

**Evaluation of water management for development  
policy**

**Dutch Ministry of Foreign Affairs**

Terms of Reference – short version 25-01-2016

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# 1. BACKGROUND AND PURPOSE

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These terms of reference (ToR) pertain to the evaluation of the water management for development policy of the Dutch Ministry of Foreign Affairs (MFA, policy article 2.2). The Policy and Operations Evaluation Department (IOB) of the MFA has programmed this policy evaluation to be completed in 2017. The evaluation will focus on water management, which is part of the broader MFA Water for Development policy, next to drinking water supply and sanitation. The water management policy evaluation will cover a 10 year period from 2006 to 2015. As from 2006 improved water management became a prominent part of the policy. The total budget for water related activities for this period is estimated to be around € 1,6 billion, of which on average 44% was spent on water management activities. The policy evaluation adheres to the government wide regulation for periodic policy evaluation (RPE 2014).

The Netherlands has supported water programs and projects in the framework of development cooperation since the 1960s. The main thrust of water for development policy shifted from a predominantly technical and construction-oriented perspective (drinking water supply, irrigation and drainage) towards a more integrated one, focusing on environmental, social, economic, governance and institutional aspects. The shift is in line with views of the international community and reflects an expanding perception of problems, from water as a basic need and requirement for development to water as being at the core of sustainable development and under increasing demand as well as threat from unsustainable use, pollution, climate change and other forces (Rio +5, +10, +20, World Water fora, UN Agenda for Sustainable Development).

From 2006 onwards the focus of the Dutch water management development policy has been on creating national and sub-national water resource management plans and stimulating improved trans-boundary water management in several countries and basins in Africa and Asia. The 2013 development policy note '*A world to gain: a new agenda for aid, trade and foreign investments*' confirms the priority for water, in line with the '*Water for Development*' policy letter to the Dutch parliament of January 2012. The latter stipulates the focus to be on improved water management in agriculture, management of (trans-boundary) watersheds and safe delta's. The policy assigns a strong role to the Dutch water sector in pursuing and achieving policy objectives. The level of ambition in terms of allocated budget should be at least that of improved access to clean drinking water supply and sanitation.

The MFA Department for Inclusive Green Growth (IGG) is the responsible policy department. The main policy instruments are programs delegated to Dutch Embassies and centrally funded programs and projects of multilateral organizations, universities/knowledge centers, NGO's and Public Private Partnerships (PPPs). IGG works with thematic experts, including water experts attached to Dutch Embassies. IGG works closely with the Ministry of Infrastructure and Environment (MI&E) in engaging Netherlands water sector partners in implementing the policy; and with the Netherlands Enterprise Agency (RVO) responsible for management of instruments that involve Dutch water sector partners in policy implementation.

The Policy and Operations Evaluation Department of the MFA (IOB) has taken up the policy evaluation in view of its relevance. Improved water management is not only in itself a priority for Dutch development cooperation, but is also expected to contribute to the MFA's development policy spearhead food security (policy article 2.1) and climate change (policy article 2.3). In addition, the policy is expected to contribute to Dutch trade and investment promotion (policy article 1.2). The policy evaluation complements other IOB studies, in particular the IOB policy evaluation of Dutch development support to drinking water supply and sanitation (IOB, 2012) and the on-going IOB policy evaluation of development support to food security.

Against this background the purpose of the policy evaluation is to contribute to the accounting for the Water for Development policy as well as to learning, by description and analysis of policy implementation and results and assessment of its effectiveness and efficiency and by deriving possible issues, lessons and recommendations for future policy.

## 2. EXPENDITURES

Total ODA expenditures in the period 2006-2015 amounted to € 1,595<sup>1</sup> million of which € 700<sup>2</sup> million, or 44% was for water management and the remaining €895 million, or 56%, was for drinking water supply and sanitation activities. Figure 1 shows ODA expenditures for the two parts of the water budget per year for the relevant period. With the exception of 2011 and 2012 most years show expenditures which are roughly evenly distributed between water management and drinking water supply and sanitation.

Figure 1 ODA expenditures on water management and drinking water and sanitation for the period 2006-2015

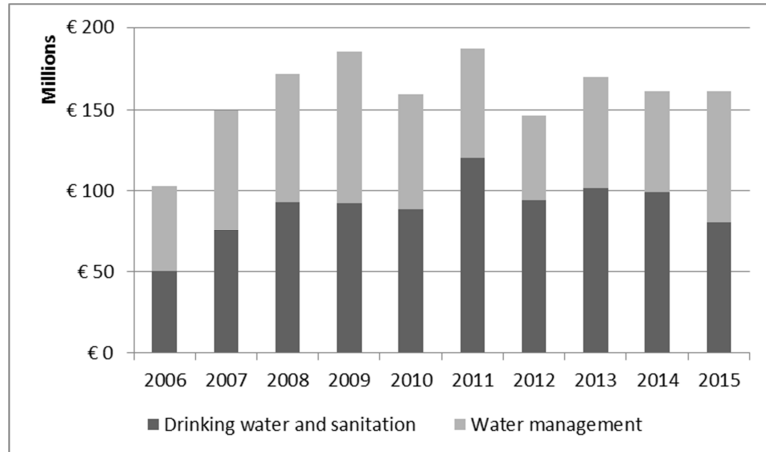
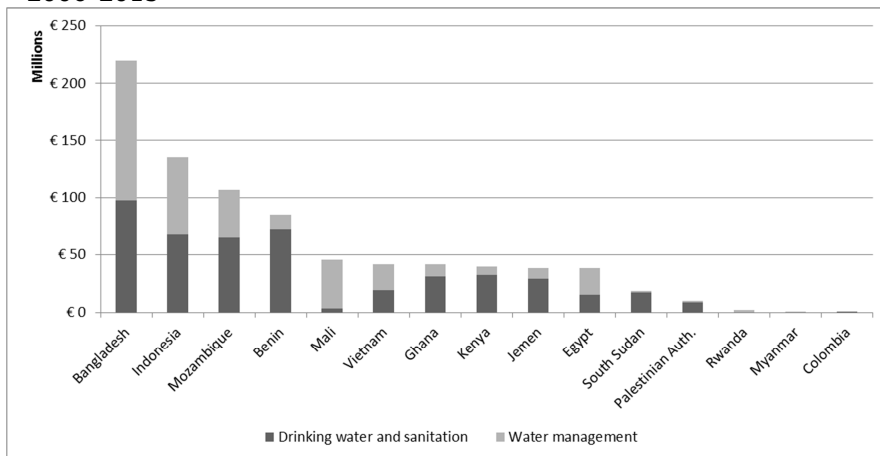


Figure 2 shows total delegated expenditures for the period for partner countries with a water program and for countries that are supported in the framework of *Water Mondial*. In these countries 52% (€ 823 million) of total water related expenditures were made. The figure seems to indicate that countries with larger budgets tend to spend it equally on both water management and drinking water and sanitation while other countries tend to focus on one of them.

Figure 2 ODA expenditures on water management and drinking water and sanitation for the period 2006-2015



<sup>1</sup> This amount was retrieved from the MFA's activity management information system based on SBE's (sub policy lines) and CRS purpose codes (OESO-DAC) reported to be related to water, these are listed in annex 3.

<sup>2</sup> The distinction between water management and drinking water and sanitation is made based on SBE's and CRS purpose codes.

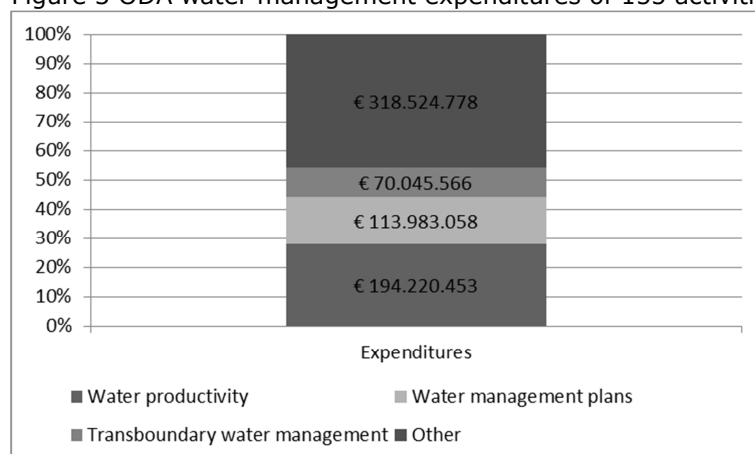
65% (€1,041 million) of the total expenditures were delegated to the embassies; the remaining 35% (€ 554 million) was spent centrally.

In addition to the support through funds delegated to Embassies water management activities in 16 countries were supported through centrally funded instruments, in particular ORIO, PPP 'Fund Sustainable Water' facility, DRIVE and other instruments mentioned and an unknown number of countries via supported multilateral, other PPPs and NGO water management related activities.

155 water management activities were identified for which financial information has been retrieved. Total expenditures on the 155 activities amount to € 697 million. The 155 activities are divided into the three policy objectives and a category 'other', which comprises activities that could not directly be related to one of the policy objectives.

Figure 3 shows that € 194 million of total expenditures of € 697 million are related to water productivity; € 114 million of expenditures involve the drafting or supporting of water management resource plans on a national or sub-national level, for a specific river basin, delta or aquifer. A further € 70 million of the expenditures is spent on activities involving trans-boundary water management. In total, activities on these policy objectives cover 54% of the expenditures. The category other includes activities on which €318 million, nearly 46%, of the budget is spent.

Figure 3 ODA water management expenditures of 155 activities specified per policy objective



Activities in this category more generally aim at capacity building or knowledge creation in the water sector or in the domain of climate change adaptation. Also, it contains activities whose exact destination is yet unknown; for example the PPP 'fund sustainable water', where activities are selected based on a call for proposals procedure and not all funds have as yet been allocated. Therefore, the final amount spent on the major policy objectives is likely to be higher than 54% of total expenditures.

### 3. EVALUATION SCOPE, CRITERIA AND QUESTIONS

#### Scope

The evaluation covers the section on improved water management of the MFA Foreign Aid and Trade policy article 2. The section pertains to ODA funded country programs and centrally funded activities of multilateral organizations, universities/knowledge centers, NGO's and public private partnerships (PPPs). In addition a small number of activities with a significant water management focus or component funded outside this policy article will be studied. As explained in chapter 3 155 ODA funded activities, 125 within and 30 outside the policy article, with a budget over euro 1 million, amounting to a total of € 697 million, and ongoing or completed after 2007 were identified. The list of 155 activities with expenditures of more than €1 million was used to select activities for more in-depth study, including field study. The year 2006 is taken as the beginning

of the period covered (2006-2015) as from 2006 improved water management became a prominent part of MFA Water for Development policy. MI&E funded programs that aim to be instrumental to the MFA policy, in particular the program Partners for Water (PvW) and *Water Mondiaal*, will be studied as well but the focus of the policy assessment will be on the performance of the MFA.

The evaluation criterion *effectiveness* is defined as the achievement of the expected Water Management for Development policy outcomes. Over time the overall policy intervention logic largely remained the same, except for the role assigned to the Dutch water sector as from 2009 and the addition of the water productivity objective as from 2012. This policy change will be taken into account. Specific attention will be paid to the question if improvements in water management have come about while also issues of climate change, environment and other priority policy themes (e.g. food security) were captured; and if such improvements have come about while participation and benefits for lower income groups and women beneficiaries were maintained or improved. Sustainability is taken up as dimension of effectiveness, referring to the likelihood that actual and anticipated benefits will be resilient to risks beyond the assistance provided.

*Efficiency* refers to how optimally resources are converted into benefits, meaning minimizing costs of resources and/or maximizing outputs and outcomes for a given input while ensuring quality of results. For this evaluation the criterion refers to the role of the MFA and embassies in promoting collaboration between concerned actors within government, within the Dutch water sector and in partner countries and complementarity and synergy between activities in order for the combined effect to be greater than the sum of the individual effects. For the policy objective on water productivity the criterion further refers to cost of interventions compared to the number of beneficiaries and their benefits of increased water productivity; for water management to costs and duration of achieving key results compared to what was planned, such as with reference to water management information, agreed water management plans and institutional arrangements, taking into account quality of results.

For the *learning purpose* of the policy evaluation the study will endeavor to capture experience based policy lessons or understandings and issues that arose over the period covered. Specific topics of interests include the forms of MFA support/funding proven to be most relevant; the working of interventions and approaches; integration with land use planning; in country and cross border social, institutional and other factors affecting results; PPPs; the (potential) role of the Dutch water sector; innovations of delta areas as focus of Dutch expertise; issues in (financial) monitoring and if these differed between implementing agents.

#### *Evaluation questions*

The main evaluation question is:

#### **What has been the contribution of the Dutch MFA to water management in developing countries in the period 2006 – 2015?**

The main question will be answered through sets of sub questions. The first set of questions contains descriptive questions that pertain to the policy cycle (what happened?). This is followed by sets of questions clustered around the two evaluation criteria. The findings from the different sets of questions will inform the evaluative conclusions.

The key questions are:

#### **Policy cycle**

1. Why is water management in developing countries considered to be in need of international assistance and why did the MFA decide to take up the responsibility of improving it?
2. What have been the MFA expenditures by year and in total by policy objective, partner country, targeted geographic area, channel, within and outside the policy article. What proportion was spent on Dutch water sector contracts by year and in total?

3. In what way was the policy implemented (government institutional setting, nature and interconnection of instruments, changes in orientation and instruments and why)?
4. Did the policy to engage the Dutch water sector manifest itself in new policy mechanisms; what has been done to ensure demand driven engagement?
5. What has been the approach to monitoring and evaluation of development results? What evaluations are available and which experience based policy lessons and issues have been reported?

## **Effectiveness**

### **Water productivity**

6. Did MFA support contribute to sufficient quality and quantity of water at the right time available to farmers and to an improved relation between the quantity of water used and agricultural production?
7. Did the MFA support contribute to an enabling environment for and capacity of Water User Associations (WUAs) for operation and maintenance (O&M) of water infrastructure in a participatory way, also to augment abilities of individual farmers to use representation, knowledge and skills to improve their access to water and on-farm (water) management?.
8. Did farmers pay for WUA services provided and do WUAs transparently account for funds received and expenditures?

### **Water management plans**

9. Did MFA support contribute to approved water management plans?
10. Do the supported water management plans include principles of integrated development and management of water, stakeholder participation and transparency of processes, equitable development without compromising vital ecosystems?
11. Did MFA support contribute to strengthening of the enabling (political, institutional, information, water infrastructure and O&M) environment for actual implementation of the plans?
12. Have budgets for implementation of water management plans been allocated and are plans implemented?

### **Trans-boundary water management**

13. Did MFA support contribute to strengthened institutional arrangements and formal agreements over trans-boundary water sharing, allocation and management between countries; do these take into account global norms for management of international water streams?
14. Did MFA support contribute to a strengthened enabling (political, institutional, water infrastructure development and O&M) environment for actual implementation of arrangements and agreements?
15. Have governments of riparian countries allocated budgets and/ or taken other measures to follow up and sustain arrangements and implementation of agreements, including joint monitoring?

### **Cross cutting**

16. Have improvements in water management come about while also issues of environment, climate change and/or other priority policy themes were addressed?
17. Have improvements come about while maintaining or improving water management benefits for lower income groups and women beneficiaries? In how many layers of decision making are these groups represented?
18. Have there been reported positive and/ or negative side effects?

## **Efficiency**

19. Was the MFA able to fulfill its role as expert, broker and diplomat in enhancing collaboration between concerned actors within the Dutch government, the Netherlands and within partner countries, and enhance complementarity and synergy of activities?

20. Has the involvement of the Dutch water sector led to information, knowledge and technologies that are relevant and practical for intended beneficiaries to use?. Has it leveraged efforts of concerned donors, policy and/or implementing agencies?
21. For the water productivity objective: what have been the costs of supported activities compared to the number of beneficiaries and their water productivity and agricultural production benefits?
22. For water management: what have been costs and duration of achieving key results compared to what the original planning, with reference to information (systems), water management plans, arrangements and agreements, taking into account quality of results.

### **Policy options<sup>3</sup>**

23. What options are available to increase efficiency and effectiveness?
24. What options are available to decrease the budget with 20%?

The research questions are formulated in such a way that they are in line with the questions formulated in the RPE 2014. The way in which the RPE questions are covered by the research questions is listed below.

RPE questions Part 1, questions 1a and b about which (part of the) article is evaluated and when the other parts will be evaluated is answered in these ToR in the introduction and chapter 5.

Part 2, questions 2 a. and b. on motivation for the policy and responsibility of the MFA is addressed through question 1 and 3 in the ToR.

Part 3, questions 3.a, b and c on description of the policy fields and expenditure are addressed in questions 2, 3 and 4.

Part 4 on available evaluations is taken up in question 5.

Part 5 on policy effectiveness and efficiency is taken up questions 6-22 in the ToR.

Part 6 on measures to enhance policy effectiveness and efficiency is taken up as question 23.

Part 7 on options for significant decrease of budget is taken up as question 24.

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## **4. METHODOLOGY**

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The policy Theory of Change will be a key reference for the evaluation and the evaluation questions will steer systematic data collection from different sources.

The following figure pictures the MFA's policy Theory of Change for support to water management for development in partner countries. The policy broadly covers the policy including the link to Dutch trade and climate change agenda as from 2009 and the addition of the water productivity objective in agriculture as from 2012.

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<sup>3</sup> An attempt to answering these questions will be made based on the findings of the policy evaluation by the responsible policy department(s) in collaboration with IOB.



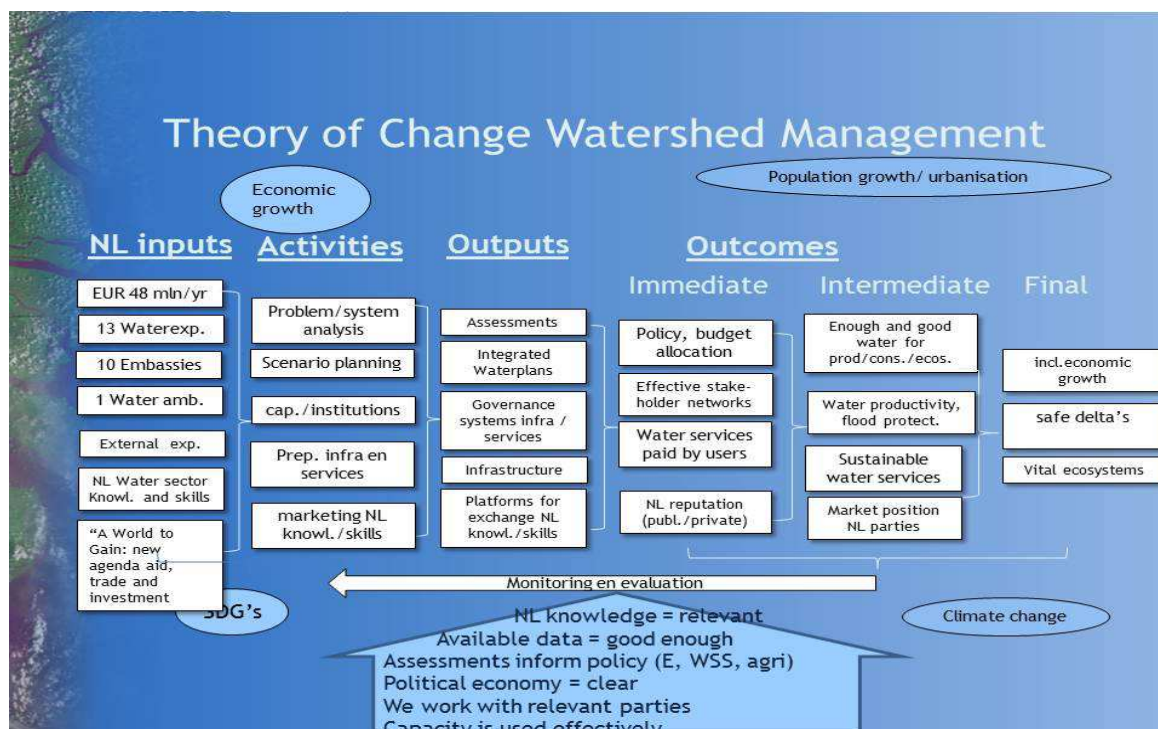


Figure 3 Theory of Change, source: DGIS 2015

Annex 1 (evaluation matrix) shows for each question the information sources and for questions related to the evaluation criteria indicators that provide a further reference for data collection and analysis. At program and project level the respective results frameworks will serve as point of reference for further identification of indicators.

The approach to information gathering and analysis will be both top down (from policy objectives to budgets, to instruments and reported results) as well as bottom up from targeted water shed areas and partner country contexts to the specific MFA engagement and interventions and results. The information gathering will to a great extent be through review of available documentation, supplemented by interviews of informants from the range of stakeholders in the Netherlands and in developing partner countries as well as from multilateral and other partners. For the MFA supported water management programs in the three countries that received most funding, Bangladesh, Indonesia and Mozambique and for a selection of major activities further supplementary interviews of stakeholders and quantitative and qualitative field research is envisaged. A brief justification and description by selected activity for in-depth study is provided in annex 2. Triangulation will be applied, meaning using different information sources and collection methods to arrive at a wide breadth of information, analyze evidence carefully and base findings on information that is validated from multiple sources.

## 5. STAKEHOLDERS

The identified primary stakeholders for this policy evaluation are:

- Dutch Ministry of Foreign Affairs, Inclusive Green Growth policy division;
- Dutch Ministry of Infrastructure and Environment;
- Netherlands embassies in partner countries selected for water management support;
- Netherlands Enterprise Agency, Netherlands Water Partnership;

- Concerned authorities, other donors, executing and implementing agencies in countries selected for policy relevance, effectiveness and efficiency analysis.
- Targeted final beneficiaries.

The MFA's policy department and water experts of embassies for partner countries will be asked to comment on the draft ToRs and reports for the policy evaluation. For the qualitative study of country programs and selected activities the concerned Embassies and country authorities will be asked to comment on the ToR. A reference group composed of stakeholders' representatives and external experts will be established to comment and advise IOB on the evaluation design and draft reports.

## 6. ORGANISATION AND PLANNING

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**Responsible IOB manager and researcher:** Rita Tesselaar

**Researcher:** Joep Schenk

**IOB co readers:** Ferko Bodnar and Antonie de Kemp

**Chair Reference group:** Geert Geut, Deputy Director IOB

**Members Reference Group:**

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2. Prof. Eelco van Beek, professor Modeling Integrated Water Resources Management, University of Twente
3. Mr. Aart van der Horst, MFA policy department Inclusive Green Growth (IGG)
4. Mr. Maarten Gischler, MFA policy department Inclusive Green Growth (IGG)
5. Ms. K. Molenaar, MI&E International Water Cluster
6. Mr. Dennis van Peppen, RVO, coordinator Partners for Water
7. Mr. Bert Vermaat, MFA Department of Finance and Economic Affairs
8. Prof. Linden Vincent, emeritus professor of Irrigation and Water Engineering, Wageningen University
9. Prof. Pieter van der Zaag, professor of Water Resources Management, UNESCO-IHE, Delft

**Planning of the policy evaluation:**

Table 2 Planning of the policy evaluation

When	What	By whom
Nov/Dec 2015	<ul style="list-style-type: none"> <li>• Constitution of reference group</li> <li>• Consultation of peer reviewers, reference group, MFA water experts, MinFin on draft ToR</li> <li>• Finalization of ToR</li> <li>• Collection of evaluation reports</li> <li>• Start of information gathering by country, targeted geographic area based on available information sources</li> </ul>	IOB
Jan./Feb 2016	<ul style="list-style-type: none"> <li>• Preparing and tendering ToR qualitative field study of country programs and activities Bangladesh, Indonesia and Mozambique</li> <li>• Consultation of embassies and authorities</li> <li>• Ongoing information gathering and analysis</li> </ul>	IOB

Feb/March 2016	<ul style="list-style-type: none"> <li>• Selection and contracting consultants for three qualitative field studies <ul style="list-style-type: none"> <li>• Determining quality proposals consultants</li> <li>• Contracting consultants for studies</li> </ul> </li> </ul>	IOB
April 2016	<ul style="list-style-type: none"> <li>• Inception phase for consultants and finalization of ToR for each of the three country programs and case studies <ul style="list-style-type: none"> <li>• Determining contents qualitative studies based on: <ul style="list-style-type: none"> <li>○ ToC and evaluation questions/ToR</li> <li>○ Embassies' MASPs, interventions, reports</li> <li>○ Consultation of stakeholders</li> </ul> </li> </ul> </li> </ul>	Consultants, IOB
April - Dec. 2016	<ul style="list-style-type: none"> <li>• Conducting of three field studies Bangladesh, Indonesia and Mozambique: <ul style="list-style-type: none"> <li>• Document review, interviews/FGD's range of stakeholders</li> <li>• Report writing reports</li> </ul> </li> <li>• Study of further 5 selected activities for more in-depth study based on available documentation and interviews</li> </ul>	Consultants/IOB  IOB
Jun 2016-Dec 2017	<ul style="list-style-type: none"> <li>• Further document and data review including documents on category 'other activities', financial data, evaluation reports</li> <li>• Supplementary interviews of range of stakeholders within Dutch Government, the Netherlands and abroad</li> <li>• Writing of chapter on descriptive questions related to policy cycle</li> </ul>	IOB
January-March 2017	<ul style="list-style-type: none"> <li>• Writing final report</li> <li>• Soliciting and addressing comments of peer reviewers, reference group, MFA water experts, other key stakeholders</li> </ul>	IOB

**Deliverables:**

IOB is responsible for delivering the following reports:

- Two reports, one per project, on quantitative impact studies: Blue Gold, Bangladesh; and Participative Sector Irrigation Project, Indonesia (ongoing studies partly contracted to consultants);
- Three reports, one per country, on qualitative evaluation of selected partner country programs and activities: Bangladesh, Indonesia and Mozambique;
- Synthesis report on evaluation of MFA Water Management for Development Policy.

The three qualitative field studies of country programs will be contracted to an independent consultant with a mix of thematic and evaluation expertise. IOB will join the consultant's mission to at least one of the selected countries to help ensure consistency between the sub studies and focus as per the ToR for the policy evaluation. The specific ToR by country for the qualitative field study of country programs will be detailed by the consultant in line with the ToR for the policy evaluation, in close consultation with and subject to approval of IOB.

## ANNEX 1 EVALUATION MATRIX

Evaluation questions	Specific topics/ indicators	Information sources
<b>Policy cycle</b>		
1. Why is water management in developing countries considered to be in need of international assistance and why did the MFA decide to take up the responsibility of improving it?		literature, MFA policy documents, explanatory memorandum (EM) to MFA budgets
2. What have been the MFA expenditures by year and in total by policy objective, partner country, targeted geographic area, channel, within and outside the policy article. What proportion was spent on Dutch water sector contracts by year and in total?		Piramide, EM to MFA budgets, RVO data
3. In what way was the policy implemented (institutional setting, nature and interconnection of instruments, changes in orientation)?		Policy documents, appraisal documents, interviews with involved stakeholders including: IGG, MI&E, RVO, embassies, implementing agents in the Netherlands and partner countries
4. Did the policy to engage the Dutch water sector manifest itself in new policy mechanisms; what was done to ensure demand driven engagement?		Interviews including: IGG, MI&E, other ministries, RVO, Dutch water sector informants, embassies
5. What has been the approach to monitoring and evaluation? What evaluations are available and what policy lessons and issues have been reported?	Specific topics of interest for lessons learning include the forms of MFA support/funding proven to be most relevant; the working of interventions and approaches; in country and cross border social, institutional and other factors affecting results; integration with land use planning; PPPs; the (potential) role of the Dutch water sector; innovations of delta areas as focus of Dutch expertise; issues in (financial) monitoring and if these differed between implementing agents.	Evaluation reports, policy level results reporting, MASPs, annual reports, interviews including: IGG, RVO, embassies, water experts interviews of range of stakeholders within the government, Dutch water sector, partner countries

<b>Water productivity</b>		
6. Did the MFA support contribute to quality and quantity and right time of water availability to farmers; and increase in agricultural productivity per m <sup>3</sup> of water?	Number of beneficiary farmers (m/f); increase in quality and quantity and right timing of water availability; increase in agricultural yield per m <sup>3</sup> of water	Appraisal documents, evaluation reports, impact studies, interviews including implementing agents, farmers (m/f)
7. Did the MFA support contribute to Water User Associations (WUAs) capacity to provide sustained operation and maintenance (O&M) for water infrastructure in a participatory way, also to augment ability of individual farmers to use new representation, knowledge and skills to improve access to water and their on-farm (water) management	Changes in WUA management (technical, social/political, financial); in service delivery for works and O&M, including capacity to commission work and ensure effective execution; handing over of responsibility to WUAs; use of knowledge and skills by individual farmers; availability and use of WUA funds	Appraisal documents, evaluation reports, impact studies, WUAs records, interviews including WUAs and farmers (m/f)
8. Did farmers pay for services and do WUAs transparently account for funds receipts and expenditures?		WUAs records, interviews including WUAs and farmers (m/f), impact studies
<b>Water management plans</b>		
9. Did MFA support contribute to approved water management plans?	Approved wm-plans; wm-plan reviews taken place at different levels; quality of plans (independent expert assessment)	wm-plans, evaluations, interviews with involved stakeholders including embassies, executing actors, authorities and other stakeholders in concerned country.
10. Do the supported water management plans include global principles of integrated development and management of water, stakeholder participation and transparency of processes, equitable development, without compromising vital ecosystems?	Range of stakeholders involved at different levels; involvement of other Ministries outside water; information sharing	wm-plans, evaluations, interviews with relevant stakeholders including: embassies, executing actor, authorities and other (m/f) stakeholders in concerned country.
11. Did MFA support contribute to the strengthening of the enabling (political, institutional, information, water infrastructure) environment for actual implementation of the plans?	Defined and accepted institutional arrangements; delegation of decision making and funding for multi-level actions; strategic working between international funders, PPPs, NGO's, embedded planning capability; information provision; water infrastructure developed including O&M	Documentation on arrangements and procedures, evaluations, interviews with involved stakeholders including: embassies, executing and implementing actors, authorities and other stakeholders in concerned country.
12. Have budgets for implementation of water management plans been allocated and are plans implemented?	Inclusion of plans in government's budgets, policy documents, implementation plans; progress in achievement of wm-plan results	Policy and budget documents, evaluations, interviews including: embassies, authorities, executing actors and other stakeholders in receiving country.
<b>Transboundary water management</b>		

13. Did MFA support contribute to strengthened arrangements and formal agreements over trans-boundary water sharing, allocation, conservation and management between countries; do these take into account global norms for international water streams?	Defined and accepted trans-boundary policy and regulation; allocation and conservation rules and water rights; enforcement water rules and conflict arbitration	Appraisal documents, evaluations, interviews of concerned water experts, responsible water authorities and (m/f) user groupings within the watershed including farmers, industry, fishermen, informants on ecosystem; and involved politicians from riparian countries.
14. Did MFA support contribute to the strengthening of the enabling (political, institutional, information, water infrastructure) environment for actual realization of arrangements and agreements?	Defined and accepted institutional arrangement; strategic working between international funders, NGO's, PPPs; information provision; infrastructure development including O&M	Appraisal documents, evaluations, interviews with relevant stakeholders including: embassies, executing actor, water authorities, other key stakeholders in riparian countries
15. Have concerned governments allocated budgets and/or taken other measures to follow up and sustain arrangements and implementation of agreements, including joint monitoring?	Inclusion in riparian countries' policies and budgets; implementation plans; joint monitoring of follow up	Appraisal documents, evaluations, interviews with relevant stakeholders including: embassies, executing actor, water authorities and other key stakeholders in riparian countries
<b>Cross-cutting</b>		
16. Have improvements in water management come about while also issues of climate change, environment or other priority policy objectives were captured?	Environmental assessments; reported "win win" results	Appraisal documents, result fiches, evaluation reports, impact studies, interviews including IGG, embassies, donor partners, Dutch water sector and other implementing agencies, recipient stakeholders
17. Have improvements come about while maintaining or improving water management benefits for lower income groups and women beneficiaries? In how many layers of decision making are these groups represented?	Social and gender specific results reporting; participation in project structures and WUAs	activity documentation, result fiches, evaluation reports, interviews including IGG, embassies, donor partners, Dutch water sector and other implementing agencies
18. Have there been reported positive and/ or negative side effects?	Reported side effects	Appraisal documents, evaluation reports, impact studies, interviews including IGG, embassies, donor partners, Dutch water sector actors and other implementing agencies
<b>Efficiency</b>		

19. Was MFA able to fulfill its role as expert, broker and diplomat in enhancing collaboration between concerned actors within the Dutch Government, the Netherlands water sector and partner countries and complementarity and synergy between activities?	Reported forms of collaboration, complementarities, synergies and MFA contribution	interviews MFA water experts and informants from the range of stakeholders, including MI&E, RVO, concerned water sector actors, stakeholders in partner countries
20. Has involvement of the Dutch water sector led to information, knowledge and technologies practical to the use of beneficiaries and has it leveraged efforts of other donors, governments and implementing agencies?	Use and stakeholders' appreciation of specific Dutch water sector inputs; follow up policies and/or investments by concerned stakeholders	Evaluation reports, interviews including RVO, Dutch water sector informants, embassies, partner country stakeholders, donor partners
21. For the water productivity objective: what have been the costs of supported activities compared to the number of beneficiaries and their water productivity and agricultural production benefits?	Costs of interventions compared to number of beneficiary farmers and their benefits	Progress reports, evaluation reports, impact studies
22. For water management plans: have the cost and duration of key results achievement been as planned, taking into account the quality of these results?	cost of interventions compared to planned duration of key results achievement compared to planning	appraisal memoranda, evaluation reports, interviews of MFA water experts, field studies in three selected countries including interviews implementing agents
<b>Policy options</b>		
23. What options are available to increase efficiency and effectiveness?		Study findings, interviews including IGG, MI&E, embassies
24. What options are available to decrease budget with 20%?		Study findings, interviews including IGG, MI&E, embassies

## ANNEX 2 ACTIVITIES SELECTED FOR IN-DEPTH STUDY

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### **Water productivity**

*Bangladesh – Blue Gold (2012-2020, € 50 million, tendered and contribution arrangement with GoB)*

Justification:

Blue Gold adheres to the water productivity policy objective. However, the project is broader in the sense that decentralized management of polders and its infrastructure adheres to the second policy objective as well. Also, investments in both water management infrastructure and capacity building at WUA level are foreseen, making it possible to identify impacts at household level.

Objectives:

- 50000 households less in poverty
- 850 cooperatives are functioning
- 80000 households have improved their food security

Strategy:

Farmer cooperatives are created and mobilized. For each cooperative a plan is made with respect to water management and agricultural extension services. Infrastructure is rehabilitated by the BWDB in consultation with the cooperatives. Also, cooperatives will execute activities that help their members improve their access to value chains such as credit services. Because of this, the members will see the necessity and benefits of the cooperative and therefore more willing to support it, increasing the effectiveness and sustainability.

*Indonesia – Participative sector irrigation project (2004-2011(2014), \$ 15 million, ADB trust fund)*

Justification:

The participative sector irrigation project adheres to the water productivity policy objective, although this objective was introduced only in 2012. However, due to its nature this project should provide interesting insights that relate to water productivity. Also, due to the projects nature; it includes capacity development at water user and all government levels and it tries to link irrigation planning to district, province and basin planning, it adheres to the second policy objective as well. Lastly, investments in both water management infrastructure and capacity building at WUA level were part of the project, making it possible to identify impacts at household level.

Objectives:

- Sustainable, decentralized management of irrigation infrastructure
- Increased yields from irrigated agriculture

Strategy:

Creation/strengthening of 6250 water user groups and federations and the training of 36250 farmers on irrigation management skills. Then, irrigation infrastructure is rehabilitated and ownership transferred to water user groups. Also, at district level the formulating of directives and policies with respect to water management and the drafting of irrigation management plans is supported.

*Egypt – Better irrigation service IIIMP (2005-2015, € 20 million, tendered and contribution arrangement with WB and MWRI)*

Justification:



IIIMP adheres to the water productivity policy objective although it started before this policy objective was introduced. However, the project is still expected to provide useful insights related to this policy objective. Also, the broad nature of this project including decentralization and empowerment of local water users make it interesting for the second policy objective as well.

Objectives:

- Introduction and development of sustainable, decentralized, participative water user groups.
- Mainstreaming the role of women
- Improvement of environment
- Efficient irrigation techniques disseminated to farmers
- Strengthening the capacity of local partners

Strategy:

Capacity building before rehabilitation of infrastructure to ensure the sustainability of investments. 3000 water user groups will be created at Mesqa-level and 144 at canal-level. At district level 48 planning boards are created. Also the national water institution will be reorganized and a M&E system will be introduced.

*Regional Africa Sahel and Horn of Africa: ICRAF food and water security (2013-2018, € 40 million, WB CGIAR fund)*

Justification:

ICRAF adheres to the water productivity policy objective. Also, impact at household is to be expected. The program started only recently and due to the innovative character of the project, impact at this stage is not likely to be identified. Therefore, project documents will be used to assess the progress of the project.

Objectives:

- Improvement in water and food security
- Commercialization of rural economy
- Creation of an enabling political and institutional environment

Strategy:

Up scaling of proven techniques that lead to more water efficiency in agriculture. Improved water management at the farm level through construction of small water retention infrastructure and improved water management skills of farmers. At watershed level through drafting and implementation of water management plans. Commercialization of rural economy through improved access to value chains and credit. An enabling institutional and political environment through adaptations to existing legislature and organizing farmer groups to influence policy making.

### **Water management plans**

*Bangladesh: Formulation of Bangladesh Delta Plan 2100 (2013-2017, € 7.7 million, MFA of finance GoB)*

Justification:

The Bangladesh Delta Plan 2100 adheres to the second policy objective. By choosing a plan which is still in its development stage it is possible to evaluate the process of drafting, which is considered very important if the plan is to be inclusive and broadly accepted which will increase the likelihood of implementation.

Objectives:

- To support an enabling social-political climate for the BDP 2100 drafting and implementation process

- To create a common and inclusive and documented knowledge base on water, land and related natural resources and spatial planning in Bangladesh delta.
- To develop a Delta Framework encompassing all necessary and agreed upon reforms of the current institutional framework.
- To create together with main stakeholders a delta vision
- To facilitate entrepreneurship of the private sector
- To promote regional and sectorial developments in the short term for future improvements of governance of water, land and related resources and spatial planning in Bangladesh delta

Strategy:

Objectives should be achieved through stakeholder participation, thematic studies, scenario development and scenario calculations and direct interaction with the 5-years-planning system.

*Jakarta: Coastal Development Program: master planning phase*

Justification:

The Jakarta Coastal Develop Program (JCDP) adheres to the third policy objective. It provides an interesting case in an important partner country. It is also implemented by RVO, as such it can serve as an interesting example of the involvement of the Dutch water sector.

Objectives:

- The PMU will be firmly established and capable of directing the planning and implementation of a Jakarta Coastal Defence System;
- The PMU will through the implementation phase evolve into an asset management organisation which has the capacity to manage and maintain the Jakarta Coastal Defence System as realised under the JCDS programme.

Strategy:

The Netherlands support to the Programme Management Unit of JCDS, which is a main component of this project phase, will focus on the role of the PMU as an asset management organisation.

The Netherlands support to the second component of the project, the actual master planning will on the one hand maintain the integrated character of the JCD Strategy but at the same time focus on the establishment of an appropriate coastal defence system. The master planning phase will not elaborate detailed programmes and plans for all the different sectoral issues and programmes like harbour development and transport but formulate adequate linkages (spatial aspects, design criteria, necessary outputs and outcome etc) with such sectoral programmes.

*Egypt – NWRP coordination (2007-2011, € 5.4 million, MFA of water resources & irrigation)*

Justification:

NWRP coordination adheres to the second policy objective in that it tries to improve water management at national level through improved planning and management. It is part of a sector-wide approach through individual projects. As such it supplements the other activities in Egypt adhering to the other policy objectives.

Objectives:

- To create a receptive and supportive environment for the implementation of the NWRP with all stakeholders at the different levels.
- To enhance co-ordination and decision making capacity of the National Water Council, technical committee and in the governorates
- To enhance capacity of NWRP and GWRP units for:
  - o Planning and ex-ante impact assessment
  - o Communicate and transfer information
  - o Cooperation and coordination
  - o Process management

- To enhance NWRP planning procedures in partner ministries, governorates and between levels
- To monitor and evaluate impact ex-post

Strategy: To support through several activities the planning and decision-making capacities of several water management authorities at different levels.

*Regional Africa – GWP nation IWRM plans (2004-2007, € 6.4 million, GWP)*

Justification:

GWP nation IWRM plans adheres to the second policy objective. This activity is a good example of the focus on IWRM plans which was stressed in the first years of the evaluation period.

Objectives:

- Drafting of IWRM-plans for six sub-Saharan countries (including Mozambique)
- Institutional development of existing and new partnerships
- Integrating water in activities aimed at poverty reduction
- Designing innovative and practical financing instruments for integrated water management

Strategy:

Developing and including multi-stakeholders groups at all levels and making sure these groups included in policy making. Delivering technical input to the planning process; creation and strengthening regional and national partnerships through training and multi-stakeholder platforms.

### **Transboundary water management**

*Mozambique – IncoMaputo 2-Prima (2007-2010, €7.35 million, National Water Directorate)*

Justification:

IncoMaputo 2-Prima adheres to the third policy objective, together with earlier MFA activities that supported the management of the Incomati and Maputo rivers by its riparians countries.

Objectives:

- To promote cooperation among the parties to ensure protection and sustainable utilization of the water resources of the Incomati and Maputo watercourse.

Strategy:

To ensure sustainable cooperation between the parties the Tripartite Permanent Technical Committee is supported in executing activities based on the Activity and Action Plan which was agreed upon in the Interim IncoMaputo Agreement. Eventually, in 10 years this should lead to the signing of a comprehensive agreement between the parties.

*Mozambique – Cooperation program (2013-2017, € 3.5 million, National Water Directorate)*

Objectives:

- To achieve water security and water safety for poverty alleviation, economic development, sustainable investments and inclusive growth.

Strategy:

Support to establish a river basin organization for the Incomati and Maputo rivers. The Interim IncoMaputo Agreement is to be amended to regulate the (financial) commitments of the riparian countries to the basin organization.

*Vietnam – The Flood Management and Mitigation Project (2004-2010, €11.5 million, Mekong River Commission)*

Justification:

Support to the Mekong River Commission (MRC) adheres to the third policy objective. Also, MFA has been supporting to the MRC for a long time which will provide insights of this support, given that trans-boundary water management is often a long-term process. The MRC is a relatively advanced river basin commission. As such it is expected to be interesting to assess the added value of MFA support.

Objectives:

Overall objective: people's suffering and economic losses due to floods are prevented, minimized or mitigated, while preserving the environmental benefits of floods.

Immediate objectives:

- 1) A regional Flood Management and Mitigation Centre, maintaining the availability of important flood-related tools, data, and knowledge; producing accurate regional forecasts with a sustainable lead time and a timely and effective dissemination; and providing accurate, well documented and consistent tools for basin-wide flood risk assessment and trans-boundary impact analysis.
- 2) A reduced vulnerability of society to floods, and a reduced risk of flood disasters caused by failure or inappropriateness of structural interventions. A reduced vulnerability to flooding and reduced flood damages at family, community and sub-regional levels. This will be achieved by reducing the disruption of normal activities during and after flood, and by providing people with the security and motivation necessary to make and sustain improvements in their economic and social welfare in environment that is frequently affected by floods.
- 3) Enhanced mediation and coordination capacity of the MRC in issues of non-compliance in flood management.
- 4) Competence in flood preparedness and flood mitigation strengthened, consolidated and readily available with communities, emergency managers and civil authorities, as required at each management level.
- 5) Institutional, human resources and technical support being available to sustainable land management and improved land use planning integrated into floodplain management and mitigation in the Lower Mekong Basin.

Strategy:

A Regional Flood Management and Mitigation Centre will be financed that will serve as focal point for research, data collection and dissemination of information of flooding and flooding preparedness in the Mekong basin.

*Senegal – OMVS trustfund 2 (2009-2012, € 9.5 million, WB trust fund)*

Justification:

OMVS trust fund adheres to the third policy objective, together with earlier activities that supported the OMVS listed below. This offers insights in the results of long-term MFA assistance to the OMVS.

Objectives:

- An increase in the use of the Senegal river by the population as a source for drinking water, irrigation, fisheries and livestock farming.

Strategy:

Partially removing water hyacinth from the banks of the river. Also, the local population is trained to keep the banks clear after initial removal.

*Senegal – OMVS-Water/Environment (2004-2007, € 7.5 million, WB trust fund)*

No specific objectives or strategy. First part of long-term support to the OMVS, which aims to introduce IWRM in the river basin, remove water hyacinth and create/strengthen water user groups.

*Senegal – OMVS Water/Environment (2008-2011, € 0.9 million, WB trust fund)*

Extension of previous activity including a study of the prevalence of water hyacinth in preparation for OMVS trust fund 2.

*Egypt – Nile Basin Initiative*

Justification

In the Nile basin support has been provided to the Nile Basin Initiative (NBI), which started in 1999, led by the World Bank. The NBI trust fund, to which the GoN contributed \$ 38 million, was initiated in 2001 to coordinate donor efforts in the Nile basin.

Objective:

- The NBI tries to improve trans-boundary water management between the riparian countries of the Nile (Egypt, Sudan, Ethiopia, Uganda, Kenya, Tanzania, Burundi, Rwanda, the Democratic Republic of Congo (DRC) and Eritrea as an observer) through a dialogue that was to lead to a shared vision between the countries.

Strategy

The shared vision is to be a Basin-wide program that focuses on building institutions, sharing data and information, providing training and creating avenues for dialogue and region-wide networks for joint problem-solving, collaborative development, and developing multi-sector and multi-country programs of investment to develop water resources in a sustainable way.

## ANNEX 3 ABBREVIATIONS

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ADB	Asian Development Bank
EM	Explanatory Memorandum to the budget
GWP	Global Water Partnership
IOB	Policy and Operations Evaluation Department
IWRM	Integrated Water Resources Management
MASP	Multi-annual Strategic Plan
MEA	Ministry of Economic Affairs
MFA	Ministry of Foreign Affairs
MI&E	Ministry of Infrastructure and Environment
MoF	Ministry of Finance
NGO	Non-Governmental Organization
NL	Netherlands
NWP	Netherlands Water Partnership
O&M	Operation and Maintenance
PPP	Public Private Partnership
RPE	Regulation Periodic Evaluation
RVO	Netherlands Enterprise Agency
ToC	Theory of Change
ToR	Terms of Reference
IGG	Inclusive Green Growth
WB	World Bank
UN	United Nations
wm	water management
WUA	Water Users Association

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