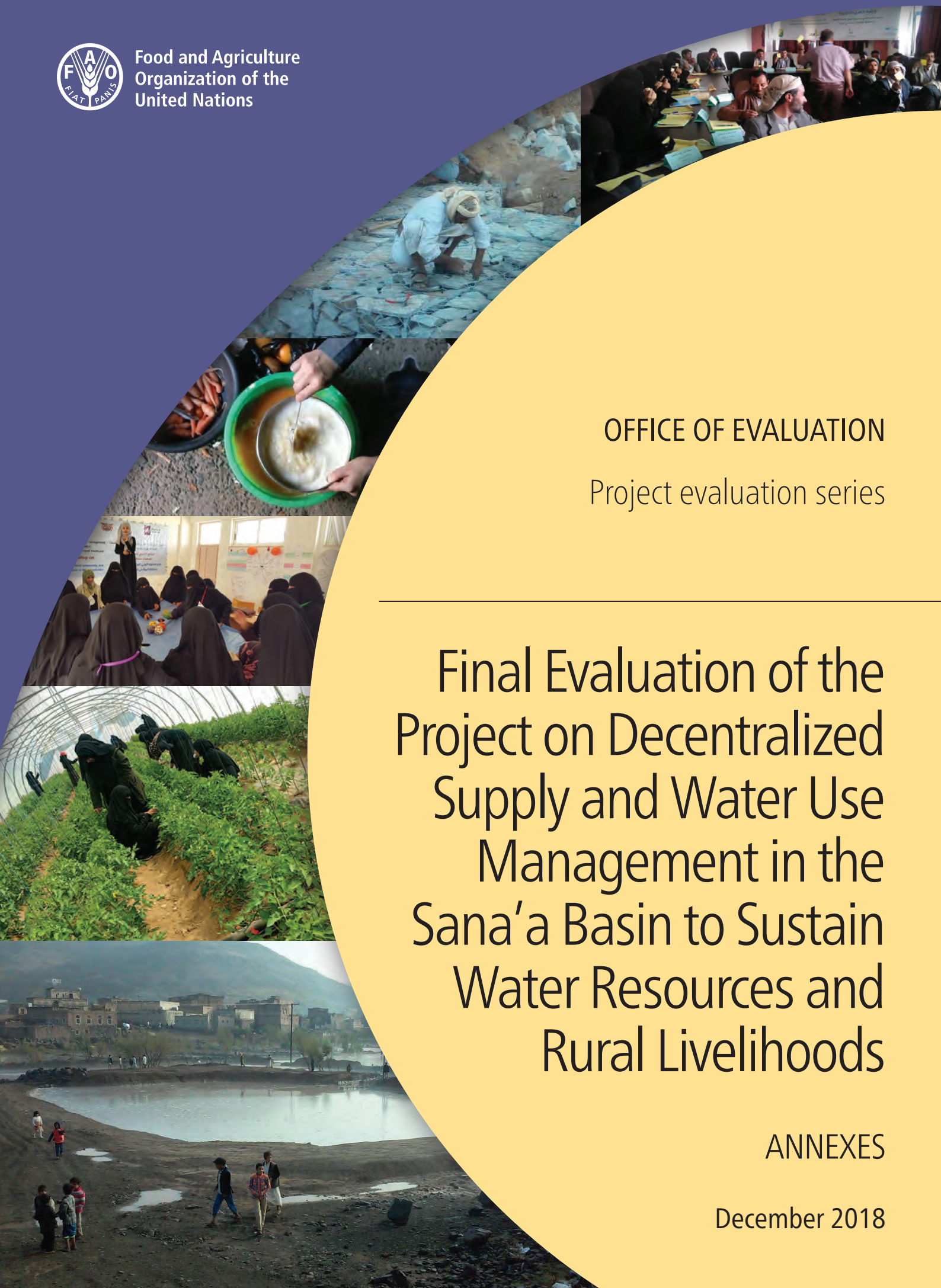

Food and Agriculture Organization of the United Nations

OFFICE OF EVALUATION

Project evaluation series

Final Evaluation of the Project on Decentralized Supply and Water Use Management in the Sana'a Basin to Sustain Water Resources and Rural Livelihoods

ANNEXES

December 2018

PROJECT EVALUATION SERIES

Final Evaluation of the Project on Decentralized Supply and Water Use Management in the Sana'a Basin to Sustain Water Resources and Rural Livelihoods

GCP/YEM/036/NET

ANNEXES

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
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Annex 1. Final Evaluation Terms of Reference

Background and Context of the Project

1 The ongoing conflict in Yemen has caused a catastrophic humanitarian crisis. According to the World Bank estimates[1], 17 million people (about 60 percent of the total population) are estimated food insecure and a further 7 million severely food insecure. Malnutrition has increased by 57 percent since 2015 and now affects close to 3.3 million people, 462,000 of which are children under five. Basic services across the country are on the verge of collapse. Chronic drug shortages and conflict-related destruction restrict around 14 million Yemenis, including 8.3 million children, from accessing health care services. In addition, more than 1.8 million additional children have been out of school since the escalation of conflict, bringing the total number of children out of school to more than 3 million. Over 1,600 schools remain closed due to insecurity, physical damage, or their use as shelters for displaced people. Aid delivery has been affected by violence and security concerns.

2 Agriculture is a vital sector in the Yemeni economy and is the main source of employment for about 65 percent of the population. The rapid growth of the population in recent years and changing climate conditions are creating significant challenges for agriculture and environmental sustainability. Low agricultural productivity, severe water scarcity, low human and institutional capacities to maintain adequate infrastructure, production and marketing systems are among the most significant challenges. These challenges and resource constraints are limiting the contribution from agricultural sector to rural livelihoods and national economy.

3 The scarcity of precipitation, recurring droughts and increasing size of irrigated agricultural areas have resulted in massive demand for additional water resources, which is largely met by an increased use of the underground water resources. Consequently, many regions in the country are now facing the depletion of water resources. The Government has adopted strategies and measures for addressing issues in water sector and promotes the conservation and better management of water resources. The FAO project, with a total budget of USD 4,934,507, is aimed at supporting the Government institutions in the development and implementation of plans for sustainable groundwater management. The main strategy of the project is to emphasize decentralized water management and stakeholder partnership approaches on the use of available resources. This may create potential solutions for gradual reduction of the current rate of groundwater resources depletion. With this strategic focus, the project intends to build awareness of farmers on potential implications of the groundwater depletion scale, so that they could take actions towards more sustainable groundwater management. The project intends to support implementation of water-efficient and climate-smart crop production systems and promote an enabling environment, which will ensure linkages between sustainable groundwater management and improvements in farmer's livelihoods.

[1] The World Bank, April 01, 2017. http://www.worldbank.org/en/country/yemen/overview

Evaluation purpose

4 The main purpose of the evaluation is to provide accountability to the donor and partners by assessing FAO intervention which should lead to reduction of groundwater abstraction while increasing incomes and productivity, and to draw lessons from the implementation processes that could inform future decisions by the Republic of Yemen and FAO on the formulation of future or follow-up interventions.

5 The intended main users of this evaluation are the Government of the Republic of Yemen, the Government of the Kingdom of Netherlands - the main donor of this intervention, and FAO, who will use the lessons learned and recommendations of this evaluation as a basis for strategic and programmatic planning and implementation. Other users of this evaluation are FAO HQ and Regional Office for Near East and North Africa (RNE), which would benefit from lessons learned and good practices identified in delivering FAO interventions.

Evaluation scope

6 The Evaluation will cover all the activities of the project "Decentralized supply and water use management in the Sana'a basin to sustain water resources and rural livelihoods" (GCP/YEM/036/NET).

GCP/YEM/036/NET: Decentralized supply and water use management in the Sana'a basin to sustain water resources and rural livelihoods.

Project Goal (Impact): Sustainable, climate-smart crop production systems introduced in support of food security in Yemen and reduced interference with the water resources in the Tawilah sandstone aquifer needed for the urban population.

Key Partners:	Sana'a basin Committee
Inputs	USD$4 934 507 funded by Government of the Kingdom of the Netherlands Period of implementation: from July 2014 to July 2017. FAO to implement project, with key counterparts (co-implementers): • National Water Resources Authority – Sana'a Branch; • Northern Highland Regional Research Station; • Irrigation department and the National Irrigation Project; • Water and Environment Centre, Sana'a University.

Intended results (outcomes and outputs):

The Outcomes of the Project are:

1. Farmers, organized in Water User Associations (WUAs), are aware of the consequences of the present depletion rates, a situation that may worsen under the influence of climate change, and are prepared to take action towards sustainable groundwater development.

2. Water-efficient and climate-smart crop production systems that are crucial to reduce groundwater abstraction are implemented through the implementation of IWRM principles and crop production improvements.

3. WUAs are empowered to negotiate sustainable groundwater management plans, and mechanisms are in place for such negotiation processes, with the support of relevant government institutions. The enabling environment for the WUAs is developed (i.e. Sub-basin Water Management Committees installed) and strengthened. WUA concept could be applied in all Sana'a sub-basins and even others.

Project Outputs: The above outcomes will be achieved as a result of accomplishing the following outputs:

1. Outputs in relation to Outcome 1: Creation of WUAs and awareness raising.

- awareness created among the farmers/people on water scarcity in the four sub-basins and on actions to curb depletion rate towards zero level;
- WUAs will be reactivated or created and have an active role in guiding their members through a process of change;
- The supported WUAs apply good governance and gender-based practices effectively;
- The WUAs cooperate with the Sub-basin Water Management Committee towards sustainable crop production systems amongst other to reach the level of zero groundwater depletion.

2. Outputs in relation to Outcome 2: Implementation of water-efficient and climate-smart crop production systems.

- crop production systems reviewed with special attention to (ground) water use;
- value chain analysis conducted for few main crops;
- demonstration farms on crops and fruit trees, irrigation techniques, production environment (greenhouses), post-harvest techniques, etc.;
- members of the WUAs introduce their sustainable production system, using less groundwater and achieving equal or increased farm income;
- roles of WUAs defined in support of their members for the needed changes in crop production systems;
- Water Resources Management Plans developed by each WUA and these plans will be used for the four sub-basin Water Management Plans;
- groundwater monitoring tools installed and operational by NWRA and/or WUAs;
- water infrastructure improved by the Government and farmers together resulting in effective water use/storage: check dams, rainwater harvesting, etc.;
- wastewater from WWTP retreated in a pilot treatment plant so that it can safely be used for crop production accordingly to international standards;
- groundwater abstraction for crop production reduced due to the changes in the production systems.

3. Outputs in relation to Outcome 3: Enabling environment.

- government agencies on extension, AREA, marketing, irrigation, NRWA and/or from the private sector are aware of the roles WUA plays and capable to provide the services required by the WUA; WUAs will be in the drivers' seat for changes agreed by members;
- the EOF project (IFAD supported) will be the main provider of the capital required for the changes in the production systems;
- marketing of crops will be addressed to the benefit of farmers and also for inputs and processing when needed;

- NWRA-SB fulfils its monitoring and regulatory role for the water users;
- Integrated Water Management action and strategic plans for each sub-basin;
- four Sub-basin Water Management Committees created and effective for exchanging information between water users, politicians and decision makers and on support from Local Councils;
- Sana'a Basin Committee supervises and provides guidelines for the process. It will negotiate financial support/compensation from the urban water users for the cost of changes to be made by the farmers.

7 The evaluation will review implementation of the project from the start of its implementation to date and cover all key activities undertaken within the framework of the project as described in the project document. The focus will be on output and outcome-level results, including contributions towards introduction of sustainable, climate-smart crop production systems in support of food security and reduced interference with the water resources in the Tawilah sandstone aquifer needed for the urban population. The evaluation will also take into consideration the project's potential contributions towards FAO's Strategic Objective/Organizational Outcome SO 2: Increase and **improve** provision of goods and services from agriculture, forestry and fisheries in a sustainable manner.

Evaluation objective and key questions

8 The evaluation has the following three main objectives:

- *Assess the appropriateness of the project's design and approach;*
- *Assess the project's achievements and contributions vis-à-vis its objectives;*
- *Assess the actual and potential impact of the project and its contribution to identify issues and lessons from the implementation that can be used to support the design of new and/or continued interventions in the water resources management sector.*

Evaluation questions

9 The evaluations will address the following evaluation questions:

a) Is this project relevant in meeting the needs of the beneficiaries and to what extent does it contribute to implementation of the national development strategy, and fulfilment of the objectives of the FAO country programme?

Sub-questions:

- Have project interventions responded to the needs and priorities identified by the government? Have these responded to the intended objectives established by the donor?
- How have interventions contributed to strengthening national and local capacity development to design and implement relevant activities, steps and processes?
- To what extent is the project aligned with FAO strategic Framework (in particularly SO2)? How coherent is it with the work of the Water Scarcity Initiative in Yemen?

b) What were the intended and unintended results achieved by the project? To what extent did the project achieve its intended results, including:

Sub-questions:
- What are the tangible changes in the livelihoods of the communities in targeted project sites;
- How has the project's implementation supported Institutional and individual capacity development at the local and national levels;
- What positive or negative impacts have project activities had on individuals within households and communities?
- Have gender considerations been integrated in the design and implementation of the projects?
- What are potential contributions from the project towards environmental sustainability and socio-economic conditions?

c) What factors contributed to achieving or not achieving intended outcomes?

Sub-questions:
- To what extent has the institutional and implementation set-up been conducive to achieve the intended results?
- Was there good coordination and decision-making arrangement established among the key partners?
- Were there any implementation gaps and delays; if any, what are their causes and consequences on planned and implemented outputs?

d) Are project results sustainable beyond projects conclusion?

Sub-questions:
- To what extent were sustainability considerations taken into account in the design and implementation of interventions?
- Have exit strategies been appropriately defined and implemented, and what steps have been taken to ensure sustainability of results?
- Did the development of partnerships at the national or community level contribute to sustainability of the results?

e) Are there any specific results that are directly or potentially contributing to the achievement of results (outputs, outcomes) of the FAO Strategic Objective 2?

Sub-questions:
- To what extent is the project interventions synergetic with the activities of the Water Scarcity Initiative in Yemen?
- Are there specific, concrete results that could be considered as contributions towards outputs and/or outcomes of the FAO Strategic Objective 2?

10 Based on the above analysis, the evaluation will draw specific conclusions and formulate recommendations for any necessary further action by FAO and its partners. The evaluation will draw attention to specific good practices and lessons learned to guide planning and implementation of other similar activities implemented by FAO in water and irrigation sector.

Methodology

11 In view of the current security situation, the evaluation team might not be able to travel to Yemen and thus the evaluation could principally be conducted as a desk review, whereby most focus group discussions with stakeholders and interviews with persons involved in the management of the project will be conducted remotely and whenever possible through face to face meetings. The key evaluation questions will guide the overall assessment. Sub-questions and specific methodological approaches will be further developed by the evaluation team in order to answer the main questions. The evaluation will adhere to the UNEG Norms & Standards[2] and be in line with OED Manual and methodological guidelines and practices.

12 To answer evaluation questions, the analysis will be based on desk reviews of projects' documents and reports, previous evaluations, available field visit reports and other information (e.g. GIS maps, photographs and images of irrigation networks and water management structures).Data collection will include the following tools to collect primary data and evidence:

- desk-review of existing project documents, reports, evaluations and assessments;
- field visits to provinces;
- semi-structured interviews and/or focus group discussions with key informants, stakeholders and beneficiaries, supported by check lists and/or interview protocols to be developed at the beginning of the evaluation mission; and
- analysis of available national statistical data on irrigation and agricultural productivity, as well as photographs and images of irrigation networks and water management structure produced by project team and its national and international counterparts.
- GIS maps and records of land cover statistics, integrated imagery coverage, available from FAO and any other sources.

13 The evaluation team will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin its validation and analysis and will support conclusions and recommendations.

Roles and responsibilities

14 This section describes the different roles that key stakeholders play in the design and implementation of the evaluation.

15 The **Office of Evaluation (OED)**, in particular the Evaluation Manager (EM) develops the first draft ToR with inputs from relevant FAO units and the FNYAR programme staff. EM is responsible for the finalization of the ToR and identification of the evaluation team members. EM shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for Quality Assurance purposes in terms of presentation, compliance with the ToR and timely delivery,

[2] http://www.uneval.org/document/detail/21

quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report.

16 OED also has a responsibility in following up with the FNYAR for the timely preparation of the Management Response and the Follow-up to the MR.

17 The **Project Task Force (PTF)**, which includes the FAO Budget Holder (BH)and the Team of the project to be evaluated, are responsible for initiating the evaluation process, providing inputs to the first version of the Terms of Reference, especially the description of the background and context chapter, and supporting the evaluation team during its work. They are required to support the arrangement of the meetings with relevant stakeholders, participate in the meetings with the evaluation team, make available information and documentation as necessary, and comment on the Terms of Reference and report.

18 The **Evaluation Team (ET)** is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, will participate in briefing and debriefing meetings, discussions, field visits (if security permits), and will contribute to the evaluation with written inputs for the final draft and final report. The evaluation team will agree on the outline of the report early in the evaluation process, based on the template provided in Annex I of this ToR. The ET will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the EM, consults the BH and PTF where necessary. The ET is fully responsible for its report which may not reflect the views of the Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for Quality Assurance of all evaluation reports.

Evaluation team composition and profile

19 This section details the specific skills, competencies and characteristics needed in the evaluation team specific to the evaluation and the expected structure and composition of the ET, including roles and responsibilities of the ET members.

20 The evaluation team will consist of an International evaluation team leader (principal) with strong evaluation background, and a national expert to provide relevant support in data collection, analysis and logistics for the fieldwork. The evaluation team will have had no previous direct involvement in the formulation, implementation or backstopping of the project

21 The evaluation team's required qualifications and skills will be further detailed in the individual TORs prepared for each member of the Evaluation Team. The key skills set for the experts include:

For the International evaluation team leader:

- Experience in livelihoods, water resources management sector, including broad understanding of governmental processes, policy context and related capacity development;

- Familiarity with the use of available GIS and geospatial mapping data for data analysis and evaluation;
- Relevant evaluation experience;
- Working experience in the subject matters in similar contexts.

For the national expert:

- Experience in national/international development programmes in promoting sustainable food and agriculture approaches, environmental sustainability, efficient use and management of natural resources;
- Solid understanding of the country's water management sector system and relevant normative and institutional frameworks and strategies;
- Familiarity with the local context and communities' needs;
- Experience in research and evaluation, data analysis;
- Working experience in the subject matters in similar contexts.

Evaluation products (deliverables)

22 This section describes the key evaluation products the evaluation team will be accountable for producing. At the minimum, these products should include:

- **Evaluation Matrix** — the evaluation team shall develop the evaluation matrix.
- **Draft evaluation report**—the project team and key stakeholders in the evaluation should review the draft evaluation report to ensure that the evaluation meets the required quality criteria.
- **Final evaluation report**—as per funding agreement, "…the report will be treated as confidential with restricted access to parties not directly involved in the Project. However, FAO is authorized to prepare a brief summary of the report for the purpose of disseminating broadly its main findings, issues, lessons and recommendations as well as to make judicious use of the report as an input to evaluation synthesis studies". The report should include an executive summary and illustrate the evidence found that responds to the evaluation questions listed in the ToR. The report will be prepared in English, with numbered paragraphs, following the OED template for report writing. Supporting data and analysis should be put as an appendix to the report when considered important to complement the main report. Translations in other languages of the Organization, if required, will be FAO's responsibility.
- **A brief summary** of the evaluation report for the purpose of disseminating broadly its main findings, conclusions and recommendations.

Evaluation Timeframe

23 This section lists and describes all tasks and deliverables for which evaluators or the evaluation team will be responsible and accountable, as well as those involving the commissioning office, indicating for each the due date or time-frame (e.g. briefings, draft report, final report), as well as who is responsible for its completion.

24 The timetable in the box below shows a tentative programme of travel and work for the evaluation team. It will be finalized upon the recruitment of the evaluation team.

Task	Dates	Duration	Responsibility
ToR design and finalization	March 2018	3 weeks	EM
Team recruitment	March 2018	3 weeks	EM
Briefing of Evaluation Team	April2017	1 week	EM and FNYAR
Collection of Data	April 2018	2 weeks	Evaluation Team and FNYAR
First draft for circulation	May2018	3 weeks	EM
Validate recommendations	June 2018	1 week	Project Team
Final Report	End June 2018	2 weeks	EM and Team Leader

Annex 2. Achievement against results

Results Chain	Indicator	BASELINE	CURRENT STATUS	TARGET	Means of Verification
Impact: Sustainable, climate smart, crop production systems introduced in support of the food security in Yemen	Water use per hectare	10,000 Mm^3per ha per yr	8,755 Mm^3 per ha per year	8,500 Mm^3 per ha per yr	water flow meters
	Size of Irrigated area	19,953 ha of irrigated area	Not yet measured	19,953 ha of irrigated area	remote sensing
	Volume of Groundwater abstraction	200 Mm^3 depletion	Not yet measured	190 Mm^3 depletion	Modelling
Outcome: High awareness among farmers on water scarcity and preparedness to reduce their groundwater abstraction.	Percentage of farmers participating in WUAs formation and training	10 % farmers	54 % farmers	75 % farmers	field inspections
	Volume of groundwater abstraction in sub-basin	Bani Huwat: 61 Mm^3/year Zahr&Algh: 16 Mm^3/yr Hamdan: 7 Mm^3/year Ghayman: 4 Mm^3/year	Bani Huwat: 51 Mm^3/year Zahr&Algh: 13 Mm^3/yr Hamdan: 6 Mm^3/year Ghayman: 3 Mm^3/year	Bani Huwat: 40 Mm^3/year Zahr&Algh: 11 Mm^3/yr Hamdan: 5 Mm^3/year Ghayman: 2 Mm^3/year	Modelling and pump water flow meters
Output: Existing WUAs reactivated and WUAs created; have active role guiding members through change process	Number of WUAs reactivated/created	5 WUAs	38 WUAs reactivated/created	38 WUAs active	WUAs Annual Reports
Output : Supported WUAs apply good governance practices and gender effectively	Percentage of women participation on the board of directors of WUAs	0 % Women	30 % Women	30 % Women	WUAs membership meetings
Output : Per sub-basin the WUAs cooperate with the Sub-basin	Plans approved by WUA general assembly	0 %	25 %	25 %	

Results Chain	Indicator	BASELINE	CURRENT STATUS	TARGET	Means of Verification
Water Management Committee (WMC) towards sustainable crop production systems	Level support from local council		38 WUAs supported by Local Council and WMC	38 WUAs supported by Local Council and WMC	
Outcome : Sustainable, climate smart, crop production with low water input and equal or higher revenues for farmers	Improved irrigation techniques applied	10 % Area	20 % Area	40 % Area	WUA monitoring
	Net farm income	100 % Net Farm income	Not measured	110 % Net Farm income	Assessment
Output: Production systems reviewed with attention to (groundwater) use.	Sustainable crop production: Number of crop production plans prepared	0 Crop production plans prepared for each WUA	38 Crop production plans prepared for all WUAs	38 Crop production plans prepared for all WUA	WUA report
Output : Value chain analysis conducted on a main crops	Number of types of corps analysed	0 value chain analyses	4 analyses completed	4 Value Chain analyses	Report
Output : Demonstration farms on crops and fruit trees, irrigation techniques, production environment (greenhouses), post-harvest techniques, etc.	Number of demonstrations (participation by farmers during design and interest in results-)	0 demonstrations	10 demonstrations (17 crops under greenhouses)	10 demonstrations	WUA report NIP report AREA report

Results Chain	Indicator	BASELINE	CURRENT STATUS	TARGET	Means of Verification
Output : Members of WUAs introduce production system, using less water & achieving equal/increased income	Percentage of the area that has adopted new production system.	0 %	Not measured	30 %	WUA report and maps
Output : WUAs support their members for changes in crop production systems	Percent achievement of WUAs planned activities	0 % Microfinance, processing, marketing training	20 % Microfinance, processing, marketing training	20 % Microfinance, processing, marketing training	NRWA report
Output : Water Resources Management Plans developed by each WUA and used for the four sub-basin Water Management Plans	Number of Sub-basin IWRM plans Number of WUA action plans	No IWRM plans for each sub-basin No WUA action plans	4 IWRM plans (1 per sub-basin) 38 WUA action plans	4 IWRM plans (1 per sub-basin) 38 WUA action plans	Reports
Output: Groundwater monitoring tools installed and operational by NWRA and or /WUAs.	Number of installed Water flow meters Number of Models used by NWRA/WUAs	0 boreholes with flow meters 0 Models used by WUA	30 boreholes have flow meters 38 Models used by WUAs	30 boreholes have flow meters 38 units Models used by WUAs	Inspection report by NRWA
Output: Water infrastructure improved, resulting in effective water use/storage.	Number of structures constructed	0 water harvesting structures	30 water harvesting structures	38 water harvesting + recharge facilities	Physical inspection report

Results Chain	Indicator	BASELINE	CURRENT STATUS	TARGET	Means of Verification
Output : Utilization of shallow water wells as alternative to small scale waste water treatment plant by using solar water pumps	Number pumps	0 solar water pumps	10 solar water pumps operational	10 solar water pumps that are operational	Physical inspection report
Output: Groundwater abstraction reduced due to changes in production systems.	Amount of water saved by the newly introduced crops	300 Mm^3 per year	250 Mm^3 per year	250 Mm^3 per year	Water flow meters and Modelling
Outcome: The enabling environment for WUAs is further developed and strengthened.	Percent level of farmers actively involved in service delivery	10 % farmers actively involved in service delivery	30 % farmers actively involved in service delivery	40 % farmers actively involved in service delivery	WUA performance rating
Output : Government agencies and private sector aware of WUA role	Number of partners involved	1 partner	3 partners	3 partners	Project reports
Output : Matching Grant (Micro-Credit) established	Number of grants provided to each WUA Percentage of WUA requests accepted No. greenhouses procured and installed	0 grants 0 % requests 0 greenhouses	76 grants provided to all WUA 75 % WUA requests accepted 160 greenhouses	76 grants provided to all WUA 75 % WUA requests accepted 160 greenhouses	FAO agreement with financial institutions, reports on loans and repayments

Results Chain	Indicator	BASELINE	CURRENT STATUS	TARGET	Means of Verification
Output: Marketing of crops to benefit farmers and procurement of inputs and processing when needed.	number of trainings to WUAs on marketing of farmers products %f WUAs marketing member products	0 trainings 0 % WUAs marketing member products	38 trainings to WUAs 50 % WUAs marketing member products	38 trainings to WUAs 50 % WUAs marketing member products	Training reports WUA Testimonies
Output : NWRA fulfils its monitoring and regulatory role for the water users	Number of Monitoring equipment installed No monitoring reports	10 units Monitoring equipment installed 0 water monitoring reports	70 units Monitoring equipment installed 1 water monitoring report	76 units Monitoring equipment installed 1 water monitoring report	Field inspections and reports
Output : Four sub-basin Water Management Committees (WMC) created and effective for exchanging information between water users, politicians and decision makers and on support from Local Councils	Number WMC meeting Number of water sub-basin committees (WSC) created Number of Water Regional committees (WRC) created Number of WSC and WRC meetings	0 WMC meetings 0 WSC 0 WRC 0 meetings	2 WMC meetings per year 4 WSC created 5 WRC created 3 WSC and WRC meetings	2 WMC meetings per year 4 WSC created 5 WRC created 3 WSC and WRC meeting	Minutes of meetings
Output: Sana'a basin Committee supervises and provides guidance.	Number of Steering Committee meetings per year	0 meetings	2 Steering Committee meetings held per year	2 Steering Committee meetings held per year	Minutes of meetings

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