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Sida Decentralised Evaluation

NIRAS Sweden AB

Evaluation of the Sida support to the implementation of the Stockholm International Water Institute (SIWI) Strategy 2018-2023

Final report

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**Final Report
January 2024**

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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Abbreviations and Acronyms

A4S	the Accountability for Sustainability programme
CAP-NET	UNDP's global network for capacity development in sustainable water management
CRA	Regulatory Commission of Water and Sanitation
EQ	Evaluation Question
GIZ	Gesellschaft für Internationale Zusammenarbeit
HRBA	Human Rights Based Approaches
IDB	the Interamerican Development Bank
KI	Key informant
KII	Key Informant Interview
LINKS	Local and Indigenous Knowledge Systems
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MFA	Ministry for Foreign Affairs
MoU	Memorandum of understanding
NGO	Non-governmental organisation
PPP	Public Private Partnerships
PS	Programme Support
ROMA	Rapid Outcome Mapping Analysis
SADC	the Southern African Development Community
SEK	Swedish Krona
Sida	Swedish International Development Cooperation Agency
SIWI	The Stockholm International Water Institute
S2S	Source to Sea
SWP	Sustainable Water Partnership
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNECE	the United Nations Economic Commission for Europe
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations Children's Fund
WASH	Water, Sanitation and Health
WASHBAT	WASH Bottleneck Analysis Tool
WASHREG	WASH Regulation Tool
WG	Water Governance

ABBREVIATIONS AND ACRONYMS

WIN	Water Integrity Network
WWW	World Water Week
ZAMCOM	Zambezi Basin Commission

Preface

This evaluation was commissioned by Sida's INTEM/GLOBEN unit to assess the overall relevance and effectiveness of SIWI, the SIWI Strategy and use of Swedish funding and related programming for the period 2018 to 2023, and the extent to which Sida financing of the strategy implementation has led to SIWI having achieved its planned outcomes and results.

The evaluation was undertaken between October 2023 and January 2024 by this team:

- Dana Peebles, team leader and lead evaluator.
- Melvin Woodhouse, water resource management expert and evaluator.
- Luciana Capuano Mascarenhas, environment and climate expert and evaluator.
- Annica Holmberg, gender equality and HRBA expert and evaluator.

Matilda Svedberg was project manager and quality assurance was provided by Graham Haylor.

The evaluation team would like to thank all of those who participated in the evaluation and especially SIWI and Sida for the collaboration and assistance during the evaluation process.

Executive Summary

The Stockholm International Water Institute (SIWI) is a non-profit institute founded in 2008, with work done to support World Water Week since 1991. Its mandate is to work globally to change how water is understood, valued, and managed and to advocate and advise on how to improve water governance (WG). Sida has provided funding to SIWI for over 10 years. SIWI also receives separate funding from the Swedish Ministry for Foreign Affairs (MFA). This has included core support towards implementation of SIWI's 2018-2023 Strategy. In 2020, concerns about reporting and internal financial controls led Sida to switch to a Programme Support funding modality for the rest of SIWI's 2018 – 2023 Strategy implementation period. This evaluation represents an assessment of what SIWI has achieved through the Strategy.

Methodology: The evaluation team used a mixed methods approach to data collection. This focused on a review of a representative sample of 11 SIWI programmes implemented as a part of SIWI's 2018-2023 Strategy and funded through *Sweden's Strategy for global development cooperation in the areas of environment, climate and biodiversity 2022–2026 and Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022*. The team conducted a document review for each programme and key informant interviews with SIWI and Sida staff, other donors/implementing partners, and institutional beneficiaries associated with each programme as well as with several external water sector experts. It also held two Outcome Harvesting Workshops with SIWI staff to collect additional information about and triangulate results data. The team analysed the data collected using Contribution Analysis and Power Analysis, and the Outcome Harvesting Process.

Key Findings

Relevance

Overall, donors, implementing partners, and institutional beneficiaries considered that SIWI's primary areas of work addressed specific needs identified, particularly their demand-driven Water Governance capacity development approaches. However, some donors had serious concerns that SIWI has not been able to measure and report on relevant impacts to justify spending of development aid. In other words, at its core SIWI's technical work is relevant but donors require better evidence of this, particularly at the ground level.

Programme Effectiveness:

SIWI's Strategy outlines four main Water Governance objectives to be achieved through work in the knowledge generation and tool provision, capacity development, platform development, and dialogue facilitation, and advocacy areas. The team found that:

- SIWI has developed an effective approach to **Water Governance-related capacity development** using participatory processes that foster government/other stakeholder ownership, with clear evidence these contribute to improved Water Governance in diverse contexts. These approaches are based on the premise that improved WG will lead to reduced poverty by improving access to water provision services, reducing the costs of these for poor people and ensuring that Water Governance regulations and policies take the needs of the poor into account. This is a longer-term approach however, and SIWI's capacity development approaches generally focus on more immediate benefits to

institutional stakeholders with the assumption that changes at this institutional level will contribute to changes that will eventually reduce poverty.

- SIWI has had considerable success with many of its **dialogue facilitation processes** at the global and regional levels through its development of platforms targeting specific WG themes. It has also had success at the national level by integrating dialogue facilitation processes in its capacity development and water governance facilitation processes.
- SIWI's **knowledge generation and tool provision** work focuses on the intersection of academic research and science-based approaches with the development of practical tools that target Water Governance policy/processes and provides accessible diagnostic applications to diverse stakeholders. This helps establish knowledge linkages between water and climate, agriculture, forestry, landscape, health, etc. This is also a technically effective approach.
- SIWI has effectively **developed and launched platforms** on Water Governance issues which have expanded use and network membership but sometimes have weaker links to impacts at the ground level. SIWI has been less successful in its dialogue facilitation efforts related to transboundary water issues. In particular, it has not made strategic use of core/programme funding to position itself well to ensure it is invited to the table of several new, critical transboundary fora, such as the World Bank's Water Security and Sanitation Partnership and the EU's China Europe Water Platform.

SIWI has also been using some strategy funding to mobilise additional resources on behalf of diverse stakeholders. This is to consolidate Water Governance activities identified through diverse processes SIWI has either developed directly or in collaboration with implementing partners. SIWI's definition of what constitutes a resource mobilisation activity includes tool development and pilot programmes. On that basis, however, SIWI staff indicated that from 2018-2023, they used 20 MSEK of Sida support (core and PS) to mobilise resources which led to 380 MSEK in funding towards current and future interventions. This represents a 19-fold return on Sida's original investment from a strategic funding perspective.

Who Benefits?

SIWI's work benefits government bodies and inter-governmental organisations most. Civil society actors, groups living in vulnerable situations and community-level rights-holders, although present in many activities, experience more limited benefits, in part, as this aspect of Water Governance requires a longer-term approach to see measurable impacts. The data available did not allow the evaluation team to accurately determine how many beneficiaries there were from each stakeholder group. These findings, therefore, are based on observations made by SIWI staff, donors, implementing partners, and institutional beneficiaries.

Reporting Effectiveness

Overall, the evaluation team found that there was a paradox of SIWI having strong technical approaches to its work but a weak reporting system that has been undermining its reputation with Swedish donors. Since 2018, SIWI resolved many of the initial challenges staff had previously encountered using the organisation's new Outcome Mapping System. The system is now reasonably robust and covers most reporting areas needed to produce quality monitoring reports and track what SIWI has achieved with donor funds. However, in SIWI reports to Sida on its Strategy implementation this system robustness has not yet translated into a coherent, clear, and useful reports and it remains difficult to obtain specific data about numbers of beneficiaries and different types of outcomes.

In particular, Sida and the MFA find SIWI's progress reports lack clarity on results, with a strong activity and outputs focus and less on medium- and longer-term outcomes. SIWI's reports to Sida are not adequately transparent about how SIWI has spent Swedish Official Development Assistance. These and other ongoing challenges (detailed later in the report) have

led to a serious erosion of Swedish donor trust in SIWI over the past five years. One reason for the reporting issues lies in the fact that SIWI's Board approved both SIWI's original 2018-2023 Strategy and the revised Programme Support application without there being either clear performance indicators or an agreed reporting format. Sida agreed to fund the Strategy without these in place. This decision was aligned with the development aid effectiveness agenda and Sida's trust-based partnership approach. Nevertheless, SIWI and Sida have struggled ever since to find a results reporting format that works well for both organisations.

Cross Cutting Issues and Human Rights Based Approaches

SIWI's Strategy and staff state that the organisation has a strong commitment to the promotion and integration of cross cutting issues and HRBA in its programming. The evaluation team found clear evidence of this commitment but also observed some shortfalls in how this commitment is applied from a technical perspective. For example, it was clear that while SIWI has a good system for HRBA integration (in theory) with an explicit commitment to the approach, related tools, and time allocated for a focal point, the organisation has not systematically applied HRBA in its planning, implementation or programme monitoring and power analysis is missing from these processes. There is a strong focus on duty bearers and accountability but little attention paid directly to perspectives of people living in poverty.

SIWI also has a systematic internal approach to integrate gender equality and other cross-cutting issues (predominantly youth empowerment) in its programming and events. However, it primarily takes a basic increased participation approach to gender. SIWI has been successful in achieving more gender-balanced participation in multiple contexts using this approach. However, the gender analysis in its programme documents is not applied evenly, is sometimes cursory and does not include an analysis of power relations or other gender-based constraints nor do some of these documents include actions designed to achieve higher levels of transformative change. SIWI also does not yet have the staff capacity to work more consistently towards integrating gender transformative change in its programming.

SIWI has, however, contributed strongly and successfully to increasing involvement of Indigenous peoples in global and regional dialogues around water governance. Other organisations are also starting to use similar approaches to be more inclusive of Indigenous peoples in global and regional dialogues.

Sustainability of Results

The evaluation team found multiple elements that indicate that SIWI's programme approaches all contain elements that will contribute to their sustainability. This was particularly notable in SIWI's platform development models and capacity development approaches. However, both these approaches also could benefit from a strengthened approach to sustainability. For platform development this includes consideration of different funding and membership models. For capacity development there is need for expanding the scope of this work beyond an initial series of participatory water governance workshops to include additional supports to implement related national action plans developed through these processes and a longer-term approach to monitoring related changes. Sustainability of SIWI's dialogue facilitation; advocacy approaches; knowledge generation; and tools are closely related to the approaches taken within its capacity development processes and platform development as these four programme approaches are all closely interlinked.

Institutional Sustainability

SIWI is currently facing several sustainability challenges at the institutional level. These include: i) the perception by donors of SIWI having a legal status and board that is in transition; ii) loss of trust on the part of its Swedish donors; iii) operating in a rapidly shrinking funding environment where the Swedish government has recently allocated less priority to the water

sector than in the past; iv) a tax error which has put SIWI into a deficit funding situation, and v) high operating costs. All five mean that SIWI is at a crossroads in its existence which require an immediate substantial internal review and innovative strategies to address as well as a need to make some hard choices in the near future regarding what its programming priorities are.

Conclusion

SIWI has multiple programme successes and in the past was able to establish strong credibility for itself as an organisation for the quality of its work and its technical expertise. It still has this technical capacity. However, SIWI has been undermining this success over the past five years due to poor institutional oversight, reporting weakness as well as an overall response to many critiques on SIWI's approaches being to state how unique and special SIWI is and to refute these critiques vigorously as opposed to taking them as a learning opportunity. The evaluation team interpreted this to reflect a lack of understanding of the seriousness of these issues among its board and Senior Management Team. The evaluation team consistently found these issues have led to SIWI losing the trust of Sida and Government of Sweden funding cuts to several Sida strategies, both factors which have decreased the availability of Sida funding for SIWI to continue aspects of its work. At this stage, it would appear that SIWI needs to find constructive ways to move forward and to regain Sida's trust.

1 Introduction

1.1 EVALUATION CONTEXT

The Stockholm International Water Institute (SIWI) was founded in 2008 when the Swedish Government decided to grant 30 million Swedish Krona (SEK) to The Stockholm Water Foundation (SWF) for the creation of an independent enterprise foundation with the purpose to promote interest in water, conduct internationally oriented research and development activities and organise the annually recurring World Water Week in Stockholm. SWF was founded in 1990 with the purpose to award the Stockholm Water Prize to individuals or organisations for outstanding achievements in water related activities, and the founders.

SIWI started organising annual World Water Week activities in 1991. In 2008, the Swedish government formally established the Stockholm Water Foundation to create an independent business foundation for World Water Week activities, promote interest in research and development around water, and conduct opinion activities. SIWI has been operating under this non-profit institutional umbrella since then. Its mandate is to work globally to change how water is understood, valued and managed and advocate and advise on how to improve water governance (WG). SIWI sees this as being key to a fairer, more prosperous, and resilient future.¹ Their key premise is that strengthening water governance among public and private sector actors reduce water crises and ultimately also poverty.² SIWI focuses on improving water governance within political, social, economic and administrative systems and processes that influence water's use and management to create greater equality and equity regarding “who gets what water, when and how, and who has the right to water and related services, and their benefits.”³ SIWI sees its role as one of creating knowledge, developing capacity, and offering policy advice to countries, communities, and companies.⁴ Its vision is for a “Water Wise World” – a world that recognises the value of water and ensures that it is inclusively shared and used sustainably, equitably and efficiently for all.

Beyond a short no cost extension until April 2024, the present agreement between Sida and SIWI covers activities for the period up until June 30th, 2024. Sida funded the SIWI Strategy through Sweden's for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022 and Sweden's Strategy for global development cooperation in the areas of environment, climate and biodiversity 2022–2026. Sida used a combination of core funding from 2018 to 2020 and programme support from 2021 to 2023 for SIWI's programme “Water governance for a just, prosperous and sustainable future”. Sida considers this funding to be intrinsically linked to the overall implementation of the SIWI Strategy.⁵ Sida's funding environment has also changed since 2022 with a change in government priorities which has led to shifts in policy, thematic and funding priorities. The MFA has also indicated support for the water sector is not as high a priority as it was under the previous government. Sida has commissioned this independent

¹ <https://siwi.org/who-we-are/>

² SIWI, 2017, SIWI 2018-2023 Strategy, p. 9.

³ SIWI, op. cit., p. 9.

⁴ <https://siwi.org/who-we-are/>

⁵ Sida, 2023, ToR, Evaluation of SIWI's 2018-2023 Strategy.

evaluation of SIWI's implementation of this Strategy to help inform future funding decisions related to SIWI.

1.2 PURPOSE, OBJECTIVES & SCOPE

The evaluation Terms of Reference (ToR) states that the **purpose** of this evaluation is to:

- “Provide Sida with an input to upcoming discussions concerning the preparation of a new phase of funding to SIWI”; and
- “Serve as an input for Sida to a decision on whether SIWI shall receive continued funding from the Global Strategy or not.”

More specifically, the evaluation aims to ensure that the inputs provided to Sida are based on solid and objective quantitative and qualitative evidence regarding the relevance, effectiveness, and sustainability of SIWI's use of Swedish funding and related programming for the period 2018 to 2023. This also involved taking into account any relevant delays or changes in delivery caused by diverse factors, including but not limited to the COVID-19 pandemic.

The **evaluation objectives** are to:

- Assess the overall relevance and effectiveness of SIWI and the SIWI Strategy; and
- The extent to which Sida financing of the strategy implementation has led to SIWI having achieved its planned outcomes and results.

Multiple donors fund SIWI's work, including Sweden's MFA. However, only Sida-funded programming and activities from 2018-2023 are the subject of this evaluation's assessment. The findings focus on these and the provision of inputs to Sida to assist in its future funding and support decisions.

1.3 METHODOLOGY

1.3.1 Analytical Framework

The evaluation team used a mixed methods approach to analyse evaluation data. This included:

1. Theory Analysis – to assess the validity of SIWI's Theories of Change.
2. Contribution Analysis – to determine the extent to which Sida-funded activities and support of SIWI's 2018-2023 Strategy contributed to Strategy results and outcomes.
3. Evaluation Matrix with indicators tailored to the seven evaluation questions (EQs) (refer to Annex 2).
4. Power Analysis – to assess the extent to which SIWI has applied Human Rights Based Approaches (HRBA)⁶ to Strategy-supported programming and activities.
5. Outcome Harvesting – to help triangulate outcomes identified through the programme and activities review.

The evaluation team elected to use Outcome Harvesting since SIWI's Strategy did not include any baseline data or indicators. It therefore, held two Outcome Harvesting Workshops with SIWI staff, one in Bogotá and one in Stockholm to document staff perceptions of the overall results of the Strategy related to its objectives 2 and 4: “Objective 2 - Contribute to Sustainable Water Management through Improved Water Governance; and Objective 4 - Contribute to Improved and extended water governance by innovations based on knowledge and learning”.⁷ This included a post-workshop analysis of the different factors that contributed to these diverse

⁶ Please note that a holistic HRBA with its focus on inclusiveness, active and meaningful participation and active measures to counteract all forms of discrimination is also implicitly based on “poor people's perspectives”.

⁷ SIWI, 2017, SIWI 2018-2023 Strategy, Theories of Change.

outcomes and an assessment of how/whether the outcomes SIWI staff identified validated the SIWI Strategy Theories of Change (refer to Annex 5 for copies of these Theories of Change and to Annex 3 for an outline of the Outcome Harvesting methodology used).

1.3.2 Sampling Approach

The evaluation team in collaboration with both SIWI and Sida proposed reviewing a representative sample of programming funded through its Strategy and Sida's Programme Support. The aim was to use this sample to identify clear patterns and findings related to the Strategy implementation as opposed to being an in-depth programme by programme review.

The team based the sample programmes selected on the following criteria:

- Geographic location with a focus on Latin America, and Africa, Latin America at SIWI's request as this showcases their WG work at the national level and Africa due to its focus on transboundary water issues.
- Three programmes funded through separate Sida strategies outlined in the ToR.
- A representative mix of programmes recommended by SIWI, funded through SIWI's 2018-2023 Strategy, that cover its four main areas of work in Platform Development, Dialogue Facilitation, Knowledge Generation and Capacity Development.
- To reflect some of the newer areas of work in which SIWI is engaged this mix also included Technical Assistance in Water, Sanitation & Hygiene (WASH) in Latin America and its work with Indigenous Peoples.

This led to a sample size of the 11 programmes outlined below. The first three represent programmes selected by Sida, funded through diverse Sida Strategies.⁸ The evaluation conducted a light or more in-depth review of each sample programme. The light review involved KIIs with SIWI and Sida staff, donors/implementing partners and a key institutional beneficiary. The more-in-depth review included additional KIIs with a larger number of partners and institutional beneficiaries. The programmes selected for in-depth review represented ongoing work with key donors and implementing partners and the lighter reviews programmes which closed prior to the end of the SIWI's Strategy or did not fall within Sida's priority areas for funding in its 2022-2026 Strategy such as the Public Sanitation in Latin America and Caribbean programme or represented a small funding investment.

1. Ethiopia Water and Landscape Governance Programme (2017-2021) (light review)
2. SIWI Building Governance Capacity for improved Water Security (GO-WATER) 2021-on-going (light review)
3. Shared Waters Partnership: Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP) (2021-2023) (in-depth review)
4. Accountability for Sustainability (A4S) (2022-2025) (in-depth review)
5. Source to Sea (2018-2023) (in-depth review)
6. Transforming Investments in Rainfed Agriculture in Africa (TIARA) (2020-2023) (in-depth review)
7. Water Smart Forest & Landscape Restoration (2018-2023) (light review)
8. Water Integrity in Latin America programme (in-depth review)
9. Public Sanitation in Latin America and Caribbean programme (light review)
10. Regulatory Commission of Water and Sanitation (CRA) – Colombia (light review)
11. Inclusion of Indigenous Peoples (light review).

At Sida's request, the sample does not include a review of World Water Week.

⁸ Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022; and Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022–2026.

1.3.3 Data Collection

The evaluation team collected data for the evaluation through the following processes:

1. Document Review – included programme proposals, contribution agreements, progress and evaluation reports, SIWI and Sida Strategies, SIWI Action Plans, SIWI outcomes summaries, water governance workshop reports, platform reviews, etc.
2. Stakeholder Mapping of which stakeholders were involved in programming and events implemented with the support of the 2018-2023 Strategy.
3. Key Informant Interviews and Consultative Meetings (7 Nov to 7 Dec 2023).

Table 1: Number and Type of Persons Interviewed

Key Informant Categories	Female	Male	Total
Sida Programme Managers	5	1	6
SIWI staff	12	9	21
Stakeholders/beneficiaries	6	6	12
Implementing Partners	3	12	15
Representatives of Donors	5	6	11
Other	2	2	4
Sub-total	33	36	69
Outcome Harvesting Workshop – Bogotá	8		
Outcome Harvesting Workshop – Stockholm	15		
Total numbers reduced to account SIWI staff who took part in both KIIs and the Outcome Harvesting Workshop	Sub-total – 16		85

(Refer to Annex 8 for Stakeholder Mapping Analysis used to determine KI Selection).

1.4 LIMITATIONS

Limitation	Mitigation Strategy
The 3-week data collection period was short for a complex global evaluation.	Data collection period extended by a week to allow additional interviews. Clear scope outlined about how many interviews the team would conduct per programme and with which types of key informants. Rapid response from SIWI for document requests.
The team was tasked with assessing SIWI's 2018-2023 Strategy and 3 additional Sid-funded programmes. This covered a broad and extensive range of programming.	The team picked a programming sample based on consultations with Sida and SIWI as to what it is possible to realistically assess during the evaluation while still providing a good overview of the implementation of SIWI's Strategy.
In many cases, SIWI is one of multiple actors contributing to results and there was a need to clarify/verify which actors were contributing to which results.	Each programme review included KIIs with donors, implementing partners, institutional beneficiaries/stakeholders and some external experts to confirm which aspects of which programmes covered by Sida's funding of the 2018-2023 Strategy were implemented.
SIWI's 2018-2023 Strategy does not include either a baseline or performance indicators.	The team relied upon Outcome Harvesting workshops with SIWI staff and data triangulation from multiple types of KIs as well as an extensive document review to assess Strategy performance including SIWI's Strategy Action Plans.

2 SIWI 2018-2023 Strategy

2.1 GLOBAL WATER SECTOR CONTEXT

Globally understanding and awareness of human and climate change drivers of impacts on hydrology and freshwater availability continues to grow and are serious concerns. Increased water stress affecting human populations and ecosystems continues to present mounting challenges globally, regionally, nationally and sub-nationally, while the overall availability of freshwater remains effectively constant. At its extremes water stress has descended into violent, localised conflicts between competing water users – for example, between farmers and pastoralists in the Sahel and elsewhere. Better management of available water resources remains core to addressing this situation, as is the promise of better technology and knowledge that can bring the means to achieve sustainable, equitable and peaceful outcomes.

Water Governance, whilst continuing to escape any single definition, cuts across all levels and sectors of human activity concerning water. It aims to speak to achieving equitable access, fair pricing and the realisation of the Human Right to Water and Sanitation and social and economic purposes of water use. It has become a key component in achieving sustainable water resources management. Water governance also has global relevance particularly in unstable and post-conflict scenarios where access to basic water needs and the realisation of sustainable development goals (SDGs) are constrained. Effective water governance provides a mechanism to achieve livelihoods and economies and is thus a necessary component in poverty reduction. However, achieving adequate and effective water governance can take time, can require indirect approaches and considerable preparation and incubation before it can realise broad and deep impacts. In part, access to knowledge, capacity development and effective dialogue are critical components of establishing and maintaining water governance and, as such, have become an important component of international development cooperation.

2.2 SIWI 2018-2023 STRATEGY

SIWI's Mission Statement is to “Strengthen water governance for a just, prosperous and sustainable future”. As a part of this, SIWI envisages itself as a water institute leveraging knowledge and convening power to strengthen water governance, and perceives its key strengths to be to:

- Generate knowledge in different ways and forms, e.g., through its own research and support/influencing of research by diverse partners and stakeholders.
- Apply knowledge, e.g., through advisory services and programmes development and implementation.
- Broker knowledge, through developing capacity, and acting as a facilitator.
- Network knowledge, by convening platforms and spaces for knowledge sharing.
- Recognise knowledge, through the Stockholm Water and Junior Water Prizes.
- Disseminate knowledge, by preserving, co-ordinating, packaging and promoting content to enable internal use and external transfer.
- Centre learning processes and critical thinking around people and their relationships.⁹

⁹ SIWI, 2017, 2018-2021 Strategy, p. 16

Sida provided SIWI with financial support for the work it does in water resource management for over ten years. This includes a combination of core, project and Programme Support (PS) from several Sida strategies. During the previous SIWI strategy period (2016-2020) Sida provided core support to SIWI of a total of 186 million SEK to implement its strategy. Sida support currently represents approximately 30% of SIWI's financing, with a further 50% being derived from other Donors and 20% from World Water Week (WWW).¹⁰ From 2021-2023 this included 120 MSEK (40 MSEK/year) for related programme support.¹¹

In 2020, Sida changed the funding mechanism it was using to support implementation of SIWI's 2018-2023 Strategy from core support to programme support due to serious concerns about a lack of transparency in their financial control system and a substantial Value Added Tax (VAT) debt.¹² The PS modality allowed for a closer monitoring of these than was possible through core support. SIWI management staff did not think problems with their results reporting contributed to this decision as they did not see any criticism of the quality of their reporting on its Strategy implementation in any of its meeting protocols with Sida.¹³

SIWI's PS application included programmes to be funded that comprised the majority of departments/activities across SIWI. It covered four main objectives which aligned closely with the proposed approaches outlined in its original Strategy, namely: Objective 1- Contribute to Sustainable Management of Shared Water Resources by Improved Water Governance; Objective 2 - Contribute to Sustainable Water Management through Improved Water Governance; Objective 3 – Inclusion of Relevant Stakeholders by Improving Water Governance and Objective 4 - Contribute to Improved and Extended Water Governance by Innovations Based on Knowledge and Learning".¹⁴ SIWI included a Theory of Change for each objective in the PS document. This represented a change from the original 2018-2023 Strategy. The combination of this PS document, subsequently approved by Sida in 2021, and the original 2018-2023 Strategy as SIWI's constitute the SIWI Strategy evaluated in this report.

2.3 THE BASELINE

While this assessment is based on SIWI's Sida-funded work between 2018 and 2023, the evaluation team used of a SIWI-commissioned evaluation of the implementation of its 2013 to 2017 Strategy to establish a baseline to help frame the current. evaluation. The key findings of that evaluation are reflected in its recommendations. You can find a summary of the key points outlined Annex 7. The team will revisit these, as relevant, in the report findings and conclusions to determine SIWI's progress on the issues identified.

¹⁰ ToR, 2023, Evaluation of the Sida support to the implementation of SIWI Strategy 2018-2023, p. 3.

¹¹ ToR, 2023, Evaluation of the Sida support to the implementation of SIWI Strategy 2018-2023, p. 2.

¹² Evaluation Start-up meeting briefing, Sida 2023.

¹³ SIWI Management response, 1st draft of Evaluation of SIWI 2018-2023 Strategy.

¹⁴ SIWI, 2017, SIWI 2018-2023 Strategy, Theories of Change.

3 Findings

3.1 RELEVANCE: EQ1

EQ 1: To what extent have intervention objectives and design responded to beneficiaries', global, country and partners/institutions' needs, and have they done so if/when circumstances have changed?

Finding #1 Overall, donors/implementing partners and institutional beneficiaries considered SIWI's primary areas of work addressed specific needs identified, particularly their demand-driven Water Governance capacity development approaches.

Donors and implementing partners had a high opinion of the relevance of the inputs of SIWI's technical staff in terms of knowledge, training and dialogue support related to Water Governance. They saw it as being well designed and targeted to meet beneficiaries needs. Four key informants suggested however, that SIWI's technical input could be further enhanced if SIWI adopted a "whole of SIWI approach" in which staff from all SIWI's technical areas collaborated more to enrich and broaden delivery of training and skill sets. This, they thought would help increase relevance on the ground. Three donor / implementing partners also noted that the outsourced consultants SIWI uses to deliver training tended to deliver a tailored training module and then "leave" without there being a deeper broader professional connection established with SIWI itself. They indicated that more follow up and continuity would increase the relevance of training. At the same time, seven implementing partners interviewed valued the fact that SIWI was uniquely well placed to deliver highly relevant training, capacity development and dialogue support which their own organisations had no mechanism to provide themselves, thus filling a critical niche.

Where relevant all KIs recognised the difficulties faced by SIWI in relation to COVID-19 and working in unstable locations and expressed the view that where it was not possible to be on the ground SIWI made good use of IT and digital platforms to maintain the delivery of their interventions. No mention was made of any challenges presented by a global trend towards there being less funding for development cooperation work.

Finding #2: While most institutional beneficiaries / implementing partners were generally positive concerning technical aspects of programme delivery, Sida was not satisfied because of programming / finance / reporting issues which left it unclear as to many of the outcomes achieved and thus questioned the justification of the spending of development aid.

KIs clearly expressed two distinct and different perspectives on how they see SIWI's relevance. On the one hand, almost all beneficiaries agreed about the relevance of SIWI delivering highly valued technical expertise, knowledge and training, well targeted to clearly identified stakeholder and community needs and filling critical gaps through the provision of Platforms, Capacity Development, Knowledge Generation and Dialogue Facilitation. On the other, nine representatives of 11 donors and implementing partners (total of 26 interviews) considered that its work fell short of achieving sufficient relevance to justify continuing to fund it through development aid because there was inadequate measurable, 'on the ground' impact. An

additional four donors and three implementing partners thought that SIWI's relevance was good and are keen to continue funding SIWI's work and in two cases to expand it.

It is fair to say that where intervention designs established an up-front explicit role for SIWI and clear expectations for (or alternative provisions put in place) to enable subsequent 'on the ground' impact, then both beneficiaries and donors / implementing partners had positive views of the relevance of SIWI's work for that intervention. Where intervention settings lacked a clarity of expectations it appears to have given rise to concerns in the eyes of donors and implementing partners in terms of the relevance of SIWI's work. Six representatives of three donors said that they were dissatisfied by the absence of measurable impact 'on the ground'. This, in part, relates to longstanding issues of SIWI reporting discussed in detail in the section on EQ5. Three donors said that they had not made additional funding available to SIWI because its relevance in terms of impact on the ground did not adequately justify it. Six representatives of three donors spoke at length about their agencies' requirement that they increasingly deem development aid expenditure to be relevant when it can be justified through reporting on its impact on the ground.

Here is where SIWI presents a two-sided picture. Overall, with the exception of one programme, the evaluation found that SIWI was contributing to good results related to water governance at the national government level that met the needs of diverse stakeholders. However, on the other, as noted above, SIWI has proven to not be good at reporting these results clearly or transparently to many of its donors. This makes it challenging to accurately determine aspects of SIWI's actual relevance. Several donors and implementing partners also observed that while SIWI's work is relevant at higher strategic levels of intervention, this does not automatically translate into near real time impact on the ground which is where much of their institutional mandates demands that they direct their attention.

Donor/implementing partners and diverse actors in the water sector saw Platform Development to be a highly relevant activity undertaken by SIWI. The majority of those interviewed said SIWI has used its convening power to create the space for platforms and provide the channels for the work of those platforms to be heard. Many interviewed additionally said that there was a need for more such platforms at various levels to focus on enabling dialogue on existing issues as well new thought leadership issues.

3.2 EFFECTIVENESS: EQ3, RESULTS

EQ3: To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including that of poverty reduction?

This section synthesises evaluation findings related to the four main areas of work covered by the 2018-2023 Strategy, namely: Platform Development, Dialogue Facilitation, Capacity Development and Knowledge Generation. To this, at SIWI's request and with Sida's approval, the team added Resource Mobilisation. The synthesis focuses on the effectiveness of the approaches SIWI has taken in each results category area and summarises key results for each sector. A more detailed summary of the results identified in the Outcome Harvesting workshops and document review can be found in Annex 4.

3.2.1 Knowledge Generation and Tool Provision

Finding #3: SIWI's knowledge generation and tool provision work focuses on the intersection of academic research with science-based approaches that SIWI then uses to develop practical tools targeting water governance policy and practical and accessible diagnostic applications. This helps establish knowledge linkages between water and climate, agriculture, forestry, landscape, health, etc. and within different water topics.

SIWI has identified a gap in knowledge in the water sector and worked to fill this through its knowledge product development. These knowledge products focus on meeting the needs of governments and communities to improve water governance and provide practical tools to do this. A sample of the ones that stood out supported through Sida funding include:

Review of WASH Bottleneck Analysis Tool (WASHBAT): This was done in collaboration with UNICEF. SIWI applies this tool and process in collaboration with UNICEF under the umbrella of the A4S programme to help governments and communities identify the factors and processes limiting access to key WASH services, particularly in rural areas, for schools and for selected groups in vulnerable situations. A key premise underlying the WASHREG approach is that reduction of barriers to WASH services will increase the health of poor people through increased access to clean water as well as reduce the costs of these services for individual households. In Nicaragua, for example, SIWI has been working closely with Indigenous communities in the Caribbean regions of the country to help them improve their access to water-related services. The Outcome Harvesting workshop process also identified the following outcomes from the WASHBAT process:

- Increased awareness among diverse stakeholders about the gaps and opportunities involved with the risks of climate change in the WASH sector.
- Provision of methodologies to support government and community planning for WASH in emergencies.

Development of UNICEF's WASHREG Tool:¹⁵ SIWI worked closely with UNICEF through the A4S programme to both develop and later update this WASH regulation tool. They have used this updated tool to guide a series of WG processes with governments and other stakeholders in Latin America and the Caribbean, the Middle East, and East Africa. This tool and the related processes are also based on the premise that improving water regulations will ultimately benefit poor people by improving access to clean water, water for agricultural purposes and reducing the costs of water service provision through the introduction of regulatory efficiencies and in some cases, water service subsidies for poorer communities. Sample results generated through the application of the WASHREG tool SIWI staff identified through the Outcome Harvesting Workshop in Bogotá included:

- Development of a WASH capacity development framework in informal settlements.
- Analysis of national policies for climate change and water sector risks in related to WASH using a climate scanning tool SIWI developed to help governments prepare for how climate change is and will be affecting WASH related services.¹⁶
- Colombia – WASH REG – incorporation of points from the action plans developed in the WASH REG workshops in annual and five-year plans of the CRA.
- Ecuador- WASHREG identified priority to improve monitor of wastewater which is now being developed with support of UNICEF.

Drafting of Paper on Government COVID-19 Responses in the Water Sector:¹⁷ SIWI mapped these responses in 84 countries in collaboration with UNICEF. This involved developing a matrix of the different WASH pillars and activities for responses to the pandemic which SIWI and UNICEF used to map countries' responses on a weekly basis. They also conducted monthly webinars on the results and different approaches identified and published standards for pandemic responses in the water sector as well as developed an emergency platform. The focus on good practices and shared experiences generated considerable interest among diverse governments. In Colombia, SIWI and UNICEF started a dialogue between the government,

¹⁵ KIIs with 5 SIWI staff, donors/ implementing partners. Nov. 2023. Outcome Harvesting Workshop – Bogotá.

¹⁶ <https://doi.org/10.1016/j.scitotenv.2021.148789>

¹⁷ KIIs with 5 SIWI staff, donors/ implementing partners. Nov. 2023. 2 Outcome Harvesting Workshops

non-governmental organisations (NGOs) and service providers which led to a policy change to ensure rural water service providers were able to both meet national standards and to help reduce things that were preventing these providers from registering with national regulators by reducing/eliminating fees for small providers serving poor communities. This research won UNICEF's award for best global research in 2022.

Water Smart Forest and Landscape Restoration Tool:¹⁸ This tool, developed in 2023, is based on research that challenges the premise that planting trees is automatically good for preservation of the water table and other water resources. It outlines a set of processes different stakeholders can use to assess their land and forest restoration needs and the potential impacts that proposed, and existing, tree planting initiatives are having on water supplies. It is designed to help governments, communities and water sector practitioners identify what types of trees they need to plant and how densely to plant to ensure a good balance between environmental, agricultural, livelihood and water sector needs and water-forest resilience. The tool is also based on the premise that better protection of the water table through targeted reforestation will help prevent drought and thus prevent increased poverty in agricultural communities. It is also supposed to contribute to increased incomes of communities through the planting of appropriate types of trees that community members can use for livelihood purposes in environmentally sound ways.

The Water-Smart Land and Forest Restoration tool represents more cutting edge applied research and the WASHREG and WASHBAT a direct response to UNICEF's specific need for processes it and SIWI could use to address WG in the WASH sector. The COVID-19 government water sector response paper falls in between these two approaches, i.e., it utilised innovative research processes while responding directly to an immediate need SIWI's approach to knowledge generation thus, appears to be both demand-driven and some work to identify gaps in WG knowledge at the global level.

Finding #4: During the period covered by the evaluation for the programmes reviewed the evaluation team found that SIWI had used Sida funding of its Strategy mostly to support development of demand-driven knowledge products based primarily on repackaging and updating existing knowledge in the sector (with the exception of the Water Smart Forest and Landscape Restoration Tool and WASHREG tools).

This does not mean SIWI did not generate other and new knowledge products and tools during this period. Rather it strictly refers to those produced with Strategy support included as a part of the evaluation programme sample.

At the same time, the evaluation team also found evidence that **SIWI is increasingly recognised as a knowledgeable partner on Water Governance**. Proof of that is when donors and partners ask for additional services from SIWI, such as workshops, training and guidance notes (for example, on the S2S approach and W-FLR tool). A notable partnership in this regard is the capacity development and technical assistance to country and regional offices of UNICEF, a major organisation working on WASH as one of its programming areas.

3.2.2 Platform Development

Finding #5: SIWI has been effective in developing and launching platforms on Water Governance issues which have expanded use and network membership but sometimes have weaker links to impacts 'at the ground level'.

¹⁸ 6 KIIs with SIWI staff, donors and technical experts, plus related document review (refer to References for list of specific documents reviewed). This is also one of the projects SIWI explicitly asked the evaluation team to review as a part of its assessment of SIWI's implementation of its Strategy.

All 11 donor organisations interviewed spoke of their awareness that platforms can be costly to establish, require recurrent financing and can require an incubation period before significant outcomes are seen. They felt that SIWI should lead in enabling those platforms to broaden their funding base to enable sustainability – with members of the platforms also taking on roles to finance and run the platforms because “when one partner wins, we all win”. Three donors / implementing partners also said it is important for such platforms to gain an identity beyond that of their creators and so open the platform to the broader energies, ideas, and resources of the platform members. Several informants said they would be interested to finance platforms in future if the members were encouraged to get on with the putting their energies into implementation. This means the platform itself is not expected to implement – but rather it would proactively encourage and enable its member organisations to network, design, initiate and undertake implementation initiatives with other members outside the platform itself.

Four interviews with representatives from 3 donors/implementing partner interviews expressed concern that the platforms spent too much time on policy development and academic refinement of concepts at the expense of harnessing the energies of platform members eager to use the platforms (and their own resources) as vehicles to catalyse implementation. They saw a risk in platforms being seen as or remaining as “talk shops” when in fact there is nothing to stop them from serving as catalysts for action through their members while still working on further improvement of policies and concepts. One KI said that this dual pronged approach “policy refinement and implementation”– with up front action - is what has come to characterise how higher-level global architecture is now expected to work in relation to climate change, for example. Again, it was made clear that the relevance of development cooperation cannot be divorced from the need to justify it through a measurable impact ‘on the ground’.

The Source to Sea (S2S) Platform and the Network of Women and Diplomacy in the Nile Basin are two examples of platforms developed by SIWI. Both platforms are well regarded by their members and have served to enable important interaction between members and external stakeholders and to that end can be said to have achieved their initial objectives.

The main outcomes identified during the evaluation related to Platform Development were:

1. Platforms successfully developed have fostered collaboration and coordination among members.
2. The successfully developed platforms allow for knowledge exchange between different parties (across sectors, within the water sector, peer learning).
3. The successfully developed platforms generate strategic partnerships and financial opportunities to its members.
4. The successfully developed platforms and events contribute to the inclusion of under-represented groups and connecting those with decision-makers (more participatory and equitable water governance).
5. The successfully developed platforms are sustained over time independently from SIWI.
6. Important partnerships are established and maintained.

It is useful to briefly illustrate as an example how the S2S Platform has evolved to achieve effectiveness. The S2S conceptual framework was first described in the literature in 2017¹⁹. SIWI was able to take this concept, disseminate awareness and catalyse support for it and create an international platform that now has 43 mostly international organisation members and a growing number of regional, national, and local members. In operationalising the concept at the international level SIWI partners interviewed were all clear that this platform has succeeded

¹⁹ A conceptual framework for governing and managing key flows in a source-to-sea continuum. Granit, J. *et al* 2017. Water Policy 19 (2017) 673–691)

in breaking down the former siloed approach whereby the “freshwater community” and the “marine community” were not talking with each other. This resulted in significant developments across the higher reaches of the international community where, for example, S2S is now being mainstreamed into the operational activities of the Global Environment Facility and the United Nations Economic Commission for Europe (UNECE) as well as capturing important space at global and regional conferences. This is underpinned by several practitioner manuals that SIWI prepared and the notable recent formation of a working group under the platform to address S2S and climate issues. The recent upturn in momentum of the platform and especially its deepening membership (e.g., Orange-Senqu River Commission, the Danube Commission, and Benguela Current Commission) means that its reach is now extending to the “get it done” levels as one evaluation informant put it. The S2S platform is therefore, one example of how SIWI can draw on its convening power and create high level space to facilitate dialogue between influential partners at the global level where such dialogue was not happening effectively before. The resulting awareness and interest in the S2S dialogue can be seen by the growing membership of the S2S platform and its increasing reach into operational agencies globally. This approach to platform development stands as a good practice and model for the future development of SIWI-initiated or facilitated dialogue platforms.

3.2.3 Capacity Development

Finding #6: SIWI has developed an effective approach to Water Governance-related capacity development using participatory processes that foster government/ stakeholder ownership with clear evidence that these processes contribute to improved Water Governance in multiple contexts.²⁰

Provision of technical advice and WG training are the programming areas where SIWI shines and can document multiple results. The evaluation team found that SIWI’s approach to WG when working with national, sub-state and municipal governments and water service providers shared several common elements which contribute to their success:

- They are **demand-driven** and SIWI and its partners only engages in these processes when there is a request to do so by key government stakeholders. This implies and helps ensure a strong commitment on the part of the key decision-makers involved.
- In collaboration with **implementing partners with a strong field presence** such as UNICEF and GIZ, SIWI develops and delivers tailored WG workshops for diverse actors such as government entities, civil society actors, private sectors (where applicable), water service providers and community water associations. This brings the key actors to the table and helps ensure related discussions include multiple viewpoints and needs.
- **Each actor group participates** in separate workshops in which they discuss specific WG issues (e.g., water regulations, anti-corruption and integrity challenges and indicators, water quality, access to water, data collection needs and constraints, etc.). The workshop process also entails development of government action plan that commits decision-makers to implement the agreed actions discussed.
- If there are insufficient government funds for action plan implementation, SIWI uses staff time funded through the Strategy to try and **mobilise resources from other donors**.²¹

The main capacity development processes that use this approach include WASHREG (focused on regulatory changes), WASHBAT (focused on reducing bottlenecks to water and sanitation services) and the Water Integrity Toolkit (focus on anti-corruption and integrity in the water sector). The latter is done in collaboration with a three-partner consortium that includes SIWI, CEWAS and the Water Integrity Network (WIN). It is primarily funded by the Interamerican Development Bank (IDB) with limited funding from the Sida-funded GoWater programme to

²⁰ Noting that given the programme sample agreed, the focus of this finding and analysis was in Latin America.

²¹ 15 KIIs with SIWI staff, donors, implementing partners and institutional beneficiaries, Nov. 2023.

support water integrity processes in Bolivia and Peru. The WASHBAT and WASHREG training is done primarily in partnership with UNICEF and involves UNICEF Country Offices identifying governments with the interest and commitment to engage in these WG processes. SIWI provides the related facilitation processes. This partnership provides UNICEF with much needed additional capacity in water governance.²²

Results to which these WG change processes have contributed include: formation of permanent coordinating committees at the regulatory level; inclusion of under-represented groups of actors including some groups in vulnerable situations such as community water associations from poor communities and women in WG processes; water policy changes in Colombia and Guatemala, increased access to water services for schools and health centres in rural areas in participating countries; development of government actions to improve WG informed by the perspectives of diverse stakeholder groups; adoption and monitoring of integrity indicators in Bolivia and Peru, decreased cost of water service provision at the community level, improved complaint resolution for water service provision, increased access to better quality water for some rural communities and the reduction of water service providers fees in some countries, the latter most notably in Colombia.²³ In Colombia, WASHREG processes also contributed directly to helping the water regulation body there, CRA, work out institutional mechanisms and ways of operating that will allow them to make autonomous water regulation decisions with less political interference and have helped shift the perception of the role of water regulator inspectors from that of “water police” to be avoided by rural water service providers to government officials that can help communities gain better service. This process also served to increase rural water service provider compliance with national data collection requirements and led to reduced or no fees for water service provider registration for poor communities.²⁴

While these WG facilitation processes are participatory in nature, the primary direct target beneficiaries are the government entities concerned. It remains up to each government body whether they will include the views of other actors involved in the action plans ultimately developed. In addition, the diverse actors do not usually meet at the same discussion tables. Sometimes this is essential to ensure their voices are heard and as some stakeholder groups will not talk openly if at the same table as some other actors. In Colombia, institutional beneficiaries and an implementing partner, for example, both observed that there it would be difficult to have Indigenous Peoples discussing WG issues in the same group as non-Indigenous farmers. The latter views water as a service to be provided and regulated and the former as a resource belonging to the whole community which must be managed sustainably. Despite this separation of WG workshop discussions by stakeholder group, SIWI has successfully facilitated inclusion of some key issues from the different groups in government action plans, e.g., climate change concerns of young people in Paraguay, community water tariff issues in Bolivia.²⁵

Overall, SIWI’s capacity development work in Africa concerning Transboundary waters appeared to be shaped around specific programmes and projects. Consequently, they delivered a set of closely defined capacity development activities. Once they were completed that marked the end of the related interventions. SIWI’s training was generally well received and

²² 5 KIIs with SIWI staff, donors and implementing partners, Nov. 2023.

²³ 15 KIIs with SIWI staff, donors, partners and institutional beneficiaries, Nov. 2023. Refer to references to see list of documents reviewed related to the A4S, Water Integrity in Latin America programmes and support for the CRA.

²⁴ Of 500 rural water service providers representing poor, rural communities, 356 formally registered following the SIWI WG process and were able to provide the government regulator with the necessary data to help regulate and support provision of water services. 6 KIIs with SIWI staff, donors and institutional beneficiaries, Nov. 2023. this process was funded through GoWater as opposed to through the 2018-2023 Strategy funding.

²⁵ 15 KIIs with SIWI staff, donors, partners and institutional beneficiaries, Nov. 2023. Refer to references to see list of documents reviewed related to the A4S, Water Integrity in Latin America programmes and support for the CRA.

appreciated by those people interviewed. However, beneficiaries expressed the hope that training support would involve more of a long-term relationship with SIWI. Demand is high for the training SIWI can provide. Beneficiaries in this context felt that it would be beneficial if SIWI developed a relationship beyond workshops and training courses and if programming could be set up to provide mentorship and ongoing support to discuss implementation of the training skills and assist beneficiaries to realise outcomes. In effect, while they considered the training to be important, there remained a need to ensure and support the implementation of what they had learned on the ground and that this type of follow-up was even more important.

Thus while overall having developed a highly successful training approach, a key weakness observed by diverse KIIs, including SIWI staff, in both Latin America and Africa, is that SIWI has no control or much input into what happens after they have completed the WG workshop process. SIWI has responded however, to government requests for follow-up support obtaining additional resources and noted that to engage in longer term support would require a longer term commitment and higher budgets from funding partners.²⁶

3.2.4 Dialogue Facilitation and Advocacy

Finding #7: SIWI has had success with many of its dialogue facilitation processes at the global and regional levels through development of platforms targeting specific Water Governance themes as well as at the national level through the integration of dialogue facilitation processes in its capacity development and water governance facilitation processes.

The main outcomes identified during the evaluation related to Dialogue Facilitation and Advocacy were that:

1. Diverse governments and international actors recognise SIWI as a consistent and trusted partner in its dialogue facilitation and advocacy efforts.
2. Other sectors (climate, agriculture, forestry, textile, etc.) have integrated, incorporated, and mainstreamed water issues due to SIWI's efforts.
3. The water sector incorporates perspectives of different stakeholders, making water governance more holistic and inclusive.
4. Other actors adopted methodologies to which SIWI contributed or developed.

The national level dialogue facilitation processes SIWI uses, particularly those implemented through its partnership with UNICEF in the Accountability for Sustainability programme are described in detail in the section below on SIWI's Capacity Development approaches. They serve to generate greater communication and dialogue among diverse government actors involved in national, sub-national and municipal level dialogue. These efforts have contributed to WG policy changes in Colombia and Guatemala. They have also led to enhanced communication and dialogue between actors that are normally suspicious of each other such as regulators and community water service providers. SIWI appears to have been particularly effective at facilitating this type of dialogue and has established strong credibility and a sense of trust with diverse national government actors in Latin America in particular.²⁷

Finding #8: SIWI has been less successful in its dialogue facilitation and advocacy efforts related to transboundary water issues due in part to overstepping its institutional mandate. SIWI has also not been asked to participate in several critical regional and global transboundary processes.

Two donors and two implementing partners observed that in its regional dialogue work on transboundary water issues in Africa, SIWI confused the different Tigris Euphrates and non-

²⁶ 5 KIIs with SIWI staff, donors and implementing partners, Nov. 2023.

²⁷ 6 KIIs with SIWI PMs and institutional beneficiaries, Nov. 2023. Outcome Harvesting workshop – Bogotá.

Swedish actors involved as SIWI gave the impression that it was officially representing the Government of Sweden in these negotiations. This was not the case and is one factor that undermined the effectiveness of some of these dialogues. It also led to a reprimand from the Government of Sweden and contributed to a subsequent loss of the renewal funding for these dialogue facilitation processes. SIWI has, however, successfully supported development of a Women in Water Diplomacy Network in Africa with approximately 20 members.

The evaluation team considered that logically SIWI would have built on its transboundary dialogue work using its permanent presence in Pretoria to develop a deep and extensive footprint in the Southern African Development Community SADC (under the SADC Water Division) and Africa (under the African Ministers' Council on Water) and proactively positioned itself as a “go to” partner of SADC and key financing agencies as well as the 12 mainland countries in the SADC region. At the same time, SIWI did develop good relations with the Zambezi Basin Commission (ZAMCOM) and in Somalia regarding the Juba Shabelle Basins as well as to a degree with the Orange Senqu Commission. However, these examples of activities by SIWI appear to be limited to specific issues and programmes and did not appear to be part of a coherent plan to achieve longer term and deeper positioning. Rather SIWI's transboundary water management work appears to be driven by the presence of programme specific funding and targeting specific issues or training provision.

Finding #9: SIWI has contributed strongly and successfully to increased involvement of Indigenous Peoples in global and regional dialogues around Water Governance.

While Indigenous groups have been actively participating in global discussions around climate change and biodiversity issues in the last decades, they were not present in global water processes until recently. Together with UNESCO Local and Indigenous Knowledge Systems (LINKS) and UNDP, SIWI has been working not only to include Indigenous voices in those technically dominated debates, but also to value Indigenous knowledge on water resources management. The effectiveness of this work is visible by the increasing presence of Indigenous leaders and panels dedicated to First Nations in global water events, such as World Water Week (2021, 2022, 2023), the 2nd High Level International Conference on the International Decade for Water Action in Dushanbe, Tajikistan, 2022, and the UN Water Conference in New York, 2023. The participation of Indigenous groups in those events seems to be having a snowball effect, as now more and more events reach out to SIWI or its partners asking for Indigenous speakers. In Dushanbe, it was the first time that a UN water conference had a dedicated Indigenous forum, and their views were broadly valued and accepted.²⁸

A main outcome achieved has been the official Dushanbe conference declaration endorsed by UN Member States recognising water as essential for the empowerment of Indigenous Peoples, acknowledging the critical role that Indigenous Peoples and local communities have in water governance at all levels, and committing to demonstrate and scale-up solutions based on traditional and Indigenous knowledge for water and sanitation management.²⁹ By attending the conferences, the Indigenous groups get to share their knowledge with a technical community they were not familiar with, and to know the issues and solutions that water specialists are discussing.³⁰ In the diverse Indigenous beliefs and knowledge systems that get showcased in these events, water is deeply connected with the land, natural environment and the people, who have spiritual connections to water, something often overlooked in traditional water management that sees water as a scarce ‘resource’ to be allocated among different users and

²⁸ <https://www.unesco.org/en/articles/indigenous-peoples-bring-solutions-global-water-conference>.

²⁹ <https://wateractiondecade.org/wp-content/uploads/2022/06/2022-DUSHANBE-FINAL-DECLARATION.pdf>.

³⁰ 4 KIIs with SIWI PMs, partners and beneficiaries, Nov. 2023.

purposes.³¹ Apart from a more holistic and inclusive global water governance, Indigenous Peoples benefit from networking with other Indigenous groups, fostering a global sense of community around Indigenous and water issues.³²

While the achievements by SIWI and its partners in such a short time are commendable, the work being done with Indigenous Peoples focuses on global water governance, and tangible benefits to Indigenous Peoples (and not only to the organisations that represent them) are yet to be seen. Multilateral processes are recognising the role of Indigenous people in managing water resources, but this is not automatically translated into better and more inclusive national water governance everywhere.

3.2.5 Resource Mobilisation

Finding #10: SIWI has been using part of the Strategy funding to successfully mobilise additional resources on behalf of diverse stakeholders to consolidate Water Governance activities identified through the WASHBAT, WASHREG and Water Integrity Toolkit processes.

SIWI staff interviewed indicated that they use some of the funds Sida provides to support its Strategy to cover staff time used to help mobilise resources for follow-up actions and work for diverse governments and stakeholders as well as to facilitate contract negotiations with multiple donors. One example they cited was related to the Water Integrity in Latin America programme. While funded primarily by the IDB SIWI did arrange for two countries (Bolivia and Peru) to participate in this programme through the Sida-funded Go-Water programme. That programme is funded through Sida's International Training Programme. However, Bolivia and Peru took part right towards the end of the GoWater programme and needed additional support to finish these integrity and anti-corruption processes. SIWI then used its staff time to negotiate with the IDB to provide this support.

Sida agreed to allow SIWI to use part of the Strategy funding as co-funding for the A4S programme. Under this arrangement SIWI via Sida contributes 15% of the cost of that programme. These funds stay with SIWI to cover staff time for programme delivery, including negotiating follow-up funding to support aspects of the implementation of WASHREG and WASHBAT action plans by diverse governments as well as the management of other related contracting issues. While SIWI has an internal documentation process for how they use this 15% contribution they only report the total amount of this spending per month to UNICEF.³³

While these resource mobilisation processes are clearly valuable to the different governments and stakeholders with which SIWI works, SIWI regional staff interviewed were mostly unable to report on how much funding they had mobilised using Strategy funds. This and the lack of transparency in the internal reporting process related to the 15% contribution makes it difficult to assess the extent to which SIWI has been using staff time funded by Sida to support resource mobilisation. All agreed, however, that this is a necessary part of the work that they do.³⁴

Information about total amounts of resource mobilisation was, however, available at the Headquarters level. The Chief Operating Officer reported that during 2018-2023, approximately 20 MSEK of Sida support (core and PS) were spent for resource mobilisation which they defined as including pilots, tool development, proposal writing, and offering SIWI's

³¹ Water Governance Facility, 2023. *Yaa Heen Koosge: Indigenous Peoples and Water Wisdom*. (2023) Stockholm: International Centre for Water Cooperation, Stockholm International Water Institute.

³² 5 KIIs with SIWI PMs, partners and beneficiaries, Nov. 2023.

³³ 5 KIIs with SIWI and UNICEF staff.

³⁴ 6 KIIs with SIWI staff, Nov. 2023.

services. Based on this definition, SIWI indicated that this investment led to the generation of 380 MSEK in funding towards current and future projects/programs aiming at contributing to improving water governance. SIWI used the resources mobilised to extend and innovate improved WG such as support the work of implementing partners, help institutional beneficiaries implement aspects of their WG action plans or fund pilots to test SIWI-generated tools with the aim of scaling up use of the approaches being tested.

With the Water Smart Forest and Landscape Restoration Tool SIWI received 800,000 SEK from Sida as start-up funding to develop the tool. That seed money allowed SIWI to write the first draft of handbook, do outreach to other partners and find more funding for the tool. GIZ then agreed to invest 2 million SEK to further develop the tool, identify pilot countries to test it and disseminate the revised version. SIWI is also now part of a partnership to run a 4-year research project related to the tool run by the Stockholm Resilience Centre. SIWI staff thought this stands as a good return on Sida's initial investment.

3.3 EFFECTIVENESS: EQ4, WHO BENEFITS?

EQ 4: Who (*de facto*) has benefited in the short term and long term, directly or indirectly, and have there been any differential results across diverse groups?

As detailed in the section on EQ5, SIWI's difficulties in reporting outcomes in an easy and structured way across programmes affected the evaluation team's ability to properly identify the numbers and sometimes also types of beneficiaries of SIWI's actions. For this reason, the team has presented its answer to EQ4 with a more qualitative than quantitative analysis.

Finding #11: SIWI's projects especially affect government bodies and inter-governmental organisations. Benefits to marginalised groups and community-level rights-holders, although present in some activities, are limited.

SIWI's projects and programmes target a broad range of beneficiaries including government authorities and technical departments at local, regional, and global level, inter-governmental organisations, civil society organisations, including Indigenous Peoples' organisations and networks, community-led groups, academia, and the private sector. SIWI's work is useful to multiple water sector and water governance stakeholders, especially to international water governance bodies and national governments, and to some extent to sub-state and municipal governments. While SIWI uses participatory and inclusive approaches in most of its governance process work, with a few exceptions, it does not directly target groups living in highly vulnerable situations as its main beneficiaries. Its focus is on changing governance practices and water sector policies among institutional stakeholders using consultative processes with diverse other actors. Sometimes the participation of these other actors leads to their views and concerns being included in the government action plans developed subsequently but this is ultimately up to the lead institutional stakeholders and decision-makers involved. Without their participation however, the views of non-governmental actors would be considered to a lesser degree. In the longer-term this more inclusive form of WG discussion can contribute to reduced poverty but it is not always the more immediate objective of these WG processes.

For work funded through the Strategy, **Capacity Development** has mostly been directed to government and institutional beneficiaries, including UN agencies, particularly using water governance tools and workshops, such as the WASHREG process. This has focused on water regulators, and in Latin America also on rural water service providers. NGOs and farmers also

benefitted from capacity development from TIARA.³⁵ The inclusion of Indigenous Peoples in water fora also indirectly builds capacity of water specialists, who become more aware of different and more holistic perspectives to water management, and of Indigenous leaders, who learn how water is managed at the global level.³⁶

Platforms developed or convened by SIWI are multi-stakeholder based. Thus, it can be difficult to establish which stakeholder groups benefitted the most. Usually, ministries and government agencies benefit from greater coordination and collaboration among platform members, including across sectors beyond water, e.g., in Ethiopia and Somalia. The Women in Water Diplomacy Network Platform have benefitted women in the Nile River basin and the Informal Reference Group for Indigenous Peoples and Water diverse Indigenous groups across the world. They do this by offering a space to build trust, collaborate and network about water governance. In the Source to Sea programme, expert teams and water sector practitioners working on freshwater and ocean projects have benefitted from the S2S Platform.³⁷

For **knowledge generation and tool development**, SIWI established several partnerships with UN agencies, universities, and research institutions to work on the development of practical, policy and water governance tools which primarily target government institutions. They do, however, include an element of outreach to NGOs and community water associations. But this inclusion is not a guaranteed part of the knowledge product or tool process. In Colombia, for example, SIWI and UNICEF initially left the issuing of invitations to take part in water governance consultations up to its government partner and this institution did not invite any rural, water service providers until there was a last-minute intervention by UNICEF.

SIWI's impact is less felt at the community level, but KIIs with three institutional beneficiaries and two donors indicated that some groups at this level benefitted. This has included: small scale rural water service providers and community user associations (WASHREG and Integrity program); School populations in rural and urban areas (WASHBAT); Informal settlements and youth groups in Paraguay; Small-scale water providers and community water user associations, including rural groups, and Indigenous Peoples and rural women who participated in Water Governance workshops. Indigenous groups, associations and networks have also had their voices and views considered in global water processes, although more concrete changes on the ground for Indigenous Peoples are yet to be seen.

The use of digital and accessible tools for communication and capacity development (such as WhatsApp and Telegram) was reported to improve the outreach and inclusion of SIWI's capacity development initiatives, including women (in the Women in Water Diplomacy project)³⁸ and journalists³⁹. SIWI has actively included young people in global events, but these spaces are often one-off opportunities with no follow-up which limit the possibility to see the effects of the youth participation. There is some evidence of more active youth engagement in water governance processes in Paraguay.

3.4 EFFECTIVENESS: EQ5, MEL SYSTEM

EQ 5: Has the MEL system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

³⁵ Outcome harvesting workshop in Stockholm, Nov. 2023.

³⁶ 4 KIIs with SIWI PM, partners and beneficiaries, Nov. 2023.

³⁷ Outcome harvesting workshop in Stockholm, Nov. 2023.

³⁸ Outcome harvesting workshop in Stockholm, Nov. 2023.

³⁹ Shared Waters Partnership: Annual Narrative Report, July 2019 – June 2020.

Finding # 12: Since 2018, SIWI has resolved many of the initial challenges staff encountered using the organisation’s Outcome Mapping System. The system is now reasonably robust and covers most reporting areas needed to produce high quality monitoring reports and track what SIWI has been achieving with donor funds. However, SIWI’s reports to Sida on its Strategy implementation do not yet reflect this system robustness and has not led to coherent, clear, and useful reporting. It is still difficult to obtain specific data about numbers and types of beneficiaries.

SIWI adopted an outcome mapping measurement system during its 2013-2017 Strategy period. In its initial years of operation, SIWI staff found it difficult to use and were not entering the relevant data consistently or with the same understanding. This has changed for the better, in part due to Sida paying for a consultant to assist SIWI improve this system and, in part, due to internal staff training. To establish a common, institution wide reporting system to be used by all staff, SIWI purchased a software provided by “NGO Online”. SIWI has adapted this system to fit its own needs and refers to it as the Siwilization system. It requires programme staff to input and report on multiple categories of outcomes, all of which are linked within the system. This includes baseline data identified through use of programme level force field analysis and programme/project specific indicators.

The evaluation team reviewed Siwilization summary outputs and outcomes information for the evaluation programmes sample. SIWI also provided the team with an overview of the Siwilization site and access to related training materials. While the team noted that the baseline data and indicators were sometimes a bit too general in nature (i.e., not specific enough to ensure clear change measurement), overall, the system appeared to be sound. It was, however, difficult to find specific data on numbers of beneficiaries without really having to hunt through the system. Nevertheless, it was encouraging to see that baselines and indicators are a feature of Siwilization. Additionally, unlike in 2017, the problem no longer lies with the software or a lack of staff understanding of how to use Outcome Mapping.

Staff have access to related Results Based Management training online and complement the online reporting system by holding regular meetings to discuss the status of programme results, any changes in approaches needed and to reflect on the work overall. They expressed great satisfaction with these reflection meetings and find them useful. Most SIWI staff interviewed find the Siwilization system easy to use although four indicated that it could be more user-friendly.⁴⁰ Most also found that End of Mission reports required provided a valuable source of lessons learned across the organisation.

All SIWI Programme Managers interviewed were able to clearly identify the different results of the programmes/projects for which they were directly responsible.⁴¹ They were also able to translate the data they entered into reports for donors other than Sida. This often requires them to use different reporting formats other than outcome mapping and adapt the latter into the formats and approaches required by these donors. One department, however, recently (December 2023) reported that since most of their funding comes from donors other than Sida they do not actually input the outcomes from these programmes into the centralised Siwilization system. This means that the Siwilization system is not capturing all the outcomes to which the organisation has contributed although there is a record of them in separate donor reports. It is also despite the fact that SIWI’s interim CEO has requested that all programme reporting be entered into the Siwilization system.

⁴⁰ KIIs with 18 SIWI Programme Managers, Nov. 2023.

⁴¹ KIIs with 18 SIWI Programme Managers, Nov. 2023.

The evaluation team interviewed 11 representatives from donors, with six from Sida and the MFA. Of the five other donor representatives, four were happy with SIWI's reporting and responsiveness to any problems encountered. One non-Swedish donor indicated that they encountered similar challenges to those that five of the six Sida and MFA representatives had with SIWI results reports. The one Swedish donor representative that had no issues with SIWI reports does not directly oversee any SIWI programming. Discounting that one Swedish donor representative **this represents a 50% dissatisfaction rate from donor representatives interviewed overall and a 100% dissatisfaction rate for Swedish donor representatives.**

Finding #13: Sida and the MFA find that SIWI's progress reports lack clarity on results, with a strong activity and outputs focus and less on medium- and longer-term outcomes. Furthermore, SIWI reports outcomes funded by other donors as their own and do not provide adequate transparency of how SIWI has spent Swedish Official Development Assistance. These ongoing challenges have led to a serious erosion of Swedish donor trust in SIWI over the past five years.

A review of SIWI annual narrative reports on implementation of the 2018-2023 Strategy confirmed the finding above. The team also observed that the report on Strategy implementation done under the PS modality seldom included any quantitative data about the beneficiaries associated with specific events or programmes on which SIWI reports. The 2021 annual report mentioned of the hiring of an additional staff person through Strategy funding to help mobilise donor resources from the Strategy budget and the evaluation found that SIWI uses the Strategy to covers 10% of the time expended by SIWI's Gender Focal Point on coordinating gender mainstreaming activities across the organisation.

That same report, however, indicates that some of the resources mobilised through the Strategy included a "no cost extension for UNICEF MENA" under SIWI's Strategy Objective 1: Sustainable Management of Shared Water Resources.⁴² There seems to be some confusion here regarding the definition of resource mobilisation. **A no-cost extension does not constitute the mobilisation of resources**, but rather indicates a delay in the use of existing funding. SIWI's interpretation is that the no-cost extension gave them more time to engage in additional activities within the funding ceiling originally established under their agreement with UNICEF and thus represented additional funds expended even if not a new budget allocation.

While the 2017 evaluation suggested that SIWI needed to report against its new Strategy objectives, it also recommended that SIWI report on implementation of the specific programming funded. Again, looking at the 2021 annual report as an example, the team found it includes multiple mentions of results associated with the A4S programme, but they are scattered throughout the report under different Strategy objectives and generally do not include quantified results. For this and other programmes the tendency in these annual reports is for SIWI to focus on reporting on activities and context in a predominantly narrative format. This makes it difficult for Sida to gain an overview of what are all the outcomes of each programme funded with Strategy support. SIWI's four main objectives are broad in scope and SIWI has struggled to find a clear and coherent way to show that the diverse programmes funded through the Strategy has contributed to their achievement. The evaluation team review found that they clearly had done so but in the formal reports this is challenging to ascertain.

The team also reviewed the most recent individual programme annual narrative reports. A trend the team observed was that results reported as contributing to programme outcome objectives were rarely measured or quantified, e.g., "Enhanced opportunities to decrease regional tensions and promote dialogue/joint action"; "Expanded the critical mass of people that will proactively

⁴² SIWI, 2022, 2021 Results Report on ImprovWG & Use of Sida PS, p. 14.

work together.”⁴³ The reporting on outcomes was also mixed with outputs and focused on what was provided instead of what changed or achieved, e.g., “In addition to *providing* in depth knowledge on the Public Private Partnership concept, *the training also offered opportunities* for government officials from the different countries to strengthen informal networks and address common water infrastructure investment interest on a sub-basin level”.⁴⁴ The results reporting chapter often also describes the context and justifications for why SIWI is doing what it does. This distracts the reader from what was really achieved.

In other instances, the reports assumed the outcomes that might happen from training delivery instead of measuring and documenting the actual changes that occurred, e.g., “The event *enhanced understanding* of how it is possible to accelerate achievement of the SDGs by implementing S2S management, due to its holistic, participatory, and collaborative principles”.⁴⁵ In this example, it is not clear who thinks the understanding was enhanced and for whom and if there was any evidence or indicators to assess if these changes took place. There is also a focus on processes rather than on the results of these processes, e.g., “The *participants were introduced* to the components of S2S management, and *they shared* their perspectives about the environmental challenges their countries face and *how they envisage* S2S contributing to addressing them”.⁴⁶

Interviews with four representatives from Sida and the MFA and two other donors indicated the way SIWI reports on outcomes leaves them with the impression that SIWI may be engaged in double reporting, i.e., claiming outcomes funded by one donor in their reports to other donors for related programmes. Two KIs indicated that they had evidence of this, noting however, that where there are multiple funders there is some potential for overlap in reporting if this is not reported clearly. For some donors the impression that this lack of clarity on which donors are funding which outcomes has raised serious questions and doubts about the transparency of SIWI’s reporting.⁴⁷ One example of this, amongst several the team found, is that SIWI claimed an outcome in one programme that was 100% generated by the NGO partner in the programme as a result of actions it took a year before SIWI had joined the programme.⁴⁸

At the same time, SIWI has many results it can rightly and clearly claim as its own. In situations with multiple donors usually each donor supports a different part of the initiative. Thus, it should be possible for SIWI to report on just those parts to which specific donors have contributed. In the rarer cases where the funds are intermingled, it still should be possible to indicate that the outcomes cited were funded by multiple donors and what percentage of the funding came from Sida and which from other donors. This would provide an indication of the extent of SIWI’s/Sida’s contribution to the outcomes credited.

Sida noted implementation of SIWI’s strategy was also behind schedule with considerable shortfalls in disbursements in recent years. The latter has added to SIWI’s implementation costs due to the staff costs associated with programme delays. Sida asked the team to see if they could find out why as this was not clear from SIWI’s reports. Some of this delay is explainable due to COVID-19. However, when asked about any results not achieved on time SIWI staff mainly cited examples that would have had minimal impacts on the Strategy implementation.⁴⁹ Otherwise, five SIWI Programme Managers interviewed indicated the main source of the

⁴³ SWP Annual Narrative Report, July 2019 – June 2020, page 22.

⁴⁴ SWP Annual Narrative Report, July 2019 – June 2020, page 22.

⁴⁵ 2022 Progress Report - Action Platform for Source-to-Sea Management, page 13.

⁴⁶ 2022 Progress Report - Action Platform for Source-to-Sea Management, pages 13-14.

⁴⁷ KIIs with 5 Swedish donors and an additional 2 non-Swedish donors, November 2023.

⁴⁸ Programme document review and 3 KIIs with programme implementing partners.

⁴⁹ 18 KIIs with SIWI Programme Managers, Nov. 2023.

programming implementation shortfalls lay with the challenges of working in countries operating in conflict and post-conflict situations.⁵⁰

Finding #14: SIWI's Board approved SIWI's 2018-2023 Strategy and its subsequent evolution into programme support without there being either clear performance indicators or an agreed performance reporting format. SIWI and Sida have struggled ever since to find a reporting format that works well for both organisations.

Neither the original Strategy nor Programme Support document have indicators. Therefore, SIWI reports on the overall achievement of its Strategy objectives. This is one factor which has contributed to SIWI's piecemeal presentation of outcomes in its annual reports. It also means when the office of SIWI's Chief Operating Officer prepares annual narrative reports to Sida it pulls out disparate outcomes from the programmes the Strategy supports from the Siwilization system to showcase the outcomes of the four Strategy objectives. Outputs and outcomes are aggregated and presented by these objectives and not by programme. What SIWI reports to Sida thus comes across as incoherent reporting which is difficult to follow. It also leaves SIWI with an unclear overview of its own work. It is notable that participants in the evaluation Outcome Harvesting workshops indicated surprise and pride at what SIWI has been able to achieve once they themselves were able to see this overview through the workshop process. SIWI staff indicated that it was Sida that requested SIWI report on their outcomes by Strategy objectives, and not by programme and that they were criticised in their 2021 report for reporting per program.⁵¹ The evaluation team found that the 2021 report was structured around reporting by Strategy objectives as opposed to by specific programmes and was therefore puzzled by this observation.

To some extent the reporting problem with SIWI stems from the fact that Sida does not require a special reporting format. This flexibility is part of a partnership approach based on trust, particularly in Sida's core support modality. A part of this trust means that Sida allows the partner funded to select its own reporting formats and approaches, an approach which is aligned with the principles of the aid effectiveness agenda. This is in recognition that each organisation has their own systems and that to impose these from above can be incompatible with an organisation's existing systems.

The problem is not with the system *per se* but with SIWI's reporting format, which does not adequately draw upon its centralised outcome mapping system and provide concrete information on specific programme outcomes funded through the Strategy. In keeping with core funding support practices, Sida left reporting requirements open-ended from the 2018 - 2023 Strategy's inception. This was even though there had already been serious reporting challenges during the 2013-2017 Strategy. Sida PMs had been hopeful that this situation would improve with the support of the consultant Sida funded to help fix the new reporting system's problems and subsequently, with the switch to the Programme Support funding modality.

SIWI management staff indicated that they had been under the impression that Sida did not have a major problem with their reporting and that things have been improving, particularly since April 2023.⁵² A factor that may have contributed to this perception is that there has been a high level of turnover at SIWI over the past few years (in the range of 25%).⁵³ There has also

⁵⁰ SIWI staff to this question in the first draft evaluation response matrix was that there were programmatic disruptions due to political conflicts in Sudan, Ethiopia, Afghanistan and Somalia and that politically, the threat of diverting Swedish aid to support Ukrainian refugees also led to serious interruptions to SIWI's implementation of its Strategy.

⁵¹ SIWI staff feedback on draft report.

⁵² SIWI Feedback from comments matrix, first draft of Evaluation of SIWI's 2018-2023 Strategy. 2024.

⁵³ SIWI, 2022 Narrative Report – Implementation of SIWI 2018-2023 Strategy

been regular turnover at Sida due to staff postings and parental leave. Staff turnover issues have meant that there have been breaks in staff continuity and some of the serious challenges related to reporting issues may not have been passed onto SIWI staff by their predecessors or communicated as clearly to SIWI by Sida as they needed to be as a result. However, despite any changes in personnel Sida has consistently returned narrative and financial reports to SIWI for multiple rounds of clarifications and made formal note of these in annual meeting minutes.

Five of six Sida representatives interviewed mentioned the high transaction costs of working with SIWI due to these reporting challenges. They also indicated these are much higher than for most other NGOs Sida funds. These transaction costs consist of time spent repeatedly asking for more detailed programme and financial information that SIWI has not made clear in its reports. It has also led to Sida requesting additional financial and other types of audits. Additionally, Sida staff noted the immense amounts of stress that this constant back and forth process has caused its own staff. SIWI staff are also feeling the pressure and fatigue of being audited frequently and some question the need to do so at such a detailed level.⁵⁴

SIWI followed up on the 2017 evaluation recommendation to develop annual action plans to accompany its Strategy. However, it took several years for Sida and SIWI to find an acceptable format for these action plans. SIWI staff also indicated that SIWI programmes used ToC, outcome objectives, and the Rapid Outcome Mapping Approach (ROMA) in their programme plans, but that the system was not rolled out enough to allow SIWI-wide collection of those plans at the time of the evaluation. Thus, they noted that their result reports to Sida mentioned intended outcomes, and the baselines although not yet in a satisfactory format. These lengthy negotiations and feedback processes represent part of the high transaction cost of working with SIWI. The evaluation team notes that SIWI has thus far needed over seven years to strengthen the different weaknesses in their reporting systems and still has not resolved these.

These high transaction costs and loss of donor trust are serious issues that have already led to SIWI losing Sida funding. The following timeline shows that this is becoming an increasingly serious problem.

2017 - 2020 - SIWI was core funded. In 2020, this was stopped.

2020 - Sida switched to programme support of for the balance of the implementation of SIWI's 2018 to 2023 Strategy to provide Sida with better oversight of SIWI's work.

2018 - Sida stopped funding SIWI's work in Tigris Euphrates in part due to the political misrepresentation issues previously mentioned in the dialogue facilitation section in EQ3 .

2022 - Phase 2 of EWLGP was not funded due to "loss of trust" in SIWI, but Sida continued to fund other water partners in Ethiopia.

2023 – Sida has not agreed to fund an additional phase of the GoWater funding.

One KI at Sida indicated that Sida will not continue funding SIWI until SIWI can show the donor they have reorganised themselves and work more effectively. Other Sida KIs also noted that there is need for more transparency and effective dialogue. Another Sida KI indicated that SIWI has completely lost their trust and another Swedish donor that they are only continuing to fund small portions of SIWI programming due to concerns about possible negative publicity.

⁵⁴ KIIs with 5 Sida Programme Managers and 3 SIWI Programme Managers, Nov. 2023.

3.5 EFFECTIVENESS: EQ2, HRBA

EQ 2: Has the strategy been implemented in accordance with poor people's perspectives and a Human Rights Based Approach? For example, have rights holders and other target groups been participating in project planning, implementation and follow up?

Finding #15: While SIWI has a good system for HRBA integration with an explicit commitment to the approach, related tools, and time allocated for a focal point, SIWI has not systematically applied HRBA in its planning, implementation, or programme monitoring.

The application for programme support⁵⁵ refers extensively to HRBA and its different principles. The programme document exemplifies the approach both in reference to programmes and advocacy and coordination initiatives. The commitment to HRBA is framed both through the expected outcomes and through applied working methods, including mechanisms for internal accountability and transparency, plus necessary capacities among staff. The PS application to Sida has a transformative ambition.

However, HRBA is unevenly integrated in the design and reporting of the programmes reviewed. While there are good examples⁵⁶ some programmes have weak or no integration of HRBA⁵⁷. Despite mandatory internal trainings, HRBA tools and a HRBA focal point (10 percent of full position), the application of the approach is not consistent either in planning, implementation, or monitoring.⁵⁸

HRBA is both about achieving human rights as an end goal and the process leading to the overall goal, i.e., putting rights-based principles into practice. HRBA aims to lead to the empowerment of rights holder and duty bearers fulfilling their commitments. SIWI and Sida highlight the HRBA principles of

- *accountability,*
- *transparency/access to information,*
- *participation,*
- *non-discrimination, and*
- *linkage to human rights instruments*

Accountability and transparency claims on duty-bearers are well captured in practically all programmes reviewed, though not always explicit in HRBA language. This focus on accountability of duty bearers was expected due to SIWI's strong emphasis on good governance. There is also a relatively good linkage to human rights instruments in several programmes,⁵⁹ rights holders' access to information and discussion on the principle of participation. The latter is however mostly limited to participation of different layers of duty bearers in programme activities, and less on rights holders' or duty bearers' influencing the programme design or actively engaging in the programme development.

HRBA is explicitly linked to a multidimensional poverty analysis and gender equality in the programme application, and as such, SIWI's HRBA is implicitly linked to the perspectives of

⁵⁵ Programme support application, revised version, 26 October 2020.

⁵⁶ E.g., Water Integrity in Latin America programme, Water-Smart Forest & Landscape Restoration (2018-2023), Shared Waters Partnership: Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP) (2021-2023).

⁵⁷ E.g., Transforming Investments in Rainfed Agriculture in Africa (TIARA) (2020-2023, no HRBA. Accountability for Sustainability (2022-2025), Source to Sea (2018-2023), both only addressing one HRBA principle: accountability and participation respectively.

⁵⁸ When there is data in reports it is mainly about participatory approaches, and programme specific accountability mechanisms.

⁵⁹ Which means that human rights claims in programmes are rooted in national, regional, and/or global commitments made by the targeted states.

people living in poverty. Access to water and good water governance are related to as issues of both poverty, equality and sustainability. However, the related power analysis is less visible in specific programme documents. In addition, most of the programmes in the sample focus on the role of duty bearers and not on the voice and influence of rights holders living in multidimensional poverty and their perspectives on water management. Having said that the focus on governance and accountability, as well as on citizens' access to information in some of the reviewed programmes, indicate that there is good awareness on power relations. However, different rights holders as actors are seldom discussed and often referred to as "vulnerable" groups. The rights holder group that stands out are Indigenous Peoples. The recent emphasis on their voice and agency in high level fora is aligned with a HRBA. This is also true for the focus on women in water diplomacy, though they mainly participate in their function as public servants, leaders, and experts, and not as representing women rights holders.

3.6 EFFECTIVENESS: EQ6, GENDER EQUALITY RESULTS & MAINSTREAMING

EQ 6: Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow-up?

Finding #16: SIWI has a systematic internal approach to integrate cross-cutting issues in its programming and events but primarily takes an increased participation approach to Gender Equality. It does not yet have the staff capacity to work more consistently towards integrating gender transformative change in its programming.

SIWI's gender mainstreaming system includes the appointment of an overall institutional Gender Focal Point whose job it is to coordinate SIWI's gender mainstreaming efforts. This role is added to the person's existing full-time job, but they are allocated 10% of their time to work on coordinating institutional gender issues. This 10% portion is covered by the funding Sida provides for the 2018-2023 Strategy. There are also limited additional funds provided sometimes to further support this role by other donors. The institutional Gender Focal Point is recruited through an application process as opposed to being a volunteer or an appointee. This represents a professionalisation of this role which raises the credibility and authority of this role. However, since the primary role for the Gender Focal Point is coordination recruitment/hiring for this role does not require a background in gender equality or mainstreaming.

The SIWI Gender Focal Point is assisted by a Gender Champion in each of SIWI's seven departments. They meet monthly to discuss ways SIWI can mainstream gender in the organisation's programming and to coordinate updates on the status of diverse SIWI initiatives to promote increased gender equality.

All SIWI staff are also expected to report on cross-cutting issues/results in SIWI's outcome mapping system for all projects and programmes. Additionally, there is a checklist on how to maintain gender in programming and events and guidance outlining key gender equality issues related to Water Governance. As a part of this SIWI actively seeks to increase women's and youth participation in the WG processes and events it facilitates and has had some successes in this regard regarding achieving better gender balances in them. However, there is no systematic follow-up to determine if the GE issues raised through the WG processes are subsequently included in related government action plans or how women's participation influences the agendas and follow-up action in SIWI-organised events.

SIWI has a systematic process to ensure more balanced representation of women in events it organises such as World Water Week. This involves having established a gold standard in which all panels should ideally have 40% female panellists. SIWI has also set up a database of

women experts in the water sector that diverse organisations can use to help identify qualified women as panellists. SIWI staff noted that over time women water experts no longer wait to be contacted through this database but are also now nominating themselves to serve as event panellists (especially for World Water Week). SIWI however, has found that some multilateral partners still tend not to include women panellists in their WWW proposals and decided this year to no longer accept applications that do not meet this gold standard. It is too soon however, to know if this shift in policy will lead to increased women's participation in future WWWs.

In general, the team also did not find much evidence that SIWI addressed gender equality much beyond the basic participation level (with some smaller exceptions such as the Women in Water Diplomacy initiative previously mentioned). A review of sample gender analyses SIWI sent to showcase how the organisation uses their guidelines to inform programme design yielded mixed results. On the one hand, it was clear that SIWI staff working on WASHBAT processes had spent time and thought to systematically work with WASHBAT participants to assess how and where in this process they should consider and mainstream gender. On the other, the approaches highlighted through this process concentrated on increased participation and on ensuring that these interventions are carried out in a way that *“protect the particularly vulnerable population such as boys, girls, and women from exposure to risk”*.⁶⁰ This included assessments of issues related to gender-based violence and mention of a gender-related risk associated with climate change. While a vulnerability and risk reduction approach tends to focus on women, girls, boys and men as victims both these points still reflect positive that moves forward beyond basic inclusion. In general, the overall gender analysis remained basic.

The gender mainstreaming section of the Concept Note for the Ethiopia Water and Landscape Governance Programme – Phase Two was shared as a good example of how SIWI addresses gender in its cross-cutting issues section. However, it does not include a gender analysis beyond stating that *“Women play an important role in agriculture, making up between 50 – 80% of the African agriculture labour force [and that... women stand out as pillars of economic growth especially in agriculture and agribusiness which dominates rural economies throughout Africa.”*⁶¹ There was no analysis of what gender-based barriers African women involved in agriculture face and the solutions provided focused primarily on providing gender mainstreaming training to partners to hopefully facilitate increased employment opportunities for women in the agricultural sector. The detailed review the team conducted of programme documents and progress reports to assess SIWI's approaches to HRBA also observed limited gender analysis and a primary focus on working to achieve gender-balanced participation.

SIWI does not have any Gender Advisors/Experts on staff whose job it is to provide technical advice and support to SIWI staff on how to move from participation to a higher level of gender equality results or provide technical support related to gender mainstreaming. The evaluation team was told by SIWI that while several SIWI donors have suggested that SIWI needs to do this, SIWI is too small an organisation for this to be feasible. This appeared to the team to be an odd rationale. SIWI has approximately 100 staff and the team is aware of many much smaller non-profit organisations that have found cost effective ways of funding full time gender expertise on their staff. Rather the team took this observation as one indicator that SIWI staff do not fully understand what is required to move beyond basic participation approaches to gender equality or that there is a need to do so.

⁶⁰ SIWI, 2023, Analysis of Gender Inclusion in WASHBATS, UNICEF, UNDP, Water Governance Facility.

⁶¹ SIWI, Concept Note - Ethiopia Water and Landscape Governance Programme – Phase Two, p. 15.

3.7 SUSTAINABILITY: EQ7

EQ 7: Which SIWI Strategy and Sida Programme Support results are likely to be maintained in the medium to long term and what are the contributing factors to this sustainability? Which ones are not, and why not?

3.7.1 Sustainability of Programme Results

Finding #17: SIWI's programme approaches all contain elements that will contribute to their sustainability. This was particularly notable in SIWI's platform development models and capacity development approaches. However, both these approaches could also benefit from a strengthened approach to sustainability.

Knowledge Generation: SIWI's knowledge products set up as technical manuals and tools have considerable potential to be sustainable as these remain as concrete resources stakeholders and partners can use, e.g., SIWI has also been working with CAP-NET⁶² to post learning modules outlining the UNICEF/SIWI WASHREG process online in both English and Spanish. This makes these capacity development and dialogue facilitation processes available to a wider group of government and other stakeholders than is possible through in-person workshops. It also makes access more affordable since SIWI facilitation processes tend to be both labour-intensive and expensive. The strong engagement approach the in-person workshops offer adds to their sustainability but also limits their availability to those governments that can afford these processes, or which diverse donors can fund.

SIWI posts other **knowledge products** it has produced online which contributes to their reach and indirectly to the sustainability and knock-on effect of these products. SIWI has also developed several partnerships with large-scale implementing organisations such as UNICEF to join forces to promote learning and knowledge on key areas related to WG. For UNICEF this has included working to help it implement a senior management decision to integrate climate change resilience into its approaches to WASH globally. SIWI has worked closely with UNICEF to strengthen the knowledge of UNICEF WASH personnel related to climate change resilience. The sustainability of this knowledge is dependent upon the rate of UNICEF staff turnover and the institutionalisation of these new approaches into their WASH programming.

Capacity Development & Dialogue Facilitation & Advocacy: SIWI has a well thought out approach to its WG-related capacity development in diverse areas that include features that contribute to related outcome sustainability. This includes the fact that most of these processes are demand-driven and based on requests from diverse national or lower-level government entities. Thus, SIWI only engages in this training once a government has already expressed a strong commitment to making changes in its WG approaches. These processes also use enhanced dialogue facilitation as a method to facilitate change. They do this by helping to establish ongoing coordinating bodies within the governments whose role it will be to continue the WG in question following the workshop processes. SIWI also uses the participatory approaches previously mentioned which serve to engage main stakeholder groups in the change process. This serves to both provide a space for previously under-represented groups/actors to take part in dialogue facilitation and learning and to have some of their interests and needs represented in the costed action plans developed through the workshop series. In turn, that creates greater ownership of these action plans by different stakeholder groups and generates some degree of increased accountability for the government decision-makers that will be implementing these action plans. All these factors contribute to their sustainability.

⁶² UNDP's global network for capacity development in sustainable water management.

The main critique the team encountered was donor/implementing partner observations that SIWI's WG facilitation processes do not include mechanisms to ensure on-going follow-up to help governments, etc. implement related action plans or monitor their implementation beyond the time frame of the workshop process.⁶³ Sustainability of SIWI's capacity development approach therefore, is partially dependent upon there being a longer-term implementing partner in place to provide these kinds of follow-up and support services. Otherwise SIWI's follow-up support is ad hoc in nature and depends upon whether the governments in question either ask for SIWI's assistance mobilising additional resources to implement their action plans or can cover the cost of hiring SIWI or its implementing partner to do so.

Platform Development: SIWI has been able to use its leverage and convening powers to create platforms around emerging and important water sector issues. It also has been able to attract key stakeholders to become platform members. These platforms have high upfront cost spread over time, lasting up to 2-3 years. After that membership and interest seems to increase rapidly. Thus far SIWI has shouldered the burden of finding this start up financing by itself. After that, platforms have continuing operating and management costs. Without a source of funding to cover those costs then these platforms cannot continue.

3.7.2 Institutional Sustainability

Finding #18: SIWI is currently facing several sustainability crises at the institutional level: i) its legal status as a foundation; ii) loss of trust on the part of its Swedish donors; iii) operating in a rapidly shrinking funding environment and where the Swedish government has recently allocated less priority to the water sector than in the past; iv) a tax error which has put SIWI into a deficit funding situation, and v) high operating costs.

Legal Status:⁶⁴ SIWI's legal status has been under discussion since 2019. That discussion intensified in 2023. The City of Stockholm established the Stockholm Water Foundation (SWF) through which SIWI operates to support activities related to the international water prizes SIWI awards. Since 2008, the SWF board has also been the board of SIWI. However, over the years, SIWI's international activities have expanded in a way that it would benefit from another type of governance than what the SWF board can provide. Therefore, the board of SWF/SIWI, together with representatives of all founders involved (the City of Stockholm, the Swedish Government, industry), have initiated a process to find a structure that provides SIWI with a stronger governance model in the future. This work will be finished during 2024. However, for 2018-2023 Strategy period. This left SIWI in a situation in which approximately 75% of its work has not had adequate board oversight for some years. Changing this will take time to establish but affords SIWI with the opportunity to rethink how it should be operating and its overall focus and approach. Sida's global agreement with SIWI has been extended through a no-cost extension until June 30th, 2024, with monthly disbursements, to reduce the fiduciary risk for Sida. A possible new long-term agreement - including its scope and funding levels - would depend on several factors, including the findings of this evaluation, and the direction of a new SIWI business plan or strategy.

Swedish donor loss of trust: SIWI's relationship with Sida has seriously deteriorated over the past five years. This loss of trust is now at the point where some Sida units either outright refuse to fund future SIWI programming or are reluctant to do so without stringent and seriously improved results and financial reporting conditions. Sida conducted formal audits of SIWI's internal control and procurement for services and goods in 2022 and 2023. While these audits noted that the internal systems for control and follow-up generally was satisfactory, they have had a high cost for both parties. For Sida, there is the ongoing stress, time and money required

⁶³ 24 KIIs with SIWI PMs, donors/implementing partners, Nov. 2023.

⁶⁴ 4 KIIs with Swedish donors and SIWI staff, Nov – Dec. 2023.

to track how SIWI has spent its core support and programme support funds. For SIWI, the additional time spent overseeing and providing the information needed for these audits has also taken its toll on staff. At the same time, there still does not appear to be a good understanding among some SIWI senior management as to why Sida needs to have a clear trail of receipts and accountability even at the workshop level.⁶⁵ In addition, SIWI appears to be under the impression that their relationship with Sida has improved, particularly since April 2023. They were apparently unaware of the extent of this loss of trust, noting that Sida recognised SIWI's improvements during 2022 and 2023.⁶⁶ These include the actions it has taken to replace its CEO and strengthen its focus on resource mobilisation.

However, loss of trust is the primary reason Sida made the decision to switch from core support to programme support mid-strategy. In addition, other Sida funding opportunities for SIWI has dried up steadily or been lost even while Sida has funded a few other SIWI initiatives. Some Sida PMs noted that these ongoing issues and the difficulties they have had in getting SIWI to change how it operates have led to their giving funding originally earmarked for SIWI to other partners. Notably when this trust issue was mentioned to SIWI staff a standard response from some SIWI management was to state SIWI's work is unique and much needed and to insist that Sida still trusts SIWI as it continues to fund its programming and has not critiqued it formally in Sida memos and annual meeting notes. However, a review of annual meeting minutes in 2021, for example, included a list of 12 action points for SIWI to revise. It also included a statement indicating that SIWI was in breach of the PS agreement as it had made budget changes without informing Sida. The minutes also noted that PS is less flexible than core support and that major changes require approval by Sida prior to their implementation.⁶⁷

Shrinking Funding Environment: Priorities of Swedish development aid have shifted since the 2022 change of government. Consequently, funding in some country contexts and some thematic areas have been downsized, while others (e.g. support to Ukraine) have increased. In this funding environment, it would not be realistic for SIWI to assume everything will be business as usual regarding future Swedish government funding. While SIWI is relatively well placed to expand funding through some of its other donors for its demand-driven work, particularly in Latin America, one factor that has given SIWI extra credibility with national governments and implementing partners is that it is perceived to come with Swedish development cooperation funds.⁶⁸ Could SIWI maintain that same level of credibility should Sida reduce its funding to them? In the current Swedish funding climate, it would also be unrealistic for SIWI not to plan for reduced funding in general.

High Operational Costs SIWI also has high operating costs. The team received feedback from some implementing partners/donors that SIWI's charge out rates, even at the regional level where they are lower than in Sweden, are significantly higher than those of other NGOs working in the water sector. Two donor/implementing partners also indicated that there is some work that they would have preferred to direct to SIWI which they recently decided to contract

⁶⁵ 4 KIIs with SIWI Senior Managers, Nov. 2023.

⁶⁶ SIWI management response in evaluation matrix for first draft of report.

⁶⁷ Review of Implementation of SIWI 2018-2023 Strategy Annual meeting minutes, 2021. Sida also requested SIWI to update the annual report 2020 with a list of actions, among them: To include an analysis of SIWI's overall added value and what changes (outcomes) SIWI has contributed to during the core support; integrate cross-cutting issues in the narrative; analyse the transition from previous reporting model to the current RBM and outcome mapping, what worked well, what lessons have been made; better discuss the different areas for the system audit as well clearly describe with recommendations have been managed and closed and what is still pending. Sida regretted that the communication had not been transparent despite several check-ins by Sida during the Covid-19 pandemic which could have been used for sharing information on desired changes in the plans.

⁶⁸ 6 KIIs with SIWI Programme Managers, donors and implementing partners, Nov. 2023.

to other water sector NGOs due to SIWI's high operating costs.⁶⁹ This reality also negatively affects SIWI's ability to deliver programming and maintain its current staff levels.

All these factors call into question how SIWI is going to tackle its institutional sustainability issues to enable them to continue the more successful components of their programming. They all present serious reputational and programme sustainability risks.

⁶⁹ 2 KIIs with donors/implementing partners

4 Evaluative Conclusions

4.1.1 Relevance

SIWI has four consistent programme approaches it uses to work towards achieving its core mandate of improved water governance: Platform Development; Dialogue Facilitation; Capacity Development; and Knowledge Generation. These are often inter-linked within the diverse programmes delivered and all four make sense in the contexts used. All four also generally address priority needs identified by diverse stakeholders and beneficiaries. They, however, usually focus at higher levels of WG with multiple levels of government. While SIWI actively works to be inclusive of rural and community water service providers with the ultimate aim of benefitting the general public, most of their work does not immediately directly benefit the public. Instead, it works to provide indirect benefits to the public over time by working to improve people's access to water services through better regulation, introducing anti-corruption and integrity measures and diagnostic tools that facilitate improved water governance overall and claims on duty bearers' accountability (also see HRBA section below). This also makes sense as governance change requires longer-term approaches to measuring impact. At the global level SIWI works to influence global water policy and practices and to convene and open spaces for high level discussions on key issues. These also reflect longer term and more indirect approaches to poverty reduction.

4.1.2 Effectiveness – Programming Models & Reporting

The evaluation team felt as if they were evaluating two different organisations: one where the donors were satisfied with the programming work SIWI is doing and even considering expanding their support to include a long-term framework agreement with SIWI. The other is the one where the donors, predominantly but not exclusively Swedish, are so dissatisfied they no longer consider SIWI to be a trusted partner and are looking for ways to effectively limit or exit this long-term institutional relationship. The team tried to analyse what the difference was in these two strongly contrasting viewpoints and sets of experience.

The donors that were satisfied with SIWI funded distinct programmes or projects and SIWI was reporting on one programme and not an overarching Strategy with broad objectives. The donors concerned also often provided clear reporting and financial accountability formats and processes SIWI had to follow based on traditional logframe and performance measurement frameworks. SIWI staff were also able to effectively use their outcome mapping system to meet these external reporting requirements. The SIWI staff directly responsible for these programmes also developed the related results reports as opposed to this being done through a central authority based on SIWI's centralised outcome mapping system. Their closer and direct relationship with the programmes/projects facilitated better quality reporting even when those programmes were more complex in nature.

The other difference the evaluation team found was that the satisfied donors supported programming where there were well established implementing partners with a strong field presence such as with UNICEF, the NGOs involved in the TIARA programme and the partnership with the GIZ to pilot SIWI's Water Smart Forest and Landscape Restoration Tool. SIWI's contribution to these programmes lies more in the provision of technical expertise to these partners and the relevant stakeholders. The other implementation model that was effective involved SIWI joining in an equal partnership with other well-established NGOs in a consortium. This was the case with the Water Integrity in Latin America programme. All

members of this consortium bring valuable expertise and experience to the table and communicate regularly about how to divide up the work. Both the donor concerned (not Swedish) and institutional beneficiaries expressed strong satisfaction with this programme. SIWI's recent work with bringing Indigenous Peoples to global water processes has also brought good results in a short period of time. In this approach SIWI's agility and technical recognition complemented UNESCO and UNDP networks and priorities well.

Sida and SIWI however, have not been able to work out an effective way for SIWI to report on programme results and expenditures. This goes across the board for all Sida-funded programmes SIWI implements and not just for those funded through SIWI's Strategy. Thus, this is not just an issue of it being difficult to find an effective way to report on broad Strategy objectives. SIWI has consistently failed to find a way to report on these in ways that are clear, transparent, and useful, leaving Sida in the dark as to what their funding of SIWI's Strategy and programmes have achieved. Annual narrative reporting rarely presents quantified results, and when this is done, often this is too activity and process-focused. It also assumes results, instead of measuring and documenting change. SIWI has also not been able to find a workable way forward on this reporting issue despite having been funded by Sida for over ten years.

4.1.3 Effectiveness – Cross Cutting Issues & HRBA

SIWI is strongly committed to mainstreaming gender and thinks it is doing a good job but appears to be stuck at fostering change at the basic participation level. There are clear institutional processes in place to mainstream gender. However, there does not appear to be a cross-institutional understanding of what gender transformative change means within the context of Water Governance. Its gender analysis processes are also not yet that rigorous and appeared to be applied unevenly.

SIWI also appears to apply a similar approach to youth empowerment issues and HRBA. There are clear institutional processes in place to foster increased youth participation and integrate HRBA in programming. This, in principle, also increases relevance, as does the strong focus in most SIWI programmes on duty bearers' accountability. However, SIWI has applied HRBA unevenly with no real evidence of systematic approaches. While SIWI has some good successes in each area and in the inclusion of Indigenous Peoples in global fora, these do not reflect their overall level of success in integrating cross cutting issues and HRBA. These efforts do however, provide a good foundation from which SIWI could strengthen its overall approach to these issues and approaches.

The perspectives of people living in poverty are reflected through the multidimensional poverty analysis in the Programme support application (2020) and are embedded in the programmes through the focus on good governance and access to information by end beneficiaries. However, SIWI's programme designs do not particularly target rights holders' inclusiveness and the different voices and views of people living in poverty. The team concludes that despite this, the perspectives of people living in poverty are sufficiently integrated in the overall programme designs.

4.1.4 Sustainability: Results

SIWI has a mixed track record regarding continuity of programme results. Many are heavily dependent upon continued donor funding. However, the team did find good examples of sustainable programme approaches such as the way as the platform development model used in the S2S programme which SIWI could emulate in its other platforms. Its capacity development work uses stakeholder commitment and engagement, and development of costed action plans to foster sustainability. However, there are no consistent, systematic process in place for SIWI to follow-up on their capacity development processes related to WG. Much is dependent upon the building of a good relationship with the governments and other

stakeholders in question and if there is an implementing partner with a strong field presence that can provide more on-going follow-up support (and financing) if needed. The interlinking of its dialogue facilitation processes with capacity building has, however, contributed to some significant sustainable results such as changes in water policies in several countries.

4.1.5 Institutional Sustainability

SIWI's board as currently structured does not have either adequate experience or the mandate to provide oversight structure for its international work, which for an organisation like SIWI is a serious weakness. An oversight body should have both fiduciary and technical responsibilities to ensure that SIWI can be at the cutting edge of the Water Sector regarding to WG. This oversight could also possibly help SIWI repair its relationship with Sida and help SIWI move forward as it has to deal with a changing funding environment and its ongoing and serious reporting and transparency issues. Essentially not much movement forward is possible to rebuild SIWI's relationship with Sida until SIWI's legal status is clarified.

4.1.6 SIWI's Strategic Use of Sida Global Programme and Core Support

SIWI has been successful in leveraging its work and programmes with core/programme support in Latin America. There it has built strong credibility with different governments and institutional stakeholders, a good working relationship with UNICEF and IDB. SIWI was also successful leveraging their work with GIZ on the Smart Water Forest and Landscape and Restoration tool. In general, SIWI has been successful in using pilot programmes, tool development and proposal development to make the case for other donors to fund SIWI's programming, with 70% of its funding coming from non-Swedish sources. SIWI was also successful in getting other organisations to adopt its approaches related to inclusion of Indigenous Peoples in international, regional water fora. While this represents a very small part of the core/program support this funding was used strategically.

In its work in platform development while SIWI was successful in establishing relevant platforms, it did not leverage them well for future work/support/sustainability. In addition, what stands out in its transboundary dialogue is as much what is missing as what is in place. The team did not see any evidence, nor was given any feedback, from SIWI staff that SIWI has been invited to participate in emerging and major long-term programmes in other regions such as the World Bank's Water Security and Sanitation Partnership and the EU's China Europe Water Platform. This left the impression that SIWI has not yet used Sida's global programme/core support to pursue and implement strategic planning and positioning with regard to Transboundary water management so that SIWI would be invited have a place at the table of these important water governance fora.

Summary

SIWI has multiple programme successes and in the past was able to establish strong credibility for itself as an organisation for the quality of its work and its technical expertise. It still has this technical capacity. However, SIWI has been undermining this success over the past five years due to poor institutional oversight and reporting issues as well as an apparent lack of understanding of the seriousness of these issues among some senior management. This has led to SIWI losing both the trust of multiple Sida Programme Managers and decreased the availability of Sida funding for SIWI to continue some aspects of its work. At this stage, it is up to SIWI to find constructive ways to move forward as a sustainable organisation with a strong strategic plan from both a business and programme perspective and to regain Sida's trust.

As Sida considers its decision regarding future funding for SIWI, the assessment of SIWI's strategic added value to Water Governance at the global level and related transboundary processes as well as at the national level is key. Any favourable decision should be aligned

with Sweden's set priorities for WG policy processes. Thus, once SIWI has resolved the multiple issues identified as significant challenges through this evaluation, if Sida decides to continue to support SIWI, it would make the most sense to fund only those selected programmes and related approaches that directly address Sida's Strategy priorities.

5 Lessons Learned

This section discusses the lessons learned from the evaluation findings and conclusions and outlines these briefly as well as reviews potential ways forward as a basis for the recommendations provided in the next section of the report.

Relevance: For SIWI to be able to convey the relevance of its work more effectively to donors, the organisation needs to be more open and proactively invite comment from not just beneficiaries but also from donors and implementing partners on the outcomes of its work. This includes being able to find more effective ways to take onboard external feedback. Currently, there is tendency to say that they are open to learning but to insist that their work is stellar and that SIWI is a world leader and expert when confronted with critiques.

Platform Development: Platform development planning needs to include a “business models” approach to ensure programme sustainability beyond their initial development and start up phases. For example, in platform development where platforms are reliant on single donors or short-term funding base, this represents a risk to their long-term continuation. Such models might consider that platforms should mature to the point of members being fully in charge, including for financing. Alternatively, SIWI could take the sole responsibility to keep finding funding for platform continuity. However, a model of “launching developing and letting go” of platforms would free SIWI to focus on starting additional platforms, while still enabling platforms to harness the collective abilities and ownership of their members. SIWI also needs to find the most effective ways to close the loop between the policy and dialogue function of a platform and its function to catalyse impact on the ground.

Dialogue Facilitation & Advocacy: SIWI’s work has contributed to multilateral processes increasingly recognising the role and voice of Indigenous people in managing water resources and has provided a model which other organisations are beginning to follow in international fora. However, there is still a need to look at how to also do this at the national and local water governance levels to translate these inclusion processes into real impact on Indigenous people’s lives in ways that also recognise their rights in the territories in which they live.

Capacity Development: SIWI also needs to analyse and consider what long term business models could be applicable to its training and capacity development approaches. Currently, those roles are financed through piecemeal projects and programmes. When a project ends, if training is a one-off process that ends without additional finance to help implement the changes in water governance suggested through the learning, this slows the change process. It also means that there is no consistent means of monitoring the real impact of the training over time. Alternative models SIWI could consider to ensure greater sustainability of results include working with partners that are able to provide this follow-up support or to include a budget that supports technical follow-up and longer-term monitoring in the training budgets. SIWI can consider putting more of its training materials into the public domain as it is doing with the WASHREG materials. This means more people are likely to use the training materials even if they are contracting SIWI to work with them to build institutional skills and capacity.

Internal Communication: SIWI’s Programme Managers are able to identify clear and concrete outputs and outcomes. However, this information does not reach the senior staff who do the formal reporting to Sida and the Siwilization system does not provide these senior managers

with either the level of detail or the overview they need to report effectively. Staff interviews indicated that SIWI does not have a system (beyond end of mission reports) for sharing staff experience and skills. Essentially what is missing is an internal process for talking and *listening* from bottom to top, top to bottom and horizontally in the organisation. This was also a finding in the 2017 evaluation.

Identity: SIWI's Unique Selling Point is not in 'on the ground' implementation as it does not have the capacity to have extensive field offices globally. Other NGOs and implementing partners do have this capacity and SIWI appears to do best when it teams up with these organisations to provide specialised technical expertise and knowledge while the NGOs/other implementing partners work to ensure the field level follow-up, support and impact. In addition, currently SIWI is too expensive to "compete" with other NGOs at that ground level and has, in fact, in some instances, started pricing itself out of the market. Even within the provision of technical expertise SIWI should consider the implications of its service fees related to its status as an NGO.

6 Recommendations

As per the ToR and the approved Inception report, the evaluation team was tasked with providing **inputs** to assist Sida make informed decisions regarding future funding of SIWI. These inputs are summarised in the evaluation findings and conclusions. Based on these the evaluation team outlines the following recommendations for Sida and SIWI

6.1 THE WAY FORWARD FOR SIDA

Recommendation 1: Sida Support Approaches

Given the current uncertain legal status of SIWI, past consistent reporting and management challenges, and the pending status of SIWI future Strategy and programme/project proposals, future funding from Sida could follow several different approaches.

- a) First, Sida needs to reflect on the priorities for Swedish development cooperation and identify to which specific priority areas of work SIWI could make a unique and strategic contribution for Sweden as opposed to following a broader funding approach focused on core or wide-spectrum programme support.
- b) Based on this internal review, restrict future Sida funding to these priority areas and to specific programming implemented under SIWI's new Strategy starting in 2024 for which there is both a strong implementing partner in place with a solid field presence, for which there is a strong demand, and a traceable record of positive results, e.g., the A4S partnership with UNICEF and S2S and Nile Women Diplomacy platforms. Make this funding conditional on SIWI taking immediate action to correct both narrative and financial reporting issues identified by both this evaluation and Sida Programme Managers (refer to recommendation 4 for specific related details).
- c) Alternatively, given that SIWI is in legal limbo and may be for some time, as well as given Sida's ongoing challenges with SIWI on multiple fronts, Sida could fund these partners directly for strategic programme work and make an arrangement in which these implementing partners would directly contract SIWI to provide specific technical expertise and agree upon a process to provide transparent accounts of what this technical expertise would cost, and results achieved.
- d) Another alternative is for Sida to stop funding future work by SIWI for a set period of time (e.g., six months to a year) to give SIWI time to address the serious issues identified through this and the 2017 evaluation and by Sida. After this time period Sida could revisit whether there has been sufficient progress on the changes needed at the management, governance and reporting levels to consider funding selected, strategic programming that addresses Sida/Sweden's development cooperation priorities.
- e) Encourage SIWI to further diversify its funding base by reducing funding support over the next three years and only fund selected programming that most closely fits within the mandate of the *Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022–2026*.

Recommendation 2: Next Steps with SIWI

- a) Engage in dialogue with SIWI to discuss SIWI's progress in addressing the recommendations of the 2017 evaluation and next steps required to address the 2018-2023 SIWI Strategy recommendations. It would likely be beneficial to use an external facilitator in these discussions.

- b) Make it clear to SIWI that standard Sida practice and experience with other NGO partners is for there to only be a need for minor revisions of narrative and financial reports which generally involves just one revision process and that this is the standard which SIWI needs to meet.

6.2 THE WAY FORWARD FOR SIWI

For SIWI, its current institutional sustainability challenges present an opportunity to refocus and rebuild in ways that capitalise on its strengths and reduce its weaknesses. To this end, it is recommended that SIWI consider taking the following actions, noting that several are similar to the recommendations SIWI received in its 2017 evaluation report. The recommendations are also listed in order of priority for follow up action:

Recommendation 3: Clarity, Transparency and Efficiency of Reporting

- a. Future SIWI strategy reports should consider aggregating outcomes by specific programme components used and not do this in disparate pieces by Strategy Objective. These should present clear evidence of changes against baseline data and use a combination of quantitative and qualitative indicators which are clearly linked to the SIWI Strategy's Theory of Change. Future reports can then summarise at the end how each of these contributes to specific Strategy objectives. As a part of this, SIWI narrative reports could also benefit from including an 'outcome summary', figure or diagram so donors can easily identify results and reduce confusion between context, justification, outputs, and outcomes statements. SIWI should also discuss and validate any proposed changes in reporting approaches with Sida to find an appropriate format.
- b. Establish contact persons for Sida Programme Managers at the programme implementation level and not solely at the senior management level.
- c. Develop a set of clear indicators related to Water Governance, capacity development and dialogue facilitation activities that do not assume that simple completion of these activities means these processes have reached the intended objectives. These indicators should also be clearly linked to SIWI's Theories of Change and should also clearly identify indicators that measure progress on cross-cutting issues (HRBA, gender equality, youth empowerment). Conducting a perception survey (as a baseline and yearly) could be one way of checking if SIWI's activities are indeed changing the perceptions for the better (e.g., governments in the Nile basin state their perception of X country is improved, or that they are more willing to cooperate with Y country). With this, SIWI could also capture unexpected results.
- d. SIWI needs to immediately find effective and efficient ways to conform with Sida's established financial and administrative procedures for its next Strategy report to Sida as well as for any future programming Sida decides to support.
- e. Ensure that future programme support from Sida to SIWI addresses the desired level of results-based management, including objectives, outcomes and indicators that would make monitoring, evaluation and reporting of results easier for both SIWI and Sida.
- f. Discuss the advantages and challenges of centralised reporting from SIWI to Sida and agree on processes and formats that would work well for both organisations. From Sida's side, this could include providing examples of good progress reports from other Sida-funded organisations, providing further RBM training and materials, and providing or agreeing on specific templates of tables and figures to make the narrative reporting more concrete and straightforward. Examples of Sida RBM material available for its partners: https://www.sida.se/rbm/story_html5.html. From SIWI's side this may involve having field staff draft the results summaries for specific programmes to ensure the capturing and presentation of ground level impacts and results that may not be as evident in a completely centralised reporting system.

- g. For programmes which have more than one funder, develop a clear system which indicates what percentage of funding each funder has contributed towards specific outcomes or is clear about which donor is contributing to which aspect of specific outcomes. This will help donors assess the impact of their investments as well as help avoid giving the inadvertent impression of double reporting.

Recommendation 4: Strategic Business Planning

Bring in an external Strategic Business Planning Consultant to:

- a) Help SIWI develop a strategic business plan based on the realities of working with a shrinking funding environment in Sweden and one which is changing elsewhere;
- b) Narrow SIWI's scope of work to focus on what it does best and what can realistically be funded and implemented; and
- c) Investigate the long-term procurement pipelines and outsourcing requirements of potential key partners other than Sida and assess which aspects of SIWI's programming aligns with these and then either build or reinforce these partnerships and funding relationships

Recommendation 5: Additional Staffing – M&E, Gender & HRBA

Seriously consider hiring:

- a. A full-time Monitoring and Evaluation Expert with outcome mapping experience to work on improving SIWI's reporting to Sida and other donors and to work with SIWI staff to develop a set of institutional indicators to measure different levels of change related to Water Governance.
- b. A full-time Gender Equality/HRBA Expert to work with SIWI staff to help them strengthen their approaches to power and gender analysis and gender transformative changes as well as consistent integration of HRBA into programme planning.
- c. SIWI could build further on the foundation it has built in its vulnerability and risk analyses in the future and work to shift towards viewing women and girls, etc. as change agents as opposed to mainly as victims, particularly regarding climate change resilience.

Recommendation 6: Changing Institutional Culture & Practice

Hire an external Human Resources consultant to help guide SIWI through the next two to three years of internal change. This work would need to focus on: 1) Facilitate better communication between technical staff and senior management; and 2) Foster an institutional culture that is more learning and reflective oriented, and open to constructive feedback and criticism.

Recommendation 7: Consolidation

Consolidate SIWI staffing and not continue to expand offices until SIWI resolves its legal and reporting issues and possible future funding issues. Should there be a need for SIWI to close some of its regional offices, if deemed cost efficient and appropriate, SIWI could consider temporarily seconding some of its staff to key partners such as UNICEF, UNDP, or the GIZ

Recommendation 8: Programme Sustainability

Future Water Governance programme design, especially that related to capacity development, should include a longer-term approach related to follow-up support for the diverse stakeholder groups involved in the related training and water governance processes. This will involve developing a clear capacity development model that outlines what form and to what extent this follow-up support would take and negotiating budgets to cover the costs of this support with institutional stakeholders and donors.

Recommendation 9: Transboundary Water Management Organisations

SIWI could find ways to be invited to these bodies through its own positioning and planning. Develop a plan based on strategic decisions regarding which transboundary bodies to target

and positioning the organisation to increase its involvement with the targeted transboundary bodies with the aim of finding ways to become embedded in that regional and global architecture and sharing its expertise in Water Governance with these bodies.

Recommendation 10: Development Cooperation Expertise on SIWI's Board of Directors

Once SIWI has established its new foundation board, consider appointing as several members who significant knowledge of international development and experience working in the water sector.

Annex 1 – Terms of Reference

Terms of Reference for the Evaluation of the Sida support to the implementation of Stockholm International Water Institute (SIWI) Strategy 2018-2023

Date: 2023-09-05

1. General information

1.1 Introduction

Sida's support to water grounded in the fact that safe water and sanitation are essential to the realization of all human rights and is also characterized by poor people's perspectives on development.

Sida has for more than ten years provided financial support to SIWI for their work with water resource management⁷⁰ and research. The support has been in the forms of project, program and core support from several Sida strategies. The Global Strategy for Environment, Climate and Biodiversity has a current Agreement with SIWI for support of total 120 MSEK /40 MSEK/year for the period 2021-2023 for the implementation of the program "Water governance for a just, prosperous and sustainable future". The program is intrinsically linked to the overall [SIWI Strategy \(2018-2023\) which means that the global program support enables SIWIs implementation of the strategy as a whole.](#)

During the previous strategy period Sida provided Core support to SIWI between 2016-2020 of a total of 186 MSEK for the implementation of the SIWI strategy.

Two Swedish development cooperation strategies are relevant for the evaluation:

- *Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022.*
- *Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022–2026.*

⁷⁰ Water governance refers to the political, social, economic, and administrative systems that influence the use and management of water.

The current Agreement that Sida has with SIWI for implementation of the Water governance for a just, prosperous and sustainable future” program stipulated that an external evaluation should be performed during the Agreement period. Since their current program is only three years and has been delayed due to Covid-19 Sida has decided to evaluate the implementation of SIWIs strategy from 2018-2023 which has been supported financially by Sida through the above-mentioned strategies. SIWI applied for a core support for the current agreement period. However, Sida’s quality assurance committee recommended that Sida transition to a program support. This was based on a high risk that the Sida support would not adhere to state aid rules due to SIWIs commercial activities. It was also based on difficulties following how the core support was used.

1.2 Evaluation object: Intervention to be evaluated:

The Stockholm International Water Institute (SIWI) is an independent foundation registered in Sweden. SIWI’s overall mission is to strengthen water governance for a just, prosperous and sustainable future. SIWI aims at strengthening the governance of freshwater, globally, regionally, nationally, and locally.

The Evaluation object

The evaluation object is Sida’s support to the implementation of the SIWI strategy 2018-2023 through the two Agreements: Core support to SIWI 2016-2020 and Program support 2021-2023 from the global strategies for environment and climate change. The main target groups are poor people who lack water and sanitation, indigenous and marginalised, women and girls. SIWI co-finances and has partnerships with several organisations are financed from the Unit for Global Cooperation on Environment at Sida.

The SIWI Strategy sets the institute’s direction for 2018-2021. It identifies the world’s key water and development-related challenges, and it defines SIWIs strengths, goals and methods for meeting the challenges and achieving their mission. SIWI’s mission is to “Strengthen water governance for a just, prosperous and sustainable future”.

SIWI has three cross cutting issues in focus as well, including gender equality, youth empowerment and human rights-based approaches.

Sweden and Sida are SIWIs main financial contributor through three sources:

- The global Program support from Sida,
- Core support for the department for environment which is channelled through the Swedish Marine Agency
- Core support from the city of Stockholm which is only intended for Stockholm Water Prize.

SIWI also receives project and program financing (other Sida strategies*, other donors, the UN, international and multilateral organisations as well as Financing for

World Water Week: founders, sponsors, tickets and exhibition fees). External donors to SIWI include The Netherlands, Germany, USA, Switzerland, Finland, UNICEF, UNDP, OSCE, the World Bank and EBRD. Sweden contributes to about 30 percent of SIWI, other donors/financers contribute about 50 percent and World Water weeks stands for about 20 percent.

The evaluators are expected to interview managers of programs with separate funding from other Sida strategies at SIWI*:

- The Water Security in Ethiopia Project (contribution number 10822) Contribution was recently closed.
- SIWI Building Governance Capacity for improved Water Security (GO-WATER) Contribution to be finalised.
- 2020-2023 "Shared Waters Partnership: Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP)".
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The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

1.3 Evaluation rationale

An external evaluation was part of the Agreement with SIWI to be carried out by SIWI in 2023. Sida decided to write to ToR and call-of the evaluation. Sida needs additional information on results, effectiveness and relevance of SIWI's work to make an informed decision if SIWI should continue to receive funding from the global strategy for environment.

2. The assignment

2.1 Evaluation purpose: Intended use and intended users

The purpose or intended use of the evaluation is to

- Provide Sida with an input to upcoming discussions concerning the preparation of a new phase of funding to SIWI;
- Serve as an input for Sida to a decision on whether SIWI shall receive continued funding from the Global Strategy or not.

The primary intended users of the evaluation are:

Sida's unit for global cooperation on environment. But other units at Sida can benefit from the evaluation.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process. Other stakeholders that should be kept informed about the evaluation include the Swedish Ministry of Foreign Affairs.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

2.2 Evaluation scope

The evaluation scope is limited to Sida funding to support the implementation of SIWI strategy 2018-2023. Activities not financed by Sida should not be included in the evaluation scope.

The evaluation should cover the whole strategy period 2018-2023. The evaluators shall visit the SIWI regional office in Bogota to interview SIWI staff as well as with relevant partners and stakeholders. Virtual interviews should be held with relevant managers and staff at SIWI HQ and the regional office in Pretoria and other offices if deemed necessary.

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

2.3 Evaluation objective: Criteria and questions

The objectives of this evaluation are to **assess the overall relevance and effectiveness of SIWI and the SIWI Strategy** and the **extent to which Sida financing of the strategy implementation has lead to SIWI having achieved its planned outcomes and results**.

- Evaluate effectiveness and relevance of SIWI as an input to the decision whether or not it shall receive continued funding from the global strategy for environment and climate.

In order to accomplish the desired objectives, the evaluation will aim at answering the following key guiding questions.

Relevance: Is the intervention doing the right thing?

- To what extent has the intervention objectives and design responded to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and have they continued to do so if/when circumstances have changed?

Effectiveness: Is the intervention achieving its objectives?

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- Have the M&E system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

Sustainability: Will the benefits last?

- Has the SIWIs strategy implementation contributed to poverty reduction? Who (*de facto*) has benefited from the project in the short- and in the long-run, directly or indirectly?
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- Has the strategy been implemented in accordance with the poor people's perspective and a Human Rights Based Approach? For example, have target groups been participating in project planning, implementation and follow up?
- Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow up?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. Given the situation with Covid-19, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used⁷¹.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

2.5 Organisation of evaluation management

This evaluation is commissioned by INTEM GLOBEN. The intended user is/are INTEM/GLOBEN. As the evaluation will serve as an input to the decision on whether SIWI shall receive continued funding or not, the intended user is the commissioner. The evaluator and SIWI has contributed to the ToR and will be provided with an opportunity to comment on the inception report as well as the final report, but will not be involved in the management of the evaluation. Hence the commissioner will evaluate tenders, approve the inception report and the final report of the evaluation. The start-up meeting and the debriefing/validation workshop will be held with the commissioner only.

2.6 Evaluation quality

⁷¹ See for example UNEG United Nations Evaluation Group (2014) Integrating Human Rights and Gender Equality in Evaluations <http://uneval.org/document/detail/1616>

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation⁷². The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation⁷³ and the OECD/DAC Better Criteria for Better Evaluation⁷⁴. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. Given the situation with Covid-19, the time and work plan must allow flexibility in implementation. The evaluation shall be carried out 2023-09-10 - The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meeting/s virtual	Sida and evaluators	2023-09-25 This period should include 1) time for submission of the call-off response (at least two weeks), 2) Sida/Embassy's assessment of call-off proposal/s, 2) contracting 3) mobilisation of the team.
2. Draft inception report		Tentative 2023-10-15
3. Inception meeting Virtual	Sida, SIWI	Tentative 2023-10-15
4. Comments from intended users to evaluators (alternatively these may be sent to evaluators ahead of the inception meeting)		Tentative 2023-10-24
5. Data collection, analysis, report writing and quality assurance	Evaluators	2023-11-30
6. Debriefing/validation workshop (meeting)	Sida, SIWI, evaluators	2023-12-01

⁷² OECD/DAC (2010) Quality Standards for Development Evaluation.

⁷³ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

⁷⁴ OECD/DAC (2019) Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use.

7. Draft evaluation report		2023-12-21
8. Comments from intended users to evaluators		Tentative 2024-01-15
9. Final evaluation report		2024-01-30
10. Presentation virtual	Sida	Tentative 2024-01-30

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology *including how a utilization-focused and gender-responsive approach will be ensured*, methods for data collection and analysis as well as the full evaluation design, including an *evaluation matrix* and a *stakeholder mapping/analysis*. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed.

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

The final report shall be written in English and be professionally proof read. The final report should have clear structure and follow the layout format of Sida's template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages.

The report shall clearly and in detail describe the evaluation approach/methodology and methods for data collection and analysis and make a clear distinction between the two. The report shall describe how the utilization-focused approach has been implemented i.e. how intended users have participated in and contributed to the evaluation process and how methodology and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues. Limitations to the methodology and methods and the consequences of these limitations for findings and conclusions shall be described.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation questions shall be clearly stated and answered in the executive summary and in the conclusions. Recommendations and lessons learned should flow logically from conclusions and be specific, directed to relevant intended users and categorised as a short-term, medium-term and long-term.

The report should be no more than 35 excluding annexes. If the methods section is extensive, it could be placed in an annex to the report. Annexes shall always include the Terms of Reference, the Inception Report, the stakeholder mapping/analysis and the Evaluation Matrix. Lists of key informants/interviewees shall only include personal data if deemed relevant (i.e. when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personal data in the report must always be based on a written consent.

The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation⁷⁵.

The evaluator shall, upon approval by Sida/Embassy of the final report, insert the report into Sida's template for decentralised evaluations (see Annex C) and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas.

2.8 Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies:

- Professional experience in the fields relevant to the thematic areas of water governance/water resource management/transboundary water cooperation and climate change.
- Strong knowledge of HRBA/Gender Equality in development cooperation.
- Proficiency in Spanish

It is desirable that the evaluation team includes the following competencies

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local evaluation consultants are included in the team, as they often have contextual knowledge that is of great value to the evaluation. In addition, and in a situation with Covid-19, the inclusion of local evaluators may also enhance the understanding of feasible ways to conduct the evaluation

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

2.9 Financial and human resources

The maximum budget amount available for the evaluation is 800 000 SEK.

Invoicing and payment shall be managed according to the following The Consultant may invoice a maximum of 30 % of the total amount after approval by Sida/Embassy of the

⁷⁵ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

Inception Report and a maximum of 70 % after approval by Sida/Embassy of the Final Report and when the assignment is completed.

The contact person at Sida/Swedish Embassy is Linnea Hermansen INTEM/GLOBEN. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Linnea Hermansen INTEM/GLOBEN

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by Linnea Hermansen INTEM/GLOBEN.

The evaluator will be required to arrange the logistics to book interviews and prepare visits etc.

3. Annexes

Annex A “List of key documentation”,

Annex B “Data sheet on the evaluation object”

Annex C “Decentralised Evaluation Report Template”.

Annex D “Project/Programme document”

Annex A: List of key documentation

SIWI Strategy 2018-2023

Annex B: Data sheet on the evaluation object

Information on the evaluation object (i.e. intervention)	
Title of the evaluation object	SIWI strategy 2018-2023
ID no. in PLANIt	13308
Dox no./Archive case no.	19/001137
Activity period (if applicable)	2021-01-01 – 2023-12-31
Agreed budget (if applicable)	Max 800 000
Main sector ⁷⁶	Environment
Name and type of implementing organisation ⁷⁷	SIWI
Aid type ⁷⁸	Project type
Swedish strategy	<i>Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022 And</i>

⁷⁶ Choose from Sida’s twelve main sectors: education; research; democracy, human rights and gender equality; health; conflict, peace and security; humanitarian aid; sustainable infrastructure and services; market development; environment; agriculture and forestry; budget support; or other (e.g. multi-sector).

⁷⁷ Choose from the five OECD/DAC-categories: public sector institutions; NGO or civil society; public-private partnerships and networks; multilateral organisations; and other (e.g. universities, consultancy firms).

⁷⁸ Choose from the eight OECD/DAC-categories: budget/sector support; core contributions/pooled funds; project type; experts/technical assistance; scholarships/student costs in donor countries; debt relief; admin costs not included elsewhere; and other in-donor expenditures.]

Information on the evaluation assignment	
Commissioning unit/Swedish Embassy	INTEM/GLOBEN
Contact person at unit/Swedish Embassy	Linnéa Hermansen
Timing of evaluation (mid-term, end-of-programme, ex-post, or other)	Last year evaluation.
ID no. in PLANIt (if other than above).	

Annex C: Decentralised evaluation report template

[This format is a requirement for publication under the “Sida Decentralised Evaluations” report series in Sida’s publication database and can be found on Sida’s Inside, under Guidelines & Support/Contribution Management/Evaluation/Implementing.]

Annex D: Project/Programme document

Annex 2 – Evaluation Matrix

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
Relevance				
EQ 1: To what extent have intervention objectives and design responded to beneficiaries, global, country and partners/institution's needs, and have they done so if/when circumstances have changed?	Evidence of direct outcomes which have resulted in improved water governance in core SIWI Strategy areas of: Platform Development Dialogue Facilitation Knowledge Generation Capacity Development Evidence of how interventions were identified and designed based on their relevance, purpose and stakeholder input Evidence of the formal process of establishing platforms and dialogues,	• Desk review • Theory based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • Outcome Harvesting Workshops with SIWI staff Documented contributions toward SDG6 including 6.5. Workshop reports including participant lists. Substantive outputs of platforms, dialogues, Knowledge generation and capacity development including: Terms of reference / papers establishing platforms, agreed	Focus on a traceable path from SIWI Strategy through to identification, design and implementation of interventions and activities by design rather than default. Also need to focus on how stakeholders needs helped shape the design of the intervention. As well as examine SIWI's role and relevance related to influencing / advocacy / leveraging

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	securing their status, setting, purpose and activities. Evidence of how knowledge Gaps and capacity development needs were identified and formulated and influenced by need of relevant stakeholders. Evidence of soliciting views and reviewing aspects of the preceding indicators and as necessary revising aspects accordingly Evidence that SIWI plays a unique, value-added role in influencing positive change in water governance		position statements, formal resolutions, communiques with governments and or authorities, MoUs, examples of properly documented new knowledge, training curricula, teaching materials, course designs and delivery. Verbal confirmation of successful output from programme partners	
EQ 2: Has the strategy been implemented in accordance with poor people's perspectives and a Human Rights Based Approach? For example, have rights holders and target	Extent to which strategy and programme documents are based on and informed by multidimensional poverty and power analyses. Existence and demonstrated use of methods for meaningful and active participation of relevant rights-holder groups	• Desk review • Theory based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • FGD • Outcome Harvesting Workshops with SIWI staff	Need to focus on assessment of contributions related to reduction of water poverty

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
groups been participating in project planning, implementation and follow up?	Existence and demonstrated use of measures to counteract discrimination within and between different stakeholders and members of the public Evidence of accountability and transparency claims on duty-bearers Evidence of HRBA capacity development of staff and partners MEL system follows-up both objective and process-oriented HRBA results Evidence of programme management rights-based practices, including accountability mechanisms, safeguarding policies, etc.	Assessment of SIWI staff HRBA knowledge		
Effectiveness				
EQ 3 To what extent has the intervention achieved, or is expected to achieve, its objectives, and its	Evidence of changes at the direct and intermediate outcomes levels leading to improved water governance in core SIWI Strategy areas of: - Platform Development - Dialogue Facilitation - Knowledge Generation	- Desk review - Theory based & Contribution Analysis - Power Analysis - Outcome Harvesting	- Programme documents - Evaluations - KIIs - Outcome Harvesting Workshops with SIWI staff	Outcome Harvesting Workshops will focus on harvesting outcomes and testing SIWI's Theories of Change related to Objective 1 – Contribute to Sustainable management of shared water resources by

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
results, including that of poverty reduction?	- Capacity Development Evidence that actions supported by the SIWI Strategy have contributed to diverse groups of the poor having increased access to affordable clean water. Number and type of anticipated results achieved in programmes funded through SIWI Strategy and Sida PS in sample programmes assessed. Extent to which results reported in annual progress reports clearly contribute to SIWI Strategy/Sida PS objectives.	• KIIs/FGDs • Triangulation with stakeholders and beneficiaries		improving water governance and Objective 4: Contribute to Improved and extended water governance by Innovation based on knowledge and learning outlined in 2020 Sida Programme Support document
EQ 4: Who (de facto) has benefited in the short term and long run, directly or indirectly, and have there been any differential results	Identification of which types of stakeholders have benefited directly from SIWI Strategy/ PS activities in short and long term Identification of which types of community level groups have benefited directly from SIWI Strategy/PS activities in short and long term	- Desk review - Contribution Analysis - Outcome Harvesting - KIIs/FGDs - Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • Outcome Harvesting Workshops with SIWI staff	Limited access to community level groups is foreseen, which is why the team will have to rely on secondary sources. KII with rights-holder led/representative. CSOs will to certain extent and where applicable be able to provide information

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
across diverse groups?	Identification of which types of stakeholders have benefited indirectly from SIWI Strategy/ PS activities in short and long term? Identification of which types of community level groups have benefited directly from SIWI Strategy/ PS activities in short and long term			
EQ 5: Has the MEL system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?	Presence of clear results indicators at direct and Intermediate outcomes levels for SIWI programming supported through the 2018-2023 SIWI Strategy Progress/annual reports clearly indicate concrete and measurable results against programme and strategy outcomes at direct and intermediate levels Progress/annual reports on the SIWI Strategy only include results from programming funded through the	• Desk review • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs	Outcome Harvesting with SIWI staff will help confirm robustness of SIWI's MEL system

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	Strategy or clearly identify related results from other Sida strategies Regular processes in place to review programme and strategy results achieved and revise planned approaches if needed to achieve results anticipated/planned Evidence that new programming incorporates lessons learned from past programming SIWI staff and partners are able to report on results using SIWI Outcome Mapping system accurately and consistently. SIWI progress reports are useful and readily accessible for funders Revisions of results framework and ToCs based on lessons learnt from the MEL system Results are disaggregated by gender, and other demographic groups identified as priorities in SIWI's			

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	Strategy (i.e., poor, Indigenous, youth, etc.)			
EQ 6: Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow-up?	Platform Development The strategy/programme documents are based on and informed by a gender analysis Integration and/or targeting of relevant gender equality issues in water governance in SIWI-implemented or supported platforms on water governance Equitable participation of women in SIWI-implemented or supported platforms on water governance Dialogue Facilitation Intersectional gender equality issues included in water governance discussions/agendas/decisions at different levels of government and with diverse stakeholder groups Changes in policies and water governance processes supported by	• Desk Review • Theory based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with Stakeholders and beneficiaries • Assessment of SIWI staff gender equality capacity	• Programme documents • Evaluations • KIIs • FGDs • Outcome Harvesting Workshops with SIWI staff	The team will assess this element in all programmes reviewed from both a mainstreamed and targeted approach

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	SIWI are inclusive of intersectional gender equality issues/considerations Evidence of support for increased participation/inclusion of diverse groups of women in water governance dialogue and water governance development Evidence of increased access to quality water for diverse gender groups Knowledge Generation Support provided for targeted research /tools related to gender and water governance SIWI generated or supported research and/or tools development integrates and addresses relevant intersectional gender equality issues SIWI ensures that women researchers and water experts are involved in/hired to produce SIWI-generated and/or supported research on water governance in equitable numbers and ways (# and %)			

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	Capacity Development SIWI implemented and/or funded capacity development related to water governance is inclusive of equitable numbers of women from diverse stakeholder groups SIWI implemented and/or funded capacity development related to water governance, either targets specific gender equality issues in water governance or integrates relevant gender and water governance issues			
Sustainability				
EQ 7: Which SIWI Strategy results are likely to be maintained in the medium to long term and what are the contributing factors to this sustainability?	Platform Development Relevant global and regional fora actively address and take actions to improve water governance, including making water resource management practices more inclusive. Dialogue Facilitation Governments/public agencies address needs for sustainable and inclusive water management in their policies	• Desk review • Theory-based Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with Stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • FGDs • Outcome Harvesting Workshops with SIWI staff	Transboundary water agreements/actions and other actions related to large scale water resources management take a very long time to see real concrete results with suitable time units being a decade, so the team will look for indications that key elements related to these longer term results are in progress or in place and in many cases will be looking for evidence

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
Which ones are not and why?	and/or begin to implement these policies Diverse non-governmental stakeholder groups and beneficiaries able to engage effectively in dialogue about improved inclusive water governance Evidence of progress made towards transboundary water agreements Knowledge Generation Research institutions and other partners/stakeholder groups undertake research on water governance issues Capacity Development Diverse groups of governmental and non-governmental stakeholders able to develop improved water governance policies and services and actively engaged in doing so Ability to maintain ongoing cooperation or other forms of funding (e.g., national governments) to support sustainability of results that require a longer-term approach			of related intermediate outcomes.

Annex 3 – Evaluation Instruments

Semi-Structured Interview Guides

- A. Sida Programme Managers
- B. SIWI Programme Managers/Staff
- C. Implementing Partners/Donors
- D. Donors (funders only)
- E. Programme Stakeholders

A. For Sida Programme Managers

1. What role and contribution does SIWI make to the xxx programme?
2. Who are the main stakeholder and beneficiary groups of the xxx programme? (EQ1 and EQ 4)
3. How you believe this programme has addressed the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What main results (outcomes) of this programme to date stand out for you (related evidence)? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes benefits you have mentioned are likely to continue after the ending of SIWI/Sida support for this programme (evidence)? (EQ7)
8. Which ones likely would not continue and why? (EQ7)
9. Do you know if the main stakeholder and beneficiary groups in this programme were involved in its planning, implementation, monitoring and responsibility post-project? If so, in what ways? (EQ2 and EQ 7)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI addressed gender equality, youth empowerment, voice/rights of Indigenous Peoples and human rights through this programme? (EQ2 and EQ6)
12. How well or not does SIWI's Outcome Mapping M&E system fit with Sida's own institutional reporting requirements? Is there anything you would change? (EQ 5)
13. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

B. SIWI Programme Managers/Staff

1. What is your role with SIWI and the xxx programme? (i.e., what does SIWI contribute to this programme, e.g., staff time and expertise, funding, other)
2. Who are the main stakeholder and beneficiary groups of the xxx programme? Which of these are priority groups for us to talk to? (EQ1 and EQ 4)

3. How you believe this programme has addressed the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What are the main results (outcomes) this programme has achieved to date and is there related evidence? (noting that the Evaluation Team will post-code these responses to determine where they fit with regard to Platform Development, Dialogue Facilitation, Capacity Building and Knowledge Generation) (EQ3)
5. What are the main factors that you think have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes that the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned do you think will continue following the end of SIWI/Sida support for this programme (evidence)? Which ones likely would not? (EQ7)
8. What factors do you think have contributed to the sustainability of the results/outcomes you have identified? (EQ7)
9. In what ways have the main stakeholder and beneficiary groups in this programme been involved in its planning, implementation, monitoring and responsibility post-project? (EQ2 and EQ7)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme? and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI and your partners addressed gender equality, youth empowerment, voice/rights of Indigenous Peoples and human rights through this programme? (EQ2 and EQ6)
12. What works well and what does not in the Outcome Mapping system SIWI uses to assess programme and its Strategy outcomes? Is there anything you would change? (EQ 5)
13. Have you used the monitoring data collected through SIWI's Outcome Mapping system to change programme implementation if needed or to document lessons learned for future planning? Can you share any reportable examples? (EQ5)
14. What does SIWI do in this region or globally that no other organisation does? (EQ1)

C. Implementing Partners/donors

1. What role and contribution does SIWI make to the xxx programme?
2. Who are the main stakeholder and beneficiary groups of the xxx programme? Which of these are priority groups for us to talk to? (EQ1 and EQ 4)
3. How you believe this programme has addressed the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What are the main results (outcomes) this programme has achieved to date and related evidence? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3) (Probe again for SIWI contribution if not already answered with Question 1)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)

7. Which of the results/outcomes you have mentioned are likely to continue following the end of SIWI/Sida support for this programme (evidence)? (EQ7)
8. Which ones likely would not and why? (EQ7)
9. In what ways have the main stakeholder and beneficiary groups in this programme been involved in its planning, implementation, monitoring and responsibility post-project? (EQ2 and EQ7)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI and your partners addressed gender equality, youth empowerment, voice/rights of Indigenous Peoples and human rights through this programme? (EQ2 and EQ6)
12. Was SIWI's outcome mapping and results reporting adequate for your (donors) requirements? Is there anything you would change? (EQ 5)
13. What was your experience of working with SIWI with regard to reports being on time, ability to deliver programming on time , their flexibility and responsiveness, etc? (EQ5)
14. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

D. Donors only

1. What role and contribution has SIWI made to the xxx programme?
2. Who are the main stakeholder and beneficiary groups of the xxx programme? (EQ1 and EQ 4)
3. How you believe this programme has addressed address the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What main results (outcomes) of this programme to date stand out for you (related evidence)? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned are likely to continue following the end of SIWI/Sida support for this programme (evidence)? (EQ7)
8. Which ones likely would not and why? (EQ7)
9. Do you know if the main stakeholder and beneficiary groups in this programme been involved in its planning, implementation, monitoring and responsibility post-project? If so, in what ways? (EQ2)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI addressed gender equality, youth empowerment, Indigenous Peoples and human rights through this programme? (EQ2 and EQ6)
12. Was SIWI's outcome mapping and results reporting adequate for your (donors) requirements? Is there anything you would change? (EQ 5)

13. What was your experience of working with SIWI with regard to reports being on time, ability to deliver programming on time , their flexibility and responsiveness, etc? (EQ5)
14. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

E. Programme Stakeholder Groups

1. What role and contribution SIWI (or other lead partner or donor) makes to the xxx programme?
2. What is the role of your organisation/institution in this programme? (EQ1)
3. How you believe this programme has addressed the specific needs of your organisation with regard to water governance and poverty reduction? (EQ1)
4. What are the main results (outcomes) this programme has achieved to date and related evidence? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned are likely to continue following the end of SIWI/Sida and/or donor support for this programme (evidence)? (EQ7)
8. Which ones likely would not and why? (EQ7)
9. In what ways has your organisation and the main beneficiary groups in this programme been involved in its planning, implementation and monitoring? (EQ2)
10. Which beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI and/or partner organisation addressed gender equality, youth empowerment, voice/rights of Indigenous Peoples and human rights through this programme? (EQ2 and EQ6)
12. Were the results monitored and reported by SIWI relevant to your organisation / needs? Is there anything that should have also been included / monitored? (EQ 5)
13. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

Outcome Harvesting Guide

Outcome Harvesting is “a utilisation-focused, participatory tool that enables evaluators, grant makers, and managers to identify, formulate, verify, and make sense of outcomes they have influenced when relationships of cause-effect are not necessarily known or completely attributable. Unlike some evaluation methods, Outcome Harvesting does not measure progress towards predetermined outcomes or objectives, but rather collects evidence of what has been achieved, and works backward to determine whether and how the project or intervention has contributed to the change”. (Wilson-Grau and Britt. 2012)

Outcomes are defined as:

“An observable and significant change in a social actor’s behaviour, relationships, activities, actions, policies or practice that has been achieved and that has been influenced by the change agent (Wilson-Grau and Britt, 2012 cited in Ford Foundation, [“Outcome Harvesting”](#))

For the purposes of the SIWI Strategy evaluation, the evaluation team will conduct two Outcome Harvesting Workshops, one with SIWI Staff in Bogotá and one with a representative sample of SIWI staff in Stockholm. The following describes the process and steps the team will use to apply Outcome Harvesting to the evaluation.

Purpose

The purpose of the Outcome Harvesting Data Collection and Analysis process is for SIWI staff and partners to identify the different changes to which the 2018-2023 Strategy has contributed at multiple levels and from multiple perspectives with an emphasis on outcomes related to:

- Objective 2: Contribute to Resilient Water Services and Infrastructure by Improved Water Governance (Bogotá office)
- Objective 4: Contribute to Improved and extended water governance by innovations based on knowledge and learning (SIWI Headquarters staff).

For the purposes of this evaluation the focus would be on identifying which changes have taken place and what were the underlying factors related to these changes. This is intended to serve both test selected aspects of SWI’s Objective Theories of Change and gain a clearer understanding of what the funding provided by Sida to implement its 2018-2023 Strategy has contributed to Sida-funded programming (either through the Strategy itself or to programming funded through other Sida strategies).

Who to Involve

1. **Bogotá:** All SIWI office personnel directly involved with programme planning, implementation and monitoring and evaluation who are funded, either fully or in part, by Sida funding for the SIWI 2018-2023 Strategy.
2. **Stockholm:** A representative selection of SIWI personnel involved in activities and programming related with “Improved and extended water governance by innovations based on knowledge and learning” supported by the Sida funding for the SIWI 2018-2023 Strategy and who work in the eleven (11) programmes selected for the evaluation sample. We estimate a staff group of approximately 15-16 people in the Stockholm workshop, with the final number to be determined following further discussions with SIWI.

Outcome Harvesting Process

Action One: Outcome Harvesting Session with SIWI personnel

The evaluation team will use the outcome harvesting tool and process to ask SIWI's staff members in Bogotá and Stockholm to document/describe expected, unexpected, positive, negative changes including those that may not be outlined in the Strategy's theories of change. This will include asking SIWI staff to think outside the usual boxes to where they have seen "real" change, big or small, and not to focus solely on completed activities, e.g., "completed training" or "reports written" or "funds spent" (which are often mistakenly interpreted as first level results or outcomes).

The methodology we will use for the Outcome Harvesting workshops in each SIWI location will include the following steps and process:

Step One: Identifying Changes that Have Taken Place

1. Introductions and warm up exercise related to change.
2. Short discussion on how to define change and of what constitutes an outcome within the context of the SIWI Strategy objectives.
3. Group exercise in which we would ask SIWI staff to brainstorm and identify what they perceive have been the changes brought about by the funding SIWI received to support the implementation of its 2018-2023 Strategy from Sida (e.g., use of staff time, communications, direct programme support, etc.)
4. While for the Outcome Harvesting Workshops in each location we will be focusing on identifying outcomes related to different Strategy objectives, in both locations this discussion will initially cover the following common domains of change:
 - Platform Development
 - Dialogue Facilitation and Advocacy
 - Capacity Building
 - Knowledge Generation and Tool Provision
 - Provision of Staff Support through the Sida-funded Strategy to Programming (including to programming funded through other Sida Strategies)
 - Resource Mobilisation

The process will also leave space for the inclusion of other types of changes/outcomes SIWI staff may identify related to the specific objective their staff group is discussing. We also ask them to identify the evidence that verifies the different changes/outcomes identified. In Bogotá, we would ask staff to add the evidence information to the results/outcomes identified in pairs and assign each pair up to 2 domains of identified changes/outcomes for which to add information in the evidence column. In Stockholm, we would divide staff into groups of three to four people and ask each group to work on identifying evidence/indicators of these changes/outcomes for one domain of change (depending upon final numbers of participants).

Step Two: Prioritising Changes Identified

We would then ask SIWI staff to indicate which of these outcomes or changes they documented represent the three most important for the stakeholder and beneficiary groups with which they are working. For Bogotá, this would focus on changes/outcomes related to sustainable management of shared water resources through improved water governance and at which level these shifts have been taking place. In Stockholm, the focus would be on identifying and documenting changes/outcomes related to improved and extended water governance by innovations based on knowledge and learning. We will record **all** outcomes, then participants will prioritise them in terms of their importance to them/SIWI for each domain of change. This

will provide another depth of analysis and feedback for the evaluation and for both SIWI and Sida.

Step Three: Analysis of Underlying Factors Contributing to Change

Following this we would explore with SIWI staff which factors they think have contributed to these changes/results/outcomes. After completing this group analysis, we would ask the group to compare these with the enabling factors outlined in either SIWI's Objective 1 or Objective 4 Theory of Change to determine which factors stand out as the most effective or have been verified by this process. This will include a discussion of the original assumptions behind SIWI's theories of change for Objectives 1 and 4 and if these still stand or if they think there is a need for any additions, deletions or revisions.

The evaluation team will also keep a record of all outcomes identified and use these to help triangulate data on outcomes from the evaluation's other data collection processes as well as to feed into the team's analysis of SIWI's Theories of Change.

Annex 4 – Outcome Harvesting Results Summary

The outcome harvesting workshops held in Stockholm and Bogotá generated a number of reflections and results of SIWI's work. The evaluation team analysed and categorised such identified outcomes in the best way it could, however, without verifying these reported results. The analysis is presented in the table below, and additional outcomes identified during interviews and the document review are also presented. This list is by no means comprehensive of all of SIWI's work and shall be interpreted as the sample of outcomes the evaluation team managed to harvest and identify during the limited time of the evaluation. Outcomes were grouped into bigger outcome groups (second column) and categorised per each activity type from SIWI's Strategy (first column).

ANNEX 4 – OUTCOME HARVESTING RESULTS SUMMARY

Type of activities	Outcomes harvested	Outcomes identified in the Stockholm workshop	Outcomes identified in the Bogotá workshop	Outcomes identified with interviews & document review
Knowledge Generation and Tool Provision	1. Knowledge produced	1.1. Strengthened gender mainstreaming capacity of policy makers at Federal and Basin level organisations for MOWE in Ethiopia (through the production of a Guidebook for gender mainstreaming). 1.2. Developed new knowledge on water and landscape management for MOWE in Ethiopia and the Rift Valley Lakes Office through development of 6 manuals. 1.3. Policy brief to guide on-going review and reform of groundwater management and development practice - developed new knowledge on Ethiopia groundwater conditions and the policy and the legal landscape, highlighting the key gaps around groundwater management and regulations, and recommendations for policy reform. 1.4. New knowledge on stakeholder power relations in landscape management in Ethiopia. 1.5. Development and conceptualisation of what “systems strengthening” mean and how it should be implemented in practice: Strong influence on UNICEF WASH Programming. 1.6. Development of business models for enhanced rainfed agriculture in the Zambezi basin and partnership with SLU and Cambridge University for MSc/MBA students. 1.7. Conceptual framework for analysing water ecosystem services in Forest and Landscape Restoration and landscape management used for developing the W-FLR tool. 1.8. Enhanced knowledge on flood risk management and implications for the blue economy in Somalia with support from SWAM and ICWC and new phase on transnational information sharing between Somalia and Ethiopia. 1.9. Water and landscape management, training manuals (used in other projects with other clients as well).	1.10. Identification of gaps and opportunities in WASH service provision at different levels, actors and beneficiaries. 1.11. Provision of a capacity building framework for the WASH in informal settlements. 1.12. Identification of WASH initiatives adopted by governments, regulators, service providers during the COVID 19 pandemic. 1.13. Awareness raising about gaps and opportunities linked with the regulation of the water sector and related service provision. 1.14. Design of national and sub-national response plans for water sector management during the COVID 19 pandemic.	1.15. Yaa Heen Koosge: Indigenous Peoples and Water Wisdom – report published by SIWI with contributions from Indigenous Peoples. The report acknowledges the diversity of Indigenous people’s view, traditions and beliefs, but explains common worldviews to water, such as respect, reciprocity and relatedness. Apart from the introduction, the whole report is dedicated to presenting Indigenous knowledge and values on water management by Indigenous themselves. Contributions were done by Indigenous Peoples in Canada, New Zealand, Myanmar, Tanzania, Ecuador, Australia and USA. 1.16. "Policy brief: Indigenous Peoples, water, and climate change" developed by SIWI as part of the UNDP-SIWI Water Governance Facility (WGF) and with funding from Sida and GIZ. The policy brief was prepared following the momentous UNFCCC Conference of the Parties (COP25) outcome in which Parties adopted a two-year workplan for the Local Communities and Indigenous Peoples’ Platform (LCIPP). It highlights water-related insights and solutions emanating from Indigenous communities in our global response to climate change.

Knowledge Generation and Tool Provision	2. Tools developed and tested/implemented	2.1. Enhanced water governance at national and subnational level through the development and practical implementation of a variety of tools, e.g., WASH BAT (including risk-informed modality), Appraisal of climate solutions, WASH Reg, Water Demand Management, Sector-Wide Sustainability Check, Service Delivery Models, etc. Action Plans developed in 30+ countries. 2.2. SIWI has developed the water smart forest and landscape restoration (W-FLR) tool methodology and piloted it in a few countries. Reference group with multiple stakeholders, including GIZ. 2.3. From 2017 to 2019 the Water and Food Multi-Stakeholder Group worked with the food and beverage sector to support them in implementing better water management and governance practices in their operations. SIWI developed a water journey tool that summarised global best practises based on CEO Water Mandate and Alliance for Water Stewardships standards to support the companies in identifying and better managing their water risks.	2.4. Provision of a tool kit to strengthen investments in WASH in several countries 2.5. Development of inspection plan to monitor water quality in schools and health centres (Nicaragua)	
Knowledge Generation and Tool Provision	3. SIWI establishes knowledge linkages between water and climate, agriculture, forestry, landscape, health etc and within different water topics, through its tools and research	3.1. Knowledge generation, learning and adapting to support the climate shift in the WASH sector. 3.2. SIWI raises interest and conducts research on topics that are not a priority for UNICEF (e.g. WRM and WASH), to develop tools (e.g. WASH Reg) and to disseminate findings (e.g. academic papers). 3.3. SIWI has managed to support the definition and interpretation of the term “climate rationale”, as a strategic element that drives UNICEF agenda regarding climate resilience (Output Indicator 4.2.4 included in the UNICEF Strategic Plan 2022-2025) and WASH Programming. 3.4. Analysis of flood risk management and links to the Blue economy in Somalia. 3.5. SIWI has developed the water smart forest and landscape restoration (W-FLR) tool methodology and piloted it in a few	3.6. Awareness raising about the gaps and opportunities involved with the risks of climate change in the WASH sector. 3.7. Provision of methodologies to support planning for WASH in emergencies. 3.8. Identification of analytical axes through WASH in Schools (WINS) methodology to guarantee climate resilient WASH service provision in schools (WWW) and WASH in emergencies. 3.9. Analysis of national policies for climate change and	3.10. Contribution to the Yaa Heen Koosge report (Our Water Wisdom): stories from CTFN and other indigenous groups, creation stories to inspire people to care for water and land. Through a policy brief, SIWI bridged Indigenous people's knowledge on water for climate action.

		countries. Additional funding from GIZ's Forests4Future to implement and scale up the W-FLR tool.	related water sector risks in diverse areas related to WASH – based on development of climate scanning tool – with aim of getting governments to prepare for how climate change is and will be affecting WASH related services.	
Knowledge Generation and Tool Provision	4. SIWI is recognised as a knowledgeable partner on water governance	4.1. GIZ invited SIWI to present the forest-water nexus to GIZ's FLR group, and to present the W-FLR tool in a FLR stakeholder workshop in Benin. The feedback from Benin stakeholders was positive and GIZ is introducing Benin as a possible pilot country. Additional funding from GIZ's Forests4Future to implement and scale up the W-FLR tool. 4.2. Being asked by UNECE to prepare guidance on incorporating source-to-sea in transboundary water cooperation under. 4.3. SIWI was invited to deliver several workshops and training sessions at the IWC9 (International Waters Conference of the GEF) and then to provide a source-to-sea training to GEF project teams. This led to source-to-sea being included in the IW:LEARN project document with the funding for SIWI to incorporate source-to-sea into the TDA-SAP (transboundary diagnostic analysis and strategic action plan) guidance that is used by all GEF projects. 4.4. Research partnership with UNICEF on increasing and disseminating knowledge on COVID WASH response was awarded the Best of UNICEF Research 2022. 4.5. UNICEF uses knowledge to further support country and regional offices, as they are not a water organisation but work with that topic. UNICEF relies quite a lot on SIWI's water expertise.	4.6. Colombia – WASH REG – incorporation of points from the action plans developed in the WASH REG workshops in annual and five-year plans of the CRA. 4.7. Paraguay: new National Water Policy in process – content influenced by WASH REG action plan inputs 4.8. Development of water sector policies with approval of same in process in Paraguay and Guatemala.	4.9. Significant contribution from SIWI to the World Water Development Report 2021: Valuing Water on Indigenous and Relational Values

Capacity Development of key stakeholders	1. Increased capacity of key stakeholders	1.1. Capacity development for local partners, creating long term capacity. Work with local organisations, institutional capacity development, not just train individuals. Huge value in meeting in person. 1.2. TIARA, increased competence of farmers and NGOs. Zamcom. 1.3. GO-WATER: from individualised to institutional impact; alignment to sector priorities; demand-driven, country ownership; MS-approach; anchored in national conditions/capacities; peer-to-peer learning, applied learning, mixed learning; capacity development assessment tool. 1.4. Increased competence of the forest sector in some countries through trainings (LoCoFoRest). 1.5. Project management training in Hawassa (ongoing). MoWE in Ethiopia asked for similar training. 1.6. Enhancing capacity globally on S2S methodology. 1.7. Increased capacities within UNICEF country level programming through integrated and structured technical assistance. 1.8. Increased knowledge at the regional, national, and local level of UNICEF staff and partners on System Strengthening for Sustainable WASH. 1.9. FAO E-learning course on forest water nexus: GIZ has taken, used and spread this course, they see it as highly important in their upcoming work. 1.10. In Bolivia, the GO-WATER programme integrated the work of improving regulatory processes with the improvement of organisational integrity, developing two processes in parallel with the country's regulatory authority (AAPS). This made it possible to strengthen governance within the organisation and with its external counterparts (mainly lenders).	1.11. Strengthened capacity of WASH BAT methodology facilitation skills of UNICEF staff to replicate their application at different scales. 1.12. Strengthened capacity to report on service provision indicators for small scale rural service providers. 1.13. Strengthened capacity related to the formulation of and reporting on integrity indicators of regulating entities. 1.14. Strengthened capacity to implement the SAHTOSO tool by governmental entities. 1.15. Strengthened capacity of the student community about water, sanitation and hygiene themes in xxx country. 1.16. Strengthened capacity of the Committees of Potable Water (CAPS) in the legal framework (law 722) and in the preparation for emergencies. Nicaragua.	
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Capacity Development of key stakeholders	2. Improved outreach and inclusion of under-represented groups in capacity development activities due to innovations	2.1. With the aftermath of the pandemic and enhanced use of digital tools, there were increased opportunities for reaching groups that we didn't reach before. World Water Week conducted online reached young professionals. 2.2. Capacity Development activities have been improved by using innovative and accessible communication tools, e.g. Facebook, WhatsApp, Telegram in Ethiopia. Participants established a platform for sharing and communicating that continued after the project ended. In Women in Water Diplomacy, a WhatsApp group created a safe space for the women to continue the capacity development activities (peer-to-peer) outside the formal mechanisms. 2.3. More systemic impact. Demand driven. Promoting strong ownership of country partners. 2.4. The work with including Indigenous people in global water fora is a two-way capacity development: teaching the water sector about Indigenous People's values and knowledge, and Indigenous groups learning about what water experts are thinking.	2.5. Developed and about to launch online course in Spanish and English on WASH REG through CAP Net. Includes good practices for regulators with 25 pertinent to rural areas.	2.6. WWW Online participation was massive, really great that they could make that event available for free.
Capacity Development of key stakeholders	3. Unintended positive effects arising as a consequence of capacity development efforts	3.1. Counterparts want to have trainings repeated. 3.2. Manuals developed for Sida are being used by other donors. 3.3. Textile industries in Ethiopia use SIWI platform to enhance capacity.	3.4. Guatemala – Adoption of national water and sanitation policy in process and being considered by Congress (with inputs from WASH REG process).	
Capacity Development of key stakeholders	4. Internal capacity development	4.1. Trainings on Sida PS, RBM, PM, risk management, new technologies. 4.2. Internal trainings on human rights, gender fika. 4.3. Building internal knowledge. Learning from platforms around the organisation.		

Platform Development (includes stakeholder engagement, conferences and knowledge exchange)	1. Platforms successfully developed foster collaboration and coordination among its members	1.1. Ethiopia platform textile industry: Use of SIWI platform for enhancing collaboration and coordination among water stakeholders in Ethiopia. 1.2. Landscape management platform around Lake Hawassa established and has contributed to a better outlining of roles and responsibilities for landscape management, cleared out overlaps, increased efficiency. 1.3. Supported convening of the first WASH-WRM multistakeholder forum in Ethiopia, increasing synergies between the 2 sectors in MOWE. Led to increased collaboration within ministry. 1.4. SWP as a platform for Development & Foreign Partners to coordinate financial, technical, and political support to transboundary water cooperation processes. 1.5. Many platforms serve as opportunities to strengthen inter-ministerial coordination. Capacity Development Platform for Somalia is a bilateral programme but brings together a wide range of Somali Ministries and member states that would likely not meet as often as they would like. This strengthens internal messaging and enables cohesive, inclusive and informed dialogue at the transboundary scale. 1.6. Coordinating platforms. Steering committee. Donor platform to strengthen coordination. Establishing informal platforms for dialogue and cooperation.	1.7. LAC - WASH REG – permanent coordination and working groups set up by regulators	1.8. As a direct result from Indigenous participation at the UN Water conference in Dushanbe in 2022, an informal reference group was formed on Water and Indigenous Peoples, including eleven Indigenous delegates. The group coordinates efforts with the Dutch government to ensure the meaningful participation of Indigenous Peoples in the UN's Water Action Decade. As part of this, they are creating a database of Indigenous water experts that can contribute to the mid-term review of the Water Action Decade. SIWI contributed with a list of 25 experts.
Platform Development (includes stakeholder engagement, conferences and knowledge exchange)	2. Platforms successfully developed allow for knowledge exchange between different parties (across sectors, within the water sector, peer learning)	2.1. Supporting peer to peer networking such as the formation of exchanges between Colorado River and Murray Darling Basin. 2.2. Supported convening of the first WASH-WRM multistakeholder forum in Ethiopia, increasing synergies between the 2 sectors in MOWE. 2.3. Platforms also created dialogue between WASH and water climate. 2.4. First UN Indigenous Peoples and Local Communities Forum in water sector. 2.5. SIWI is using a platform business model to develop and deliver sustainable water management solutions. A platform	2.10. Colombia – Multi-actor technical forum (table) and dialogue with 15 organisations – led to development of mapping of WASH sector response to the pandemic 9. WASH BAT – led to formation of WASH committees and ones which are focusing on how to prepare for emergencies.	2.11. Making Indigenous People represented in conversations they were not before – platform for them to convene their views; raise their knowledge on the global water sector. Let them exchange among each other, as groups based on relational values with water. Create more enabling environment for incorporating their views and voices. Reconcile different ways of thinking on water governance. Indigenous land and territory protects water bodies – Increasing the awareness of this important role they play in

		business model is a business model that creates and operates a platform that facilitates the exchange of knowledge, information, and ideas information between multiple parties. 2.6. SIWI participated in the Large Marine Ecosystem meeting and for the first time brought together marine and freshwater project teams to explore their source-to-sea linkages. 2.7. Peer to peer engagement and learning. 2.8. During the Sustainable Textile Initiative (STWI), many Swedish textile companies were involved in knowledge exchange and learning across the Scandinavian textile industry with leading companies such as IKEA, H&M, Lindex, Stadium etc. This contributed to identification of improved water governance and management steps that could be taken in their own supply chains in Bangladesh (main production country). 2.9. Each year in January, SIWI hosts a closed high-level cross-sectorial panel discussion for business leaders to learn and exchange thoughts with public sector officials and other NGO stakeholders. The event has led to engagement by the companies and in the past two years the event has led to dialogues between SIWI, IKEA and Alfa Laval on improving their water work. Furthermore, the event has been an appreciated space for business leaders to learn more about what they can do in their business and across their sectors to engage their fellow CEOs or other C-suite leaders in improving water governance globally and in Sweden.		protecting/safeguarding water resources. Water professionals hear and understand indigenous views, they have been blind to these issues. In the events, there is also peer exchange between different Indigenous groups.
Platform Development (includes stakeholder engagement, conferences and knowledge exchange)	3. Platforms successfully developed generate strategic partnerships and financial opportunities to its members	3.1. TIARA platform development supported ZAMCOM in attracting financing to smallholder agriculture and land use e.g. PIDACC, GCF & Swedfund (in progress). 3.2. Rainfed agriculture investment forum - 100 participants, new partnerships formed & new funding opportunities such as the Zambia PPP.	3.3. Ecuador – WASH REG – established working groups with financial partners.	3.4. Governments putting money to bring the Indigenous Peoples to these events (e.g. SIWI played a very big role in getting Netherlands to sponsor, they had to coach them a bit to give small grants to indigenous networks). 3.5. Fundraising as a major outcome, SIWI has supported the engagement financially. 3.6. Collaboration of the Indigenous and Water Informal Reference Group, UN agencies, and SIWI with the Dutch government to increase the

				participation of Indigenous Peoples in the Water Action Decade and mid-term review has led to a call from the Dutch government to fund Indigenous Peoples-led initiatives linked to Water. The budget limit is 30 000 Euros, and some of the Indigenous Organisations were supported by the Informal Reference Group through a consultant.
Platform Development (includes stakeholder engagement, conferences and knowledge exchange)	4. Platforms and events contribute to the inclusion of under-represented groups, and connecting those with decision-makers (more participatory and equitable water governance)	4.1. TIARA created safe space for ongoing discussion on how smallholder farming can be supported, resulting in the Call to Action by Zambezi countries. 4.2. Women in Water Diplomacy Network Platform has become a platform for governments to strengthen informal networks, build trust, and establish a joint understanding of cross-border challenges and opportunities to cooperation. 4.3. Establishing an Indigenous Peoples and Water Governance Platform working to support attendance of Indigenous Peoples within established international spaces, including administrative support, leading to interest from Permanent Forum on Indigenous Issues. 4.4. Informal Reference Group for Indigenous Peoples and Water: Creation of a safe space for engagement by Indigenous Peoples. 4.5. Ensuring space is available for Indigenous-led events in the UN Water Conference, World Water Week and other established spaces (First Nations Focus).	4.6. Youth platform in LAC established with 4 month mentorships and then participation in WWW (online) 4.7. Monitoring platform for the action plans of WASHBAT in Paraguay. Strong youth participation and empowerment – 49% of participants. Monitoring process included 4 inclusive bilateral meetings – Dept. of Sanitation, CSOs, Youth and Donors. Included youth organisations. Gave weight to youth participation. 4.8. Colombia – SSPD and community associations met to discuss the simplification of reporting and data collection requirements. 4.9. Participation of women, indigenous people and youth in WASH BAT participatory processes has led to explicit support for these groups in WASH BAT action plans in Bolivia and 2 other countries	4.11. SIWI co-convened a few panels with FAO, UNESCO, UNDP and GWP with Indigenous Peoples at the 2nd high-level international conference in Dushanbe, Tajikistan. This was the first time that a UN water conference had Indigenous participation and their views were broadly valued and accepted. 4.12. Official Side Event at the 2023 UN Water Conference in New York: Indigenous Peoples and Water, organised by UNESCO LINKS and supported by SIWI. 4.13. Big achievement that Indigenous Peoples are now present in international water conferences. Our voices, issues are getting considered in those discussions and negotiations of water processes. His video was displayed (1 minute long) at the High-level political forum on sustainable development. If Indigenous voices didn't matter, he would not have received one minute of people's attention in that meeting. 4.14. WWW 2020, 21, 22 had Indigenous-focused events, and in WWW 2023 they initiated the First Nations focus, with the support of Sámi people. 4.15. At WWW, there was a number of sessions focused on Indigenous governance, with a

			4.10. Nicaragua: WAST BAT led to strengthening of community level approaches to WASH in northern part of country, especially related to WASH in schools, including hygiene and menstrual hygiene.	number of Indigenous speakers from around the world. CTFN was involved in a few. Significant Indigenous participation. Water sector expert: “I’ve been coming to WWW for 12 years. This is the most excited I’ve been (because of the Indigenous focus).” Appreciation that discussions are being held, and vision and goals are being talked about for next steps.
Platform Development (includes stakeholder engagement, conferences and knowledge exchange)	5. Platforms successfully developed are sustained over time independently from SIWI	5.1. Water efficiency in the textile industry in Ethiopia Telegram platform has continued after the EWLGP ended. 5.2. Rift Valley Basin office water stakeholder group has continued functioning after EWLGP ended. 5.3. Emergency platforms related to WASH are still used until today.	5.4. Mexico: Chihuahua and Chiapas – WASH BAT process in Chihuahua has been monitored by UNICEF and found that core working group in Chihuahua still operational after 4 years.	5.5. As a direct result from Indigenous participation at the UN Water conference in Dushanbe in 2022, an informal reference group was formed on Water and Indigenous Peoples, including eleven Indigenous delegates. The group coordinates efforts to ensure the meaningful participation of Indigenous Peoples in the UN's Water Action Decade. The group is also addressing water at UN Summits dedicated to other related topics, such as food security.
Platform Development (includes stakeholder engagement, conferences and knowledge exchange)	6. Establishment and maintenance of important partnerships	6.1. Working with allies to support widespread attendance of Indigenous Peoples. 6.2. Partnership with the World Resources Institute on Integrated Water Resources Management and landscape training in Ethiopia with funding from WRI. 6.3. Increased cooperation with academic institutions, such as Bristol University, University of Technology Sydney, Center for Water and Sanitation, CWAS (India). 6.4. Research partnership with Stockholm Resilience Center (SRC), KTH and PIK on Resilient Forest-based Mitigation with funding from Formas. Optimise water ecosystem services. 6.5. SIWI has convening power. 6.6. Contribution to other external platforms: River Basin Organisations, UN-Water operations.	6.7. Coordination and internal planning with UNICEF Country Offices for the realisation of technical assistance activities. 6.8. Sida support allows SIWI staff to strengthen the alliances being developed with the 25 countries with which UNICEF/SIWI are working.	6.9. SIWI and UNESCO help each other network, as they have different partners (UNESCO has the mandate and access to high-level governments but also indigenous networks, while SIWI has access to water experts and technical agencies). Complementary roles. SIWI has a different agility – they could do things that UNESCO couldn’t. The UN system has a lot of bureaucracy to book hotels and trips for the conference panellists, get visas etc, but SIWI could do that quickly. They can mobilise the money where they want quickly. So, it was really helpful. “there’s an agility to SIWI that allows them to be a very helpful partner to the UN”.
Dialogue Facilitation	1. SIWI is recognised as a	1.1. A common dialogue was established on different fronts, speaking the same ‘language’		1.5. “I think SIWI has added enormous value”. SIWI has been catalytic in the process, as it

and Advocacy	consistent and trusted partner in its dialogue and advocacy efforts.	1.2. Learning by doing, sharing of experiences, provides legitimacy. Pushing others to think alike; it's the end of advocacy cycle when other actors are using SIWI's language, narrative, tools and approaches. Cascading effect of driving SIWI's agenda forward. 1.3. Sida contribution: allowing SIWI to consistently and long-term stay in the sector. Always hard at the beginning, misunderstanding, lack of engagement, etc – takes time and consistency to start to be credible and convincing in the message being convened. 1.4. Invitations to SIWI to support Indigenous Events (i.e. World Water forum 2024).		would have been challenging for the UN to focus its energy and advance the inclusion agenda in water discussions. Government discussions are very technical and technological. Challenge for the UN to focus on inclusion. Water is a challenging sector to talk about inclusion and participation at the global level (maybe better at national level). SIWI has a good understanding of the social and technical dimensions, this specialisation of SIWI becomes useful in the policy space where they operate in. 1.6. SIWI finds opportunities, is able to mobilise some resources and find experts, and the experts are able to catalyse other processes, particularly right down to grassroots level and to very specific sites. At their programme at UNESCO, they like that spiral of being able to go from the bottom (grassroots level) through the governmental system up into the international system and SIWI works smoothly in that verticality. 1.7. We see SIWI as a partner, co-collaborator in our perception and perspective of water, to get the message out there, but also to learn. Also important partner in networking with other indigenous groups; specifically the Sami. 1.8. The Focal Point for Indigenous Peoples Major Group for Latin America wrote a letter to David asking for the presence of Indigenous Peoples in the next SDG summit at the United Nations, in September 2023.
Dialogue Facilitation and Advocacy	2. Other sectors (climate, agriculture, forestry, textile,	2.1. Water linkages with climate: The Global Climate Fund (GCF) rarely funds water initiatives. SIWI succeeded to include Water and WASH as one of the areas that GCF finances. 2.2. Linking water with agriculture and climate: Statement of		

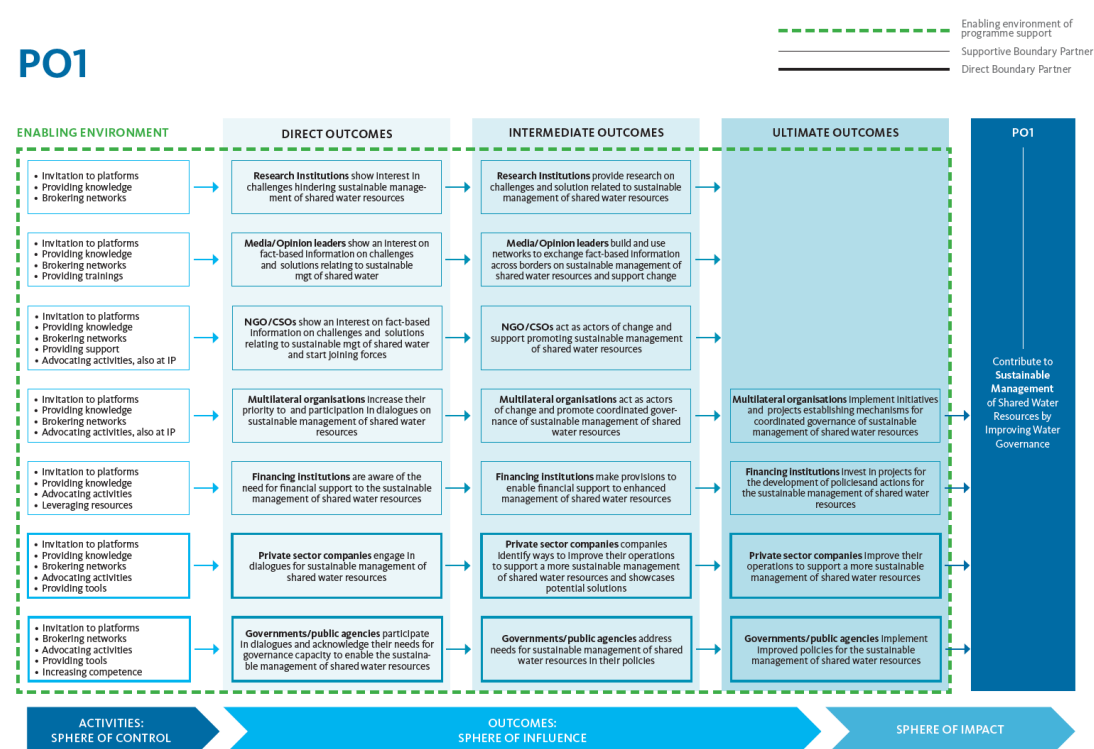
	etc) integrate, incorporate and mainstream water issues due to SIWI's efforts	Intent to support rainfed agriculture endorsed by member states' representatives. Rainfed agriculture also integrated in ZAMCOM's basin investment plan and applications to financiers. 2.3. Mainstreaming the Enabling Environment, Accountability, and Sustainability into UNICEF Agenda. 2.4. Water and WASH have been integrated into Nationally Determined Contributions (NDCs – climate action plan to reduce carbon emissions) and National Adaptation Plans (NAPs) of several countries. 2.5. As a follow-up of a workshop done by SIWI, journalists in the Eastern Nile Basin developed a joint statement to strengthen their outreach and enhance their impact in calling for greater transparency from the governments, and asking for greater regional cooperation over a particular dam. 2.6. Through the Sustainable Textile Initiative (STWI), many of the companies have continued engaging in corporate water stewardship activities and developed water strategies and integrated water positive targets in their sustainability work. 2.7. The Responsible Antibiotics Manufacturing Platform, RAMP, was launched 2021 as an alliance of pioneers to combat antimicrobial resistance (AMR). One of the drivers of AMR is pollution by antibiotics released into the environment from manufacturing with the objective to reduce these emissions. Special about the platform is that it brings together actors from both the supply and the demand sides of the antibiotics market, enabling collaborative business cases for sustainable antibiotics manufacturing. RAMP highlighted the growing international demand for sustainable antibiotic manufacturing and has helped catalyse actions and initiatives with e.g. WHO, Nordic and other European governments and public procurement agencies. 2.8. Based on the knowledge generated during the Water and Food MSG, ICA, Axfood, Santa Maria and Systembolaget (Swedish food and beverages business chains) took steps to monitor their water impact. Today, SIWI is still in dialogue with		
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		Axfood, Ax Foundation and Martin & Servera (food sector) on how to further build on the work that was previously done, to accelerate efforts to improving water governance, water management and the effects climate change has on water.		
Dialogue Facilitation and Advocacy	3. The water sector incorporates different perspectives, making water governance more holistic and inclusive	3.1. SIWI has managed to extend the concept of forest and land restoration to water governance. 3.2. International events like the UN Water Conference or SIWI's World Water Week are leveraged to strengthen or enhance inclusivity in dialogue. These events are augmented through SIWI activities or support to amplify partners' voices and create entry points for a diversity of perspectives. 3.3. Promoting two-way conversations between water sector and Indigenous Peoples through multiple venues - and ensuring Indigenous Peoples are being referenced in declarations or outcomes, or communications from Interactive dialogues.		3.4. the 2nd high-level international conference in Dushanbe, Tajikistan (in preparation to the mid-term review of the Water Action Decade 2018-2028) produced a Conference Declaration (endorsed by UN Member States) mentioning inclusion and the rights of Indigenous People, women and youth. 3.5. "the indigenous people did their work, nobody acted on their behalf, they acted for themselves". 3.6. UN Groundwater Summit at UNESCO in Paris and Indigenous Peoples were included again. So suddenly indigenous people were guaranteed a place in all the conversations, whereas immediately before there was no such thing, they had not even ever been consulted. Suddenly they were considered a key element because of the concerted efforts of SIWI, UNDP and UNESCO. 3.7. The NY Conference was not as important as the purpose was to review progress, but the achievement in Dushanbe has allowed many other things to happen and it will hopefully change the course of how water policies deal with inclusion. In other parts of the conference, they could see very high-level input of IP, which doesn't have anything to do with them per se, but served as catalysts for all this change to happen. 3.8. Incorporating Indigenous values in the decision-making to change the overall paradigm

				of water governance – global water policy. Bringing these voices change how we see water resources and changes the outcomes for the better. In the diverse indigenous world, the first value is cooperation - and this work attempts to insert this world view in the mainstream thinking. 3.9. A strong presence of Indigenous Peoples in international water policy and a higher consideration of alternative forms of governance based upon relational values. A shifting in narrative about the marginalisation of Indigenous Peoples (and poor wellbeing indicators) to one recognising the important and often hidden role of Indigenous Peoples in water governance.
Dialogue Facilitation and Advocacy	4. Other actors adopt methodologies that SIWI developed or contributed to	4.1. GEF including source-to-sea in their funding strategy. We have engaged with GEF over the years beginning with writing a STAP paper (Scientific and Technical Advisory Panel for the GEF) which reviewed several GEF projects from the perspective of the source-to-sea approach. From this, a guide for implementing source-to-sea in projects and programmes was written. 4.2. S2S approach now used widely. Since it's a platform, it's not just SIWI doing it. All other partners take and use the methodology. 4.3. GCF is recommending the methodology that SIWI helped develop to incorporate water into climate projects applying for funding. 4.4. SIWI established a 'gold standard' at WWW of ensuring all voices are heard (collective rights relating to Indigenous Peoples and ILO Convention n. 169), that is being copied by other events.		

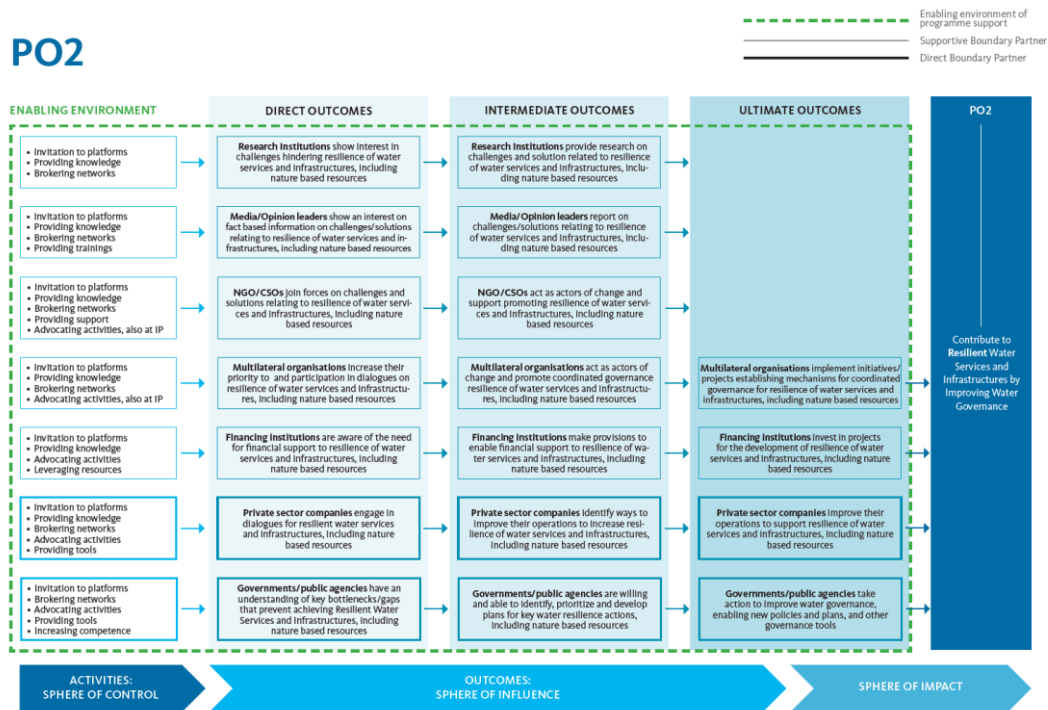
Annex 5 – SIWI Strategy Theories of Change

Figure A1: SIWI Theory of Change Objective 1: Contribute to Sustainable Management of Shared Water Resources by Improving Water Governance



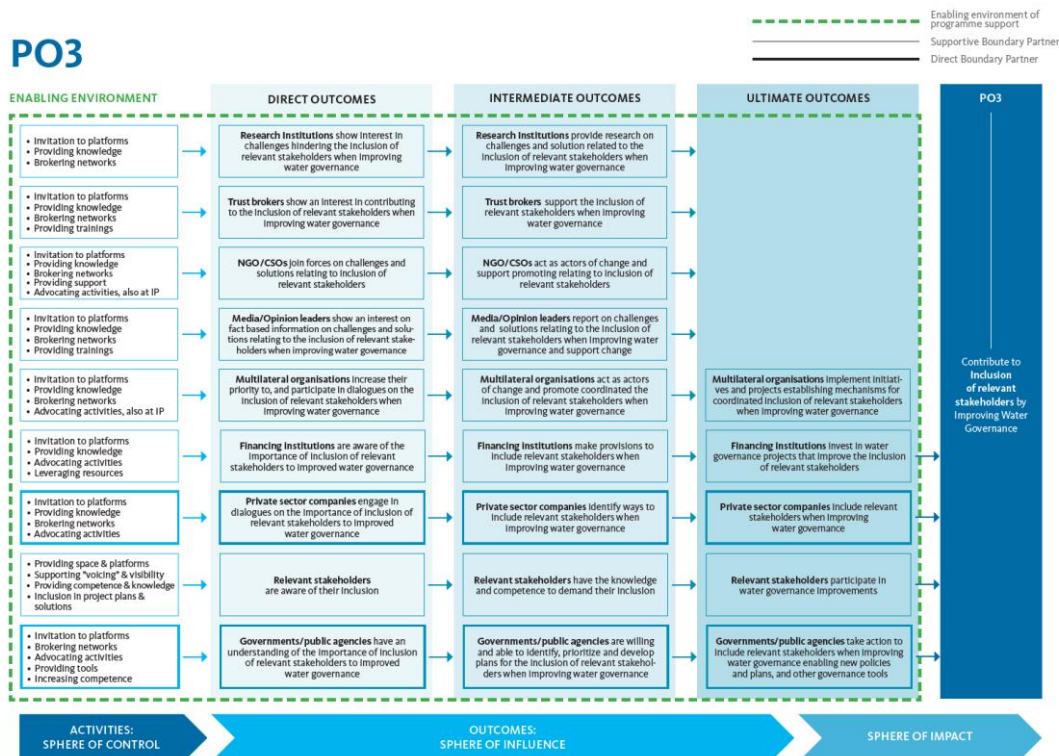
Source: 2020 Sida Programme Support document

Figure A2: SIWI Theory of Change Objective 2: Contribute to Resilient Water Services and Infrastructure by Improving Water Governance



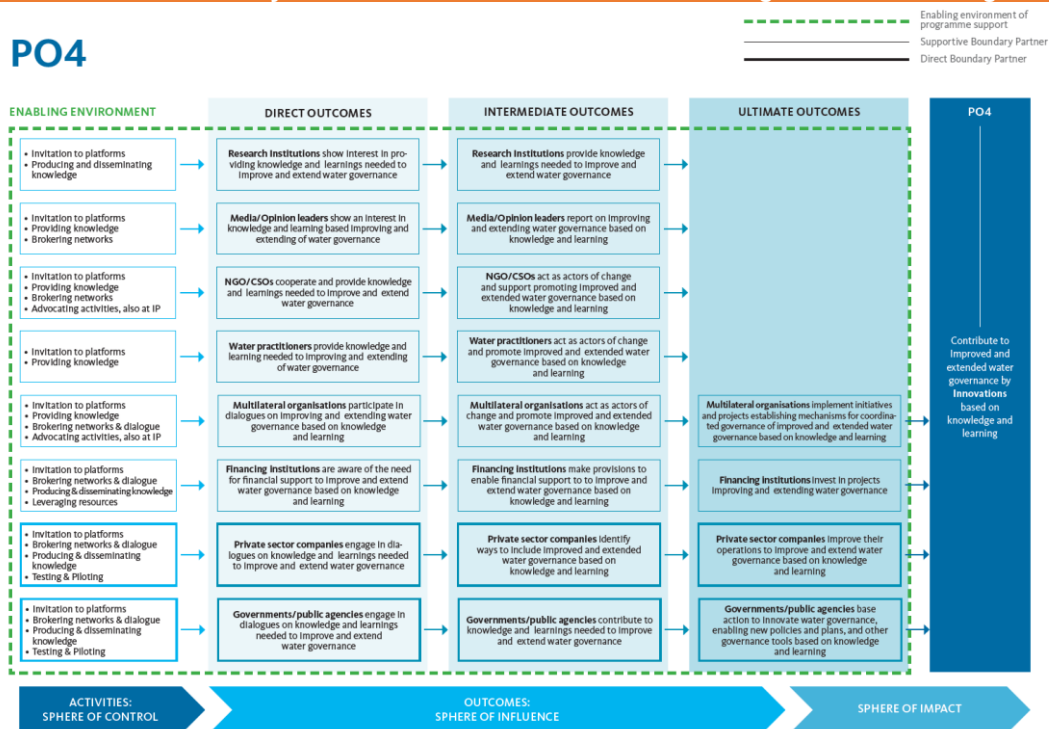
Source: 2020 Sida Programme Support document

Figure A3: SIWI Theory of Change Objective 3: Contribute to Inclusion of Relevant Stakeholders by Improving Water Governance



Source: 2020 Sida Programme Support document

Figure A4: SIWI Theory of Change Objective 4: Contribute to Improved Water Governance by Innovations based on Knowledge and Learning



Source: 2020 Sida Programme Support document

Annex 6 – List of Persons Consulted

Programme or Area of Work	Role	Organisation
A4S	Sida Programme Manager (PM) 1	Sida
	Sida PM 2	Sida
	Programme Manager	SIWI - Colombia
	Programme Officer 1 Bogota	SIWI - Colombia
	Global Director of WASH	SIWI
	Head of WASH	UNICEF
	Global PM	UNICEF
CRA	PM	SIWI – Colombia
	Programme Officer	SIWI– Colombia
	Chief of Assessment & Planning	CRA
EWLGP	Director Africa Regional Centre	SIWI
	Former Programme Manager	Embassy of Sweden, Ethiopia
	Head of Development Cooperation	Embassy of Sweden, Ethiopia
	Former Water Stewardship and management lead Ethiopia	GIZ
	Implementing partner (co-funding joint workshops)	Swedish Metrological and Hydrological Institute (SMHI)
GoWater	Director for Rural Providers	Superintendency of Public Services Dept., Colombia
	Director – Capacity Development	SIWI
	Director 1	SIWI
	Programme Manager - ITP	Sida
	Director CAP-Net	UNDP Cap-Net
HRBA/Gender	Former HRBA Focal Point	SIWI
	Gender Focal Point	SIWI
	Gender Champion/Communications	SIWI
	Youth Champion/ PM Transboundry Water	SIWI
Inclusion of Indigenous Peoples	Senior Programme Manager – Water Resources	SIWI
	Director of Water Resources	SIWI
	Representative	Stockholm Sami Association (Sameföreningen i Stockholm)

Programme or Area of Work	Role	Organisation
	Representative	Stockholm Sami Association
	Representative	Asian Indigenous Peoples Pact (AIPP)
	Representative	Carcross/Tagish First Nations (CTFN)
	Representative	UNESCO LINKS
Public Sanitation in LAC	PM	SIWI - Colombia
	PO 1	SIWI - Colombia
	International Cooperation Analyst	City of Barranquilla
	Representative of Mayor's Office	City of Barranquilla
TIARA	Director Africa Regional Centre	SIWI
	Executive Secretary	Zambezi Watercourse Commission (ZAMCOM)
	ICRAF / CIFOR Country Coordinator Zambia	International Council for Research in Agroforestry (ICRAF) - Centre for International Forestry Research (CIFOR)
	Head of M&D	COMACO, Zambia
	Representative	Farmers' Association of Community Self-Help Investment Groups (FACHIG) Trust, Zimbabwe
S2S	PM 2	SIWI
	Senior Analyst International Affairs	Swedish Agency for Marine and Water Management
	Project Manager: UNESCO	International Water Learning Exchange & Resources Network (IW:LEARN)
	Senior Programme Director	GIZ
	PM - 3	Sida
	PM – 4	Sida
	S2S Platform Chair: Independent Consultant	TJC Water
	Director - Global Water Programme, S2S Platform partner/beneficiary and Steering Committee member	IUCN
	Former Water Stewardship and management lead Ethiopia	NatuRes programme - GIZ
	Manager of UNDP GEF support to ORASECOM	ORASECOM
SWP	Senior PM – Transboundary Water Management	SIWI

ANNEX 6 – LIST OF PERSONS CONSULTED

Programme or Area of Work	Role	Organisation
	PM	Embassy of Sweden, Ethiopia
	Sr. Water Advisor	UNDP
	Special Envoy for Water	MFA - Finland
	Transboundry Water Advisor	Government of Sompalia, Office of the President
	Women in Water Diplomacy in the Nile-member and leadership council member	African Women in Water and Climate (AfWWC)
	Independent Researcher in Water	Eastern Nile Research Network
Water Integrity in Latin America	Integrity Sector Representative	IDB
	Integrity consultant	IDB
	Director	CEWAS
	Executive Director	WIN
	WIN Programme Manager	SIWI
W-FLR	Head of Decentralised Forest Management	GIZ
	Junior Advisor Global Forests4Future	GIZ
	PM Swedish Water House	SIWI
	Director – Swedish Water House	SIWI
	Research Project Director	University of Stockholm
	Reference Group Member – FAO Forestry Sector	FAO
Other (Non-Programme specific)	Water Sector Expert	MFA - Netherlands
	Water Sector Expert	MFA - Sweden
	Senior Water Resources Management – Trans Boundary Waters	World Bank
	Policy Specialist on Water, Sanitation and Oceans	
Outcome Harvesting Workshop - Bogota	6 Programme Officers – Water and Sanitation	SIWI - Colombia
	PM – Water and Sanitation	SIWI - Colombia
	Sr. PM – Water and Sanitation	SIWI - Colombia
Outcome Harvesting Workshop - Stockholm	Advisor, Sustainable Services, Water and Sanitation	SIWI
	Programme Officer, Africa Regional Centre	SIWI
	Senior Programme Manager, Water resources	SIWI

Programme or Area of Work	Role	Organisation
	Senior Advisor, Office of the COO	SIWI
	Senior PM, Transboundary water cooperation	SIWI
	Director, Africa Regional Center	SIWI
	Programme Manager, Swedish Water House	SIWI
	Senior Manager, Office of the COO	SIWI
	Senior Manager, Water Resources	SIWI
	Programme Manager, Water and Sanitation	SIWI
	Director, Water Resources	SIWI
	Program Director for Capacity Development	SIWI
	COO and acting CEO	

Annex 7 – Recommendations from Evaluation of SIWI's 2013-2017 Strategy

The points below represent a summary of the most relevant recommendations from the Evaluation of SIWI's 2013-2017 Strategy.

One: For the next strategy period, SIWI needs to develop a strategic document with a strategy and an action plan, with overarching strategic goals, thematic objectives and a theory of change. The action plan would start from the objectives for each unit and thematic area, contain the detailed outcome and operational targets for each of those and specify key implementation modalities.

Two: The next strategy's themes need to be framed by SIWI's areas of expertise and prospects of external funding. This would point at retaining water governance and transboundary water management as the two thematic anchors.

Three/Four/Five: There were serious challenges with SIWI's reporting and outcome mapping system which the organisation needs to address by providing staff training on how to use the Outcome Mapping system with a set of standard procedures for inputting results. SIWI also needs to improve its narrative reports so that they clearly show which thematic outcome objectives the organisation has met and explain how the outputs and outcomes of the different projects and programmes cited contribute to the Strategy's thematic outcome objectives. SIWI's reporting system should also include more efficient ways to linking inputs to results at the output and outcome levels for all SIWI projects and programmes

Six: SIWI should assess the extent of non-conformance with established financial and administrative procedures and the consequences in terms of time spent on corrective actions.

Eight:⁷⁹ SIWI should critically assess the benefits of each of its partnerships not only in terms of their financial return, but also of their thematic, geographical and policy relevance. SIWI should investigate the long-term procurement pipelines and outsourcing requirement of potential key partners and engage in dialogue to define the modalities of engagement. Suitable international commercial partners should be included in this assessment, notably those with whom SIWI already has an established relationship.

⁷⁹ The team did not include Recommendation 7 since it addressed efficiency issues which are beyond the scope of this evaluation.

Annex 8 – Stakeholder mapping

Shared Water Partnerships (SWP)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Transboundary Water Management Department at SIWI	Implementing partner	This was the former name of the department that housed the SWP. This department has been reorganized and merged with another team to become the Water Resources Cooperation Department
Embassy of Sweden in Addis Ababa	Financing partner	The Sida grant agreement is supported by the East African Regional Office housed in the Embassy of Sweden in Addis Ababa. Sida funds are directed towards the "Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins" project. Given the limited regional portfolio for which this Sida office is responsible, all SWP activities are accordingly regionally earmarked. However, the Nile and Horn of Africa constitute significant sources of SWP time, resources, etc. and Sida has maintained a position on the SWP Steering Committee through consecutive agreements since 2016.
Norwegian Ministry of Foreign Affairs (NMFA)	Financing partner	The Norwegian MFA was a core donor of the Shared Waters Partnership and member of the Steering Committee. Funding was allocated across the entire spectrum of SWP basin/regional activities and their support was coordinated with other Development or Foreign Policy Partners amongst the SWP Steering Com.
MFA Netherlands	Financing partner	The MFA Netherlands has supported the SWP as a core partner and member of the SWP Steering Committee since 2017. Funding is unearmarked and allocated across the entire spectrum of SWP activities. The MFA Netherlands has an ongoing agreement to support the SWP through 2026.
UNDP	Financing partner	UNDP was a founding member of the SWP in 2011 and actually received the first grant from the U.S. DoS to implement activities under the title "UNDP Shared Waters Partnership". As a founding member, UNDP has continued to play a role amongst the SWP Steering Committee since its inception and maintains token

		financial support to core costs through the Water Governance Facility.
US Department of State (DoS)	Financing partner	The DoS was one of the original founding members of the SWP and provided the initial financial contribution to the programme through an agreement with UNDP in 2011. The DoS has since provided support to the SWP as a core partner through several separate cooperative framework agreements.
Swiss Agency for Development and Cooperation (SDC)	Financing partner	SIWI implemented a series of dialogues amongst Central Asian and Afghan government focal points in partnership with the Swiss Blue Peace Central Asia programming. These dialogues were implemented in 2020-2021 with costs primarily covered by the Swiss SDC with in-kind contributions from the SWP. During this time, Switzerland employed a Special Envoy for Central Asia who was our primary implementing partner. Switzerland ended the position of Special Envoy in 2022.
MFA Finland	Financing partner	The MFA Finland is not considered a core member of the SWP Steering Committee but they have provided catalytic financial, political, and technical support to SWP activities with a primary focus on supporting the Women in Water Diplomacy Network.
Federal Government of Somalia (Office of the President)	Beneficiaries	SWP has supported transboundary cooperation and water diplomacy capacity development.
Nile Basin Initiative (NBI)	Beneficiaries	SIWI supports in various capacities including dialogue facilitation, technical support, etc.
African Women in Water and Climate (AfWWC)	Beneficiaries	Partner to Women in Water Diplomacy in the Nile Network
Eastern Nile Research Network	Beneficiaries	Researchers from Sudan, Ethiopia, Egypt
Media	Beneficiaries	Egyptian Journalist (Winner of SWP sponsored NBI media award)
Young professionals	Beneficiaries	

Accountability for Sustainability (A4S)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
UNICEF WASH Section	Financing and implementing partner	UNICEF's most important boundary partners include UNICEF Headquarters, UNICEF Regional Offices, and UNICEF Country Offices. 1 Global PCA + 3 regional PCAs in MENA, LAC and EAP
Water and Sanitation Department at SIWI	Implementing partner	SIWI Managers of the different PCAs
UNDP	Implementing partner	Partner
UNICEF Country offices	Beneficiaries of Technical Assistance	UNICEF Country Offices (CO) engage with SIWI to request our technical assistance, and link with the governments in the processes
Ministry of Public Health and Social Assistance (MSPAS), Guatemala	Beneficiaries	SIWI identifies local institutions on water governance and liaises with them on a partnership / capacity building program, where we support them on an assignment while building their capacities during its implementation.
National Aqueduct and Sewer Administration (ANDA), El Salvador	Beneficiaries	
National Water Authority (ANA), Nicaragua	Beneficiaries	

Department of Water, Ecuador	Beneficiaries	
Agencia de Regulación y Control del Agua (ARCA), Ecuador	Beneficiaries	
Ministry of Health, Dominican Republic	Beneficiaries	
Universidad NUR, Bolivia	Partners/ Beneficiaries	
EXSSA, Haiti	Partners/ Beneficiaries	

Source to Sea (S2S)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water Cooperation and Diplomacy department at SIWI	Implementing partner	SIWI has a S2S Programme to implement source-to-sea projects and is host of the secretariat for the Action Platform for Source-to-Sea Management (S2S Platform). SIWI initiated the source-to-sea concept and launched the Platform. S2S had two pilot locations , Hawassa, Ethiopia and Hoi An/ Vu Gia-Thu Bon River Basin, Vietnam. The first round of pilots was interrupted by Covid and the continuation in Hawassa was cancelled due to the civil war. Due to this, activities were limited prior to 2020 in Hawassa and SIWI has not maintained contact with people there. With the Platform , SIWI is creating a community of practice around source-to-sea management so all platform partners could be considered beneficiaries as well.

Swedish Agency for Marine and Water Management	Implementing partner	The concept of Source to Sea was of high relevance to the government when deciding on establishing the agency that started its operations in July 2011. The agency has the main responsibility in Sweden for the management of seas, lakes and rivers including fisheries management, to secure healthy ecosystems and human needs. SwAM has engaged SIWI in several projects implementing the source-to-sea approach in their bi-lateral/international cooperation.
International Water Learning Exchange & Resources Network (IW:LEARN)	Implementing partner	Capacity development has been conducted with IW:LEARN for implementers of GEF projects in person and online
UN's Economic and Social Commission for Asia and the Pacific (ESCAP)	Implementing partner	Capacity development has been conducted with UN ESCAP for policy and decision makers in the Asia Pacific. This was a very small project to assist in developing an e-learning on SDG6&14 linkages for the Asia Pacific region.
IUCN Vietnam	Implementing partner	Local implementing partner for Foundations for Source-to-Sea Management and Design and Accountability for Source-to-Sea Action on Plastic.
GIZ	Financing partner	On behalf of BMZ, GIZ has a grant agreement with SIWI for the global project "Concepts for sustainable solid waste management and circular economy", an agreement for the project "Sustainable Water Policy".
Sida	Financing partner	Sida global strategy for environment
Swedish Ministry of Environment and Energy	Financing partner	"Thanks to the contribution provided by the Swedish Ministry of the Environment and Energy, the Secretariat was reinforced with a full-time staff member from June 2018, which allowed for additional input by the S2S Platform in relation to a number of the activities."
UNDP	Financing partner through the Water	UNDP has been a partner of the S2S Platform since its launch and is on the Steering Committee.

	Governance Facility	
Government of the Netherlands	Financing partner	The government of the Netherlands has a framework agreement with SIWI that includes funding for the S2S Platform and source-to-sea activities
Independent consultant - TJC Water	S2S Platform Chair	Been involved with the S2S concept and S2S Platform from the beginning. His role as Chair is as an individual and he does not represent an organization in that role.
IUCN	S2S Platform partner/beneficiary and Steering Committee member	Has good knowledge of S2S and S2S Platform activities. With the Platform, we are creating a community of practice around source-to-sea management so you could say the beneficiaries are all of our partners. You can see the list here. We also participate in and hold events at many conferences and meetings. For this would the beneficiaries be the participants in the events, the countries that have signed declarations with S2S in it, etc.? This becomes a large list that we could never provide. Then there are the activities that our partners do where they incorporate S2S and the beneficiaries related to those activities.
GEF	Collaborating partner	The Global Environment Facility has been an observer and collaborating partner to the S2S Platform for many years
UNECE	Collaborating partner	UNECE/ Water Convention Secretariat has been a collaborating partner for about five years.
NatuRes programme	Collaborating partner	GIZ team in Ethiopia
Department of Natural Resources and Environment, Vietnam	Beneficiaries	The Department of Natural Resources and Environment supports the city of Hoi An in the development of the environmental strategy and in addressing the issue of plastic pollution.

Hoi An municipality	Beneficiaries	The municipal government of Hoi An received support to incorporate source-to-sea perspectives in their environmental strategy.
ORASECOM (local basin development organisation)	Beneficiaries	ORASECOM has been a S2S Platform partner for several years
Independent consultant working with community-led groups	Implementing partner	Consultant providing community engagement for Design and Accountability for Source-to-Sea Action on Plastic. Kinh led the engagement with the community members so could be interviewed about that process and impact. She could potentially provide names of people that we worked with from the community. However, they will not speak English so it may be difficult to interview them.
NatureScot	Beneficiaries	Agency in Scotland, which received a former SIWI intern applying her learning on S2S there.

Indigenous peoples work

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water Governance Facility	Financing partner	In 2014, SIWI and UNDP established the Water Governance Facility (WGF), which advances the inclusion of Indigenous Peoples' perspectives into water-related debates and networks, and supports UNDP's Water and Ocean Governance work. There are no agreements in place as almost all of the work has been within the Water Governance Facility Emerging Issues budget framework.

Water Resources Department at SIWI	Implementing partner	SIWI is building the foundations and trust necessary for working with different Indigenous Peoples and other supporting institutions. This includes our contributions to the UN World Water Development Report (WWDR), Yaa Heen Koosge: Indigenous Peoples and Water Wisdom activity, webinars/session/activities at 2021, 2022 & 2023 Stockholm World Water Weeks (WWW) (culminating the initiation of the First Nations Focus) and 2023 UN Water Conference, Policy Brief, blogs, and the hours preparing for Dushanbe Water Process (the DWP aims to support of the successful implementation of the International Decade for Action “Water for Sustainable Development”, 2018-2028). In addition to the aforementioned activities, other activities and engagements have been undertaken in terms of supporting Indigenous representation and inputs into the Official programme of the UN Water Conference.
UNDP	Implementing partner	UNDP has a number of programme relating to Indigenous Peoples, including through the Small Grants Fund
Government of Canada	Financing partner	The Government of Canada provided a small contract to support the attendance of First Nations Peoples from Canada at the 2023 WWW, and is planning to do similar in 2024.
UNESCO, especially Local and Indigenous Knowledge Systems (LINKS)	Implementing partner	UNESCO is a co-convenor of multiple Indigenous Focused events. SIWI is currently in conversation with UNESCO and the Australian Water Partnership to support activities/Session(s) at the 2024 World Water Forum; and are starting several pieces of work related to building the emerging IP portfolio. This includes proposed research activities with SEI and PIK, policy development activities with IUCN, and activities and training with AIPP.
Australian Water Partnership	Implementing partner	Strong supporter of First Nations Focus, and Indigenous voices in international arenas.
IUCN	(Potential) Implementing partner	Policy development activities with IUCN. Currently engaged in discussions regarding activities in 2024, following activities at other events

FAO	Implementing partner	SIWI is working closely with UNDP, UNESCO, FAO, other NGOs and Indigenous Peoples networks/groups to increase the voices of Indigenous Peoples in the international water policy dialog.
The Government of the Netherlands	Implementing partner	SIWI provided significant support to the Dutch Government in connecting with Indigenous groups and increased participation at the Water Conference , including official engagements
University of Arizona	Implementing partner	Support activities for Water Conference and WWW, Water and Tribes Initiative
University of Manitoba	Implementing partner	Support activities for Water Conference and WWW
Environmental Law Institute	Implementing partner	Development of First Nations Focus
Northern Masaai (Kenya)	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events
Karen Environmental and Social Action Network (Myanmar)	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events
Te Tui Shortland (New Zealand)	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events
Stockholm Saami Association (Sweden, Finland, Norway, Russia)	Implementing partner/Beneficiaries	First Nations Focus at WWW
Asian Indigenous Peoples Pact (AIPP)	Implementing partner/Beneficiaries	Water Conference, Dushanbe and future activities planning
Local Communities and Indigenous Peoples Platform (LCIPP)	Implementing partner	SIWI provided support and action to LCIPP through Research and Independent NGOs - RINGO
Carcross/Tagish First Nations (Canada)	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events

Transforming Investments in Rainfed Agriculture in Africa (TIARA)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
SIWI's Africa Regional Centre	Implementing partner	Supports the objective of attracting more finance to the water sector in Africa. Partnering with local organisations in the Zambezi watercourse, TIARA is collecting empirical data on the costs and returns (at the farmer level as well as for the broader environment and society) of investing in rainfed agriculture at scale in the five hotspot sites in the Zambezi watercourse.
Sida	Financing partner	Co-finance from programmatic support under PO2: Contribute to Resilient Water Services and Infrastructures global strategy for environment.
Leopold Bachmann Foundation	Financing partner	LBF aims to support rural communities, specifically, youth and women by fostering economic structures and opportunities.
Zambezi Watercourse Commission (ZAMCOM)	Implementing partner/Beneficiary	ZAMCOM is benefiting from knowledge generation and exchange activities focused on contributing to knowledge of water and development issues in the Zambezi River Basin of the TIARA Project. Together we are coordinating and collaborating on advocacy efforts to influence policies for increasing water availability for smallholder farmers and improving rainfed agriculture practices and attracting investment finance to the Zambezi River Basin's water and development sector.
International Council for Research in Agroforestry (ICRAF) - Centre for International Forestry Research (CIFOR)	Implementing partner	Technical expertise (provision of consultancy services) and unlocking models for scaling up landscape restoration. CIFOR-ICRAF is one organisation
COMACO, Zambia	Implementing partner/Beneficiary	NGO implementing the pilot project in the Hotspot Area. Interested in unlocking pathways to sustainable financing for their operations supporting smallholder rainfed farmers. Through this partnership their work has been profiled and marketed widely. The TIARA project has enabled them to work with more farmers in their respective countries.

Community Technology Development Trust (CTDT), Zimbabwe	Implementing partner/Beneficiary	NGO implementing the pilot project in the Hotspot Area. Interested in unlocking pathways to sustainable financing for their operations supporting smallholder rainfed farmers. Through this partnership their work has been profiled and marketed widely. The TIARA project has enabled them to work with more farmers in their respective countries.
Tiyeni Organization, Malawi	Implementing partner/Beneficiary	NGO implementing the pilot project in the Hotspot Area. Through this partnership their work has been profiled and marketed widely. The TIARA project has enabled them to work with more farmers in their respective countries.
Farmers' Association of Community Self-Help Investment Groups (FACHIG) Trust, Zimbabwe	Implementing partner/Beneficiary	
Farmers in Malawi, Zambia and Zimbabwe	Beneficiaries	• Malawi: Mzuzu in Mzimba North District. The project is working with 10 farmers in total, targeting 4 hectares of farmland and eventually reach over 20,000 farmers in Malawi. • Zimbabwe: 3 household-based pilot plots in wards 8, 10 and 11, representative of drier and arable parts of Mt Darwin district have been adopted, and 25 hectares in part of Mashonaland East province, Zimbabwe each with 10 farmers. The 30 farmers attending training at the demonstration plots then cascade the training information to 600 farmers in their surrounding communities. • Zimbabwe Mashonaland Province: CTDT is working with 500 farmers in 5 districts within the Zambezi River Catchment areas. The total land sizes range from 1.5 to 2.0 hectares. • Zambia: 253,142 farmers participated in agriculture production for the 2022 farming season. These farmers are organized into 15,157 farmer-producer groups from 113 local cooperatives. A total of 1,569 are certified seed growers. 43,727kg of legume seeds produced to support cooperative seed banks for local farmer needs. 4,004 certified organic groundnut growers.

Water-Smart Forest & Landscape Restoration (W-FLR)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Swedish Water House at SIWI	Implementing partner	The W-FLR tool will be a handbook for Water smart Forest Landscape Restoration, and build on a range of existing tools that SWH's Resilient Landscapes team have been engaged with in different projects and programmes together with partners, such as the Forest Water Champions, Swedish Forestry sector etc. The need for such a tool partly emerged from a study SIWI/SWH was part of to assess trade-offs between agricultural productivity and other ecosystem services in the landscape.
Sida	Financing partner	The W-FLR Tool development started in December 2022, with baseline funding from Sida. During the first half of 2023, the first version of the W-FLR Handbook was developed, describing the 6 modules of the W-FLR Tool (figure 1). Throughout the process, the expert group of the Forest-Water Champions (FWC), drawn from international organizations and research institutes, is supporting the development of the tool concept and methodology.
GIZ	Financing partner	GIZ have just granted SIWI a new agreement, with focus on implementation of Water-smart FLR. This grant is building on previous funding from Sida PS and GIZ to develop the W-FLR Tool, where the main aim is to assess the readiness for water-smart FLR. In the new grant, one key activity is to scale up water-smart FLR through the AFR100 initiative. GIZ is also member of the Reference Group.
African Forest Landscape Restoration Initiative (AFR100)	Beneficiaries	SIWI will get access to the AFR100 community and platform through the GIZ Forest4Future project, and the GIZ colleagues participate in the steering of the AFR100 initiative
FAO	Implementing partner	FAO is a member of the Reference Group
IUCN	Implementing partner	IUCN is a member of the Reference Group
WRI	Implementing partner	WRI is a member of the Reference Group

Vi-skogen (Vi Agroforestry)	Implementing partner	Vi-skogen is a member of the Reference Group
Stockholm Resilience Centre (SRC)	Implementing partner	Stockholm Resilience Centre is leading a recently funded research project on the topic “Understanding and securing the resilience of forest-based climate change mitigation”. The project is funded by Formas and supported by SIWI. The research project is in its very early stage now, but the plan is that the W-FLR Tool will be merged with the research project so that the two projects can benefit from each other. For instance, the findings in the research projects will be used to strengthen the W-FLR tool methodology, and that the tool is planned to be used in the implementation phase of the research project.
Forest4Future countries and national/local stakeholders	Beneficiaries	To secure the impact, effectiveness, and user-friendliness of the tool, three pilot countries have been identified: - Benin, linked to the GIZ project Forests4Future. - Laos, linked to the ongoing Locally Controlled Forest Restoration International Training Programme (LoCoFoRest ITP) funded by Sida and led by the Swedish Forest Agency. - Ethiopia, linked to the GIZ project Forests4Future in the southern Rift Valley with participants taking part in the LoCoFoRest program.

Water Integrity in Latin America

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water and Sanitation Department at SIWI	Implementing partner	The Consortium (WIN, SIWI, cewas) has been collaborating with the Inter-American Development Bank (IDB) since 2016, to contribute to the implementation of IDB Technical Cooperation focused on transparency, information management and governance in the water and sanitation sector.
Water Integrity Network (WIN)	Implementing partner	
cewas	Implementing partner	
Inter-American Development Bank (IDB)	Financing partner	

Autoridad de Fiscalización en Agua Potable y Saneamiento (AAPS), Bolivia	Beneficiaries	Regulator at the national level in Bolivia
National Superintendency of Sanitation Services (SUNASS), Peru	Beneficiaries	Regulator at the national level in Peru
Agencia de Regulación y Control del Agua (ARCA), Ecuador	Beneficiaries	Regulator at the national level in Ecuador
ERSAPS, Honduras	Beneficiaries	Regulator at the national level in Honduras
Service Providers	Beneficiaries	
Academia / Knowledge Institutions	Partners / Beneficiaries	SIWI developed and lead implementation of an online course in water integrity (in English, since 2015, in Spanish, since 2021). The course was developed in partnership with UNDP Knowledge Platform CAP NET and it is available in their platform.

Sanitation in public spaces (focus on Colombia)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water and Sanitation Department at SIWI	Implementing partner	
Inter-American Development Bank (IDB)	Financing partner	IDB was the leader and the fund executor of the AquaFund in this project. The AquaFund is a twin fund capitalized with IDB funds along with donor's contributions.
Municipality of Barranquilla	Beneficiary	

Universidad del Norte	Implementing partner	Supported the project with local data collection
Vulnerable groups (street workers, homeless people, people with disabilities, transgender people, elderly people, women, and girls)	Beneficiary	Representatives or managers of social programs for vulnerable people who: - helped implement the focus groups to identify their specific needs regarding toilets in public spaces - participated in the development of the action plan

Support to institutional efficiency to CRA (light review, no beneficiaries mapped)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Regulatory Commission of water and sanitation (CRA)	Beneficiary	SIWI has worked together with CRA in supporting their autonomy through an analysis of their value proposition/business model and supporting changes in their internal organization
Inter-American Development Bank (IDB)	Financing partner	

GO-WATER (light review, no beneficiaries mapped)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
SIWI - Office of COO (transversal programme that includes both WRM and WASH governance)	Programme developer and main implementer	SIWI is the lead agency of this programme and responsible for its implementation
Sida International Training Programme (ITP)	Financing partner	Funder of the programme

UNDP Cap-Net	Implementing partner	International partner to support capacity development workshops; development of materials; digital platform for online trainings.
Directorate of Water Resources Planning and Regulation, Ministry of Water and Environment, Uganda	Uganda - Implementing partner/consultant	Development of CD workshops on water coordination for improved integrated water basin mgmt (national level and in 2 water management zones) Development of WRI communications plan on integrated Programmatic process and dialogue support with the government and other stakeholders; contextual, substantive and logistical support to activity development and implementation.
Drinking Water and Basic Sanitation Authority (AAPS), Bolivia	Implementing partner in Bolivia /consultant	Development of WASHREG workshop with AAPS, rural providers and other key actors. Consultancy on tariffs. Support to LatinoSan workshops on regulation.
Superintendency of Public Utilities (SSPD), Colombia	Implementing partner in Colombia /consultant	Development of workshops with rural providers. Consultancy on rural regulation, supervision and control
National Superintendency of Sanitation Services (SUNASS), Peru	Implementing partner in Peru /consultant	Development of WASHREG workshop with SUNASS and other key actors. Consultancy on tariffs. Consultancy on sanctions.
Agencia de Regulación y Control del Agua (ARCA), Ecuador	Implementing partner in Ecuador /consultant	Development of WASHREG workshop with ARCA
Iraq – UNICEF country office	Implementing partner	Development of WASHREG workshop

Ethiopian Water & Landscape Governance Program (EWLGP) (light review, no beneficiaries mapped)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Africa Regional Centre at SIWI	Implementing partner	Supports the objective of strengthening water governance at national and local level
Sida	Financing partner	Bilateral funding Sida-Ethiopia

GIZ	Implementing partner (co-funding joint workshops)	co-organized basin planning and project management workshop in Sothern Ethiopia, Hawassa.
USAID	Coordination partner	Coordinating and mutually supporting the development and drafting of the National Integrated Water Resource Management Program.
Swedish Metrological and Hydrological Institute (SMHI)	Implementing partner (co-funding joint workshops)	Co-organized gender related activities (trainings, SOP's, role play, legal policy presentations) and shared resources in planning and delivering

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Annex 10 – Inception report



Evaluation of the Sida support to the
implementation of the Stockholm
International Water Institute (SIWI) Strategy
2018-2023

Inception report

Sida

Date: 1 November 2023

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List of Acronyms

A4S	Accountability for Sustainability
BMZ	German Federal Ministry for Economic Cooperation and Development
CIFOR	Centre for International Forestry Research
CSOs	Civil Society Organisations
CTDT	Community Technology Development Trust
DoS	United States' Department of State
EQ	Evaluation Question
ESCAP	United Nations' Economic and Social Commission for Asia and the Pacific
EWLGP	Ethiopian Water & Landscape Governance Programme
FACHIG	Farmers' Association of Community Self-Help Investment Groups
FAO	Food and Agriculture Organisation
FGDs	Focus Group Discussions
GIZ	German Agency for International Cooperation
HRBA	Human Rights Based Approaches
ICRAF	International Council for Research in Agroforestry
ICWC	International Centre for Water Cooperation – hosted by SIWI under UNESCO
IDB	Inter-American Development Bank
ILO	International Labour Organisation
ITP	International Training Programme
IUCN	International Union for Conservation of Nature
IW:LEARN	International Water Learning Exchange & Resources Network
KIIs	Key Informant Interviews
MEL	Monitoring, Evaluation and Learning
MFA	Ministry of Foreign Affairs
NMFA	Norwegian Ministry of Foreign Affairs
NGOs	Non-Governmental Organisations
PS	Programme Support (Sida)
S2S	Source to Sea
SDC	Swiss Agency for Development and Cooperation
Sida	Swedish International Development Agency
SIWI	Stockholm International Water Institute
SMHI	Swedish Metrological and Hydrological Institute
SWP	Shared Waters Partnership
TIARA	Transforming Investments in Rainfed Agriculture in Africa
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WASH	Water, Sanitation and Hygiene
WGF	Water Governance Facility
WIN	Water Integrity Network
W-FLR	Water-smart Forest and Landscape Restoration
WRI	World Resources Institute
ZAMCOM	Zambezi Watercourse Commission

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Fig. 1: SIWI Strategy Timeline

Fig. 2: SIWI Theory of Change Objective 1: Contribute to Sustainable Management of Shared Water Resources by Improving Water Governance

Fig. 3: SIWI Theory of Change Objective 2: Contribute to Resilient Water Services and Infrastructure by Improving Water Governance

Fig. 4: SIWI Theory of Change Objective 3: Contribute to Inclusion of Relevant Stakeholders by Improving Water Governance

Fig. 5: SIWI Theory of Change Objective 4: Contribute to Improved Water Governance by Innovations based on Knowledge and Learning

1. Inception Report Overview

The evaluation team has used the inception process to:

1. **Establish an overview of available data.**
2. **Conduct a preliminary document review** of background documents and available data, using the former to guide the stakeholder analysis and additional understanding of the evaluation focus. This includes SIWI's 2018-2023 Strategy¹ (inclusive of its 2020 Sida Programme Support), the Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022 and the Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022–2026.
3. **Identify and map out the known stakeholders.**
4. **Develop selection criteria to determine which SIWI Strategy programming the evaluation can cover more in-depth.**
5. **Revisit the Evaluation Questions to sharpen their focus** based on discussions with Sida and SIWI.
6. **Review the six Theories of Change associated with the implementation of SIWI's Strategy.** This is *in lieu* of a more in-depth review of existing performance measurement frameworks since neither of the two SIWI strategies covered by the evaluation include related performance indicators.
7. **Prepare an evaluation matrix** and more detailed outline of the proposed evaluation methodology, including proposed sample sizes and rationale.
8. **Update the workplan and timeline** presented in the technical proposal.
9. **Develop** and share the NIRAS team's proposed **evaluation instruments**.

The team has presented a summary of this information and process in this inception report.

2. Our understanding of the assignment

According to the ToR, the purpose of the evaluation is to:

- *Provide Sida with an input to upcoming discussions concerning the preparation of a new phase of funding to SIWI"; and*

¹ Noting that SIWI's Strategy actually started in 2017. However, the evaluation is covering the 2018-2023 period. Therefore, for the purposes of this evaluation, we refer to the Strategy as running from 2018-2023.

- *“Serve as an input for Sida to a decision on whether SIWI shall receive continued funding from the Global Strategy or not.”*

More specifically, the evaluation aims to ensure that the inputs provided to Sida are based on solid and objective quantitative and qualitative evidence regarding the relevance, effectiveness, and sustainability of SIWI's use of Swedish funding and related programming for the period 2018 to 2023, noting and taking into account any relevant delays or changes in delivery caused by the COVID19 pandemic. In keeping with this, our understanding of the objectives of evaluation are to:

- Assess the overall relevance and effectiveness of SIWI and the SIWI Strategy; and
- The extent to which Sida financing of the strategy implementation has led to SIWI having achieved its planned outcomes and results.

2.1 Intended users of the evaluation

The primary user of this evaluation is Sida's unit for global cooperation on environment, but other units at Sida are also expected to benefit from the evaluation. SIWI has also expressed strong interest in the evaluation particularly any lessons learned they can use to help inform the development of their new Strategy and future effectiveness. The team will accommodate this to the extent possible while still adhering to the ToR.

2.2 The Context

The Stockholm International Water Institute is a non-profit institute founded in 1991, whose mandate is to work globally to change how water is understood, valued and managed and advocate and to advise on how to improve water governance which SIWI sees as being key to a fairer, more prosperous, and resilient future.² SIWI's key premise is that strengthening water governance among public and private sector actors will lead to a reduction in water crises and ultimately in poverty reduction.³ Their focus is to work on improving water governance within political, social, economic and administrative systems and processes that influence water's use and management to create greater equality and equity regarding “who gets what water, when and how, and who has the right to water and related services, and their benefits.”⁴ SIWI does this by providing expertise in water governance, including (but not limited to) sanitation and water resources management and water diplomacy. They see their role as one of creating knowledge, developing capacity, and offering policy advice to countries, communities, and companies.⁵

In recognition of the importance of this work and the contribution of stronger water governance systems to poverty reduction, particularly for diverse equity groups, Sida has provided SIWI with financial support for the work it does in water resource management and research for over ten years. This includes a combination of project and Programme Support (PS) from several different Sida strategies. During the previous strategy period Sida provided Core support to SIWI between 2016-2020 of a total

² <https://siwi.org/who-we-are/>

³ SIWI, op. cit., p. 9.

⁴ Ibid., p. 9.

⁵ <https://siwi.org/who-we-are/>

of 186 MSEK for the implementation of the SIWI strategy. The most relevant Sida strategies for this evaluation include the:

- *Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022.*
- *Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022–2026.*

Sida also has a current agreement with SIWI through Sida's Global Strategy for Environment, Climate and Biodiversity which provides support of 120 MSEK (40 MSEK/year) for the 2021-2023 period for the implementation of the programme "Water governance for a just, prosperous and sustainable future".⁶ Sida considers this agreement to be intrinsically linked to the overall SIWI Strategy (2018-2023) and that Sida's global programme support enables SIWIs implementation of its own overall strategy.

While this assessment will be based on SIWI's Sida-funded work between 2018 and 2023, the evaluation team considers that the findings and recommendations from a SIWI-commissioned evaluation of the implementation of its strategy from 2013 to 2017 provide a baseline that it can use to help frame the evaluation.

Sida support represents 30% of SIWIs financing, with a further 50% being derived from other Donors and 20% from World Water Week. Only Sida's support to SIWI is the subject of this evaluation. SIWI Vision is for a "Water Wise World" – a world that recognises the value of water and ensures that it is inclusively shared and used sustainably, equitably and efficiently for all.

SIWIs Mission Statement is to "Strengthen water governance for a just, prosperous and sustainable future". As a part of this, SIWI envisages itself as a water institute leveraging knowledge and convening power to strengthen water governance, with its key strengths being to:

- Generate knowledge in different ways and forms, e.g. through our own research
- Apply knowledge, e.g., through advisory services and programmes development and implementation
- Broker knowledge, through building capacity, and acting as a facilitator
- Network knowledge, by convening platforms and spaces for knowledge sharing
- Recognise knowledge, through awarding Stockholm Water Prize and Stockholm Junior Water Prize
- Disseminate knowledge, by preserving, co-ordinating, packaging and promoting content to enable internal use and external transfer
- Centre learning processes and critical thinking around people and their relationships.⁷

⁶ Terms of Reference for the Evaluation of the Sida support to the implementation of Stockholm International Water Institute (SIWI) Strategy 2018-2023, p. 2.

⁷ SIWI, 2017, 2018-2021 Strategy, p. 16

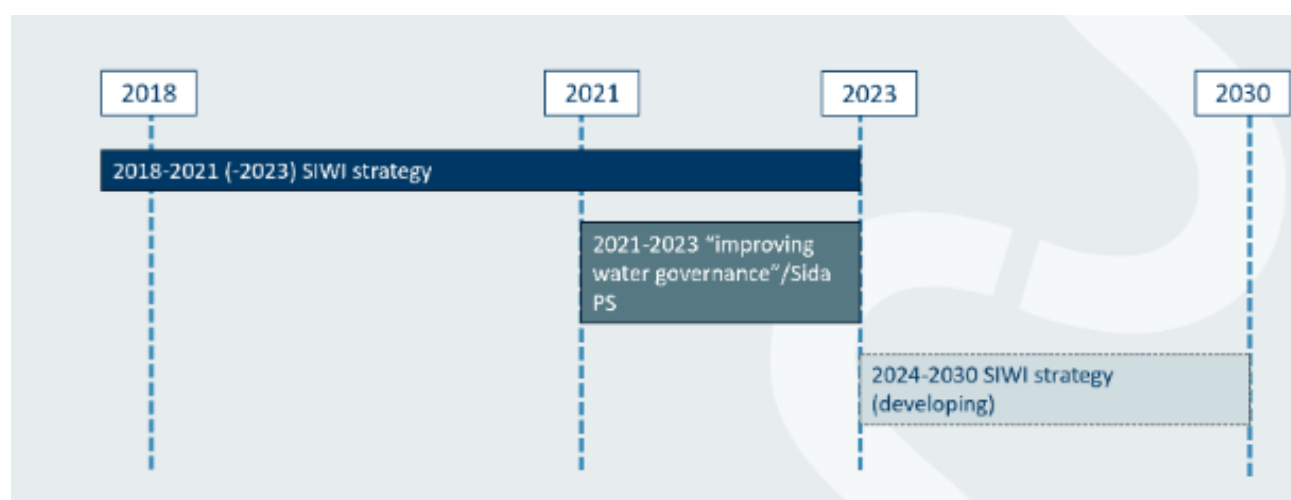
2.3 The Scope of the Evaluation

Time Frame and Strategic Frameworks

The evaluation team understands that the evaluation scope is limited to evaluating only those activities and programming provided by Sida funding to support implementation of SIWI's 2018-2023 strategy and will not include any assessments of any activities not financed by Sida.

The evaluation will cover the strategy period spanning the years 2018-2023.

Fig. 1: SIWI Strategy Timeline



Source: SIWI, 2023

In 2020, SIWI's 2018 to 2021 Strategy was initially extended to 2023 with the same content due to implementation delays caused by the COVID-19 pandemic. Given diverse concerns about internal procurement and financial controls and the use of some World Water Week funds to support potentially commercial activities, Sida shifted from a core support to a programme support approach to fund, from 2020, SIWI's 2018-2023 Strategy. As a part of this process, SIWI developed a programme support application in 2020 which upon Sida approval has stood as their strategy from 2021 to 2023. **The evaluation is using the term 2018-2023 Strategy to cover both SIWI's 2018-2021 Strategy and the subsequent strategy related to Sida Programme Support dating from 2020.**

The 2020 Sida Programme Support document builds on SIWI's earlier Strategy and includes several new ToCs (one per objective) and divides up its work into four different pillars of improved water governance: 1) Contribute to sustainable management of shared water resources ; 2) Contribute to resilient water services and infrastructure; 3) Inclusion of relevant stakeholders; and 4) Contribute to improved and extended water governance by innovations based on knowledge and learning.

SIWI is currently developing a 2024 - 2030 Strategy which is due to be completed by early 2024. While core funding dominated the period up to 2020 Sida PS funding covered the period from 2021 to the present. This evaluation therefore looks at how effectively SIWI has used both core and programme funding to implement its strategy and support programming funded through other Sida strategies as well as how relevant these two strategies have been.

Geographic Scope

This is an evaluation of Sida's financial contribution to the implementation of SIWI's Strategy. While it is funded through several Sida strategies most of the Strategy's work is supported by Sida's global programme support during the period covered by the evaluation. The latter funding is not earmarked. This includes global, regional and country level programming. As a part of this process, and as per the ToR, the evaluators will visit the SIWI regional office in Bogotá to interview SIWI staff as well as relevant partners and stakeholders. The focus of this field work will be a combination of taking a closer look at how SIWI operates and what it has supported through Sida funding of its 2018-2023 Strategy and specific SIWI-funded programming in Latin America. The team will also hold virtual interviews with relevant managers and staff at SIWI HQ and the regional office in Pretoria and a representative sample of other SIWI staff as well as with relevant Sida personnel and SIWI stakeholders and project beneficiaries, noting that most beneficiaries are at the organisational or institutional level with the exception of some Civil Society Organisations (CSOs). The team will also interview managers, stakeholders, and beneficiaries for the following SIWI programmes funded separately through other Sida strategies to provide inputs on this programming to other programme units within Sida as well as ensure a balanced review of SIWI-implemented programming:

- The Water Security in Ethiopia Project (contribution number 10822). (2017-2021)
- SIWI Building Governance Capacity for improved Water Security (GO-WATER) 2021- ongoing
- 2020-2023 "Shared Waters Partnership: Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP).

The NIRAS team will also review a representative sample of SIWI's core-funded programmes and programme supported activities in Latin America. This will include programming in Colombia based on the stakeholders and beneficiaries available there.

2.4 Comments on the evaluation questions

The ToR contain a good number of pertinent, and thoughtful evaluation questions focused on three OECD DAC criteria, providing a manageable scope to the evaluation effort. We have considered the relevance and effectiveness of these questions with respect to the strategy and its programmes, geography and the overall purpose of the evaluation within its defined scope and timeline. Following initial briefing discussions with Sida and SIWI as well as points raised as a part of the technical proposal for this evaluation, the NIRAS team has suggested the following revision of the evaluation questions.

Relevance

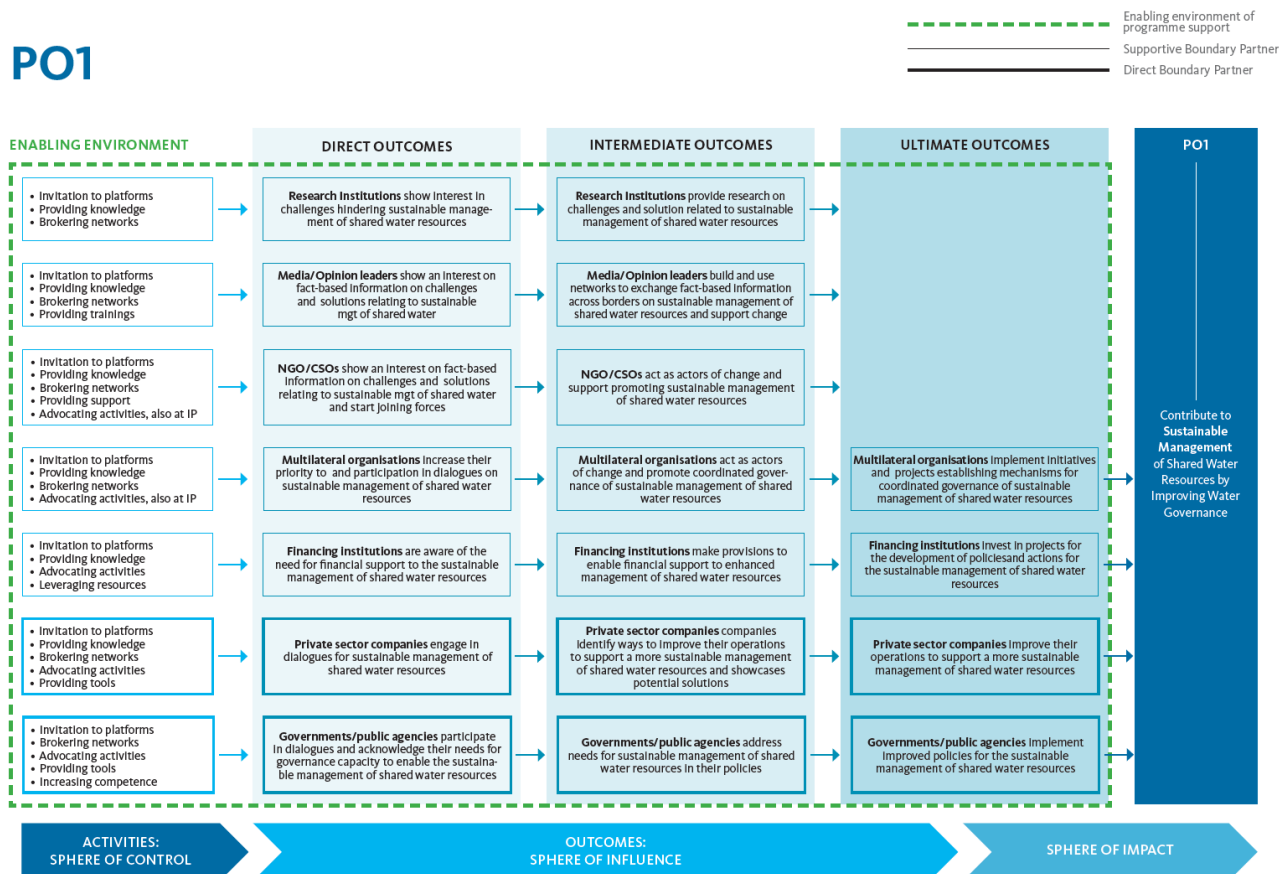
The primary evaluation question (EQ) the ToR asks in the relevance category is **if the intervention is doing the right thing?** Specifically:

EQ1: To what extent have the intervention objectives and design responded to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and have they continued to do so if/when circumstances have changed?

We consider that the first half of this question addresses two areas of inquiry. The first is how the Theories of Change (ToCs) outlined in SIWI's 2018 to 2023 Strategy align with priority global, country and partner/institution and beneficiary needs and those outlined in the relevant Sida strategies previously mentioned. The second part of the EQ is concerned with if the change processes they posit are relevant for these different groups and the diverse stakeholders with which SIWI works.

The two documents that make up the 2018-2023 SIWI Strategy documents present six ToCs. As a part of the data collection and analysis process the NIRAS evaluation team will test selected aspects of the most recent of these ToCs and suggest any changes needed based on our analysis of the related data. Here we present the ToCs focused on SIWI's four primary objectives in the 2020 Sida PS document as these are the most current ones to which the team has access and most relevant for this evaluation.⁸ The other two are more generic overviews of SIWI's ToCs and as such, difficult to assess accurately.

Fig. 2: SIWI Theory of Change Objective 1: Contribute to Sustainable Management of Shared Water Resources by Improving Water Governance

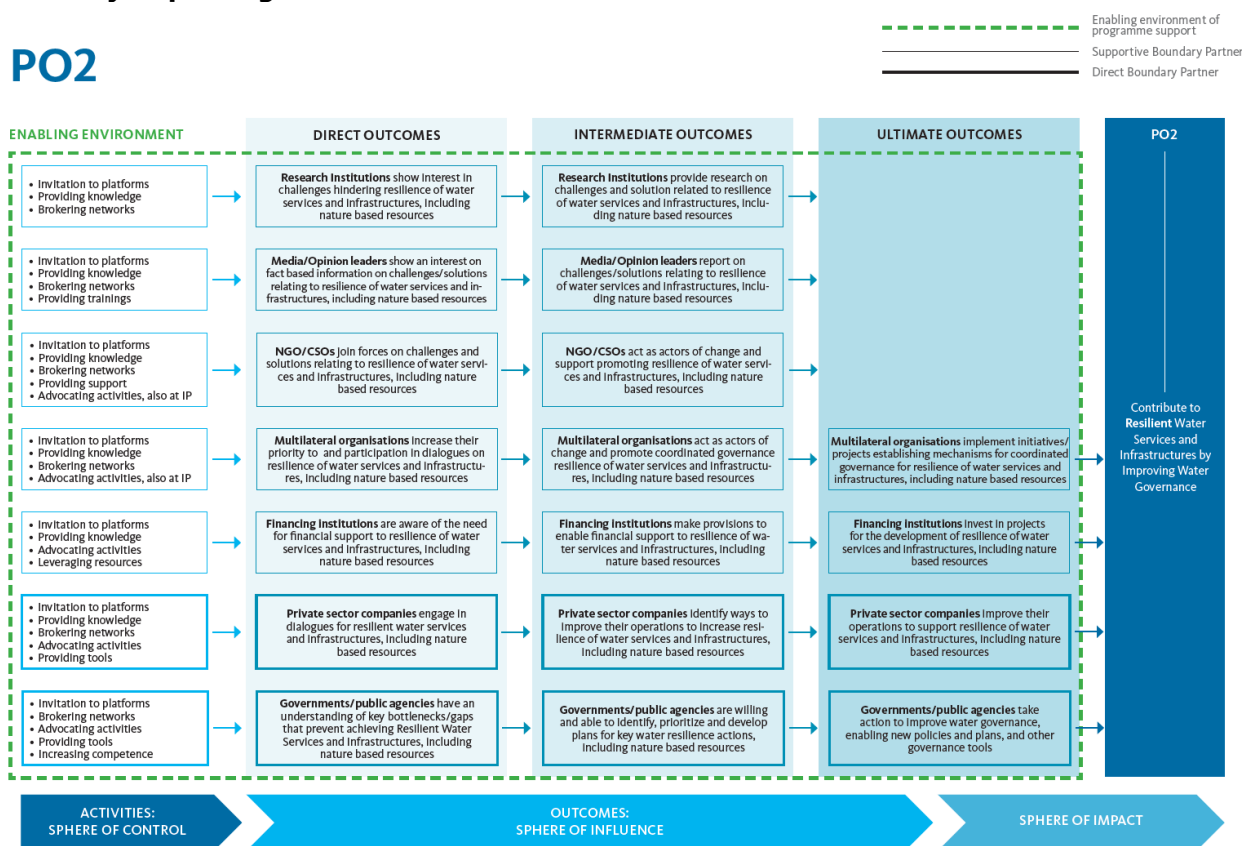


Source: 2020 Sida Programme Support document

⁸ Noting that SIWI is in the process of revising its Theories of Change as a part of the development of its next Strategy.

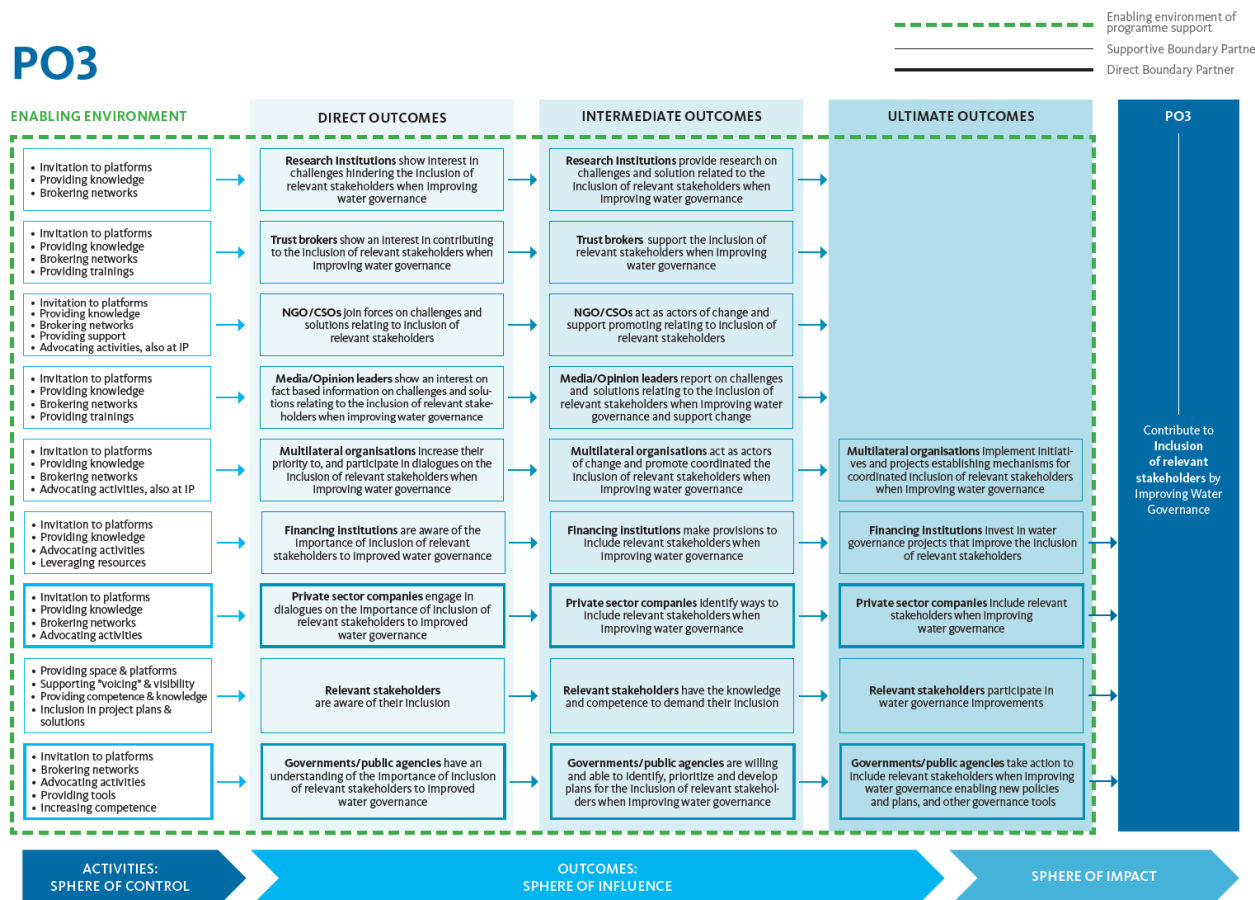
Fig. 3: SIWI Theory of Change Objective 2: Contribute to Resilient Water Services and Infrastructure by Improving Water Governance

PO2



Source: 2020 Sida Programme Support document

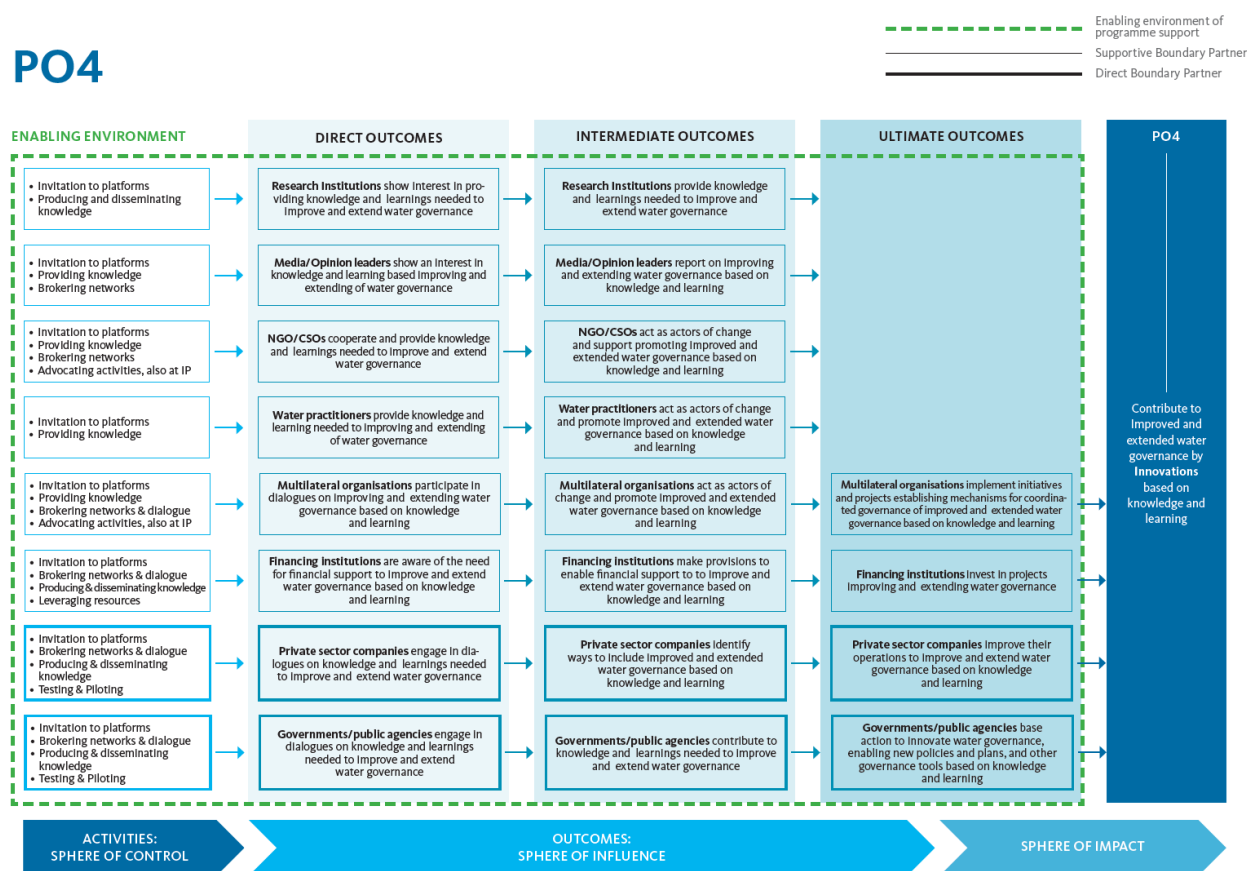
Fig. 4: SIWI Theory of Change Objective 3: Contribute to Inclusion of Relevant Stakeholders by Improving Water Governance



Source: 2020 Sida Programme Support document

Fig. 5: SIWI Theory of Change Objective 4: Contribute to Improved Water Governance by Innovations based on Knowledge and Learning

PO4



Source: 2020 Sida Programme Support document

The team instead is focusing more on a review of the Theories of Change SIWI developed for each of its four programme objectives as presented above. These cover:

1. Contribute to Sustainable Management of Shared Water Resources by Improving Water Governance;
2. Contribute to Resilient Water Services and Infrastructure by Improving Water Governance;
3. Inclusion of Relevant Stakeholders by Improving Water Governance; and
4. Contribute to Improved and extended water governance by Innovations based on knowledge and learning.

As a part of the assessment process, the NIRAS team will look for points of overlap, intersection, and gaps in assumptions among these four-objective specific ToCs. The NIRAS team will raise questions whether the pathways of change in the four ToCs are clear and logically interlinked, how lessons are captured in possible revisions, and if the pathways of change are related to SIWI's outcome mapping monitoring and reporting. It will likewise be relevant to explore how the ToCs are understood and operationalised by SIWI staff and if there are any significant differences between the outcome mapping and MEL practices among the four programme areas.

Data collection for this question will also determine whether the strategies are in line with what the different stakeholders and beneficiaries identify as their own priorities. It will consider the extent to which these groups took part in the identification of these priority needs in the development of SIWI's 2018-2023 strategy. SIWI has targeted rights-holder groups such as people living in multidimensional poverty who lack water and sanitation, Indigenous peoples and youth, with a particular focus on women and girls. While addressed explicitly in EQs 5 and 6, EQ1 also implicitly calls upon the evaluation to determine how responsive and relevant SIWI's strategy and programming during the evaluation period are to SIWI's three cross-cutting areas of: gender equality, youth empowerment and human rights-based approaches (HRBA). This part of the review would also need to include a limited assessment of how SIWI has addressed equity participation issues as a part of its World Water Week activities.

The team will explore the aspects above through two Outcome Harvesting/Mapping workshops (in Bogotá and Stockholm), by selecting two of the most recent ToCs that represent SIWI's core work to enable outcome mapping practices and a deeper theory-based discussion.

Where documentation exists showing that SIWI activities have contributed to the SDGs this will be noted in the evaluation. Primarily attention will be paid to SDG 6 "Clean Water and Sanitation" noting SDG target 6.5 "By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate."

The evaluation team assumes that the main circumstances which relate to the second half of this question, refer is to the relevance of any changes in programme approaches made to adjust to the restrictions imposed by the COVID-19 pandemic. Additional changes in circumstances have included Sida deciding to shift its core funding support for SIWI to PS in 2020 and a change in funding availability for international cooperation work stemming from policy and budget shifts associated with the change in governing party in Sweden in fall of 2022. Further examination of data may also find other changes in circumstances and the NIRAS team will work to identify and assess these, e.g., if there have been shifts in global water policy and associated with Sida strategies related to water and to climate change impacts.

Effectiveness

EQ2: To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?

Answering EQ2 will require straight-forward evaluation processes that focus on identifying, verifying, and analysing the different types of results for the diverse priority groups identified in SIWI's 2018 to 2023 Strategy. The assessment work will focus at the direct and intermediate outcomes levels for a representative sample of specific SIWI programmes implemented between 2018-2023. This includes the three programmes funded separately through the other Sida Strategies previously mentioned.

SIWI's 2018-2023 Strategy indicates that the Institute provides the following services: Convenor of World Water Week, Developing Platforms, Facilitating Dialogue, Generating Knowledge and Building Capacity to strengthen water governance.⁹ These activities are funded by diverse donors and not just Sida. Therefore, a critical part of the inception process related to answering EQ2 has been to separate

⁹ SIWI, op. cit., p. 11.

out which aspects of SIWI's 2018-2023 Strategy are directly supported through Sida and which of these should be included in the evaluation process beyond the three programmes outlined in the ToR. The evaluation team will also work to synthesise the evidence presented in SIWI's MEL system through an extensive document review with the primary data they collect through the KIIs and FGDs as well as use the latter to triangulate SIWI's MEL data.

EQ3: Has the M&E system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

EQ3 on the surface also appears to be straight forward. However, the evaluation of SIWI's 2013 to 2017 strategy found that, during that period, SIWI introduced an Outcome Mapping MEL system to strengthen its tracking of, and learning from, programme results. As with any new system this initially experienced some initial challenges in its application. The work required to answer this question therefore, needs to delve into the core content of the question. The evaluation team also need to determine if there has been progress on the challenges identified in SIWI's Outcome Mapping-based MEL system in the evaluation of SIWI's 2013-2017 strategy in the intervening five years. In addition, the evaluation team will need to track how SIWI approaches learning from the data generated by its MEL system, what kind of learning has taken place and how SIWI, its partners, stakeholders and beneficiaries have used the related lessons learned to inform subsequent work and programming. As a part of this process, the NIRAS team will also be verifying the extent to which the direct and intermediate outcomes reported are explicitly inclusive of SIWI's cross-cutting issues and target groups related to gender equality, youth empowerment and HRBA, noting that SIWI's has also been working directly with some groups of indigenous peoples. In relation to HRBA the team will explore to which extent the approach has been applied both as a goal and as a process, and in what way the rights-based principles of accountability, transparency, participation, non-discrimination and linkage to human rights instruments are reflected in programme design and implementation. Likewise, SIWI's gender approach will be assessed against Sida's definitions of responsive versus transformative gender approach.

Given the focus of SIWI's MEL system on Outcome Mapping and the scope of the evaluation, data collection and analysis for these two questions should focus at the direct and intermediate outcomes level. It would do so from the perspective of the performance measurement frameworks associated with the three programmes funded separately from the core funding associated with SIWI's 2018-2023 strategy and 2020 PS document. It will draw upon inputs from a wide range of SIWI staff, partners, stakeholders, and beneficiaries as well as Sida personnel and as a part of the inception process determine if, and then which, other SIWI Sida-funded programming/activities should be included for a closer review (refer to Stakeholder Mapping in Annex 3 for details of these diverse groups).

The evaluation team will examine SIWI's MEL system through the lens of the three SIWI programmes funded through other Sida strategies as well as look at SIWI's outcome mapping MEL system overall.

Sustainability

The evaluation team has reviewed and given considerable thought to the three sustainability questions proposed in the ToR and considers that while critical questions, they address effectiveness, relevance and cross-cutting issues more than they do sustainability.

EQ4: Has the SIWIs strategy implementation contributed to poverty reduction? Who (de facto) has benefited from the project in the short- and in the long-run, directly or indirectly?

Given this perspective, the team discussed with Sida if they thought it necessary to maintain a focus on sustainability as a part of the EQs or they want to maintain the sustainability questions in the ToR as they are but would agree to the NIRAS team shifting them to the relevance and effectiveness sections.

Our proposal to address the sustainability question is to include the following two questions in the Sustainability section:

- Which poverty reduction results are likely to be maintained in the medium to long term and what are the contributing factors to this likely sustainability?
- Which Strategy and programme results are less likely to remain in effect past the short term and why?

Noting that changes related to water governance, particularly transboundary water governance issues often take at least ten years to effect. For this reason, the assessment of how sustainable the results to which SIWI has contributed will need to focus mainly on intermediate outcomes. Where the team is able to document longer term impacts (ultimate outcomes), they will do so.

The question of who (*de facto*) has benefited from the project directly or indirectly in the short and long term we suggest moving to the Effectiveness section and either blending it with EQ2 or adding it as a sub-question for EQ2.

Cross-Cutting Perspectives

EQ5 Has the strategy been implemented in accordance with poor people's perspectives and a Human Rights Based Approach? For example, have target groups been participating in project planning, implementation and follow up?

We also suggest that Sida and SIWI consider moving EQ5 to the Relevance section and EQ6 to the Effectiveness section in the form of a sub-section on Cross-Cutting Perspectives that would examine the extent to which SIWI's approaches to these issues have been contributing to Sida's development priorities.

EQ6: Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow up?

The second half of EQ6 also touches on part of what should be one of the core elements of SIWI's MEL system, and the evaluation team will need to assess aspects of this as a part of the data collection and analysis for the ToR for EQ2.

2.5 Revised Evaluation Questions

Based on these observations the NIRAS team has proposed revising the EQs outlined in the ToR to stand as follows:

Relevance

EQ 1: To what extent have intervention objectives and design responded to beneficiaries', global, country and partners/institutions' needs, and have they done so if/when circumstances have changed? (*same as in ToR*)

EQ 2: Has the strategy been implemented in accordance with poor people's perspectives and a Human Rights Based Approach? For example, have rights holders and other target groups been participating in project planning, implementation and follow up? *(Moved from Sustainability section and slightly amended wording to respect diversity)*

Effectiveness

EQ3: To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including that of poverty reduction? *(same as in ToR with addition of the term poverty reduction)*

EQ 4: Who *(de facto)* has benefited in the short term and long term, directly or indirectly, and have there been any differential results across diverse groups? *(Half of ToR EQ 4 moved from Sustainability category, phrase about differential results across diverse groups moved from the original EQ2 and added to this question.)*

EQ 5: Has the MEL system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning? *(same as in ToR)*

EQ 6: Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow-up? *(same as in ToR but moved from Sustainability category)*

Sustainability

EQ 7: Which SIWI Strategy and Sida Programme Support results are likely to be maintained in the medium to long term and what are the contributing factors to this sustainability? Which ones are not, and why not? *(new EQ proposed)*

2.6 Evaluation matrix

Based on the EQs, as modified following discussion of the original questions in the ToR with both Sida and SIWI, the NIRAS team developed an evaluation matrix. It is also based on a review of documents and consultations during the start-up meetings with Sida and SIWI. We organised the evaluation questions based on the OECD DAC evaluation criteria, indicators for assessment, the data collection methods planned, and sources of information, including information reliability. Since the SIWI 2018-2023 Strategy does not include indicators, in the matrix we have included indicators that also address the EQs from the perspective of the four main areas of work outlined in SIWI's Strategy. This includes: Platform Development, Dialogue Facilitation, Knowledge Generation and Capacity Building.

You can find a detailed evaluation matrix in Annex 2.

3. Approach and methodology

In this section we present our overall approach, the design and conceptual framework of the evaluation, and the data collection strategies we intend to apply.

3.1 Overall approach

The overall approach that we propose aims to ensure that the expressed purpose and intended use of this evaluation can be met most effectively, and of the highest quality possible. This includes use of a mixed methods approach that focuses on collecting data through standard evaluation processes of Key Informant Interviews (KIIs), Focus Group Discussions (FGDs) and document review based on the key criteria in the evaluation matrix. We intend to analyse these data from the perspective of stakeholder mapping, contribution analysis, multidimensional poverty, power, gender analyses as well as from HRBA, and to collect part of the primary data using an Outcome Harvesting approach.

It is critical to note here that the evaluation team will present their data and analysis and related evidence supporting the evaluation conclusions, but that the evaluation team is not in any way involved in, or has any authority over, the final decision Sida will be making regarding the future funding modalities it will use to support SIWI's work. Rather we see our role as one of documenting and analysing a wide range of data that will provide answers to the evaluation questions outlined in the ToR and as revised and agreed as a part of the inception process. An important part of this process will be to present an objective assessment of SIWI's Sida-funded work and MEL system. As such, both Sida and SIWI will have the opportunity to present their perspectives.

An important complement to the stakeholder mapping process is our participatory approach **and stakeholder engagement**. Working to ensure stakeholder participation in selected data analysis through the Outcome Harvesting process will help secure ownership and validation of the findings and conclusions. The team and Sida will do this by giving SIWI the opportunity to respond to the Inception report. We will also discuss the preliminary findings with both SIWI and Sida prior to the final evaluation briefing by the evaluation team to Sida. We engaged SIWI in a preliminary meeting early in the inception process to discuss if there are any additional activities it would be appropriate or necessary for the team to review more in-depth. This would be to provide a representative sample from the activities supported through Sida funding to complement the targeted coverage of the key results generated in the three SIWI implemented programmes described in the ToR.

We propose ensuring that both independence and stakeholder ownership are achieved through: i) Triangulation of information (qualitative and quantitative) from different sources; ii) Balancing and presenting the perspectives of different types of stakeholders; and iii) Ongoing dialogue with the Swedish Embassies in the countries where SIWI programming is taking place or their regional offices are located (currently identified as Colombia (LAC) and South Africa (Africa Region)) as well as with diverse Sida personnel and key stakeholders throughout the assignment's duration.

The evaluation team will depend on assistance from Sida and the Embassy of Sweden in Colombia and South Africa and possibly other Embassies in other countries where applicable. We will also call upon SIWI and Sida staff to help identify and mobilise key stakeholders for documentation retrieval, interviews and focus group discussions with programme beneficiaries. This will include institutional and CSOs that represent rights holders and equity groups as well as communities. The team will further triangulate the data collected from these groups through key informant interviews from other donors and SIWI partners and water governance interest groups (both academic and advocacy).

Utilisation focus - The ToR underscores its intent to make use of this evaluation as an input for Sida's unit for global cooperation on environment (INTEM GLOBEN) regarding its future decisions on support for SIWI programming but notes that the evaluation data and analysis will also potentially be of use for learning and information purposes for other Sida units as well as the Ministry of Foreign Affairs and potentially also the City of Stockholm. The evaluation approach is therefore utilisation-oriented and will be guided by a continuous focus on allowing Sida to assess the relevance, effectiveness and sustainability of SIWI programming funded through diverse Sida strategies and funding modalities. This will be done using participatory consultative evaluation methods to the extent possible within evaluation resources and time limits to ensure an inclusive evaluation approach.

3.2 Data collection and evaluation methods

The team will use a combination of different methods in this evaluation. From our initial assessment, we foresee:

1. Document Review and Stakeholder Mapping
2. Interviews, Consultative Meetings and Focus Group Discussions
3. Theory Analysis
4. Contribution Analysis
5. Outcome Harvesting
6. Power Analysis

Document Review

The team will review documents including the relevant SIWI and Sida Strategies and programme documents, extracts from SIWI's project and results database. The evaluation team will also review other monitoring systems and reports, strategies, reviews, studies, training assessments, financial data, etc., as well as SIWI annual reports, internal training materials, internal memos, conference reports and other documents about water sector issues relevant to the work of SIWI.

The team will assemble documentation based on two sets of programming. The first is that related to the three SIWI programmes funded under the separate Sida strategies outlined in the ToR. The second is that related to the representative sample of other relevant programme activities identified through the inception process proposed to reflect a good cross section of the types of SIWI programming funded through Sida support. The latter reflect programming leading to results in the areas of Dialogue Facilitation, Knowledge Generation, Capacity Building and Platform Development. The team selected these four main selection categories based on a review of SIWI's 2018-2023 Strategy since they represent common programming areas in both. Based on the EQs and SIWI's focus on cross-cutting issues we have also included inclusion/HRBA as a sample selection criterion. This documentation will include narrative results reports, programme design documents, related evaluations (if applicable) and sample materials produced by these programmes where relevant to answer specific EQs.

During the inception process, the team worked with both SIWI and Sida to confirm which initiatives and stakeholders should be included in this cross-sectional sample and request related documentation to review. The team analysed this documentation against the assessment criteria and questions agreed in the evaluation matrix as a part of the inception process. The team is also using the SIWI commissioned evaluation of its 2013-2017 Strategy as a baseline.

Sample Size and Selection Criteria

Based on this review and selection criteria, the specific programmes where the NIRAS team in collaboration with both SIWI and Sida as well as based on its own independent assessment is proposing to review a representative sample of programming funded through its Strategy and Sida's Programme Support. The team has used the following criteria to guide these choices:

- Geographic location with a focus on Latin America, and Africa
- The three programmes funded through separate strategies outlined in the ToR
- A representative mix of programmes funded through SIWI's 2018-2023 Strategy ensuring that this covers the four common areas of work outlined in both. This includes Platform Development, Dialogue Facilitation, Knowledge Generation and Capacity Building.
- We have also included Technical Assistance in WASH given that this reflects one of the newer areas of work in which SIWI is engaged as does its work with Indigenous Peoples.

The sample size also reflects coverage of programming which SIWI has identified as reflecting their core work as well as what the evaluation team considers it can assess adequately within the time frame and evaluation resources available.

The list below summarises our proposed selection. You can find additional details providing short descriptions, partners, funding sources, locations and proposed depth of review in Annex 1:

1. Ethiopia Water and Landscape Governance Programme (2017-2021)* (light review)
2. SIWI Building Governance Capacity for improved Water Security (GO-WATER) 2021- on-going* (light review)
3. Shared Waters Partnership: Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP) (2021-2023)*¹⁰ (more-in-depth review)
4. Accountability for Sustainability (2022-2025) (more-in-depth review)
5. Source to Sea (2018-2023) (more-in-depth review)
6. Transforming Investments in Rainfed Agriculture in Africa (TIARA) (2020-2023) (more-in-depth review)
7. Water-Smart Forest & Landscape Restoration (2018-2023) (more-in-depth review)
8. Technical Assistance in WASH
 - Water Integrity in Latin America programme (light review)
 - Public Sanitation in Latin America and Caribbean programme (light review)
 - Regulatory Commission of Water and Sanitation (CRA) – Colombia (light review)
9. Inclusion of Indigenous Peoples (light review)

SIWI does not have a specific programme/project to support indigenous peoples funded through the SIWI 2018-2023 Strategy or Sida PS. However, SIWI has indicated that it is working to ensure greater inclusivity of indigenous peoples in global and regional water governance fora. The team will therefore review this aspect of intersectionality in their review of the other SIWI programmes, where applicable.

¹⁰ Programmes with asterisk requested by Sida in evaluation ToR.

The total sample represents a total of 11 programmes plus diverse activities designed to support increased participation and voice for Indigenous peoples in global and regional water fora.

Stakeholder Mapping

The team conducted a preliminary stakeholder mapping during the Inception Phase. We will further complement and analyse this mapping during the Data Collection Phase. The preliminary mapping has shown that SIWI usually articulates its programmes and projects with one or more implementing partners, drawing from several sources of funding. The specific partners vary from programme to programme. You can find the preliminary Stakeholder Mapping in Annex 3.

Many key **implementing partners** in SIWI's work are UN or other international organisations, such as *UNDP*, *UNICEF* and *IUCN*. The UN organisations usually involve Headquarters, Regional and Country Offices in their work with SIWI. In 2014, SIWI and UNDP established the Water Governance Facility (WGF), which advances the inclusion of Indigenous Peoples' perspectives into water-related debates and networks, and supports UNDP's Water and Ocean Governance work. UNICEF is a major partner in implementing the Accountability for Sustainability programme. Depending on the topic, SIWI may also partner with specialised Swedish governmental institutions, such as the *Swedish Agency for Marine and Water Management* (SwAM) and the *Swedish Metrological and Hydrological Institute* (SMHI). When needed, SIWI also leverages the expertise of specific partners for certain programme components, such as training (e.g., *IW:LEARN* and *UNESCAP* in the Source to Sea programme). In certain programmes, such as TIARA, SIWI also partners with local NGOs and locally-based research organisations (such as CIFOR) to leverage technical expertise, contextual knowledge and improve local ownership.

Sida is a major **financing partner** for SIWI, due to its core funding and programme support. SIWI's financing partners include other bilateral donors such as the Ministry for Foreign Affairs of Finland, Norway and the Netherlands, GIZ/BMZ (German cooperation), the US Department of State, and the Swiss Agency for Development and Cooperation, among others. From a brief review of Programme Cooperation Agreements, it seems that UN organisations also contribute financially to the projects in which they are involved. Certain activities, such as the work with Indigenous Peoples, are funded through the Water Governance Facility (WGF) Emerging Issues budget framework. Canadian and Australian financiers are also involved in supporting the inclusion of Indigenous Peoples in water fora. Lastly, the Inter-American Development Bank (IDB) is an important funder of technical assistance projects in Latin America.

The range of **beneficiaries** from SIWI's projects and programmes is also very broad, and includes government authorities and technical departments at the local, regional and global level, inter-governmental organisations, civil society organisations, including Indigenous Peoples organisations and networks, community-led groups, academia and the private sector. UNICEF and UNDP also appear to benefit from capacity building from SIWI, designed to make them better equipped to tackle local, national, regional and global water and sanitation challenges.

Based on the initial review of Strategy and programme documents, as well as discussions with SIWI programme personnel for the six programmes the team will review more in-depth, we propose interviewing:

- The SIWI Programme Manager /staff responsible

- The Sida Programme Manager responsible
- Donors that are implementing partners/or other main implementing partners
- 1-3 other programme stakeholders
- 1-2 organisations/CSOs representing programme beneficiaries

For the two programmes funded through other Sida Strategies, we would focus on:

- The SIWI Programme Manager /staff responsible
- The Sida Programme Manager responsible
- Other major donor, if applicable.

For the three projects focused on Technical Assistance in WASH programmes/projects we would also do a lighter review, but would include one KII with a project beneficiary at the government level for the technical assistance project based in Colombia.

This represents a potential total of 46 to 64 KIIs and/or FGDs. We anticipate the majority of primary data collection will be done through KIIs. The team will also involve approximately another 20-22 SIWI staff in the Outcome Harvesting workshops. The selection of programme stakeholders for each project will be done once SIWI programme managers are interviewed.

3.2.1 Interviews, consultative meetings and Focus Group Discussions

The team will use open-ended or semi-structured key informant interviews with individuals from diverse stakeholder groups representing the different programming areas funded through diverse sources of Sida support. The team will use these KIIs as a primary tool to capture qualitative data and contribution narratives plus to validate emerging findings from both these and other data collection processes.

To the extent possible with the evaluation resources available, the FGDs will target equity groups affected by Sida-funded SIWI programming, including, but not limited to, gender equity groups, youth, indigenous peoples, persons facing challenges accessing human rights related to the water sector and people who are poor. We will conduct this primarily by interviewing CSOs that represent rights holders and equity groups.

We will also conduct telephone/Skype/secure conference call interviews with stakeholders identified, complemented by in-person interviews in Bogotá.

Outcome Harvesting

The NIRAS team is proposing the use of Outcome Harvesting as a partial methodology to collect and analyse primary data for the evaluation. Outcome Harvesting is an evaluation approach in which evaluators, grant makers, and/or programme managers and staff identify, formulate, verify, analyse and interpret 'outcomes' in programming contexts where relations of cause and effect are either not fully understood¹¹ or there are no pre-existing performance indicators. The rationale for using this method lies in the fact that neither the 2018-2023 SIWI Strategy include indicators to measure their performance. These indicators exist for some specific programme elements funded through the SIWI Strategy and the team will refer to those in their data collection and analysis process, but the ToR has asked the

¹¹ <https://www.betterevaluation.org/methods-approaches/approaches/outcome-harvesting>

evaluation team to evaluate the Strategy. Therefore, the team sees a need to follow an assessment process which works with different stakeholders (including SIWI personnel) to identify key results generated by the programming funded through the 2018-2023 Strategy using a participatory process which will ask them to identify which key factors contributed to these changes.

To this end, the team proposes using the primary domains of change set out in the ToCs outlined in two of SIWI's core objectives found in the revised 2020 Sida PS document that forms part of SIWI's 2018-2023 Strategy. These include Objective 1: Contribute to Sustainable Management of Shared Water Resources by Improved Water Governance and Objective 4: Contribute to Improved and extended water governance by innovations based on knowledge and learning. The team selected these two objectives to best reflect what their Strategy and Sida PS document indicate is their core area of work.

We will also ask SIWI staff to group the outcomes they identify in alignment with the core activity areas SIWI has identified in its Strategy and 2020 PS document that of:

- Platform Development
- Dialogue Facilitation
- Knowledge Generation
- Capacity Building
- Inclusion and empowerment of diverse equity groups/HRBA approaches.

The team will do this in two ways. The first is to hold a half-day workshop with SIWI staff in both Bogotá and in Stockholm in which they will explore this results identification and analysis process in more depth. The team will also include questions in the KIIs that follow this same process, but in an abbreviated format, e.g., what kind of changes have you observed in the programmes supported/implemented by SIWI in the five domains of change; and to what do they attribute these changes? The data and analysis collected from this process will help the team determine what are the primary changes to which SIWI's Strategy implementation has contributed either directly or indirectly.

Review of MEL System

The NIRAS team will conduct an in-depth review of the robustness of SIWI's MEL system as per EQ 5 using the following data collection processes:

- Document Review of past progress and annual reports related to SIWI's implementation of its 2018-2023 Strategy.
- Review of performance measurement frameworks of programmes funded through the SIWI strategies and of the 3 programmes funded through other Sida strategies.
- KIIs with partners and stakeholders.
- Focusing the two Outcome Harvesting workshops to be held with SIWI staff in Bogotá and SIWI headquarters on the domains of change outlined in two of SIWI's ToCs set out in the 2020 Sida PS document.
- Making a comparison of the results identified through the Outcome Harvesting process and those SIWI has documented through its Outcome Mapping system for similar categories of analysis.
- Use of a Document Review Form with common categories of analysis based on the relevant indicators in the Evaluation Matrix.

Contribution Analysis to Document Results

The evaluation team will conduct a Contribution Analysis of the data collected. This will provide examples of diverse results to which SIWI programming has contributed. It will also frame them in the wider context of how effective and sustainable SIWI's 2018-2023 Strategy implementation have been. The Contribution Analysis will look at:

- The challenges to be addressed
- The results achieved
- Project/activity role and added value in achieving the change
- Funding modality
- Other significant factors

Power and HRBA Analysis to Document Results

The evaluation will use a Power Analysis from an HRBA perspective to assess the effectiveness and sustainability of SIWI programme results. The team will adapt this analytical framework to assess and analyse institutional empowerment and, when possible, rights-holders' influence over water management and governance. The latter will mainly be through consultations with relevant youth-led CSOs, women rights organisations, and CSO representing indigenous peoples. Consequently, the team will look specifically for evidence that Sida-funded SIWI programming has contributed and/or directly led to increased empowerment with regard to:

Targeted rights-holders'

- Ability to enjoy and access water-related human rights
- Ability to advocate for water-related human rights themselves
- Power over, to, with and within, related to their access to, control over and management of water resources

Targeted Institutions

- Institutional capacity to convene and engage in water sector related dialogue with a wide range of stakeholders and citizens
- Institutional knowledge about diverse aspects of inclusive and rights-based water governance and use of the same
- Institutional capacity (where applicable) to advocate for development and adoption of inclusive water governance

This analysis will be based on data gathered and triangulated through the document review, KIIs and FGDS. Based on the document review and information collected to date, the NIRAS team observes that most of this analysis will focus on Institutional Empowerment given the level at which SIWI works and potentially limited access to community level rights-holders.

3.3 Limitations

There are several limitations that potentially affect the evaluation. Through the inception process we have identified these as: a) Extent of evaluation coverage possible; b) Data availability and quality; c)

Availability of people for interviews, meetings and Focus Group Discussions; and d) Attribution and contribution.

Extent of evaluation coverage

The ToR ask the evaluation team to assess SIWI's 2018-2023 Strategy as well as aspects of three additional programmes funded through other Sida strategies. This covers a very broad and extensive range of programming. The team therefore has picked a representative sample of programming based on consultations with Sida and SIWI has been what it is possible to realistically assess during the evaluation. This is especially in light of the fact that neither of the Strategy documents include performance indicators and that in many cases, SIWI is one of multiple actors contributing to results.

Data Availability and Quality

At this time, we are not in a position to fully assess what documentation and other data (and its quality) are available for the evaluation, particularly financial data related to the amount of funding allocated to specific programming through the funding SIWI has received from Sida to support its 2018-2023 Strategy implementation. Should there be any missing written data the team can supplement this through stakeholder interviews and beneficiary FGDs to some extent. To ensure these processes are accessible to stakeholders and beneficiaries the team will design stakeholder and programme-specific data collection instruments that are jargon-free.

Availability of people for interviews, meetings and Focus Group Discussions – While we will do our utmost to meet and learn from the people and organisations of importance for this evaluation, there may be situations where this is not possible. We will highlight these in the final report, as well as any implication on the reliability and representativity of the findings.

The concepts of attribution and contribution – are central methodological issues in all evaluations. In some cases, it will be difficult to demonstrate a clear causal link between SIWI contributions and policy/ strategies/ behaviour/ public service changes although it is often possible to find indicators of related influence. The team will use interviews to identify and triangulate evidence as well as inputs from the Outcome Harvesting process and SIWI's Outcome Mapping reports.

Use of a Power Analysis is key to analyse in what ways SIWI's Sida-supported work has directly contributed to the empowerment of programme beneficiaries from equity groups and the general public as well as in what ways institutions have been empowered to act and adopt more inclusive and effective water governance practices. How robust the findings related to the empowerment of programme beneficiaries from equity groups and the general public will depend upon how many FGDs and KIIs it is possible to hold within the time and resource parameters of the evaluation and how representative these FGDs are of the programme beneficiaries. Based on the information provided by Sida and SIWI, the NIRAS team currently anticipates that many programme beneficiaries are at the institutional as opposed to community level with a few exceptions, e.g., indigenous peoples and youth. The plan is to hold KIIs and/or FGDs with representative sample of the different types of programme beneficiaries from the programmes funded through the SIWI strategy selected for the evaluation. The team will work closely with SIWI and its partners to find a way to identify CSOs and other organisations that represent the voices and experiences of these beneficiary groups. The team will also triangulate this data through KIIs with a wide range of different SIWI stakeholders, many of whom are also direct beneficiaries of SIWI Sida-funded programming. These KIIs will also provide data on the extent, and ways in which,

these institutional stakeholders have been empowered to work more effectively in areas related to inclusive water governance.

3.4 Phases of the evaluation

We foresee that the evaluation will consist of the phases described below.

3.4.1 Start-up and scoping phase

The evaluation's initial phase served to mobilise the evaluation team; establish initial contact with Sida and SIWI; and define lines of communication and management procedures. The output from this phase has included:

- **Introductions** and establishment of communication lines, roles, and responsibilities, as well as discussion of possible limitations to the evaluation scope and clarification of the ToR with both Sida and SIWI. These discussions also covered evaluation needs, priorities, concerns and attune expectations; as well as practicalities related to data availability and collection and a representative sample of programmes to review from those funded through the 2018-2023 SIWI Strategy.
- **Documentation** – Sida and SIWI have transferred relevant documentation shortly after the start-up meeting and will be asked to provide contact details of key stakeholders for all the programmes covered by the evaluation. A formal letter of introduction to be prepared by the Embassies of Sweden in Colombia and South Africa and/or by SIWI for the evaluators to use when approaching the key stakeholders informing them about the evaluation and to request interview times and/or their support during the data collection phase.

3.4.2 Inception phase

During this phase the evaluation team undertook all the tasks and activities outlined in Section 1, the results of which are presented in this report.

3.4.3 Data collection phase

In this phase, the team will gather primary and secondary data. The on-site data collection is expected to primarily take place in Colombia and Stockholm. Additional online data collection will take place both before, during and after the on-site work period to ensure coverage of informants in other geographical locations. The evaluation team also engaged in dialogue with SIWI and Sida as a part of the inception phase to reach agreement on these issues for best possible representativity.

Data Collection Tasks (update)

The team aim to gather a significant amount of data from documented material and from interacting with stakeholders and beneficiaries through interviews and group discussions. This includes the holding of an Outcome Harvesting workshop with SIWI staff in Bogota and a representative group of SIWI headquarters staff.

The field work will be finalised with an online **debriefing-cum-validation-session** with Sida, the Ministry of Foreign Affairs (MFA) (if deemed relevant) and SIWI. Additional stakeholders identified will also be invited to participate in the preliminary findings presentation and discussion. At SIWI's request, this preliminary findings workshop will also include a review of preliminary lessons learned. This meeting will enable the core evaluation 'users' to discuss, ask questions, and raise issues with the evaluation team before the report drafting process.

3.4.4 Verification, analysis and reporting

The team will conduct analysis and verification of collected data towards the end of the data collection phase. Data will be triangulated and analysed to refine the 'contribution story' and firm up understanding and conclusions. Analyses will be based on triangulation of collected evidence. It will be important to maintain contact with key informants during the analysis to verify information if necessary.

The NIRAS team will prepare the **draft report** in line with the instructions in the ToR in terms of format, content and a limit of 35 pages in length (excluding annexes). The report will address the EQs and present findings, conclusions, recommendations, and lessons separately and with a clear logical inter-connection between them. Comments on the draft report from the key stakeholders (Sida and SIWI) will be submitted to the team, using a comments matrix that the team will provide. After having received and responded to the comments as appropriate, the team will revise and submit the **final evaluation report** in English. The report will include concrete recommendations, directed to relevant stakeholders. The team will submit the report with a comment response matrix that will explain how each comment has been considered.

3.4.5 Seminar – virtual meeting

After approval of the final report, a presentation seminar will be held, online, with participation by Sida. The focus here will be presentation of, and reflection upon, findings – and taking the recommendations of the evaluation one step further towards the overall objective of the evaluation: to have “an input to upcoming discussions concerning the preparation of a new phase of intervention”.

3.5 Milestones and deliverables

The table below outlines the milestones for the evaluation (see more details in Section 7 Preliminary workplan). The start-up meeting between Sida and the NIRAS team was held on 6th October according to plan, and introductory meetings with SIWI and the NIRAS team took place on the 11th and 16th October. In our proposed timeline below, we take into account the time needed for the participants to give feedback on drafts as well as other logistical issues, while staying close to the original timeframe as per the ToR.

What	Who	ToR dates	NIRAS plan
Start-up meeting	<i>Sida and NIRAS</i>	25 September 2023	6 October 2023
Virtual Meeting			
Introductory meetings	<i>SIWI and NIRAS</i>	Not included in ToR	11 and 16 October 2023
Submission of the draft inception report	<i>NIRAS</i>	Tentative 15 October 2023	20 October 2023
Inception meeting (virtual)	<i>Sida, SIWI and NIRAS</i>	Tentative 15 October 2023	Week of 23-27 October 2023
Comments on inception report		Tentative 24 October 2023	30 October 2023
Submission of final inception report	<i>NIRAS</i>	Not included in ToR	3 November 2023
Approval of inception report	<i>Sida</i>	Not included in ToR	By 7 November 2023*
Data collection, analysis, report writing and quality assurance	<i>NIRAS (stakeholders)</i>	30 November 2023	November – December 2023
Preliminary findings / validation & debriefing workshop (meeting)	<i>Sida, SIWI and NIRAS</i>	1 December 2023	4 December 2023
Submission of draft evaluation report	<i>NIRAS</i>	21 December 2023	No change
Comments on draft report	<i>Sida and SIWI</i>	Tentative 15 January 2024	No change
Submission of final evaluation report	<i>NIRAS</i>	30 January 2024	No change
Evaluation seminar / Presentation (virtual)	<i>Sida</i>	30 January 2024	2 February 2024

* Noting that this gives only three weeks for the data collection phase and that there could potentially be delays in the completion of that process if some key stakeholders are not available in that three-week period.

3.6 Updated workplan

Preliminary Workplan						October					November					December					January						
2023-2024					DP	AH	MW	LCM	QA	w40	w41	w42	w43	w44	w45	w46	w47	w48	w49	w50	w51	w52	w1	w2	w3	w4	w5
Inception Phase																											
Start-up meeting, week of 2-6 October					0,25	0,25	0,25	0,25																			
Desk review and methods development; meetings with					1,5	1	1	0,5																			
Drafting inception report					3	1	2	1,5																			
QA inception report									1																		
Submission of draft inception report, 20 October																											
Inception meeting (virtual), week of 23-27 October					0,25	0,25	0,25	0,25																			
Comments/no-objection sent by Stakeholders																											
Revision of inception report based on comments					1,0	0,5	0,5																				
Submission of final inception report, 3 November																											
Approval of inception report, by 7 November																											
Sub-total, inception phase:					6,00	3,00	4,00	2,50	1,00																		
Data Collection Phase																											
Preparations					0,5			1																			
Visit to Bogotá / Key informant interviews					8																						
Remote key information interviews (online/telephone)					3	1	7	2																			
Outcome harvesting workshop in Stockholm					0,5			1																			
Additional desk review					1	1	1	2																			
Debriefing/validation workshop, 4 December					0,5	0,5	0,5	0,5																			
Sub-total, data collection:					13,50	2,50	8,50	5,50	0,00																		
Data Analysis and Reporting Phase																											
Report writing					8,5	1	6	5																			
QA draft report									1																		
Submission of draft evaluation report, 21 December																											
Feedback from stakeholders on draft report																											
Finalization of the report					1	1	1	0,5																			
Submission of final evaluation report, 30 January																											
Evaluation seminar (virtual), 2 February					0,5	0,5	0,5	0,5																			
Sub-total, analysis and reporting:					10,00	2,50	7,50	6,00	1,00																		
Total days					29,50	8,00	20,00	14,00	2,00	2023										2024							

Annexes

Annex 1: Proposed Programme Review Sample

Programme/ Themes covered	Description/Status	Locations	Partners	Comments/Rationale
1. Water Security in Ethiopia Project Funded through other Sida Strategy Capacity Building	Programme to improve the capacity of government institutions mandated to manage water resources so that they can improve water governance and water security in Ethiopia. Recently closed	Ethiopia	UNICEF UNDP	Requested by Sida in ToR. Light review proposed as programme now closed. Document review with focus on results reported. Interview with Sida PM to focus on SIWI Strategy/Sida PS contribution.
2. SIWI Building Governance Capacity for improved Water Security (GO-WATER) Funded through Sida International Training Programme Capacity Building	Programme aim has been to build more effective water sector institutions by strengthening institutional capacities – through development of water governance related actions plans and guidelines in combination with capacity development - of a select number of key government water institutions in the focus countries, targeting key middle and higher-level public water officials and decision-makers at national and sub-national levels. Started 2021 - Contribution to be finalised.	Bolivia, Colombia, Iraq, Peru, Sudan, and Uganda,	UNDP Cap-Net Local partners assisted with implementation	Requested by Sida in ToR. Light review proposed as programme now closed. Document review with focus on results reported. Interview with Sida PM to focus on SIWI Strategy/Sida PS contribution.
3. "Shared Waters Partnership: Supporting Trans-boundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP)" 2020-2023 Funded through other Sida Strategy but some	Through the SWP, SIWI facilitates dialogues, offers advice on trust-building mechanisms, and supports engagements that enhance the enabling environment for transboundary cooperation. Has a strong focus on SIWI's cross-cutting issues of gender equality, youth empowerment and a human rights-based approach. Ongoing	Africa	UNDP	Ongoing programme which includes: <u>Women in Water Diplomacy Network in the Nile</u> More in-depth review involving interviewing of Sida PM, SIWI staff and UNDP staff (as partner) and limited interviews with other donors. Document review with focus on results reported, and integration of inclusiveness and HRBA. Will review both platform and network activities and results as well as marine litter (to the extent possible).

Programme/ Themes covered	Description/Status	Locations	Partners	Comments/Rationale
contributions from SIWI Strategy and Sida PS Platform Development Dialogue Facilitation Capacity Building				
4. Accountability for Sustainability Funding: UNICEF – 85%, Sida (SIWI) 15% Knowledge Generation Capacity Building	The partnership is aimed at improving 1) climate resilience of UNICEF's work and that of national WASH sectors; and 2) enabling environment functions and accountability, through help desk support and country support for COs, towards systems strengthening.	East Africa Global Latin America MENA	UNICEF Partnership between SIWI, UNICEF and the <u>UNDP-SIWI Water Governance Facility</u> , focused on improved governance for better water and sanitation services. SIWI works with the UNICEF and UNDP headquarters as well as with their regional offices, country offices, and their national counterparts.	Focus will be on review of this programming in Latin America. More in-depth review involving interviewing of SIWI staff and UNICEF staff (as partner) as well as sample of programme beneficiaries at institution and/or CSO levels. Document review with focus on results reported and integration of inclusiveness /HRBA
5. Source to Sea Sida core funding, Sida PS, UNDP, GIZ and Swedish Agency for Marine and Water Management Platform Development Capacity Building Knowledge Generation	The source-to-sea approach was first documented in the conceptual framework and then developed into key guidance for implementers. This was applied to the issue of marine litter, which was included in the working documents calling for a treaty for plastic pollution at UNEA 5.2. 2018-2023	Global	Multilateral organisations, academia, NGOs, governments and companies	Focus will be on review of work in Asia. More in-depth review involving interviewing of SIWI staff and UNICEF staff (as partner) as well as sample of programme beneficiaries at institutional and CSO levels. Document review with focus on results reported and integration of inclusiveness/HRBA.
6. Transforming Investments in Rainfed Agriculture in Africa (TIARA) Core funding EU Bachman Foundation Sida PS	Programme works on building stakeholder engagement, establishing interest and buy in for efforts around enhanced rainfed agriculture along the Zambezi basin. 2018-2023		The Zambezi Watercourse Commission (ZAMCOM)- We have signed an MoU with them. •The Eight Riparian States and the line Ministries/. Departments of Agriculture, Water, Finance and Environment •Farmers Organisations	More in-depth review involving interviewing of SIWI staff and transboundary partners as well as sample of programme beneficiaries at institutional and CSO levels. Document review with focus on results reported and integration of inclusiveness/HRBA.

Programme/ Themes covered	Description/Status	Locations	Partners	Comments/Rationale
Dialogue Facilitation Capacity Building Knowledge Generation			•NGO, Tiyeni, Dubane Solidaridade, COMACO, CTD, FACHIG ,Golden Valley Trust operating with the Basin in Rainfed Agriculture related activities	
7. Water-smart Forest & Landscape Restoration (2022-2025) Funded through Sida PS and GIZ Capacity Building Knowledge Generation	Addresses how trees and forest ecosystems are highly interlinked with the hydrological cycle, which needs to be considered in restoration of degraded ecosystems to facilitate actions with cross-sectoral implications on water resources and hydrological flows. Restoration initiatives needs being carefully planned to avoid unintended side-effects. This includes forest and landscape restoration (FLR) initiatives.	Global (GIZ funding focus on Africa)	GIZ (including the Forests4Future project), AFR100, FAO, IUCN, WRI, Vi-skogen (Vi Agroforestry)	More in-depth review involving interviewing of SIWI staff and transboundary partners as well as sample of programme beneficiaries at institutional and CSO levels. Document review with focus on results reported and integration of inclusiveness/HRBA.
9. Water Integrity in Latin America Includes Sida PS Capacity Building	Action plans to strengthen integrity within service providers and regulators, implemented within a timeframe of two-three years; Increased capacities of actors after taking the Integrity online course	Latin America	Water Integrity Network (WIN) and Cewas	Part of technical assistance WASH examples. Light review involving interviewing of SIWI staff and boundary partners. Document review with focus on results reported and integration of inclusiveness/HRBA.
10. Public Sanitation: Includes Sida PS Dialogue Facilitation Capacity Building Inclusion	Purpose of programme is to raise awareness among those responsible for public policy development and service provision to provide adequate restroom facilities in public spaces; Improve access to toilets in public spaces of vulnerable groups; Support development of action plans for adequate implementation, management, operation, and maintenance of public toilets in urban settings. Finalising in 2023	Latin America and Caribbean	InterAmerican Development Bank	Part of technical assistance WASH examples Light review involving interviewing of SIWI staff and partners in Colombia. Document review with focus on results reported and integration of inclusiveness/HRBA.

Programme/ Themes covered	Description/Status	Locations	Partners	Comments/Rationale
10. Regulatory Commission of water and sanitation (CRA) Capacity building	Support for their autonomy through an analysis of their value proposition/business model and supporting changes in their internal organisation.	Colombia		Part of technical assistance WASH examples. Light review involving interviewing of SIWI staff and partners in Colombia. Document review with focus on results reported and integration of inclusiveness/HRBA.
11. Inclusion of Indigenous Peoples Main funding - Water Governance Facility Sida Programme Support and the International Centre for Water Cooperation (ICWC) Platform Development Dialogue Facilitation Capacity Building	Support to ensure increased participation and representation of indigenous peoples and indigenous organisations and priority issues for them in global and regional water governance fora, including those related to climate change. Ongoing	Global	Extensive list of partners. Evaluation will focus on the Dushanbe and UN Water conference, Indigenous participation associated with World Water Week as well as a small sample of groups representing indigenous peoples from Latin America.	New but growing area of work for SIWI. Light review but with stronger focus on beneficiary participation and use of power analysis. Will select two global events at which SIWI's direct support from its Strategy or Sida PS contributed to participation of indigenous organisations. One will be from Latin America and the other will be World Water Week.

Annex 2: Proposed Evaluation Matrix

N.B.: Given the brevity of the inception period the evaluation team cannot yet comment on or verify the reliability of related data.

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
Relevance				
EQ 1: To what extent have intervention objectives and design responded to beneficiaries, global, country and partners/institution's needs, and have they done so if/when circumstances have changed?	Evidence of direct outcomes which have resulted in improved water governance in core SIWI Strategy areas of: Platform Development Dialogue Facilitation Knowledge Generation Capacity Building Evidence of how interventions were identified and designed based on their relevance, purpose and stakeholder input Evidence of the formal process of establishing platforms and dialogues, securing their status, setting, purpose and activities. Evidence of how knowledge Gaps and capacity building needs were	• Desk review • Theory based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • Outcome Harvesting Workshops with SIWI staff Documented contributions toward SDG6 including 6.5. Workshop reports including participant lists. Substantive outputs of platforms, dialogues, Knowledge generation and capacity building including: Terms of reference / papers establishing platforms, agreed position statements, formal resolutions, communiques with governments and or authorities, MoUs, examples of properly documented new knowledge, training curricula, teaching	Focus on a traceable path from SIWI Strategy through to identification, design and implementation of interventions and activities by design rather than default. Also need to focus on how stakeholders needs helped shape the design of the intervention. As well as examine SIWI's role and relevance related to influencing / advocacy / leveraging

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	identified and formulated and influenced by need of relevant stakeholders. Evidence of soliciting views and reviewing aspects of the preceding indicators and as necessary revising aspects accordingly Evidence that SIWI plays a unique, value-added role in influencing positive change in water governance		materials, course designs and delivery. Verbal confirmation of successful output from programme partners	
EQ 2: Has the strategy been implemented in accordance with poor people's perspectives and a Human Rights Based Approach? For example, have rights holders and target groups been participating in project planning, implementation and follow up?	Extent to which strategy and programme documents are based on and informed by multidimensional poverty and power analyses. Existence and demonstrated use of methods for meaningful and active participation of relevant rights-holder groups Existence and demonstrated use of measures to counteract discrimination within and between different stakeholders and members of the public Evidence of accountability and transparency claims on duty-bearers	• Desk review • Theory based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries • Assessment of SIWI staff HRBA knowledge	• Programme documents • Evaluations • KIIs • FGD • Outcome Harvesting Workshops with SIWI staff	Need to focus on assessment of contributions related to reduction of water poverty

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	Evidence of HRBA capacity building of staff and partners MEL system follows-up both objective and process-oriented HRBA results Evidence of programme management rights-based practices, including accountability mechanisms, safeguarding policies, etc.			
Effectiveness				
EQ 3 To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including that of poverty reduction?	Evidence of changes at the direct and intermediate outcomes levels leading to improved water governance in core SIWI Strategy areas of: - Platform Development - Dialogue Facilitation - Knowledge Generation - Capacity Building Evidence that actions supported by the SIWI Strategy have contributed to diverse groups of the poor having increased access to affordable clean water. Number and type of anticipated results achieved in programmes funded	• Desk review • Theory based & Contribution Analysis • Power Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • Outcome Harvesting Workshops with SIWI staff	Outcome Harvesting Workshops will focus on harvesting outcomes and testing SIWI's Theories of Change related to Objective 1 – Contribute to Sustainable management of shared water resources by improving water governance and Objective 4: Contribute to Improved and extended water governance by Innovation based on knowledge and learning outlined in 2020 Sida Programme Support document

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	through SIWI Strategy and Sida PS in sample programmes assessed. Extent to which results reported in annual progress reports clearly contribute to SIWI Strategy/Sida PS objectives.			
EQ 4: Who (de facto) has benefited in the short term and long run, directly or indirectly, and have there been any differential results across diverse groups?	Identification of which types of stakeholders have benefited directly from SIWI Strategy/ PS activities in short and long term Identification of which types of community level groups have benefited directly from SIWI Strategy/PS activities in short and long term Identification of which types of stakeholders have benefited indirectly from SIWI Strategy/ PS activities in short and long term? Identification of which types of community level groups have benefited directly from SIWI Strategy/ PS activities in short and long term	- Desk review - Contribution Analysis - Outcome Harvesting - KIIs/FGDs - Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • Outcome Harvesting Workshops with SIWI staff	Limited access to community level groups is foreseen, which is why the team will have to rely on secondary sources. KII with rights-holder led/representative. CSOs will to certain extent and where applicable be able to provide information

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
EQ 5: Has the MEL system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?	Presence of clear results indicators at direct and Intermediate outcomes levels for SIWI programming supported through the 2018-2023 SIWI Strategy Progress/annual reports clearly indicate concrete and measurable results against programme and strategy outcomes at direct and intermediate levels Progress/annual reports on the SIWI Strategy only include results from programming funded through the Strategy or clearly identify related results from other Sida strategies Regular processes in place to review programme and strategy results achieved and revise planned approaches if needed to achieve results anticipated/planned Evidence that new programming incorporates lessons learned from past programming SIWI staff and partners are able to report on results using SIWI Outcome	• Desk review • Outcome Harvesting • KIIs/FGDs • Triangulation with stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs	Outcome Harvesting with SIWI staff will help confirm robustness of SIWI's MEL system

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	Mapping system accurately and consistently. SIWI progress reports are useful and readily accessible for funders Revisions of results framework and ToCs based on lessons learnt from the MEL system Results are disaggregated by gender, and other demographic groups identified as priorities in SIWI's Strategy (i.e., poor, Indigenous, youth, etc.)			
EQ 6: Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow-up?	Platform Development The strategy/programme documents are based on and informed by a gender analysis Integration and/or targeting of relevant gender equality issues in water governance in SIWI-implemented or supported platforms on water governance Equitable participation of women in SIWI-implemented or supported platforms on water governance Dialogue Facilitation	• Desk Review • Theory based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with Stakeholders and beneficiaries • Assessment of SIWI staff gender equality capacity	• Programme documents • Evaluations • KIIs • FGDs • Outcome Harvesting Workshops with SIWI staff	The team will assess this element in all programmes reviewed from both a mainstreamed and targeted approach

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	Intersectional gender equality issues included in water governance discussions/agendas/decisions at different levels of government and with diverse stakeholder groups Changes in policies and water governance processes supported by SIWI are inclusive of intersectional gender equality issues/considerations Evidence of support for increased participation/inclusion of diverse groups of women in water governance dialogue and water governance development Evidence of increased access to quality water for diverse gender groups Knowledge Generation Support provided for targeted research /tools related to gender and water governance SIWI generated or supported research and/or tools development integrates and addresses relevant intersectional gender equality issues SIWI ensures that women researchers and water experts are involved in/hired to produce SIWI-generated			

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
	and/or supported research on water governance in equitable numbers and ways (# and %) Capacity Building SIWI implemented and/or funded capacity building related to water governance is inclusive of equitable numbers of women from diverse stakeholder groups SIWI implemented and/or funded capacity building related to water governance, either targets specific gender equality issues in water governance or integrates relevant gender and water governance issues			
Sustainability				
EQ 7: Which SIWI Strategy results are likely to be maintained in the medium to long term and what are the contributing factors to this sustainability?	Platform Development Relevant global and regional fora actively address and take actions to improve water governance, including making water resource management practices more inclusive. Dialogue Facilitation Governments/public agencies address needs for sustainable and inclusive water management in their policies	• Desk review • Theory-based & Contribution Analysis • Outcome Harvesting • KIIs/FGDs • Triangulation with Stakeholders and beneficiaries	• Programme documents • Evaluations • KIIs • FGDs • Outcome Harvesting Workshops with SIWI staff	Transboundary water agreements/actions and other actions related to large scale water resources management take a very long time to see real concrete results with suitable time units being a decade, so the team will look for indications that key elements related to these longer term results are in progress or in place and in many cases will be

Questions raised in ToR	Indicators to be used in Evaluation	Methods	Sources	Comments
Which ones are not and why?	and/or begin to implement these policies Diverse non-governmental stakeholder groups and beneficiaries able to engage effectively in dialogue about improved inclusive water governance Evidence of progress made towards transboundary water agreements Knowledge Generation Research institutions and other partners/stakeholder groups undertake research on water governance issues Capacity Building Diverse groups of governmental and non-governmental stakeholders able to develop improved water governance policies and services and actively engaged in doing so Ability to maintain ongoing cooperation or other forms of funding (e.g., national governments) to support sustainability of results that require a longer-term approach			looking for evidence of related intermediate outcomes.

Annex 3: Stakeholder Mapping

Based on a preliminary review of documents and email exchanges with SIWI staff, the evaluation team identified the following main stakeholders for each selected programme which will be reviewed by the evaluation. The stakeholder lists do not necessarily represent all stakeholders for each programme, but the information received at the time of the submission of the Inception Report. SIWI's work is extensive and complex with many direct and indirect beneficiaries and highly diverse stakeholders. We have listed those which SIWI has provided in related information lists. It is also important to note here that as not all stakeholders identified are equally involved in the programmes selected as a representative sample, and the limited scope of this evaluation, the evaluation team will not be contacting all main stakeholders identified below, but rather a sample, as described in section 3.2 of this report.

Strategic contacts to be interviewed outside any specific project/programme scope:

[Name], Sida Policy Specialist on water, sanitation and oceans, [e-mail address]

[Name], Swedish MFA, Responsible for SIWI partnership, [e-mail address]

[Name], MFA of the Netherlands, [e-mail address]

Shared Waters Partnership (SWP)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Transboundary Water Management Department at SIWI	Implementing partner	
Embassy of Sweden in Addis Ababa	Financing partner	The Sida grant agreement is held between the Embassy of Sweden in Addis Ababa and SIWI. Sida funds are directed towards the "Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins" project.
Norwegian Ministry of Foreign Affairs (NMFA)	Financing partner	
MFA Netherlands	Financing partner	
UNDP	Financing partner	

US Department of State (DoS)	Financing partner	
Swiss Agency for Development and Cooperation (SDC)	Financing partner	"SIWI is currently planning an intervention to be implemented in 2020 and co-financed by the Swiss Agency for Development and Cooperation (SDC)"
MFA Finland	Financing partner	
Government representatives in transboundary countries	Beneficiaries	
regional organisations	Beneficiaries	
civil society	Beneficiaries	
Academia	Beneficiaries	
Media	Beneficiaries	
Young professionals	Beneficiaries	

Accountability for Sustainability (A4S)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
UNICEF WASH Section	Financing and implementing partner	UNICEF's most important boundary partners include UNICEF Headquarters, UNICEF Regional Offices, and UNICEF Country Offices. 1 Global PCA + 3 regional PCAs in MENA, LAC and EAP
Water and Sanitation Department at SIWI	Implementing partner	SIWI Managers of the different PCAs
Sida	Financing partner	
UNDP	Implementing partner	Partner
UNICEF Country offices	Beneficiaries of Technical Assistance	UNICEF Country Offices (CO) engage with SIWI to request our technical assistance, and link with the governments in the processes
Ministry of Public Health and Social Assistance (MSPAS), Guatemala	Beneficiaries	SIWI identifies local institutions on water governance and liaises with them on a partnership / capacity building program, where we support them on an assignment while building their capacities during its implementation.
National Aqueduct and Sewer Administration (ANDA), El Salvador	Beneficiaries	
National Water Authority (ANA), Nicaragua	Beneficiaries	
Department of Water, Ecuador	Beneficiaries	
Agencia de Regulación y Control del Agua (ARCA), Ecuador	Beneficiaries	
Ministry of Health, Dominican Republic	Beneficiaries	
Universidad NUR, Bolivia	Partners/ Beneficiaries	
EXSSA, Haiti	Partners/ Beneficiaries	

Source to Sea (S2S)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water Cooperation and Diplomacy department at SIWI	Implementing partner	SIWI has a S2S Programme to implement source-to-sea projects and is host of the secretariat for the Action Platform for Source-to-Sea Management (S2S Platform). SIWI initiated the source-to-sea concept and launched the Platform. S2S had two pilot locations , Hawassa, Ethiopia and Hoi An/ Vu Gia-Thu Bon River Basin, Vietnam. The first round of pilots was interrupted by Covid and the continuation in Hawassa was cancelled due to the civil war. Due to this, activities were limited prior to 2020 in Hawassa and SIWI has not maintained contact with people there. With the Platform , SIWI is creating a community of practice around source-to-sea management so all platform partners could be considered beneficiaries as well.
Swedish Agency for Marine and Water Management	Implementing partner	The concept of Source to Sea was of high relevance to the government when deciding on establishing the agency that started its operations in July 2011. The agency has the main responsibility in Sweden for the management of seas, lakes and rivers including fisheries management, to secure healthy ecosystems and human needs. SwAM has engaged SIWI in several projects implementing the source-to-sea approach in their bi-lateral/international cooperation.
International Water Learning Exchange & Resources Network (IW:LEARN)	Implementing partner	Capacity development has been conducted with IW:LEARN for implementers of GEF projects in person and online
UN's Economic and Social Commission for Asia and the Pacific (ESCAP)	Implementing partner	Capacity development has been conducted with UN ESCAP for policy and decision makers in the Asia Pacific. This was a very small project to assist in developing an e-learning on SDG6&14 linkages for the Asia Pacific region.
IUCN Vietnam	Implementing partner	Local implementing partner for Foundations for Source-to-Sea Management and Design and Accountability for Source-to-Sea Action on Plastic.
GIZ	Financing partner	On behalf of BMZ, GIZ has a grant agreement with SIWI for the global project "Concepts for sustainable solid waste management and circular economy", an agreement for the project "Sustainable Water Policy".

Sida	Financing partner	
Swedish Ministry of Environment and Energy	Financing partner	"Thanks to the contribution provided by the Swedish Ministry of the Environment and Energy, the Secretariat was reinforced with a full-time staff member from June 2018, which allowed for additional input by the S2S Platform in relation to a number of the activities."
UNDP	Financing partner through the Water Governance Facility	UNDP has been a partner of the S2S Platform since its launch and is on the Steering Committee.
Government of the Netherlands	Financing partner	The government of the Netherlands has a framework agreement with SIWI that includes funding for the S2S Platform and source-to-sea activities
Independent consultant - TJC Water	S2S Platform Chair	Been involved with the S2S concept and S2S Platform from the beginning. His role as Chair is as an individual and he does not represent an organisation in that role.
IUCN	S2S Platform partner/beneficiary and Steering Committee member	Has good knowledge of S2S and S2S Platform activities. With the Platform, we are creating a community of practice around source-to-sea management so you could say the beneficiaries are all of our partners. You can see the list here. We also participate in and hold events at many conferences and meetings. For this would the beneficiaries be the participants in the events, the countries that have signed declarations with S2S in it, etc.? This becomes a large list that we could never provide. Then there are the activities that our partners do where they incorporate S2S and the beneficiaries related to those activities.
GEF	Collaborating partner	The Global Environment Facility has been an observer and collaborating partner to the S2S Platform for many years
UNECE	Collaborating partner	UNECE/ Water Convention Secretariat has been a collaborating partner for about five years.
NatuRes programme	Collaborating partner	GIZ team in Ethiopia

Department of Natural Resources and Environment, Vietnam	Beneficiaries	The Department of Natural Resources and Environment supports the city of Hoi An in the development of the environmental strategy and in addressing the issue of plastic pollution.
Hoi An municipality	Beneficiaries	The municipal government of Hoi An received support to incorporate source-to-sea perspectives in their environmental strategy.
ORASECOM (local basin development organisation)	Beneficiaries	ORASECOM has been a S2S Platform partner for several years
Independent consultant working with community-led groups	Implementing partner	Consultant providing community engagement for Design and Accountability for Source-to-Sea Action on Plastic. Kinh led the engagement with the community members so could be interviewed about that process and impact. She could potentially provide names of people that we worked with from the community. However, they will not speak English so it may be difficult to interview them.
NatureScot	Beneficiaries	Agency in Scotland, which received a former SIWI intern applying her learning on S2S there.

Indigenous peoples work

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water Governance Facility	Financing partner	In 2014, SIWI and UNDP established the Water Governance Facility (WGF), which advances the inclusion of Indigenous Peoples' perspectives into water-related debates and networks, and supports UNDP's Water and Ocean Governance work. There are no agreements in place as almost all of the work has been within the Water Governance Facility Emerging Issues budget framework.

Water Resources Department at SIWI	Implementing partner	SIWI is building the foundations and trust necessary for working with different Indigenous Peoples and other supporting institutions. This includes our contributions to the UN World Water Development Report (WWDR), Yaa Heen Koosge: Indigenous Peoples and Water Wisdom activity, webinars/session/activities at 2021, 2022 & 2023 Stockholm World Water Weeks (WWW) (culminating the initiation of the First Nations Focus) and 2023 UN Water Conference, Policy Brief, blogs, and the hours preparing for Dushanbe Water Process (the DWP aims to support of the successful implementation of the International Decade for Action “Water for Sustainable Development”, 2018-2028). In addition to the aforementioned activities, other activities and engagements have been undertaken in terms of supporting Indigenous representation and inputs into the Official programme of the UN Water Conference.
UNDP	Implementing partner	UNDP has a number of programme relating to Indigenous Peoples, including through the Small Grants Fund
Sida	Financing partner	
GIZ	Financing partner	
Government of Canada	Financing partner	The Government of Canada provided a small contract to support the attendance of First Nations Peoples from Canada at the 2023 WWW, and is planning to do similar in 2024.
UNESCO, especially Local and Indigenous Knowledge Systems (LINKS)	Implementing partner	UNESCO is a co-convenor of multiple Indigenous Focused events. SIWI is currently in conversation with UNESCO and the Australian Water Partnership to support activities/Session(s) at the 2024 World Water Forum; and are starting several pieces of work related to building the emerging IP portfolio. This includes proposed research activities with SEI and PIK, policy development activities with IUCN, and activities and training with AIPP.
Australian Water Partnership	Implementing partner	Strong supporter of First Nations Focus, and Indigenous voices in international arenas.
IUCN	(Potential) Implementing partner	Policy development activities with IUCN. Currently engaged in discussions regarding activities in 2024, following activities at other events

FAO	Implementing partner	SIWI is working closely with UNDP, UNESCO, FAO, other NGOs and Indigenous Peoples networks/groups to increase the voices of Indigenous Peoples in the international water policy dialog.
The Government of the Netherlands	Implementing partner	SIWI provided significant support to the Dutch Government in connecting with Indigenous groups and increased participation at the Water Conference , including official engagements
University of Arizona	Implementing partner	Support activities for Water Conference and WWW, Water and Tribes Initiative
University of Manitoba	Implementing partner	Support activities for Water Conference and WWW
Environmental Law Institute	Implementing partner	Development of First Nations Focus
Northern Masaai	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events
Karen Environmental and Social Action Network	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events
Te Tui Shortland	Implementing partner/Beneficiaries	Contributor to Yaa Heen Koosge report, participant in WWW events
Stockholm Saami Association	Implementing partner/Beneficiaries	First Nations Focus at WWW
Asian Indigenous Peoples Pact	Implementing partner/Beneficiaries	Water Conference, Dushanbe and future activities planning

Transforming Investments in Rainfed Agriculture in Africa (TIARA)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
SIWI's Africa Regional Centre	Implementing partner	Supports the objective of attracting more finance to the water sector in Africa. Partnering with local organisations in the Zambezi watercourse, TIARA is collecting empirical data on the costs and returns (at the farmer level as well as for the broader environment and society) of investing in rainfed agriculture at scale in the five hotspot sites in the Zambezi watercourse.
Sida	Financing partner	Co-finance from programmatic support under PO2: Contribute to Resilient Water Services and Infrastructures
Leopold Bachmann Foundation	Financing partner	LBF aims to support rural communities, specifically, youth and women by fostering economic structures and opportunities
Zambezi Watercourse Commission (ZAMCOM)	Implementing partner/Beneficiary	ZAMCOM is benefiting from knowledge generation and exchange activities focused on contributing to knowledge of water and development issues in the Zambezi River Basin of the TIARA Project. Together we are coordinating and collaborating on advocacy efforts to influence policies for increasing water availability for smallholder farmers and improving rainfed agriculture practices and attracting investment finance to the Zambezi River Basin's water and development sector.
International Council for Research in Agroforestry (ICRAF) - Centre for International Forestry Research (CIFOR)	Implementing partner	Technical expertise (provision of consultancy services) and unlocking models for scaling up landscape restoration. CIFOR-ICRAF is one organisation
COMACO, Zambia	Implementing partner/Beneficiary	NGO implementing the pilot project in the Hotspot Area. Interested in unlocking pathways to sustainable financing for their operations supporting smallholder rainfed farmers. Through this partnership their work has been profiled and marketed widely. The TIARA project has enabled them to work with more farmers in their respective countries.

Community Technology Development Trust (CTDT), Zimbabwe	Implementing partner/Beneficiary	NGO implementing the pilot project in the Hotspot Area. Interested in unlocking pathways to sustainable financing for their operations supporting smallholder rainfed farmers. Through this partnership their work has been profiled and marketed widely. The TIARA project has enabled them to work with more farmers in their respective countries.
Tiyeni Organisation, Malawi	Implementing partner/Beneficiary	NGO implementing the pilot project in the Hotspot Area. Through this partnership their work has been profiled and marketed widely. The TIARA project has enabled them to work with more farmers in their respective countries.
Farmers' Association of Community Self-Help Investment Groups (FACHIG) Trust, Zimbabwe	Implementing partner/Beneficiary	
Farmers in Malawi, Zambia and Zimbabwe	Beneficiaries	• Malawi: Mzuzu in Mzimba North District. The project is working with 10 farmers in total, targeting 4 hectares of farmland and eventually reach over 20,000 farmers in Malawi. • Zimbabwe: 3 household-based pilot plots in wards 8, 10 and 11, representative of drier and arable parts of Mt Darwin district have been adopted, and 25 hectares in part of Mashonaland East province, Zimbabwe each with 10 farmers The 30 farmers attending training at the demonstration plots then cascade the training information to 600 farmers in their surrounding communities. • Zimbabwe Mashonaland Province: CTDT is working with 500 farmers in 5 districts within the Zambezi River Catchment areas. The total land sizes range from 1.5 to 2.0 hectares. • Zambia: 253,142 farmers participated in agriculture production for the 2022 farming season. These farmers are organized into 15,157 farmer-producer groups from 113 local cooperatives. A total of 1,569 are certified seed growers. 43,727kg of legume seeds produced to support co-operative seed banks for local farmer needs. 4,004 certified organic groundnut growers.

Water-smart Forest and Landscape Restoration (W-FLR)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Swedish Water House at SIWI	Implementing partner	The W-FLR tool will be a handbook for Water smart Forest Landscape Restoration, and build on a range of existing tools that SWH's Resilient Landscapes team have been engaged with in different projects and programmes together with partners, such as the Forest Water Champions, Swedish Forestry sector etc. The need for such a tool partly emerged from a study SIWI/SWH was part of to assess trade-offs between agricultural productivity and other ecosystem services in the landscape.
Sida	Financing partner	The W-FLR Tool development started in December 2022, with baseline funding from Sida. During the first half of 2023, the first version of the W-FLR Handbook was developed, describing the 6 modules of the W-FLR Tool (figure 1). Throughout the process, the expert group of the Forest-Water Champions (FWC), drawn from international organisations and research institutes, is supporting the development of the tool concept and methodology.
GIZ	Financing partner	GIZ have just granted SIWI a new agreement, with focus on implementation of Water-smart FLR. This grant is building on previous funding from Sida PS and GIZ to develop the W-FLR Tool, where the main aim is to assess the readiness for water-smart FLR. In the new grant, one key activity is to scale up water-smart FLR through the AFR100 initiative. GIZ is also member of the Reference Group.
African Forest Landscape Restoration Initiative (AFR100)	Beneficiaries	
FAO	Implementing partner	FAO is a member of the Reference Group

IUCN	Implementing partner	IUCN is a member of the Reference Group
WRI	Implementing partner	WRI is a member of the Reference Group
Vi-skogen (Vi Agroforestry)	Implementing partner	Vi-skogen is a member of the Reference Group
Stockholm Resilience Centre (SRC)	Implementing partner	Stockholm Resilience Centre is leading a recently funded research project on the topic “Understanding and securing the resilience of forest-based climate change mitigation”. The project is funded by Formas and supported by SIWI. The research project is in its very early stage now, but the plan is that the W-FLR Tool will be merged with the research project so that the two projects can benefit from each other. For instance, the findings in the research projects will be used to strengthen the W-FLR tool methodology, and that the tool is planned to be used in the implementation phase of the research project.
Forest4Future countries and national/local stakeholders	Beneficiaries	To secure the impact, effectiveness, and user-friendliness of the tool, three pilot countries have been identified: - Benin , linked to the GIZ project Forests4Future. - Laos , linked to the ongoing Locally Controlled Forest Restoration International Training Programme (LoCoFoRest ITP) funded by Sida and led by the Swedish Forest Agency. - Ethiopia , linked to the GIZ project Forests4Future in the southern Rift Valley with participants taking part in the LoCoFoRest program.

Water Integrity in Latin America

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water and Sanitation Department at SIWI	Implementing partner	The Consortium (WIN, SIWI, cewas) has been collaborating with the Inter-American Development Bank (IDB) since 2016, to contribute to the implementation of IDB Technical Cooperation focused on transparency, information management and governance in the water and sanitation sector.
Water Integrity Network (WIN)	Implementing partner	
cewas	Implementing partner	
Inter-American Development Bank (IDB)	Financing partner	
Sida	Financing partner	
Autoridad de Fiscalización en Agua Potable y Saneamiento (AAPS), Bolivia	Beneficiaries	Regulator at the national level in Bolivia
National Superintendency of Sanitation Services (SUNASS), Peru	Beneficiaries	Regulator at the national level in Peru

Agencia de Regulación y Control del Agua (ARCA), Ecuador	Beneficiaries	Regulator at the national level in Ecuador
ERSAPS, Honduras	Beneficiaries	Regulator at the national level in Honduras
Service Providers	Beneficiaries	
Academia / Knowledge Institutions	Partners / Beneficiaries	SIWI developed and lead implementation of an online course in water integrity (in English, since 2015, in Spanish, since 2021). The course was developed in partnership with UNDP Knowledge Platform CAP NET and it is available in their platform.

Sanitation in public spaces (focus on Colombia)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Water and Sanitation Department at SIWI	Implementing partner	
Inter-American Development Bank (IDB)	Financing partner	IDB was the leader and the fund executor of the AquaFund in this project. The AquaFund is a twin fund capitalized with IDB funds along with donor's contributions.

Sida	Financing partner	
Municipality of Barranquilla	Beneficiary	
Universidad del Norte	Implementing partner	Supported the project with local data collection
Vulnerable groups (street workers, homeless people, people with disabilities, transgender people, elderly people, women, and girls)	Beneficiary	Representatives or managers of social programs for vulnerable people who: - helped implement the focus groups to identify their specific needs regarding toilets in public spaces - participated in the development of the action plan

Support to institutional efficiency to CRA

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Regulatory Commission of water and sanitation (CRA)	Beneficiary	SIWI has worked together with CRA in supporting their autonomy through an analysis of their value proposition/business model and supporting changes in their internal organisation
Inter-American Development Bank (IDB)	Financing partner	

GO-WATER

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
SIWI - Office of COO (transversal programme that includes both WRM and WASH governance)	Programme developer and main implementer	SIWI is the lead agency of this programme and responsible for its implementation
Sida International Training Programme (ITP)	Financing partner	Funder of the programme
UNDP Cap-Net	Implementing partner	International partner to support capacity development workshops; development of materials; digital platform for online trainings.
Directorate of Water Resources Planning and Regulation, Ministry of Water and Environment, Uganda	Uganda - Implementing partner/consultant	Development of CD workshops on water coordination for improved integrated water basin mgmt (national level and in 2 water management zones) Development of WRI communications plan on integrated Programmatic process and dialogue support with the government and other stakeholders; contextual, substantive and logistical support to activity development and implementation.

Drinking Water and Basic Sanitation Authority (AAPS), Bolivia	Implementing partner in Bolivia /consultant	Development of WASHREG workshop with AAPS, rural providers and other key actors. Consultancy on tariffs. Support to LatinoSan workshops on regulation.
Superintendency of Public Utilities (SSPD), Colombia	Implementing partner in Colombia /consultant	Development of workshops with rural providers. Consultancy on rural regulation, supervision and control
National Superintendency of Sanitation Services (SUNASS), Peru	Implementing partner in Peru /consultant	Development of WASHREG workshop with SUNASS and other key actors. Consultancy on tariffs. Consultancy on sanctions.
Agencia de Regulación y Control del Agua (ARCA), Ecuador	Implementing partner in Ecuador /consultant	Development of WASHREG workshop with ARCA
Iraq – UNICEF country office	Implementing partner	Development of WASHREG workshop

Ethiopian Water & Landscape Governance Programme (EWLGP)

Stakeholder name	Stakeholder category	Brief description of the stakeholder and its interest in the project
Africa Regional Centre at SIWI	Implementing partner	Supports the objective of strengthening water governance at national and local level
Sida	Financing partner	Bilateral funding Sida-Ethiopia

GIZ	Implementing partner (co-funding joint workshops)	co-organized basin planning and project management workshop in Southern Ethiopia, Hawassa.
USAID	Coordination partner	Coordinating and mutually supporting the development and drafting of the National Integrated Water Resource Management Program.
Swedish Metrological and Hydrological Institute (SMHI)	Implementing partner (co-funding joint workshops)	Co-organized gender related activities (trainings, SOP's, role play, legal policy presentations) and shared resources in planning and delivering

Annex 4: Outcome Harvesting Guide

Outcome Harvesting is “a utilisation-focused, participatory tool that enables evaluators, grant makers, and managers to identify, formulate, verify, and make sense of outcomes they have influenced when relationships of cause-effect are not necessarily known or completely attributable. Unlike some evaluation methods, Outcome Harvesting does not measure progress towards predetermined outcomes or objectives, but rather collects evidence of what has been achieved, and works backward to determine whether and how the project or intervention has contributed to the change”. (Wilson-Grau and Britt. 2012)

Outcomes are defined as:

“An observable and significant change in a social actor’s behaviour, relationships, activities, actions, policies or practice that has been achieved and that has been influenced by the change agent (Wilson-Grau and Britt, 2012 cited in Ford Foundation, [“Outcome Harvesting”](#))

For the purposes of the SIWI Strategy evaluation, the evaluation team will conduct two Outcome Harvesting Workshops, one with SIWI Staff in Bogotá and one with a representative sample of SIWI staff in Stockholm. The following describes the process and steps the team will use to apply Outcome Harvesting to the evaluation.

Purpose

The purpose of the Outcome Harvesting Data Collection and Analysis process is for SIWI staff and partners to identify the different changes to which the 2018-2023 Strategy has contributed at multiple levels and from multiple perspectives with an emphasis on outcomes related to:

- Objective 1: Contribute to Sustainable Management of Shared Water Resources by Improved Water Governance in Bogotá; and
- Objective 4: Contribute to Improved and extended water governance by innovations based on knowledge and learning for the SIWI Headquarters staff.

For the purposes of this evaluation the focus would be on identifying which changes have taken place and what were the underlying factors related to these changes. This is intended to serve both test selected aspects of SWI’s Objective Theories of Change and gain a clearer understanding of what the funding provided by Sida to implement its 2018-2023 Strategy has contributed to Sida-funded programming (either through the Strategy itself or to programming funded through other Sida strategies).

Who to Involve

1. **Bogotá:** All SIWI office personnel directly involved with programme planning, implementation and monitoring and evaluation who are funded, either fully or in part, by Sida funding for the SIWI 2018-2023 Strategy.
2. **Stockholm:** A representative selection of SIWI personnel involved in activities and programming related with “Improved and extended water governance by innovations based on knowledge and learning” supported by the Sida funding for the SIWI 2018-2023 Strategy and who work in the

eleven (11) programmes selected for the evaluation sample. We estimate a staff group of approximately 15-16 people in the Stockholm workshop, with the final number to be determined following further discussions with SIWI.

Outcome Harvesting Process

Action One: Outcome Harvesting Session with SIWI personnel

The evaluation team will use the outcome harvesting tool and process to ask SIWI's staff members in Bogotá and Stockholm to document/describe expected, unexpected, positive, negative changes including those that may not be outlined in the Strategy's theories of change. This will include asking SIWI staff to think outside the usual boxes to where they have seen "real" change, big or small, and not to focus solely on completed activities, e.g., "completed training" or "reports written" or "funds spent" (which are often mistakenly interpreted as first level results or outcomes).

The methodology we will use for the Outcome Harvesting workshops in each SIWI location will include the following steps and process:

Step One: Identifying Changes that Have Taken Place

1. Introductions and warm up exercise related to change.
2. Short discussion on how to define change and of what constitutes an outcome within the context of the SIWI Strategy objectives.
3. Group exercise in which we would ask SIWI staff to brainstorm and identify what they perceive have been the changes brought about by the funding SIWI received to support the implementation of its 2018-2023 Strategy from Sida (e.g., use of staff time, communications, direct programme support, etc.)
4. While for the Outcome Harvesting Workshops in each location we will be focusing on identifying outcomes related to different Strategy objectives, in both locations this discussion will initially cover the following common domains of change:
 - Platform Development
 - Dialogue Facilitation and Advocacy
 - Capacity Building
 - Knowledge Generation and Tool Provision
 - Provision of Staff Support through the Sida-funded Strategy to Programming (including to programming funded through other Sida Strategies)
 - Resource Mobilisation

The process will also leave space for the inclusion of other types of changes/outcomes SIWI staff may identify related to the specific objective their staff group is discussing. We also ask them to identify the evidence that verifies the different changes/outcomes identified. In Bogotá, we would ask staff to add the evidence information to the results/outcomes identified in pairs and assign each pair up to 2 domains of identified changes/outcomes for which to add information in the evidence column. In Stockholm, we would divide staff into groups of three to four people and ask each group to work on identifying evidence/indicators of these changes/outcomes for one domain of change (depending upon final numbers of participants).

Step Two: Prioritising Changes Identified

We would then ask SIWI staff to indicate which of these outcomes or changes they documented represent the three most important for the stakeholder and beneficiary groups with which they are working. For Bogotá, this would focus on changes/outcomes related to sustainable management of shared water resources through improved water governance and at which level these shifts have been taking place. In Stockholm, the focus would be on identifying and documenting changes/outcomes related to improved and extended water governance by innovations based on knowledge and learning. We will record **all** outcomes, then participants will prioritise them in terms of their importance to them/SIWI for each domain of change. This will provide another depth of analysis and feedback for the evaluation and for both SIWI and Sida.

Step Three: Analysis of Underlying Factors Contributing to Change

Following this we would explore with SIWI staff which factors they think have contributed to these changes/results/outcomes. After completing this group analysis, we would ask the group to compare these with the enabling factors outlined in either SIWI's Objective 1 or Objective 4 Theory of Change to determine which factors stand out as the most effective or have been verified by this process. This will include a discussion of the original assumptions behind SIWI's theories of change for Objectives 1 and 4 and if these still stand or if they think there is a need for any additions, deletions or revisions.

The evaluation team will also keep a record of all outcomes identified and use these to help triangulate data on outcomes from the evaluation's other data collection processes as well as to feed into the team's analysis of SIWI's Theories of Change.

Annex 5: Semi-Structured Interview Question Guides

Semi-Structured Interview Guides

- A. Sida Programme Managers
- B. SIWI Programme Managers/Staff
- C. Implementing Partners/Donors
- D. Donors (funders only)
- E. Programme Stakeholders

A. For Sida Programme Managers

1. What role and contribution does SIWI make to the xxx programme?
2. Who are the main stakeholder and beneficiary groups of the xxx programme? (EQ1 and EQ 4)
3. How you believe this programme has addressed the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What main results (outcomes) of this programme to date stand out for you (related evidence)? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes benefits you have mentioned are likely to continue after the ending of SIWI/Sida support for this programme (evidence)? (EQ7)
8. Which ones likely would not continue and why? (EQ7)
9. Do you know if the main stakeholder and beneficiary groups in this programme were involved in its planning, implementation, monitoring and responsibility post-project? If so, in what ways? (EQ2 and EQ 7)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI addressed gender equality, youth empowerment, voice/rights of indigenous peoples and human rights through this programme? (EQ2 and EQ6)
12. Is there anything you would suggest that SIWI do differently for the programme to be more inclusive or follow a Human Rights Based Approach (i.e., putting the practices of accountability, transparency, participation and non-discrimination into practice and linking claims to agreed global/regional and/or national human rights commitments (linkage)), ? (EQ 2 and EQ 6)
13. How well or not does SIWI's Outcome Mapping M&E system fit with Sida's own institutional reporting requirements? Is there anything you would change? (EQ 5)

14. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

B. SIWI Programme Managers/Staff

1. What is your role with SIWI and the xxx programme? (i.e., what does SIWI contribute to this programme, e.g., staff time and expertise, funding, other)
2. Who are the main stakeholder and beneficiary groups of the xxx programme? Which of these are priority groups for us to talk to? (EQ1 and EQ 4)
3. How you believe this programme has addressed the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What are the main results (outcomes) this programme has achieved to date and is there related evidence? (noting that the Evaluation Team will post-code these responses to determine where they fit with regard to Platform Development, Dialogue Facilitation, Capacity Building and Knowledge Generation) (EQ3)
5. What are the main factors that you think have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes that the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned do you think will continue following the end of SIWI/Sida support for this programme (evidence)? Which ones likely would not? (EQ7)
8. What factors do you think have contributed to the sustainability of the results/outcomes you have identified? (EQ7)
9. In what ways have the main stakeholder and beneficiary groups in this programme been involved in its planning, implementation, monitoring and responsibility post-project? (EQ2 and EQ7)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme? and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI and your partners addressed gender equality, youth empowerment, voice/rights of indigenous peoples and human rights through this programme? (EQ2 and EQ6)
12. Is there anything you would do differently for the programme/SIWI's work to be more inclusive or follow a Human Rights Based Approach e.g., putting the practices of accountability, transparency, participation and non-discrimination into practice and linking claims to agreed global/regional and/or national human rights commitments (linkage)? (EQ 2 and EQ 6)
13. What works well and what does not in the Outcome Mapping system SIWI uses to assess programme and its Strategy outcomes? Is there anything you would change? (EQ 5)

14. Have you used the monitoring data collected through SIWI's Outcome Mapping system to change programme implementation if needed or to document lessons learned for future planning? Can you share any reportable examples? (EQ5)
15. What does SIWI do in this region or globally that no other organisation does? (EQ1)

C. Implementing Partners/donors

1. What role and contribution does SIWI make to the xxx programme?
2. Who are the main stakeholder and beneficiary groups of the xxx programme? Which of these are priority groups for us to talk to? (EQ1 and EQ 4)
3. How you believe this programme has addressed the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What are the main results (outcomes) this programme has achieved to date and related evidence? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3) (Probe again for SIWI contribution if not already answered with Question 1)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned are likely to continue following the end of SIWI/Sida support for this programme (evidence)? (EQ7)
8. Which ones likely would not and why? (EQ7)
9. In what ways have the main stakeholder and beneficiary groups in this programme been involved in its planning, implementation, monitoring and responsibility post-project? (EQ2 and EQ7)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI and your partners addressed gender equality, youth empowerment, voice/rights of indigenous peoples and human rights through this programme? (EQ2 and EQ6)
12. Is there anything you would do differently for the programme to be more inclusive or follow a Human Rights Based Approach e., putting the practices of accountability, transparency, participation and non-discrimination into practice and linking claims to agreed global/regional and/or national human rights commitments (linkage)? (EQ 2 and EQ 6)
13. Was SIWI's outcome mapping and results reporting adequate for your (donors) requirements? Is there anything you would change? (EQ 5)
14. What was your experience of working with SIWI with regard to reports being on time, ability to deliver programming on time, their flexibility and responsiveness, etc? (EQ5)

15. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

D. Donors only

1. What role and contribution has SIWI made to the xxx programme?
2. Who are the main stakeholder and beneficiary groups of the xxx programme? (EQ1 and EQ 4)
3. How you believe this programme has addressed address the specific needs of these stakeholder and beneficiary groups related to water governance and poverty reduction? (EQ1)
4. What main results (outcomes) of this programme to date stand out for you (related evidence)? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned are likely to continue following the end of SIWI/Sida support for this programme (evidence)? (EQ7)
8. Which ones likely would not and why? (EQ7)
9. Do you know if the main stakeholder and beneficiary groups in this programme been involved in its planning, implementation, monitoring and responsibility post-project? If so, in what ways? (EQ2)
10. Which stakeholder and beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI addressed gender equality, youth empowerment, indigenous peoples and human rights through this programme? (EQ2 and EQ6)
12. Is there anything you would suggest that SIWI do differently for the programme to be more inclusive or follow a Human Rights Based Approach? , e.g., , putting the practices of accountability, transparency, participation and non-discrimination into practice and linking claims to agreed global/regional and/or national human rights commitments (linkage) (EQ 2 and EQ 6)
13. Was SIWI's outcome mapping and results reporting adequate for your (donors) requirements? Is there anything you would change? (EQ 5)
14. What was your experience of working with SIWI with regard to reports being on time, ability to deliver programming on time , their flexibility and responsiveness, etc? (EQ5)
15. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

E. Programme Stakeholder Groups

1. What role and contribution SIWI (or other lead partner or donor) makes to the xxx programme?
2. What is the role of your organisation/institution in this programme? (EQ1)
3. How you believe this programme has addressed the specific needs of your organisation with regard to water governance and poverty reduction? (EQ1)
4. What are the main results (outcomes) this programme has achieved to date and related evidence? (EQ3)
5. What are the main factors that have contributed to these results? (EQ3)
6. Are there any anticipated results/outcomes the programme has not achieved within the expected timeframe? If so, what are these and what factors contributed to this? (EQ1 and EQ3)
7. Which of the results/outcomes you have mentioned are likely to continue following the end of SIWI/Sida and/or donor support for this programme (evidence)? (EQ7)
8. Which ones likely would not and why? (EQ7)
9. In what ways has your organisation and the main beneficiary groups in this programme been involved in its planning, implementation and monitoring? (EQ2)
10. Which beneficiary groups do you believe have benefited most from this programme and how? Were there any groups that did not benefit that you think should have been included or benefited to a greater extent? (EQ4)
11. How has SIWI and/or partner organisation addressed gender equality, youth empowerment, voice/rights of indigenous peoples and human rights through this programme? (EQ2 and EQ6)
12. Is there anything you would do differently for the programme to be more inclusive or follow a Human Rights Based Approach, e.g., , putting the practices of accountability, transparency, participation and non-discrimination into practice and linking claims to agreed global/regional and/or national human rights commitments (linkage)? (EQ 2 and EQ 6)
13. Were the results monitored and reported by SIWI relevant to your organisation / needs? Is there anything that should have also been included / monitored? (EQ 5)
14. What does SIWI do in this region/country or globally that no other organisation does? (EQ1)

Annex 6: Focus Group Discussion Guide

Explain the purpose of the evaluation and how their response will inform the evaluation, that participation is voluntary, their responses will be anonymous and that they of course only respond to the questions they feel comfortable to respond to.

Guide will need to be adapted to the different groups, some Questions might not be relevant depending on the composition of the FG and their level of interaction in the project/programme in focus.

1. Let us start with your relation to SIWI/other implementing partners they have direct contact with/ - please describe how you interact with XX and what the contact is about.
2. In what way do you participate in XX/what is your role? (probe how did it start)
3. The project/programme X works with X, in what way is this important to your community/organisation/network?
4. Please share your perspectives of the problem (share how it is defined in the project/programme in focus).
5. In what way, if any, has your understanding of the problem been part of the discussions with X throughout the programme from start to finish?
6. To your knowledge, which groups have been involved in the project/programme X? (ask about gender perspective, inclusion, if not raised by the participants)
7. Which groups in your society/community would you say have benefited most from this project/programme (so far)? In what way?
8. Do you see that any groups are left behind? If so, what groups would that be? (probe questions on gender, age, disability, ethnicity, etc. if not mentioned by the participants)
9. How will the results achieved (so far) last? What needs to be done to sustain those results?
10. Other comments/issues?

Annex 7: Document Review Form

For use in document review related to EQ5

Programme Name:				
Title of Document and Year				
EQ5 Indicator	Clearly Present (Yes, No, example(s) with page number.	Partially present (Yes, No, example(s) with page number.	Not present	Any Additional Observations (if applicable)
Presence of clear results indicators at direct and Intermediate outcomes levels for SIWI programming in programme design documents				
Progress/annual reports clearly indicate concrete and measurable results against programme and strategy outcomes at direct and intermediate levels				
Progress/annual reports on the SIWI Strategy only include results from programming supported through the 2018-2023 SIWI Strategy or clearly identify related results from other Sida strategies				
Results are disaggregated by gender, and other demographic groups identified as priorities in SIWI's Strategy (i.e., poor, Indigenous, youth, etc.)				

The team will identify evidence for the other indicators for EQ5 through KIs.

Annex 8: List of documents reviewed

Carneiro, Gonçalo, Emelie Pellby and Melvin Woodhouse. 2017. External Review of SIWI's Strategy 2013-2017: FINAL REPORT NIRAS. Stockholm.

Seleshi, Yilma. 2021. Evaluation of Ethiopia Landscape and Water Governance Program. SIWI. Addis Ababa.

Sida. 2023. ToR: Evaluation of the Sida support to the implementation of the Stockholm International Water Institute (SIWI) Strategy 2018-2023. Stockholm.

Sida. 2022. Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022-2026. Stockholm.

Sida. 2018. Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018-2022. Stockholm.

SIWI. N. D. Foundations of S2S Management. Stockholm.

SIWI. 6 Sept. 2023. GO-Water Building Water Governance for Improved Water Capacity: Final Report. Stockholm.

SIWI. 2023. Basic Information on Programs to Be Evaluated – Ppt. Stockholm.

SIWI. 2023. Enhancing RainFed Agricultural Systems in the Zambezi Watercourse Annual Report – SIW-20-032. 1 Jan – 31 Dec. 2022.

SIWI. 2023. Yaa Heen Koosge: Indigenous Peoples and Water Wisdom. Stockholm.

SIWI. 2022. 2021 Results report on ImprWG & Use of Sida PS. Stockholm.

SIWI, 26 Oct. 2020. Water Governance for a Just, Prosperous and Sustainable Future: Programme Support for Application to Sida (revised). Stockholm.

SIWI. 2019. Shared Waters Partnership: Annual Narrative Report for the period July 2018-June 2019.

SIWI. 2017. SIWI Strategy 2018-2021. Stockholm.

SIWI/IADB Sept. 2023. Sanitation in Public Spaces ppt. Bogota.

UNICEF. 2022. Programme Document: Accountability for Sustainability Programme (Towards Water Security) (Latin America).

<https://www.outcomemapping.ca/resource/outcome-harvesting>

<https://siwi.org>

Annex 9: Evaluation ToR

Terms of Reference for the Evaluation of the Sida support to the implementation of Stockholm International Water Institute (SIWI) Strategy 2018-2023

Date: 2023-09-05

1. General information

1.1 Introduction

Sida's support to water grounded in the fact that safe water and sanitation are essential to the realization of all human rights and is also characterized by poor people's perspectives on development.

Sida has for more than ten years provided financial support to SIWI for their work with water resource management¹² and research. The support has been in the forms of project, program and core support from several Sida strategies. The Global Strategy for Environment, Climate and Biodiversity has a current Agreement with SIWI for support of total 120 MSEK /40 MSEK/year for the period 2021-2023 for the implementation of the program "Water governance for a just, prosperous and sustainable future". The program is intrinsically linked to the overall [SIWI Strategy \(2018-2023\) which means that the global program support enables SIWIs implementation of the strategy as a whole.](#)

During the previous strategy period Sida provided Core support to SIWI between 2016-2020 of a total of 186 MSEK for the implementation of the SIWI strategy.

Two Swedish development cooperation strategies are relevant for the evaluation:

- *Sweden's Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022.*
- *Strategy for Sweden's global development cooperation in the areas of environment, climate and biodiversity 2022–2026.*

The current Agreement that Sida has with SIWI for implementation of the Water governance for a just, prosperous and sustainable future" program stipulated that an external evaluation should be performed during the Agreement period. Since their current program is only three years and has been delayed due to Covid-19 Sida has decided to evaluate the implementation of SIWIs strategy from 2018-2023 which has been supported financially by Sida through the above mentioned strategies. SIWI applied for a core support for the current agreement period. However Sida's quality assurance committee recommended that Sida transition to a program support. This was based on a high risk that the Sida support would not

¹² Water governance refers to the political, social, economic, and administrative systems that influence the use and management of water.

adhere to state aid rules due to SIWIs commercial activities. It was also based on difficulties following how the core support was used.

1.2 Evaluation object: Intervention to be evaluated:

The Stockholm International Water Institute (SIWI) is an independent foundation registered in Sweden. SIWI's overall mission is to strengthen water governance for a just, prosperous and sustainable future. SIWI aims at strengthening the governance of freshwater, globally, regionally, nationally, and locally.

The Evaluation object

The evaluation object is [Sida's support to the implementation of the SIWI strategy 2018-2023 through the two Agreements: Core support to SIWI 2016-2020 and Program support 2021-2023 from the global strategies for environment and climate change](#). The main target groups are poor people who lack water and sanitation, indigenous and marginalised, women and girls. SIWI co-finances and has partnerships with several organisations are financed from the Unit for Global Cooperation on Environment at Sida.

The SIWI Strategy sets the institute's direction for 2018-2021. It identifies the world's key water and development-related challenges, and it defines SIWIs strengths, goals and methods for meeting the challenges and achieving their mission. SIWI's mission is to "Strengthen water governance for a just, prosperous and sustainable future".

SIWI has three cross cutting issues in focus as well, including gender equality, youth empowerment and human rights-based approaches.

Sweden and Sida are SIWIs main financial contributor through three sources:

- The global Program support from Sida,
- Core support for the department for environment which is channelled through the Swedish Marine Agency
- Core support from the city of Stockholm which is only intended for Stockholm Water Prize.

SIWI also receives project and program financing (other Sida strategies*, other donors, the UN, international and multilateral organisations as well as Financing for World Water Week: founders, sponsors, tickets and exhibition fees). External donors to SIWI include The Netherlands, Germany, USA, Switzerland, Finland, UNICEF, UNDP, OSCE, the World Bank and EBRD. Sweden contributes to about 30 percent of SIWI, other donors/financers contribute about 50 percent and World Water weeks stands for about 20 percent.

The evaluators are expected to interview managers of programs with separate funding from other Sida strategies at SIWI*:

- The Water Security in Ethiopia Project (contribution number10822) Contribution was recently closed.

- SIWI Building Governance Capacity for improved Water Security (GO-WATER) Contribution to be finalised.
- 2020-2023 "Shared Waters Partnership: Supporting Transboundary Water Cooperation in the Nile River Basin and Juba and Shabelle River Basins (SWP)".
-

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

1.3 Evaluation rationale

An external evaluation was part of the Agreement with SIWI to be carried out by SIWI in 2023. Sida decided to write to ToR and call-of the evaluation. Sida needs additional information on results, effectiveness and relevance of SIWI's work to make an informed decision if SIWI should continue to receive funding from the global strategy for environment.

2. The assignment

2.1 Evaluation purpose: Intended use and intended users

The purpose or intended use of the evaluation is to

- Provide Sida with an input to upcoming discussions concerning the preparation of a new phase of funding to SIWI;
- Serve as an input for Sida to a decision on whether SIWI shall receive continued funding from the Global Strategy or not.

The primary intended users of the evaluation are:

Sida's unit for global cooperation on environment. But other units at Sida can benefit from the evaluation.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process. Other stakeholders that should be kept informed about the evaluation include the Swedish Ministry of Foreign Affairs.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

2.2 Evaluation scope

The evaluation scope is limited to Sida funding to support the implementation of SIWI strategy 2018-2023. Activities not financed by Sida should not be included in the evaluation scope.

The evaluation should cover the whole strategy period 2018-2023. The evaluators shall visit the SIWI regional office in Bogota to interview SIWI staff as well as with relevant partners and stakeholders. Virtual interviews should be held with relevant managers and staff at SIWI HQ and the regional office in Pretoria and other offices if deemed necessary.

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

2.3 Evaluation objective: Criteria and questions

The objectives of this evaluation are to **assess the overall relevance and effectiveness of SIWI and the SIWI Strategy** and the **extent to which Sida financing of the strategy implementation has lead to SIWI having achieved its planned outcomes and results**.

- Evaluate effectiveness and relevance of SIWI as an input to the decision whether or not it shall receive continued funding from the global strategy for environment and climate.

In order to accomplish the desired objectives, the evaluation will aim at answering the following key guiding questions.

Relevance: Is the intervention doing the right thing?

- To what extent has the intervention objectives and design responded to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and have they continued to do so if/when circumstances have changed?

Effectiveness: Is the intervention achieving its objectives?

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- Have the M&E system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

Sustainability: Will the benefits last?

- Has the SIWIs strategy implementation contributed to poverty reduction? Who (*de facto*) has benefited from the project in the short- and in the long-run, directly or indirectly?
- Has the strategy been implemented in accordance with the poor people's perspective and a Human Rights Based Approach? For example, have target groups been participating in project planning, implementation and follow up?
- Has the strategy had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in planning, implementation or follow up?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. Given the situation with Covid-19, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible,

present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used¹³.

Sida's approach to evaluation is *utilisation-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

2.5 Organisation of evaluation management

This evaluation is commissioned by INTEM GLOBEN. The intended user is/are INTEM/GLOBENAs. The evaluation will serve as an input to the decision on whether SIWI shall receive continued funding or not, the intended user is the commissioner. The evaluand SIWI has contributed to the ToR and will be provided with an opportunity to comment on the inception report as well as the final report, but will not be involved in the management of the evaluation. Hence the commissioner will evaluate tenders, approve the inception report and the final report of the evaluation. The start-up meeting and the debriefing/validation workshop will be held with the commissioner only.

2.6 Evaluation quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation¹⁴. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation¹⁵ and the OECD/DAC Better Criteria for Better Evaluation¹⁶. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. Given the situation with Covid-19, the time and work plan must allow flexibility in implementation. The evaluation shall be carried out 2023-09-10 - The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

¹³ See for example UNEG United Nations Evaluation Group (2014) Integrating Human Rights and Gender Equality in Evaluations <http://uneval.org/document/detail/1616>

¹⁴ OECD/DAC (2010) Quality Standards for Development Evaluation.

¹⁵ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

¹⁶ OECD/DAC (2019) Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meeting/s virtual	Sida and evaluators	2023-09-25 This period should include 1) time for submission of the call-off response (at least two weeks), 2) Sida/Embassy's assessment of call-off proposal/s, 2) contracting 3) mobilisation of the team.
2. Draft inception report		Tentative 2023-10-15
3. Inception meeting Virtual	Sida, SIWI	Tentative 2023-10-15
4. Comments from intended users to evaluators (alternatively these may be sent to evaluators ahead of the inception meeting)		Tentative 2023-10-24
5. Data collection, analysis, report writing and quality assurance	Evaluators	2023-11-30
6. Debriefing/validation workshop (meeting)	Sida, SIWI, evaluators	2023-12-01
7. Draft evaluation report		2023-12-21
8. Comments from intended users to evaluators		Tentative 2024-01-15
9. Final evaluation report		2024-01-30
10. Presentation virtual	Sida	Tentative 2024-01-30

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology *including how a utilisation-focused and gender-responsive approach will be ensured*, methods for data collection and analysis as well as the full evaluation design, including an *evaluation matrix* and a *stakeholder mapping/analysis*. A clear distinction between the evaluation approach/methodology and methods for data collection shall be

made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed.

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

The final report shall be written in English and be professionally proof read. The final report should have clear structure and follow the layout format of Sida's template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages.

The report shall clearly and in detail describe the evaluation approach/methodology and methods for data collection and analysis and make a clear distinction between the two. The report shall describe how the utilisation-focused approach has been implemented i.e. how intended users have participated in and contributed to the evaluation process and how methodology and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues. Limitations to the methodology and methods and the consequences of these limitations for findings and conclusions shall be described.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation questions shall be clearly stated and answered in the executive summary and in the conclusions. Recommendations and lessons learned should flow logically from conclusions and be specific, directed to relevant intended users and categorised as a short-term, medium-term and long-term.

The report should be no more than 35 excluding annexes. If the methods section is extensive, it could be placed in an annex to the report. Annexes shall always include the Terms of Reference, the Inception Report, the stakeholder mapping/analysis and the Evaluation Matrix. Lists of key informants/interviewees shall only include personal data if deemed relevant (i.e. when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personal data in the report must always be based on a written consent.

The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation¹⁷.

The evaluator shall, upon approval by Sida/Embassy of the final report, insert the report into Sida's template for decentralised evaluations (see Annex C) and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas".

2.8 Evaluation team qualification

¹⁷ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies:

- Professional experience in the fields relevant to the thematic areas of water governance/water resource management/transboundary water cooperation and climate change.
- Strong knowledge of HRBA/Gender Equality in development cooperation.
- Proficiency in Spanish

It is desirable that the evaluation team includes the following competencies

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local evaluation consultants are included in the team, as they often have contextual knowledge that is of great value to the evaluation. In addition, and in a situation with Covid-19, the inclusion of local evaluators may also enhance the understanding of feasible ways to conduct the evaluation

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

2.9 Financial and human resources

The maximum budget amount available for the evaluation is 800 000 SEK.

Invoicing and payment shall be managed according to the following The Consultant may invoice a maximum of 30 % of the total amount after approval by Sida/Embassy of the Inception Report and a maximum of 70 % after approval by Sida/Embassy of the Final Report and when the assignment is completed.

The contact person at Sida/Swedish Embassy is Linnea Hermansen INTEM/GLOBEN. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Linnea Hermansen INTEM/GLOBEN

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by Linnea Hermansen INTEM/GLOBEN.

The evaluator will be required to arrange the logistics to book interviews and prepare visits etc.

3. Annexes

Annex A “List of key documentation”,

Annex B “Data sheet on the evaluation object”

Annex C “Decentralised Evaluation Report Template”.

Annex D “Project/Programme document”

Annex A: List of key documentation

SIWI Strategy 2018-2023

Annex B: Data sheet on the evaluation object

Information on the evaluation object (i.e. intervention)	
Title of the evaluation object	SIWI strategy 2018-2023
ID no. in PLANIt	13308
Dox no./Archive case no.	19/001137
Activity period (if applicable)	2021-01-01 – 2023-12-31
Agreed budget (if applicable)	Max 800 000
Main sector ¹⁸	Environment
Name and type of implementing organisation ¹⁹	SIWI
Aid type ²⁰	Project type
Swedish strategy	<i>Strategy for Global Development Cooperation for Environmental Sustainability, Sustainable Climate and Oceans, and Sustainable use of Natural Resources 2018–2022</i> And

Information on the evaluation assignment	
Commissioning unit/Swedish Embassy	INTEM/GLOBEN
Contact person at unit/Swedish Embassy	Linnéa Hermansen
Timing of evaluation (mid-term, end-of-programme, ex-post, or other)	Last year evaluation.
ID no. in PLANIt (if other than above).	

Annex C: Decentralised evaluation report template

[This format is a requirement for publication under the “Sida Decentralised Evaluations” report series in Sida’s publication database and can be found on Sida’s Inside, under Guidelines & Support/Contribution Management/Evaluation/Implementing.]

Annex D: Project/Programme document

¹⁸ Choose from Sida’s twelve main sectors: education; research; democracy, human rights and gender equality; health; conflict, peace and security; humanitarian aid; sustainable infrastructure and services; market development; environment; agriculture and forestry; budget support; or other (e.g. multi-sector).

¹⁹ Choose from the five OECD/DAC-categories: public sector institutions; NGO or civil society; public-private partnerships and networks; multilateral organisations; and other (e.g. universities, consultancy firms).

²⁰ Choose from the eight OECD/DAC-categories: budget/sector support; core contributions/pooled funds; project type; experts/technical assistance; scholarships/student costs in donor countries; debt relief; admin costs not included elsewhere; and other in-donor expenditures.]

Annex 10: Key Evaluation Principles

Key working principles - NIRAS is committed to key working principles that we have adopted based on our hands-on experience with evaluations. These are summarised below:

- **Evidence based.** We evaluate based on evidence collected through, for instance, document review, narrative sessions, interviews, focus group discussions, case studies, and sex-disaggregated data collection.
- **Quality.** We strive for our evaluation processes and products to have high quality. Quality is about utility, credibility, and impartiality. The latter involves independence, fairness, and professional integrity.
- **Methodological rigour.** We make use of uniform formats for notes, method guides, and updates, and hold team discussions to maintain the flow of information. The synthesising of data cross-validates the information sources and critically assesses the validity and reliability of the data. The evaluation report describes the sources of information used in sufficient detail so that the adequacy of the information can be assessed.
- **Process approach.** Reviews and evaluations are processes rather than single events. An evaluation should offer space for reflection, learning and, if necessary, agreed adjustments. Information and accumulation of knowledge during the process may bring new perspectives. Therefore, methodological, and analytical frameworks defined during this inception phase of the assignment should not serve as rigid blueprints, but flexible guidelines, open for bringing in new perspectives that may emerge during the evaluation.
- **Ethics.** Sensitive data – including business and financial related information - will be protected and should not be traceable to its source. The evaluation report will not reveal the names of sources and will conceal identities of persons or organisations as relevant by using abstraction. Confidentiality of the stakeholders and beneficiaries involved in the evaluation will be assured. The evaluation team will ensure safeguarding principles in all consultations with different stakeholders and beneficiaries, and in particular with rights-holders, and to follow the UN Evaluation Group (UNEG) Guideline on Ethics in Evaluation²¹ outlining the ethical principles for evaluation.
- **Systematic and clear communication.** Active and transparent communication and sharing of information are fundamental for useful evaluation processes and products. The team is committed to clear, transparent, and regular communication with Sida throughout the evaluation.
- **Gender equality, equity, group and human rights perspectives.** This means recognising that related inequalities are structural and systemic; understanding and identifying discriminatory patterns and barriers through disaggregated data collection; recognising the unique perspectives and contributions of diverse equity groups and providing recommendations to add value to those who are living under marginalised conditions as well as to those implementing programmes.

The evaluation team will be guided by **gender sensitive and rights-based principles** throughout the evaluation process, ensuring that all stakeholders understand the purpose of the evaluation and how the information they share will be used. The set up and implementation of FGDs will take power relations within and between groups into consideration and the evaluation team will ensure as far as possible, that all consultations take place in safe spaces without by-standers.

²¹ UNEG Guideline on Ethics in Evaluation: <http://www.unevaluation.org/document/detail/2866>

Our cooperation principles include that: i) All views are solicited and heard; ii) Stakeholders and project beneficiaries have access to the Evaluation Team; iii) Permission and anonymity are ensured where relevant; iv) Ensuring views are not misrepresented or taken out of context; v) Pre-judgement on motives is not made; vi) Focus is on systems, structures, processes, institutional procedures and governance, not undue focus on individuals or groups, and vii) Project beneficiary security and anonymity are ensured, and safeguarding principles adhered to.



Evaluation of the Sida support to the implementation of the Stockholm International Water Institute (SIWI) Strategy 2018-2023

The evaluation assessed implementation of the 2018-2023 Strategy of the Stockholm International Water Institute (SIWI) and provided Sida with inputs to help inform decisions regarding its future funding. SIWI is a non-profit organisation focused on improving water governance globally, regionally and national levels. It provides services in the platform development, dialogue facilitation, capacity development and knowledge and tools generation areas. There is strong evidence of the technical expertise SIWI is providing in these four areas contributing to improved water governance. Its work focuses primarily on institutional beneficiaries using inclusive approaches to obtain inputs from non-governmental actors. However, the evaluation also found that while most of the donors consulted were satisfied with the work SIWI does, Sida was not. The problem was not with the technical competence of the organisation but rather with poor quality of narrative and financial reporting, amongst other issues. While recognising that there have been recent improvements, over the past five years this problem and diverse other institutional sustainability challenges have led to a loss of Sida's trust in SIWI as a partner.

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