Johanna Kramm, Stefan Liehr, Engelbert Schramm, Martina Winker
Helen Tilley, Nathaniel Mason, Simon Hearn

Assessing the Processes and Performance of the International Water Stewardship Programme: Concept Paper

Johanna Kramm, Stefan Liehr, Engelbert Schramm, Martina Winker
Helen Tilley, Simon Hearn, Nathaniel Mason

Assessing the Processes and Performance of the International Water Stewardship Programme: Concept Paper

ISOE – Institute for Social-Ecological Research
Overseas Development Institute (ODI)

Commissioned by

IWaSP is funded by

Implemented by

Table of Contents

Table of Figures and Tables

Rationale for the IWaSP Evaluation Concept

The concept of water stewardship has been discussed among water experts for the last seven years and has more recently risen up corporate agendas as water stress begins to affect company operations, supply chains and investments. However, the implementation of partnerships involving corporates and other actors to improve water security (so called "water stewardship partnerships") is still relatively new. As such, evidence of their efficacy is still limited and they are largely evolving through a process of trial and error. On these grounds, a comprehensive evaluation, capturing lessons in what works well and what doesn't, could help to identify examples of good and bad practice, as well as progress towards impacts and potential unintended consequences.

IWaSP is an innovative donor funded programme that improves water security for poor communities and businesses in watersheds around the world by supporting good corporate water stewardship and multi-stakeholder collective action. IWaSP is implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ) and the UK Department for International Development (DFID). It is a six year programme, running to end of 2018, and is currently active in Kenya, Uganda, Tanzania, Zambia, South Africa, Saint Lucia and Grenada.

IWaSP facilitates public sector, private sector and civil society actors to assess and reach consensus on water security threats and solutions. It helps them partner to improve ecosystem management, water supply access, infrastructure investment and water governance. IWaSP supports good corporate water stewardship by helping companies become more responsible water users, while levering their skills, influence and resources into partnerships to improve water security for all. It also helps build the capacity of public authorities to improve their steering and coordinating role in multi-stakeholder collective action.

IWaSP intends to use the results of its evaluations to verify the relevance of its implementation approach and its underlying assumption: that corporate engagement and partnerships in water can usefully catalyse changes to promote more sustainable and equitable water management. A key outcome will also be the contribution to the wider knowledge base of the practical implementation of water stewardship partnerships, learning about their failure and success factors for constant steering and improvement for all implementers of such partnerships to use. Results of the evaluation will also provide an independent and critical examination of whether IWaSP's approaches to water stewardship and collective action have potential to provide value for money to its donors and are an effective approach for its partners to engage in. This will increase transparency of IWaSP, which in turn will increase its accountability to its donors and partners.

This independently developed evaluation concept will provide the guidance for IWaSP to conduct comparable programme evaluations from initial baselines to interim and final evaluations.

Executive summary

This assessment concept paper provides a methodological approach for the formative assessment and summative assessment of GIZ's International Water Stewardship Programme (IWaSP) and its component partnerships. IWaSP promotes partnerships between the private sector (corporations and SMEs), the public sector and the society to tackle shared water risks and to manage water equitably to meet competing demands. This evaluative assessment concept describes the generic approach of the assessment, the cycle for the assessment of partnerships, the country coordination and the programme.

The overall goal of the assessment is to provide evidence for taxpayers in the donor countries and for citizens in the partnership countries. It also aims to examine the relevance of the programme's approach, its underlying assumptions, and the heterogeneity of stakeholders and their specific interests. Since the assessment is also formative feedback to GIZ and IWaSP stakeholders, it aims to guide the future implementation of the partnerships and the programme.

The assessment is guided by several generic principles: assessing for learning (formative assessment); assessment of learning (summative assessment); iteration; structuring complex problems; unblocking results; and conformity with other assessment criteria set out by the OECD the Development Assistance Committee (DAC) and GIZ's Capacity Works success factors (GTZ 2010).

These generic criteria are adapted to the three levels of the IWaSP structure. First, the assessment cycle for partnerships includes the validation of stakeholders (mapping), the analysis of secondary literature, face-to-face interviews and a process for feeding back the findings. Generic tools are provided to guide the assessment, such as a list of key documents and an interview guide. Partnerships will undergo a baseline, interim assessment and final assessment. As progress varies across individual IWaSP partnerships, the steps taken by each partnership to assess shared water risks, prioritise and agree interventions, are expected to differ slightly. In response to these differences the sequencing and content of the assessment may need to be adapted for the different partnerships.

Second, the country-level assessment considers issues such as the coordination of partnerships within a country, scoping strategies, and interaction between partnership and the programme. Information gathered during the partnership assessment feeds into the country-level assessment.

Third, the assessment cycle for the programme involves a document and monitoring plan analysis, reflection on the different perspectives of the programme staff, country staff and external stakeholders.

The final section is concerned with reporting. Several annexes are provided relating to the organisation and preparation of the assessment, including question guidelines and analysis procedures.

1 Introduction

This assessment concept paper provides a methodological approach for the formative assessment and summative evaluation[1] of the International Water Stewardship Programme (IWaSP) of GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit, Germany) and its partnerships. There are three levels of the IWaSP programme structure: (1) IWaSP partnerships (specific in-country projects); (2) country-level management and coordination of partnerships; and (3) the IWaSP programme at the global level.

IWaSP is the first programme targeting water risks on a worldwide scale, active in several countries at the same time, with individual partnerships designed according to their local setting. The programme is based on the experience gained in previous small projects of the Water Futures Partnership. This experience influences the underlying theory of this programme, which is based on the assumption that integrating the private sector into water resource management contributes to improved water security and adaptability to climate change risks (i.e. the impact and sustainability of the work of the partnership).

IWaSP is funded by BMZ (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung, Germany) and DFID (Department for International Development, UK), and implemented by GIZ. It promotes partnerships between the private sector (corporations and SMEs), the public sector and society to tackle shared water risks and to manage water equitably in order to meet competing demands. The total funding for IWaSP is €17.3 million, including anticipated contributions from the private sector, local public sectors, and BMZ and DFID. BMZ's contribution is €6 million[2] and DFID's €11.3 million (formally agreed in December 2013).[3] It is hoped IWaSP will tap into new financial resources in the future, leading to more partnerships. (For an overview of the existing partnerships see the list in Annex 8.)

Water management issues pose complex problems. Seen as part of both natural and social systems, many diverse, interdependent aspects have to be considered in approaching them, such as how upstream events influence the water system downstream, how different interdependent government layers manage the water system, and how multiple stakeholders use the water system and its resources. Climate change is affecting the water system and the demands of the different stakeholders and adaptation strategies that are pursued. IWaSP partnerships aim to mitigate shared water risks and improve water security. They are usually round tables where political, civil society and private sector stakeholders come together to discuss shared water risks resulting from existing water use and management patterns and to agree on measures to overcome them.

The assessment methodology set out in this paper will cover all three levels of IWaSP: the 'partnership', 'country' and 'programme' levels. It will describe the generic assessment ap-

---

[1] In this concept the term assessment refers to a formative assessment and a summative evaluation.

[2] This information was taken from 'Afrikanische Water Stewardship Initiative in Afrika, Angebot für die erste Durchführungsphase'.

[3] The information was taken from the IWaSP Signed Agreement (BMZ/DFID n.d.).

proach and assessment cycle for each of these levels. As each IWaSP partnership is at a different stage of development, with some partnerships for instance already initiating preliminary activities, the steps each takes to assess shared water risks, prioritise and agree on interventions can be expected to differ slightly. In response to this, the sequencing and detailed content of the assessment components may need to be adapted.

The assessment cycle for partnerships includes the validation of stakeholders, the analysis of secondary literature, face-to-face interviews and a process of feeding back the findings.

The assessment of the country-level coordination of partnerships will look at topics such as coordination, scoping strategies and the interaction between partnership and programme level. Information will be gathered during the partnership assessment.

For the programme assessment the assessment cycle involves a document and monitoring plan analysis and reflection on the different perspectives of the programme staff, the IWaSP country staff and external stakeholders. The assessment activities are designed to provide findings and analyses that will feed into the refinement of partnerships, country-level coordination and the global programme as they continue to be implemented. It is therefore distinct from a retrospective appraisal of the performance or the quality of processes of specific projects and their funding programmes.

As this assessment concept paper will also benefit from lessons learnt during the baseline assessments, it will be revised and published in late 2015.

The evaluation will also consider the content of the monitoring plan that GIZ has developed by combining BMZ's results matrix and DFID's theory of change. It presents indicators and targets for the intended impact, outcome and outputs of IWaSP programmes.

2 Objectives of the assessment

Why and for whom is the assessment undertaken? The assessment pursues objectives that can be organised into two groups with distinct aims: (1) understanding the broader impacts of the programme on society and (2) the internal consistency of and balance of the IWaSP programme. The objectives and their application to the DAC criteria are summarised below in Table 1.

The first group comprises the following objectives:

- Providing both **citizens** of the countries in which assistance is being delivered and **taxpayers** from donor country with evidence of how contributions to international development are being utilised. This aims to increase the availability **and transparency** of information, which in turn can allow increased **accountability**.

- Contributing **to the production of knowledge** about which courses of action can make a difference to people's lives.

- **Identifying better ways of doing things**, allowing for **learning about failures** and **how to 'correct course'** to improve effectiveness, efficiency and sustainability at all levels.

The global scale and the concurrent nature of IWaSP results in certain risks for the programme[4] that the assessment approach attempts to mitigate. This leads to a second group of objectives that aim to ensure the internal consistency of the programme:

- **Ensuring the relevance of the programme's approach and its underlying assumptions.** The programme is based on the experience gained in the Water Futures Partnership. This experience strongly influences the underlying theory of IWaSP which is based on the assumption that integrating the private sector into water resource management contributes to improved water security and adaptability to climate change risks (i.e. the impact and sustainability of the work of the partnership). However, it is unclear to what extent the experience gained to date can be scaled up, so there is a risk that an inappropriate approach is adopted. One objective of the assessment, then, is to scrutinise the relevance and validity of the programme's approach in line with the OECD-DAC criteria discussed below. Applying these criteria will also involve consideration of how partnerships' activities are consistent with its goals, objectives, impacts and effects.

- **Dealing with stakeholder interests and power relations.** In any context, the private sector should have both an interest in a rapid and effective reduction of its water risks and a certain economic strength. Private sector actors may therefore be able to push things faster in their preferred directions in comparison with others (e.g. governmental bodies or NGOs). Further it is possible that individual stakeholders (e.g. big multinational players) might instrumentalise IWaSP to promote their own interests. This poses a threat to a balanced representation of interests. Bearing this in mind, one objective of the assessment is to analyse the power relations among stakeholders in an IWaSP partnership and the influence each can exercise on the partnership as well as on the political processes. This also entails another objective: examining whether stakeholder power imbalances jeopardise the achievement of the partnership's goals or reduce its efficiency in terms of the DAC criteria.

- **Dealing with heterogeneous partnerships.** The diverse and complex country contexts of IWaSP partnerships makes the overall identification of key factors leading to success or failure very challenging - especially IWaSP seeks to identify, develop and carry out general measures for reducing shared water risks. The assessment will identify not only which features of a partnership contribute to positive outcomes but also the contextual and external factors that underpin them. This will help to develop more generalisable findings.[5]

- **Ensuring balanced coverage of water and climate change.** The programme and the partnerships are exposed to the challenge of working in two broad thematic fields: water and climate change. Can this be managed so that any reduction of water risks also re-

---

[4] For details see also: BMZ offer of the programme by GIZ (2012) 'Afrikanische Water Stewardship Initiative in Afrika, Angebot für die erste Durchführungsphase'

[5] Addressing these factors will involve deciding what constitutes achievement of goals or a positive outcome, given that there may well be differing opinions. How will these criteria be decided? For example do the predefined stated goals of the initiative provide sufficient basis on which to judge success? Given these high levels of complexity it is likely that the partnerships' goals will evolve over time as they develop. In turn these adjustments will need to be reflected in the assessment so it can be expected that adjustments are made to the way that the assessment objectives are applied over time.

sults in the reduction of (or adaption to) climate change effects? Or is it the case that one of the topics – climate change – defines the overall goals? Bias towards one or the other could lead to contradictions. The objective is to analyse partnerships in the context of both topics and to identify the fields of conflicting interest.

Table 1 Assessment objectives

Impact on society		Summary and application to DAC criteria
1	Contributing to international development	Providing evidence of how contributions to international development are being utilised and how they have an **impact**. This aims to increase accountability and in turn to encourage **sustainability**.
2	Contributing to the production of knowledge	To provide information about which courses of action can **impact** people's lives and encourage **sustainable** change.
3	Identifying better ways of doing things	To incorporate learning about failures and how adjustments in the course of action could improve **effectiveness, efficiency and sustainability**.
Internal consistency		
4	Ensuring the relevance of the programme's approach and its underlying assumptions	To scrutinise the **relevance** and validity of the programme's approach in line with the OECD-DAC criteria. This will consider how partnerships' activities are consistent with their goals, objectives, impacts and effects.
5	Dealing with stakeholder interests and power relations	To analyse the power relations among stakeholders and their influence. This will include examining whether stakeholder power imbalances jeopardise the achievement of goals or reduce its **efficiency**.
6	Dealing with heterogeneous partnerships	This aims to identify which features of a partnership contribute to positive outcomes but their underpinning contextual and external factors. This will help to develop more **generalisable** findings and to identify **specific** features of importance.
7	Ensuring balanced coverage of water and climate change	To analyse partnerships in the context of both topics and to identify the fields of conflicting interest and to balance coverage so that any reduction of water risks also results in the reduction of (or adaption to) climate change effects.

3 High-level assessment questions

A set of high-level questions provide the assessment's overarching structure. Seven high-level questions are identified as a starting point, with an additional programme-level synthesis assessment question. The high-level questions reflect important assessment criteria like relevance, effectiveness, unintended consequences, impact, the inclusion of all important stakeholders, approaches to collective action, and trust among partners.

Synthesis assessment question:

What outcomes and impacts have been achieved where, by whom and for whom, and what are the implications for lesson-sharing across IWaSP?[6]

The following fields of assessment (with corresponding high-level questions) guide both the partnership-level and programme-level assessment.

Fields of assessment:

Testing the assumptions	a) How and how far are the underlying assumptions[7] of the approach and its general logic shown to be relevant and generalisable? (Where are the limits, weaknesses, strengths, opportunities, threats and so on?)
Mutual learning	b) How and to what degree are all the partnership's stakeholders able to learn from its processes?
Effectiveness	c) How and to what degree have internal features (processes, structures, individual and organisational capacities) supported the partnership's effectiveness in achieving its goals according to the programme/partnership logic (e.g. as set out in the monitoring plan outputs, outcome and impacts)?
Impact and unintended consequences	d) What impact has been achieved as a direct result of the partnership/programme and how and how far have internal partnership/programme features had significant unintended consequences that lie outside the logic set out in programme documents (e.g. the monitoring plan outputs, outcome and impacts)? What has the response been?[8]

---

[6] This question takes inspiration from the realist synthesis approach to evaluation, which aims to understand what works for whom, under what circumstances, rather than just what works. See Better Evaluation (2014).

[7] The underlying assumptions can be roughly outlined as the hypothesis that the involvement of the private sector in the water risk management is improving the water security for all users in the catchment and enhancing adaptability to climate risks.

[8] To ensure that the OCED-DAC criteria of positive and negative, intended and unintended consequences are fully captured.

Coverage and social inclusion	e) How and to what degree has the partnership and the programme engaged all individuals and groups who impact on, or are impacted by, the water security issue at stake? (And how far has the partnership developed the capacity of those that would otherwise struggle to engage?)[9]
Shared understanding of water risk	f) How and to what degree has the partnership and the programme succeeded in developing and embedding a shared understanding of water risk and a common approach for collective action to address shared risks?
External factors	g) How and to what degree have external factors (sector policies, other programmes, wider political or environmental events) impeded or facilitated the ability of the partnership/programme to achieve its goals according to the programme/ partnership logic? Are any unintended consequences arising as a result of external factors?

In Annex 4 a more detailed list of questions is outlined as a precursor to developing question guides and schedules for desk analysis and interviews. In Annex 5 the generic interview guide used in the pilot assessment mission is presented. The interview guide is based on the success factors and the question guide (high-level questions and sub-questions).

4 Principles of the assessment

This assessment concept paper pursues a formative assessment as well as summative evaluation approach. The summative evaluation will focus on the outcome and the successes of the partnerships and programme, making a judgement on the merit of the programme, while the formative assessment provides feedback and guidance that aims to lead to adjustments in implementation. As the programme evolves under feedback from the formative assessment this will, in turn, change the benchmark for the summative evaluation. For the summative evaluation to be carried out it will be necessary to identify a point at which the benchmark will be fixed to allow assessments to be carried out.

4.1 Assessing for learning – formative assessment

The assessment acknowledges that a multi-stakeholder partnership aiming at a collective management of water risks is a fairly new approach for many stakeholders. Collectively

---

[9] This will be considered through verifying the stakeholder analysis and considering whether its coverage is sufficient. Careful coordination with ongoing studies of Integrity and the Capacity Needs Assessment is needed. Questions and information should be shared and coordinated so as not to duplicate data and to avoid stakeholder fatigue

managing water risk can be more complex than expected. The same can be said for the programme level, which faces the challenge to manage the partnerships. The assessment aims at supporting the partnership and the programme staff in handling these challenges successfully. Therefore the assessment takes an approach of a formative assessment.

A formative assessment looks at processes and structures in order to "form" or "shape" them. In this sense "forming" means helping to identify opportunities for improvement. Formative assessment aims to enhance partnerships' adaptability and their ability to make any adjustments that may improve their operation. The evaluator seeks to create a collective assessment process through which participants examine linkages between actions, activities and intended outcomes and identify areas where they may need to modify their thinking and acting. The assessment and assessment of the partnership is conducted continually; areas that are identified for adjustment and modification are fed directly into the programme and the partnerships.
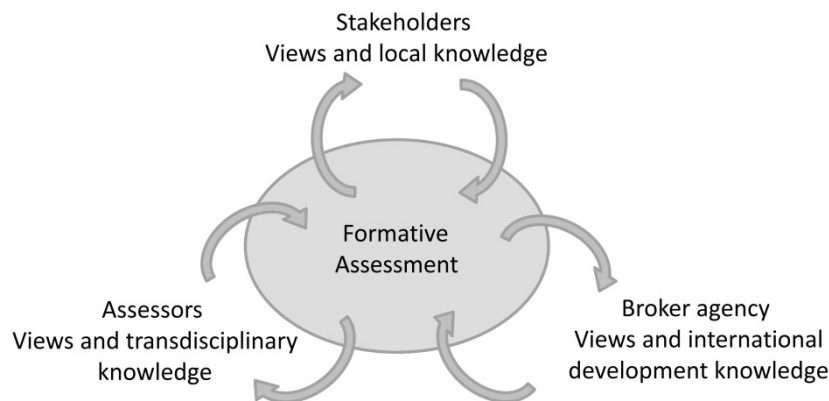
Figure 1 Formative assessment (own illustration)

The assessment is seen as a constant learning process for all involved, including the programme and partnership staff, other stakeholders and the assessment team. This kind of assessment process requires the same "eye level" between both assessors and the assessed. The formative assessment is not based on "hard" quantitative surveys, but on qualitative interviews with guiding questions. Nevertheless DAC criteria are reflected in those questions.

Figure 1 illustrates how different views and knowledge of the involved actors feed into the assessment. Stakeholders' views and their local and professional knowledge feed into the assessment as well as the views and the project knowledge of the broker agency and the views and transdisciplinary knowledge of the assessor.

4.2   Assessment of what has been achieved – summative evaluation

The aim of this reflective part of the assessment is to evaluate what has been achieved. Here the outcomes of the partnership's activities are assessed and the overall merit and worth of the partnership will be considered. Alongside the DAC criteria, additional criteria are evaluated and highlighted during the assessment. While in the early assessments the

formative aspects are stronger and the summative aspects are weaker, in the final evaluation the summative aspects will prevail. In the summative evaluation the formative aspects are acknowledged, but the focus is on evaluating progress according to outcomes. The summative evaluation will consider the synthesis of the individual partnerships and country programmes be synthesised to form a judgement of the whole programme. This will weigh up average progress as well as considering successful outliers and also negative consequences where these might have arisen. The methodology of this will be captured in the revised assessment concept.

When a partnership has come to an end a summative evaluation will be carried out to assess the achievements of the partnership and to consider the sustainability of the work in more detail. This will be done by looking at the partnership's implementation plan which outlines the activities and objectives and the filled out monitoring plans and further sources of verification.

4.3   Iteration

The principle of iteration applies to the procedures and the processes of the assessment. Iteration is understood as an important principle for successful assessment since it centres on adjusting, verifying or falsifying assumptions while refining the structures and practices to be evaluated. In this regard the assessment is an open practice that allows flexibility and adaptability. This does not mean that the assessment is unstructured and without clear conceptual appraisal, but rather that adjustments are encouraged as the assessment proceeds (for further information see Bergmann et al. 2012). The iteration principle allows for the different components of the assessment to be conducted in parallel, rather than sequentially. The possibility of deviation from the planned steps can increase understanding of the evaluated structures, processes and actions as new avenues can be explored and new questions investigated as they arise. There is a risk that as the assessment adapts and evolves it may appear that the goal posts are changing or that the assessment is looking into things that were not previously agreed. To mitigate this, the assessment design and adjustments to the design that are made will be made clear to all stakeholders.

4.4   Structuring problems – adapting to complexity

Water management issues pose complex problems. As part of complex natural and social systems, these problems are often unstructured. In the literature (Balint et al. 2011; Hisschemöller/Hoppe 2001) complex, unstructured problems are characterised by:

- uncertainties in knowledge (e.g. regional/local effects of global warming, future demand)
- disagreement about the validity of data, information or research
- disagreement about values, norms or objectives.

Projects working on complex problems require particular management approaches. Stakeholders may disagree about the issue because they have divergent perceptions. It is possible to distinguish converging and diverging views among stakeholders in terms of values and

knowledge (see Table 2). Similarly, the perception of existing and expected situations can be based on weakly or on better-established knowledge domains (including entrepreneurial or institutional routines of acting with uncertainty); hence, it is helpful to reflect the limits of knowledge (and also absence of knowledge and ignorance). Uncertainty results not only from a lack of knowledge, but also because people interpret and value information and different stakeholders' knowledge differently.

Table 2 Uncertainties and complexities in the field of activity (source: developed from Committee of Scientists 1999; Jahn 2012: 55)

	Consensus of values	
Values **Knowledge**	**High**	**Low**
Well developed	**Routine analysis with periodic stakeholder and expert review → Decisions are easy**	Emphasis on stakeholder deliberation with periodic expert review
Tentative/Gaps/ Disagreements/ Research needed	Emphasis on expert deliberation with periodic stakeholder review	Emphasis on both stakeholder and expert deliberation **→ Messy problems**

Hisschemöller and Hoppe (2001) developed an approach for structuring messy problems which focuses on integrating the most divergent views with respect to the problem. Problem structuring is based on the observation that different stakeholders have different perceptions; there is an inherent uncertainty to knowledge as it is based on normative foundations. Therefore, interaction between stakeholders allows for the joint formulation of a problem. Jointly formulating problems and agreeing on solutions helps to reduce uncertainty, ambiguity and disagreement. The identification of stakeholders' perceptions are central for enabling joint problem formulation.[10]

4.5   Unblocking results

It is now generally accepted that governance strongly influences public services in developing countries and the governance of aid-funded projects and programmes has a major impact on the quality of service delivery.[11] Common governance constraints that undermine service delivery are policy and institutional incoherence, poor top-down performance disciplines, limited bottom-up accountability relationships and limited scope for problem solving (Wild et al. 2012; Booth 2010).

---

[10]   Ideally, the outcome of problem structuring is 'negotiated knowledge': this is knowledge which is agreed upon and valid (De Bruijn et al. 2002; Van de Riet 2003). Nevertheless the structured problem developed during a multi-stakeholder process should not be seen as final or permanent.

[11]   A large body of evidence has since been built up focusing on the impact of particular types of accountability and performance-enhancement institutions. However, an evidence gap remains as little research has considered the implications of these findings for the design and delivery of aid programmes (Tavakoli et al. 2013; Wild et al. 2012).

Research has examined whether aid can facilitate government efforts to address governance constraints and to improve the quality of service delivery by 'unblocking results'. It explores factors that encourage this in practice: six key enabling factors for supporting improvements in service delivery were identified. The way in which these enabling factors may operate in the partnerships, the programme and the assessment concept are illustrated in Table 3. In applying these principles, the assessment will aim to remain alert to the way that they may emerge in the partnerships, to ensure that they are recorded and noted when they arise.

Table 3 Enabling factors for structuring complex problems (source: ODI, adapted from Tavakoli et al. 2013)

Enabling Factor	In partnerships	In assessment
Windows of opportunity	Weigh need against opportunity to affect change as context changes	Note cases where windows have been recognised and reacted to, and cases where they have not been spotted
Tangible political payoffs	Target reforms with tangible political payoffs by accepting that aid is inherently political and working with the political incentive structure	Highlight instances where partnership activities have aligned with political interests
Building on what's there	Get existing framework implemented, however imperfectly, and then adjust	Recognise cases where 'ideal type' changes were not followed due to an opportunity to adjust existing framework
Moving beyond policy advice	Support local problem-solving through strategies to address technical challenges or coaching and mentoring	Highlight instances of mentoring and coaching
Acting as facilitators	Help to facilitate a local dialogue about problems to arrive at solutions, bearing the transaction costs of bringing actors together	Highlight how local problem solving has been supported through facilitation activities
Adaptive and responsive to lessons learnt	Be responsible and adaptive by using flexible frameworks that judge performance on the basis of a sensible effort, rather than pre-defined targets	Adjust the assessment framework to assess efforts made that were sensible given the country and partnership context

4.6 The way to impact and sustainability – assessment and evaluation criteria

This section presents and discusses the criteria for the assessment. As changes to the assessment and evaluation criteria emerge iteratively, these will be discussed with stakeholders to obtain feedback and to endorse the changes to ensure that the assessment methodology is understood by participants.

Success factors

The following criteria are based on the GIZ's Capacity Works success factors (GTZ 2010). They are aligned to the partnership assessment and also provide guidance for the programme assessment.

Strategy orientation toward long-term goals
- Alignment with partner-country needs, priorities and reform agenda.
- Harmonisation and coordination of instruments and procedures with other bilateral and multilateral donors.
- Regional perspective: positioning and relationships of the country within the region, regional agreements, anchor country approaches.

Steering and institutional structure
- Institutional set up of partnership. Who are the key partners? Who are extended stakeholders? Frequency and format of meetings, etc., staffing.
- Decision-making structures of the partnership.
- Communication and information flow/chain among the partners and within the partnership.
- Who brings which skills and expertise to the partnership?

Cooperation among partners
- Interaction of partners, working relations, soft factors such as trust, interests, etc.
- Clarity of roles/mandates of the partners.
- Ownership and commitment of the stakeholders to the partnership.
- Balanced participation of all partners.

Activities and processes
- Under this factor the agreed activities outlined in the implementation plan are scrutinised.
- Activities and processes determine not only the organisation's performance capacity, but also whether or not it will achieve its goals.
- Processes are strongly linked to institutional structure and cooperation among partners. For example 'decision-making' can arise from the institutional structure but it is also a process. The distinction made here is therefore only analytical in nature and some points are either covered under one category or the other: the specific case will determine which.

Learning and collective problem solving
- Dealing with problems in the partnership.
- Achievement of collective action by stakeholders coming together to identify and solve problems.
- Existence of mutual learning processes.

DAC criteria

The evaluation will be guided and framed by the five DAC criteria, which are supported by BMZ and DFID as OECD-DAC members. These criteria are fundamental to improving the quality of development projects.[12] They will be considered alongside cross-cutting themes: adaptation to climate change, resource conservation, good governance, gender equality, rural development and crisis relevance. These criteria have influenced the high-level assessment questions (in Section 4) and also the interview questions (Annex 3). They are:[13]

- *Relevance*: the extent to which the aid activities are suited to the priorities and policies of the target group, recipient and donor.

- *Effectiveness*: a measure of the extent to which an aid activity attains its objectives.

- *Efficiency*: measuring outputs – qualitative and quantitative – in relation to inputs. This generally requires comparing alternative approaches to achieving the same outputs to see whether the most efficient process has been adopted.

- *Impact*: the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.

- *Sustainability*: measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. This relates to both environmental and financial sustainability of the partnerships and the programme. It will be not possible to assess the sustainability of the entire partnership while it is still ongoing as the involvement of different organisations in the partnership change during the course of the assessment. Nevertheless any impact on sustainability will be considered.

The DAC criteria have been discussed by Chianca (2008a) who criticised them for not considering the needs of recipients and overemphasising the priorities of donors and governments (in terms of relevance and effectiveness in particular). Efficiency should be expanded to consider potential alternatives and also non-monetary costs. Finally, sustainability should be retrospective and should also include other elements such as cultural appropriateness and institutional capacity. This critique is captured in Table 4 by an extension to include wider issues. Chianca (2008a) also noted that the criteria do not consider process quality (such as ethical and environmental responsibility) and lessons for other interventions (such as innovative design or approach). Furthermore, the way in which the criteria are used in evaluations is often too mechanistic and could limit creativity.

---

[12] In addition to applying these criteria in the assessment, DAC's quality standards will be used to ensure that the evaluations are of a good and consistent quality. See Annex 7 for a summary of the quality standards.

[13] BetterEvaluation 2014

Table 4 Summary of DAC criteria (source: developed from ALNAP 2006, BMZ 2014, Chianca 2008a, DFID 2009)

Summary of evaluation criteria and how they can be applied Criterion	Direct questions	Cross cutting/wider issues
Relevance DAC, BMZ and DFID: The extent to which the aid activities are suited to the priorities and policies of the target group, recipient and donor.	• Are the partnership's activities and outputs consistent with its key goals and attainment of objectives? • Are the partnership's activities and outputs consistent with its intended impacts and effects?	• Local context and cultural relativism: is there an understanding of local needs and how these differ amongst different recipients?
Effectiveness DAC, BMZ and DFID: A measure of the extent to which an aid activity attains its objectives.	• To what degree were the partnership's objectives achieved, or are anticipated to be achieved? – How do different stakeholders perceive this? • What chief factors were responsible for the achievement or failure of the objectives? How was change brought about? – How do different stakeholders perceive this?	• To understand why things happened: who participated and why; how did the local context influence participation? • Did primary stakeholders participate in the partnership design? • Were activities appropriately timed? Were beneficiaries/ stakeholders supported at key times?
Efficiency DAC, BMZ and DFID: Measures the outputs – qualitative and quantitative – in relation to the inputs. Comparing alternative approaches to achieving the same outputs. DFID: An economic term which signifies that the aid uses the least costly resources possible in order to achieve the desired results.	• How cost-efficient were partnership activities (monetary and non-monetary)? • Were objectives achieved on time? • How efficient was the partnership's implementation compared to alternatives?	• How have external effects impacted on efficiency: e.g. how have political priorities influence interventions? • Financial efficiency: costs of inputs broken down locally and internationally; staff costs, broken down by local and expatriate staff; administration costs as a percentage of intervention costs? • Why was the level of efficiency achieved?
Impact DAC, BMZ and DFID: The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.	• What occurred as a direct result of the partnership? • What were the intended and unintended results and the positive and negative impact of external factors? • What real difference was made to the beneficiaries as a result of the activity? • How many people were affected?	• Evaluation of impact should be attempted only where: a longitudinal approach is being taken; there are data available to support longer-term analysis. • Did the intervention lead to the impact: can attribution be determined? Over what time period? • This should consider support to livelihoods, human rights and gender equality.

Summary of evaluation criteria and how they can be applied Criterion	Direct questions	Cross cutting/wider issues
Sustainability DAC, BMZ and DFID: measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. DFID: Interventions need to be environmentally and institutionally as well as financially sustainable. Any assessment of sustainability should cover the concept of ownership. (ALNAP 2006: 28).	• Is there capacity in terms of staffing in the GIZ office, local knowledge and experience in the country and region? • To what extent does the partnership build capacity of government, civil society and other stakeholders and beneficiaries? • How is their capacity supported by the intervention?	• How embedded and connected is the partnership, and with which groups? • What is the extent and nature of political support, cultural appropriateness, adequacy of technology, and institutional capacity (Chianca 2008a)?

The relationships between the different criteria are pictured in the Figure 2. The topics discussed in the interviews (such as motivation, interests etc.) provide insights to the success factors. By analysing the success factors with additional information from documents and from the monitoring plan, it is possible to assess the extent to which the DAC criteria have been applied. With the data generated from interviews it is possible to assess 'soft success factors' such as the degree of trust among partners, feelings of ownership, accountability and collective action.
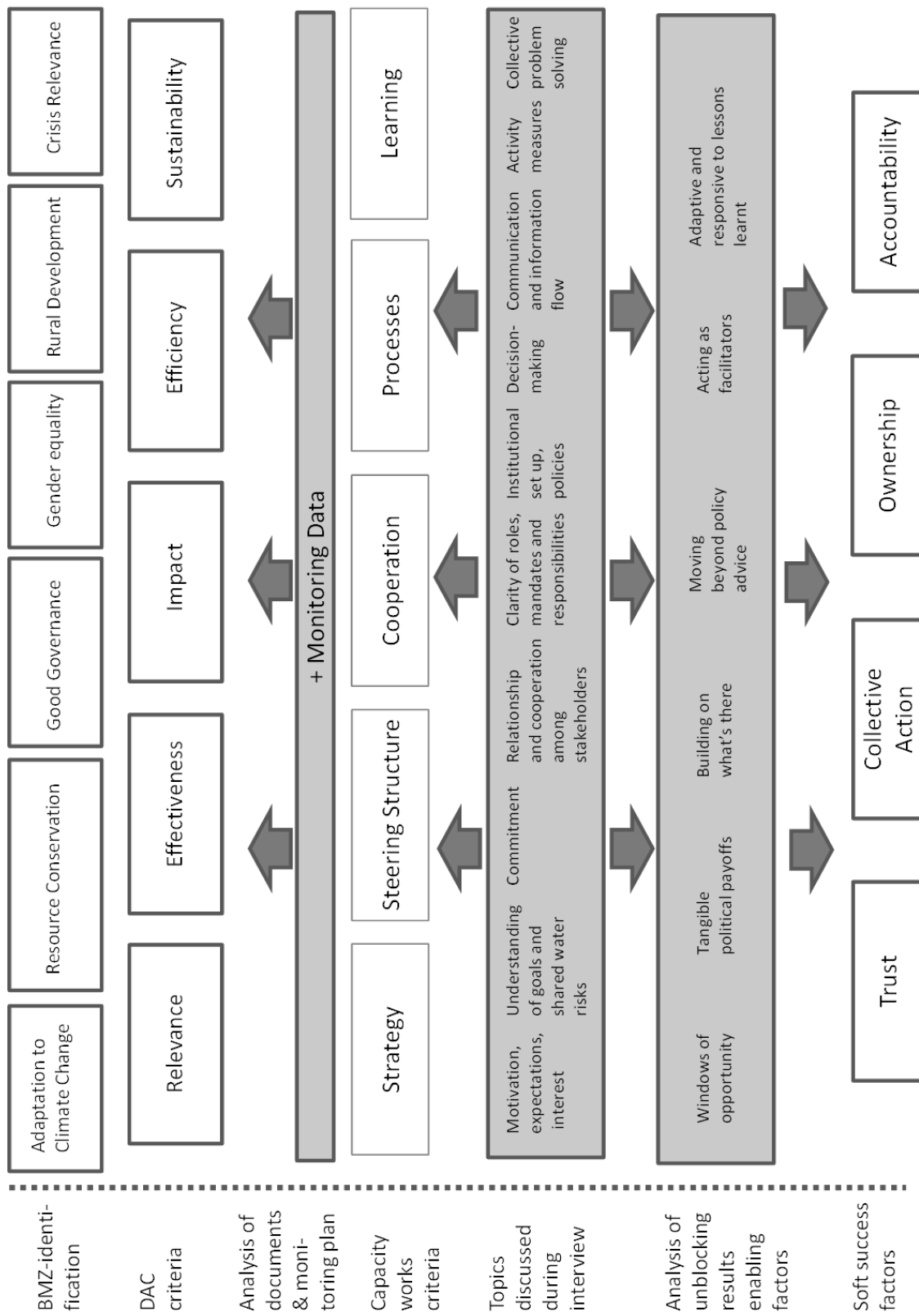
Figure 2 Criteria matrix (own illustration)

BMZ-identification: Adaptation to Climate Change | Resource Conservation | Good Governance | Gender equality | Rural Development | Crisis Relevance

DAC criteria: Relevance | Effectiveness | Impact | Efficiency | Sustainability

Analysis of documents & monitoring plan: + Monitoring Data

Capacity works criteria: Strategy | Steering Structure | Cooperation | Processes | Learning

Topics discussed during interview: Motivation, expectations, interest | Understanding of goals and shared water risks | Commitment | Relationship and cooperation among stakeholders | Clarity of roles, mandates and responsibilities | Institutional set up, policies | Decision-making | Communication and information flow | Activity measures | Collective problem solving

Analysis of unblocking results enabling factors: Windows of opportunity | Tangible political payoffs | Building on what's there | Moving beyond policy advice | Acting as facilitators | Adaptive and responsive to lessons learnt

Soft success factors: Trust | Collective Action | Ownership | Accountability

17

5   Assessment design

The organisation of the assessment

The planning, organisation and implementation of the assessment requires close cooperation between the assessment team and local GIZ staff (partnership level) and staff at GIZ headquarters (programme level) as well as sufficient management capacity at each level. Forms of support needed for partnership assessment include providing monitoring data, coordinating stakeholders, preparing timetables, arranging appointments for interviews, and providing logistical support (accommodation and transport). These responsibilities of the local GIZ office need to be communicated by the GIZ headquarters. For an overview of the different steps and responsibilities, see Annex 2. For the programme assessment the assessment team needs support in making appointments and preparing timetables.

Moreover, GIZ staff are more likely to cooperate with partnership and programme assessments if efforts have been made to make them aware of the reasons for and benefits of the assessment (Annex 9 provides a briefing of the assessment mission).

Monitoring plan

The assessment team will expect that most information for the monitoring plan baseline will have been collated by GIZ and its implementing partners. The assessment team will validate certain indicators in the monitoring plan and facilitate discussion among the partnership and programme management staff on the quality and suitability of the indicators as part of the formative assessment.

For the interim assessment and the final evaluation, GIZ needs to provide updated programme monitoring plans (all partnerships). For the partnerships, an updated implementation plan that shows what has been achieved (which activities are complete and which are outstanding) is also required.

The assessment team

In most cases the assessment team will conduct interviews and meetings with the communities, supported by an interpreter and moderator. Here it is the assessment team's role to ensure comparability across partnership and country assessments, continuity during the assessment cycle and adherence to the assessment methodology. Further, they should be able to provide research-based insights in accordance with their scientific training.

A promising model is for an international assessment team to act as coordinator, ensuring quality and consistency, working alongside independent local experts (or organisations) who should complement the assessment team with expertise specific to the local conditions. If a joint assessment (international assessment team and local expert) is desired, this needs to be discussed in advance with the respective partnership coordination team.

5.1 The assessment of partnerships

The following section outlines the methodological approach for the assessment of partnerships. Baseline assessments are conducted to measure the progress achieved since the beginning of the partnership. These rely on quantitative and qualitative data collected from the beginning of the partnership by partnership staff, with additional support where necessary.[14] A pilot baseline assessment was conducted in Uganda in May 2014 from which feedback has been assimilated and modifications made to the assessment concept.[15] Applying the principles of a feedback loop and regular learning, the assessment approach will be adjusted in response to lessons learnt as assessments are completed.

A regular assessment cycle for all partnerships comprises (1) a baseline study, (2) an interim assessment and (3) a final evaluation which has more of a summative character (see Table 5). While the baseline study will be more formative in character and therefore rather qualitative, formative aspects will reduce and the summative aspects will increase in the interim assessment and final evaluation. The entire assessment sequence will be repeated at least every third year.

Table 5 Design of assessment

Characteristics	Timing and approach
Sequence	at least every third year
Methodological approach	3-steps (baseline, interim, final)
Character	Formative/summative

Sampling of the partnerships is recommended as the addition of new partnerships each year will increase the number of assessments to be undertaken. Sampling will ensure that relevant findings about the success of the programme can be made.

The assessment will draw on different sources for generating empirical information and data including: interviews; the monitoring plan for information on the current status of the partnership; summative aspects; observations during field visits; project documents.

The assessment cycle for the partnerships

The assessment cycle comprises five components (see Figure 3). Components A1 and A2 are desk-based preparation components during which an in-depth but provisional analysis will be produced that will inform Component A3, the main fieldwork component. During Component A3 the researchers will reflect upon the emerging provisional analysis and build

---

[14] For the ongoing partnerships and for those partnerships which were preceded by Water Futures Partnership the baselines that have been conducted during 2014 will differ from the baselines that will be conducted for partnerships established from 2014 onwards.

[15] Some of the findings and modifications were as follow. First, the organisation of the mission should be more pre-pared by the GIZ country hub staff. Second, it became clear that the interview questions needed to more adjustment to the respondent, depending if they were an actual partner in the partnership or another kind of stakeholder or 'affiliated partner'. Third, the workshops were too much effort to organise and therefore it was decided to participate as observers in a meeting (ideally a Steering Committee meeting). Fourth, the report needs to have a feedback addressed to all partners of the partnership.

upon this, making revisions as necessary. Component A4, the stakeholder workshop, is followed by Component A5, which will draw out reflections and make further updates to the analysis. Annex 4 contains examples of more detailed questions that could be utilised throughout the cycle to support the iterative development of the analysis. The cycle has to be seen as a rather heuristic understanding of the assessment process, which in reality is likely to be less linear and more iterative and interconnected.
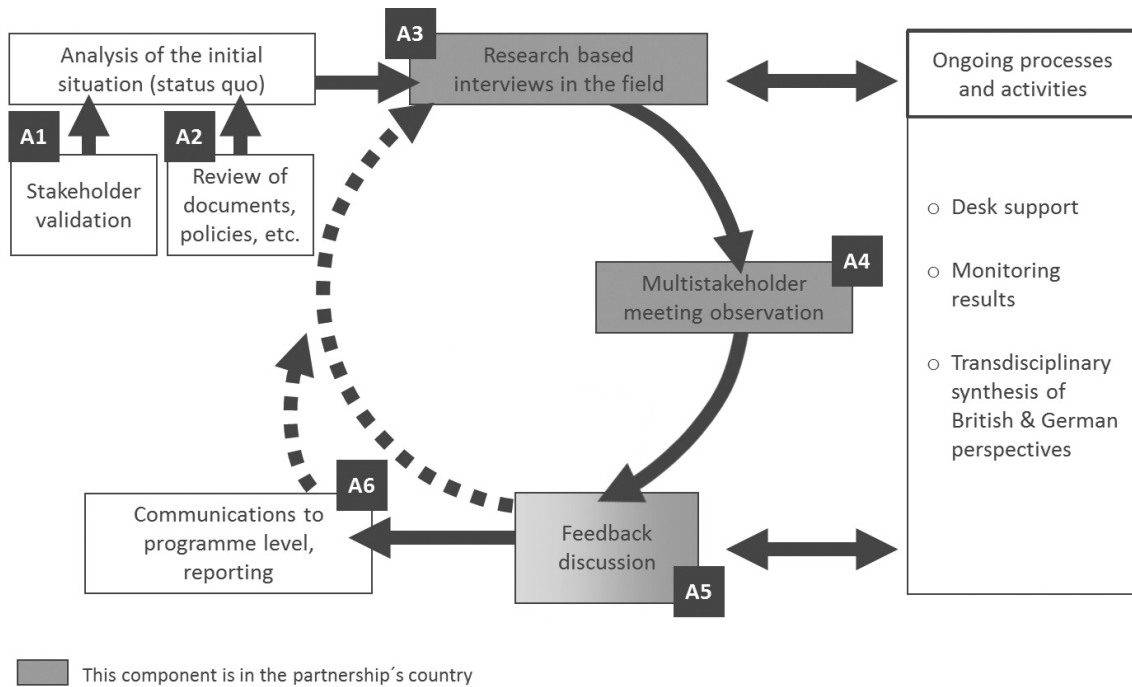
Figure 3 Assessment cycle on partnership level (source: ISOE)

Component A1: Stakeholder validation

Stakeholder mapping exercises are carried out by GIZ in all IWaSP partnerships according to the structure shown in Figure 4. The stakeholder map will be reviewed to acquire an overview of the stakeholders who are active in the area and their proximity to the partnership.
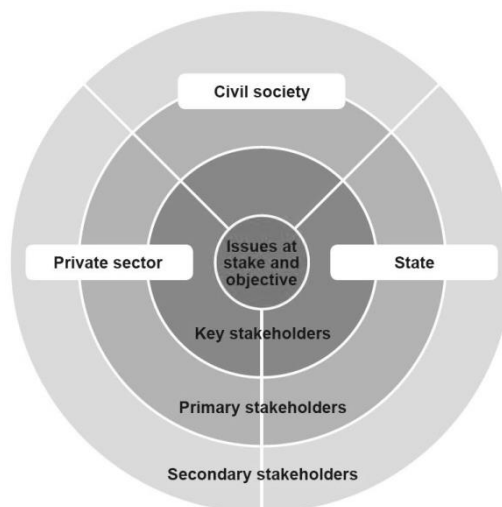

Figure 4 Generic stakeholder mapping structure used by GIZ

By reviewing the stakeholder map and the implementation plan the assessment team acquaints itself with the key stakeholders involved in the partnership. This helps to identify appropriate interviewees (Component A3). Through the course of subsequent assessment components it also allows the assessment team to explore whether all stakeholders and their linkages and interests have been captured adequately.

In practice, component A1 is run concurrently with other components of the assessment. Initially, validating the stakeholder maps relies upon analysis of partnership documents, reports and country information (Component A2), including any available documents which assess capacity, such as capacity needs assessments. After the first round of interviews (Component A3), the assessment team's preliminary validation of the stakeholder analysis feeds into a revised mapping that extends and adjusts the location of stakeholders and offers new insights into their linkages and the potential for conflicts as well as their different power bases. This revised mapping is presented to the project team (Component A5) in order to confirm changes in the configuration of stakeholders as well as uncertain and critical constellations which can, in turn, be addressed in the ongoing partnerships.

Stakeholder validation requires careful coordination with other ongoing activities. The assessment team should build on existing results in order not to overburden the stakeholders. The assessment needs to be carefully introduced to the stakeholders to raise awareness about the need for the assessment and to establish willingness to cooperate.

As such the stakeholder validation will **iteratively** explore:

- The selection of stakeholders in the partnership and its possible (sub)networks, including vulnerable groups and groups in a position to help or hinder partnership outcomes
- The stakeholders' different motivations, interests, influences and experiences in the current partnership work
- The socio-economic and socio-cultural interdependencies of the stakeholders

These are obviously broad categories and in practice the stakeholder validation focuses on different aspects depending which seem most relevant to judging how equitably and effectively the project team has identified, facilitated, and managed stakeholder participation and the reasons for success or failure in this regard. Examples of areas to focus on include but are not limited to:

- How well the partnership's stakeholder communication is managed (including regular meetings, reports, supervision, clear contact persons, and communication routines)
- The inclusion of stakeholder groups most vulnerable to the water risks identified by the partnership
- The inclusion of opinion leaders promoting, facilitating and hindering the partnership's central idea, as well as its success and impact
- The identification and management of the incentives of those supporting or opposing (overtly or covertly) the partnership

In addition to the existing GIZ methodology used to develop stakeholder maps, the assessment team may draw upon other approaches to stakeholder mapping and analysis in order to cross-check findings and interpretations as necessary (such as the Alignment, Interest and Influence Matrix – Mendizabal 2010).

Component A2: Analysis of partnership documents, reports and relevant water sector policies

All relevant information and material available regarding the partnership, its interventions and wider sector is collected and categorised in a rapid analysis. The material comes from different sources; it is both quantitative and qualitative, from primary and secondary sources, and it is likely to vary in format and quality. A list of required information is included in Annex 1 and a list of required documents is provided in Annex 3.

In a second step the collected material and information will be reviewed with the help of a set of key questions developed from the generic guides in Annexes 4 and 5. These focus on identifying the activities undertaken, the outcomes observed and contextual factors. The impact matrix or theory of change will be reviewed.[16] Annex 4 presents questions to guide the analysis.

The responses to these questions should start to form an understanding of the partnership and the areas where further clarification is needed and additional data is required.

Component A3: Face-to-face interviews

The selection of interviewees from among members of the IWaSP project team and partnership stakeholders will be guided by the following criteria:

- Partners making financial contributions
- Importance for the partnership (e.g. potential private stakeholder)
- Importance for an overview of water resource management and other relevant topics of the partnership
- Views from different sectors (civil society, public and private sector)
- Fuzziness in relationships and roles, critical relationships as well as existing or probable conflicts (of interests)

This sampling process is supported by the country office. While it may be difficult to ensure that the sample fully represents the different stakeholder groups proportionately, it remains important to ensure that the total sample adequately captures members from different stakeholder groups, particularly those who might not be included in the partnership. Snowball sampling is also applied, where contacts recommend further potential interviewees.

The empirical data collected during the fieldwork period is mostly gathered through interviews, which are conducted using an interview guide. The information gathered from the interview is greatly influenced by contextual factors such as who conducts the interview, who else is present, the location of the interview, whether a topic list is issued in advance, and how sensitive the topics are.

It is important to be aware of unintended effects of the partnership and to capture these in the interviews, for example by keeping in mind how wider events in the sector may have interacted with the partnership. This can be done by interviewing stakeholders who are

---

[16] The wording of DFID and BMZ differ. DFID refers here to a 'theory of change' or 'cause effect theory', while BMZ refers to it as 'impact matrix' which is operationalised in a 'log frame', also called a 'monitoring plan'.

further away from the partnership and as such may be aware of other influences.[17] Doing a 'before and after' comparison will also, where possible, enhance understanding of the partnership's impact. Annex 4 contains examples of questions that could be used as a starting point of developing interview schedules. Table 6 summaries the interview participants comprising the sample groups.

Table 6 Interview partner

Stakeholder directly involved in the partnership:	IWaSP GIZ project team, IWaSP partners like state agencies, private companies and civil society organisations
Stakeholder not directly involved in the partnership:[18]	other donors, other state agencies, private enterprises, NGOs, community organisations

Component A4: Stakeholder workshop/meeting observations

The partnership already requires intensive stakeholder involvement so conducting an assessment workshop annually could lead to 'stakeholder fatigue'. The assessment team can reduce the number of workshops organised by joining existing workshops and partnership meetings and integrating assessment topics into their agendas. It will still be valuable for the assessment team to organise a preliminary workshop with all stakeholders for the baseline assessment: here the assessment concept and methodology is introduced to all stakeholders and awareness of the assessment is generated. But holding a workshop depends on the particular partnership and is decided together with the respective GIZ country office. In most cases assessment meetings will be aligned with existing meetings to reduce the workload for the stakeholders.

The advantage of a workshop is the opportunity to present the results of Components A1 to A3 at a meeting where all partnership stakeholders and the IWaSP project team are present.[19] The assessment results can be discussed with all partners to obtain feedback and to generate self-reflection about what the findings mean for the programme and the partnerships, the assumptions on which it was built, and where improvements can be made.

---

[17] Whether it is feasible to include interviews with stakeholders who are not directly involved in the partnership depends on the timeframe and the capacity of the assessment team during the mission.

[18] The inclusion of interviews with stakeholders who are not directly involved in the partnership depends on the timeframe and the capacity of the assessment team during the mission and will be decided regarding the respective context.

[19] The workshop includes group work that highlights key emerging findings. This aims to present and discuss the assessment results a major goal of the stakeholder workshop is the revision and verification of the partnership's common goal(s). Adjustments in the partnership's work and goals are discussed if gaps between expectations and reality are identified during the assessment process: the baseline assessment stakeholder workshop is used to define the common partnership goal if it does not already exist or is not shared by all stakeholders. Participatory and transdisciplinary tools are applied, like mappings, rankings and institutional diagrams (Venn diagrams) to visualise linkages and priorities. In some IWaSP partnerships there may be differences of power and status which inhibit the free and open flow of information and opinions in a fully open workshop. In such situations, the assessment team will adopt alternative strategies to ensure all views are adequately captured, including smaller focus group discussions with different groups of actors.

Workshops are likely to foster collaboration between different stakeholders and could lead to an intensive exchange about understandings of goals, bottlenecks and other problems. They also offer an opportunity for the assessment team to get important insights on the dynamics of the interaction and interrelations of the different stakeholders in the partnership.

Component A5: Formative reflections with the IWaSP project team

Following Component A4, and building iteratively on the analysis of Components A1-A3, the assessment team will develop feedback on the partnership and its goals, encouraging iterative learning that feeds into improvements in the partnership design. At the end of the assessment mission the IWaSP project team is invited to a concluding partnership evaluation discussion to explore the preliminary results of the assessment and to discuss potential improvements to the partnership design. The focus is on the risks and weaknesses identified in processes and performance. The discussion allows the team to clarify the assessment structure and to work towards a common interpretation of the partnership and its challenges. It identifies factors that have produced specific results and explores the role of unintended effects during implementation. The assumptions and risks underlying the monitoring plan are explored and improvements in the partnership design are considered.

The results discussed with the project team will be further revised and completed at the assessment team's office, compiled into an 8-12 page document comprising assessment results and suggestions for improvements.

Component A6: Report drafting

This component will bring the data emerging from the preceding stages together into a draft report. The stakeholder analysis, the document review and the face-to-face interviews will provide much of the data for an analysis that responds to the high-level assessment questions. The draft will include analyses of stakeholder perspectives, external factors and unintended effects.

The proposed report structure is as follows:

1) Introduction
2) Methods
3) Context of and defining the partnership
4) Reflecting upon the success factors:
    A   Strategy – alignment of goals with policies
    B   Steering structure
    C   Cooperation between partners
    D   Activities and processes of partnership
5) Reflections on the high-level questions
6) Summary of overall results – SWOT Analysis
7) Recommendations – room for learning
8) Annex.

The fifth GIZ success factor – 'learning' – will be covered in the recommendations.

The main report is for GIZ's internal use, but the report should also include a section with reflections to share with stakeholders interviewed as part of the assessment. The externally shared feedback will be agreed with the GIZ country office. After all partnership assessments in a year are completed, an annual synthesis report comprising all partnership assessments is prepared.

5.2   The assessment of the country level

The country-level assessment[20] will look at the coordination of all partnerships in a country – the IWaSP country hub. There are already cases where more than one partnership is running in the same country and more are expected. Partnerships are managed and coordinated by the IWaSP staff in the country office. These roles entail quality assurance and control, but also developing strategies and targets for establishing new partnerships.

The assessment will look at three topics: (1) management capacities and the management of partnerships at country level; (2) the organisation of the country hub; and (3) the impact of the partnerships on the country level as well as the interaction of the country hub staff with the staff of the IWaSP headquarters in Eschborn. This includes consideration of cooperation between the IWaSP partnerships and the partnerships cooperation with the GIZ water programme in the country.

5.3   The assessment of the programme

The IWaSP programme will be evaluated at least every three years. A baseline assessment will be followed by an interim assessment and final evaluation.

What is assessed?

It is assumed that the success of the IWaSP programme depends strongly on three factors: the organisational structure, the strategy and goals, and the working culture. These aspects will be at the core of the assessment (see Figure 5).

The organisational structure includes the management structure, hierarchies, communication and information lines within headquarters and with IWaSP country staff, human resources and personnel structure. Questions will address the distribution of tasks and resources, decision-making processes and other functional tasks relating to the capacity to support and steer the country hubs and partnerships.

The strategy, goals and self-image of the programme are the second important feature for a successful programme. The assessment will look at whether the programme staff have a clear and coherent strategy for fulfilling their key performance indicators and achieving the outcomes of the programme. Interests and expectations are also important to capture.

---

[20]   The country-level assessment will be fully conceptualised in version two of this assessment concept in 2015.

What goals and strategies exist?
What self-conception of the
programme/its staff exist?
What is the mission?
Which interests exist?

Goals and Strategy

Structure

Organisational structure
Management structure
Finances/Allocation of resources
Information and communication
Responsibility assignemnt
Staffing policy

Culture

How to characterise the working
relations?
Trust, power balance, atmosphere,
rituals, friendship, interact at eye
level, mutual expectation, shared
understanding of goals

Figure 5 Triangle of success factors for programme assessment (own illustration)

While the first and second factors look more at the functional aspects, the last factor concentrates on 'soft' aspects of a working culture. Here social relations and emotional aspects are considered. How is the collaboration perceived and felt? Which needs, expectations and attitudes exist? Aspects like trust and power balance are decisive in a good working relationship and need therefore to be considered in the assessment.

Seeing the programme

The programme will be assessed from three different perspectives employing a '360-degree feedback' approach (for further information see Bracken/Rose 2011). The three perspectives are: (1) partnership and country-level perspectives on the headquarters (the bottom-up view); (2) the perspectives of programme staff in headquarters on themselves and the country level (the internal view); and (3) the perspectives of external stakeholders (the external view).
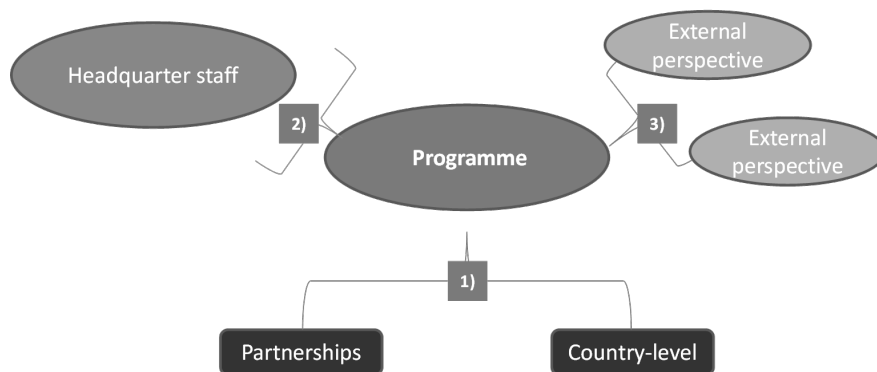
External
perspective

Headquarter staff

2)

Programme

3)

External
perspective

1)

Partnerships

Country-level

Figure 6 Perspectives on the programme (own illustration)

The assessment cycle for the programme

The single components of the assessment cycle encompass the triangle of success factors and the 360-degree feedback approaches, resulting in six components from B1 to B6. These are discussed in turn below.
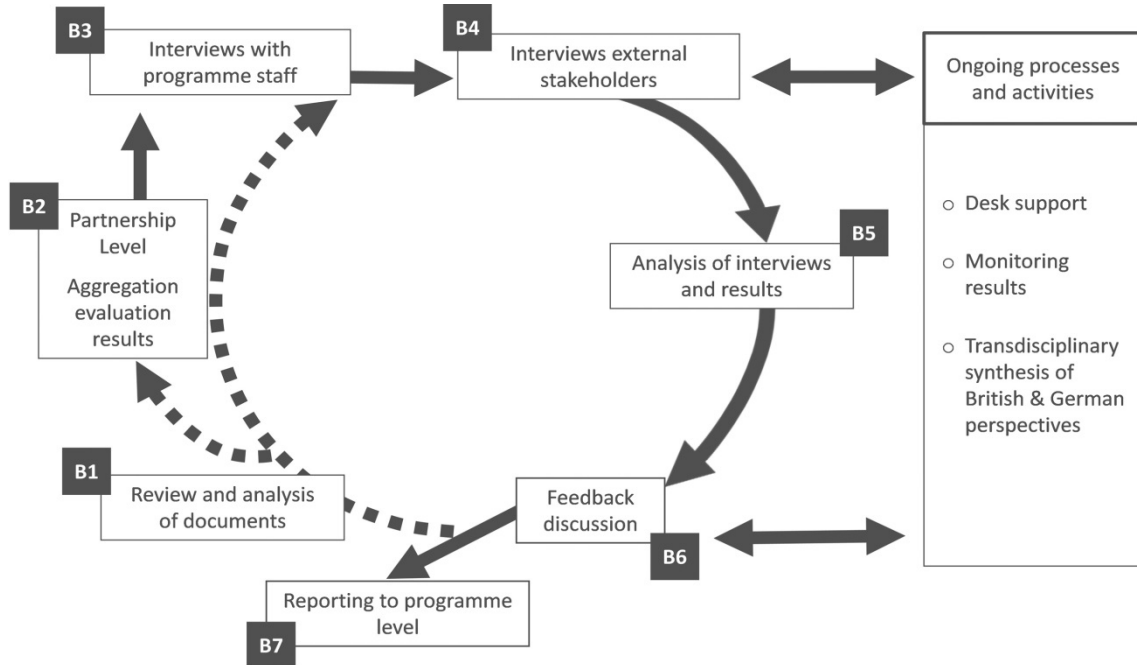

Figure 7 Assessment cycle on programme level (source: ISOE)

Component B1: Analysis of programme documents and monitoring plan

As a first step all relevant programme documents are reviewed. The documents should give insights into:

- financing mechanisms (agreements with the donors BMZ, DFID and others like GETF)
- financial flows and expenditures (finance and accounting)
- programme processes
- the institutional structure of the programme
- programme activities
- contracts with consultancies (plus expenditures, results, evidence on impact)
- strategic alliances.

The monitoring plan gives insights into how effectively the programme is working and whether it is achieving its objectives. Insights in the financial flows (finance and accounting) are required to assess whether the financial resource have been spent efficiently.

Component B2: 'Bottom-up' perspectives of GIZ country staff

GIZ country staff will be interviewed to obtain their perspectives on the relationship between the partnership and the programme, including support, communications and financing. This will involve drawing on evidence about the partnership-programme relationship from all of the partnership assessments to develop a deeper understanding of what works

through analysis of how different enabling factors, contexts, resources, approaches and practices influence relationships to the programme. The findings will be consolidated and will inform the formative assessment (Component B5), where these data will be discussed with the GIZ programme team. The results of this discussion will also inform the assessment of the partnerships.

Component B3: Perspectives of headquarter staff – the internal view

The assessment will check the aims of the programme and the steps undertaken to achieve them. This will involve looking at the measures taken by the programme to set up and support GIZ country staff and partnerships – i.e the support processes (Unterstützungsprozesse) concerning financing, communication and organisation. It will look at the distribution of the budget between the programme and partnerships, steering processes, and conflict within the programme and also between programme and partnerships. It will cover a broad set of performance issues to assess how well the programme was implemented and how well it has overcome its major challenges. Here it is very important to evaluate the understanding of applied concepts like 'shared risk' and 'water security' and how these understandings are operationalised and communicated. The applicability of concepts and how are they applied will be scrutinised.

The information compiled in Component B1 will inform interviews with the programme staff that aim to get insights into the programme's processes, structures and performance. In a group interview the programme staff will be asked to use custom developed assessment categories to analyse the programme against a number of performance areas. The rubric will be developed based on prior analysis and will detail at least four and up to ten levels of performance areas, where level one describes a low performing programme and level four is high performing. They will be asked to reflect on their strengths, weaknesses, opportunities that have arisen and the challenges that threaten them. A second step will be to discuss what they can do and what they already do to minimise weaknesses and risks and to strengthen the positive aspects of the programme. A later task may involve combining the internal and external stakeholder mapping and identifying conflicting views when the different perspectives emerging from Component B1, B2 and B3 are compared.

Component B4: Perspective of external stakeholders – the external view

Interviews will be conducted with external stakeholders including donors, NGOs and other agencies in the field (e.g. KfW, GWP, WWF). Possible interviewees, selection criteria and topics will be clarified in the course of the assessment. The purpose of the interviews will be to triangulate the results of the assessment to substantiate particularly important outcomes, to elicit independent views of the programme, and to discuss programme performance more broadly.

By gathering views about programme performance from civil society, the private and public sector, other donors and other GIZ programmes, it is likely that new and important information that has not yet been fully considered within the programme will be uncovered. It is advisable to gain information and insights from more critical stakeholders

in order to scrutinise the criticisms and handle them constructively. Interviews will be conducted with the respective stakeholders to obtain this information (see Component B3).

Component B5: Analysis of the three different perspectives

The information and perspectives will be combined to get a comprehensive picture of the performance of the programme. Comparing different perspectives on the programme can help identify gaps in communication, knowledge and institutional structures. This step takes into account criticisms of the DAC criteria as it ensures that the perspectives of all stakeholders are considered.

Component B6: Formative reflections with the IWaSP programme team

The results of the programme assessment will be presented and discussed at a meeting with the programme team. Strategies to tackle agreed gaps, threats and weaknesses can be elaborated and communicated, including to the partnerships.

Component B7: Report drafting

The report of the programme assessment will comprise the results of the programme assessment which contains the analysed views of headquarters staff, country hub staff and external staff.

6 References

ALNAP (2006): Evaluating Humanitarian Action using the OECD-DAC Criteria. http://www.alnap.org/resource/5253.aspx (13.11.2014)

Balint, P. J./R. E. Stewart/A. Desai/L. C. Walters (2011): Wicked Environmental Problems: Managing Uncertainty and Conflict. Washington, DC: Island Press

Bergmann, M./T. Jahn/T. Knobloch/W. Krohn/C. Pohl/E. Schramm (2012): Methods for Transdisciplinary Research. A Primer for Practice. Frankfurt/New York: Campus

BetterEvaluation (2014): Realist Synthesis. http://betterevaluation.org/evaluation-options/realistsynthesis (13.11.2014)

BMZ (2014): Evaluation – Principles and guiding questions. http://www.bmz.de/en/what_we_do/approaches/evaluation/Evaluation/Principles/index.html (13.11.2014)

BMZ/DFID (n.d.): IWaSP Signed Agreement (unpublished)

Booth, D. (2010): Towards a Theory of Local Governance and Public Goods Provision in Sub-Saharan Africa. Working Paper 13. London: African Power Politics Programme

Bracken, D./D. Rose (2011): When Does 360-Degree Feedback Create Behaviour Change? And How Would We Know It When It Does? Journal of Business and Psychology, 26 (2), 183–192

Chianca, T. (2008a): The OECD/DAC Criteria for International Development Evaluations. An Assessment and Ideas for Improvement. Evaluation in International Development, 5 (9), 41–51

Chianca, T. (2008b): International Aid Evaluation. An Analysis and Policy Proposals. Western Michigan University. http://institutofonte.org.br/sites/default/files/Chianca%20T.pdf (13.11.2014)

Committee of Scientists (1999): Sustaining the People's Lands: Recommendations for Stewardship of the National Forests and Grasslands into the Next Century. Washington, DC: U.S. Department of Agriculture

De Bruijn, H./E. F. Ten Heuvelhof/R. J. In 't Veld (2002): Process Management. Why Project Management Fails in Complex Decision Making Processes. Dordrecht: Kluwer Academic Publishers

DFID (2009): Building the Evidence to Reduce Poverty: The UK's Policy on Independent Evaluation for International Development. Draft for Consultation. London, DFID http://mande.co.uk/blog/wp-content/uploads/2008/12/dfid-evaluation-policy-consultation-draft-2.pdf (13.11.2014)

DFID (2013a): ICF KPI 1: Number of people supported by DFID programmes to cope with the effects of climate change. London: Department for International Development

DFID (2013b): Business case and intervention summary: Improving water security for poor people. London: Department for International Development

GTZ (2010): Capacity Works. Das Managementmodell für Nachhaltige Entwicklung. Eschborn: Deutsche Gesellschaft für Technische Zusammenarbeit

GIZ (2012) Afrikanische Water Stewardship Initiative in Afrika, Angebot für die erste Durchführungsphase. Eschborn (unpublished)

Hisschemöller, M./R. Hoppe (2001): Coping with Intractable Controversies: The Case for Problem Structuring in Policy Design and Analysis. In: M. Hisschemöller/R. Hoppe/W. N. Dunn/J. R. Ravetz (eds.): Knowledge, Power, and Participation in Environmental Policy Analysis. New Brunswick/London: Transaction Publishers, 47-72

IEG-World Bank (2007): Sourcebook for evaluating global and regional partnership programs: Indicative principles and standards. Washington, DC: The World Bank Independent Evaluation Group and the OECD/DAC Network on Development Evaluation. http://web.worldbank.org/WBSITE/EXTERNAL/EXTOED/EXTGLOREGPARPRO/0,,contentMDK:21178261~pagePK:64168445~piPK:64168309~theSitePK:2831765,00.html (13.11.2014)

Jahn, T. (2012): Theorie(n) der Nachhaltigkeit? Überlegungen zum Grundverständnis einer „Nachhaltigkeitswissenschaft". In: J. C. Enders/M. Remig (eds.): Perspektiven nachhaltiger Entwicklung – Theorien am Scheideweg. Beiträge zur sozialwissenschaftlichen Nachhaltigkeitsforschung, Band 3. Marburg: Metropolis-Verlag, 47-64

Mendizabal, E. (2010): The Alignment, Interest and Influence Matrix (AIIM) guidance note. www.odi.org.uk/publications/5288-stakeholder-engagement-stakeholder-analysis-aiim-alignment-interest-influence-matrix-roma (13.11.2014)

Tavakoli, H./R. Simon/H. Tilley/D. Booth (2013): Unblocking Results: Using Aid to Address Governance Constraints in Public Service Delivery. London: Overseas Development Institute

Van de Riet, A. W. T. (2003): Policy Analysis in Multi-Actor Policy Settings. Navigating Between Negotiated Nonsense and Superfluous Knowledge. PhD thesis, TU Delft. Delft: Eburon Publishers

Wild, L./V. Chambers/M. King/D. Harris (2012): Common Constraints and Incentive Problems in Service Delivery. Working Paper 351. London: Overseas Development Institute

Annex 1: Basic information requirements for the partnership assessment

IWaSP-focused

Activities [to be checked against final impact matrix]:

- Capacity building
  - Training
  - Decision support tools
  - Learning platforms
  - Personnel – externals
  - Personnel – internal (salaries etc.)
  - Equipment/ infrastructure

- Policy dialogue
  - Levels

- Change-facilitation
  - Roundtables
  - Workshops

- Analysis
  - Water risk assessments

- Infrastructure

Finance

- Contribution by each actor – private sector, government, donors, communities, NGOs (indicator in cause-impact theory)

- Allocation vs expenditure

- Capital vs recurrent

- Original source of finance and any interests attached

- Disbursement arrangements

- Accountability and reporting

Management and governance

- Tools and frameworks – what they are and how they are used
  - Project reporting/M&E
  - Analytical
  - Design

- Management and performance disciplines/incentives

- Dialogue between actors (formal and informal)

Annex 2: Preparation steps for assessment

International Water Stewardship Programme Assessment

Task/Responsibility	Deadline	Evaluator	GIZ country office	GIZ HQ
1) First contact to GIZ partnership				X
2) Provide documents of partnership	Three weeks before assessment starts		X	
3) Provide filled out monitoring plan	Three weeks before assessment starts		X	X
4) Selection of interview partners	In the second week before assessment starts	X		
5) Organising Workshop/ Meeting	In the second week before assessment starts	X		
6) Arranging appointments for interviews			X	
7) Sending information material	Three weeks before assessment starts	X		
8) Setting timetable of mission	Three days before assessment starts	X		
9) Arranging transport and accommodation			X	

The assessment needs preparation from both sides (evaluator and GIZ in country). This is the procedure:

1) The Headquarter has informed the local GIZ office that an assessment mission is coming.

2) The GIZ country office provides the assessment team with all relevant documents listed below. Deadline: 3 weeks before the assessment starts.

3) The GIZ country office sends the monitoring plan, filled out to indicate at which point they are. Deadline: 3 weeks before the assessment starts.

4) After this GIZ and the assessment team agree on potential interview partner. The assessment team prepares a list, with relevant stakeholders identified in the documents and GIZ comments on it and adds stakeholders. Deadline: 2 weeks before assessment starts.

5) GIZ and the assessment team discuss if a stakeholder workshop is wanted or identify a partnership meeting the assessment mission can join.

6) After list is completed, GIZ sets appointments for interviews with the identified stakeholders.

7) GIZ will receive from the assessment team an information sheet on the assessment for the stakeholders. Deadline 3 weeks before assessment mission.

8) GIZ shares the timetable with the assessment team. Deadline for a first draft schedule 3 days for assessment starts.

9) GIZ books the accommodation and organizes the transport.

Annex 3: List of required documents and reports to conduct partnership assessment[21]

Project level

1. Project proposals

2. MoUs/TORs/partnership agreement confirming cooperation

3. Implementation plans including information on financial and in-kind contributions of partners

4. Description of the GIZ water programme (proposal to BMZ, last programme report, report of last project mission)

5. Papers describing the activities of the partnership (progress reports, minutes of meetings, baseline studies, risk assessments)

6. Minutes of the Steering Committee meeting and coordination meetings

7. Papers describing the activities of partnerships/programmes of other donors in the sector

8. Stakeholder map

9. Capacity needs assessment (when prepared)

10. Documentation of the integrity process

11. Documents showing the project history (e.g. earlier partnerships/programmes/activities within the same context performed by GIZ)

12. Cause impact theory/theory of change (if not captured in above) for the single partnership

13. Partnership's monitoring plan and contributions to programme monitoring

Programme level

1. Project proposal to BMZ

2. Project proposal/MoU with DFID

3. MoUs with strategic partners (such as multi-national enterprises)such as Coca Cola Africa Foundation (Document for Tanzania and Uganda already available)

4. Documentation on "partner projects" such as Water Future Partnership running in parallel

5. Programme's monitoring plan and impact matrix

Sector level and above

1. Joint partner-govt. documents/strategies/MoUs

2. Government strategies that make reference to the partnership or programme

3. Media reports

---

[21] It includes all required documents for the assessment, no matter if they are already available to the evaluators.

Annex 4: Question overview

This is a shortlist of questions, arranged under the headline questions that captures the main sections and content of the question guides and interview schedules, presented in Annex 5.

1) **How and how far are the underlying assumptions[22] of the approach and its general logic shown to be relevant and generalizable?**

   a. Where are the limits?
   b. What are the weakness, strength, opportunities and threats of the approach?

2) **How and how far are all stakeholders of the partnership able to learn from the processes of the partnership?**

   a. Which room for manoeuvre exist for learning?
   b. What has triggered a learning process?

3) **How and how far have internal features (processes, structures, individual and organisational capacities) supported the effectiveness of the partnership to achieve its goals according to the programme/partnership logic (e.g. as set out in the monitoring plan outputs, outcome and impacts)?**

   a. What is the history of the project?
      i. How does the policy cycle work?
      ii. What is the influence of the water programme in the country?
      iii. What history lies behind the existing problem definitions?
      iv. Which factors influence the agenda setting in the policy field?
   b. Information availability
      i. Is there a common understanding of the project's objective?
   c. What programme structures and processes are important and what is important about how these are used?
      i. How are the modalities deployed and managed? What is the management structure?
      ii. What analytical tools are applied, and how?
      iii. How are M&E mechanisms structured and applied? Are they applied with flexibility, with a long term perspective or short term constraints?
   d. Which characteristics amongst stakeholders are important, and how?
      i. Skills – which ones?
      ii. Personal networks of individuals?
      iii. Contextual/country understanding of individuals and their perspectives on development?
   e. What are the incentives for different individuals/actors [considering risk reduction language of corporate water stewardship]

---

[22] The underlying assumptions can be roughly outlined as the hypothesis that the involvement of the private sector in the water risk management is improving the water security for all users in the catchment and enhancing adaptability to climate risks.

      i. Personal status?

      ii. Financial [direct and indirect, e.g. operational risks]?

      iii. Public good?

      iv. Corporate/organisational status or reputation?

      v. Personal welfare?

  f. What costs and benefits are associated with different actions and outcomes?

      i. How costly are various actions to each type of actor with a stake in water resources?

      ii. What kinds of benefits can be achieved as a result of various group outcomes?

4) What impact has been achieved as a direct result of the partnership/programme and how and how far have internal partnership/programme features had significant unintended consequences that lie outside the logic set out in programme documents (e.g. the monitoring plan outputs, outcome and impacts); and what has the response been?

It is likely that any unintended consequences will need to be teased out in the course of interviews, which makes it difficult to plan detailed questions in advance.

5) How and how far has the partnership and the programme engaged all individuals and groups who impact on, or are impacted by, the water security issue at stake (including how far has the partnership developed the capacity of those that would otherwise struggle to engage)?[23]

  a. Who are the key actors?

      i. Project partners/ key stakeholders?

      ii. Primary stakeholders?

      iii. Secondary stakeholders?

      iv. Veto players – can veto players operate at each of above levels/ what about incentivisers?

      v. International/ headquarter?

  b. What is the capacity of each actor?

      i. No. of personnel?

      ii. Annual turnover/size of programme?

      iii. Senior personnel (who they are, what networks/associations do they have)?

  c. How are these resources utilised and spread, and why?

      i. What knowledge and key expertise is missing?

  d. What capacity is there to understand and interpret for different actors?

  e. What level of control over choice and responsiveness do actors have?

      i. What are the formal rules and procedures which govern choices that impact on water security/ climate adaptation (e.g. written or contractual)?

      ii. What are the informal rules and procedures which govern choices that impact on water security/climate adaptation (e.g. HQ expectations, non-financial incentives, custom)?

---

[23] Careful coordinate with the ongoing studies of Integrity and the Capacity Needs Assessment is needed. Questions and information should be shared and coordinated in order not to duplicate data and to avoid stakeholder fatigue.

6) **How and how far has the partnership and the programme succeeded in developing and embedding a shared and sustainable understanding of water risk and a common approach for collective action to address shared risks? How and by whom are the key problems in the field determined?**

    a. Degree of shared perspective?
        i. Is there a shared water risk?
        ii. Is the problem to be solved a "well-structured" or a "messy" one? (cf. Annex 5)
    b. Who follows whose interests?
        i. What are the dominant coalitions in the field?
        ii. Who will be excluded by these coalitions?

7) **How and how far have external factors (sector policies, other programmes, wider political or environmental events) impeded or facilitated the ability of the partnership and the programme to achieve its goals according to the programme/partnership logic, and/ or any unintended consequences?**

    a. What other major programmes in the area exist that work on water security/climate change adaptation/ water stewardship, e.g. WFP?
    b. What sector processes (broader than project/ programme level) are there which relate to water security/ climate change adaptation/ water stewardship?
    c. What sector policies, strategies, plans and M&E structures (broader than project/ programme level) are there which relate to water security/ climate change adaptation/ water stewardship?
    d. Are there major bottleneck or capacity analyses for:
        i. Climate change adaptation?
        ii. Water security?
        iii. Agriculture (including water demand)?
        iv. Food security?
        v. Private sector enabling environment?
    e. What constraints are being faced (for water risk management, regarding service delivery etc.)?
        i. By water (service) users?
        ii. In central/local government?
        iii. Stated policy vs. implemented policy?
        iv. Which constraints are institutional?
    f. What is the impact of governance constraints and other contextual factors?
        i. Limited collective action and local problem solving?
        ii. Policy incoherence?
        iii. Absence of top down performance disciplines and bottom up accountability mechanisms?
        iv. What windows of opportunity are present and how do these operate?
        v. How do political payoffs have an impact?

Annex 5: Interview guide

Generic interview guideline

This is draft for the interview guideline for the IWaSP partnership assessment. It provides an overall guideline with the most important categories. Different stakeholders will be interviewed as experts; the questions serve as a guide and orientation for the interview.

The sequence of the guideline is not necessarily to be followed, but can be adjusted as the interview evolves.

Length of interview: 1 hour

Interviewee: State officials (e.g. Ministry of Water and Environment, Water Management Zone Leader, Catchment Management Committee), Representative of private partner (e.g. Coca-Cola), representatives of civil society organisations

Introduction and warm-up

– Assessment mission, introducing the interviewers

– Information about the assessment mission (which topics are covered in the interview/during the mission)

– Explain shortly about the formative character and what this means: the outcome results in a feedback for further optimization of the partnership

– Anonymity guaranteed if wanted

– Time of interview

– Get permission to use the recorder, but also off-record statements are possible

Main Part of Interview

Motivation/Expectations/ Interests	What was the **motivation** of your company/institution to join the partnership? Could you briefly describe the **initiation process of the partnership** from the perspective of your organization/institution? How would you describe the **benefits of the partnership** for your organisation/institution? What do you expect to gain from it? What do you think about the **cooperation of public and private actors** in the water sector?
Understanding of Goals and so called "shared risks"	When I informed myself about the **goals** of the partnership I found these objectives in the implementation plan, (name one or two) can you tell me a bit more about these? • How these objectives were identified? • Do these goals reflect your needs? A central part of the partnership is shared **water risks.** Which water risks do you see from your point of view as most important? (Why?) • Do you think the partnership has a good approach to tackling these risks? (Why?) • Do you think climate change related risks are tackled by your activities?
Ownership/Commitment in the Partnership	A next point is where I would like to talk about is about the term "**partnership**". GIZ speaks not of a project but of a partnership. What kind of characteristics do you associate with a partnership? • Are these characteristics present in this water partnership? • Could you explain your contribution to the partnership? (financial, activities) • Who is involved in the partnership?

Clarity of roles/Responsibilities/Mandates	You mentioned already your personal engagement in the partnership, could I ask you to explain a bit **your formal task assignment**, let´s say duties and responsibilities **in the partnership?** • How do you assess your role/function in the partnership? (tasks and responsibilities) • Is it adequate or do you feel it is sometimes hard to cope? When I saw that as an XY Officer you have to engage in the partnership I was thinking that you have to **fulfil two roles**: One for the partnership and one for your official job. Right? • Are this clear roles and responsibilities for you, or do you feel sometimes unsure about it? • Do the roles overlap? Please explain. • What would you say about the compatibility of the roles? • Have the roles changed over time? How would you access your **accountability mechanisms** existing in the water sector/in the partnership? (specific example for accountability mechanism is needed)

Decision-making	How are **decisions of the partnership** made?
	
	• How would you assess your involvement in the decision-making regarding partnership activities?
	
	• Are you content about your involvement?
	
	• How regarding the budget?
	
	• How would you assess the possibilities to make changes?
	
	• On which level is what decided? (activities, budget,...)
	  – In the partnership?
	  – In your organisation concerning decisions about the partnership?

Communication	I can imagine that **coordination and communication** with so many stakeholders can be quite interesting. Could you explain a bit the communication processes of the partnership?
	
	• How would you assess the communication process from your perspective?
	  – Formalized communication chain?
	  – Regular meetings?
	  – Where does most information come from?
	
	• How is the reporting in the partnership organized?
	
	For public and private partner: Do you have a Monitoring Plan or a monitoring system?

Information flow	Do you yourself **feel well informed** about the ongoing processes in the partnership? • How did you get information of recent activities (e.g. Risk Assessment Report etc.)? • Recently there were some reports finalized like the Risk Assessment and Sustainability Report. What do you think about it?

Relationship and Cooperation with other stakeholders	Could you explain to me **the responsibilities of the other stakeholders** and their role in the partnership?
	
	 • Are the responsibilities clearly defined and transparently communicated?
	
	 • How do you cooperate with the other stakeholders?
	     – With which stakeholder do you have the closest cooperation? Why?
	     – With which stakeholder do you have the weakest cooperation? Why?
	
	 How would you **assess the cooperation between you and the other stakeholders**?
	
	 • With which stakeholders did you work before the establishment of the partnership and who did you have not known before?
	
	 • Did anything change in the cooperation since the setting up of the partnership?
	
	 • With whom do you now work together for the first time? How is it?
	
	 • When you think about the cooperation within the stakeholders:
	     – with what are you satisfied?
	     – what kind of moments came up where you had the impression the cooperation did not work well?
	
	 How is the cooperation between the stakeholders arranged?
	
	     – Is it formalized?
	     – Do you think formalization would improve the situation?
	
	 You recently **decided on your common goals of the partnership**? Can you explain a bit of the process?

Collective Problem Solving	What do you think is **working good** in the partnership?
	What do you think could **hinder the success** of the partnership?
	• May you think about anything with which you were not satisfied?
	– Why were you not satisfied? [were expectations too high or were realistic expectations not being met?]
	– Did you express this? What was the outcome?
	• Did you experience any problems or conflicts in the past?
	– What was the problem/conflict about?
	– Was a solution found? If yes, how was it reached? Was this a surprise?
	– Whose responsibility was it to solve the problem? Did they solve it? Did anyone else step in as well/instead?
	• Where do you see challenges (for the future)?
	– If yes, what might they be about?
	– What would help to meet the challenge?
	Have there been any **unintended consequences** of the partnership?
	Where do you see **room for optimisation** of the partnership?
Institutional set-up Policies, Laws	In your point of view what are the most important **policies** for a successful partnership?
	What are the most relevant water and environment related **laws or rules** for your daily work?
	• How are these followed? How are they enforced?
	• If they are not followed, why do you think they are not?
	• Why might they not be adequately enforced?
	• Where do you see constraints for enforcing the rules?
	• Which rules are needed for a successful water management?
Products and Outcomes, Activities, Measures	In the partnership you plan to implement several activities and measures. How are the **measures identified**?
	• Who is involved?
	• How are the measures planned? Who is responsible and why?
	• How are the measures financed?
	• Do you see the identified measures fulfilling their aim?

Assessment, evaluation	How do **you see the partnership** so far? • Have your expectations been met? • What do you think about the previous and ongoing activities of the partnership? What are the **next important steps** in the partnership? What do you think about **the decision-making, planning and budgeting** of the partnership measures? Do you assess **the continuation of the partnership in** the future, when the official project is over? What **challenges** do you think might be faced?
Monitoring Plan	Do the indicators relate adequately to the Output/Outcome/Impact? Are the targets of the indicators palpable and feasible (SMART (specific, measurable, achievable, relevant, time-bound))? What constraints or opportunities are there?
Implementation plan	What has been achieved so far? (which milestones, subgoals, etc.) What has supported/ impeded achieving the targets? Do you think the implementation plan (workplan) is achievable?

Annex 6: Glossary of key terms

Although not all of the following terms are used in this document, we have included this annex as a first attempt to ensure that key definitions and terminology relevant to IWaSP are collated and clarified for the mutual agreement of the assessment team, GIZ, DFID, BMZ and project stakeholders.

Direct beneficiary: Receiving *targeted* & high *intensity* support. Must fulfil both criteria e.g. people receiving social protection cash transfers, houses raised on plinths, agricultural extension services, training of individuals in communities to develop emergency plans and use early warning systems. (Source: DFID 2013a)

Indirect beneficiary: Receiving medium *intensity* support, either *targeted* (e.g. people receiving weather information and text message early warnings) or not targeted (e.g. people within the coverage of an early warning system, or catchment area of a large infrastructure project (e.g. flood defences), or living in a discrete community in which others have been trained in emergency response). (Source: DFID 2013a)

Intensity of support: defined as the level of support/effort provided per person, on a continuum but broad levels may be defined as:

1) Low: e.g. people falling within an administrative area of an institution (e.g. Ministry or local authority) receiving capacity building support or people within a catchment area of a river basin subject to a water resources management plan. Note that DFID reporting requirements for International Climate Fund do not normally expect people receiving low intensity support to be reported.

2) Medium: e.g. people receiving information services such as a flood warning or weather forecast by text, people within catchment area of structural flood defences, people living in a community where other members have been trained in emergency flood response.

3) High: e.g. houses raised on plinths, cash transfers, agricultural extension services, training of individuals in communities to develop emergency plans

(Source: DFID 2013a)

Targeted support: defined as whether people (or households) can be identified by the programme as receiving direct support, can be counted individually and are aware they are receiving support in some form. This implies a high degree of attribution to the programme. (Source: DFID 2013a)

Key actor: Key actors are stakeholders who are able to use their skills, knowledge or position of power to significantly influence a project

Primary actor: Primary actors are those actors who are directly affected by the project, either as designated beneficiaries, or because they stand to gain – or lose – power and privilege, or because they are negatively affected by the project in some other way, for instance if they have to be resettled

Secondary actor: Secondary actors are stakeholders whose involvement in the project is only in direct or temporary, as is the case for instance with intermediary service organisations

Shared water risk: "are defined as current and/or potential future water-related risks that currently do or have the potential to result in negative impacts that are shared by communities, business, ecosystems and/or governments." (Water Futures, Expectation Document for New Partners)

Veto player: Key stakeholders who are able to veto the project

Water security: sustainable and equitable access to water of appropriate quantity and quality for all users including households, productive consumption, environmental services and protection from water related shocks. (Source: DFID 2013b)

Annex 7: Assessment and evaluation standards

DAC quality evaluation standards (QES) aim to ensure that evaluations are conducted in such a way so as to ensure high quality results. They comprise 32 standards under ten general headings. Chianca (2008b) reclassified these under 11 headings, used here for simplicity:

(i) consistent conclusions—should answer assessment and evaluation questions and be consistent with findings and clearly distinct from recommendations and lessons learned;

(ii) actionable recommendations and meaningful lessons learned—clearly distinct from each other and from the conclusions;

(iii) systematic and clear data presentation, analysis, and interpretation;

(iv) focused executive summary—succinct and covering main conclusions, recommendations and lessons learned;

(v) description and assessment of the intervention logic;

(vi) discussion of context—social, economic, political (including countries' and agencies' policies, stakeholders' involvement, local arrangements for project to function, etc.);

(vii) discussion of methodology—reliability and validity of data and findings, issues of attribution and contributing/confounding factors, strategies for stakeholder consultation, and sampling;

(viii) transparency, reliability and accuracy of information sources;

(ix) incorporation of stakeholders' comments regarding the assessment process and findings;

(x) quality control—internal and/or external formative meta-assessment; and

(xi) assessment conducted on a timely fashion and within budget.

Four standards were identified as being relevant to the behaviour and quality of the assessment team:

(i) competent and diverse assessment team—complementary technical skills

and content knowledge, gender and geographic origin balance;

(ii) independence—from management, implementers and beneficiaries;

(iii) ethical—respect rights and welfare of all stakeholders, ensure confidentiality; and

(iv) disclosure of disagreements among team members.

DFID evaluation principles are based on standards from OECD-DAC, the Global and Regional Partnership Program sourcebook, and the Paris Declaration and Accra Agenda for Action (IEG-World Bank 2007; DFID 2009: 22).[24]

---

[24] Based on a synthesis of principles from the DAC Evaluation Network, the United Nations Evaluation Group, the Evaluation Cooperation Group of the Multilateral Development Banks, evaluation associations, and others. http://web.worldbank.org/WBSITE/EXTERNAL/EXTOED/EXTGLOREGPARPRO/0,,contentMDK:21178261~pagePK:64168445~piPK:64168309~theSitePK:2831765,00.html

The basics:

Usefulness: Reviews and assessments need to be designed and managed to meet the information and decision-making needs of the intended users.

Cost-effectiveness: Assessments will be managed as effectively as possible to maximise their benefits while minimising use of scarce resources and unnecessary time demands on stakeholders.

Accuracy: Reviews and assessments should identify and convey valid and reliable information and reflect inputs from a variety of stakeholders.

Credibility: Credibility depends on the process being systematic, transparent and inclusive, as well as on the skill and experience of the reviewers or evaluators and those managing the process.

An ethical approach:

Impartiality: Reviewers and evaluators are expected to make balanced judgements, reporting and analysing success and failure alike. If stakeholders have very different views this should be made clear in the assessment. Impartiality is not the same as independence.

Transparency: Reviews and assessments should allow affected stakeholders access to assessment-related information in forms that respect people and honour promises of confidentiality. DFID will publish all its central assessments and encourages decentralised assessments to be published when possible.

Propriety and ethics: Reviews and assessments should be conducted legally, ethically, and with due regard for the welfare of those involved in the assessment, as well as those affected by its results. DFID endorses the DAC guidance for conflict and humanitarian assessment and the principle of "do no harm".

Paris Declaration and Accra Agenda for Action principles:

Ownership Assessments in partner countries should be led by the partner and use partner country data systems wherever feasible, following Paris Declaration and Accra commitments. DFID will actively support independent and recipient-led assessments and make use of their findings and recommendations.

Alignment DFID's policy is to base performance frameworks for its projects and partnerships on agreed joint frameworks, based on partners' own frameworks wherever possible.

Harmonisation DFID's policy is to carry out joint assessments with other partners wherever possible, and to delegate authority for managing assessments to lead partners or jointly established bodies. DFID will wherever possible use findings and recommendations from assessments led by others.

Annex 8: List of IWaSP partnerships

Table 7 List of IWaSP partnerships established and planned (state of the art December 2014)

Country	Partnership topic	Area	Partnership status
Uganda	Wastewater effluents	Kampala	Ongoing
	Management of catchment	Rwizi Catchment	Ongoing
Tanzania	River restoration	Dar es Salaam; Mlalakua river	Ongoing
Kenya	Catchment restoration	Lake Naivasha	Ongoing
	Water shortages	Nairobi	In preparation
Zambia	Groundwater risks	Lusaka	In preparation
	Spring protection	Ndola, Itawa spring	Ongoing
South Africa	Invasive alien clearing	South Africa	Ongoing
	Ecosystem restoration	Eastern Cape	In preparation
	Coordination platform for water security	South Africa	Ongoing

Annex 9: Stakeholder briefing

**Assessing Processes and Performance of the International
Water Stewardship Programme (IWaSP)**

What is the assessment mission about?

The mission aims at assessing processes and performances of the partnership between the public sector, private sector and the civil society. The partnership cooperation is being implemented under the International Water Stewardship Programme (IWaSP) in COUNTRY. The assessment mission to your partnership is part of an assessment of the overall International Water Stewardship Programme and its partnerships. Therefore, the assessment contributes to the accountability and transparency of the IWaSP. Furthermore, we want to identify general risk and success factors which influence the success of partnerships.

The assessment acknowledges that a multi-stakeholder partnership aiming at a collective management of water risks is a fairly new approach for many stakeholders. Collectively managing water risks can be more complex than expected. The assessment aims at supporting you in handling these challenges successfully. Therefore, the assessment takes an approach of a formative assessment.

What is a formative assessment?

A formative assessment looks at processes and structures in order to "form" them. In this sense "forming" means helping to identify ways for improvement. The assessment is understood as a collective learning process for the partnerships and the stakeholders as well as the assessors. Therefore, the evaluator seeks to create a collective assessment process through which participants understand the complex issues of partnership implementation, examine linkages between actions, activities and intended outcomes. Thus, creating the same eye level between both assessors and the assessed enhances the assessment process.

The formative assessment is not based on "hard" quantitative surveys, but on qualitative interviews with guiding questions. Nevertheless, DAC criteria are reflected in those questions. In addition, we analyse the monitoring data to identify if course directions are needed.

What does the mission include?
- During the mission interviews with all stakeholders will be conducted.
- The assessment team is attending a multi-stakeholder meeting.
- The IWaSP monitoring plan will be discussed with the country GIZ staff.