborated with to help advance outcome 3.2
14	To ensure active participation in key internet (web-based) meetings the project should consider renting conference room space at hotels with acceptable internet connection and IT support, providing food, and explore the possibility of an honorarium for participation.

6 Annex A -MTR ToR (excluding ToR annexes)

● Mid-Term Review Terms of Reference

Standard Template 1: Formatted for attachment to [UNDP Procurement Website](#)

1. INTRODUCTION

This is the Terms of Reference (ToR) for the Midterm Review (MTR) of the *full or medium*-sized UNDP-supported GEF-financed project titled *Project Title* (PIMS#) implemented through the *Executing Agency/Implementing Partner*, which is to be undertaken in *year*. The project started on the *Project Document signature date* and is in its *third* year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (*insert hyperlink*).

2. PROJECT BACKGROUND INFORMATION

The project was designed to: *(provide a brief introduction to the project including project goal, objective and key outcomes, its location, timeframe, the justification for the project, total budget and planned co-financing. Briefly describe the institutional arrangements of the project and any other relevant partners and stakeholders).*

3. MTR PURPOSE

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

(Expand on the above text to clearly explain why the MTR is being conducted, who will use or act on the MTR results and how they will use or act on the results. The MTR purpose should explain why the MTR is being conducted at this time and how the MTR fits within the Commissioning Unit's evaluation plan.)

4. MTR APPROACH & METHODOLOGY

The MTR report must provide evidence-based information that is credible, reliable and useful.

The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach⁵⁶ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list)*; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to *(location)*, including the following project sites *(list)*.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

(Note: The TOR should retain enough flexibility for the MTR team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in MTR Inception Report)

The final MTR report must describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?

⁵⁶ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
 - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ⁵⁷	Baseline Level ⁵⁸	Level in 1 st PIR (self-reported)	Midterm Target ⁵⁹	End-of-project Target	Midterm Level & Assessment ⁶⁰	Achievement Rating ⁶¹	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive ManagementManagement Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?

⁵⁷ Populate with data from the Logframe and scorecards

⁵⁸ Populate with data from the Project Document

⁵⁹ If available

⁶⁰ Colour code this column only

⁶¹ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
		TOTAL			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file.)

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
 - The project's overall safeguards risk categorization.
 - The identified types of risks⁶² (in the SESP).
 - The individual risk ratings (in the SESP) .
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures

⁶² Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications & Knowledge Management:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors,

income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR team will include a section in the MTR report for evidence-based conclusions, in light of the findings.

Additionally, the MTR consultant/team is expected to make recommendations to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for (*Project Title*)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	

	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately (#) working days over a time period of (#) of weeks, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	# days (recommended: 2-4 days)	(date)
MTR mission: stakeholder meetings, interviews, field visits	# days (recommended: 7-15 days)	(date)
Presentation of initial findings- last day of the MTR mission	1 day	(date)
Preparing draft report (due within 3 weeks of the MTR mission)	# days (recommended: 5-10 days)	(date)
Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft) <i>(note: accommodate time delay in dates for circulation and review of the draft report)</i>	# days (recommended: 3-4 days)	(date)

Options for site visits should be provided in the Inception Report.

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit
3	Draft MTR Report	Full draft report (using guidelines on content)	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA,

		outlined in Annex B) with annexes		Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is *(In the case of single-country projects, the Commissioning Unit is the UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing this MTR resides with the country or agency or regional coordination body – please confirm with the RTA in the region – that is receiving the larger proportion of GEF financing. For global projects, the Commissioning Unit can be the Vertical Fund Directorate in Nature, Climate and Energy or the lead UNDP Country Office).*

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements *within the country* for the MTR team and will provide an updated stakeholder list with contact details (phone and email). The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TEAM COMPOSITION

A team of *two independent consultants* will conduct the MTR - *one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project.* The team leader will *(add details, as appropriate, e.g. be responsible for the overall design and writing of the TE report, etc.)* The team expert will *(add details, as appropriate, e.g. assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.)*

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas: *(give a weight to all these qualifications so applicants know what is the maximum amount of points they can earn for the technical evaluation)*

Education

- A Master's degree in *(fill in)*, or other closely related field

Experience

- Relevant experience with result-based management evaluation methodologies;

- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to *(fill in GEF Focal Area)*;
- Experience in evaluating projects;
- Experience working in *(region of project)*;
- Experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and *(fill in GEF Focal Area)*; experience in gender sensitive evaluation and analysis.
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset.

Language

- Fluency in written and spoken English.
- *Add language, if needed*

10. ETHICS

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

11. PAYMENT SCHEDULE

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%⁶³:

- The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

12. APPLICATION PROCESS⁶⁴

(Adjust this section if a vetted roster will be used)

Recommended Presentation of Proposal:

- Letter of Confirmation of Interest and Availability** using the [template](#)⁶⁵ provided by UNDP;
- CV** and a **Personal History Form** ([P11 form](#)⁶⁶);
- Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address *(fill address)* in a sealed envelope indicating the following reference “Consultant for *(project title)* Midterm Review” or by email at the following address ONLY: *(fill email)* by ***(time and date)***. Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be

⁶³ The Commissioning Unit is obligated to issue payments to the MTR team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the MTR team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit’s senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

⁶⁴ Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP:

<https://popp.undp.org/SitePages/POPPRoot.aspx>

⁶⁵

<https://intranet.undp.org/unit/bom/psu/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

⁶⁶ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

7 Annex B - MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Evaluative Questions	Indicators	Sources	Methodology
Project strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
To what extent is the project strategy relevant to country priorities and interest?	Assessment of alignment to National strategies, regulations, policies.	Project partners, national level stakeholders, national policies, international commitments,	Interviews, document analysis
To what extent is the project owned by the beneficiary countries?	Assessment of level of commitment and engagement,	Co-financing commitments, level of participation,	Co-finance letters, sending people to meetings, timely review of documents,
Is the approach laid out in the Project Document the most effective and efficient manner to reach the expected results?	Assessment level of Results Framework and Theory of Change; level of coherence between project design and implementation approach; quality of risk mitigation strategies	Project Document, project partners	Literature review, document analysis, interviews.
Progress Towards Results:			
Have overall project outcomes and objectives been achieved, or are on the way to being achieved?	From Results Framework	project documents, national policies or strategies, websites, project staff, project partners,	document analysis, data analysis, interviews with project staff, interviews with stakeholders,
Component 1	From Results Framework		
Component 2	From Results Framework		
Component 3	From Results Framework		
Component 4	From Results Framework		
Project Implementation and Adaptive Management:			
Has the project been implemented efficiently and cost-effectively?	Assessment of outcomes against time taken; Assessment of outcomes against costs.	Project Documents, reporting, minutes of SC meetings, GEF Tracking Tool	Document Analysis
Has the project been able to adapt to any changing conditions thus far?	Level of flexibility in addressing problems or changing circumstances.	Project Documents, reporting, minutes of SC meetings, discussions with PCU & partners	Document Analysis and interviews.

Evaluative Questions	Indicators	Sources	Methodology
To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?	Level of adherence to M&E plan described in Project Document	Project Documents, reporting, minutes of SC meetings, GEF Tracking Tool	Document Analysis
Sustainability:			
To what extent are there financial risks to sustaining long-term project results?	Assessment level of financial commitment	Documents, national policies, future funding sources, financial commitments,	Literature and document review, interviews.
To what extent are there institutional risks to sustaining long-term project results?	Assessment level of institutional commitment	Documents, national policies, regulations, international commitments,	Literature and document review, interviews.
To what extent are there socio-economic risks to sustaining long-term project results?	Assessment level of socio (political) economic risks	Documents, media, political statements, partners,	Literature review, interviews, web sites media search,
To what extent are there environmental risks to sustaining long-term project results?	Assessment of environmental conditions affecting physical project outcomes.	EIAs where applicable, impacts assessment, TDA,	Literature review, interviews.

8 Annex C- Example Questionnaire or Interview Guide used for data collection

Note the Guides are in French as many interviews will be conducted in French.

Interview guides with the Project Management Unit (Coordinator and Animators of components 1, 2 and 3) and members of the Project Steering Committee

Interviewee (Mr/Mme) :

Role :

Mail :

Telephone :

1. Project strategy

1.1. Was the project strategy (theory of change) for NB-ITTS well defined and successful so far in strengthening water resources management (surface and groundwater) in the region?

1.2 How do you think it will strengthen water resources management at the end of the project? (Give some examples)

2. Progress towards achieving results

2.1. Have the expected results and project activities (in which you participated) been achieved as planned to date, on time and on budget? If not, why not? How can this be improved for the remainder of the project duration?

2.2. Are the project indicators appropriate in number and scope? Do you think the indicators used to "measure success" are SMART? Could they be improved?

2.3. Do you think that the objectives are linked to the indicators and that they represent adequate measures of success? Should any of the objectives be redefined to be more realistic in the current circumstances? (name some).

2.4. Has the process of developing the TDA for TTAS and the SAP for ITTAS been effective? How can it be improved for the rest of the project?

2.5. What is the status of the demonstration projects?

2.6. Have the project products, such as reports, been accepted or used by decision-makers?

2.7 Has there been a significant positive change in the biodiversity and natural resource conservation of the project area?

2.8. How likely is it that industry will adopt the polluter pays principle and implement TEST approaches after the project is completed?

2.9. What are the main activities from June 2019 to June 2021?

2.10. What is the level of achievement of each component, in your opinion?

3. Sustainability

3.1 Are there any risks (financial, socio-political, institutional, technical or environmental) that compromise the achievement of the project's objectives? For example, local unrest, changing government priorities, etc.

3.2. In order to ensure continuity and the achievement of the project's intended effects, what aspects of the project need to be emphasised, what additional measures need to be taken or what needs to change (e.g. greater coordination with partners, better involvement of national agencies, etc.)?

4. Management and coordination

4.1. Has the PCU performed its management and coordination functions?

4.2 How did the PCU help or hinder your participation in the implementation of project activities? (for partners, institutions, etc.)?

4.3. How effective was the management and coordination at activity level?

4.4. Could the PCU do more to improve management for the rest of the project duration? If so, what could it do?

5. Financial management

5.1. Have financial controls, including reporting, and planning enabled project management to make informed decisions about the budget and to allow for an adequate and timely flow of funds for the payment of satisfactory project performance?

5.2. Actual project (and sub-component) costs compared to budgeted costs - are they different, if so how and why?

5.3. What co-financing has been received to date and is the target likely to be met by the end of the project?

5.4. Was the budgeting and funding adequate and timely?

5.5. Institutional arrangements?

5.6. What institutional factors are present to help achieve or undermine project objectives? How can they be improved?

6. Assessment of monitoring and evaluation systems

Have the monitoring and evaluation tools been effective (PIR reports, SC meetings, etc.) both at PCU and partner level?

7. Adaptability

Did the implementation of the project(s) show adaptive management in terms of changing circumstances? For example, the modification of a demonstration site due to instability?

8. Stakeholder involvement

8.1. Has the project met its objectives in terms of stakeholder participation and engagement with all relevant partners and projects?

8.2. Was the collaboration/interaction between the different project partners and institutions effective during the implementation of the project?

8.3. Has the collaboration/interaction between the different project partners and institutions been effective and constructive to date? Have new relationships been developed between partners? How can stakeholder participation be improved?

9. Recommendations

Do you have any recommendations for the future of the project?

9 Annex D-Ratings Scales

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.

2	Unsatisfactory (U)	Implementation of most of the components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

10 Annex E - MTR mission itinerary

An information gathering mission took place from 25 to 26 August 2021, in the rural commune of Falmey to assess the progress of the pilot projects in Niger. This mission was led by Mr Ibrahim Madagou, national consultant.

Koudjé is a village in Dallol Bosso, located 200 km south of Niamey.

Wetlands Pilot Projects (Output 2.1)

Two (2) pilot projects were proposed by the PCU in collaboration with the Departmental Directorate of the Environment of Boboye and the local populations:

- One (1) pilot project on the mowing (deseeding) of a part of the Koudjé pond, colonised by an invasive aquatic plant (*Typha domingensis*);
- One (1) pilot project on the establishment of a collective garden and the composting of *Typha domingensis* stumps in Koudjé.

Stump removal: Producers have finalised the stump removal activity since April 2021, for an area of 10 ha. Stump removal allows the removal of the roots (stumps) of each plant taken in isolation. The rate of completion is 100%



Photo 1: leftover Typha after cutting at Koudjé (Falmey)

Establishment of a collective garden: This garden, covering an area of 10,000 m² (one hectare), has not yet been established due to a lack of resources for the installation of the fence and the purchase of inputs. It is important to remember that the site has been identified, and the owner has officially made it available to the groups in the form of a 20-year loan. The realization rate is +50%.

The interview with the local population made it possible to make the following observations: i) unpreparedness in the implementation of the pilot projects; ii) commitment of the beneficiaries to continue the activities; iii) refusal to supply the village groups' fund; iv) continuation of stumpage; v) re-evaluation of the amount received by the producers; vi) inadequate close monitoring by the project; vii) setting up composting facilities.

Difficulties encountered : The difficulties encountered can be summed up as the slowness of disbursement for the payment of local labour. There is also the failure to respect the timetable of activities and the absence of a first-aid kit. The beneficiaries mentioned the stings of ants, leeches and

bees during the work and the appearance of dermatitis on some participants. The beneficiaries noted the absence of the project during the supervision of the activity.

Pilot projects in protected areas (Output 2.2)

Because of the growing insecurity in this part of the country, the national consultant approached the team of local people using communication techniques (telephone calls and watsapp).

Ayorou is a commune located more than 200 km west of Niamey.

Two (2) pilot projects have been proposed by the PCU in collaboration with the Departmental Directorate of the Environment of Ayorou and the local populations:

- Restoration and protection of 10 ha of Bourgou (*Eichinocloa stagnia*) for Hippopotamus at the village level in the RNNK Hippopotamus in Firgoune in the Department of Arourou, with a 100% completion rate.
- Establishment of village woodlots on an area of 10 ha in Yalwani in Gothey department, with a completion rate of +50%.

Bourgou production: Producers have finalised the plantation activity since April 2021, for an area of 10 ha. This activity consists of several stages, including ploughing, transplanting and watering. The production of Bourgou helps to reduce human-hippo conflicts through habitat restoration. The implementation rate is 100%.



Photo 2 : Production of Bourgou at Firgoune (Ayorou) au 30/08/2021

Establishment of a village woodland: Within the framework of this activity in Yelwani, the following work was carried out: Information and sensitisation mission to the communities; Setting up of a management committee for the activity; Acquisition of materials for the production of forest seedlings in the nursery; Production of forest seedlings in the nursery and planting in anti-erosive structures (half-moon) at the site with a surface area of 10 ha selected.

Difficulties encountered : The difficulties encountered can be summed up as the slowness in the disbursement of funds for the payment of local labour, including the costs of guarding. There is also the failure to respect the timetable of activities. Other details related to the organisation of the site were not taken into account. These include the watering of the young Bourgou plantation and the absence of fencing to prevent domestic animals from roaming.

11 Annex F- List of persons interviewed

Agency	Name		e-mail adress	Interviewed
UNEP	Sinikinesh Beyene Jimma	UNEP Regional Technical Advisor	sinikinesh.jimma@un.org	23/08/2021
	Christine Haffner-Sifakis	Project Coordinator	christine.haffner-sifakis1@un.org	23/08/2021
	Pooja Bhimjiani	Financial Admin	pooja.bhimjiani@un.org	Email contact
	Linda Jonsson	Technical Advisor	linda.jonsson@un.org	23/08/2021
UNDP	Mahamane Lawali Elhadj Mahamane	CO Focal Point	mahamane.lawali@undp.org	
	Mourtala Sani	Project Coord	mourtala.sani@undp.org	16/08/2021
	Clotilde Goeman	UNDP-GEF Regional Technical Adviser	clotilde.goeman@undp.org	16/08/2021, 20/08/2021, 10/09/2021
NBA/PCU		NB-ITTA project coordinator	allomassot@yahoo.fr	16/08/2021, 20/9/2021, 10/09/2021
	Tchokponhoué Allomasso		(+229) 97 87 26 87 WHapp	
	Amsatou Djibo	Assistant to coordinator	amsatoudjibo2008@yahoo.fr	
	Seifu Kebede Gurmessa		kebedegurmessas@ukzn.ac.za	
	Younoussi Hamani	Monitoring specialist	Younoussi.hamani@gmail.com	16/08/2021
	Abdoulkarim Idrissa	Coord Comp 2 (NBA)	idrissa.abdoulkarim@yahoo.fr	16/08/2021
OSS	AbdelKader DODO	Coord Comp 1 - OSS	abdelkader.dodo@oss.org.tn	18/08/2021
UNIDO	Christian Susan	UNIDO coordinator	C.SUSAN@unido.org	10/08/2021
	Agnès Chanut	Coord Comp 3	agnes.chanut@da-vienna.at	4/08/2021
	Mamoudou Issoufou	+227 9061 4683. Comp 3 /	m.issoufou@unido.org	Sent Filled Questionnaire

UNESCO	Simone Grego	UNESCO coordinator	s.grego@unesco.org ;	1/09/2021
	Luciana Scrinzi	Assistant coordinator	l.scrinzi@unesco.org	1/09/2021
Experts	Timi Ali Kaoura	Expert previous project coordinator.	Timi_kaoura@yahoo.fr / tel 0022796994238	14/08/2021
Niger	Col Maman Ibrahim	Point Focal NB-ITTAS du Niger (Membre du Comité pilotage)	Tél. : 96 10 86 00/90 30 20 86	Email 24/09/2021
	<i>Elh Almansour SILIMANE</i> remplacé par Mr Ibrahim Beidou , Président de ladite institution	<i>Chargé des questions Environnementales et Sociales à la Coordination Nationale des Usagers et Usagères des ressources du Bassin du Niger (CNU)</i>		28/07/21
	Col Moustapha Ibrahim	Directeur Départemental de l'Environnement d'Ayérrou	96 27 20 75 / 92 35 76 46	Questionnaire 29/07/21
	Col Saidou Hama	Directeur Départemental de l'Environnement de Falmey	96 27 86 73	11/08/2021
	Arfou Saley Baouna	Conservateur de la Réserve Naturelle Nationale de Kandadji et Sanctuaire des hippopotames	96 56 26 15	14/08/2021
	Biba Adamou	(Structure bénéficiaire)	S/C 96 27 86 73	12/08/2021
	Idé Maïtchido (ajouté à la liste)	Chef de Service communal de l'Environnement de Falmey (superviseur des travaux)	98 08 48 58	11/08/201
	Salmou Hinssa	Présidente SCOOPS DOGONEY de Falmey Kaina	S/C 74 85 24 26	11/08/21

		(Structure bénéficiaire)		
	Adamou ABDOU	Vice maire de la commune de Falmey	88 95 66 06	Contacted
	Moumouni Abdou	Président SCOOPS GNAYZE BA NOOROU de Falmey (Structure bénéficiaire)	98 68 47 23	12/08/2021
	Aissatou Moussa	Présidente SCOOPS IR MACHARDI de Ayérou		Questionnaire 29/07/21
Country Focal points				
Cameroun	Dr FOBANE Jean-Louis	chargé de cours au département des sciences biologiques – lancement supérieur (higher education)	jfobane@yahoo.fr tel: 237 699 27 90 07	20/08/2021
Tchad	DJIMASNGAR Madjide	Ingénieur en Développement rural.	djimasngarmadjide@gmail.com (235) 63666678 / 91636328	Questionnaire 09/08/2021
Mali	Niazié MALLET	Chef de section aménagement des réserves de faune, des zones humides et des parcs zoologiques	mallet80dnef@yahoo.fr +223 73 43 63 84	Questionnaire No reply
Guinée	MAGASSOUBA Bakary	spécialiste en biodiversité	magass56@yahoo.fr +224 628 14 81 50	Questionnaire 10/08/2021
Burkina	YAMEOGO Dieudonné	Inspecteur des Eaux et Forêts.	Tél : 226 70 75 23 39 Email : yam_dieu@yahoo.fr	Questionnaire 12/08/2021

Nigéria	LABARAN Ahmed and Mike Omuetha	MSc Environment Management;	labaranahmed98@gmail.com +234 8068291626	17/08/2021
Bénin	Loetitia HOUNDELO ATTINDEBAKOU	Chef service de la conservation et de la promotion des Ressources Naturelles	hildahoun@yahoo.fr +229 97 44 50 86	Sent Filled Questionnaire No reply
Steering Committee				
Cameroun	BRING Christophe	Chef de la Division des Etudes, des Projets et de Coopération au Ministère de l'Environnement, de la Protection de la Nature et du Développement Durabl	bringchristophe@yahoo.fr Tel: 00 237 699869354/00237 674140008	20/09/2021
Niger	Rabé Sanoussi	Structure nationale focale par interim	rsanoussi2001@yahoo.fr	16/09/21
Nigéria	Engineer Clement Nze	Director-General, Nigeria Hydrological services Agency	clemnze2000@gmail.com +234 803 318 5945	

12 Annex G - List of documents requested and reviewed

NBA (2016) Report of the ABN/OSS « Validation Workshop » 21-22 April, 2016, Tunis.

NBA OSS, UNIDO & UNESCO (2019) Rapport Annuel D'Activités 2019 - Projet « Améliorer la GIRE, la gestion et la gouvernance fondées sur la connaissance du bassin du Niger et du système aquifère d'Iullemeden-Taoudeni/Tanezrouft (SAIT) »

NBA, OSS, UNIDO & UNESCO, (2019) Bilan Annuel de Mise en œuvre du Plan de Travail Annuel 2020 (Sep 2019- Sep 2020).

NBA OSS, UNIDO & UNESCO (2021) Bilan Annuel de Mise en œuvre des Activités (Janvier-Décembre 2020) - Projet « Améliorer la GIRE, la gestion et la gouvernance fondées sur la connaissance du bassin du Niger et du système aquifère d'Iullemeden-Taoudeni/Tanezrouft (SAIT) »

GEF (2014) STAP Scientific and Technical screening of the Project Identification Form (PIF) of Improving IWRM, Knowledge based Management and Governance of the Niger Basin and the Iullemeden Taoudeni Tanezrouft Aquifer System (ITTAS) – 24 Feb 2014

GEF (2014) Secretariat Review of Improving IWRM, Knowledge based Management and Governance of the Niger Basin and the Iullemeden Taoudeni Tanezrouft Aquifer System (ITTAS) – Jan 2014

OSS (2019-2021) Rapports Trimestriel de Progress de Project

PCU (2018) Initiation Plan for PPG - Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS).

https://undpgefpmis.org/attachments/4798/213561/1671794/1672076/UNDP-GEF%20Initiation%20Plan%20PIMS%204798_05_08_2014.doc

PCU (????) Social and Environmental Screening Template

PCU (2017) GEF International Waters Tracking Tool. PIMS 4798 – 28 March 2017

PCU-NBA (2019a) Rapport de Synthèse Atelier Lancement (Inception Report) NB-ITTAS, Niamey, 20-22 May 2019.

PCU-NBA (2019b) Annual Activity Report, December 2019 (Projet « Améliorer la GIRE, la gestion et la gouvernance fondées sur la connaissance du bassin du Niger et du système aquifère d'Iullemeden-Taoudeni/Tanezrouft (SAIT) »

PCU (2020a) Project Information Report (PIR).

PCU (2020b) Rapport de la Session 2020 – 2nd Comité de Pilotage du Project NB-ITTAS (Décembre 2020).

PCU (2021) – Financial expenses and accounting (Quarterly reports from OSS ; Annual reporting from UNESCO ; Annual reporting from NBA.

PCU (2021) – GEF Performance Indicator Tracker tool (excel files). With comments and inclusions from OSS and UNESCO.

PCU (2021) - Rapport Trimestriel de Progress de Project (1 jan-30 juin)

Susan, C. & Interweis, K. (2018), *GEF Guidance Documents to Economic Valuation of Ecosystem Services in IW Projects*; Subcomponent 4.1 Systematic consideration of the economic valuation of natural resources into the TDA/SAP process, GEF IW:LEARN, April 2018.

UNDP (2018) ProDoc: Improving IWRM, knowledge-based management and governance of the Niger Basin and the Iullemeden-Taoudeni/Tanezrouft Aquifer System (ITTAS)

UNDP. (2009). *Handbook on planning, monitoring and evaluation for development results* United Nations Development Programme, New York, 2009 Retrieved from: <http://www.undp.org/eo/handbook>

UNDP. (2013). *Innovations in Monitoring and Evaluating Results* United Nations Development Programme, 5 November 2013 Retrieved from: <http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/>

UNDP-GEF. (2014). *Guidance for conducting midterm reviews of UNDP-supported, GEF-financed projects* United Nations Development Programme, 2014 Retrieved from: web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf

UNEP (????) Environmental, Social and Economic Review Note for NB-ITTAS (*Note deemed low risk*) available from https://addis.unep.org/projectdatabases/00850/project_general_info

UNIDO (2020a) Project de Normes de Rejet des Pollutants dans le Bassin du Niger; « Améliorer la gestion et la gouvernance fondées sur les connaissances de la GIRE du Bassin du Niger et du système aquifère Iullemeden-Taoudeni / Tanezrouft – NB-ITTAS » février 2020.

UNIDO (2020b) Pollution Hotspots in the Niger Basin: Short list of potential pilot enterprises for TEST Niger. TEST Roll-out in the Niger Basin ; “Introduce Systematic and Integrated Approaches of Industrial Competitiveness and Environmental/Social Responsibility to Reduce Wastewater Discharges and Pollution Loads in the Niger River” – SAD ID: 140323; August 2020. (Also translated into French)

UNIDO (2020c) TEST Niger Project : supporting the industrial competitiveness and environmental performance of companies in the Niger Basin. Brochure.

13 Websites visited

Website	Comments
GEF Project Data for NB-ITTAS https://www.thegef.org/project/improving-iwrm-knowledge-based-management-and-governance-niger-basin-and-iullemeden	Overall information and available project Documents.
IW:LEARN project page https://www.iwlearn.net/iw-projects/5535	Contains information on the project. But the start date (18 Feb 2014) and end date (31 Mar 2019) are wrong. Financing information needs updating. Has UNEP as the lead implementing agency. PIF is available from 2014.
UNDP project website On UNDP Open Planet	Lists SDG targets, 12.2, 13.1, 15.1 Has only govt of Niger as implementing partners. ProDoc available for download.
UNEP project website On Addis System	Lists the UNEP portion of the project – OSS partner etc.
ITTAS Website : http://projet.oss-online.org/ittas/index.php/en/	Outlines the OSS activities.
Project Website ??	No functioning project website.

PLACE LIST

14 Annex H – LogFrame

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: Not Applicable					
Country Programme Outcome Indicators: Not Applicable					
Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): 2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation 1.3. Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste					
Applicable GEF Strategic Objective and Program: GEF 5 IW A): Catalyse multi-state cooperation to balance conflicting water uses in trans-boundary surface and groundwater basins while considering climatic variability and change GEF 5 IW C): Support foundational capacity building, portfolio learning, and targeted research needs for joint, ecosystem-based management of trans-boundary water systems					
Applicable GEF Expected Outcomes: Outcome 1.3: Innovative solutions implemented for reduced pollution, improved water use efficiency, sustainable fisheries with rights-based management, IWRM, water supply protection in SIDS, and aquifer and catchment protection Outcome 3.3: IW portfolio capacity and performance enhanced from active learning/KM/experience sharing					
Applicable GEF Outcome Indicators: Indicator 1.3: Measurable water- related results from local demonstrations Indicator 3.3: GEF 5 performance improved over GEF 4 per data from IW Tracking Tool; capacity survey The project will contribute to SDG 6, in particular the targets 6.3, 6.4, 6.5, and 6.6. and the project's M&E framework which will be reviewed and refined during the inception phase, will include relevant indicators that will track the progress towards these targets, including SDG indicators: 6.3.1 Percentage of wastewater safely treated, 6.3.2 Percentage of bodies of water with good ambient water quality, 6.4.1 Percentage change in water use efficiency over time, 6.4.2 Percentage of total available water resources used, taking environmental water requirements into account (level of water stress), 6.5.1 Degree of integrated water resources management implementation (0-100), 6.6.1 Percentage of change in the extent of water-related ecosystems over time					
Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
Project Objective: The objective of the project is to improve knowledge-based management, governance and resource conservation of	Water balance within NB/ITTAS compared to 1970 level with sub-indicators as appropriate ⁶⁷ . State of development of common monitoring	Water balance for Niger defined at a number of critical points and IAS at CT ⁶⁸ (3.3 m ³ /s) and for CI ⁶⁹ (1,61m ³ /s) based on 1970 Referential time.	15% reduction of Gini ⁷⁰ coefficient (as related to per capita water consumption) across all NBA/ITTAS countries Common harmonized monitoring system for key	Research Results Interviews with OSS, NBA, member country representatives, project reports Status reports (with numbers of sites,	countries have an interest to implement monitoring of water systems and pollution in a harmonized way on transboundary levels and are endowed with

⁶⁷ Water Balance was established from groundwater modelling with PMODFLOW. The referential year/period is 1970. The oldest piezometric map & water level is given from 1970 based on several studies in the area. Year 1970 was the period where huge campaign for drilling boreholes was launched after the extreme 1968-1970 drought.

⁶⁸ CT is the "Continental Terminal" aquifer

⁶⁹ CI is the "Continental Intercalaire" aquifer

⁷⁰ Gini coefficient The Gini Coefficient is one of the most commonly used indicators for measuring distribution. It is traditionally applied to the measurement of income inequality, but has also been applied to measure land inequality. The closer that the Gini coefficient is to 0, the more equal the distribution.

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
the Niger River Basin and the Iullemeden-Taoudéni/Tanezrouft Aquifers (ITTAS), to support IWRM for the benefit of communities and the resilience of ecosystems	<p>system measured through parameters and methods monitored</p> <p>Number of demonstration projects yielding positive outcomes (use of sub-indicators)</p> <p>Degree to which ecosystem-based and integrated SW/GW management approach is integrated into the NBA SDAP and IP</p> <p>Degree to which principles of User-Payer and especially Polluter-Payer have been developed and harmonized across all NBA/ITTAS member states.</p> <p>Level of governance of the integrated SW/GW resource at the national and regional levels</p> <p>Number of women sensitized, through outreach activities, with the key messages that the project promote regarding IWRM and Water Use Efficiency and improved water resources management in the NB-ITTAS.</p>	<p>Global Water balance ITTAS established in 2013.</p> <p>Fragmented and insufficient monitoring, with differences among countries</p> <p>Niger Basin water charter basis for common legislation, but not implemented or enforced on country levels</p> <p>Although mandated, NBA attention to groundwater is significantly lower than for surface water.</p> <p>User-Payer principles are generally not implemented in any of the countries</p> <p>In most countries level of SW/GW conjunctive management is minimal</p> <p>No training or sensitization activities organized by NBA or OSS targeting women.</p>	<p>environmental variables in place and operational</p> <p>Transboundary Conjunctive Water management based on scientific modelling and Transboundary mechanisms for International Water management have increased</p> <p>Water balance within the NB/ITTAS higher than 1970 (pre-drought) levels. .</p> <p>Water balance for ITTAS at CT and Ci well established.</p> <p>Mechanism for long-term and sustainable governance of the surface and ground waters of the ITTAS and Niger Basin is ready for phased roll out</p> <p>At least 25 women in the basin trained to become outreach agents</p> <p>At least 100 women in each basin country sensitized about the key messages from the project</p>	<p>samples collected etc) for transboundary and national monitoring systems, access to databases</p> <p>Number of sub-basins for which management is scientifically-based (using models etc) can be verified through NBA and member countries</p> <p>The models set up and calibrated as part of this project will be used to evaluate water balance trends through the course of the project and beyond</p> <p>Interviews with OSS, NBA, member country representatives, project reports</p> <p>Reports on training and sensitization will be gender-disaggregated</p>	<p>similar equipment and use similar methods which are feasible</p> <p>countries have an interest to implement monitoring of water systems and pollution in a harmonized way on transboundary levels</p> <p>countries have an interest to implement improved and harmonized legislation with respect to conjunctive water management and pollution control on transboundary levels and have the capacities to enforce it.</p>
Outcome 1.1.1: IWRM supported by a sound understanding of ground water resources and their linkages with surface water systems	<p>% of TTAS system modelled and understood to same level as IAS</p> <p>TDA for ITTAS completed and endorsed</p>	<p>IAS part has been modelled and understood with acceptable level of confidence. Global ITTAS model done (OSS, 2013).</p>	<p>Ground and surface water interaction modelled and quantified for entire ITTAS to same level as currently for IAS</p> <p>NBA SDAP and IP has fully incorporated applicable parts of ITTAS SAP</p>	<p>TDA/SAP completed and endorsed</p> <p>Updated NBA SDAP and IP reflecting the fully integrated inclusion of the ITTAS SAP Configuration of</p>	<p>Risks</p> <p>Accessibility to all necessary parts of the ITTAS for field work may be a challenge</p> <p>Lack of adequate data for accurate modelling</p>

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
	SAP for ITTAS completed and endorsed # of water balance and allocation modelling that incorporates both GW and SW % of Community-level IWRM initiatives taking integrated GW/SW planning and utilization approach	No TDA or similar analysis for ITTAs No SAP for either IAS or TTAS Water balance and water allocation models for SW and GW are largely separate Most water resource development and planning initiatives carried out separately for SW and GW Major gaps in capacity (HR and technical equipment) to accomplish research and political actions	NBA and other institutions' water balance and allocation models fully include conjunctive use approach TDA completed and signed off at the technical level by each country SAP (and NAPs at national levels) completed and endorsed by designated ministers in each country. All water resource development and planning initiatives adopt an integrated SW/GW approach Adequate HR and equipment in place for monitoring and other actions	water balance and allocation models IWRM Planning reports and designs Consultation with stakeholders HR and equipment audits research reports, interviews with OSS and independent scientists, visits to OSS and NBA	political resistance towards Transboundary Water Management and SAP implementation Assumptions Despite the fact that the IAS modelling was done +/- 7 years ago, it will still be possible to integrate both components of the ITTAS aquifer Unhindered implementation of research activities, sufficient capacities developed, all required equipment procured
Output 1.1.1: Hydrogeological functioning of/and linkages between the Iullemeden, Taoudéni-Tanezrouft Aquifers (ITTAS), other aquifers systems and the surface waters of Niger River Basin	% of TTAS system modelled and understood to same level as IAS Functioning of Models for total ITTAS area with respect to the production of information relevant to CWM (distances between recovery and recharge areas, the permeability and storage capacities of the aquifer system, the time lag between extraction of water from one resource and its impact on the other, transmissivity etc. Model results under conditions of climate change generated	Hydrological models available only for IAS in a simplified form reduced to CI and CT with low resolution. Full research chain exists for IAS Global model in place (OSS, 2013) ⁷¹ covering the overall ITTAS	A full research chain including data collection, modelling and mapping exists for TTAS in the same way as currently for IAS Detailed functioning models deliver all necessary parameters on available for total ITTAS in higher resolution Functioning models which have been run under condition of climate change	TDA/SAP completed and endorsed Updated NBA SDAP and IP reflecting the fully integrated inclusion of the ITTAS NBA SAP Configuration of water balance and allocation models IWRM Planning reports and designs Consultation with stakeholders	Risks Accessibility to all necessary parts of the ITTAS for field work may be a challenge Lack of adequate data for accurate modelling Assumptions Despite the fact that the IAS modelling was done +/- 7 years ago, it will still be possible to integrate both components of the ITTAS aquifer

⁷¹ OSS, 2013. Modélisation et vulnérabilité. 121 pages, 97 figures, 17 tableaux. 26.6 Mo

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
Output 1.1.2: Technically Cleared TDA and SAP for the ITTAS	TDA and SAP for ITTAS completed and endorsed Availability of TDA/SAP for TTAS, measured by list of SAP-SDAP parameters based upon SAP IAS according to Scorecard	No TDA or similar analysis for TTAS No SAP (only TDA) for IAS	NBA SDAP and IP has fully incorporated applicable parts of ITTAS SAP TDA completed and signed off at the technical level by each country SAP (and NAPs at national levels) completed and endorsed by designated ministers in each country.	TDA/SAP completed and endorsed Updated NBA SDAP and IP reflecting inclusion of the NBA SAP. NBA's SDAP updated by ITTAS SAP	Risks Difficulties associated to differences between NBA and ITTAS geographical areas Need to involve other institutions (e.g. OMVS as GICRESAIT Steering Committee member)(who have not been sufficiently part of process. Challenges associated with integration into already completed SDAP and IP. Assumptions
Output 1.1.3: Strengthened Capacity of National and Regional Water Managers	Number of persons in specific institutions (NBA, OSS and others) with full working knowledge of TDA/SAP process Number of persons in specific institutions (NBA, OSS and others) able to run and update ITTAS groundwater models. Number of persons within specific institutions with experience in GW/SW (Sex-disaggregated data will be collected.)	Very limited capacity within NBA and regional institutions in groundwater modelling Some capacity and experience within NBA, OSS, regional and national institutions in TDA/SAP process and work Very limited capacity and experience in the setting up and operation of integrated SW/GW balance and allocation models	Capacity gaps of establishing TDA/SAP are reduced according to Score Card which will be established during inception phase All water resource development and planning initiatives within OSS, NBA and others adopt an integrated SW/GW approach OSS, NBA and other institutions' water balance and allocation models fully include conjunctive use	Configuration of water balance and allocation models IWRM Planning reports and designs Consultation with stakeholders	Risks Loss of capacity from staff turnover, braindrain Assumptions Water management institutions have adequate manpower and low staff turnover
Outcome 2.1: Niger Basin Users Associations and National NGOs engaged in basin resources management and conservation for better control of flood/drought/pollution, reduction of pressure on land, forest and biodiversity while	a) Area of Infestation by aquatic weeds at selected project sites b) % of total area of all wetland demonstration sites in which biodiversity has been restored to > 50% of status of reference site. c) % of total area of all protected area demonstration sites in	a) High infestation rates particularly in Nigeria are impeding navigation, fishing etc b-d) "original" state biodiversity to be defined during inception and the area under this condition. Good condition reference sites to be surveyed for definition	a) River users (navigation and fisheries) not significantly impeded by aquatic weeds b) Biodiversity of aquatic ecosystems restored to 50% of status of reference sites c) Biodiversity of wetlands at demonstration sites restored to 50% of that of reference sites	a) Volume of traffic, tonnes catch and questionnaires completed by users b-d) biodiversity and condition of relatively undisturbed reference sites to established for each ecosystem e) gauging station to be set up and rated for water/level discharge	Assumptions a) Equipment and land management skills sufficient b – e) adequate resources for surveys, cooperation of research institutions (universities, etc.) f) adequate resources for operation and maintenance of gauging station

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
improving living conditions of households	<p>which biodiversity has been restored to > 50% of status of reference site.</p> <p>d) % of total area of all mountain forest ecosystem demonstration sites in which biodiversity has been restored to > 50% of status of reference site.</p> <p>e) Average change in sediment transport in selected streams exiting protected area and mountain forest ecosystem demonstration sites</p> <p>f) % of groundwater and conjunctive use demonstration sites where issues of water quality or quantity identified at inception have improved</p> <p>g) % of demonstration sites where drought and flood impacts have decreased (baseflow and flood index)</p> <p>h) Extent of combined use of surface and groundwater resources</p> <p>i) Average per capita income of populations at demonstration project areas (sex-disaggregated data will be collected.)</p> <p>j) Number of Equitable benefit-sharing regimes established among communities (sex-disaggregated data will be collected.)</p> <p>Participation of women in all demonstration</p>	<p>of targets (for each ecosystem type)</p> <p>e) sediment load monitoring programme to be setup during Inception Phase and continued through duration of project.</p> <p>f) To be established during Inception Phase</p> <p>g) SPI and flood index to be measured during Inception Phase and throughout project life</p> <p>h) to be established during Inception Phase</p> <p>i) To be established through survey of income and livelihoods during Inception</p> <p>j) To be established during project inception</p>	<p>d) Biodiversity of protected areas of Niger W, Chad and Northern Cameroon at demonstration sites restored to 50% of that of reference sites</p> <p>e) Mountain forest ecosystems in Upper Guinea, the Sikasso region and the Bani Basin in Mali, Adamaoua in Cameroon and Northern Benin effectively restored at demonstration sites to 50% of condition of reference sites</p> <p>f) 25% reduction in sediment load</p> <p>g) Values for dissolved oxygen, pH, EC, NO3-N, Total coliform to be better than WHO standards</p> <p>h) 10% increase in baseflow 10% decrease in flood index</p> <p>i) 25 % increase in combined use</p> <p>i)-k) 50% increase in all three areas</p> <p>j) Gender Action Plan implemented</p> <p>k) Sex-disaggregated data tracked by the project show improvement in gender mainstreaming and women empowerment compared to the baseline.</p>	<p>and for sediment sampling</p> <p>f) stakeholder consultation and observation</p> <p>g) Field measurements</p> <p>h) stakeholder consultation and observation</p> <p>i) Socio-economic surveys</p> <p>j) stakeholder consultation and observation</p>	<p>g) Possible to detect trends</p>

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
	activities tracked in numbers. Gender Assessment both at the national and regional level produced. Gender Action Plan, based on the Gender Assessment, developed by end Year 1.				
Output 2.1.1: Protection of Aquatic Habitat and Biodiversity of Threatened Wetlands	% of the area of the wetlands of the Inner Delta, the Middle Niger and the Maritime Delta for which biodiversity restored % demonstration sites at which invasive aquatic plants have been effectively controlled % demonstration sites at which the biodiversity of aquatic ecosystems has been effectively restored.	Baseline description of biodiversity exists for the Inner Delta, the Middle Niger and the Maritime Delta Baseline description of level of infestation of invasive aquatic plants exists but may have to be improved and updated on a regular basis. Baseline description of biodiversity of aquatic systems exists but may have to be improved	Biodiversity of wetlands at demonstration sites restored to 50% of that of reference sites The most effective methods to control invasives and the financial sustainability plan to maintain them established at each demonstration site. Biodiversity of aquatic ecosystems at demonstration sites restored to 50% of that of reference sites Recommendations and implementation plan for replication and taking to scale in place	Biodiversity surveys and snapshots at demonstration sites (before and after)	Risks Current security situation in targeted areas may complicate implementation of demonstration projects in these areas.
Output 2.1.2: Restoration and Improved Management of Protected Areas	% of demonstration sites in W Niger for which the biodiversity of the protected areas has been restored % of demonstration sites in Chad for which the biodiversity of the protected areas has been restored % of demonstration sites in Northern Cameroon for which the biodiversity of the protected areas has been restored.	# demonstration projects already implemented under previous projects in each of the 3 targeted protected areas. Baseline description of biodiversity exists for the protected areas of W Niger, Chad and Northern Cameroon but may require updating and improvement	Biodiversity of protected areas of Niger W, Chad and Northern Cameroon restored at demonstration sites to 50% of that of reference sites Recommendations and implementation plan for replication and taking to scale in place	Surveys of condition of protected areas and snapshots at demonstration sites (before and after) Feedback from stakeholders aimed at assessing management levels	Risks Current security situation in targeted areas in Chad and Northern Cameroon may complicate implementation of demonstration projects in these areas.

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
Output 2.1.3: Restoration and Sustainable Management of Mountain Forest Ecosystems	% of demonstration sites in Upper Guinea for which mountain forest ecosystems have been restored. % of demonstration sites in the Sikasso Region, Mali for which mountain forest ecosystems have been restored % of demonstration sites in Bani Basin, Mali for which mountain forest ecosystems have been restored % of demonstration sites in the Adamaoua, Cameroon, Benin for which mountain forest ecosystems have been restored	# demonstration projects already implemented under previous projects in each of the 4 targeted protected areas. Baseline description of status of mountain forest ecosystems in Upper Guinea, the Sikasso region and the Bani Basin in Mali, Adamaoua in Cameroon and Northern Benin exists but may require updating and improvement	Mountain forest ecosystems in Upper Guinea, the Sikasso region and the Bani Basin in Mali, Adamaoua in Cameroon and Northern Benin at demonstration sites restored >50% of that of reference sites. Recommendations and implementation plan for replication and taking to scale in place	Surveys of mountain forest ecosystems and snapshots at demonstration sites (before and after)	Risks Current security situation in targeted areas may complicate implementation of demonstration projects in these areas.
Output 2.1.4: Demonstration of Best Practices in Groundwater Management and Integrated planning of Surface and Groundwater Resources	Number of demonstration projects chosen and successfully implemented % of demonstration sites where issues of water quality or quantity identified at inception have improved Whether or not recommendations and implementation plan for taking to scale are in place	Status of water quality and quantity issues as defined at each demonstration project Inception. Degree of conjunctive water management as defined at each demonstration project Inception	Issues of water quality or quantity as identified at inception have been resolved at each demonstration site Results disseminated and experience shared Plan for replication and taking to scale agreed and endorsed at national and NBA/ITTAS levels.	Surveys and snapshots at demonstration sites (before and after) Feedback from stakeholders	Risks Current security situation in targeted areas may complicate implementation of demonstration projects in these areas.
Output 2.1.5: Provision of Training to Basin Water User Associations	# of basin water user associations capacitated to an agreed standard. (sex-disaggregated data will be collected.)	Level of capacity in each project area to be assessed during Inception Phase for each demonstration project	Water user associations and other related stakeholder organizations in each demonstration project area all fully capacitated and independent	As part of monitoring and evaluation program	
Output 2.1.6: Strategy for linking up and integrating community-based interventions (Outputs 2.1.1 to 2.1.5) so that livelihood-based	Existence or not of national and NBA/ITTAS level endorsement of strategy for linking and integrating community-	No coherent strategies in place No policy recommendations in place.	Clear policies and guidelines in place for the linking and integrating of community-based projects in preparation for replication of pilots and taking to scale	Reports and documentation	

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
ecosystem management becomes the basis for the sustainable management of water resources basin-wide	based projects in preparation for replication of pilots and taking to scale Existence or not of policy recommendations supporting this at the national levels				
Outcome 3.1 Introduce systematic and integrated approach of industrial competitiveness and environmental/social responsibility to reduce wastewater discharges and pollution loads in the Niger River.	<ul style="list-style-type: none"> Over 50% of the TEST innovative approaches implemented at the pilot enterprise levels % decrease of concentration and/or volume discharges of the selected enterprises' recorded % Financial return on environmental investments and application of the TEST approach witnessed. % success rate after the introduction and implementation TEST Approach recorded in most pilot enterprises. Positive impacts on women from reduced pollution loads and discharges to the water system will be tracked (through interviews, etc.). 	<ul style="list-style-type: none"> Balance between industrial competitiveness and environmental/social responsibility were not a concern or a business as usual at polluting enterprises level 	<ul style="list-style-type: none"> More than half of the participating pilot enterprises have taken on board the proposed systematic and integrated approach of industrial competitiveness and environmental/social responsibility (based on baseline parameters), at least 10%⁷² decrease in the volume of a target pollutant in discharges from the selected enterprises' recorded Energy efficiency gain in operations at the participating enterprises, resulting from the application of the TEST approach At least 15 % financial return on environmental investments and application of the TEST approach witnessed at >2/3 of the sites TEST is piloted. Positive impacts on women recorded and the info shared widely. 	<ul style="list-style-type: none"> Project evaluation survey/report Laboratory results. Outcomes of interviews with enterprise' representatives. Voluntary disclosure of enterprises' financial reports. 	<p>Risks:</p> <ol style="list-style-type: none"> 1. Political Risks: Insufficient/lack of political will from NBA member countries and industries to "jointly" combat pollution and hazardous chemical discharges in the Niger River Basin. 2. Economical Risk: Economic factors (jobs, incomes, corporate earnings) might outweigh environmental consideration and resource conservation 3. Ownership Risks: Top management and shareholders of selected enterprises don't support the implementation of TEST approach midway through the project <p>Assumptions:</p> <ul style="list-style-type: none"> Pollution and contaminant discharges prevention and enforcement mechanism established, Manufacturing, mining and services related industries supported pollution control and prevention measures Industry decision makers are willing to create

⁷² the proposed targets will be reviewed and verified once the baseline assessment is done and the participating private sectors (those who are willing to invest) are identified [at the inception phase]"

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
					funds for introducing and integrating the TEST approach within their business operations
<p>Output 3.1.1</p> <p>Niger Basin Authority's Waterbody data/inventorying processes updated; pollution control and regulatory framework improved.</p> <p>(including the identification of causes and sources of pollution)</p>	<p>Degree of redefinition of regulatory standards, specifically in areas such as:</p> <ul style="list-style-type: none"> - Point sources of contamination; - Non-point sources of contamination; - Ecologically sensitive areas; - Areas with human health risks; - Areas with environmental degradation. <p>60-80% of previous scoring/grading standards for pollution hotspots reviewed and or revised as deemed necessary.</p> <ul style="list-style-type: none"> • New standards for pollution hotspots officially introduced. • Regulatory Policy reviewed, updated to current needs and good for implementation. 	<p>Absence of precise regulation and standards for discharging pollutants</p> <p>Insufficient/lack of political will to combat pollution;</p> <p>Inadequate enforcement of existing regulatory instruments to reprimand pollution (penalties, taxes, etc.).</p>	<p>Water pollution database fully accessible to all interested parties</p> <p>Report (printout and online) of water quality standards and regulations</p>	<ul style="list-style-type: none"> • Reviewed and updated Inventorying processes report, • NBA member state approval and adoption of updated inventory process report(s). • Mechanisms for policy implementation clearly defined and accepted by NBA member countries. 	<p>Risks:</p> <ol style="list-style-type: none"> 1. Absence of defined basin-wide regulatory standards for discharging pollutants. 2. Insufficient legal/monitory instruments to reprimand pollution (penalties, taxes, etc). 3. Insufficient financial resources for a basin-wide surface and groundwater quality monitoring at point source and non-point sources of contamination <p>Risk level: High to Medium</p> <p>Assumptions:</p> <p>NBA member countries place high priorities on the protection and conversation of natural resources and habitats.</p> <ul style="list-style-type: none"> • Pilot enterprises are willing to cooperate with the new inventorying process. • Piloting enterprises see the need for such exercise and the potential economic benefits to their business operations.
<p>Output 3.1.2.</p> <p>Pollution hot spots identified and customized to suit current needs; basin-wide assessment and select ion processes of pilot enterprises improved and mainstreamed.</p>	<p>Technical agreement reached/signed on NBA's member countries on their individual environmental priorities.</p> <p>Number of basin-wide diagnostic pollution hotspot survey carried</p>	<p>Insufficient financial resources for monitoring water quality</p> <p>Insufficient competent personnel for the monitoring of pollution often due to the reconversion skilled workers to other higher paying jobs.</p>	<p>List of enterprises prioritized on the basis of their contaminant discharges available</p> <p>9 basin-wide diagnostic pollution hotspot survey carried out in participating NBA countries.</p> <p>11 enterprises selected and diagnostic pollution hotspot survey customized to suit</p>	<p>Signed agreements by representatives of NBA member countries.</p> <p>Basin-wide diagnostic pollution hotspot reports.</p> <p>Voluntary commitment letters from selected enterprises signed and received by</p>	<p>Risks:</p> <ol style="list-style-type: none"> 1. Lack of comprehensive basin-wide environmental pollution/contamination data. <p>Level of risk: Medium</p> <p>Assumptions:</p> <p>Pollution diagnostic pollution hotspots reports.</p>

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
	<p>out in participating NBA countries.</p> <p>Number of willing (in terms of social responsibility and voluntary reporting) enterprises selected and diagnostic pollution hotspot survey customized to suit their business models and physical operations.</p> <p>Correlation of chosen Enterprises with level of their contaminant discharges</p>		their business models and physical operations	Project coordinating team and Counterparts. Progress project reporting.	Project monitoring and evaluation reports.
Output 3.1.3. Transfer of Environmentally Sound Technology (TEST) approach at the enterprise level efficiently introduced.	<p>number of customized EMS and EMA training and pollution monitoring modules for selected enterprises developed.</p> <p>Number of employees per demo site/ pilot enterprises are trained.</p> <p>Number of persons within the region trained so as to build reserved pools of private/external experts for future needs.</p> <p>Amount for potential investment in TEST approach earmarked at selected enterprises.</p> <p>Number of low cost RECP modifications at selected enterprises performed.</p>	Lack of knowledge and expertise about the clean technologies within NBA and ITTAS countries.	<p># of low cost CP modifications performed</p> <p>1 customized EMS and 1 customized EMA training and pollution monitoring modules for each of the selected enterprises developed</p> <p>At least 2 employees per demo site/ pilot enterprises are trained.</p> <p>15 persons within the region trained so as to build reserved pools of private/external experts for future needs.</p> <p>At least \$100,000 for potential investment in TEST approach earmarked at selected enterprises</p> <p>At least 9 low cost RECP modifications at selected enterprises performed .</p>	TEST assessment reports. Training attendance sheets. Project evaluation reports.	<p>Risks:</p> <p>1. Insufficient competent personnel at enterprises level for the monitoring of pollution</p> <p>Level of risk: Medium – Low</p> <p>Assumptions:</p> <p>Enterprises are willing to apply TEST methodological approach.</p> <p>Enterprises are willing to invest efforts in training employees for the introduction and or integration of the TEST approach.</p>
Output 3.1.4: TEST programme results and experiences disseminated	<p>TEST website for the region created and functional.</p> <p>Regional seminars to share TEST project results/lessons held.</p>	TEST programs and experiences were unknown in the basin, at least at enterprises level	Final workshop disseminates the lessons learned and final report is made available	Minutes of seminars held. Content and virtual activities/usage of the TEST website.	<p>Risks:</p> <p>1. TEST results might have socio-economic and political implications.</p>

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
	TEST project evaluation report submitted/presented to Regional Project Advisory Board and approved.				2. Civil communities might use TEST results to justify legal actions against participating enterprises Level of risk: Medium-Low Assumptions: Project stakeholders are in full agreement of project outcomes irrespective of the nature of lessons learned.
Outcome 3.2: Industrial Competitiveness and Environmental/Social Responsibility for reduced wastewater discharges reinforced by legal and policy frameworks	NBA polluter-payer guidelines agreed aimed at supporting development of harmonized laws/policies Number of NBA countries to have passed appropriate polluter-payer legislation Number of NBA countries to have developed effective polluter-payer policies	Polluter-payer principle acknowledged by most countries but legal basis is lacking Polluter-payer policies are weak or absent	Appropriate and effective harmonized polluter-payer laws in place across all basin states Appropriate and effective harmonized polluter-payer policies in place across all basin states Polluter-payer policies implemented and mechanisms to enforce laws in place across the basin	Laws on statute books Policies published Cases of enforcement recorded	
Output 3.2.1: Development of Proposals for Policy Mainstreaming to address Pollution Reduction in Partnership with the Private Sector	Best proposal agreed by basin states after stakeholder discussions (NBA) Recommendations made by responsible national institutions to national level law-makers Policies developed and published by responsible national level institutions	NBA had begun work on this initiative but progress has stalled in early stages No recommendations developed as yet	Proposals for Policy Mainstreaming to address Pollution Reduction in Partnership with the developed and the preferred option agreed and endorsed by at least two thirds (6 of the 9) Niger River Basin states	Endorsed agreement	Risks Important economic stakeholders at country level may resist change and complicate the task of policy-makers.
Output 3.2.2: Implementation of Harmonised Policies and Laws to address Pollution Reduction	Number of NBA countries to have passed appropriate polluter-payer legislation Number of NBA countries to have	Polluter-payer principle acknowledged by most countries but legal basis is lacking Polluter-payer policies are weak or absent	Appropriate and effective harmonized polluter-payer laws in place across all basin states Appropriate and effective harmonized polluter-payer policies in place across all basin states	Laws on statute books Policies published Cases of enforcement recorded	Risks Important economic stakeholders at country level may resist change and complicate the task of policy-makers.

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
	developed effective polluter-payer policies		Polluter-payer policies implemented and mechanisms to enforce laws in place across the basin		
Outcome 4.1: National Policies and Institutions, Civil Society Platforms support Niger River Ecosystem based management	<p>Short-term (provisional) governance mechanism for the surface and ground waters of the ITTAS and Niger Basin in place for project duration</p> <p>Long-term and sustainable governance mechanism for the surface and ground waters of the ITTAS and Niger Basin endorsed by NBA/ITTAS countries</p> <p>Platform for cooperation and collaborative action operational</p> <p># of academic and research institutions capacitated to provide required training courses</p> <p>\$ usefully spent on acquirement of specialist equipment for research and analysis</p> <p>Community and inter- state level transboundary learning mechanisms are in place</p> <p>Harmonized monitoring mechanisms in place</p> <p>Number of communication media, which report about conjunctive water management as well as positive impacts on</p>	<p>Currently institutional separation of groundwater and surface water management in most countries</p> <p>Although mandated, NBA experience and capacity in transboundary groundwater management and conjunctive GW/SW management is limited.</p> <p>Currently Research institutions not utilized as important source for scientific input or provision of training in basin management</p> <p>Insufficient and fragmented monitoring throughout the ITTAS and the Niger Basin</p> <p>No media reports on CWM</p> <p>No targeted communication efforts to disseminate positive impacts of improved water resources management on women, or women's contribution to improved water resources and catchment management in the basin</p>	<p>long-term and sustainable governance mechanism for the surface and ground waters of the ITTAS and Niger Basin ready for implementation</p> <p>Academic and research institutions are providing training on the management of basin resources</p> <p>Research at NBA/ITTAS national academic institutions is taking place on an ongoing basis</p> <p>Communities capacitated in transboundary basin management issues</p> <p>GW/SW experience sharing and communications active at all levels</p> <p>Additional research projects on combined NBA/ITTAS</p> <p>Harmonized monitoring programme in place and exists for at least 5 agreed indicators.</p> <p>At least the IWLEARN website plus three additional media acknowledge and report Conjunctive Water Management within the ITTAS and Niger Basin</p> <p>At least five media stories featuring women's positive contribution or positive impacts of improved water resources management practices in the basin on women disseminated through IW:LEARN, websites of NBA, OSS, or UNDP, and other channels.</p>	<p>Draft of Short-term option of governance mechanism (conjunctive management) for the surface and groundwater provided and suggested to the countries for validation;</p> <p>Draft of Long-term option of governance mechanism (conjunctive management) for the surface and groundwater & Road Map provided and suggested to the countries to validate;</p> <p>Documents describing the functions, activities and achievements of platforms as an evidence for institutional/ governance reforms realized at an ecosystem level within the basin to practice IWRM.</p> <p>Records of training workshops on the transboundary (conjunctive) management of basin resources;</p> <p>Review of media products in particular IWLEARN website, interview with media people</p> <p>NBA-ITTAS Website</p>	<p>Assumptions</p> <p>Political willingness in all countries existent to link groundwater management with surface water management on transboundary levels</p> <p>Research institutions interested to collaborate</p> <p>Countries interested into harmonized monitoring scheme</p> <p>Conjunctive management receives sufficient attention by media</p>

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
	women, number of media accessed				
Output 4.1.1: Assessment of current national and regional actors in ground and surface water management and Analysis of options for integrating surface and groundwater governance mechanisms	Existence or not of endorsed report (at national, NBA/ITTAS levels on the Analysis of options for integrating surface and groundwater governance mechanisms	There is an absence of agreed understanding on what options for integrated transboundary management of SW and GW	Agreement on analysis of current situation and recommendations going forward	Reports and documentation	Risks Vested interests of existing institutions
Output 4.1.2: Selection and Implementation of agreed Options for Integrated Governance to strengthen Conjunctive Management	Regional workshop to agree and finalize details held long-term and sustainable governance mechanism for the surface and ground waters of the ITTAS and Niger Basin endorsed by NBA/ITTAS countries	No governance mechanism in place for the joint management of linked transboundary GW and SW resources	Mechanism for long-term and sustainable governance of the surface and ground waters of the ITTAS and Niger Basin in ready for phased roll out.	Reports (on Options) and documentation	Risks Vested interests of existing institutions
Output 4.1.3: Policy actions at regional and national levels to further integrate conjunctive management of transboundary ground and surface waters into SDAP, National plans and strategies leading to mainstreaming and implementation of policy reforms	Completed assessment of policy and related institutional arrangements related to management of SW and GW. Recommendations for policy actions at national and regional levels Updated SAP for the Niger River Basin and accompanying NAPs Gender mainstreaming efforts in SAP and NAPs	Existing policy on integrated conjunctive management of SW and GW is weak or non-existent SAP and NAPs exist but little consideration on groundwater or conjunctive management No gender mainstreaming efforts in SAP or NAP	Recommendations for institutional arrangements to support integrated conjunctive SW/GW management agreed at national and regional levels Recommendations for policy actions to support integrated conjunctive SW/GW management agreed at national and regional levels Updated SAP (and NAPs at national levels) completed and endorsed by designated ministers in each country Updated SAP and NAPs fully including gender considerations	Reports and documentation	Risks Vested interests of existing institutions

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
Output 4.1.4: Formalisation of National level Support to Implementation of the Investments Plan and Development and Implementation of Dedicated Monitoring and Evaluation Tools	Whether or not implementation committee and working group in place Whether or not revised monitoring and evaluation framework and plan for SDAP is in place # of persons at national and regional levels who have been trained on monitoring and evaluation framework.	Monitoring and evaluation plan exists for the SDAP and Investment Plan but requires updating, especially to take into account work done under this project. Little coordination between the NBA and relevant national institutions in the M&E activities in the basin.	Agreed revised monitoring and evaluation plan is in place for the revised SDAP and revised IP covering NBA and ITTAS. Agreed M&E Framework, which describes who monitors what, where, when, how often, etc. to implement the revised M&E Plan, with concrete and tangible involvement of national institutions in the M&E activities.	Reports and documentation	
Output 4.1.5: National institutions contributing to the management of transboundary terrestrial ecosystems and wetlands provided with platforms for cooperative actions and capacity building to address current emerging challenges and promote collaborative monitoring mechanisms	# of platforms for cooperation and collaborative action in place # % of capacity building plan implemented # of green/innovative technologies piloted	Cooperation and collaboration among relevant national institutions necessary to realize the ecosystem-based approach is limited. Existing capacity levels and experience at national and transboundary levels is limited Few examples of green/innovative technologies in place	Members of the platform for cooperation and collaborative action fully capacitated in dealing with respect to addressing current emerging challenges and promotion of collaboration Joint monitoring system in place and implemented for each target ecosystem for which a platform is established. Capacity development programme developed and implemented for each platform. Quantifiable results monitored and available from green/innovative technology pilots, which support policy discussions for replication and taking to scale.	Stakeholder feedback Minutes from the platform meetings. Joint Monitoring System Records from the joint monitoring exercise. Reports from the capacity development activities, with the sex-disaggregated data on beneficiaries. Reports from the innovative/green technology pilots.	
Output 4.1.6: Capacities of academic and research institutions strengthened with tools and training to provide relevant knowledge and information guiding the management of basin resources	Suitable and interested academic and training institutions identified and agreements in place % of training programmes implemented % of specialist equipment acquired	Availability of appropriate training on the management of basin resources is limited	Academic and research institutions are providing training on the management of basin resources Research at NBA/ITTAS national academic institutions is taking place on an ongoing basis	Documentation of training courses. Publication of research papers	

Project Delivery	Indicators	Baseline	Targets End of Project	Source/Mean of Verification	Risks and Assumptions
<p>Output 4.1.7:</p> <p>Transboundary Learning mechanisms established at community and Inter State levels; and experiences shared through website, IWLEARN, technical papers, video, technical forums, GEF IW Biennale Conference, WWF, AMCOW and other relevant forums</p>	<p>Whether or not community and inter-state level transboundary learning mechanisms are in place</p> <p>Time to make the website for experience sharing operational and level of interest</p> <p># of technical papers published</p> <p>Level of presence at range of forums</p> <p># of stories published promoting gender empowerment results achieved by the project</p>	<p>Very few learning mechanisms in place</p> <p>Presence at relevant conferences and forums limited</p> <p>No targeted outreach efforts promoting gender empowerment efforts/results.</p>	<p>Dynamic, interactive, widely (by all countries) and regularly (annually increasing number of hits for web-based programmes) utilized learning mechanisms in place at community and inter-state levels.</p> <p>Website in place within 3 years for experience sharing, and regularly updated</p> <p>Quarterly increase (trend) in number of hits</p> <p>Key stakeholders are regular participants and contributors at various forums.</p> <p>At least 5 stories promoting gender empowerment efforts/results from the project activities</p>	<p>Most indicators can be directly measured</p>	

15 Annex I - Matrix of Progress to Date

The matrix of Progress to Date is found in Table 4 Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets May 2023) in the body of the report.

16 Annex J – 2nd Steering Committee Recommendations and ResponsesComments in *italics* are from the evaluation

N°	Recommandations / Recommendations	Echéance / Deadline	Principaux Responsables / Main Leads	Status juillet 2021/ Status July 2021
1	Opérationnaliser des équipes projet/pays afin d'assurer une célérité dans la mise en œuvre des activités <i>Operationalize project/country teams so that speed in the activities implementation is guaranteed</i>	Immédiat <i>Immediately</i>	Coordonnateur principal <i>Lead coordinator</i>	Réalisée, avec le recrutement de trois Experts (Suivi et évaluation, GIRE et SIG) et le recrutement d'un chauffeur <i>Achieved, with the recruitment of three Experts (M&E, IWRM and GIS) and the recruitment of a driver. (This is at the PCU level)</i>
2	Nécessité de disposer d'un canevas de rapportage commun à toutes les agences de mise en œuvre <i>Need to have a common reporting framework for all the implementing agencies</i>	Immédiat <i>Immediately</i>	Coordonnateur principal <i>Lead coordinator</i>	Mise en commun du Canevas de rapportage en cours <i>Common reporting framework is being circulated. (this is a priority and is overdue)</i>
3	Transmettre à l'OSS les données collectées par l'UNIDO sur la qualité des eaux et les polluants au titre de la composante 3 pour les besoins du modèle de transports <i>Provide the OSS with the data collected by UNIDO on water quality and pollutants under component 3 for the transport model</i>	Immédiat <i>Immediately</i>	UNIDO, OSS	Réalisé (Le modèle de transports de l'OSS est en cours) <i>Achieved (the OSS model is underdevelopment) (confirmed)</i>
4	Adopter une approche commune pour une meilleure coordination des activités, notamment dans la mise en œuvre des projets pilotes <i>Adopt a common approach for better coordination of activities, especially in the pilot projects implementation</i>	Continue	ABN, OSS, UNIDO, UNESCO, Coordonnateur principal NBA, OSS, UNIDO, UNESCO, Lead coordinator	En cours de réalisation, le canevas de formulation du projet partager avec OSS, le mécanisme de mise en œuvre en cours d'élaboration. <i>In progress, project formulation outline shared with OSS, implementation mechanism under development. (confirmed – but this behind schedule)</i>
5	Elaborer un plan trimestriel glissant d'exécution des activités (« revolving plan ») pour chacune des composantes afin de pouvoir facilement prendre en compte les éventuels facteurs de retard et autres imprévus	Continue	- Coordonnateur principal - Toutes Agences de mise en œuvre	Réalisée - Chacune des composantes a élaboré un plan trimestriel glissant d'exécution des activités

N°	Recommandations / Recommendations	Echéance / Deadline	Principaux Responsables / Main Leads	Status juillet 2021/ Status July 2021
	Develop a quarterly revolving plan for the execution of activities for each component so that any delay element and other unpredictable events are easily taken into consideration		<ul style="list-style-type: none"> - Lead coordinator - All implementing agencies 	Achieved - Each of the components has developed a rolling quarterly plan for the implementation of activities <i>Confirmed . Would benefit from a project and component level Gnatt chart.</i>
6	Activer le fonctionnement de l'Equipe de Projet tel que défini dans le Prodoc et assurer la tenue régulière des rencontres (fréquence mensuelle) de ses membres sous l'égide du coordonnateur principal du projet <i>Trigger the Project Team working order as defined in the Prodoc and make sure that its members regularly meet (monthly frequency) under the auspices of the project lead coordinator</i>	Continue	Coordonnateur principal Lead coordinator	Réalisée - la réunion inter agence est tenue régulièrement. <i>Achieved - the Inter-Agency meetings are regular.</i> <i>Confirmed</i>
7	Intégrer la Cote d'Ivoire et éventuellement d'autres pays dans les projets pilotes <i>Integration of Côte d'Ivoire and other country if possible in the pilot projects</i>	Continue	ABN, OSS, Coordonnateur principal NBA, OSS, Lead coordinator	- Non Réalisée La question sera soumise la prochaine réunion du comité de pilotage pour validation <i>Not Achieved – this will be brought up at the next steering Committee Meeting.</i> <i>This does not require a SC meeting.</i>
8	Veiller à ce que les fonds parviennent aux pays de façon sécurisée dans le cadre de la mise en œuvre des activités dans les pays <i>Make sure that funds are safely channelled to countries as part of the implementation of in-country activities</i>	Continue	<ul style="list-style-type: none"> - Coordonnateur principal - Toutes Agences de mise en œuvre - Lead coordinator - All implementing agencies 	- Réalisée Des dispositions sont prises pilotes pour sécuriser les fonds dans la mise en œuvre des projets pilotes communautaires à travers l'élaboration d'un manuel de mise en œuvre de ces projets communautaires <i>- Achieved</i> <i>Pilot measures have been taken to secure funds for the implementation of community pilot projects through the development of an implementation manual for these community projects</i> <i>However, there remain problems with channeling funds for pilot projects.</i>

N°	Recommandations / Recommendations	Echéance / Deadline	Principaux Responsables / Main Leads	Status juillet 2021/ Status July 2021
9	Les entités de mise en œuvre (OSS et ABN notamment) devront dresser la liste de leurs Points Focaux Nationaux dans la perspective de renforcer la synergie des actions <i>The implementing entities (OSS and NBA in particular) should draw up a list of their National Focal Points with a view to strengthening synergy of actions</i>	Continue	Coordonnateur principal Lead coordinator	Réalisée, la liste des Points Focaux existe <i>Achieved – the focal Point List exists Confirmed</i>
10	Organiser une réunion de travail entre les partenaires pour examiner la possibilité d'une revue des activités/ budget de la composante 4 pour permettre à l'Unesco de réaliser convenablement les activités qui lui sont assignées <i>Organize a working meeting between the partners to possibly review of the activities/budget of component 4 so that UNESCO properly carries out the activities assigned to it</i>	Avant mi-janvier 2021 Before mid-january 2021	Coordonnateur principal Lead coordinator	Pas réalisée La programmation de cette rencontre est en cours <i>Not achieved – the agenda for the meeting is being developed This is a priority and has its own recommendation</i>
11	Revisiter la liste des indicateurs et retenir/considérer les plus pertinents, si nécessaire environ 3 par objectif/résultat <i>Re-examine the list of indicators and keep/consider the most relevant, if necessary 3 per objective/result</i>	Avant mi-janvier 2021 Before mid-january 2021	Coordonnateur principal Lead coordinator	La liste des indicateurs a été revisitée avec proposition des plus pertinents. Cette nouvelle liste a été partagée à tous les agences d'exécution du projet. L'évaluation à mi-parcours devrait juger de leur pertinence et le prochain comité de pilotage de leur validation. <i>The new list has been shared with all the executing agencies. The Mid-term review should assess their pertinence and the next steering committee will discuss validation.</i>
12	Etudier la possibilité de déployer une plateforme de Suivi-Evaluation à distance pour un meilleur suivi des activités sur le terrain <i>Discuss the possibility of deploying a remote Monitoring-Evaluation platform for a better on-the-field activities monitoring</i>	Immédiat Immediately	Coordonnateur principal Lead coordinator	Non réalisée Le contrat de prestation en cours de signature. Le contrat de prestation en cours sous l'avis de non objection au PNUD. <i>Not achieved – the contract is not signed, it is under a no-objection from UNDP</i>
13	La conduite de la revue à mi-parcours permettra de définir les révisions liées à la COVID-19, y compris une possible extension du projet	Continue	Coordonnateur principal	Ceci est en cours de réalisation <i>This is being conducted Confirmed</i>


N°	Recommandations / Recommendations	Echéance / Deadline	Principaux Responsables / Main Leads	Status juillet 2021/ Status July 2021
	The conduct of the mid-term review will identify revisions related to COVID-19, including a possible extension of the project		Lead coordinator	

17 Annex K Signed UNEG Code of Conduct form

EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluator:

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

Evaluation Consultant Agreement Form ¹	
Agreement to abide by the Code of Conduct for Evaluation in the UN System	
Name of Consultant:	Glen Hearn
Name of Consultancy Organization (where relevant):	_____
I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.	
Signed at	Vancouver, 1 Aug 2021
Signature:	

¹www.unevaluation.org/uneqcodeofconduct

EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

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6. Is responsible for their performance and their product(s), and responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form¹

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

Name of Consultant: Ibrahim MADOUGOU

Name of Consultancy Organization (where relevant): _____

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

Signed at Niamey, le 23 septembre 2021

Signature:  _____

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