

**GEF
CLUSTER
COUNTRY
PORTFOLIO
EVALUATION**

GEF Beneficiary Countries of the OECS (1992–2011)

**(Antigua and Barbuda, Dominica, Grenada, St. Kitts
and Nevis, St. Lucia, St. Vincent and the Grenadines)**

Volume 1: Evaluation Report



**Global Environment Facility
Evaluation Office**

Cluster Country Portfolio Evaluation: GEF Beneficiary Countries of the OECS (1992–2011)

**(Antigua and Barbuda, Dominica, Grenada,
St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines)**

April 2012

*(The main findings and recommendations of this
evaluation were presented to the GEF Council in
June 2012.)*

Evaluation Report No. 72

© 2012 Global Environment Facility Evaluation Office
1818 H Street, NW
Washington, DC 20433
Internet: www.gefeo.org
Email: gefevaluation@thegef.org

All rights reserved.

The findings, interpretations, and conclusions expressed herein are those of the authors and do not necessarily reflect the views of the GEF Council or the governments they represent.

The GEF Evaluation Office does not guarantee the accuracy of the data included in this work. The boundaries, colors, denominations, and other information shown on any map in this work do not imply any judgment on the part of the GEF concerning the legal status of any territory or the endorsement or acceptance of such boundaries.

Rights and Permissions

The material in this work is copyrighted. Copying and/or transmitting portions or all of this work without permission may be a violation of applicable law. The GEF encourages dissemination of its work and will normally grant permission promptly.

ISBN-10: 1-933992-44-1

ISBN-13: 978-1-933992-44-0

Credits

Director of the GEF Evaluation Office: Robert D. van den Berg

Team Leader and Task Manager: Carlo Carugi, Senior Evaluation Officer, GEF Evaluation Office

Editing and design: Nita Congress

Cover photo: Greggs Village Ecotourism Development Association on an eco-trail rehabilitated with support from an SGP grant in St. Vincent and the Grenadines, by Carlo Carugi, GEF Evaluation Office

Evaluation Report No. 72

A FREE PUBLICATION

Contents

Foreword.....	ix
Acknowledgments	xi
Abbreviations	xii
1. Main Conclusions and Recommendations	1
1.1 Background.....	1
1.2 Objectives, Scope, and Methodology	2
1.3 Conclusions.....	5
1.4 Recommendations.....	14
2. Evaluation Framework	19
2.1 Background.....	19
2.2 Objectives and Scope.....	19
2.3 Methodology.....	20
2.4 Limitations	22
3. Context of the Evaluation	23
3.1 OECS Region: General Description.....	23
3.2 Environmental Legal and Policy Framework in the OECS Region	34
3.3 General Description of the GEF.....	39
4. The GEF Portfolio in OECS Countries	40
4.1 National Projects in the GEF OECS Portfolio	40
4.2 Regional Projects Involving OECS Countries	44
4.3 Evolution of GEF Funding in the OECS Region.....	47
4.4 Implementation Status of National and Regional Projects.....	48
4.5 National and Regional Allocations by GEF Agency	49
5. Effectiveness, Results, and Sustainability of GEF Support to OECS Countries	53
5.1 Results by Focal Area.....	53
5.2 Sustainability.....	62

5.3	Catalytic and Replication Effects	62
5.3	Institutional Sustainability and Capacity Development.....	68
5.4	Environmental Impacts and Global Environmental Benefits	69
6.	Relevance of GEF Support to OECS Countries.....	71
6.1	Relevance to National Environmental Priorities and GEF Focal Area Strategies and Action Plans.....	71
6.2	Relevance to Region's Sustainable Development Agenda and Environmental Priorities.....	72
6.3	Relevance to Global Environmental Benefits in the OECS	74
6.4	Relevance to Emerging or Evolving Issues in the Region.....	76
6.5	Relevance to Capacity, Needs, and Priorities of OECS Countries.....	76
6.6	Relevance of Regional Approaches to Country Needs	77
7.	Efficiency of GEF-Supported Activities in OECS Countries	79
7.1	Time, Effort, and Financial Resources for Project Processing	79
7.2	Implementation Arrangements	83
7.3	Roles and Responsibilities	84
7.4	Catalytic Financing Role of the GEF	85
7.5	Evolution of the GEF Small Grants Programme in the OECS Region.....	86
7.6	Monitoring and Evaluation	91
Annexes		
A.	Terms of Reference.....	93
B.	Evaluation Matrix	103
C.	Interviewees.....	109
D.	Workshop Participants.....	112
E.	GEF Portfolio in the OECS Region.....	113
F.	Countries' Response.....	117
Bibliography		118
Boxes		
3.1	Coral Bleaching Likely in Caribbean.....	31
3.2	The St. George's Declaration of Principles for Environmental Sustainability in the OECS	35
5.1	On-the-Ground Impact: Creating Sustainable Livelihoods through Community-Based Sea Turtle Conservation in St. Kitts and Nevis.....	56
5.2	The Caribbean Approach to Climate Change Adaptation	58
5.3	The Caribbean Regional Pilot Program on Climate Resilience.....	60
5.4	On-the-Ground Results: IWCAM in St. Kitts and Nevis.....	61
5.5	On-the-Ground Impact: Improvement and Expansion of a National Donkey Sanctuary in Antigua and Barbuda.....	63
5.6	Tobago Cays.....	64
5.7	OPAAL Demonstration Sites.....	65

5.8	JEMS Progressive Community Organisation.....	68
5.9	OPAAL Trains Fishermen and Residents in New Skills.....	70
6.1	Relevance of the OPAAL Project to Sustainable Development in St. Kitts and Nevis	74
6.2	Lessons Learned from the IWCAM Project.....	77
7.1	Kalinago Youth Empowerment Initiative	89

Figures

3.1	Map of the Eastern Caribbean.....	23
3.2	Biodiversity of the OECS Region.....	27
3.3	Intensity Distribution of North Atlantic Tropical Storms/Hurricanes, 1970–2006.....	28
3.4	Damage Caused by Sea Level Rise in Dominica and St. Lucia	29
3.5	The Caribbean Large Marine Ecosystem.....	31
3.6	Geographic Ranges for Various Resource Categories in the CLME	32
3.7	Lands Once Covered in Sugar Now Degraded.....	32
4.1	GEF Funding for National Projects by Focal Areas Across GEF Phases	48
4.2	GEF Funding for Regional Projects by Focal Areas Across GEF Phases.....	48
4.3	GEF Funding to National Projects by GEF Agency Across GEF Phases.....	49
4.4	GEF Funding to Regional Projects by GEF Agency Across GEF Phases.....	50
4.5	GEF Funding to Regional Projects by GEF Agency Across by Focal Area	51
5.1	Schematic of the Progression of GEF Climate Change Projects in the Caribbean.....	59
5.2	Rainwater Harvesting Technology in St. Lucia to Be Scaled up and Replicated.....	66
7.1	GEF Activity Cycle Prior to 2007 Revision.....	80
7.2	GEF Current Full-Size Project Cycle.....	80
7.3	GEF Current Medium-Size Project Cycle.....	81
7.4	National Cofinancing Ratio by Modality, Focal Area, and GEF Phase	86
7.5	Regional Cofinancing Ratio by Modality, Focal Area, and GEF Phase.....	86

Tables

1.1	GEF Support to National Projects in OECS Countries by Focal Area.....	2
1.2	GEF Support to Regional Projects in Which OECS Countries Participate by Focal Area	3
1.3	GEF Support to Global Projects in Which OECS Countries Participate by Focal Area	3
3.1	OECS Socioeconomic and Geographic Statistics by Country	24
3.2	OECS Countries' Percentage Share of Total Global Benefits Index.....	25
3.3	GEF-5 Resource Allocations for OECS Countries, by Focal Area	26
3.4	Summary Environmental Profile of the OECS Region.....	28
4.1	National Projects in the GEF Portfolio for OECS Countries, 1992–2010	41
4.2	National Projects in the GEF Portfolio for OECS Countries, by Focal Area and Funding	43
4.3	GEF-4 RAF Allocation Used.....	44
4.4	Regional Projects in the GEF Portfolio for OECS Countries, 1992–2010	45
4.5	GEF Regional Projects in which OECS Countries Participate by Focal Area and Funding	47
4.6	GEF National Project Funding in OECS Countries by GEF Agency and Focal Area	49
4.7	GEF Regional Funding in OECS Countries by GEF Agency and Focal Area.....	50

4.8	GEF SGP Funding in OECS Countries by Focal Area, 2004–09	52
4.9	GEF SGP Funding by OECS Countries, 2004–09.....	52
5.1	IWCAM Demonstration Projects in the OECS.....	66
6.1	Relevance of GEF to National Environmental Priorities and Action Plans.....	73
7.1	Average Time Needed to Develop and Approve Projects in the OECS Region	81
7.2	Project Preparation Costs in the OECS Region	83

This evaluation examines Global Environment Facility (GEF) support in the Latin America and the Caribbean region. Six GEF beneficiary country members of the Organisation of Eastern Caribbean States (OECS) were covered by this evaluation, including Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines. These countries were selected for a cluster approach primarily because regional projects are the predominant modality of GEF support to them, thus providing an excellent opportunity to assess this support at the country level. The evaluation focused on regional projects in which all six GEF beneficiary OECS countries were involved.

The evaluation found that, to date, GEF support in the OECS region has produced mixed results. Positive achievements include regional-level results on climate change adaptation and in reporting to the global conventions.

The evaluation also found that while regional approaches are appropriate for the OECS, they have not adequately incorporated tangible national-level activities. A new generation of regional projects now addresses this shortcoming by including national demonstration sites, although it is too soon to evaluate the effectiveness of this approach. On-the-ground results, catalytic up-scaling, and replication have been

limited. There has been an insufficient focus on the long-term sustainability of initiatives, with the exception of climate change adaptation activities. Institutional and individual capacity for environmental management remains a critical issue in the region.

The GEF support has been relevant to OECS countries' national environmental priorities, but regional approaches have diluted the relevance of efforts that are not a direct output of country-driven initiatives. GEF support has also been relevant to global environmental benefits in the OECS region and to GEF operational policies, strategies, and procedures. However, since the beginning of GEF support in the OECS region, there has been a tension between securing global environmental benefits and national environmental priorities. The present portfolio reflects a balance between these two objectives.

Analysis of the efficiency of GEF support to OECS countries indicates that, on average, greater time has been required to develop and approve projects here compared to other countries receiving GEF support. Due to limited capacity, resources, and personnel—and thus limited communication—there remains an inadequate flow of information related to the GEF as an institution, the nature and status of activities undertaken with GEF support, and the operating environment for

GEF-supported activities. Furthermore, implementation arrangements for regional approaches have not been fully designed and supported to ensure efficiency, communication, and execution. The evolution of the Small Grants Programme from a subregional program to a more nationally based approach presents opportunities but also management challenges that will need to be met. Project-level monitoring and evaluation has supported adaptive management in the GEF's OECS portfolio, but tracking impact-level results is hampered by a lack of environmental monitoring data.

The GEF Evaluation Office and the GEF St. Lucia operational focal point invited representatives from the six OECS countries under review as well as a large number of stakeholders to discuss the findings of the evaluation on May 31, 2011, in Rodney Bay, St. Lucia. During the workshop, the context and methodology were presented as well as the preliminary findings and emerging recommendations. A very fruitful open forum discussion followed. The feedback received was highly constructive, and comments have been incorporated into this report as appropriate.

The findings of the OECS evaluation were presented to the GEF Council in June 2012. These were also included in the *Annual Country Portfolio Evaluation Report 2012*, a report that synthesizes the main conclusions and recommendations

from the country-level evaluation work conducted by the Office in the Latin America and the Caribbean region, specifically Brazil, Cuba, El Salvador, Jamaica, Nicaragua, and OECS. This synthesis report recommends that the GEF Council ask the GEF Secretariat to consider ways to make project approval and implementation in small island developing states more flexible and context specific; to streamline the multifocal area projects approval process and make their monitoring requirements during implementation comparable to those of single-focal area projects; and to enable South-South cooperation activities as components of national, regional, and/or global projects where opportunities for exchange of technology, capacity development, and/or sharing of best practices exist.

The OECS government responses to the evaluation are included in annex F of this report.

I would like to thank everyone who actively supported this evaluation. The GEF Evaluation Office remains fully responsible for the content of this report.

A handwritten signature in dark ink, appearing to read 'Rob D. van den Berg', with a large, stylized initial 'R' and a horizontal line extending to the right.

Rob D. van den Berg
Director, GEF Evaluation Office

Acknowledgments

This report was prepared by an evaluation team led by Carlo Carugi, Senior Evaluation Officer and Team Leader for country portfolio evaluations in the Global Environment Facility (GEF) Evaluation Office. The team consisted of five consultants: Evan Green (Lead Consultant), Josh Brann (Senior Evaluator), Liz Emmanuel (Regional Expert), Vasantha Chase (National Expert), Joyce Thomas (National Expert), and Ivor Jackson (National Expert) from Le Groupe-Conseil Baastel Itée. Maria Soledad Mackinnon of the GEF Evaluation Office served as research assistant. Members of

the governments of the six Organisation of Eastern Caribbean States countries included in this evaluation provided full cooperation.

An aide-mémoire containing key preliminary findings was presented in St. Lucia in May 2011 to national stakeholders, including representatives of the national governments, GEF Agencies, nongovernmental organizations, and other civil society partners. The feedback received was highly constructive, and the comments have been incorporated into this evaluation report.

Abbreviations

ACCC	Adaptation to Climate Change in the Caribbean	MSP	medium-size project
CARICOM	Caribbean Community	NCSA	national capacity self-assessment
CBD	Convention on Biological Diversity	NGO	nongovernmental organization
CCCCC	Caribbean Community Climate Change Centre	ODS	ozone-depleting substances
CIDA	Canadian International Development Agency	OECS	Organisation of Eastern Caribbean States
CLME	Caribbean Large Marine Ecosystem	OPAAL	OECS Protected Areas and Associated Livelihoods
CPACC	Caribbean Planning for Adaptation to Climate Change	PDF	project development facility
CPE	country portfolio evaluation	PMIS	Project Management Information System
EU	European Union	POP	persistent organic pollutant
FSP	full-size project	PPG	project preparation grant
GDP	gross domestic product	PPCR	Pilot Program on Climate Resilience
GEF	Global Environment Facility	RAF	Resource Allocation Framework
GHG	greenhouse gas	ROtI	review of outcomes to impacts
IDB	Inter-American Development Bank	SGP	Small Grants Programme
INC	Initial National Communication	SIDS	small island developing states
IWCAM	Integrating Watershed and Coastal Area Management in the SIDS of the Caribbean	SPACC	Special Program on Adaptation to Climate Change
LBS Protocol	Protocol Concerning Pollution from Land-Based Sources and Activities in the Wider Caribbean	STAR	System for Transparent Allocation of Resources
M&E	monitoring and evaluation	UN	United Nations
MACC	Mainstreaming Adaptation to Climate Change	UNDP	United Nations Development Programme
		UNEP	United Nations Environment Programme
		UNFCCC	United Nations Framework Convention on Climate Change

All dollar amounts are U.S. dollars unless otherwise indicated.

1. Main Conclusions and Recommendations

1.1 Background

At the request of the Global Environment Facility (GEF) Council, the GEF Evaluation Office conducts country portfolio evaluations (CPEs) every year. In fiscal year 2011,¹ three CPEs were launched in the Latin America and the Caribbean region, including one of a cluster of six GEF beneficiary countries that are members of the Organisation of Eastern Caribbean States (OECS)—Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines—one in Nicaragua, and one in Brazil. This report covers the OECS cluster CPE. CPEs aim to provide the GEF Council and national governments with an assessment of results and performance of the GEF-supported activities at the country level, and of how the GEF-supported activities fit with national strategies and priorities as well as with the global environmental mandate of the GEF.

As stated in the terms of reference (see annex A), the OECS countries were selected for a cluster approach primarily because regional projects are the predominant modality of GEF support in these countries. The evaluation provides an excellent opportunity to assess the real impact of this

modality at the country level. In addition, small island developing states (SIDS) have been given a preferential selection criterion in the CPE workplan for GEF-5 (2010–14). The evaluation focused on regional projects in which all six GEF beneficiary OECS countries were involved.²

The OECS countries face numerous challenges unique to SIDS and to their geographic position in the Caribbean, such as a lack of economies of scale in infrastructure, institutions, and markets; and vulnerability to natural disasters such as hurricanes. As with many SIDS and least developed countries, they also face a disproportionate risk to climate change impacts and to rising sea levels.

Based on the overall purpose of the GEF CPEs and the specific terms of reference for this cluster CPE, the evaluation of GEF support to OECS countries had the following objectives:

- Independently evaluate the relevance and efficiency of GEF support in the OECS countries from several points of view: national environmental frameworks and decision-making processes, the GEF mandate and the achievement

¹ The GEF fiscal year runs from July 1 through June 30.

² The OECS also includes Anguilla, the British Virgin Islands, and Montserrat; however, the evaluation and this report address only the six GEF beneficiary countries listed above.

of global environmental benefits, and GEF policies and procedures

- Assess the effectiveness and results of completed projects aggregated by focal area
- Provide additional evaluative evidence to other evaluations conducted or sponsored by the GEF Evaluation Office
- Provide feedback and knowledge sharing to (1) the GEF Council in its decision-making process to allocate resources and develop policies and strategies; (2) OECS countries on their participation in, or collaboration with, the GEF; and (3) the various agencies and organizations involved in the preparation and implementation of GEF-funded projects and activities

OECS country participation in the GEF started during the GEF pilot phase in 1992 with the preparation of the World Bank–implemented Wider Caribbean Initiative for Ship-Generated Waste (GEF ID 585), which involved a total of 22 countries in the region. All projects in the GEF portfolio in the OECS region are listed in annex E. Today, the GEF OECS country portfolio includes 42 national projects valued at \$12.32 million, with \$10.13 million of cofinancing. Most of the national projects are enabling activities. As table 1.1 shows, 22.6 percent of the GEF funding to the OECS has supported projects in the biodiversity focal area,

14.6 percent to climate change, 20.3 percent to land degradation, 8.6 percent to persistent organic pollutants (POPs), and 34.0 percent to multifocal area projects.

The six OECS countries covered by this evaluation have been or are involved in an additional 17 regional projects (see annex E for details). The GEF portfolio for regional projects involving OECS countries is valued at \$106.44 million with \$498.86 million of cofinancing. As table 1.2 shows, 20.4 percent of the GEF funding has supported regional projects in the biodiversity focal area, 22.0 percent climate change, 56.0 percent international waters, and 1.6 percent multifocal area projects.

There are also seven global projects in which most of the six OECS countries covered by this evaluation participate, addressing biodiversity (56.5 percent of GEF support) and land degradation (40.2 percent), with substantially lower allocations for climate change (2.1 percent) and POPs (1.2 percent) (table 1.3).

1.2 Objectives, Scope, and Methodology

The OECS evaluation was conducted between January and August 2011 by an evaluation team

Table 1.1

GEF Support to National Projects in OECS Countries by Focal Area

Focal area	Number of projects	GEF grant (million \$)	Total cofinancing (million \$)	Percentage of total GEF support
Biodiversity	15	2.78	0.79	22.6
Climate change	12	1.79	0.00	14.6
Land degradation	5	2.50	4.10	20.3
POPs	3	1.06	0.25	8.6
Multifocal	7	4.19	5.00	34.0
Total	42	12.32	10.13	100.0

Table 1.2**GEF Support to Regional Projects in Which OECS Countries Participate by Focal Area**

Focal area	Number of projects	GEF grant (million \$)	Total cofinancing (million \$)	Percentage of total GEF support
Biodiversity	4	21.71	28.85	20.4
Climate change	6	23.40	31.94	22.0
International waters	5	59.64	436.27	56.0
Multifocal	2	1.69	1.80	1.6
Total	17	106.44	498.86	100.0

Note: Data are for total GEF support provided to the regional projects in which OECS countries participate, as it was not possible to isolate the specific support provided to OECS countries.

Table 1.3**GEF Support to Global Projects in Which OECS Countries Participate by Focal Area**

Focal area	Number of projects	GEF grant (million \$)	Total cofinancing (million \$)	Percentage of total GEF support
Biodiversity	3	40.78	16.38	56.5
Climate change	2	1.55	1.55	2.1
Land degradation	1	29.00	1.07	40.2
POPs	1	0.89	30.95	1.2
Total	7	72.21	49.94	100.0

Note: Data are for total GEF support provided to global projects in which OECS countries participate, as it was not possible to isolate the specific support provided to OECS countries.

comprised of staff from the GEF Evaluation Office and consultants from Baastel ltée with combined extensive knowledge of the Caribbean's environmental sector and of GEF programs. The evaluation approach used a combination of qualitative and quantitative data collection methods and standardized analytical tools. Information from various sources in each of the OECS countries, and from other countries where similar GEF projects are managed, was used. The sources included the public sector at the national and municipal levels, civil society, the GEF Agencies active in the region (the United Nations Development Programme [UNDP], the United Nations Environment Programme [UNEP], and the World Bank), regional institutions (the Caribbean Environmental Health

Institute and the OECS Secretariat), the national convention focal points, GEF beneficiaries and supported institutions, associations, and local communities and authorities.

Data collected from individual sources were triangulated against all other available data sources; quality control was a key element of the evaluation at all stages. The quantitative analysis used indicators to assess the efficiency of using projects as the unit of analysis to evaluate the time and cost of preparing and implementing GEF support. The evaluation team used standardized analysis tools and project review protocols for the CPEs and adapted these to the OECS context. A member of the evaluation team visited each of the

OECS countries to conduct in-person interviews and project field site visits. Two field review of outcomes to impacts (ROtI) studies were conducted, one on a regional full-size project (FSP) in the international waters focal area implemented through the World Bank; the second on a national medium-size project (MSP) in biodiversity also implemented through the World Bank. The chief criterion for ROtI project selection was that the project had to have been completed for at least two years.

The main focus of the evaluation was on the national and regional projects implemented with participation from at least one OECS country. Some regional projects involving OECS countries also involve many additional countries in the Caribbean; others are focused only on OECS countries. For those regional projects involving many non-OECS countries, a full assessment of the projects' aggregate results, relevance, and efficiency was beyond the scope of this evaluation, which focused solely on the activities carried out in the OECS countries. There are several significant regional projects in the GEF OECS portfolio that are in the final stages of approval or early stages of implementation—for example, Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems (GEF ID 3858) and Testing a Prototype Caribbean Regional Fund for Wastewater Management (GEF ID 3766); these projects were only reviewed for their relevance and other aspects related to design, but were not assessed with respect to results and sustainability.

The following limitations were taken into account and addressed, wherever possible, while conducting the evaluation:

- CPEs are challenging, as the GEF does not yet operate by establishing country programs that specify expected achievement through

programmatic objectives, indicators, and targets.³

- Attribution is another area of complexity. The evaluation does not attempt to provide a direct attribution of development and even environmental results to the GEF, but assesses the contribution of GEF support to overall achievements.
- Evaluating the impacts of GEF-funded initiatives is not straightforward. Many projects do not have reliable monitoring information for key indicators to measure biodiversity and climate change outcomes and impacts, for example. Additionally, for some older projects, staff turnover and institutional memory were constraints. This evaluation sought to overcome these difficulties by drawing on multiple data sources, including internal project documentation dating to project implementation.
- Taking a regional approach to the evaluation was also logistically challenging, with activities for many of the regional projects carried out across multiple countries and involving a large number of stakeholders. In addition, the evaluation was required to handle six sets of all factors—of national environmental policies and priorities, of government stakeholders including GEF focal points, of national environmental circumstances, and so on. The OECS countries are often grouped together for efficiency and synergy (for example, in the World Bank OECS Country Assistance Strategy), but this evaluation has proven that focusing on this regional grouping is much more complex than focusing

³ Voluntary national portfolio formulation exercises have been introduced in GEF-5. Future CPEs conducted in countries that have performed such an exercise will use it as a basis for assessing the aggregate results, efficiency, and relevance of the GEF country portfolio.

on a single country, synergies and efficiency notwithstanding.

Despite inconsistencies, gaps, and discrepancies contained in data at the start of the evaluation, the evaluation team established a clear and reliable set of data on projects and project implementation. Stakeholder comments on the aide-mémoire, received in writing and at the consultation workshop held on May 31, 2011, were taken into account in finalizing the conclusions and recommendations contained in this report.

1.3 Conclusions

Results of GEF Support

Conclusion 1: To date, GEF support in the OECS region has produced mixed results; positive achievements include regional-level results on climate change adaptation, and in reporting to conventions.

Although the GEF has been providing funding in the OECS region for 17 years and its portfolio in the region is valued at over \$100 million, efforts completed to date can be described as primarily focused on enabling support and in the early stages of demonstration-level support. An exception to this is in the climate change focal area under adaptation, where there is an extensive body of completed work and knowledge.

A large percentage of the GEF's OECS portfolio consists of enabling activities, which were primarily completed in the GEF-2 (1999–2002) and GEF-3 (2003–06) replenishment periods. These activities supported the production of national reports to the conventions through national consultations and secondary data collection. In the biodiversity focal area, enabling activities facilitated the development of national biodiversity strategies and action plans, national reports

required under the Convention on Biological Diversity (CBD), and assessments of capacity-building needs. Regional and global enabling activities—Development of National Biosafety Framework (GEF ID 875) and an add-on project (GEF ID 2341)—have supported the development of national biosafety frameworks in support of the Cartagena Protocol on Biosafety. In the climate change area, national enabling activities supported the preparation of initial national communications to the United Nations Framework Convention on Climate Change (UNFCCC), and a second communication in the case of Dominica. Enabling activities supported the development of POPs national implementation plans in Antigua and Barbuda, Dominica, and St. Lucia. Evidence shows that enabling activities have played a valuable role in the portfolio by enhancing capacity and building awareness of global environmental issues at the national level. GEF support through enabling activities has also facilitated implementation of the conventions by providing a regular, if limited, stream of support to key government agencies responsible for the conventions (usually the ministry with responsibility for the environment), and providing technical and financial assistance to develop capacity of the environment departments within these ministries.

Of the completed projects, only the two adaptation projects—Caribbean Planning for Adaptation to Global Climate Change (CPACC; GEF ID 105) and Mainstreaming Adaptation to Climate Change (MACC; GEF ID 1084)—have generated significant positive results in the OECS region. Taken together, CPACC, the Adaptation to Climate Change in the Caribbean (ACCC) project funded by the Canadian International Development Agency (CIDA), MACC, and Implementation of Pilot Adaptation Measures in Coastal Areas of Dominica, St. Lucia and St. Vincent—Special Program on Adaptation to Climate

Change (SPACC; GEF ID 2552) have formed a series of adaptation projects linked in a logical, if very gradual, three-phase progression.

CPACC helped establish national-level governance through climate change focal points and intersectoral national climate change committees, which continue to work as representatives of the countries' needs and aspirations in climate change on the regional stage while coordinating efforts at the national level. CPACC also catalyzed the development of national adaptation policies; these were approved at the cabinet level in three countries, and the OECS countries have increased their engagement with the international policy process under the UNFCCC. MACC had more mixed results, but it also produced positive outcomes. It adopted a learning-by-doing approach to capacity building, consolidating the achievements of previous efforts, building on the progress achieved by furthering institutional capacity, strengthening the knowledge base, and deepening awareness and participation. Together, CPACC and MACC contributed to regional unification and cooperation on adaptation issues, and both significantly raised the profile and awareness of climate change adaptation issues throughout the Caribbean—resulting in increased appreciation of climate change issues at the regional policy-making level. Through these projects, the Caribbean Community Climate Change Centre (CCCCC) was established. A regional center of excellence, the CCCCC coordinates the region's response to climate change and is the key node for information and regional policy on climate change issues and on the region's response to managing and adapting to climate change. The current SPACC project is investing in demonstration activities in three countries (Dominica, St. Lucia, and St. Vincent and the Grenadines) based on their previous involvement in adaptation. On-the-ground

activities are not yet fully under way, and have been reduced in number from seven to two.

Building on these GEF-supported adaptation projects, four OECS countries were selected for larger scale investment through the Pilot Program on Climate Resilience (PPCR), which is part of the Strategic Climate Fund, a multidonor Trust Fund within the Climate Investment Funds overseen by the World Bank. GEF support clearly established the necessary foundation for this new scaled-up initiative, for which participation criteria included country preparedness to move toward climate-resilient development plans.

Apart from the suite of enabling activities and the adaptation cohort, regional and national projects completed to date have not been highly successful. ROtI studies conducted on two early projects, the Ship-Generated Waste Management project (GEF ID 59) and Dry Forest Biodiversity Conservation (GEF ID 815) in Grenada, indicated that these projects did not make significant progress toward impact-level results. The first project in the regional portfolio, the Wider Caribbean Initiative for Ship-Generated Waste, was closed at the originally anticipated time, but an outstanding balance of \$1.7 million of the original \$5.5 million budget was canceled, and the project evaluation noted limited success toward overall objectives. The Caribbean Renewable Energy Development Programme climate change project (GEF ID 840) covered 17 countries and was extensively reformulated following its 2007 midterm evaluation. The project was completed in 2010; available data suggest that the project results were modest relative to the originally planned outcomes, particularly for the OECS countries.

Four regional FSPs are currently under implementation in the biodiversity, climate change, and international waters focal areas:

- **Biodiversity**—OECS Protected Areas and Associated Livelihoods (OPAAL; GEF ID 1204), involving all six OECS countries
- **Climate change adaptation**—SPACC, focusing on three OECS countries
- **International waters**—Integrating Watershed and Coastal Area Management in the SIDS of the Caribbean (IWCAM; GEF ID 1254), involving 12 countries; and Caribbean Large Marine Ecosystem (CLME; GEF ID 1032), involving 22 countries

Once the results from these projects are finalized and verified, they should account for a more substantive contribution from GEF funding in OECS countries.

Of these projects, the IWCAM and OPAAL projects have the most comprehensive presence in the OECS countries. The OPAAL project has produced some notable preliminary results, including an average 46 percent improvement (ranging from 6 percent to 82 percent at the individual level) in management effectiveness for six protected area project demonstration sites covering 24,693 hectares, based on the OECS scorecard system.

The IWCAM project has contributed to strengthened national and regional policies related to integrated water resource management. At the regional level, the project supported the accession of participating countries to the Cartagena Convention's Protocol Concerning Pollution from Land-Based Sources and Activities in the Wider Caribbean, including Antigua and Barbuda. This LBS Protocol entered into force with the Bahamas accession in October 2010. Activities at the national level have included the development of integrated water resource management roadmaps and policies (in Antigua and Barbuda, and St. Lucia), site-based watershed management

planning initiatives (in Dominica and Grenada), support for the development of a national water policy (in St. Kitts and Nevis), and the development of community-based integrated water resource management projects (in St. Vincent and the Grenadines).

While this collection of projects is producing an important and diverse body of results across focal areas, current implementation ratings suggest that the OPAAL, CLME, and SPACC projects have faced or are facing challenges in fully achieving their anticipated objectives.

Conclusion 2: While regional approaches are appropriate for the OECS, they have not adequately incorporated tangible national-level activities. Within the full portfolio, on-the-ground results, catalytic up-scaling, and replication have been limited.

In the OECS region, numerous issues lend themselves to regional approaches, given similarities in environmental resources and frequently limited capacity for effective environmental management. Most GEF-supported regional approaches here have focused on the enabling environment, largely addressing policy and information management issues. Efforts targeted at this level are critical to long-term success in conserving environmental resources. However, few GEF-supported initiatives in the region have included activities focused at the field level. National stakeholders thus may sometimes be hard pressed to identify what tangible results the years of GEF investment have produced within their countries.

Two main exceptions exist. The first is the GEF Small Grants Programme (SGP), which is inherently focused on practical activities at the community level. Many stakeholders in the region are more familiar with the SGP than they are with the “regular” GEF. The second is a pair of projects,

IWCAM and OPAAL, which include significant national-level demonstration site activities, even if challenges requiring adaptive management have arisen during their implementation.

With the limited amount of practical experience and development of tested good practices, there has not yet been a significant catalytic effect from GEF support, other than in the climate change adaptation area. Here, the PPCR is expected to significantly scale up the work done thus far.

Conclusion 3: While the GEF portfolio in the region is still in the early stages of demonstration-level support and there are a few high-lights, there has, overall, been insufficient focus on sustainability within the portfolio.

The GEF portfolio in the Caribbean region has demonstrated a long-term strategic approach to addressing climate change adaptation issues critical to the region, and embodied by the CPACC, MACC, and SPACC projects. These initiatives are now complemented by the PPCR, which is designed to provide financing for national climate-resilient development. This sequence of efforts demonstrates the kind of continuity, follow-up, and sustained effort at the regional and national levels—among the GEF and other donors—needed in all focal areas. Projects in other areas are too often stand-alone efforts with a limited focus on sustainability.

OECS governments have signaled their commitment to environmental management through official ratification of international environmental agreements. GEF projects have facilitated the development of draft legislation and policies to support their commitment to these agreements—for example, legislation related to biosafety and sustainable land management. Further action is needed: political will must be demonstrated to finalize and adopt these laws, regulations, and policies. GEF support

is expected to contribute to this final step in institutionalizing laws and policies, thereby increasing the sustainability of project results.

Conclusion 4: GEF support has expanded in scope within the OECS region, but has to date had limited progression in scale beyond the climate change adaptation area.

GEF support in the OECS region has expanded across focal areas progressively over time. During GEF-1 (1995–98) and GEF-2, national projects were only supported in the biodiversity (11 projects totaling \$1.99 million in support) and climate change (8 projects totaling \$1.39 million) focal areas. During GEF-3, the GEF national portfolio in OECS countries had integrated multifocal area projects (mostly national capacity self-assessments [NCSAs], for a total of \$4.19 million), land degradation projects (involving national capacity building and mainstreaming of sustainable land management, for a total of \$2.50 million), and POPs projects (preparing national implementation plans for the Stockholm Convention, for a total of \$1.06 million).

GEF funding of regional projects has been allocated somewhat differently over time. During GEF-1, regional projects were supported in the climate change, international waters, and multifocal areas. During GEF-2, support was provided to the climate change and multifocal areas only; during GEF-3 and GEF-4, regional projects in the biodiversity, climate change, and international waters focal areas were supported.

At the national level, GEF funding has been primarily focused on the enabling activity modality. Project scale—in terms of funding, amount of activities, staff, overall complexity, and so on—has not increased much over time for national projects, and funding in fact stagnated. There was a

slight increase in national project funding during GEF-3 due to the approval of sustainable land management MSPs in five of the six countries and the approval of a national multifocal MSP in Antigua and Barbuda. These averages are for GEF-1, \$0.16 million; for GEF-2, \$0.20 million; for GEF-3, \$0.40 million; and for GEF-4, \$0.18 million. The averages for regional projects have seen limited progression as well, and even a decrease in average funds provision during GEF-2. The averages for regional projects are for GEF-1, \$6.58 million; for GEF-2, \$2.55 million; for GEF-3, \$6.49 million; and for GEF-4, \$8.41 million.

The climate change portfolio in the Caribbean has demonstrated a long-term strategic approach to addressing the region's critical climate change adaptation issues. Initial efforts received a boost from implementation of CPACC between 1997 and 2001; this project focused on vulnerability assessments, adaptation planning, and capacity-building activities. The regional adaptation portfolio was then expanded through the development of the CIDA-funded ACCC project, followed by the GEF-funded MACC project, which built on the previous initiatives. Complementing these regional efforts, SPACC was developed to support efforts by Dominica, St. Lucia, and St. Vincent and the Grenadines to implement specific integrated pilot adaptation measures addressing the impacts of climate change on the region's natural resource base. All of these projects are now complemented by the World Bank's globally based PPCR, which is designed to provide financing for climate-resilient national development. Thus, the regional focus in the adaptation area is becoming steadily more specific and targeted, whereas globally it is becoming more expansive. The focus is coming down to the national level with PPCR, which, through concessional loans and other mechanisms, provides

more significant resources than have been available through the GEF to date.

Conclusion 5: Institutional and individual capacity for environmental management remains a critical issue in the region.

Capacity strengthening is an important priority in the OECS region to ensure that national agencies can develop and manage GEF projects. Only Antigua and Barbuda is implementing an FSP (Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State, GEF ID 1614); Antigua's Environment Department made the project's design and approval process strongly country driven. The other national-level non-enabling activity project is Grenada's Dry Forest Biodiversity Conservation MSP. It did not have strong stakeholder ownership from national institutions during design and implementation, and had little continuing activity or support following its completion.

Capacity development is also critical within civil society, which is currently constrained in its ability to play an active and engaged role in contributing to effective environmental management in the region. This need is underscored with regard to the SGP: few civil society and community-based organizations have the capacity to engage with the program and take advantage of its resources.

Relevance of GEF Support

Conclusion 6: GEF support has been relevant to OECS countries' national environmental priorities, but regional approaches have diluted relevance on efforts that are not a direct output of country-driven initiatives.

Most funding in the GEF's OECS portfolio is implemented through regional projects, many

of which include a majority of non-OECS country participants. The effectiveness of a regional approach can be diluted by the number of participating states, and the capacities available to deliver the project at the regional and national levels. Stakeholders interviewed spoke of limited ownership of regional projects stemming from several factors:

- Global and regional project objectives are difficult to align with national priorities
- Regional project activities and outcomes have low visibility at the national level
- The institutions and stakeholders involved in project activities and outcomes are not necessarily the right ones, and stakeholder involvement is not sufficiently comprehensive
- The relevance of project objectives and outputs is not always clear to national stakeholders

Where GEF-funded efforts have clearly been driven by OECS national stakeholders, there is a greater sense of stakeholder ownership, which is one of the critical elements for achieving and sustaining results.

Conclusion 7: GEF support has been relevant to global environmental benefits in the OECS region and to GEF operational policies, strategies, and procedures.

The OECS portfolio covers all the GEF focal areas, except ozone depletion, which is not a priority for OECS countries. A majority of the portfolio is in the international waters focal area, with most of the remainder allocated nearly equally between biodiversity and climate change. A recent set of national MSPs focused on land degradation. The national development and environmental agenda that has evolved in the OECS over the past 15 years has benefited substantially

from the baseline and technical information GEF support has enabled. In addition, the opportunity to identify priorities and establish strategies and action plans in biodiversity, climate change, sustainable land management, and international waters has helped move the OECS environmental agenda forward.

Since the earliest days of GEF funding in the OECS, there has been a tension between achievement of global environmental benefits and national environmental priorities. The present suite of projects reflects more of a balance between these sets of objectives.

Efficiency of GEF Support

Conclusion 8: On average, greater time has been required to develop and approve projects in the OECS region than in other countries receiving GEF support.

The evolution of the GEF Activity Cycle since 1992 makes assessing project cycle times challenging. Further, the project cycle differs by modality (FSP, MSP, and enabling activity), and its duration is affected by project scope. For example, regional projects require synchronization of people and resources across all participating countries, which can influence the project cycle duration.

The evaluation found that project cycle times in the OECS region are longer than those for other recently reviewed GEF portfolios. For the national FSP in Antigua and Barbuda, the time required to develop and approve the project was considerably longer than for FSPs elsewhere: 54 months from pipeline entry to implementation start, compared to about 24 months in Turkey, 35 months in Costa Rica, and approximately 42 months in Moldova and Nicaragua. The national MSPs also took much longer to develop

and approve than the average in other countries: a 46-month average duration, compared to less than 12 months in Moldova, 17 months in Nicaragua, and almost 20 months in Turkey. Average durations for OECS regional projects are also longer than elsewhere. Regional FSPs took 23 months to move from pipeline entry to implementation start; MSPs took 14 months.

Conclusion 9: There has been inadequate communication and coordination among different levels of the GEF partnership (the global conventions; the GEF Secretariat; the GEF Agencies; the GEF focal points; and regional, national, and local stakeholders).

The GEF system, in theory, is structured so that actors take on roles matched to their comparative advantage. In a region like the OECS with limited capacity, limited resources, and a limited number of people involved in environmental management, reality has not always aligned with theory. There are also complex cooperative relationships among various actors in the OECS, including among the countries themselves—for example, for cruise ship patronage, which is one of the pillars of the regional economy. Communication and coordination in the region can be challenging, and face-to-face communication is practically a requirement for effective cooperation. Added to which, there is an inadequate flow of all types of information related to the GEF as an institution, the nature and status of activities undertaken with GEF support, and the operating environment for GEF-supported activities.

Responsibility for engagement with the GEF lies at the national level with the focal point mechanism. In several OECS countries, there is no institutionalized mechanism for formal interaction between the GEF focal point and the relevant convention focal points. Some country focal points are attempting to include a broad range

of stakeholders in decision-making processes by leveraging national multistakeholder coordination mechanisms; others have not yet done so. A potential lack of broad consultation with and dissemination of information to national stakeholders is one weakness of the GEF's focal point mechanism—which places a significant burden on individuals who are responsible for serving as the single point of information flow between the GEF network and national stakeholders. The GEF requires national focal point endorsement of a project as evidence that a project is country driven, but this does not appear to be a reliable indicator. An endorsement or lack thereof provides no evidence of the inclusiveness of the process and the involvement of other government, private sector, and civil society stakeholders.

Conclusion 10: Implementation arrangements for regional approaches have not been fully designed and supported to ensure efficiency, communication, and execution.

There are trade-offs to be made when project implementation arrangements are designed, particularly for complex regional projects involving many stakeholders in multiple countries. Leveraging regional institutions—such as the OECS Secretariat, the Caribbean Community (CARICOM) Secretariat, the CCCCC, or the Caribbean Environmental Health Institute—as executing organizations can create additional layers of administration between the countries and the GEF. On the other hand, it can also contribute to effectiveness and efficiency if lines of communication are well established; project management is well designed, adequately resourced, and executed as planned; and adaptive management is applied.

Different implementing arrangements within projects have shown varying degrees of success. For example, the IWCAM project design budgeted

for national management of the pilot/demonstration sites; the OPAAL project did not, as it was expected that the national government staff would fit the OPAAL work into their regular workload, thereby demonstrating national commitment and contributing to sustainability beyond the end of the project. In practice, government personnel have been stretched thin, and have not been able to provide the commitment necessary to achieve efficient results.

Synergies among focal areas are also important, as in the case of the biodiversity-focused OPAAL project, which has links with the climate change-focused MACC. However, greater synergies can be exploited between the UNFCCC and the CBD, for example, to increase the availability of resources at the national level to undertake biodiversity-related adaptation.

Conclusion 11: GEF support in the region has leveraged an increasing proportion of resources over time.

The portfolio analysis shows an increase in cofinancing ratios over time, with an overall cofinancing ratio for GEF-1 projects of 0.5; for GEF-2, 0.9; for GEF-3, 1.9; and for GEF-4, 2.0. Significant cofinancing amounts have been provided to regional projects in the international waters focal area, which has a cofinancing ratio of 5.9. As expected, more cofinancing has been provided to FSPs than to MSPs and enabling activities. At the national level, cofinancing in the land degradation focal area has been significantly higher than for other focal areas, largely because of a series of land degradation MSPs, since enabling activities have typically not had significant cofinancing.

Interviews and project reviews revealed some programming synergies among donors. For

example, the European Union (EU) provided funds to implement recommended activities from some enabling activities. Also, UNEP has collaborated with the World Bank in biosafety. In the biodiversity focal area, the GEF and the EU have worked together to develop and approve national parks and protected areas. Furthermore, there has been cross-collaboration with countries outside the region and with other institutions engaged in relevant activities.

Recently, some OECS countries have been able to leverage grant funds and concessional loans from the Climate Investment Fund to undertake demonstration and scale-up activities in climate change adaptation through the PPCR.

Conclusion 12: The evolution of the SGP from a subregional program to a more nationally based approach presents opportunities but needs to be properly managed.

Since its inception across OECS countries, the SGP has operated as a subregional program, with a coordinator and program assistant based in the UNDP offices in Barbados, and a Barbados-based subregional steering committee. From 1994 to 2005, the subregional program covered 10 countries: all 9 members of the OECS, plus Barbados. Following its involvement with an SGP initiative aimed at preservation of its Morne Trois Pitons World Heritage Site, Dominica instituted a full national SGP in 2005. The next year, the GEF Council decided that the United Kingdom Overseas Territories were no longer eligible for SGP funding. A move toward decentralization of the SGP subregional program followed, accompanied by the development of country program strategies. At the same time, in each of the participating OECS countries, a mostly volunteer national focal person and fully volunteer national focal group were established.

Various data sources for this evaluation indicate that while there are some efficiency gains in operating as a subregional program, there are also a number of efficiency and effectiveness trade-offs. Even with semi-regular in-person visits, the level of communication and support from the central node has not sufficiently overcome civil society capacity barriers to help stakeholders in each country take full advantage of SGP resources. Without a full-time country-based national coordinator, the accessibility of information for grantees regarding SGP requirements and procedures is limited.

Dominica's national SGP clearly benefits from the presence of a full-time national coordinator who can actively reach out to, engage, and support potential grantees. The Dominica program has a physical office, with a specific workspace for grantees to use in completing—and receiving assistance with—the program's administrative requirements. Dominica also receives and greatly benefits from support provided by the SGP subregional office. This office has provided training to the Dominica SGP staff, and facilitates grant processing through the UNDP Barbados office and the United Nations Office for Project Services. The subregional office also has a wealth of knowledge and experience of the historical SGP portfolio in the region, and can provide guidance on key lessons, monitoring and evaluation (M&E), as well as support on resource mobilization.

In GEF-5, multiple countries—including Antigua and Barbuda, Grenada, St. Lucia, and St. Vincent and the Grenadines—have discussed with the SGP transitioning their SGP involvement to national programs with a full-time national coordinator. Even with the establishment of nationally based programs, the countries will still need to rely on the Barbados office for administrative support, as they do not have their own UNDP country

offices. This new approach creates opportunities to enhance grantees' access to and uptake of GEF resources—provided there continues to be a strong focus on ensuring that SGP resources are used in alignment with GEF objectives and principles.⁴

Most of the civil society organizations in the OECS region have limited capacity and access to resources. They function largely with volunteers, and only a few can afford office space or even part-time administrative services. Consequently, a major risk of a national SGP is lack of capacity. With SGP resources at the national level envisaged to increase by at least 9–10 times over current levels, an additional major risk is the absorptive capacity of these organizations. The subregional program receives \$350,000 per year for six countries, or an average of \$58,333 per year per country; this is much less than Dominica has received annually as a country program (\$250,000).

Yet another risk is the absorptive capacity of non-governmental organizations (NGOs) and community-based organizations. They will have to become very familiar with all SGP procedures and requirements and be able to formulate and manage projects to a suitable performance level. The national coordinators also will have to come up to speed in their understanding of SGP procedures and requirements. As noted in the recommendations, investments in civil society capacity development will be needed to ensure an absorptive capacity commensurate with the level of resources that will be available to them.

Conclusion 13: Project-level monitoring and evaluation has supported adaptive manage-

⁴ There is evidence of one SGP national program allowing grants to be given to government entities such as village councils; this is against SGP rules.

ment in the portfolio, but tracking impact-level results is hampered by a lack of environmental monitoring data.

Monitoring and evaluation is broken into two components—project-level M&E and environmental monitoring. Project-level monitoring in the GEF's OECS portfolio has improved over time, and projects currently being implemented have demonstrated adaptive management based on project M&E. The older projects in the portfolio generally lack adequate logical frameworks, indicators, and comprehensive M&E plans (as did the majority of GEF projects prior to the GEF-3/GEF-4 time frame).

Of the five currently active regional FSPs, four have taken significant adaptive management actions as a direct result of M&E activities. The Caribbean Renewable Energy Development Programme underwent a major restructuring following its midterm evaluation in 2007. The OPAAL project received a 15-month extension to allow for completion of key project activities as a result of recommendations made during the midterm review. Based on findings from its midterm review in mid-2010, SPACC underwent a significant restructuring in late 2010, reducing the number of pilot activities planned. The CLME project has taken several adaptive management actions based on regular monitoring by the project team and steering committee.

Assessing impact-level results in the OECS countries is extraordinarily challenging given a lack of solid baseline data on the status of environmental resources, and a corresponding lack of systematic monitoring data to assess trends over time. Impact-level results are thus typically anecdotal, or limited to small geographic sites specifically targeted by project activities where changes can be more easily documented.

1.4 Recommendations

To the GEF Council

Recommendation 1: The design and implementation of future regional projects in SIDS should be based on a participatory, stakeholder-driven process and include tangible, on-the-ground activities in participating countries as well as adequate resources for coordination.

Regional projects formulated to include multiple countries need to ensure highly participatory and country-driven designs and approaches. Simply holding multiple stakeholder consultation meetings is not sufficient; the process must be truly stakeholder owned and driven. In addition, extensive analysis must be conducted to assess technical as well as operational risks, and to appropriately analyze barriers. Such analysis is particularly necessary in the context of a regional approach where project participants are separated geographically and there is not regular face-to-face communication. While regional project design periods should not be unnecessarily extended, significant time may be required to ensure a satisfactorily participatory design process to build and secure stakeholder ownership in multiple countries. Data collected during the evaluation indicated that regional projects did not always reflect the priorities of each individual country participating in the regional initiative. A one-size-fits-all regional approach may not apply to the OECS situation, where institutional and technical capacities are not uniform across six countries. National ownership of regional projects may be limited to those stakeholders who are actually involved in the day-to-day implementation of the regional project.

There are some indications that this process may be improving in regional projects now in the design phase; there are also some positive historical examples, such as the IWCAM project, which

is now benefiting from strong stakeholder ownership in the implementation process. However, multiple regional projects currently under implementation have faced challenges and required restructuring. The progress made in this area notwithstanding, this is a critical issue that directly links to project success and sustainability, and must continue to be emphasized—particularly for SIDS regions, where regional projects have been common, and extra effort may be required to comprehensively engage stakeholders in all participating countries.

Regional projects in the OECS demand strong coordination and communication across geographic, national, and institutional boundaries. Effectively engaging a wide range of stakeholders with varying capacities can be a resource-intensive exercise. The OECS states participate in a number of regional projects, including some with national components. Often, these components are executed by the same national agencies whose absorptive capacities are already limited. Project funding to strengthen national capacities to meet the rigorous GEF and GEF Agency operating procedures often is similarly limited. During project design, in an attempt to come up with counterpart financing, inadequate consideration is given to identifying appropriate project financing for sourcing capacities for national-level implementation. National activities thus may be compromised and not undertaken in a timely manner.

To secure GEF funding, regional projects must be approved by the governments of the participating states, and regional approaches must reflect adequate national relevance and ensure national engagement. Ensuring motivation and ownership of regional projects requires investments at the national level so participating countries and national agencies can see funds being channeled

for local, site-specific activities designed in close collaboration with local stakeholders and intended to show tangible results. Some recent regional GEF projects have included national demonstration activities. The OPAAL project is financing demonstration sites in each of the six participating countries, and the IWCAM project has three demonstration sites in the OECS region. These projects have demonstrated that an effective approach to this issue is the inclusion of tangible, on-the-ground, national-level activities that contribute to the objectives of the regional approach. Such activities should be included in future regional projects to enhance national relevance and ownership.

It is therefore recommended that regional projects with a multicountry focus ensure highly participatory and country-driven designs and approaches, and include tangible on-the-ground components. By so doing, stakeholder ownership of the process and results can be ensured, and the capacity limits of national stakeholders to be engaged in project execution adequately assessed. Stakeholders should ensure that adequate resources are provided for efficient and effective project implementation aimed at achievement of results, rather than ending up with short-handed efforts that consume resources while failing to achieve desired objectives. Resources for efficient and effective project implementation should not be limited to some arbitrary standard, but should be based on the principle of cost-effectiveness relative to the coordination and communication demands required by regional project implementation arrangements.

Regional projects for SIDS have potential benefits, and certain environmental issues lend themselves easily to regional approaches, such as the management of marine resources and issues related to interstate commerce. OECS countries are moving

toward harmonized policy approaches on environmental issues, as called for in the St. George's Declaration of Principles for Environmental Sustainability in the OECS. Highly technical issues such as biosafety and climate change monitoring and adaptation are also better suited to regional approaches since national capacities and institutions are limited. Capacity building, training, and the formulation of frame policies and legislation are activities that can be more cost-effective if offered through regional mechanisms. In addition, regional projects include the potential for reduced transaction costs and efficient implementation arrangements in terms of the number of institutions interacting with the GEF Agency (although efficiency gains are not guaranteed).

To further extend the findings of this evaluation, the GEF Evaluation Office may consider further investigating and analyzing the communication and coordination resource requirements of regional or global projects as compared to nationally based projects. The GEF Council and GEF Secretariat currently hold all projects to the same management cost benchmarks, even though management and coordination requirements likely can vary significantly depending on the nature of the project implementation approach.

Recommendation 2: Provided cost-effectiveness is ensured and risks have been fully assessed, OECS countries should be supported in their efforts to increase the scope for national projects with their System for Transparent Allocation of Resources (STAR) allocations.

To date, the GEF national portfolio in the OECS region has primarily consisted of enabling activities, with only two national-level MSPs or FSPs: the completed Grenada Dry Forest Biodiversity Conservation MSP, and the Antigua and Barbuda Sustainable Island Resource Management Mechanism FSP currently under implementation. Also

under implementation are a set of land degradation MSPs undertaken as part of a larger umbrella project. These national projects have faced certain challenges, but have also shown some strong results—a pattern of performance consistent with the OECS portfolio of regional projects. Through the extensive number of GEF-supported enabling activities and experience gained with national demonstration activities, OECS project management and implementation capacity have been strengthened. Stakeholders interviewed felt that after 10 years of undertaking enabling activities and participating in regional projects, national institutions are well prepared to implement national-level FSPs and MSPs, following Antigua's positive example.

As highlighted at various points in this evaluation, regional projects are a valuable modality, and are particularly relevant for transboundary issues or issues requiring extensive technical capacity. On the other hand, the development and implementation of national projects presents the opportunity for strengthened focus on national priorities, strong country ownership, stakeholder participation, national institution capacity strengthening, and impact-level results. During the evaluation, government stakeholders indicated plans for the use of STAR allocations through national projects under GEF-5. The evaluation found that this move should be supported by the GEF Secretariat and, in particular, by the GEF Agencies, which, in the absence of a GEF “direct access” modality for MSPs and FSPs, serve as the direct intermediaries between the countries and their access to GEF funding. While stakeholders in the OECS region should be supported in any well-developed nationally focused proposals, all GEF project concepts must have adequate risk assessments, ensure cost-effectiveness, and be appropriately scaled to the national context.

Recommendation 3: GEF support in the OECS region should include adequate attention for the capacity of environmental civil society organizations at the systemic and institutional levels.

GEF support frequently focuses on national institutions that have legal mandates to safeguard and manage a country's environmental resources. However, effective management of these resources requires the participation and engagement of a wide range of stakeholders, including private sector and civil society actors. Civil society participation is critical and can fulfill diverse roles, including watchdog, capacity developer, and data provider. Furthermore, civil society organizations play an important role as a public educator in terms of raising public awareness on environmental issues. All of these activities provide necessary support to government agencies tasked with protecting their nation's environmental resources.

The evaluation confirmed the general perception that, with a few exceptions, civil society in the environmental sector in the OECS region has limited institutional capacity to become effectively engaged; moreover, the systemic conditions are not in place to facilitate the fulfillment of their role. The number of environmentally focused civil society organizations in the region is limited; those that do exist have few human, technical, and financial resources. In addition, there is no effective regional civil society network to support and reinforce the capacities of the individual organizations. This issue is particularly relevant in the context of the GEF SGP at the community level, although it is also a concern at the national and regional levels.

Through the GEF's Capacity Development Initiative, the OECS countries have undertaken NCSAs, identifying and documenting national capacity gaps in relation to implementation of the Rio conventions. Current GEF project preparation

requirements request references to NCSAs, which should inform future programming and ensure that areas identified are targeted for support.

To National Governments

Recommendation 4: In countries where public sector environmental agencies have inadequate institutional capacities, modalities should be explored that will ensure stronger engagement of national stakeholders—including civil society—beyond the focal point mechanism.

The GEF's primary structure for formal engagement with national-level stakeholders is through designated national political and operational focal points. Most national GEF focal points undertake some form of coordination of GEF-related activities at least within the government, but communication is frequently informal, and may not involve all relevant national stakeholders, even within government institutions. In several OECS member states, there is no institutionalized mechanism for formal interaction between the GEF focal point and the relevant convention focal points (although in some cases these may be the same person). Few OECS countries have structured national coordination mechanisms for environmental issues, or these mechanisms may not be fully functional.

A potential lack of broad consultation with and dissemination of information to national stakeholders is one weakness of the GEF focal point mechanism, which places a significant burden on a lone individual serving as the single point of information flow between the GEF network and national stakeholders.

It is recommended that modalities be explored that will ensure stronger engagement of national stakeholders beyond the focal point mechanism. One option could be to broaden the GEF partnership at the national level to a multisectoral GEF

national council or steering committee chaired by a decision maker in the relevant ministry, such as the permanent secretary or GEF focal point, as appropriate. The creation of new mechanisms should be avoided when possible; some countries already have national coordination mechanisms that could be leveraged. Most GEF projects institute national steering committees, and the creation of a standing GEF steering committee that could provide guidance on GEF matters in the country as a whole could reduce redundancy and enhance efficiency. Flexible arrangements would be critical in meeting the varying needs and institutional circumstances of individual countries, as environmental conservation and management do not fall under the same line agency in all countries.

To the Small Grants Programme Steering Committee

Recommendation 5: As the SGP shifts from subregional to nationally based programs, resources should be allocated to ensure support from the subregional node at least during the transition period.

Antigua and Barbuda, Grenada, St. Lucia, and St. Vincent and the Grenadines are transitioning their SGP involvement to national programs with a full-time national coordinator. As highlighted in Conclusion 12, this transition presents both

opportunities and a need to be managed. Previous SGP experience globally and the specific circumstances of the OECS region indicate that, even with the establishment of nationally based programs, the countries will likely rely on the UNDP Barbados office for administrative support, as they do not have their own UNDP country offices. Dominica's experience illustrates that adequate support is critical for the effective and efficient ramp-up of the program. The SGP regional office provides training for national coordinators on SGP requirements. It is vital that the SGP continue its funding of high-quality projects in a manner consistent with GEF SGP policies and procedures. The subregional office will be able to provide support on knowledge management, lessons and good practices, external communications (including the program website), and resource mobilization. The SGP and GEF Secretariat should ensure that the resources are available to facilitate this crucial support, and that the subregional office has the mandate to provide this support. The subregional office should strategically plan to assist the OECS countries in ramping up their national programs, and be prepared to provide support on critical issues such as eligibility for GEF funding and monitoring, reporting, and evaluation. Further streamlining of administrative procedures may be needed to facilitate efficient program management and reporting of results at the subregional level.

2. Evaluation Framework

This chapter presents background information, objectives, and methodology related to and used in the GEF Evaluation Office OECS Cluster CPE.

2.1 Background

At the request of the GEF Council, the GEF Evaluation Office conducts CPEs every year. The overall purpose is twofold:

- To evaluate how GEF-supported activities fit into national strategies and priorities, as well as with the global environmental mandate of the GEF
- To provide the Council with additional information on the results of GEF-supported activities and how these activities are implemented

Countries are selected for portfolio evaluation from among 160 GEF-eligible countries, based on a stratified randomized selection and a set of strategic criteria. In fiscal year 2011, three CPEs have been launched in the Latin America and the Caribbean region, including one in a cluster of six GEF beneficiary countries that are members of the OECS (Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines), one in Nicaragua, and one in Brazil. This report covers the OECS Cluster CPE. The conclusions and recommendations from these CPEs are synthesized in a single

report, the *Annual Country Portfolio Evaluation Report 2012*, which was presented to the Council at its June 2012 meeting.

As stated in the terms of reference (annex A), the OECS countries were selected for a cluster approach primarily because regional projects are a predominant modality of GEF support in these countries, affording the evaluation with an excellent opportunity to assess the real impact of this GEF modality at the country level. In addition, SIDS have been given a preferential selection criterion in the CPE workplan for GEF-5. The evaluation further focused on regional projects in which all six OECS countries were involved.

The OECS countries face numerous challenges unique to SIDS and to their geographic position in the Caribbean, such as a lack of economies of scale in infrastructure, institutions, and markets; and vulnerability to natural disasters such as hurricanes. As with many SIDS and least developed countries, they also face a disproportionate risk to climate change impacts, such as rising sea levels.

2.2 Objectives and Scope

Based on the overall purpose of the GEF CPEs and the specific terms of reference for this evaluation, the evaluation of GEF support to OECS countries had the following objectives:

- Independently evaluate the **relevance and efficiency** of GEF support in the OECS countries from several points of view: national environmental frameworks and decision-making processes, the GEF mandate and the achievement of global environmental benefits, and GEF policies and procedures
- Assess the **effectiveness and results** of completed projects aggregated at the focal area
- Provide **additional evaluative evidence** to other evaluations conducted or sponsored by the GEF Evaluation Office
- Provide **feedback and knowledge sharing** to (1) the GEF Council in its decision-making process to allocate resources and to develop policies and strategies; (2) OECS countries on their participation in, or collaboration with, the GEF; and (3) the different agencies and organizations involved in the preparation and implementation of GEF-funded projects and activities

The OECS evaluation will also be used to provide information and evidence to other evaluations being conducted by the GEF Evaluation Office. The performance of the GEF portfolio in the OECS countries is assessed in terms of relevance, efficiency, and effectiveness, and the factors contributing to its performance. The OECS Cluster CPE analyzes the performance of individual projects as part of the overall GEF portfolio, but without assessing individual ratings. CPEs do not attempt to evaluate or rate the performance of the GEF Agencies, partners, or national governments.

The main focus of this cluster CPE is the national projects and regional projects implemented with participation from at least one OECS country (these are listed in annex E). Some regional projects involving OECS countries also include many other countries in the Caribbean; some are focused only on OECS countries. For those regional

projects involving many non-OECS countries, a full assessment of the projects' aggregate results, relevance, and efficiency was beyond the scope of this cluster CPE; the evaluation focused only on the activities carried out in the OECS countries. Several significant regional projects in the portfolio are in the final stages of approval or early stages of implementation (e.g., Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems and Testing a Prototype Caribbean Regional Fund for Wastewater Management); these projects were only reviewed for their relevance and other aspects related to design, but were not assessed with respect to results and sustainability.

2.3 Methodology

Each chapter begins by listing the key evaluation questions that guided the cluster CPE. These questions are contained in the terms of reference (annex A) and in the evaluation matrix (annex B). The matrix presents a proposed list of indicators or basic data, potential sources of information, and methodological components to be used in answering the key evaluation questions. The indicators were derived from project documents and other GEF documentation, including the STAR, as well as any appropriate and available national sustainable development and environmental indicators. Chapters 5, 6, and 7 discuss the three main areas of the evaluation—the effectiveness, relevance, and efficiency, respectively, of GEF support.

The OECS Cluster CPE was conducted between January and August 2011 by an evaluation team comprised of staff from the GEF Evaluation Office and consultants with a combination of extensive knowledge of the Caribbean's environmental sector and of GEF programs. The approach includes multiple components using a combination of qualitative and quantitative data collection

methods and standardized analytical tools. Qualitative sources of data included the following:

- **At the project level**, project documents, project implementation reports, terminal evaluations, terminal evaluation reviews, reports from monitoring visits, and technical documents produced by projects
- **At the country level**, national sustainable development agendas, environmental priorities and strategies, GEF-wide focal area strategies and action plans, and global and national environmental indicators
- **At the GEF Agency level**, country assistance strategies and frameworks and their evaluations and reviews
- **Evaluative evidence** from the GEF Evaluation Office and other portfolio-level evaluations, including those related to the Biosafety Evaluation, the joint UNDP-GEF SGP Evaluation, the Evaluation of the GEF Activity Cycle, and overall performance studies
- **Interviews with GEF stakeholders**, including the GEF focal points and persons from all other relevant government departments, bilateral and multilateral donors including the World Bank, civil society organizations and academia (including both local and international NGOs with a presence in OECS countries), GEF Agencies (the Inter-American Development Bank [IDB], UNDP, UNEP, and the World Bank), SGP, and the national convention focal points
- **Interviews with GEF beneficiaries** and supported institutions, municipal governments and associations, and local communities and authorities
- **Field visits** to selected project sites
- Information from **national consultation workshops**

The quantitative analysis used indicators to assess the efficiency of using projects as the unit of analysis to evaluate the time and cost of preparing and implementing GEF support. Available statistics and scientific sources were also used.

The evaluation team used standardized analysis tools and project review protocols for the CPEs and adapted these to the OECS context. A member of the evaluation team visited each of the OECS countries to conduct in-person interviews (annex C) and project field site visits. Two field ROTI studies were conducted, one of a regional FSP in international waters implemented through the World Bank and another of a national MSP in biodiversity which was also implemented through the World Bank. Projects were selected for ROTI studies through a set of criteria, foremost of which was that the projects had been completed for at least two years.

A triangulation analysis was undertaken by comparing data collected from each of the methodological elements to synthesize answers to the key evaluation questions (GEF EO 2010a). Based on this analysis of the evaluative evidence, the evaluation team produced the preliminary findings, which were summarized in an aide-mémoire that was distributed to stakeholders for factual correction and identification of additional evaluative evidence. Stakeholder comments on the aide-mémoire, received in writing and at the consultation workshop held on May 31, 2011 (see annex D for a list of participants), were taken into account in finalizing the conclusions and recommendations contained in this cluster CPE report. Despite inconsistencies, gaps, and discrepancies contained in data at the start of the evaluation, the evaluation team has attempted to establish a clear and reliable set of data on projects and project implementation.

2.4 Limitations

The following limitations were taken into account and addressed wherever possible while conducting the evaluation:

- CPEs are challenging, as the GEF does not as yet establish country programs (or regional programs) that specify expected achievement through programmatic objectives, indicators, and targets. This constraint was highlighted in the evaluation of the terms of reference and remains a challenge.¹
- Attribution is another area of complexity, and one that was also foreseen in the terms of reference. The evaluation does not attempt to provide a direct attribution of development and even of environmental results to the GEF, but instead assesses the contribution of GEF support to overall achievements.
- Evaluating the impacts of GEF-funded initiatives is not straightforward. Many projects do

¹ Voluntary national portfolio formulation exercises (NPFs) were introduced in GEF-5. CPEs that will be conducted in countries that have chosen to do an NPF will use it as a basis for assessing the aggregate results, efficiency, and relevance of the GEF country portfolio.

not, for example, possess reliable monitoring information for key indicators to measure biodiversity and climate change outcomes and impacts. Additionally, for some older projects, staff turnover and institutional memory were constraints. This evaluation sought to overcome these difficulties by drawing on multiple data sources, including internal project documentation dating from the time of project implementation.

- Taking a regional approach to the evaluation was logistically challenging, with activities for many of the regional projects carried out across multiple countries, involving a large number of stakeholders. In addition, the evaluation was required to handle six sets of all factors—six sets of national environmental policies and priorities, six sets of government stakeholders including GEF focal points, six sets of national environmental circumstances, etc. The OECS countries are often grouped together for efficiency and synergy (for example, in the World Bank OECS Country Assistance Strategy), but this evaluation found that, while some synergies may be found, focusing on this regional grouping is much more complex than just focusing on a single country.

3. Context of the Evaluation

This chapter briefly summarizes the context for the evaluation in terms of both the environmental framework of the OECS countries, and the mandate and operations of the GEF.¹

3.1 OECS Region: General Description

The OECS is comprised of nine nations—six independent and three British Overseas territories.² The OECS countries are strung along the southeast edge of the Caribbean Sea and are part of the Lesser Antilles chain of Caribbean islands (figure 3.1).

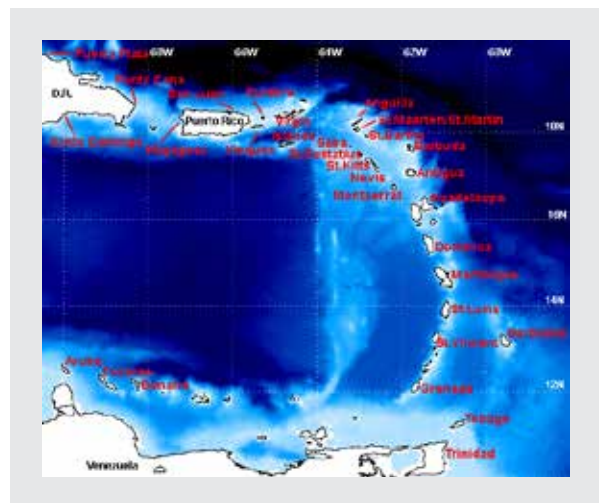
Economic integration among the OECS member states has been deepened through the maintenance of a common currency, and the establishment of the OECS Supreme Court and the Eastern Caribbean Civil Aviation Authority, among others. Member states marked another milestone in their integration process in January 2011 when the Revised Treaty of Basseterre Establishing the OECS Economic Union went into force. The treaty establishes the OECS Economic Union,

¹ An extended account of the country context, the global environmental benefits, and the environmental legal framework is included in volume 2 of this report.

² GEF activities in the OECS region extend to the six independent countries only.

Figure 3.1

Map of the Eastern Caribbean



Source: http://stormcarib.com/climatology/ECAR_map_bathy.htm.

making possible the creation of a single financial and economic space within which goods, people, and capital can move freely; monetary and fiscal policies are harmonized; and countries continue to adopt a common approach to trade, health, education, and the environment, as well as to the development of such critical sectors as agriculture, tourism, and energy.

Socioeconomic Review

The OECS countries face special development challenges because of their small size and

vulnerability to natural disasters and other external shocks. With an overall small population, institutional capacity is limited and per capita costs of basic social and infrastructure services are high. Hurricanes and floods regularly reverse economic gains by destroying infrastructure and disrupting key economic activities, such as agriculture and tourism. Table 3.1 provides a breakdown of geographic and socioeconomic statistics by country in the OECS region.

Most of the OECS islands have historically promoted monocropping in agriculture, relying on preferential trade arrangements, which now face certain, albeit phased, dismantling as a result of World Trade Organization rulings. Susceptibility to external shocks is therefore a key factor underlying the substantial income/consumption volatility to which Eastern Caribbean countries and households are subject—and which is significantly higher than international experience.³

³ This volatility, in turn, contributes to continuing income poverty among about a third of the region's households, despite the relatively good social indica-

The most important productive sectors in the Eastern Caribbean economy are agriculture, construction, manufacturing, and tourism. International financial and business services are also important contributors to gross domestic product (GDP). According to the World Travel and Tourism Council, tourism is the major foreign exchange earner in the region, accounting for 20 percent of foreign exchange earnings and about 12 percent of total employment (2007 data). However, tourism is no less vulnerable than agriculture to external shocks. Heightening this vulnerability is the threat posed by climate change and associated sea level rise, compounded by increased hurricane occurrence and damaging storm surges. This issue is of great concern, since the tourism industry infrastructure in all the islands is concentrated almost exclusively along the narrow coastal zone which

tors exhibited by the region. With reference to the data presented in table 3.1 and depending on the country, between 12 percent (Antigua and Barbuda) and 38 percent (St. Vincent and the Grenadines) of the region's population lives in absolute poverty. Income inequality in the region is also relatively high.

Table 3.1

OECS Socioeconomic and Geographic Statistics by Country

Item	Antigua and Barbuda	Dominica	Grenada	St. Kitts and Nevis	St. Lucia	St. Vincent and the Grenadines
Population	85,536	73,193	105,552	49,190	169,960	109,117
Population growth (% 2002–08)	1.3	0.5	0.3	0.9	1.1	0.2
Urban population (% of population, 2002–08)	30.5	73.9	30.8	32.3	27.8	47.0
GDP (\$ million)	1,224	364	679	546	987	600
Per capita GDP (PPP)	21,323	8,696	8,541	16,160	9,907	9,155
Population below national poverty line (%)	18	33	38	23	28	38
Area (km ²)	442	750	345	269	616	318
Public/private land tenure (%)	42/56	40/60	10/90	78/22	—	47/53

Sources: See volume 2. Data on public/private land tenure are from FAO/World Bank Cooperative Programme 2005 for all countries but Dominica; Dominica's data are from Government of Dominica 2001a.

Note: — = not available; GDP = gross domestic product; PPP = purchasing power parity.

is vulnerable to storm surges and saltwater intrusion. Limited land space due to mountainous terrain has also resulted in flat arable lands and lands for other development purposes being confined to this same coastal zone.

The debt level continues to be unsustainable at 89.5 percent of GDP, raising serious concerns about the fiscal solvency of several OECS countries (UNECLAC 2009). The small size of the OECS countries and their consequent lack of economic diversity make them potentially vulnerable to natural disasters and to changes in the economic environment. It is also worth mentioning that while all six are middle-income countries, three—Antigua and Barbuda, Grenada, and St. Kitts and Nevis—are also among the 10 most indebted emerging market economies (UNECLAC 2005).

OECS governments are faced with a dilemma: how to pursue sustainable human development within a context of poor resource endowment, harsh internalities and externalities, low rates of economic growth, weak institutional capacity, and the rising expectations of a burgeoning youthful population.

GEF Global Environmental Benefits Index for OECS Countries

Table 3.2 shows the Global Benefits Index calculations for OECS countries, according to the most

recent revision to the methodology for the index available at that time (April 2011). As a group, the OECS countries are considered to have modest potential global environmental benefits contributions; none are considered to contribute more than 0.12 percent of the total global index for either biodiversity or climate change, and no more than 0.28 percent for land degradation. With 144 countries making up the Global Benefits Index, each of the OECS countries are underweight in each of the focal areas. Even when considered as a single unit, the OECS countries are collectively still underweight in the biodiversity and climate change focal areas (0.42 percent and 0.00 percent, respectively, compared to the global per country average of 0.72 percent⁴) but overweight for land degradation, with a regional total of 1.15 percent. The most significant aspect related to climate change for the OECS countries is not their relative contribution to greenhouse gas (GHG) emissions, but their severe vulnerability to its effects.

On average, in GEF-5, the OECS countries received only slightly above the minimum floor-level allocation of \$4.0 million (\$1.5 for biodiversity, \$2.0 for climate change, and \$0.5 for land degradation; table 3.3). While at the country level, this is much less than the allocations for regional neighbors such as Cuba (\$17.03 million) and

⁴ Based on an index total of 139 countries, when considering the OECS countries as a single entity.

Table 3.2

OECS Countries' Percentage Share of Total Global Benefits Index

Global Benefits Index	Antigua and Barbuda	Dominica	Grenada	St. Kitts and Nevis	St. Lucia	St. Vincent and the Grenadines
Biodiversity	0.07	0.08	0.05	0.01	0.12	0.09
Climate change	0.00	0.00	0.00	0.00	0.00	0.00
Land degradation	0.23	0.07	0.28	0.23	0.19	0.15

Sources: GEF Secretariat 2008a, 2008b.

Jamaica (\$8.89 million) these resources are not insignificant in the context of the OECS countries. As a point of reference, the estimated 2010–11 budget for Dominica’s Ministry of Environment, Natural Resources, Physical Planning and Fisheries was \$9.7 million; the 2010 budget for Antigua and Barbuda’s Ministry of Agriculture, Lands, Housing and Environment was \$7.9 million; and the 2011 budget for Grenada’s Ministry of Environment, Foreign Trade, and Export Development was \$5.6 million.⁵

OECS Biodiversity Global Environmental Benefits Values

The OECS countries have a rich heritage of biological diversity, both terrestrial and marine. Figure 3.2 provides a glimpse of some of these unique species. These small island ecosystems have, however, been significantly altered since the arrival of European ships approximately 400 years ago. Land use change for agriculture (particularly sugar cane) has been a major influence, and nonnative species introduced intentionally or inadvertently have taken a significant toll on the islands’ original biological wealth. Threats

to ecosystem extent and integrity are intense: the Caribbean as a whole now maintains only 11.3 percent of its original habitat (Government of Antigua and Barbuda 2010). Nevertheless, even if diminished, biodiversity among ecosystems and species remains impressive—although it should be pointed out that much biological data are out of date and incomplete.

The region’s principal ecosystems include coral reefs, seagrass meadows, mangroves, sandy and rocky beaches, offshore islets, dry and humid tropical forests, wetlands, and tidal flats, as well as extensive karst and volcanic areas with their distinctive biodiversity associations. With respect to ecosystems, although there are significant individual differences, most of the OECS countries are characterized by low-lying sloping coastal plains around a central massif, and are ringed with rocky cliffs, sandy beaches, and mangrove swamps. Table 3.4 provides a summary of some key metrics associated with ecosystems in the OECS region by country. Among terrestrial and freshwater species, each of the OECS countries has more than 1,000 higher plant species and more than 150 bird species. Between 5 and 10 species of marine mammals frequent the waters of each of the OECS countries, including multiple species of whales and dolphins. Four species of marine turtles are found throughout the islands: hawksbill, green, leatherback, and loggerhead.

⁵See www.dominica.gov.dm/cms/?q=node/1402, www.gov.gd/egov/docs/budget_speech/budget2011.pdf, www.ab.gov.ag/gov_v4/article_details.php?id=64.

Table 3.3

GEF-5 Resource Allocations for OECS Countries, by Focal Area

million \$

Focal area	Antigua and Barbuda	Dominica	Grenada	St. Kitts and Nevis	St. Lucia	St. Vincent and the Grenadines
Biodiversity	1.5	1.5	1.5	1.5	1.87	1.5
Climate change	2.0	2.0	2.0	2.0	2.0	2.0
Land degradation	0.94	0.5	1.16	0.98	0.86	0.71
Total	4.44	4.00	4.66	4.48	4.73	4.21

Figure 3.2

Biodiversity of the OECS Region



Dominica's Imperial Amazon (*Amazona imperialis*). © Paul R. Reillo, Ph.D./Rare Species Conservatory Foundation, www.rarespecies.org.



Top: Antigua's endemic racer snake (*Alsophis antiguae*), Flora and Fauna International; bottom: St. Lucia's endemic whiptail lizard (*Cnemidophorus vanzoi*) © M. Morton/Durrell.



Green turtle (*Chelonia mydas*) (right) and hawksbill turtle (*Eretmochelys imbricata*) (left), Government of St. Kitts and Nevis (2004).

OECS Climate Change Global Environmental Benefits Values

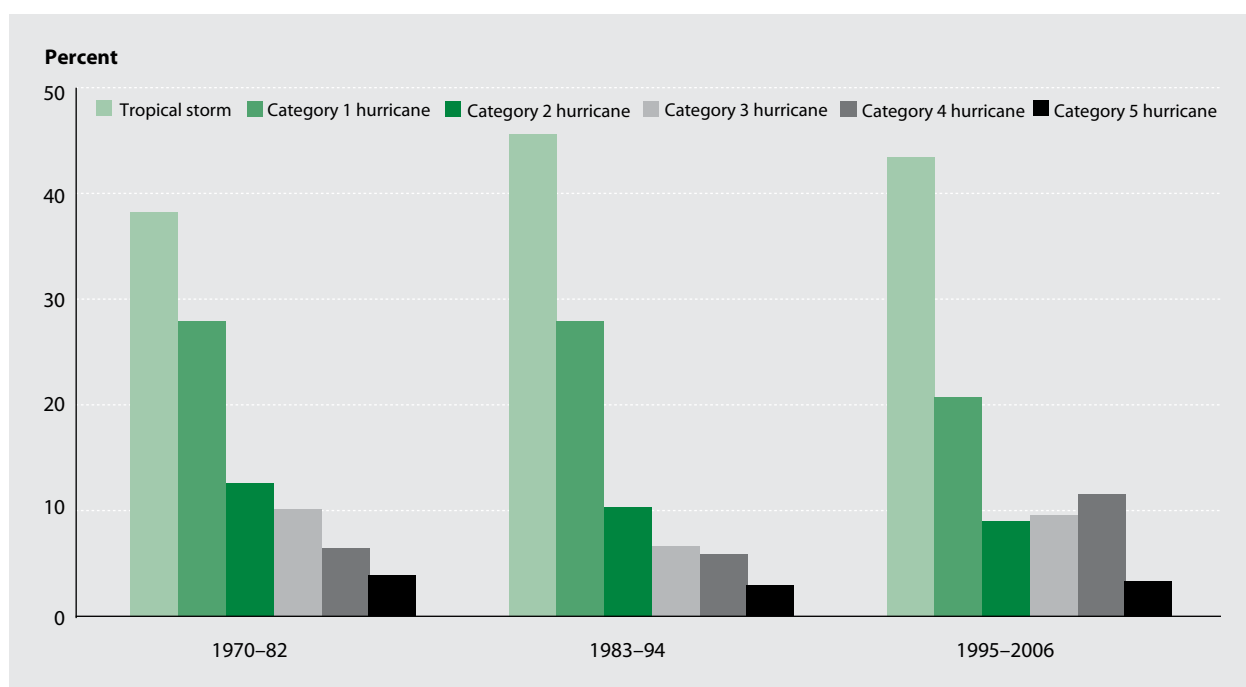
In the OECS region, climate has now become an important driver of environmental change, especially through projected warming sea temperatures, sea level rise, shifts in precipitation patterns, and increases in the occurrence of extreme

climatic events. Climate data indicate that, since 1995, there has been an increase in the intensity and distribution of more intense hurricanes in the Caribbean (figure 3.3).

Climate variability, as manifested by changing and unpredictable weather patterns, already

Table 3.4**Summary Environmental Profile of the OECS Region**

Feature	Antigua and Barbuda	Dominica	Grenada	St. Kitts and Nevis	St. Lucia	St. Vincent and the Grenadines
Area (km ²)	442	750	345	269	616	318
Coastline (km)	289	152	251	78	166	264
Claimed marine exclusive economic zone (km ²)	102,867	24,917	20,285	20,400	11,483	32,320
Agricultural land (% of land area, 2007)	32	31	38	38	33	26
Forest area (% of land area, 2007)	21.4	61.3	12.1	20.4	27.9	27.4
Land protected area (%)	0.4	22.17	6.24	5.53	13.17	16.75
Coral reef area (km ²)	180–240	47–100	131–160	160–180	90–160	131–140
Marine protected area (%)	0.11	0.02	0.09	0.26	0.19	0.11

Figure 3.3**Intensity Distribution of North Atlantic Tropical Storms/Hurricanes, 1970–2006**

Source: Dellarue 2009.

represents a major challenge for planners in the Caribbean (Smith 2007). Climate change–related disasters such as storms, hurricanes, floods, and droughts have devastating effects on the OECS countries, as entire islands are adversely affected

ecologically, economically, and socially, sparing no sector from their direct or indirect impact. There is no safety net or unaffected area or sector that can cushion the adverse impact of climate-related disasters.

The total impact from Hurricane Tomas represents 43.4 percent of St. Lucia's GDP—nine times its agricultural GDP, three times its tourism GDP, 62 percent of exports of goods and services, 19 percent of its gross domestic investment, and 47 percent of its public external debt. —UNECLAC 2010

Although the OECS islands of the Caribbean are marked by nuanced differences that define the social, economic, and political fabric of each individual country, there are broad similarities that make the islands, as a collective, vulnerable to the risks and impacts of climate change. The implication and impact of climate change on these island nations is not simply physical but inherently tied to their economic and social viability. The deterioration in coastal environments—for example, through beach erosion and coral bleaching—are affecting local resources such as the fishing industry as well as directly affecting the value of the tourism industry. Sea level rise is resulting in an increase in storm surge inundation area, flood water height, and wave damage (figure 3.4), in turn resulting in enhanced levels of erosion and specific event impacts that threaten vital infrastructure, settlements, and facilities supporting the livelihood of most OECS communities. Climate variability as a consequence of climate change will also affect all other sectors such as health, settlements, physical planning functions, water resources, watersheds, and forests. The impacts on the use of land resources will become a key determinant in building resilience to the impacts of climate change.

Concern about the future of OECS economies in the context of the risks posed by climate change is a legitimate one. It is not simply based on unfounded fears, but born from experience with current patterns and consequences of climate

Figure 3.4

Damage Caused by Sea Level Rise in Dominica and St. Lucia



Source: UNECLAC 2004, Section A2.

Note: Roseau shoreline during Hurricane Lenny and extensive erosion along the west coast of St. Lucia after Hurricane Lenny.

variability, as well as from observational records and climate model projections. The Intergovernmental Panel on Climate Change concludes that small islands, including those in the Caribbean, face some of the highest levels of threats and risks from climate change and hence should focus on enhancing their resilience and implementing appropriate adaptation measures as a matter of urgency (IPCC 2007, chapter 4).

Each of the islands of the OECS is simultaneously confronted with other social, political, economic, and physical stresses that make adaptation an intrinsically challenging and complex task.

Investment in essential adaptation and mitigation measures will involve the reallocation of already scarce resources away from economic development and poverty alleviation, and will add to already stifling debt burdens.

All of the OECS countries are party to the UNFCCC. Although availability of data on GHG emissions for OECS countries is limited at present, these countries are relatively low-energy-intensity countries, with per capita carbon dioxide emissions ranging from 1.6 metric tons/person (Dominica, and St. Vincent and the Grenadines) to 5.1 metric tons/person (Antigua and Barbuda). The world average is 4.0 metric tons/person (Bauert, Herzog, and Pershing 2005).

Each of the OECS countries submitted its initial national communication (INC) to the UNFCCC Secretariat in the early 2000s, following GEF-supported enabling activities.⁶ These INCs include national GHG inventories, with the baseline year of 1994. For a few of the countries, limited data are available for 1990 or 1997. For the OECS countries, the main sources of carbon dioxide emissions are energy production, transport, and forestry and land use.⁷ Sources of carbon dioxide sinks are also found in the forestry and land use sector; as a whole, the sector is a net sink in each of the countries.

⁶ None of the countries have completed national adaptation plans of action. Three countries (Dominica, St. Lucia, and St. Vincent and the Grenadines) have cabinet-approved national climate change policies and adaptation plans.

⁷ OECS countries do have some sources of other key GHGs, but these are comparatively much smaller. The most significant non-carbon dioxide GHG for OECS countries is methane from agriculture (enteric fermentation and manure management) and solid waste disposal on land.

OECS countries have some potential for renewable energy, particularly wind, solar, and geothermal power. Hydropower has historically been an important contributor to energy generation in some of the countries, such as Dominica. Renewable energy is the focus of the GEF-supported project Caribbean Renewable Energy Development Programme; however, data on actual renewable potential are not currently widely available. There is potential for energy efficiency gains among the OECS countries, though few large-scale energy efficiency initiatives have been undertaken. Energy efficiency, particularly in terms of increased efficiency in energy production, is identified as one of the key opportunities for climate change mitigation efforts in the UNFCCC INCs for the OECS countries.

While OECS countries contribute relatively little to global climate change in terms of their GHG emissions, they are among the most dramatically affected by climate change. The OECS countries have significant climate change vulnerabilities in multiple areas: tourism, water resources, infrastructure, human health, agriculture, environmental quality, and human settlements. Given the size of the OECS countries, a majority of human settlements are located in coastal areas, and consequently vulnerable to sea level rise. The percentage of the population living in coastal areas varies

A report from CARIBSAVE, a partnership between the Caribbean Community Climate Change Centre and Oxford University, estimates that, if sea levels rise by 1 meter, over 110,000 people in CARICOM countries will be displaced from their homes. Many more will be put at greater risk from storm surges, and nearly one-third of major tourism resorts and airports will be threatened.

by country, from about 19 percent in Grenada to 85 percent in St. Vincent and the Grenadines and 90 percent in Dominica; the percentage is about 50 percent in St. Kitts and Nevis and in St. Lucia, and more than 60 percent in Antigua and Barbuda. The bleaching of coral reefs due to warmer ocean waters is of special concern in the region (box 3.1), as is the potential for significant damage from hurricanes with increased intensity, and drought from erratic rainfall patterns.

Foundational steps to assess and respond to climate change vulnerabilities have been undertaken in the regional GEF-supported climate change adaptation projects CPACC, MACC, and SPACC. These projects have attempted to raise awareness about the vulnerabilities of the region to climate change, identify some strategic responses, and pilot a few activities at the national level (such as sea level monitoring gauges).

OECS International Waters Global Environmental Benefits Values

The OECS countries do not share any direct land boundaries with other countries, so international

freshwater resources (rivers, lakes, aquifers) are not relevant in the context of the OECS. The primary international waters resource for OECS countries is the CLME, the focus of a regional \$7.1 million GEF-supported project currently under implementation. As described in the CLME project document, the Caribbean Sea is bounded by Central and South America to the west and south, the Greater Antilles islands to the north, and the Lesser Antilles islands to the east (figure 3.5).

Figure 3.5

The Caribbean Large Marine Ecosystem



Source: University of Texas Libraries, University of Texas at Austin.

Box 3.1

Coral Bleaching Likely in Caribbean

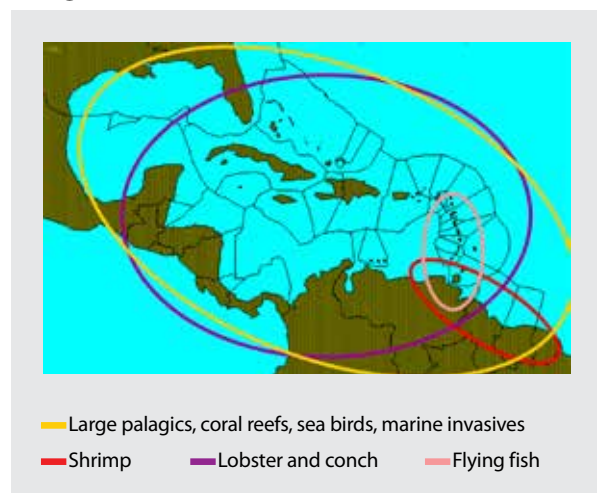
"According to the NOAA [National Oceanic and Atmospheric Administration] Coral Reef Watch monitoring system, coral bleaching is likely in the Caribbean in 2010. With temperatures above-average all year, NOAA's models show a strong potential for bleaching in the southern and southeastern Caribbean through October that could be as severe as in 2005 when over 80 percent of corals bleached and over 40 percent died at many sites across the Caribbean. Scientists are already reporting coral bleaching at several Caribbean sites and severe bleaching has been reported from other parts of the world."

Source: ScienceDaily 2010.

There are numerous shared migratory fish stocks in the region (figure 3.6), and the fishing industry is highly important, including the industrial, artisanal, and recreational sectors. According to the CLME project document, "Overall landings from the main fisheries rose from around 177,000 tonnes in 1975 to a peak of 1,000,000 tonnes in 1995 before declining to around 800,000 tonnes in 2005." Rather than a decline in overall landings, indications of overfishing can be observed through changes in species composition of landings, where species higher in the food chain decline over time. The unsustainable exploitation of fish stocks and other marine resources is a primary transboundary issue in the region.

Figure 3.6

Geographic Ranges for Various Resource Categories in the CLME



Source: www.cavehill.uwi.edu/cermes/CLMEpub/ENG/Brochure_Eng.pdf.

Note: The hypothetical marine territorial boundaries included in the map are not endorsed or otherwise supported by this evaluation; the map is used simply to show the habitat range of the indicated species, as a map without territorial boundaries was not available.

Other key threats to the CLME include pollution (mainly from land-based sources), and near-shore habitat degradation, particularly of mangroves and coral reefs. Land-based pollution comes from multiple sources—poor land use practices, municipal and industrial wastes, and agricultural inputs; pollution hotspots tend to occur around coastal urban areas. Other pollution sources in the region include sewage, erosion (leading to coastal sedimentation), petroleum, and heavy metals.

OECS Land Degradation Global Environmental Benefits Values

The lands of the OECS countries provide numerous critical ecosystem services for the environmental quality of the region and its human inhabitants. Key ecosystem services in the OECS countries are soil productivity (given their limited land base) and water regulation (given the limited freshwater resources on the islands). A reduction

in either of these ecosystem services is immediately identifiable and has significant impacts.

Over the previous three to four centuries, the sugar industry in the OECS countries has had major influences on the state of soil productivity and vegetation cover. As noted in the Antigua and Barbuda National Action Plan (Government of Antigua and Barbuda 2005b):

One result of this was the loss of significant amounts of topsoil from many areas... Recovery from this kind of soil degradation takes place only at geological time scales, and although the worst affected areas are no longer in cultivation, the natural vegetation that has recolonized these areas is much poorer in species composition and accumulated biomass than the original soil cover.

In many cases, though, the original status was not well documented, and thus it is not possible to clearly identify and quantify the full range of effects the sugar industry may have brought about.

St. Kitts and Nevis decided to end sugar production in 2005; this has led to another set of land management questions (figure 3.7). The extensive sugar cane land cover helped stabilize soils (relative to cultivated areas not under sugar cane production). Following closure of the industry on the

Figure 3.7

Lands Once Covered in Sugar Now Degraded



Source: Government of St. Kitts and Nevis 2004.

twin island state, an urgent need exists to identify viable alternatives to stabilize land cover and plan for the future use of such lands.

With many similarities in topography and land use, the land degradation across the OECS countries has many of the same root causes. Driving erosion is poor soil conservation practices in small-scale farming (particularly on sloped areas in times of intensive rainfall),⁸ forest clearing for wood use, inadequate fire management, and overgrazing by or overstocking of livestock including free-ranging and feral animals.⁹ Along coastal areas, erosion is intensified by severe storms. Studies conducted from 1985 to 1995 showed that 70 percent of the beaches monitored eroded; in Antigua and Barbuda, Dominica, Grenada, and St. Kitts and Nevis, beach losses ranged from 0.3 to 1.1 meters per year (Burke and Maidens 2004). Severe storms, which are predicted to increase as a result of climate change, contribute to additional land degradation issues such as landslides (most recently in St. Lucia in late 2010), and floods that exacerbate erosion and sedimentation of coastal areas (as in Antigua and Barbuda in recent years). In Grenada, beach sand mining is a major issue contributing to coastal erosion.

Water pollution is another significant concern, particularly as many of the OECS countries draw the majority of their freshwater from underground aquifers. The primary sources of land-based pollution are residential and urban, rather than industrial. Water and watershed management in general is not adequate across the region; this has

been the focus of the GEF-supported IWCAM project, which is currently under implementation.

Each of the OECS countries has some form of current national physical development plan or other integrated land use planning mechanism; for more information, see section 3.2 and volume 2.

OECS Chemicals Global Environmental Benefits Values

Five of the six OECS countries evaluated (all except Grenada) are party to the Stockholm Convention. For the OECS countries, the United States is (or was historically) the source of many of the POPs chemicals, given the geographical proximity to the U.S. market and POPs producers. Thus, when the United States began limiting production and use of some of these chemicals in the 1960s, 1970s, and 1980s, their use in the OECS countries was also reduced. The United States phased out the use of PCB- (polychlorinated biphenyl) containing transformers in the 1970s, and transformers installed or replaced in the OECS countries since then have most likely been replaced with non-PCB-containing units.

Only three countries have undertaken GEF-supported enabling activities to produce a POPs national implementation plan: Antigua and Barbuda, Dominica, and St. Lucia. Only the national implementation plan reports for Antigua and Barbuda and St. Lucia are available; their national inventories identified limited numbers of POPs chemicals. The greatest risks from POPs are to farmers who have direct and frequent contact with pesticides; and to freshwater systems and soils that receive leaching and runoff from poor chemicals management, including from waste disposal sites. While six technically equipped laboratories exist in St. Lucia, they do not have the capacity or mandate to monitor the release of POPs and other chemicals.

⁸ Insecure land tenure systems contribute to this issue by failing to create incentives for stakeholders to invest in and care for the lands they use.

⁹ For example, there are an estimated 600 free-ranging donkeys on Antigua and Barbuda, respectively.

3.2 Environmental Legal and Policy Framework in the OECS Region

Sustainable Development Framework

The OECS countries have been integral participants in international and regional sustainable development discussions since the Rio Summit in 1992. These countries signaled their commitment to supporting Agenda 21 and to subsequent programs of action, including the 1994 Programme of Action for the Sustainable Development of Small Island States for the implementation of Agenda 21 in the region and the 2005 Mauritius Strategy for the Further Implementation of the Programme of Action for the Sustainable Development of SIDS.

In addition to these SIDS-focused frameworks, the OECS countries are guided by the Johannesburg Plan of Implementation, developed at the 2002 World Summit on Sustainable Development; and are committed to achieving the Millennium Development Goals, which include the reduction of poverty and improvement of environmental sustainability to specific targets by 2015.

International Environmental Agreements

The six countries in the OECS cluster are party to most of the relevant international environmental agreements or conventions. These include the following for which GEF is the designated financial mechanism:

- Convention on Biological Diversity and its Cartagena Protocol on Biosafety
- United Nations Framework Convention on Climate Change and its Kyoto Protocol
- United Nations Convention to Combat Desertification

- Stockholm Convention on Persistent Organic Pollutants
- Montreal Protocol on Substances That Deplete the Ozone Layer

OECS countries are also signatories to United Nations (UN) conventions regarding endangered species, wetlands of international importance, marine pollution, and the movement of hazardous substances. In addition, some OECS countries have signed other international agreements outside of the UN system that deal with environmental issues within the GEF areas of work. One example is the Statute of the International Renewable Energy Agency, which promotes the use of renewable energy. See volume 2, technical document 1, table 1.

Regional Legal and Policy Framework for Environmental Management

In addition to the global international sustainable development initiatives and environmental agreements, the OECS countries participate in a number of Caribbean regional and subregional initiatives. These are identified below and referenced in volume 2, technical document 1, tables 2 and 3.

- **St. George's Declaration of Principles for Environmental Sustainability in the OECS.** OECS countries are committed to a unique environmental charter, specifically developed for these states in 2001—the St. George's Declaration. The OECS Environmental Management Strategy is the framework through which the St. George's Declaration is implemented and provides guidance for national environmental management strategies within each country (OECS 2007). Box 3.2 lists the St. George's Declaration's 21 Principles of Sustainability.
- **Convention for the Protection and Development of the Marine Environment of the**

Box 3.2

The St. George's Declaration of Principles for Environmental Sustainability in the OECS

- Foster improvement in the quality of life
- Integrate social, economic, and environmental considerations into national development policies, plans and programs
- Improve on legal and institutional frameworks
- Ensure meaningful participation by civil society in decision making
- Ensure meaningful participation by the private sector
- Use economic instruments for sustainable environmental management
- Foster broad-based environmental education, training, and awareness
- Address the causes and impacts of climate change
- Prevent and manage the causes and impacts of disasters
- Prevent and control pollution and manage waste
- Ensure the sustainable use of natural resources
- Protect cultural and natural heritage
- Protect and conserve biological diversity
- Recognize relationships between trade and environment
- Promote cooperation in science and technology
- Manage and conserve energy
- Negotiate and implement multilateral environmental agreements
- Coordinate assistance from the international donor community toward the OECS region
- Implementation and monitoring
- Obligations of member states
- Review

Source: OECS 2007.

Wider Caribbean Region. This comprehensive umbrella agreement provides the legal framework for the protection and development of the marine environment. It is the only Caribbean regionwide environmental treaty that protects critical marine and coastal

ecosystems and promotes regional cooperation and sustainable development.¹⁰ The Cartagena Convention is supplemented by the Protocol Concerning Cooperation in Combating Oil Spills in the Wider Caribbean Region (Oil Spills Protocol), which aims to strengthen national and regional preparedness and response capacity of the nations and territories of the Wider Caribbean Region; the Protocol Concerning Specially Protected Areas and Wildlife in the Wider Caribbean Region, which aims to protect, preserve, and manage in a sustainable way areas and ecosystems of special value and threatened or endangered species of flora and fauna and their habitats; and the LBS Protocol, which is a regional agreement for the prevention, reduction, and control of marine pollution from land-based sources and activities in the Wider Caribbean Region.

Environmental Legal and Policy Frameworks in OECS Countries

The international environmental agreements and conventions provide an important framework for action at the national level. However, they do not have direct legal authority in and of themselves and must be locally implemented through national legislation within appropriate institutional structures. Two OECS countries—Antigua and Barbuda and St. Kitts and Nevis—have enacted legislation that provides legal authority to selected international agreements to which they are a party.

The six OECS countries have promulgated numerous laws and regulations that govern aspects of the environment. Correspondingly, a variety of institutions are involved in the implementation, monitoring, and enforcement of this environmental

¹⁰ www.cep.unep.org/.

legislation. This fragmented approach provides an inadequate framework for environmental protection.

All six countries have signed most of the major multilateral environmental agreements, signaling their legislative and institutional commitment to effective environmental management. To satisfy the requirements of these agreements, there has been a steady growth of environmental planning, strategies, and enabling activities within the OECS countries, which have broadened and strengthened the discussion and actions on environmental matters.

Integrative Legislation and Policies

Table 5 in technical document 1 (volume 2) compares the existence of environmental legislation, policies, and plans of the six OECS countries in the GEF focal areas and the ratification of international agreements. It will therefore suffice to note here that St. Kitts and Nevis is the only OECS country to enact legislation for integrative environmental management—the National Conservation and Environmental Protection Act 1987, amended as the National Conservation and Environmental Protection (Amendment) Act 1996 (UNEP 2002). However, three other OECS countries—Antigua and Barbuda, St. Lucia, and St. Vincent and the Grenadines—are currently pursuing integrative environmental legislation.

Biodiversity and Forest Management

Most of the OECS legislation was adopted prior to the CBD and does not include provisions for management of protected areas. To address this and other shortcomings, and to fulfill their commitments under the CBD, new laws, policies, and plans are being created to establish protected areas as part of the legislation review and policy

development within the countries' national biodiversity action plans.

All countries have drafted or enacted various elements of a national biosafety framework due to participation in GEF-supported biosafety activities which have resulted in direct policy or legislative outputs.

Climate Change and Energy

All OECS countries have ratified the UNFCCC and Kyoto Protocol and recognize the importance of establishing a framework for institutionalizing sustainable energy management. The GEF INC activity facilitated the preparation and submission of INCs to the UNFCCC by all six OECS countries except St. Vincent and the Grenadines, which received support from the CPACC project. Dominica, with support provided by a GEF enabling activity for that purpose, and St. Lucia are preparing Second National Communications to the UNFCCC.

Considerable progress has been made at the policy level. The GEF-funded CPACC project enabled implementation of the CARICOM Programme of Adaptation. National climate change policies, strategies, and action plans were developed in Grenada (approved in 2007) (Government of Grenada 2005b; World Bank 2011) and in St. Lucia (approved in 2003) (Government of St. Lucia 2003). In 2002, Antigua and Barbuda developed a policy framework that provides guidelines for the establishment of a policy (Government of Antigua and Barbuda 2002). These strategies all include the incorporation of climate change concerns into national disaster management and response plans.

The CPACC and MACC projects have resulted in an

increased appreciation of climate change issues at the policy-making level... [and have] enabled more unification among regional parties and better articulation of regional positions for negotiations under the United Nations Framework Convention on Climate Change (UNFCCC) and the Kyoto Protocol (CARICOM n.d.).

All six OECS countries have embarked on national energy programs, largely through the EU-funded Caribbean Sustainable Energy Programme implemented by the Organization of American States; these include the development of national energy policies that focus on developing renewable energy as well as on energy conservation and efficiency.¹¹

International Waters

In all six OECS countries, there are various pieces of legislation governing issues such as water, sanitation, and solid waste that affect the quality of the surrounding Caribbean Sea and Atlantic Ocean.

The GEF Wider Caribbean Initiative on Ship-Generated Waste regional project resulted in Grenada and St. Kitts and Nevis ratifying the International Convention for the Prevention of Pollution from Ships during or after the project. All six OECS countries have now ratified the convention. The project also resulted in the adoption of relevant legislation in St. Kitts and Nevis.

Although most OECS countries have signed on to the Cartagena Convention and its protocols, national legislation needs to be revised and updated to meet the requirements of these protocols. One country, Antigua and Barbuda, has begun development of a national sewage management strategy and policy.

¹¹ <http://cipore.org/home/>.

Ozone Depletion

At present there is no legislation specifically related to reduction of ozone-depleting substances (ODS), although Antigua and Barbuda has developed an import/export licensing system, Dominica is in the process of developing ODS licensing regulations, and St. Lucia has established labeling standards for imported equipment that uses ODS.

All six countries have national phaseout plans for ODS and have established national ozone units to oversee implementation of these plans.

Land Degradation

All of the OECS countries have been engaged in the process of developing national land use or development plans. Legislation related to biodiversity and habitat preservation, watershed management, and forest management that serves as de facto laws for the prevention of land degradation is also in place.

Four of the six OECS countries (Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis) have submitted national action plans or programs under their commitment to the UN Convention to Combat Desertification.

Persistent Organic Pollutants

Legislation for POPs is covered somewhat under legislation related to pesticides, agriculture, health, waste management, ports, and so on. Of the five OECS countries that signed the Stockholm POPs convention, only two—Antigua and Barbuda and St. Lucia—have prepared and submitted country national implementation plans facilitated by the GEF national POP-enabling activities. These plans have set the stage for the development or amendment of legislation to provide a more comprehensive legal framework for

the control and management of toxic substances, including pesticides (Government of Antigua and Barbuda 2007; Government of St. Lucia 2006b).

GEF Influence on the Environmental Legal and Policy Frameworks of the OECS Countries

GEF support has been instrumental in enabling the OECS countries to begin activities to fulfill their obligations to the international environmental agreements. This support has facilitated

- ratification of certain conventions and protocols,
- development of plans and work programs to support the conventions,
- preparation of communications and reports to the conventions,
- development of national legislation, and
- development of subsector plans and strategies.

To this end, the GEF has played a part in catalyzing the countries' implementation of their national environmental management strategies and in supporting their commitment to the St. George's Declaration of Principles for Environmental Sustainability in the OECS. Figure 1 in technical document 1 (volume 2) provides a timeline of GEF support in relation to the timing of international agreements and national policies and plans for OECS countries. Similar timelines for each of the individual OECS countries are included in the annex to that document.

Among the OECS countries, the emphasis in environmental legislation is on biodiversity, forest management, and land use as well as international waters, rather than on POPs, ODS, and climate change and energy. This builds on the long-established recognition of the importance of protecting

forestry and wildlife resources (including fisheries) as evidenced by the fact that legislation governing these issues is among the oldest in most OECS countries. The relative lack of legislation and policies regarding POPs and ODS is a result of their comparatively narrow scope; also, OECS countries are not large users or producers of ODS.

With reference to climate change, legislation and policies concerning forest management and land use—which are typically considered under the biodiversity or land degradation focal areas—also contribute to climate change mitigation and adaptation. Regional climate change projects (including the GEF-supported CPACC and MACC projects) have also been instrumental in starting the process within the OECS countries of developing national climate change policies and strategies, which include attention to disaster management.¹² In the area of climate change, the OECS islands joined other countries in the region to create a unified approach to negotiating on the international stage at climate change–related discussions.

The topic of sustainable energy is increasingly receiving attention, primarily driven by economic factors. This emphasis on sustainable energy is being supported by a number of non-GEF regional initiatives, such as the Caribbean Sustainable Energy Programme.

Plans developed by the OECS countries to support their commitment to the international environmental agreements reveal considerable overlap among certain GEF areas of work. For example, plans developed for the UN Convention to Combat Desertification include critical actions for habitat

¹² The GEF-funded SPACC project implemented in Dominica, St. Lucia, and St. Vincent and the Grenadines did not focus significantly on legislation and policy issues.

preservation that are within national biodiversity action plans developed under the CBD as well as reforestation activities as expressed in countries' national communications to the UNFCCC. Nevertheless, the GEF's support of the development of these national plans is important, as they are a prerequisite to implementing the conventions. The heightened attention to and awareness of the issues addressed by these conventions have fostered countries' efforts to ratify and implement international agreements for which the GEF is not the main financial mechanism, such as the Convention on International Trade in Endangered Species, the Ramsar Wetlands Convention, and the Protocol Concerning Specially Protected Areas and Wildlife in the Wider Caribbean Region, and the LBS Protocol.

OECS states have found it difficult to move environmental legislation and regulations from the draft stage to enactment. The GEF's potential role in the finalization and adoption of these laws and regulations cannot be overstated.

3.3 General Description of the GEF

The GEF provides funding to achieve global environmental benefits in biodiversity, climate change, international waters, depletion of the ozone layer, POPs, and land degradation, according to their respective international agreements. GEF activities are carried out through 10 Agencies: the World Bank, UNDP, UNEP, the regional development banks, the Food and Agriculture Organization of the United Nations, the International Fund for Agricultural Development, and the United Nations Industrial Development Organization.

GEF Agencies have direct access to GEF funding through a memorandum of understanding with the GEF.

GEF support modalities include the following:

- Full-size projects, which have funding of more than \$1 million
- Medium-size projects, which have funding of \$1 million or less
- Enabling activities, intended to help countries meet their obligations under the various conventions for which the GEF serves as a financial mechanism; support for developing environmental policies, strategies, and action plans; and support for the formulation of NCSAs
- Project preparation grants (PPGs; formerly known as project development facility [PDF] grants), which provide funding for the preparation and development of projects
- Small grants, which have funding of less than \$50,000, and are directed to NGOs and local organizations; small GEF grants are structured into the SGP administered by UNDP

The GEF officially began with a two-year pilot phase from 1992 to 1994. This was followed by three regular four-year replenishment periods: GEF-1 (1995–98), GEF-2 (1999–2002), GEF-3 (2003–06), and GEF-4 (2006–10). In July 2010, GEF-5 was initiated; it continues through June 2014. Until and including GEF-3 there were no country allocations, and eligible GEF member countries submitted their requests to the various windows through the different GEF Agencies on a demand basis.

4. The GEF Portfolio in OECS Countries

This chapter presents an overview of GEF support to OECS countries in terms of financial resources and number of projects, by type of project, GEF focal area, GEF Agency, and GEF phase.

In previous CPEs, the definition of the portfolio has proved difficult for a number of reasons, including inconsistencies in the information available in the GEF Project Management Information System (PMIS). In the case of OECS countries, information gathered from the PMIS, complemented by that from the GEF Agencies, generally overcame this difficulty. However, for some projects, the team faced issues regarding the availability of some data on dates for project cycle analysis. Others difficulties were encountered because the GEF project cycle changed over time, which affected the efficiency analysis presented in chapter 7.

Determining the allocation to individual participating countries for regional and global projects is a challenge, as GEF grants are allocated for the entire project and not necessarily by country. Allocations under the biodiversity and climate change focal area became clearer with the introduction of the Resource Allocation Framework (RAF), even in regional and global projects.

Despite these caveats, the evaluation estimates that, as of the end of December 2010, OECS

countries had received approximately \$12.32 million for national projects, \$106.44 million for regional projects, and about \$1.60 million for the subregional Small Grants Programme. GEF Agency fees are not included in these figures.¹

4.1 National Projects in the GEF OECS Portfolio

The GEF portfolio among the OECS countries includes 42 national projects, most of which are enabling activities. As tables 4.1 and 4.2 show, the GEF has supported, by focal area, 15 national projects in biodiversity (22.6 percent of total GEF funding for national projects), 12 in climate change (14.6 percent), 7 in multifocal areas (34.0 percent), 5 in land degradation (20.3 percent), and 3 in POPs (8.6 percent).

Eleven enabling activities were financed in GEF-1. In each country, these enabling activities included the preparation of the national biodiversity strategy and action plan and the first national report to the CBD, and the preparation of INCs to the

¹ The regional project total represents all funding allocated to regional projects, in most of which OECS countries participate. The SGP total is an estimate for March 2005–December 2010, which is approximately the period during which the program has been operating in its current form. Additional information on the SGP is presented in chapter 7.

Table 4.1

National Projects in the GEF Portfolio for OECS Countries, 1992–2010

GEF ID	Project title	Focal area	Status	GEF Agency	Modality	GEF support	Cofinancing	GEF phase
						million \$		
Antigua & Barbuda (8)								
42	Clearing House Mechanism Enabling Activity	BD	C	UNDP	EA	0.01	0.00	GEF-2
211	National Biodiversity Strategy, Action Plan and First National Report to COP	BD	C	UNDP	EA	0.14	0.00	GEF-1
326	Enabling Antigua & Barbuda to Prepare its First National Communication in Response to its Commitments to UNFCCC	CC	C	UNDP	EA	0.16	0.00	GEF-1
824	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	CC	C	UNDP	EA	0.10	0.00	GEF-2
1926	Assessment of Capacity Building Needs and Country Specific Priorities	BD	C	UNDP	EA	0.21	0.05	GEF-3
1946	National Capacity Needs Self-Assessment for Global Environmental Management	MF	C	UNEP	EA	0.19	0.07	GEF-3
2033	Enabling Activity for the Stockholm Convention on Persistent Organic Pollutants (POPs): National Implementation Plan for Antigua & Barbuda	POPs	C	UNEP	EA	0.40	0.07	GEF-3
1614	Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State	MF	I	UNDP	FSP	3.00	4.70	GEF-3
Total						4.21	4.90	
Dominica (8)								
256	National Biodiversity Strategy, Action Plan and Report to the CBD	BD	C	UNDP	EA	0.10	0.00	GEF-1
437	Enabling The Commonwealth of Dominica to Prepare its First National Communication in Response to its Commitments to UNFCCC	CC	C	UNDP	EA	0.17	0.00	GEF-1
606	Clearing House Mechanism Enabling Activity	BD	C	UNDP	EA	0.01	0.00	GEF-2
1747	Biodiversity Enabling Activity Add-on: Assessment of Capacity Building Needs and Country-specific Priorities	BD	C	UNDP	EA	0.20	0.00	GEF-3
2036	National Capacity Needs Self-Assessment (NCSA) for Global Environmental Management	MF	C	UNEP	EA	0.20	0.05	GEF-3
2053	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	CC	C	UNDP	EA	0.10	0.00	GEF-3
2727	Enabling Activity for the Stockholm Convention on Persistent Organic Pollutants (POPs): The Development of a National Implementation Plan for the Commonwealth of Dominica	POPs	C	UNEP	EA	0.26	0.07	GEF-3
3460	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management	LD	I	UNDP	MSP	0.50	0.51	GEF-3
Total						1.53	0.63	
Grenada (7)								
470	Development of a National Biodiversity Conservation Strategy,	BD	C	UNDP	EA	0.13	0.00	GEF-1
527	Enabling Grenada to Prepare its Initial National Communication in Response to its Commitments to UNFCCC	CC	C	UNDP	EA	0.18	0.00	GEF-2
815	Dry Forest Biodiversity Conservation	BD	C	WB	MSP	0.72	0.41	GEF-2
1585	Assessment of Capacity Building Needs and Country Specific Priorities	BD	C	UNDP	EA	0.21	0.04	GEF-2
1879	Climate Change Enabling Activity (Additional Financing for Capacity Building)	CC	C	UNDP	EA	0.10	0.00	GEF-3
2065	National Capacity Self-Assessment (NCSA) for Global Environmental Management	MF	C	UNDP	EA	0.20	0.03	GEF-3

(continued)

Table 4.1

National Projects in the GEF Portfolio for OECS Countries, 1992–2010 (continued)

GEF ID	Project title	Focal area	Status	GEF Agency	Modality	GEF support	Cofinancing	GEF phase
						million \$		
3512	LDC/SIDS Portfolio Project: Capacity building and Mainstreaming of Sustainable Land	LD	I	UNDP	MSP	0.50	0.67	GEF-3
Total						2.05	1.14	
St. Kitts & Nevis (6)								
255	National Biodiversity Strategies, Action Plan, and the Report to the Convention	BD	C	UNDP	EA	0.10	0.00	GEF-1
441	Enabling St. Kitts & Nevis to Prepare its First National Communication in Response to its Commitments to UNFCCC	CC	C	UNDP	EA	0.16	0.00	GEF-1
1881	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	CC	C	UNDP	EA	0.10	0.00	GEF-3
2047	National Capacity Self-Assessment (NCSA) for Global Environmental Management	MF	C	UNDP	EA	0.23	0.03	GEF-3
3300	Assessment of Capacity Building Needs and Country Specific Priorities (add on)	BD	C	UNDP	EA	0.18	0.00	GEF-4
3494	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management in St. Kitts	LD	I	UNDP	MSP	0.50	0.51	GEF-3
Total						1.26	0.54	
St. Lucia (7)								
271	Enabling St. Lucia to Prepare its First National Communication in Response to its Commitments to UNFCCC	CC	C	UNDP	EA	0.17	0.00	GEF-1
679	National Biodiversity Strategies, Action Plan, and the First National Report to the Convention on Biological Diversity and Participation in the Pilot Phase of the CHM	BD	C	UNEP	EA	0.17	0.00	GEF-1
991	Assessment of Capacity-building Needs for Biodiversity, Participation in CHM and Preparation of Second National Report	BD	C	UNEP	EA	0.28	0.11	GEF-2
1701	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	CC	C	UNDP	EA	0.10	0.00	GEF-2
1828	National Capacity Self-Assessment (NCSA) for Global Environmental Management	MF	C	UNEP	EA	0.18	0.08	GEF-3
2158	Enabling Activity for the Stockholm Convention on Persistent Organic Pollutants (POPs): National Implementation Plan for St. Lucia	POPs	C	UNEP	EA	0.40	0.11	GEF-3
3500	LDC/SIDS Portfolio Project: Capacity building and Mainstreaming of Sustainable Land Management in St. Lucia	LD	I	UNDP	MSP	0.50	1.04	GEF-3
Total						1.80	1.33	
St. Vincent & the Grenadines (6)								
257	National Biodiversity Strategies, Action Plan, and the Report to the Convention on Biological Diversity	BD	C	UNDP	EA	0.12	0.00	GEF-1
454	Enabling St. Vincent & the Grenadines to Prepare its First National Communication in Response to its Commitments to UNFCCC	CC	C	WB	EA	0.35	0.00	GEF-1
1810	Assessment of Capacity Building Needs and Country Specific Priorities (Add-on)	BD	C	UNDP	EA	0.21	0.18	GEF-3
1911	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	CC	C	WB	EA	0.10	0.00	GEF-3
1977	National Capacity Self-Assessment for Global Environmental Management	MF	C	UNDP	EA	0.20	0.04	GEF-3
3491	LDC/SIDS Portfolio Project: Capacity Building and Mainstreaming of Sustainable Land Management in St. Vincent and the Grenadines	LD	I	UNDP	MSP	0.50	1.38	GEF-3
Total						1.47	1.59	

Note: BD = biodiversity; CC = climate change; LD = land degradation; MF = multifocal; C = completed; I = under implementation; WB = World Bank; EA = enabling activity.

Table 4.2**National Projects in the GEF Portfolio for OECS Countries, by Focal Area and Funding**

Focal area	GEF support (million \$)	Cofinancing (million \$)	Number of projects	Share of total GEF support (%)
Biodiversity	2.78	0.79	15	22.6
Climate change	1.79	0.00	12	14.6
International waters	0.00	0.00	0	0.0
Land degradation	2.50	4.10	5	20.3
POPs	1.06	0.25	3	8.6
Multifocal	4.19	5.00	7	34.0
Total	12.32	10.13	42	100

UNFCCC (Grenada received financial support for this enabling activity during GEF-2). UNDP, with nine projects, was the main channel for GEF national support for these initial enabling activities. UNEP was the channel for the preparation of the St. Lucia National Biodiversity Strategy and Action Plan, and the World Bank was the GEF Agency for preparation of the INC in St. Vincent and the Grenadines.

Eight national projects were financed during GEF-2, including seven enabling activities and one MSP. The latter was the World Bank–implemented Dry Forest Conservation project in Grenada, representing \$0.72 million in GEF support, with \$0.41 million in cofinancing. The seven enabling activities addressed the Biodiversity Clearing-House Mechanism in Antigua and Barbuda, Dominica, and St. Lucia; the biodiversity capacity needs assessment in Grenada and St. Lucia; and climate change capacity building in Antigua and Barbuda and St. Lucia. Six of these enabling activities were implemented through UNDP.

During GEF-3, 22 national projects were funded, including 1 FSP, 5 MSPs, and 16 enabling activities. The FSP—Demonstrating the Development and Implementation of a Sustainable Island

Resource Management Mechanism in a Small Island Developing State—is still under implementation in Antigua and Barbuda with \$3.00 million in GEF funding. This project is implemented through UNDP with \$4.70 million in cofinancing. The five MSPs are the National Capacity Building for Sustainable Land Management projects under implementation in Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines for \$0.50 million each. They are all implemented by UNDP with cofinancing ranging from \$0.51 million (in Dominica) to \$1.38 million (in St. Vincent and the Grenadines). The 16 enabling activities included biodiversity capacity-building needs assessments (in Antigua and Barbuda, Dominica, and St. Vincent and the Grenadines), NCSAs in the six countries, climate change capacity building (in Dominica, Grenada, St. Kitts and Nevis, and St. Vincent and the Grenadines), and the preparation of national implementation plans for the Stockholm Convention on POPs (in Antigua and Barbuda, Dominica, and St. Lucia).

Under the RAF in GEF-4, the six OECS countries participated in the group allocation for both biodiversity (with a possible maximum of \$3.2 million for each of 89 countries in the group) and climate change (with a possible maximum of \$3.3 million

for each of 112 countries). OECS countries used from \$0.48 million (Dominica) to \$3.15 million (St. Lucia) in the biodiversity area and from zero (Dominica, St. Kitts and Nevis, and St. Vincent and the Grenadines) to \$1.32 million (Antigua and Barbuda, and Grenada) in the climate change area. Thus, the OECS countries significantly underutilized the resources available to them during GEF-4. Table 4.3 shows the level of use of the GEF-4 allocation by country and focal area. In the GEF-5 replenishment period, the RAF has been replaced by the STAR; the individual country STAR allocations are discussed in chapter 3.

4.2 Regional Projects Involving OECS Countries

The six OECS countries covered by this evaluation have been involved in an additional 15 regional projects; 2 others are under preparation. The GEF portfolio for regional projects involving OECS countries is valued at \$106.44 million with \$498.86 million in cofinancing. As tables 4.4 and 4.5 show, of these 17 regional projects, 6 were in the climate change focal area (22.0 percent of total GEF funding to regional projects), 4 in biodiversity (20.4 percent), 5 in international waters (56.0 percent), and 2 in the multifocal area (1.6 percent).

During GEF-1, two regional FSPs, one regional MSP, and one regional enabling activity were supported. The latter, CPACC, is here considered as an FSP because of its scale and activities. This project was implemented through the World Bank, with \$6.83 million in GEF funding. The two remaining FSPs were in the international waters focal area and also implemented through the World Bank; these were the Ship-Generated Waste Management project and the Wider Caribbean Initiative for Ship-Generated Waste, receiving GEF support of \$13.02 million and \$5.78 million, respectively. The regional MSP supported during GEF-1, A Participatory Approach to Managing the Environment: An Input to the Inter-American Strategy for Participation, was implemented through UNEP for \$0.70 million.

Four regional projects were supported during GEF-2, including two FSPs, one MSP, and one enabling activity. The two FSPs—the Caribbean Renewable Energy Development Programme and MACC—were supported in the climate change focal area for \$3.73 million and \$5.35 million, respectively. The former was implemented through UNDP with \$17.91 in cofinancing, and the latter through the World Bank with \$4.30 million in cofinancing. The regional enabling activity,

Table 4.3

GEF-4 RAF Allocation Used

Country	Biodiversity		Climate change	
	\$	%	\$	%
Antigua and Barbuda	2,464,084	64.8	1,320,000	40.0
Dominica	484,084	12.7	0	0.0
Grenada	2,470,050	65.0	1,320,000	40.0
St. Kitts and Nevis	2,656,584	69.9	0	0.0
St. Lucia	3,149,337	82.9	522,500	15.8
St. Vincent and the Grenadines	2,464,084	64.8	0	0.0

Source: Data are from the GEF, as of June 1, 2011.

Table 4.4

Regional Projects in the GEF Portfolio for OECS Countries, 1992–2010

GEF ID	Project title	Country participants		Focal area	GEF Agency	Modality	GEF support	Cofinancing	GEF phase
		OECS	Non-OECS				million \$		
Completed regional projects (9)									
41	Building Capacity for Conducting Vulnerability and Adaptation Assessments in the Caribbean	Antigua and Barbuda, Grenada, St. Lucia	Barbados, Belize, Guyana, Jamaica, Suriname, Trinidad and Tobago	CC	UNDP	EA	0.12	0.00	GEF-2
840	Caribbean Renewable Energy Development Programme	All 6 countries	Barbados, Bahamas, Belize, Cuba, Guyana, Jamaica, Suriname, Trinidad and Tobago	CC	UNDP	FSP	3.73	17.91	GEF-2
1310	Building Wider Public and Private Constituencies for the GEF in LAC: Regional Promotion of Global Environment Protection through the Electronic Media	All 6 countries	Barbados, Brazil, Bahamas, Belize, Chile, Colombia, Dominican Republic, Guyana, Jamaica, Mexico, Nicaragua, Peru, Paraguay, El Salvador, Uruguay, Venezuela	MF	UNDP	MSP	1.00	0.96	GEF-2
178	A Participatory Approach to Managing the Environment: An Input to the Inter American Strategy for Participation	Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia	Argentina, Bahamas, Barbados, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru	MF	UNEP	MSP	0.70	0.84	GEF-1
59	Ship-Generated Waste Management	All 6 countries	—	IW	IBRD	FSP	13.02	38.00	GEF-1
105	Caribbean planning for adaptation to global CC—CPACC	All 6 countries	Barbados, Bahamas, Belize, Guyana, Jamaica, Trinidad and Tobago	CC	IBRD	EA ^a	6.83	0.00	GEF-1
585	Wider Caribbean Initiative for Ship-Generated Waste	All 6 countries	Aruba, Bahamas, Barbados, Belize, British Virgin Islands, Colombia, Costa Rica, Cuba, Dominican Republic, French Antilles and Guyana, Guatemala, Haiti, Honduras, Jamaica, Mexico, Netherlands Antilles, Nicaragua, Panama, Suriname, Trinidad and Tobago, U.S. Virgin Islands, Venezuela	IW	IBRD	FSP	5.78	0.00	GEF-1
1084	Caribbean: Mainstreaming adaptation to CC - MACC	All 6 countries	Barbados, Bahamas, Belize, Guyana, Jamaica, Trinidad and Tobago	CC	IBRD	FSP	5.35	4.30	GEF-2
Total							36.51	62.01	

(continued)

Table 4.4

Regional Projects in the GEF Portfolio for OECS Countries, 1992–2010 (continued)

GEF ID	Project title	Country participants		Focal area	GEF Agency	Modality	GEF support	Cofinancing	GEF phase
		OECS	Non-OECS				million \$		
Regional projects under implementation (6)									
1032	Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem and Adjacent Regions—Caribbean LME	All 6 countries	Barbados, Brazil, Bahamas, Belize, Colombia, Costa Rica, Dominican Republic, Guatemala, Guyana, Honduras, Haiti, Jamaica, Mexico, Nicaragua, Panama	IW	UNDP	FSP	7.08	48.30	GEF-4
1254	Integrating Watershed and Coastal Area Management in the SIDS of the Caribbean—IWCAM	All 6 countries	Barbados, Bahamas, Cuba, Dominican Republic, Haiti, Jamaica, Trinidad and Tobago	IW	UNEP	FSP	13.38	98.27	GEF-3
4171	Energy for Sustainable Development in the Caribbean	Antigua and Barbuda, Grenada, St. Lucia	Belize, Trinidad and Tobago	CC	UNEP	FSP	4.98	6.36	GEF-4
1204	OECS Protected Areas and Associated Livelihoods—OPAAL	All 6 countries	—	BD	IBRD	FSP	3.70	3.87	GEF-3
2552	Implementation of Pilot Adaptation Measures in Coastal Areas of Dominica, St. Lucia and St. Vincent—SPACC	Dominica, St. Lucia, St. Vincent	—	CC	IBRD	FSP	2.40	3.37	GEF-3
3183	Mitigating the Threats of Invasive Alien Species in the Insular Caribbean	St. Lucia	Bahamas, Dominican Republic, Jamaica, Trinidad and Tobago	BD	UNEP	FSP	3.03	3.08	GEF-4
3766	Testing a Prototype Caribbean Regional Fund for Wastewater Management	Antigua and Barbuda, St. Lucia	Barbados, Costa Rica, Guatemala, Guyana, Honduras, Panama, Suriname	IW	IDB	FSP	20.38	251.70	GEF-4
Total							54.96	414.95	
Regional projects approved by Council (2)									
2967	BS Regional Project for Implementing National Biosafety Frameworks in the Caribbean under the GEF Biosafety Programme	All 6 countries	Barbados, Bahamas, Belize, Guyana, Suriname, Trinidad and Tobago	BD	UNEP	FSP	5.97	7.10	GEF-4
3858	Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems	Grenada, St. Kitts and Nevis, St. Lucia, St. Vincent	—	BD	IBRD	FSP	9.00	14.80	GEF-4
Total							14.97	21.90	

Note: — = not applicable; BD = biodiversity; CC = climate change; IW = international waters; MF = multifocal; IBRD = International Bank for Reconstruction and Development; EA = enabling activity.

a. Considered as an FSP.

Building Capacity for Conducting Vulnerability and Adaptation Assessments in the Caribbean, received \$0.12 million in GEF support and was implemented through UNDP.

Three regional FSPs were approved during GEF-3, one in the international waters focal area through UNEP for \$13.38 million (IWCAM), one in the biodiversity focal area through the World Bank for \$3.70 million (OPAAL), and one in climate change through the World Bank for \$2.40 million. All three are still under implementation.

Under the RAF in GEF-4, the six OECS countries have been involved in six regional FSPs as of this writing. Of these, four are still under implementation: two in the international waters focal area through UNDP and IDB, and one each in the climate change and biodiversity focal areas through UNEP. The other two regional projects have been approved but not yet started; these are the Regional Project for Implementing National Biosafety Frameworks in the Caribbean, implemented through UNEP for \$5.97 million; and Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems, implemented through the World Bank for \$9.00 million. Table 4.4 shows the regional projects in the GEF portfolio for OECS

countries; table 4.5 presents the focal areas and funding for GEF regional projects in which OECS countries participate.

4.3 Evolution of GEF Funding in the OECS Region

During GEF-1 and GEF-2, national projects were only supported in the biodiversity (11 projects for a total of \$1.99 million) and climate change (8 projects for a total of \$1.39 million) focal areas. During GEF-3, the national portfolio in OECS countries had integrated projects in the multifocal area (most were NCSA projects, for a total of \$4.19 million), land degradation (national capacity building and mainstreaming of sustainable land management projects, for a total amount of \$2.50 million), and POPs (preparation of national implementation plans for the Stockholm Convention, for a total of \$1.06 million). As mentioned, under the GEF-4 RAE, only one national project was supported in the biodiversity focal area. Figure 4.1 highlights this evolution; the figure does not include SGP allocations.

GEF funding allocations to regional projects have been more distributed among focal areas over time. As shown in figure 4.2, during GEF-1,

Table 4.5

GEF Regional Projects in which OECS Countries Participate by Focal Area and Funding

Focal area	GEF support (million \$)	Cofinancing (million \$)	Number of projects	Share of total GEF support (%)
Biodiversity	21.71	28.85	4	20.4
Climate change	23.40	31.94	6	22.0
International waters	59.64	436.27	5	56.0
Land degradation	0.00	0.00	0	0.0
POPs	0.00	0.00	0	0.0
Multifocal	1.69	1.80	2	1.6
Total	106.44	498.86	17	100

Figure 4.1

GEF Funding for National Projects by Focal Areas Across GEF Phases

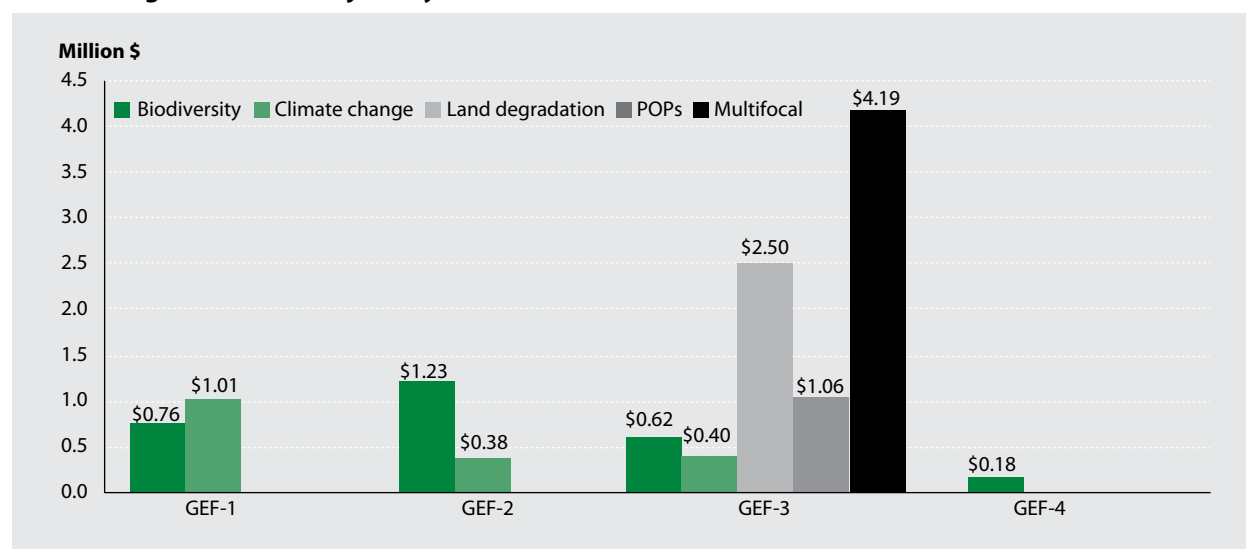
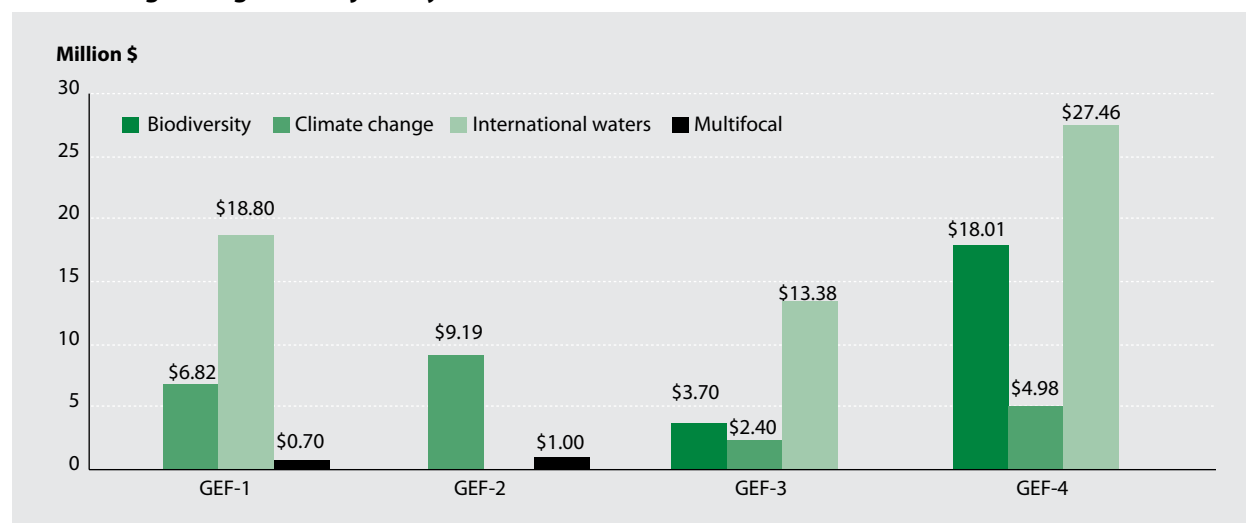


Figure 4.2

GEF Funding for Regional Projects by Focal Areas Across GEF Phases



regional projects have been supported in the climate change, international waters, and multifocal areas. Support was provided in the climate change focal area and multifocal area during GEF-2. During GEF-3 and GEF-4, projects in the biodiversity, climate change, and international waters focal areas were supported.

4.4 Implementation Status of National and Regional Projects

Of the 42 national projects supported by the GEF in the OECS countries included in the evaluation, only 6 are still under implementation: 1 multifocal and 5 in the land degradation focal area. All

national enabling activities have been completed. About half of the regional projects involving OECS countries have been completed to date. Six regional projects are ongoing: two FSPs each in the biodiversity, climate change, and international waters focal areas. Two regional projects have been approved in the biodiversity focal area.

4.5 National and Regional Allocations by GEF Agency

Table 4.6 presents GEF national support to OECS countries by Agency and focal area; figure 4.3

presents the evolution of GEF national support to OECS countries by Agency across the different GEF replenishment periods. To date, GEF support for national projects in OECS countries has been implemented through UNDP, UNEP, and the World Bank. UNDP has been the main channel of GEF national support during the four phases. Almost 75 percent of the GEF funds allocated to national projects have been managed by UNDP, including the national FSP in Antigua and Barbuda (Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island

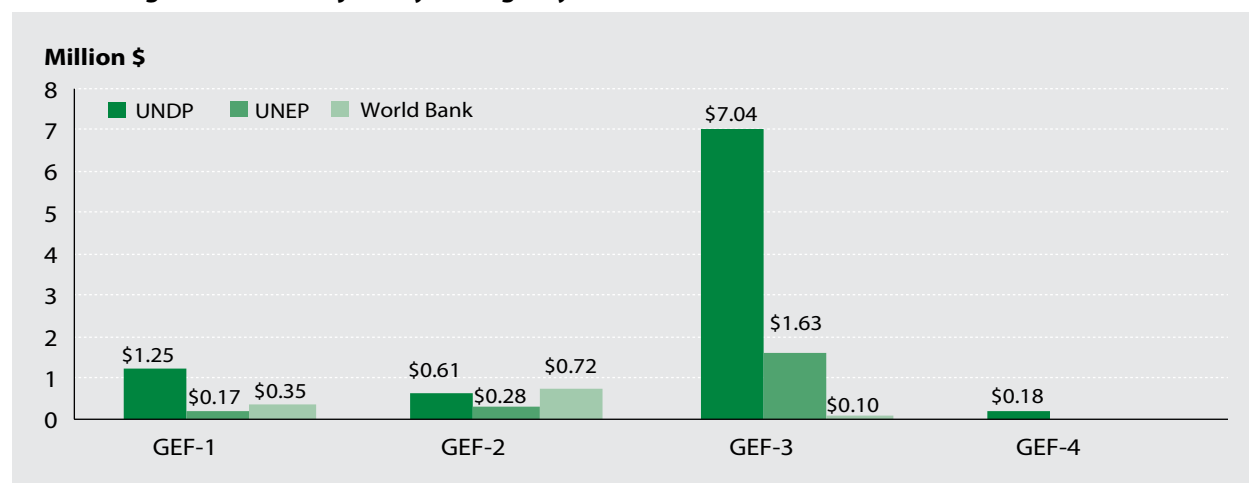
Table 4.6

GEF National Project Funding in OECS Countries by GEF Agency and Focal Area

Focal area	UNDP		UNEP		World Bank	
	Number of projects	Funding (million \$)	Number of projects	Funding (million \$)	Number of projects	Funding (million \$)
Biodiversity	12	1.61	2	0.45	1	0.72
Climate change	10	1.34			2	0.45
International waters						
Land degradation	5	2.50				
POPs			3	1.06		
Multifocal	4	3.62	3	0.57		
Total	31	9.07	8	2.08	3	1.17

Figure 4.3

GEF Funding to National Projects by GEF Agency Across GEF Phases



Developing State) and the four MSPs in the land degradation focal area. More than 75 percent of the funds managed by UNDP have been allocated to national projects approved during GEF-3 (\$7.04 million of \$9.07 million).

UNEP has implemented projects representing about 15 percent of GEF national support to OECS countries. All projects supported in the POPs focal area have been managed by UNEP. GEF support implemented through UNEP increased during GEF-3, but less so than for UNDP.

The World Bank has implemented projects accounting for approximately 10 percent of GEF national support to OECS countries. Among others, it implemented the national MSP Dry Forest Biodiversity Conservation in Grenada.

Table 4.7 presents GEF regional support involving OECS countries by GEF Agency and focal area; figure 4.4 shows the evolution of GEF regional support by Agency across the four GEF phases covered by this evaluation. The World Bank has been the main channel of GEF regional support

Table 4.7

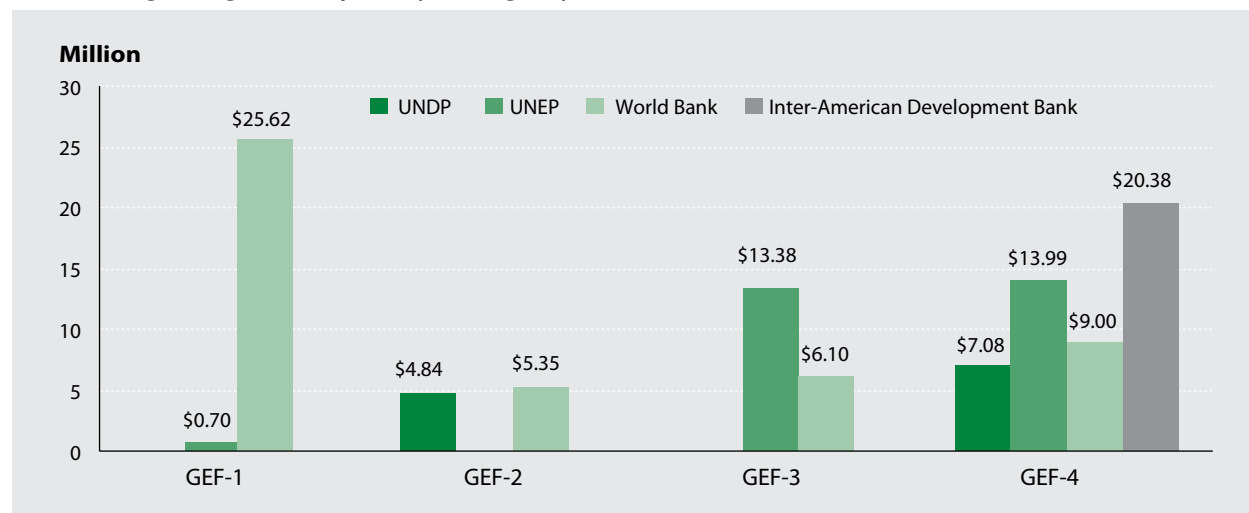
GEF Regional Funding in OECS Countries by GEF Agency and Focal Area

Focal area	UNDP		UNEP		World Bank		IDB	
	Number of projects	Funding (million \$)	Number of projects	Funding (million \$)	Number of projects	Funding (million \$)	Number of projects	Funding (million \$)
Biodiversity			2	9.01	2	12.70	n.a.	n.a.
Climate change	2	3.84	1	4.98	3	14.57	n.a.	n.a.
International waters	1	7.08	1	13.38	2	18.80	1	20.38
Multifocal	1	1.00	1	0.70	n.a.	n.a.	n.a.	n.a.
Total	4	11.92	5	28.07	7	46.07	1	20.38

Note: n.a. = not applicable.

Figure 4.4

GEF Funding to Regional Projects by GEF Agency Across GEF Phases



to OECS countries. More than 40 percent of GEF regional support has been managed by the World Bank, and most of the funds approved during GEF-1 were implemented through the World Bank. This includes the two ship-generated waste management regional initiatives, and the three regional adaptation initiatives (CPACC, MACC, and SPACC). GEF regional support implemented through the World Bank has been relatively constant overall during GEF-2, GEF-3, and GEF-4. About 25 percent of GEF regional projects involving OECS countries have been implemented through UNEP; this includes the Regional Biosafety Programme Supporting the Development of National Biosafety Frameworks. UNEP's involvement in OECS regional GEF support has occurred mainly since GEF-3.

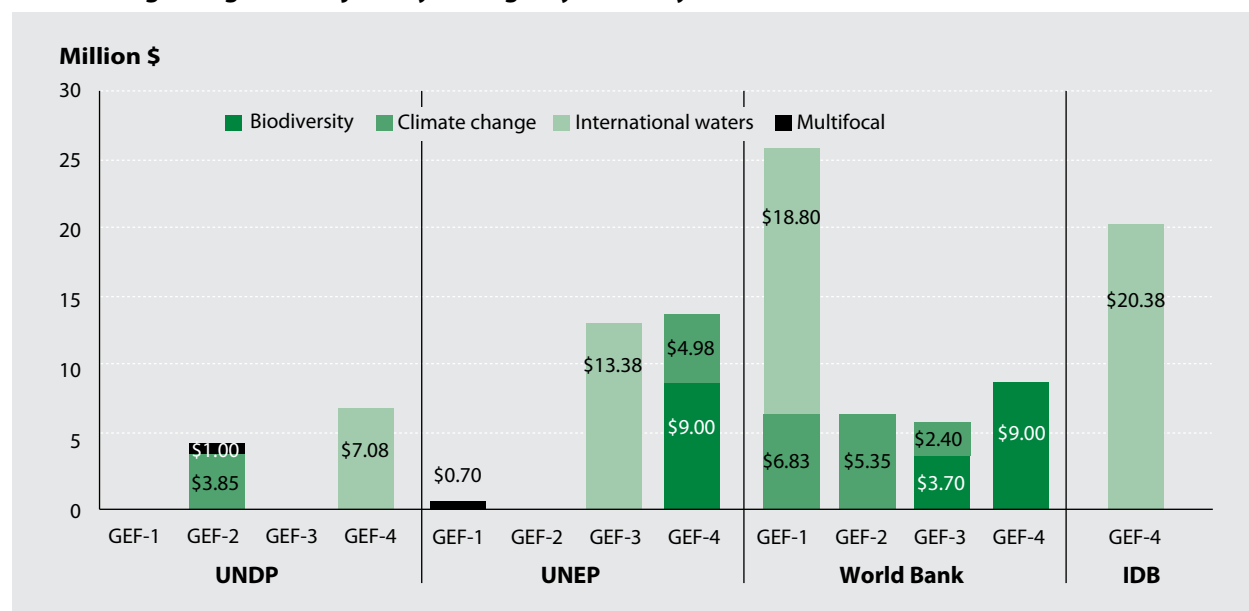
UNDP has implemented 10 percent of GEF regional support to the area, including two projects in the climate change focal area, one in international waters, and one multifocal effort.

IDB is implementing only one regional project; this is in the international waters focal area—Testing a Prototype Caribbean Regional Fund for Wastewater Management—which was approved under the RAF during GEF-4 for \$20.8 million.

Figure 4.5 shows the distribution of GEF resources in the region by GEF Agency and focal area across the four GEF replenishment periods. For UNDP and UNEP, no clear trends emerge by focal area over time, as both Agencies have been involved in multiple focal areas. It appears that support from the World Bank has shifted from the climate change focal area to the biodiversity focal area. However, Bank support of the PPCR indicates that it is not moving away from climate change in the region, but rather moving into non-GEF-funded modalities. Because typically only one or two regional projects per GEF Agency are implemented in each GEF phase, the data may be too limited to identify meaningful trends. However, data collected during this evaluation did indicate

Figure 4.5

GEF Funding to Regional Projects by GEF Agency Across by Focal Area



that the World Bank expects its involvement with GEF funding in the region to decrease over time, as the low levels of GEF support available for the region make it difficult for the Bank to operate cost-effectively.

Table 4.8 presents GEF SGP support to OECS countries by focal area for the period 2004–09;

table 4.9 presents this support by country for the same period.²

²Note that table 4.9 excludes two regional projects included in table 4.8, which is why totals do not agree.

Table 4.8

GEF SGP Funding in OECS Countries by Focal Area, 2004–09

Focal area	Number of projects	Percentage of total projects	Total GEF SGP contribution (\$)	Cofinancing (\$)	
				Cash	In-kind
Biodiversity	25	42.37	427,151	269,922	373,052
Climate change	5	8.47	68,926	27,500	35,270
International waters	0	n.a.	n.a.	n.a.	n.a.
Land degradation	6	10.17	103,312	43,998	44,056
POPs	0	n.a.	n.a.	n.a.	n.a.
Multifocal	23	38.98	266,629	135,729	210,265
Total	59	100.00	866,017	477,149	662,644

Source: Romulus and Phillips n.d.

Note: n.a. = not applicable.

Table 4.9

GEF SGP Funding by OECS Countries, 2004–09

Country	Number of projects	Total value	GEF SGP contribution (\$)	Cofinancing (\$)	
				Cash	In-kind
Antigua and Barbuda	7	477,415	189,425	149,124	138,866
Barbados	21	781,391	328,509	219,039	233,844
Grenada	12	263,153	132,668	42,878	87,607
St. Kitts and Nevis	3	162,035	26,065	21,689	114,281
St. Lucia	6	182,981	97,590	39,384	46,007
St. Vincent and the Grenadines	8	133,910	89,070	4,652	40,188
Total	57	2,000,886	863,327	476,766	660,793

Source: Romulus and Phillips n.d.

5. Effectiveness, Results, and Sustainability of GEF Support to OECS Countries

This chapter examines the following questions on results of GEF support to OECS countries:

- What are the results (outcomes and impacts) of GEF support at the project level?
- What are the results of GEF support at the aggregate level (portfolio and program) by focal area?
- What are the results of GEF support at the regional level?
- What are the results of GEF support that build on previous lessons learned and good practices from GEF projects and partners?
- What are the results of GEF support that are sustained after project completion?
- Is GEF support progressing in scale and scope in OECS countries and the region to achieve increasingly more substantial results?
- Is GEF support effective at developing capacity within the OECS region?

5.1 Results by Focal Area

Although the GEF has been providing funding in the OECS region for 17 years, with a total portfolio value of over \$100 million,¹ GEF efforts

completed to date can be described as primarily focused on enabling support and in the early stages of demonstration-level support. The exception is in the climate change focal area, where there is an extensive body of completed work and knowledge regarding adaptation to climate change. Apart from a series of adaptation-related projects, the regional portfolio represents a collection of initiatives undertaken with varying levels of success that are relevant to OECS environmental needs and priorities, but not strategically linked.

At the national level, GEF support has focused on strengthening the enabling environment through numerous activities supporting OECS countries' reporting obligations under the chief GEF-related multilateral environmental agreements (the CBD, the UNFCCC, etc.). These enabling activities were primarily completed in the GEF-2 and GEF-3 replenishment periods, and covered all focal areas except land degradation, for which the GEF does not have the same mandate as in the other focal areas. Enabling activities have supported the production of national reports to the conventions through national consultations and secondary data collection.

¹ Because many regional projects include countries in addition to OECS members, it is impossible to iden-

tify the exact amount targeted for the OECS countries selected for this evaluation.

Evidence shows that enabling activities have played a valuable role in the portfolio by enhancing capacity and building awareness on global environmental issues at the national level. GEF support provided through enabling activities has also facilitated implementation of the conventions by providing a regular, if limited, stream of support to the government ministries responsible for fulfilling convention obligations (usually the ministry responsible for the environment), and providing technical and financial assistance to develop the capacity of the environmental department within these ministries. Also, GEF support has been provided to national coordinating units and/or advisory bodies created to deal with specific issues and including representatives of various government agencies connected to these issues as well as of NGOs and the private sector. One example is St. Lucia's full-time Biodiversity Office, which was established with UNEP-GEF financing but is now financed by the government and various other projects.

Many stakeholders expressed frustration that, after several years of national consultations, direct funding by the GEF at the national level is still limited for implementation of many of the national strategies and priorities identified. The first round of enabling activities started as early as 1997; so far, among the OECS countries, there has been one national MSP (Dry Forest Biodiversity Conservation) and one national FSP (Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State, currently under implementation). The question is, what would the appropriate step be after enabling activities for countries with limited capacity. This raises further questions about the appropriateness of existing GEF modalities for SIDS, an issue that is further explored in chapter 7.

The GEF OECS portfolio includes five completed regional FSPs: two international waters projects on ship waste, two adaptation to climate change projects, and one project involving renewable energy. There are three completed MSPs: one national MSP in Grenada, and two regional MSPs—A Participatory Approach to Managing the Environment: An Input to the Inter American Strategy for Participation (GEF ID 178) and Building Wider Public and Private Constituencies for the GEF in LAC: Regional Promotion of Global Environment Protection through the Electronic Media (GEF ID 1310). The OECS countries were not directly involved in either of these regional initiatives.

Four regional FSPs are currently under implementation in the biodiversity, international waters, and climate change focal areas. Once the results from these projects are finalized and verified, they should account for a more substantive contribution resulting from GEF funding in OECS countries. This suite of projects includes the international waters IWCAM and CLME projects (involving 12 and 22 countries, respectively), the biodiversity OPAAL project (involving all six OECS countries), and the climate change adaptation SPACC project (focusing on three OECS countries). Of these, the IWCAM and OPAAL projects have the most comprehensive presence in the OECS countries.

There are also significant nationally focused projects in the active portfolio: the multifocal Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State FSP in Antigua and Barbuda, and a suite of five national MSPs in the land degradation focal area. Each of these projects is past its midpoint and is expected to reach completion within the next two years.

A new generation of regional FSPs is being approved or is just beginning implementation—the international waters Testing a Prototype Caribbean Regional Fund for Wastewater Management project, the biodiversity Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems project, the climate change Energy for Sustainable Development in the Caribbean project (GEF ID 4171), and the biosafety implementation project (GEF ID 2967). These four projects, accounting for a total of \$40.34 million in new GEF funding in the Caribbean, have yet to contribute results in the OECS portfolio.

Site visits were carried out to multiple SGP projects. The data collected support the conclusion by previous GEF evaluations that SGP support in the region is contributing “to direct global environmental benefits while also addressing the livelihood needs of local populations” (GEF EO 2008).

Some specific results in the various GEF focal areas are described below.

Biodiversity

Enabling activities facilitated the development of national biodiversity strategies and action plans, national reports required under the CBD, and assessments of capacity-building needs. Regional and global enabling activities have also supported the development of national biosafety frameworks in support of the Cartagena Protocol on Biosafety.

A ROtI assessment was completed for the Grenada Dry Forest Biodiversity Conservation project. This project is described in detail in volume 2, technical document 3. The ROtI analysis resulted in a rating of 1 on the 0–3 ROtI scale, indicating limited progress toward impact-level results. The primary strategy of building partnerships between

the public and private sectors for conservation of Grenada’s dry forest was not successful, and the targeted environmental resources were severely affected by Hurricane Ivan in 2005, which struck partway through the project. The most recent available environmental monitoring data indicate that the status of the dry forest ecosystem and associated biodiversity has not changed compared to the baseline situation, and there has been little postproject government ownership of results. There is some indication that the public awareness component of the project may have contributed to the avoidance of developmental pressures in dry forest ecosystems (see, e.g., Rusk 2010), but the project’s contribution has not been definitively established.

The ongoing OPAAL project has produced some notable preliminary results, including an average 46 percent improvement in management effectiveness for six protected areas covering a total of 24,693 hectares and serving as demonstration sites for the project, based on the OECS scorecard system. Implementation ratings reviewed in the evaluation suggest that the OPAAL project was facing challenges in fully achieving its anticipated objectives. The project received a 15-month extension and launched an accelerated schedule of activity (particularly in its livelihoods component) following a 2008 midterm evaluation. That evaluation had found implementation of project activities significantly behind schedule and recommended several adaptive measures, including the hiring of pilot site managers.

Biosafety is an area where the OECS countries are taking a regional approach to leverage their respective technical capacities. A regional approach is appropriate because of the trade implications related to transport of living modified organisms. The global and regional development of national biosafety framework projects

(under the Development of National Biosafety Framework project and a later add-on project) have resulted in the establishment of national biosafety frameworks in all six OECS countries.

Box 5.1 describes an SGP project in the biodiversity focal area that has contributed to impact-level results, although the impacts in terms of avoided losses are not easily documented. The results of this project and of that described in box 5.5

illustrate the difficulties of documenting environmental impact.

Climate Change

National enabling activities assisted in the preparation of initial national communications to the UNFCCC and the second communication in the case of Dominica. Of the completed projects, only the two adaptation projects—CPACC

Box 5.1

On-the-Ground Impact: Creating Sustainable Livelihoods through Community-Based Sea Turtle Conservation in St. Kitts and Nevis

This SGP project has achieved notable environmental impacts directly benefiting the sea turtle populations around St. Kitts and Nevis. It was implemented by the NGO St. Kitts Sea Turtle Monitoring Network (SKSTMN) from July 2008 to March 2011, with an allocation of \$17,657. The SKSTMN is a community-based organization formed in 2003 that monitors sea turtle nesting populations and works to strengthen conservation measures for the three main species of turtles in the surrounding St. Kitts and Nevis waters—the green, hawksbill, and leatherback. The organization has about 80 local members and was legally incorporated in 2010 as a result of SGP support.

The island is one of the few countries in the world that still allows commercial harvesting of sea turtles. Fishermen are able to sell harvested turtles for approximately \$2/pound, with the average hawksbill turtle weighing about 85 pounds. The SKSTMN is lobbying the government for, at a minimum, the establishment of sustainability measures such as quotas on catches and on the number of fishermen with permits.

On the community side, the SKSTMN is working with local fishermen to convince them to transition from sea turtle harvesting to supporting turtle conservation and sustainable livelihoods. It is estimated that there are approximately a half-dozen community members still involved in turtle harvesting, but each harvests between 100 and 300 turtles a year. The SKSTMN has succeeded in convincing two turtle fishermen to switch from commercial harvesting to participating in the program's daily turtle nest monitoring activities—an achievement resulting in the conservation of at least 200 turtles annually. The SKSTMN has established nightly volunteer patrols on the island's two primary leatherback turtle nesting beaches, involving approximately 10 community members.

Regular monitoring (including tagging of nesting turtles) ensures that virtually every leatherback turtle nest in St. Kitts and Nevis is protected until the young turtles hatch and return to the ocean. The data, which go back about five to eight years, show that the turtle population is currently relatively stable, although annual nesting figures are cyclical.

The program has a strong partnership with the Ross University veterinary school, which provides cash and in-kind cofinancing, including the provision of laboratory resources for the analysis of biological parameters collected during nest monitoring. The project also has extensive cofinancing in the form of nightly volunteer labor.

The SKSTMN has submitted proposals to the government requesting that key turtle nesting areas receive official protection, but has received no response as yet. The organization is working with local businesses to develop a “turtle-friendly” certification program for beach-front businesses that turn down their lights and remove all chairs and tables from the beach at night.

Source: GEF SGP n.d. For additional information, see www.stkittsturtles.org.

and MACC—have generated significant positive results in the OECS region.² Positive results from CPACC have been highlighted in multiple data inputs to this evaluation. CPACC helped establish national-level governance through climate change focal points and intersectoral national climate change committees, which continue to work as representatives of the countries' needs and aspirations in climate change on the regional stage while coordinating efforts at the national level. In addition, CPACC catalyzed the development of national adaptation policies, which were approved at the cabinet level in three countries. MACC project results were more mixed, but this project also produced positive outcomes and significantly contributed to capacity development through support for postgraduate education in the region on climate change issues.

CPACC, CIDA's ACCC project, MACC, and SPACC represent a series of adaptation projects that have been linked in a logical, if quite gradual, three-phase progression, as described in box 5.2 and illustrated in figure 5.1. Many stakeholders interviewed for this evaluation indicated that they would have liked to see more direct on-the-ground investment for adaptation by now, 14 years after CPACC had begun. The current SPACC project is investing in demonstration activities in three countries (Dominica, St. Lucia, and St. Vincent and the Grenadines) based on their previous involvement with adaptation, but on-the-ground activities are not yet fully under way, and have been reduced in number from seven to two.

² This evaluation did not assess the achievement of regional projects overall; there are, however, some cases where important results have been achieved in non-OECS countries for regional projects involving OECS countries.

Building on the GEF-supported adaptation projects, four OECS countries were selected for larger scale investment through the PPCR, which is part of the Strategic Climate Fund, a multidonor Trust Fund within the Climate Investment Funds overseen by the World Bank. The specifics of the PPCR investment in the OECS region are described in box 5.3. GEF support clearly established the necessary foundation for this scaled-up initiative, for which participation criteria included country preparedness to move toward climate-resilient development plans.

The Caribbean Renewable Energy Development Programme covered 17 countries and was extensively reformulated following a midterm evaluation in 2007. The project was completed in 2010, and the terminal evaluation is not yet available, but data suggest that project results were modest relative to originally planned outcomes, particularly for the OECS countries, although the project restructuring following midterm evaluation did contribute to improved delivery of results. Notable results to which the project contributed include the adoption of a national energy policy in St. Vincent and the Grenadines, and the development of similar policies in Dominica, Grenada, and St. Kitts and Nevis. The project has supported capacity development activities for a range of stakeholders including public and private sector actors, and has enhanced information sharing through the Caribbean Information Portal on Renewable Energy, which integrates best practices from around the region. The financing mechanism created under the project, the Caribbean Renewable Energy Project Development Facility, has supported development of hydropower project proposals through feasibility studies, setting the stage for full feasibility analysis.

Climate change is one focal area that has shown positive results from an integrated and

Box 5.2

The Caribbean Approach to Climate Change Adaptation

Over the past 12 years, through regional cooperation, countries of the CARICOM—including six from the OECS—have pioneered a phased approach to climate change adaptation under a series of programs. This initiative has systematically built national capacity through strategic interventions, thereby ensuring country ownership and long-term sustainability. Adaptation has been approached in three stages:

Stage 1: CPACC, 1998–2001. The overall objective of the CPACC project was to assist Caribbean countries in launching adaptation measures aimed at building capacity to cope with the adverse effects of global climate change—particularly sea level rise—in coastal and marine areas, through vulnerability assessment, adaptation planning, and related capacity-building initiatives. CPACC consisted of four regional and five pilot projects.

Further capacity-building was provided to the region through an initiative funded by CIDA. The ACCC project (2001–04) was a follow-on to CPACC designed to sustain activities initiated under that project and to address issues of adaptation and capacity building not yet undertaken, thus further building capacity for climate change adaptation in the region. ACCC also facilitated the transformation of the project implementation unit established through CPACC into a regional entity for climate change—the Caribbean Community Climate Change Center.

Stage 2: MACC, 2004–07. A second GEF-funded regional project, MACC, was implemented in 12 CARICOM countries in 2004. The project's primary objective was to mainstream climate change adaptation strategies into the sustainable development agendas of the small island and low-lying coastal states of CARICOM. MACC adopted a learning-by-doing approach to capacity building, consolidating the achievements of CPACC and ACCC. It built on the progress achieved in these past projects by furthering institutional capacity, strengthening the knowledge base, and deepening awareness and participation. MACC's major components were to build capacity to assess vulnerability and risks associated with climate change, build capacity to reduce vulnerability to climate change, build capacity to effectively access and utilize resources to reduce vulnerability to climate change, and public education and outreach.

Stage 3: SPACC, 2007–11. The CCCCC is the executing agency for the SPACC project, which is designed to support efforts by Dominica, St. Lucia, and St. Vincent and the Grenadines to implement specific (integrated) pilot adaptation measures addressing the impacts of climate change on the natural resource base of the region, focused on biodiversity and land degradation along coastal and near-coastal areas. The project objective will be achieved through the detailed design of pilot adaptation measures to reduce expected negative impacts of climate change on marine and terrestrial biodiversity and land degradation; and the implementation of pilot adaptation investments.

This approach is consistent with UNFCCC Decision 11/CP.1, Initial Guidance on Policies, Programme Priorities and Eligibility Criteria to the Operating Entity or Entities of the Financial Mechanism.

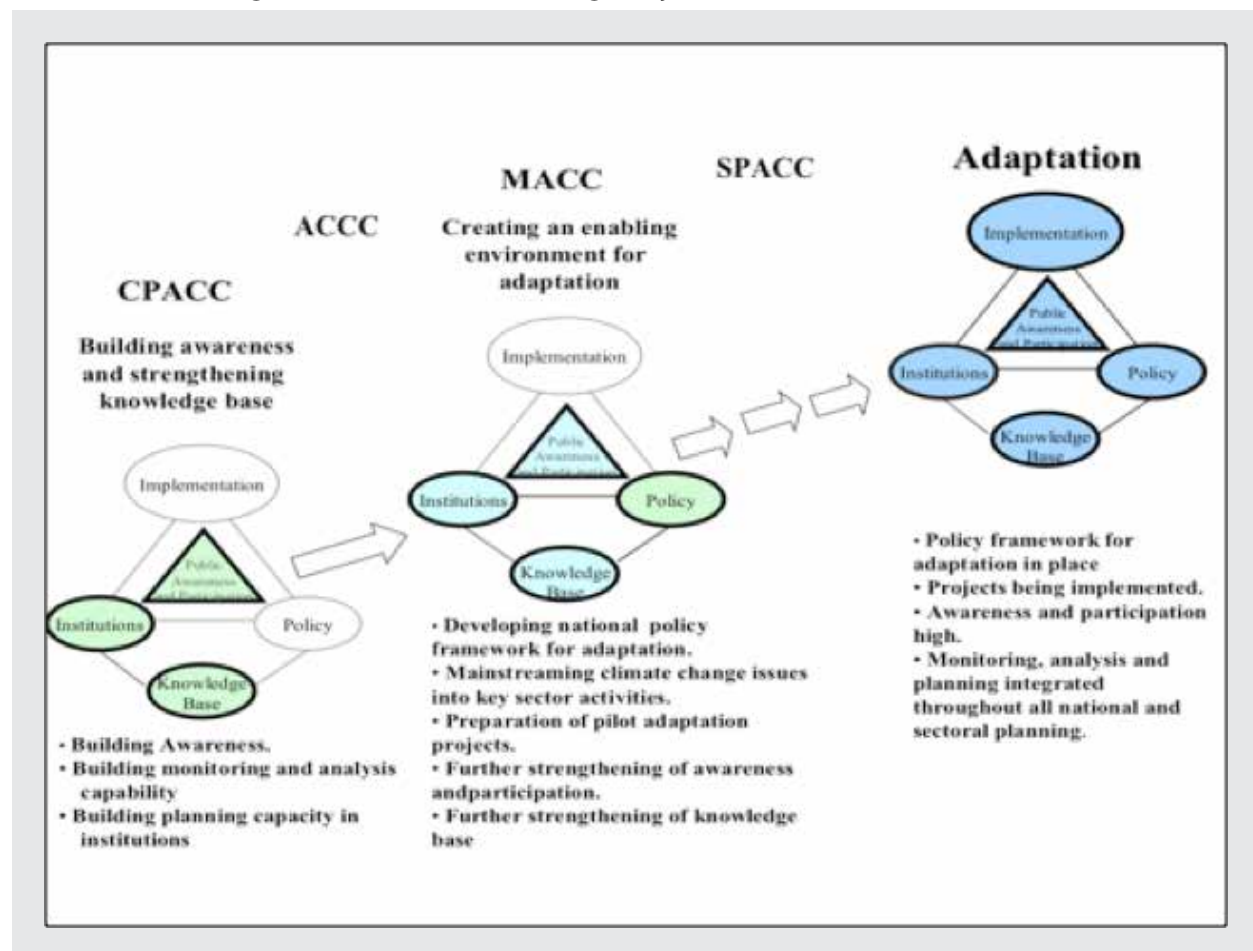
Source: de Romilly n.d.

incremental regional approach. CPACC and MACC contributed to regional unification and cooperation on adaptation issues. Further, both projects significantly raised the profile and awareness of climate change adaptation issues throughout the Caribbean; this in turn has resulted in an increased appreciation of climate change issues at the regional policy-making level. CARICOM has recognized that the CPACC and MACC projects facilitated intraregional cooperation in the preparation of a regional agenda for negotiations under

the UNFCCC and the Kyoto Protocol (World Bank 2009). This resulted in the development of a regional adaptation strategy, *Climate Change and the Caribbean: A Regional Framework for Achieving Development Resilient to Climate Change* (2009–2015), which was adopted by the heads of state in July 2009. Through the CPACC and MACC projects, the CCCCC was established. As a regional center of excellence, the CCCCC coordinates the Caribbean region's response to climate change and is the key node for information and

Figure 5.1

Schematic of the Progression of GEF Climate Change Projects in the Caribbean



Source: SPACC project documents.

regional policy on climate change issues and on the region's response to managing and adapting to climate change. Prior to CPACC, little institutional capacity on climate change was available in the region. The project created an institutional arrangement and capacity at the national and regional levels upon which further adaptation efforts have been built.

International Waters

One of the region's two international waters projects, the Wider Caribbean Initiative for Ship-Generated Waste, closed at the originally

anticipated time with a balance of \$1.7 million remaining from an original budget of \$5.5 million. This balance was canceled, according to its implementation completion report (World Bank 1999). Nonetheless, the project contributed to ratification of the International Convention for the Prevention of Pollution from Ships by two countries (Grenada and St. Kitts and Nevis) that had not previously been party to the agreement, as well as adoption of relevant legislation in these two countries.

The second international waters project, Ship-Generated Waste Management, had limited

Box 5.3

The Caribbean Regional Pilot Program on Climate Resilience

The Caribbean PPCR has two tracks:

- Country-based investments in Dominica, Grenada, Haiti, Jamaica, St. Lucia, and St. Vincent and the Grenadines
- Regionwide activities focused on climate monitoring, institutional strengthening, capacity building, and knowledge sharing

Country-Based Investments

This track entails two phases.

- **Phase 1: Development of a strategic approach for climate resilience.** This phase allocated \$2.6 million for the Caribbean region, which was divided among the six pilot countries to prepare a strategic program for climate resilience. Funding to the OECS countries was as follows: Grenada, \$271,000; St. Lucia, \$315,000; St. Vincent and the Grenadines, \$277,440. Dominica had not been allocated any funding as of this writing, as it had not yet submitted its Phase 1 proposal. Teams of consultants were hired to assist the OECS governments in developing their strategic programs. Key tasks in this phase include joint missions, analysis, planning, capacity building, knowledge and awareness; review of policies/strategies for climate resilience as appropriate; and formulation of a strategic program based on national development plans and programs.
- **Phase 2: Implementation of the strategic program.** Key tasks in this phase include technical assistance (such as institutional strengthening and policy reform) and support for climate-resilient investments in key/priority sectors (such as agriculture, water management, flood protection, and infrastructure). Some \$60–\$75 million in grants will be awarded in the region; additional financing will be available in the form of highly concessional loans. Pilot countries will not be obliged to accept concessional loan financing as a condition of receiving grants.

Regional Component

IDB leads the PPCR regional component; the Caribbean regional pilot has been awarded \$240,000 in the first phase of this initiative. Key tasks include technical assistance (strengthening data management capacity, information sharing and best practices, awareness raising, facilitating regional policy dialogue) and investments to support improved monitoring and modeling of climate change impacts (regional geo-spatial data repositories, topographic and bathymetric data collection).

Source: World Bank, Pilot Program for Climate Resilience Overview, www.climateinvestmentfunds.org/cif/ppcr.

small-scale results from the GEF-funded portion,³ with some positive outcomes on regional information sharing and the establishment of waste fees for cruise ships.

A ROTI assessment of the Ship-Generated Waste Management project resulted in a rating of 1 on the 0–3 ROTI scale, indicating limited progress toward impact-level results. This finding is

described in detail in volume 2, technical document 4.

The Ship-Generated Waste project strategy focused on a barge-bin waste transfer system, with collaboration between port authorities and solid waste management entities. This strategy turned out to be flawed in multiple ways, and was not sustained. The project also did not establish the expected legal or institutional mechanisms to support long-term regional ship waste monitoring. Ultimately, the project outputs had little or no affect on the status of ship waste dumping in the region, although there is anecdotal evidence

³This project was a fully blended World Bank project, with a much larger non-GEF component on solid waste management that yielded numerous positive results.

that the status of environmental resources has improved for reasons not associated with GEF support—namely, that the cruise ship industry has improved its waste management technology since the early 1990s when the project was conceptualized, and the blended solid waste management portion of the project reduced the amount of land-based pollution to coastal and marine waters.⁴

The IWCAM project has contributed to strengthened national and regional policies related to integrated water resource management. At the regional level, the project supported the accession of participating countries to the Cartagena Convention's LBS Protocol, including Antigua and Barbuda; the protocol entered into force with the Bahamas accession in October 2010. Activities at the national level have included the following:

- **Antigua and Barbuda.** Support for development of an integrated water resource management roadmap and policy
- **Dominica.** LBS Protocol implementation workshop; development of and comments on Roseau Watershed Management Planning Initiative
- **Grenada.** Development and commencement of St. John's Watershed Management Planning Initiative
- **St. Kitts and Nevis.** Support for development of a national water policy (box 5.4)
- **St. Lucia.** Finalization of an integrated water resource management roadmap
- **St. Vincent and the Grenadines.** Development of four community-based integrated water resource management projects

⁴ Additional information on impact-level results assessment is included in section 7.6.

The success of the national components on the whole is still to be determined, as they are not yet fully complete. The IWCAM project reports that several of the demos—in the OECS region, Antigua and Barbuda, and St. Lucia—have established robust environmental status baselines to support

Box 5.4

On-the-Ground Results: IWCAM in St. Kitts and Nevis

The IWCAM demonstration project site in St. Kitts and Nevis is the Basseterre Aquifer. According to the demonstration site project document, "The Basseterre Valley lies immediately adjacent to the capital town of Basseterre and to the main tourist area of Frigate Bay. The unconfined coastal aquifer underlying the Basseterre Valley is a significant economic and social asset for the people of St. Kitts and Nevis. The potable water extracted from this aquifer represents over 40 percent of the total water supply for St. Kitts. The area is subject to urban encroachment, inappropriate land use and threats from pollution." The GEF-IWCAM Demonstration Project was devised and implemented using an integrated approach to help government and communities take practical actions to protect this vulnerable aquifer by demonstrating proper management and protection on three fronts: mitigation of threats from contaminants, protection of the aquifer, and improved water resource management. The two major outcomes of the project are a water resource management plan and establishment of a national park in the well-field area.



Source: The GEF-IWCAM Demonstration Projects, Fifth Caribbean Environmental Forum and Exhibition, 2010.

monitoring or project impacts on the ground. St. Lucia has adopted a new land policy that integrates the IWCAM approach; it acceded to the Cartagena Convention's LBS Protocol on January 30, 2008. St. Lucia has also established and operationalized a Watershed Management Committee for its demonstration site. Thirty rainwater harvesting systems totaling 50,000 gallons have been installed, including water pumps, water level devices, first flush, water tanks, filters, and non-return valves; and a tool was developed to monitor user preference, water quality, and economic impact.

Land Degradation

Sustainable land management national projects have facilitated the development of sustainable land management plans or legislation in Dominica and Grenada. Box 5.5 presents an example of an SGP project in the land degradation focal area that has also contributed to impact-level results.

Persistent Organic Pollutants

In the POPs focal area, GEF support has not gone much beyond enabling activities that have facilitated the development of POPs national implementation plans in Antigua and Barbuda, Dominica, and St. Lucia.

5.2 Sustainability

The climate change portfolio in the Caribbean region has demonstrated a long-term strategic approach to addressing the climate change adaptation issues that are critical to the region, covering the CPACC, MACC, and SPACC projects. The aggregation of these Caribbean-focused initiatives is now complemented by the PPCR, which is designed to provide finance for climate-resilient national development. This sequence of efforts

demonstrates the kind of continuity, follow-up, and sustained effort at the regional and national levels—by the GEF and other donors—required in all focal areas. Projects in other areas are too often stand-alone efforts with limited focus on sustainability.

OECS governments have signaled their commitment to environmental management by their official ratification of international environmental agreements (these ratifications were facilitated by GEF projects—see section 3.3). GEF projects have facilitated the development of draft legislation and policies to support the commitments to these agreements—for example, legislation related to biosafety and sustainable land management. Further action is required, however. Political will must be demonstrated to finalize and adopt these laws, regulations, and policies. GEF support is expected to contribute to this final step in institutionalizing laws and policies, thereby increasing sustainability of project results.

The Sustainable Financing and Management of Eastern Caribbean Marine Ecosystem project, currently in final approval stages, is one GEF-supported effort focused on postproject sustainability. The project has an explicit objective of developing national financing strategies and establishing sustainable financing mechanisms through initiatives such as national-level protected area trust funds. Furthermore, the project will establish a Caribbean Biodiversity Fund capitalized with resources from the GEF, the Kreditanstalt für Wiederaufbau German development bank, and the Nature Conservancy.

5.3 Catalytic and Replication Effects

The GEF draws on a number of principles when evaluating its catalytic and replication efforts (GEF

Box 5.5

On-the-Ground Impact: Improvement and Expansion of a National Donkey Sanctuary in Antigua and Barbuda

Free-ranging livestock, primarily goats and donkeys, pose a critical threat in terms of land degradation and associated climate change effects in Antigua and Barbuda. Although goats are considered the greater threat, the goat herds are, for the most part, owned by community members, while the donkeys are feral, abandoned when their labor was no longer required with the decline of the sugar industry. It is estimated that there are 600 free-ranging donkeys on the island, which eat a wide variety of feeds including forbs, shrubs, and tree bark. Donkeys intake approximately 3 percent of their body weight in dry matter daily; for a mature donkey weighing 150–250 kilograms, this amounts to more than 2,000 kilograms of plant matter per year—and donkeys live from 30 to 50 years. Donkeys have other negative land degradation impacts in terms of land compaction and destruction of vegetative cover, but it is impossible to quantify these impacts.

An SGP project aims to address the issue by translocating a portion of the donkey population to an enclosed designated reserve. The project was implemented from July 2010 to August 2011, with a total allocation of \$46,310. The primary objective of the project was to enhance the capacity of the donkey sanctuary operated by the Antigua Humane Society, which is established on 35 hectares on the eastern part of the island. At the project's start, the sanctuary had 57 donkeys; at the time of the evaluation visit in April 2011, the sanctuary had corralled another 89 donkeys—an avoidance of over 200,000 kilograms of forage annually—for a total of 146. It is estimated that the sanctuary will eventually be able to house 300 donkeys. The sanctuary is open to the public and conducts activities to increase public awareness about the severity of the environmental threats from wild donkeys.

The project has secured significant government cofinancing through the allocation of an additional 35 hectares of land on which to grow forage for the donkey sanctuary population, as well as the use of government equipment during corraling activities. Private sector cofinancing was received through the allocation of shipping space to transport equipment such as water tanks to Antigua and Barbuda. For additional information, see www.antiguaanimals.com/donkey/.



Donkey sanctuary; photo by Josh Brann.



Land degradation from donkeys; photo by Josh Brann.

EO 2007). In accordance with these principles, catalytic and replication effects in OECS countries—especially those of national enabling activities—have largely involved elevating the environmental agenda in the focal areas targeted by the projects, improving communication and coordination among various agencies, and potentially effecting behavior changes among stakeholders.

GEF support additionally has enabled OECS countries to fulfill all their reporting requirements to all conventions eligible for GEF financing; it has also provided funding for environmental initiatives that would not otherwise have been funded.

Some GEF national enabling activities have had a strong catalytic effect, bringing together a

wide audience from all sectors of society, with potential replication across sectors. For example, while designed to comply with the requirements of the Stockholm Convention, enabling activities addressing POPs have also served as catalysts for application of the Basel and Rotterdam Conventions—thus helping merge key components of hazardous chemical management policy into a single process among different agencies.

GEF national projects have contributed to the adoption of policies in OECS countries (climate change policy and national action plans, national land policies, and national biodiversity strategies and action plans) and of regulatory frameworks (environmental management, biodiversity management, biosafety protocols) that provide an enabling environment within which to tackle environmental problems and issues.

The replication efforts of regional GEF projects in the OECS region are also worth noting:

- All regional projects have a significant knowledge transfer component entailing dissemination of lessons through project results, documents, training workshops, information exchange, and national and regional forums.
- Regional projects seek to build the capacity of and to train individuals and institutions to expand project achievements in the country and within the Caribbean region.
- Regional projects share knowledge and best practices with other SIDS regions. The IWCAM project has partnered with the Secretariat of the Pacific Community Applied Geoscience and Technology Division to prepare technical reports on integrated water resource management and sharing of best practices and lessons learned.

Additionally, GEF regional projects involving the OECS region have national demonstration sites, which in turn have helped catalyze a public good. In the OPAAL project, gazetted protected areas have been established in each of the six participating countries (box 5.6). Pursuant to the formulation of management plans for each of these sites, investments were made in creating and/or enhancing alternative livelihoods for those groups and persons who had traditionally made a living from within or around the protected area. Participating countries also have received significant training in all aspects of protected area management, and each country was provided with assistance in the development of national public awareness and communication strategies to disseminate information on protected area management. Box 5.7 lists the OPAAL demonstration sites.

The IWCAM project is another good example of a project wherein steps were taken to catalyze demonstration sites in a number of participating countries. The objectives of the demonstration sites with regard to the overall regional IWCAM project are as follows:

- To target selected national and regional hotspots of watershed and coastal impacts and threats, as well as sensitive areas that are particularly vulnerable to similar impacts and threats

Box 5.6

Tobago Cays

In 2005, the Tobago Cays Marine Park was selected as one of six protected area demonstration sites for the OPAAL project. This project has provided St. Vincent and the Grenadines and the marine park with resources for and technical assistance in strengthening protected area management, the development of sustainable livelihood opportunities, and capacity building.

Box 5.7

OPAAL Demonstration Sites

OPAAL DEMONSTRATION SITE	<i>North East Marine Management Area (NEMMA)</i>	<i>Cabrits National Park (focus on the marine component)</i>	<i>Point Sable Environmental Protected Area</i>	<i>Tobago Cays Marine Park</i>	<i>Annandale and Grand Etang Forest Reserves</i>	<i>Central Forest Range</i>
COUNTRY	Antigua & Barbuda	Commonwealth of Dominica	Saint Lucia	St. Vincent & the Grenadines	Grenada	St Kitts & Nevis
DATE ESTABLISHED	2005	1986	2007	1997	Annandale: 2006; Grand Etang: 1906	2007
MANAGEMENT AUTHORITY	Fisheries Division	Forestry & National Parks with the Fisheries Division	St Lucia National Trust with Fisheries & Forestry Departments	Tobago Cays Marine Park Board	Forestry & Parks Department	Physical Planning & Environment Department



Component 2 of OPAAL deals with protected area management and associated alternative and new livelihoods. In this component, the project seeks to promote biodiversity management and conservation through the establishment of new and strengthening of existing protected areas, complemented by support for alternative and/or new livelihoods in areas in proximity to OPAAL-supported protected areas. The livelihoods component is specifically geared to providing benefits to those target groups associated with protected areas, particularly where that association implies a dependency on the resources for livelihood support or where there is a displacement of the livelihoods because of the establishment of the protected area.

Livelihood activities supported under the project focus on improving and demonstrating real economic benefits, especially for new, sustainable enterprises. Potential employment opportunities include tourism and ecotourism development, craft training and development, organic farming (e.g., financing a marketing study for production of organic bananas), alternative low-impact reef fisheries catch program, and microgrants for poverty alleviation and livelihood enhancement projects. To establish sustainable practices and/or opportunities within and around the OPAAL-supported protected areas, an assessment of livelihoods associated with each site was conducted in 2005. The findings of this assessment were used to determine economically viable and environmentally sustainable new or alternative livelihood activities at each OPAAL site, and informed the development and implementation of small projects from which many community persons benefited.

In the process of providing for the enhancement of existing livelihoods (where compatible with protection objectives), and/or the provision of alternatives, the project fostered partnerships with appropriate national, regional, and community development agencies and organizations.

Source: OPAAL project documents.

- To address GEF multifocal area⁵–eligible issues on the ground through GEF funding supported by significant cofunding
- To deliver real and concrete improvements and mitigation to IWCAM constraints and impacts
- To identify and mobilize reforms to policy, legislation, and institutional realignment consistent with IWCAM objectives
- To provide transferable lessons and best practices that can serve to replicate successes elsewhere both nationally and regionally

Table 5.1 lists the IWCAM demonstration projects in the OECS countries. The IWCAM demonstration project in St. Lucia included testing of technologies for rainwater harvesting. Rainwater harvesting sites (figure 5.2) were set up in households and in a primary health care center. The significance of the technologies was noted during the 2010 drought. Now with PPCR funding, the government of St. Lucia is hoping to scale up these rainwater harvesting technologies nationwide. To this end, the government has requested concessional loans, through the PPCR framework, for the establishment of a climate adaptation loan facility that can provide subsidized-interest loans to vulnerable groups, communities, households,

⁵That is, GEF OP9, integrated land and water multiple focal area operational program.

Figure 5.2

Rainwater Harvesting Technology in St. Lucia to Be Scaled up and Replicated



Source: IWCAM.

and the private sector for—among other things—the purchase of rainwater tanks and roof guttering to collect and store rainwater.

A major focus of the regional IWCAM project is to undertake specific demonstrations of targeted IWCAM activities in order to deliver actual achievements in mitigation and resolution of threats and root causes. This represents a discrete component of the overall project (Component 1: the demonstration, capture, and transfer of best practices). Under this component, a number of demonstration projects have been developed at the national level.

Table 5.1

IWCAM Demonstration Projects in the OECS

Subcomponent	Country	Title
A: Water resource conservation and management	St. Kitts and Nevis	Rehabilitation and management of the Basseterre Valley as a protection measure for the underlying aquifer
	St. Lucia	Protecting and valuing watershed services and developing management incentives in the Fond D'or Watershed Area of St. Lucia
B: Wastewater treatment and management	Antigua and Barbuda	Mitigation of groundwater and coastal impacts from sewage discharges from St. John

To share practical experiences in promoting the approaches used by the project and demonstration sites, IWCAM has introduced guidelines for preparing experience notes (Clauzel 2009). These notes will identify individual practices, approaches, strategies, methodologies, or lessons from any project, and convey that information in a prescribed format.

The IWCAM project, together with GEF international waters projects in 13 other countries, actively participates in the IW:LEARN (International Waters Learning Exchange and Resource Network) initiative. In this context, the IWCAM project shares its experience and lessons with other GEF-funded international waters projects around the world.

Climate change began to gain in importance in the OECS region with implementation of the CPACC project, which was then scaled up as the MACC project. The SPACC project, which grew out of MACC, is now establishing demonstration sites in three OECS countries—Dominica, St. Lucia, and St. Vincent and the Grenadines. Through SPACC, the GEF has financed the first concrete adaptation project in the OECS region: Dominica, St. Lucia, and St. Vincent and the Grenadines are implementing site-specific measures for reducing vulnerability and increasing the adaptive capacity of vulnerable communities and the ecosystems on which they depend.

Through CPACC, countries were given assistance in developing national climate change policies and action plans. Between 2003 and 2004, Grenada, St. Lucia, and St. Vincent and the Grenadines received cabinet endorsement for their policies and action plans. These countries became the first in the Caribbean to receive support from the Climate Investment Fund for designing their PPCRs. St. Lucia has allocated funds in its PPCR

investment portfolio for scaling up elements of one of the SPACC demonstration projects—sustainability of water resources and supply—to vulnerable groups, communities, households, and the private sector. To this end, St. Lucia has also requested concessional loan funds to establish a climate adaptation loan facility to provide cheap loans for undertaking adaptation projects, including rainwater harvesting and storage.

The CPACC/MACC projects, together with the GEF-supported enabling activities in climate change at the national level, also spurred national and regional dialogue around climate change. Further, the INC climate change enabling activity played a crucial catalytic role for countries in meeting their UNFCCC obligations, and to lay the foundation for a national climate change policy. Now, all countries participating in the PPCR have prepared or will be preparing a second generation of climate change policies and have well-established and -functioning national climate change committees. One other catalytic effect that is worthy of mention is that during the preparation of the INC, national capacities were built for the conduct of vulnerability and adaptation assessment and the preparation of GHG inventories. Many OECS countries have used this national capacity to prepare their second national communication. National capacity is complemented by regional capacity, such as individuals trained at the University of the West Indies Centre for Resource Management and Environmental Studies in climate change, which was financed through the MACC project.

A catalytic effect of the GEF-financed climate change activities in the OECS is the Caribbean Renewable Energy Programme FSP. The project created a regional energy policy framework that was used to guide the formulation of an OECS energy policy framework by the OECS

Secretariat, and financed through CIDA. Further, the project collaborated with the Global Sustainable Energy Island Initiative to prepare sustainable energy plans for Dominica, Grenada, St. Kitts and Nevis, and St. Lucia. These plans complement the national climate change adaptation policies and action plans the countries had developed previously.

National energy plans have made notable progress in promoting the use of renewable energy with pilots on solar energy, and planning for geothermal schemes for cross-border transmission in St. Kitts and Nevis and Dominica is well advanced. GEF support has helped establish policies, strategies, and frameworks that have in turn helped build a strong foundation for the OECS countries to contribute to international efforts to protect the global environment.

There are numerous small-scale site activities financed through the SGP in the OECS. The projects funded through the SGP provide opportunities for community-level stakeholders to initiate or build on the participatory process in community development and contribute to capacity development of the executing civil society organizations (box 5.8). With a few exceptions, the SGP projects have not yet significantly influenced larger projects and broader policies. There is potential to market the community approach to planning and implementation of larger national projects, particularly where successes are documented. The OPAAL project concept had some of its origins in SGP projects implemented by the St. Lucia National Trust in the 1990s.

5.3 Institutional Sustainability and Capacity Development

Capacity development is typically associated with a focus on training at the individual and

Box 5.8

JEMS Progressive Community Organisation

This SGP project entailed a series of public consultations and a national consultation on the SGP and the GEF thematic areas. It was aimed at increasing community understanding of GEF thematic areas through focus group discussions on SGP structures and methodology and by equipping 25 community leaders with skills in project writing, implementation, and evaluation. The effort also sought to establish a project appraisal committee to prioritize and prescreen all potential SGP projects in St. Vincent and the Grenadines before sending them to the Barbados-based selection committee and to produce a documentary video on the process.

Source: http://sgp.undp.org/~sgpundp/index.php?option=com_sgpprojects&view=projectdetail&id=3899&Itemid=205#.UD19xEQyE7A.

organizational levels, and this has generally been the approach taken by GEF projects in the region. However, to fully capitalize on investments made through GEF projects, this approach to capacity development may need to differ across countries, with an emphasis on linking a variety of approaches to form a coherent strategy with a long-term perspective and vision of social change. Thus, current capacity development initiatives within GEF projects should adopt approaches whereby different levels of action (at the individual, organizational, and system levels) are integrated, fostering greater sharing of knowledge and creating networks that are supported and can adapt to change.

To improve the sustainability of project results, it may be worthwhile in future projects to pursue different approaches to human resource development as well as to embrace evolving human resource needs as projects are implemented with an early emphasis on knowledge and skills foundations. Note that a large portion of GEF projects in the OECS region during the evaluation period were enabling activities.

The area of sustainability within capacity development initiatives needs to be fully addressed, as capacity development is a long-term, iterative process—which is not how it has been addressed in all GEF projects. Going forward, capacity development should include building processes and tools into the project design to ensure systemic capacity for ongoing knowledge building, as well as an explicit focus on mainstreaming sustainable development and capacity within both existing local training institutions and wider regional institutions such as the University of the West Indies and satellite campuses in OECS countries. While undertaken in some projects, greater consideration could be given to employing participatory planning processes in project design to serve as a capacity-building exercise ensuring better implementation of GEF programs and projects.

GEF programs and projects recognize that sustainability occurs from within. Multiple approaches are usually employed and built into projects, thereby enhancing the capacities of the organizations in which these projects are being implemented. Also, capacity development in sustainable development requires strengthening of environmental agencies in their ability to enforce environmental regulations and address environmental issues; this must be a central focus of projects and will enhance prospects for sustainability.

Tools that have been used in pursuing the sustainability of capacity-building initiatives within GEF projects include the following:

- Developing and disseminating a wide range of training materials and other reference materials and investing time in developing quality training materials that could be used beyond the classroom and at the workplace
- Developing tools such as checklists and guides to quickly expand individual and organizational

knowledge of environmental and sustainability issues

- Responding to identified rather than perceived needs
- Ensuring that training materials link environmental management with economic and social issues, as most people quickly “buy in” to training when relationships between improvements in environmental quality and quality of life issues are explored

GEF projects also focus on sustainability by connecting projects to existing primary processes related to environmental management portfolios in each of the countries. The development and implementation of demonstration projects illustrating a range of tangible benefits has been key in emphasizing the importance of sustainability. This was clearly emphasized in the IWCAM project.

Greater efforts to encourage various agencies across OECS countries to work together and develop a common approach would result in greater effectiveness and efficiencies; these in turn would lead to greater levels of systemwide impact. Such efforts could be realized through the pursuit of collaborative alliances, focusing on how these are built and how these could lead to results that would not occur if agencies/countries work in isolation. The importance of a multipronged approach to systemic change cannot be overemphasized. A focus on national policies and institutions, twinned with local demonstration projects, creates an innovation cycle leading to locally driven sustainability.

5.4 Environmental Impacts and Global Environmental Benefits

For GEF projects, impacts are defined as a sustained positive change in the status of

environmental resources, and can be achieved across a spectrum of scales from small to large. GEF support is intended to achieve impacts on a scale sufficient to constitute global environmental benefits. The scale of impacts necessary to constitute global environmental benefits is not well defined for any of the GEF focal areas. In the OECS region, clearly identifying impact-level results is complicated by a lack of adequate baseline and environmental monitoring data. Measuring impacts in many focal areas is challenging, particularly with regard to climate change adaptation, which has been a focus of GEF support in OECS countries. For most focal areas, credibly assessing impact-level results requires monitoring of environmental trends across extended periods of time. Such data are not available in a comprehensive sense in the OECS region, particularly for biodiversity resources.

It could be said that within the OECS portfolio, there are some completed projects and projects nearing completion that have contributed to or are expected to contribute to impact-level results and larger scale global environmental benefits. This will require further verification when sufficient time has passed for impacts and benefits to be adequately assessed, but the key conditions seem to be in place in some cases.

As found in the ROTI analyses conducted for this evaluation, the earliest projects in the portfolio, such as the Ship-Generated Waste Management project and the Grenada Dry Forest Biodiversity Conservation project, were not highly successful in achieving impact-level results. The more recent projects, particularly those with on-the-ground activities such as the IWCAM and OPAAL projects, are likely to have a direct impact which should be documented in the terminal evaluations of these projects. In the biodiversity focal area, it is not possible to assert that GEF support

has contributed to global environmental benefits. Some impact-level results have likely been generated by the demonstration activities of the IWCAM project, although biodiversity conservation is not the primary justification for the demonstration sites. Box 5.9 describes capacity development activities in the OPAAL project.

Enabling activities are generally not considered as directly contributing to impact-level results. Projects targeted at the enabling level of the results chain may contribute to impacts, but the linkages and contributions are far removed and diffuse, thus making an evidence-based connection generally not possible.

Box 5.9

OPAAL Trains Fishermen and Residents in New Skills

The OPAAL project is a developmental plan that seeks to conserve globally important biodiversity in participating countries of the OECS by removing barriers to the effective management of protected areas and increasing the involvement of civil society and the private sector in the planning, management, and sustainable use of these areas.

One of the ways in which the project seeks to meet the goal of sustainability of the Cabrits National Park—the OPAAL demonstration site in Dominica—is by providing training to people in the area surrounding the national park in alternative livelihoods that will not have a negative impact on the park's resources. To this end, the project has provided training in areas including craft production; literacy and numeracy for small business; and tour guide, fishing, and navigation skills.

People who have been trained through the OPAAL initiative are eligible to submit projects for up to €13,000 in grant funding. A new visitor resource center for the park is being constructed near the Cabrits Welcome Center.

Source: <http://www.insidepossie.com>.

6. Relevance of GEF Support to OECS Countries

This chapter examines the following questions on relevance of GEF support to the OECS countries:

- Is GEF support relevant to the OECS and its member countries' national environmental priorities and national GEF focal area strategies and action plans?
- Is GEF support relevant to the OECS and its member countries' sustainable development needs and priorities?
- Is GEF support relevant to global environmental benefits in OECS and its member countries (biodiversity, climate change, international waters, POPs, land degradation, etc.)?
- Is GEF support relevant to the GEF mandate, operational principles, and global focal area strategies?
- Is GEF support relevant to emerging or evolving issues in the OECS region?
- Is GEF support relevant to the varying levels of capacity and differing needs and priorities among OECS countries?
- Are regional approaches relevant to the needs of participating OECS countries?

6.1 Relevance to National Environmental Priorities and GEF Focal Area Strategies and Action Plans

During the period of GEF funding, environmental management in the OECS region has been based on each country's national environmental management strategy, which is guided by the OECS Environmental Management Strategy, the framework document for actualization of the St. George's Declaration of Principles for Environmental Sustainability in the OECS. In addition, all six OECS countries have developed a number of action plans that support their commitments to various international environmental agreements. These plans address specific focal areas and include national biodiversity strategic action plans, national biosafety frameworks, national implementation plans for POPs, national communications to the UNFCCC, NCSAs, and plans focused on climate change adaptation.¹

GEF support has been critical to the development of these communications and action plans, primarily through enabling activities designed

¹ Note that while some least developed countries have developed national climate change adaptation programs of action, none of the OECS countries have developed such a plan.

“The GEF-IWCAM is highly relevant and in-line with national priorities within National Action Plans for the environment. The project has identified roadmaps for the revision of national policies and legislation to ensure that the principles of IWCAM are met and supporting the LBS Protocol at a regional level. The GEF-IWCAM project is rated as Satisfactory with respect to country ownership/drivenness.” —Midterm Evaluation Report, October 2009

specifically to assist countries in meeting the requirements of international conventions. It is unlikely that these plans and communications would have been developed in such a timely manner without GEF support. This is an important first step in the process of national environmental management, as the plans examine the relevant issues, identify priorities, and set the framework for action. Table 6.1 shows the relevance of GEF projects to the development of national action plans, the development of national policies and legislation, capacity development, and other on-the-ground activities that contribute to action plan implementation.

GEF projects have supported some implementation of these action plans, taking them beyond the planning stage to concrete actions on the ground. For example, the OPAAL project ensures sustainable management of protected areas and national parks by involving the populations living in or around protected areas in co-managing the protected areas effectively, and strengthening capacities of appropriate local authorities and villagers. SGP provides access to GEF funds to local communities and NGOs; another example of on-the-ground support for protected areas is the SGP COMPACT—Community Management of Protected Areas for Conservation program in

Dominica—which targets the Morne Trois Pitons World Heritage Site. IWCAM’s demonstration projects also provide tangible results. Additional focus needs to be placed on follow-up to facilitate further implementation of national action plans.

6.2 Relevance to Region’s Sustainable Development Agenda and Environmental Priorities

As noted above, the OECS region is committed to the implementation of global sustainable development programs of action such as the 2002 Johannesburg Plan of Implementation and the 2005 Mauritius Implementation Strategy for SIDS. Although none of the OECS countries have developed national sustainable development plans, they are guided by the St. George’s Declaration of Principles for Environmental Sustainability, which is based on the principles and commitments to sustainable development enunciated in the Agenda 21 program of action. The associated OECS Environmental Management Strategy and countries’ national environment management strategies are the mechanisms for operationalizing the St. George’s declaration.

One OECS country, St. Kitts and Nevis, is unique in placing its environmental portfolio within a ministry of sustainable development—under the prime minister’s portfolio—indicating a more holistic approach to environmental management. This ministry has responsibility for coordinating actions with respect to the country’s commitments to international environmental agreements. GEF support to meet these commitments is relevant to moving St. Kitts and Nevis on its path toward sustainable development.

GEF enabling activities have dovetailed with the development of national legislation, policies, and plans related to OECS countries’ national

Table 6.1

Relevance of GEF to National Environmental Priorities and Action Plans

Project	Develop- ment of action plans	National policies & legislation	Capacity develop- ment	Other activities
Biodiversity				
Clearing House Mechanism Enabling Activity				
National Biodiversity Strategy, Action Plan and First National Report to COP				
Biodiversity Enabling activity				
Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State				
OECS Protected Areas and Associated Livelihoods				
Dry Forest Biodiversity Conservation				
Mitigating the threats of Invasive Alien Species in Insular Caribbean				
Climate change				
Caribbean Planning for Adaptation to Global Climate Change				
Mainstreaming Adaptation to Climate Change				
First and Second National Communications				
Climate Change Enabling Activity				
Building Capacity for Conducting Vulnerability and Adaptation Assessments in the Caribbean				
Caribbean Renewable Energy Development				
National Capacity Self Assessment				
International waters				
Integrated Watershed and Coastal Areas Management				
Ship-Generated Waste Management				
Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem and Adjacent Regions				
Implementation of Pilot Adaptation Measures in Coastal Areas of Dominica, St. Lucia and St. Vincent				
Persistent organic pollutants				
Enabling Activity for the Stockholm Convention on Persistent Organic Pollutants				
Land degradation				
Capacity Building for Sustainable Land Management				

environment management strategies and larger sustainable development agenda. For example, in Grenada, GEF support facilitated the development of sustainable use plans and programs for inland and coastal fisheries, mangroves, forest resources, and wildlife species which were linked to the country's National Physical Development Plan. Additionally, protected area legislation was drafted, accompanied by finance plans and management

plans. Similarly, countries' water resource policies leveraged the experience of the IWCAM project to advance their implementation.

Regional GEF projects have assisted in targeting national and regional environmental priorities. In the OPAAL project, priorities were identified through multistakeholder consultative processes and guided national and regional efforts and

support to the environment. This consistency of GEF support with national and regional priorities has not, however, fostered a sufficient sense of local ownership of GEF-supported initiatives. Countries repeatedly remarked on the need for the GEF to finance more national projects and more national components in regional projects.

Most GEF projects have built-in capacity-building components. National reports such as the annual reports to the CBD indicate that there has been an increased dependence on external donor support for education and capacity-building initiatives in light of reduced government spending in these areas. Consequently, much of the capacity building that has occurred in OECS countries' environmental sector over the past decade or so can be attributed to GEF-funded projects. SGP achievements at the local level are noteworthy in this context. For example, the OPAAL project has an income-generation and livelihood component. While it is still too early to evaluate the results of these components, the combination

of conservation with sustainable use and alternative income generation is found to be highly relevant to a country's development needs. An example is shown in box 6.1, where the prime minister of St. Kitts and Nevis recognizes the importance of conservation to national sustainable development.

6.3 Relevance to Global Environmental Benefits in the OECS


The present suite of Caribbean GEF projects reflects a balance between securing global environmental benefits and achieving national environmental objectives. The national development and environmental agenda that has evolved in the OECS over the past decade and a half has benefited substantially from the baseline and technical information GEF support has enabled. In addition, the opportunity to identify priorities and establish strategies and action plans in the fields of biodiversity, climate change, sustainable land management, and international waters has

Box 6.1

Relevance of the OPAAL Project to Sustainable Development in St. Kitts and Nevis

Prime Minister of St Kitts and Nevis Lauds Community Livelihoods Project for Central Forest

St Kitts' Prime Minister, Dr Denzil Douglas, has welcomed the OPAAL community livelihoods project, for the Central Forest Reserve which was recently launched in St Kitts and Nevis. Dr Douglas made this gesture, during his feature address to stakeholders at the ceremony to mark the start of the community project. "Sustainable livelihoods and job opportunities are welcomed especially because they can benefit those persons who have been victims of the global economic downturn and the closure of the sugar industry... This project therefore provides an avenue for community persons to fulfill their dreams. It is expected to expand our resources, while protecting our forest." Also speaking at the ceremony was Director of the Physical Development in St



sustainable development in the twin island. "This is the first place to be officially gazetted and established as a Protected Area and National Park", he acknowledged.

Mr David Popo, speaking on behalf of the OECS Secretariat, recognized the dedicated work of the Department of Physical Planning and Environment in getting the livelihoods project off the ground. He reaffirmed the commitment of the OECS Secretariat in integrating biodiversity protection with revenue generation. The ceremony was attended by an estimated 40 persons representing various stakeholder interest including government agencies, tourism, and agro-manufacturing.

Kitts, Mr Randolph Edmeade. Edmeade encouraged community persons to take advantage of the benefits the project will offer, noting that the Central Forest itself represented a milestone in

Visitor interacts with famed Vervet Monkey at the foot of St Kitts' Central Forest

Source: OPAAL Newsletter July/September 2010, <http://www.oecs.org/news-a-events/newsletters/archive/listid-3-opaal-newsletter>.

contributed to moving the environmental agenda forward.

The relevance of GEF support to global environmental benefits in OECS countries is determined in relation to the effect of GEF projects on the following:

- The RAF/STAR Global Benefits Index (for biodiversity and climate change), and to other global indicators for international waters, land degradation, and POPs
- Threats identified by non-GEF sources to globally significant environmental resources
- National implementation of global conventions

The OECS GEF portfolio covers all of the focal areas, with the exception of ozone depletion under the Montreal Protocol, which is not a priority for OECS countries. As highlighted at the beginning of this report, a majority of the portfolio is in the international waters focal area, with most of the remainder allocated nearly equally between biodiversity and climate change. The most significant aspect of climate change for OECS countries is not the relative contribution to global climate change, but the countries' severe vulnerability to its effects. Therefore, while climate change mitigation initiatives addressing energy efficiency and renewable energy have been undertaken, there has been more focus here on efforts to assess and respond to climate change vulnerabilities, and initial steps have been taken through GEF-funded climate change adaptation projects. However, the OECS countries' climate change RAF allocation can only be used to address climate change mitigation, because funding for adaptation is handled under alternative mechanisms such as the Adaptation Fund or Strategic Climate Change Fund. Some stakeholders noted that the individual country GEF-5 climate change allocation floor

(\$2 million) is not adequate to leverage any substantial government or private sector resources for climate change mitigation activities such as developing renewable energy sources. Considering the value of adaptation activities to the OECS countries and the positive track record in this area, it could be useful for the GEF to consider flexibility in the use of the climate change STAR allocation for countries that have limited access to other GEF funds that can be used for adaptation such as the Strategic Climate Change Fund.

A recent set of national MSPs has focused on land degradation, which is the first work undertaken in this focal area that is highly relevant in the OECS region. Section 3.2 highlighted the key global environmental values for the region, and summarized the Global Benefits Index; also see the global environmental benefits assessment included in volume 2, technical document 2.

It is not possible to make comparisons of global environmental indicators before and after implementation of GEF projects. It can be seen that GEF support has been relevant to the achievement of global environmental benefits in the biodiversity, climate change, international waters, land degradation, and POPs focal areas based on the development of national action plans that address these issues as well as other tangible results such as the establishment of national protected areas, the development of land use plans, and the revision of legislation to better address these areas.

A review of national and regional GEF-funded projects in the OECS showed that they were designed and approved on the basis of their relevance to international and/or regional environmental conventions. This has been borne out in practice, as GEF projects have directly led to fulfillment of the reporting and planning requirements of these conventions.

The move toward local-level involvement in GEF projects took momentum after the Ship-Generated Waste Management project. This local involvement is necessary for achieving global benefits at the local level; for that reason, all subsequent GEF projects have become even more relevant. The new policy on voluntary GEF national portfolio formulation exercises proposed for GEF-5 will likely help to further increase country ownership.

6.4 Relevance to Emerging or Evolving Issues in the Region

GEF activities in the OECS region have been aligned mainly with the biodiversity, climate change, and international waters focal areas, with less involvement in land degradation and POPs. This is in keeping with current and anticipated regional priorities.

The Cartagena Convention recognizes the importance of protecting and developing the Caribbean marine environment. Through its three protocols, the convention seeks to protect critical marine and coastal ecosystems in the region. GEF projects in the international waters focal area directly contribute to achieving the goals of this convention. The LBS Protocol entered into force August 13, 2010; as of this writing, only two OECS countries are signatories to the protocol. However, the progress of this protocol indicates growing recognition of the contribution of land-based sources of pollution to the marine environment. GEF activities that lead to better land use and management will contribute to achieving the goals of the LBS Protocol.

OECS countries, like other SIDS in the Caribbean and elsewhere, are interested in reducing their vulnerability to anticipated impacts of climate change such as higher sea level and increased

intensity of hurricanes. GEF-funded climate change adaptation initiatives are extremely relevant to the region for this reason. The development from the GEF-funded CPACC to a comprehensive portfolio of climate adaptation programs demonstrates the relevance of the GEF's approach in this focal area. Projects that support energy efficiency and renewable energy also show a sensitivity to emerging priorities in the region, as countries are developing national energy policies and plans not only to address climate change mitigation, but also in an attempt to provide clean, safe, affordable energy for their citizens.

6.5 Relevance to Capacity, Needs, and Priorities of OECS Countries

Although the pursuit of regional initiatives is more pronounced in the OECS region, the success of these initiatives is dependent on the capacity and willingness of national agencies. Project activities at the national level are expected to be implemented by the same agencies, whose absorptive capacities are already limited.

Project funding is usually not available or is inadequate to strengthen national capacities to meet the rigorous GEF and GEF Agency operating procedures. Long delays were suffered by the OPAAL project because of the logistical difficulties experienced by each of the national implementation units as they sought the gazetting of the pilot protected area. This, in turn, has affected the effectiveness of the project's livelihood component.

During project design, when seeking counterpart financing, inadequate consideration is often given to identifying appropriate project financing for sourcing capacities for national-level implementation. Thus, national activities are compromised and not undertaken in a timely manner. Both the IWCAM and OPAAL projects had to

hire personnel at the site level to undertake project activities, and national coordinators had to be compensated to ensure that they undertook project activities (box 6.2).

GEF support has built capacity in the region in some technical areas. The CPACC demonstration projects contributed to the establishment of a network that delivers data to the region and is contributing to the global monitoring effort by making data available to the World Meteorological Organization's Global Climate Observing System.

6.6 Relevance of Regional Approaches to Country Needs

Highly technical subject matter such as biosafety and climate change is better adapted to regional approaches since national capacities and institutions are inadequate. The greatest challenge facing OECS states participating in the Cartagena Protocol to the CBD and in implementing it and the conference decisions is the lack of human resources, and institutional and technological capacity in biosafety activities at the national level. Through the Biosafety Program, these countries have been able to formulate biosafety and biotechnology bills that are compliant with the Cartagena Protocol, while participating in regional training, information sharing networks, and so on. Most of the OECS countries have demonstrated their commitment to addressing this issue by making national-level inputs to the project management and governance structure for biosafety. One such example is the establishment of St. Lucia's Biodiversity Office.

The regional GEF-funded projects were instrumental in facilitating the development of a regional position on climate change that was used in international negotiations related to the UNFCCC and the Kyoto Protocol and which led

Box 6.2

Lessons Learned from the IWCAM Project

Available human capacity within SIDS can be a critical success factor in project implementation. In islands with small populations and limited numbers of professionals, it is important to design projects so that this constraint does not become a limiting factor. Even with funds available to hire personnel, there are in many cases not enough persons to consider locally for hiring. It may defeat the purpose of a national demonstration if staff need to be recruited/hired from outside the local environment.

IWCAM identified the lesson that demonstration projects that have dedicated project funds (as distinct from counterpart funding) set aside for the project manager's salary have generally resulted in more effective and efficient project implementation. This is because the project manager is generally able to work full time on the project rather than having to also work on other jobs within a particular ministry.

Source: waterwiki.net.

to the development of a regional climate change strategy. None of this would have been possible using a country-level project approach. On the technical side, through the CPACC project, participating countries were able to benefit from a regional sea level/climate monitoring network, the establishment of databases and information systems, an inventory of coastal resources, and so on. National capacities still remain limited in the OECS to undertake such technical activities.

Regional projects for SIDS help overcome the issue of high transaction costs to the GEF and to the GEF Agencies. In the OECS region, having to deal with one regional agency (e.g., the OECS Secretariat)—which already has some capacity for project management—instead of six national agencies with varying capacities is an attractive proposition for ensuring economies of scale. In addition, there are activities that lend themselves easily to

regional approaches. Capacity building, training, and formulation of frame policies and legislation are activities that are more cost-effective if offered through regional mechanisms. This also contributes to the harmonized approaches called for in the St. George's Declaration of Principles for Environmental Sustainability in the OECS.

While regional approaches remain relevant, regional cooperation must be country driven rather than in response to an external agenda. To be eligible for GEF funding, regional projects must reflect national priorities and must be approved by the governments of the participating states. In addition, the GEF focal point in the

recipient country or countries must approve the project proposal.

Regional approaches must be complemented with national demonstration projects that deliver tangible outputs that reflect the development needs and priorities of the states. Unfortunately, there can be shortcomings to this approach. The effectiveness of a regional approach can be diluted by the number of participating countries and the types of capacity available to deliver the project at the regional and national levels. Often, the level of funding available for national demonstration projects has been inadequate and has not allowed for scale-up of best practices generated from the demonstrations.

7. Efficiency of GEF-Supported Activities in OECS Countries

This chapter examines the following questions on results of GEF support to the OECS countries:

- How much time, money, and effort is expended to develop and implement a project in the OECS region (by type of GEF support modality, including SGP)?
- What are the roles and level of coordination and communication among stakeholders in project development and implementation?
- Are GEF modalities and processes adequate for efficiently addressing the needs and priorities of SIDS in the Caribbean?
- What are the synergies for GEF programming and implementation (including across GEF focal areas) among GEF Agencies, national and regional institutions, GEF projects, and other donor-supported projects and activities in the OECS region?
- Has GEF support mobilized resources from other sources for the environment?
- Are monitoring and evaluation contributing to the efficiency and effectiveness of GEF support in the region?

7.1 Time, Effort, and Financial Resources for Project Processing

A distinction should be made among FSPs, MSPs, and enabling activities as the project cycle differs

slightly depending on the modality; a distinction should also be made between national and regional projects, as the latter require synchronizing resources and personnel across several countries, which can influence project cycle duration. Missing data also need to be taken into account, as some dates are missing for several projects.

This evaluation covers the full life of the GEF, but the GEF project cycle has evolved over the years, which makes assessing project cycle durations over time challenging. Following the GEF Evaluation Office's 2006 Joint Evaluation of the GEF Activity Cycle and Modalities, the GEF project cycle underwent a revision in 2007 (at the beginning of GEF-4), and processing time frame limits were adjusted. For example, a limit of 22 months for project development was imposed during GEF-4. This limit has been further reduced to 18 months for GEF-5. Figure 7.1 provides a summary overview of the project cycle before 2007. Figures 7.2 and 7.3 give an overview of the current project cycle, presented separately for FSPs and MSPs, as the project cycle varies slightly for each of these modalities.

This evaluation found that project cycle times in the OECS region are longer than for projects in the GEF portfolios of other countries that have been assessed in recent years. Table 7.1 shows calculations of project cycle time frames. For the national

Figure 7.1

GEF Activity Cycle Prior to 2007 Revision

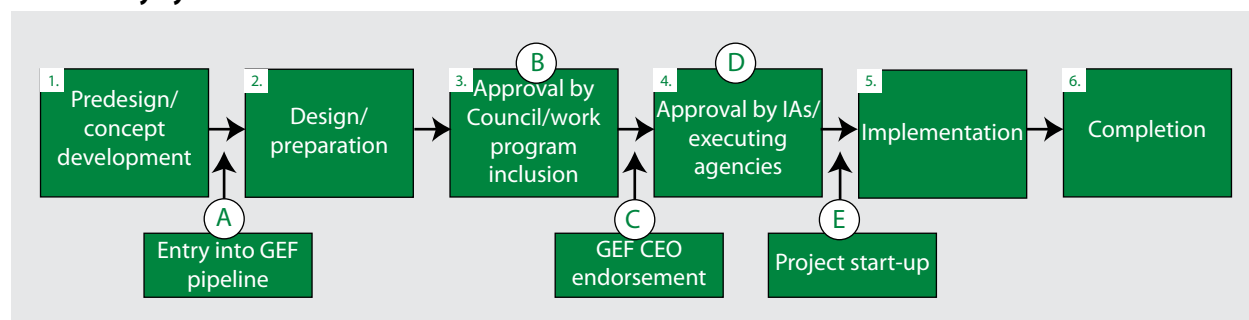
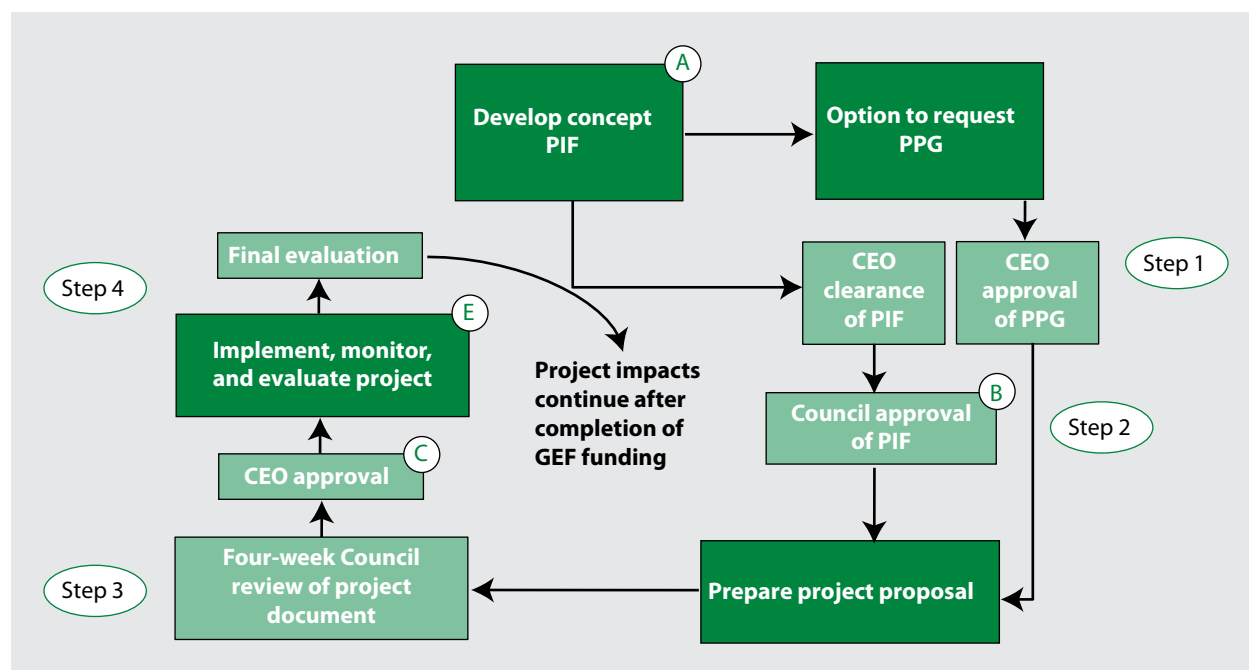


Figure 7.2.

GEF Current Full-Size Project Cycle



FSP supported in Antigua and Barbuda (Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State), the time required to develop and approve the project (54 months from pipeline entry to implementation start) was longer than for FSPs in other countries (more than 24 months for FSPs in Turkey, 35 months in Costa Rica, and approximately

42 months in both Moldova and Nicaragua). It took more time to develop and approve the national OECS MSPs than in other countries: 46 months on average in the OECS, compared to almost 20 months in Turkey, 17 months in Nicaragua, and less than 12 months in Moldova. On the other hand, enabling activities took an average of 5 months to develop and prepare; this is less time than was required in other countries: more

Figure 7.3.

GEF Current Medium-Size Project Cycle

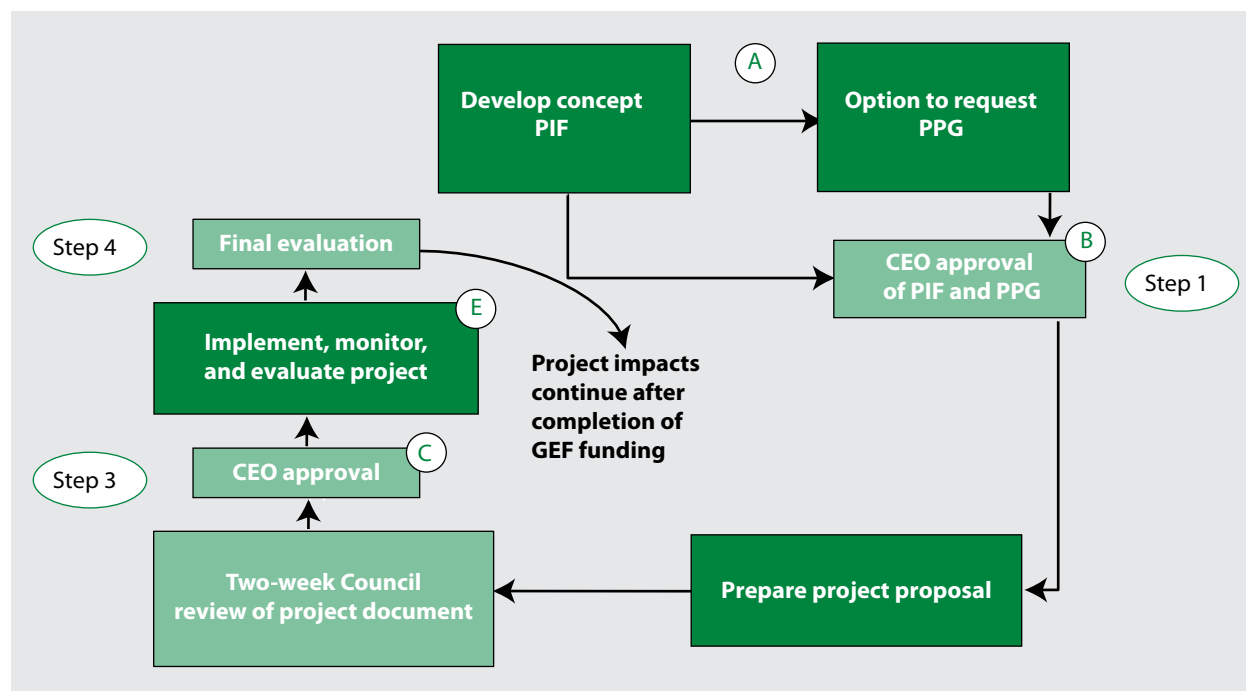


Table 7.1

Average Time Needed to Develop and Approve Projects in the OECS Region

Years

Type of project	A→B	B→C	C→D	D→E	B→E	A→E	Extension	Implementation	Planned duration
National enabling activity	0.00	0.21	0.30	0.00	n.a.	0.48	2.25	4.05	1.76
National FSP	3.13	1.00	0.08	0.50	1.58	4.71	1.52	5.93	4.41
National MSP	0.14	0.43	0.00	0.24	4.27	3.86	0.34	4.26	3.92
Regional enabling activity	—	1.80	0.06	0.11	1.97	—	0.93	5.72	4.79
Regional FSP	0.41	1.06	0.40	0.47	1.93	3.15	0.94	5.52	4.49
Regional MSP	—	0.98	0.35	0.00	1.15	—	0.54	2.65	2.11
Average	0.14	0.92	0.20	0.14	2.08	2.15	1.09	4.69	3.58

Note: — = unavailable; n.a. = not applicable. See figure 7.1 for stages of the GEF activity cycle A–E.

than 18 months in Moldova, more than 12 in Turkey, and more than 10 in Nicaragua.

Average development and approval times are longer for regional projects: for FSPs, it took 23 months on average to move from project entry into the work program to implementation start;

for MSPs, this cycle took 14 months; and for enabling activities, it took more than 23 months. Note, however, that information is available for only one regional enabling activity.

It may not be possible to specifically determine why project development times are longer in the OECS

countries, and there may be a multitude of reasons that contribute to the extended time frames. One likely factor is that it takes an extensive amount of time to organize project development when it requires communication with stakeholders in at least six countries. And many regional projects have included countries beyond the OECS member states. However, the development of regional projects in other regions would likely face similar challenges. It may be that regional projects are too diverse to identify any set of common reasons for extended time frames; the three regional projects that took the longest in the development phase (Ship-Generated Waste Management, the Caribbean Renewable Energy Development Programme, and the biosafety implementation project) are in different focal areas, under different GEF Agencies, and of different scales in terms of the number of countries involved. However, the evaluation did collect data supporting conclusions from previous GEF evaluations that stakeholders frequently feel that GEF project cycle procedures are too complex and have too many requirements to adequately meet countries' needs.

GEF projects typically are allocated a preliminary small grant to assist in financing the cost of project development. Prior to GEF-4, these grants were known as project development facility grants, with block A grants awarded to MSPs (and sometimes to FSPs) and block B grants awarded to FSPs. The maximum amount for a PDF-A was \$25,000, and \$350,000 for a PDF-B. Beginning in GEF-4, these preliminary grants were termed project preparation grants for both MSPs and FSPs, and the guidelines for maximum amounts were adjusted. With a maximum GEF allocation for MSPs of \$1 million, a maximum PDF-A grant would equate to 2.5 percent of project costs. A previous GEF Evaluation Office evaluation found that the average size of PDF-As in the GEF portfolio was \$24,900 (for 180 projects with PDF-As,

including both MSPs and FSPs). There is no maximum GEF allocation for FSPs, so it is not possible to calculate the theoretical share of preparation funding, but PDF-Bs in GEF-1 through GEF-3 averaged \$313,896 (for 393 projects with PDF-Bs). Preparation costs as a percentage of total project costs were not analyzed. However, only 54 percent of projects and proposals had PDF components (GEF EO 2006). All approved projects in the OECS portfolio appear to have had a PDF component.

Table 7.2 shows the average and total preparation costs for FSPs and MSPs in the OECS region. As can be seen, the average preparation costs for MSPs is only \$19,400—below the average for PDF-As in the GEF portfolio in general (before GEF-4). This lower average is due to the fact that the land degradation umbrella MSPs implemented in five of the OECS countries had preparation costs of only \$15,000 each, rather than the maximum of \$25,000; the other MSPs in the portfolio had the maximum. As a share of total project costs, preparation costs were just over 3 percent—slightly above the theoretical minimum of 2.5 percent. This is because few MSPs actually used the maximum \$1 million in GEF funding; the average MSP in the OECS region is \$645,000, reflecting the lower cost of the land degradation MSPs (only \$500,000 each). On an absolute basis, it could be said that MSPs in the OECS region require approximately 22 percent fewer resources to prepare than MSPs in the GEF portfolio overall, but this is highly influenced by the proportion of land degradation MSPs in the OECS portfolio (five of nine MSPs).

The average preparation cost for FSPs in the OECS was \$286,000, or 3.91 percent of total project costs. Based on the average FSP size in the OECS portfolio (\$7.3 million) and in the overall GEF portfolio (\$7.9 million), this percentage is approximately

Table 7.2

Project Preparation Costs in the OECS Region

Modality	Number of projects	Total preparation costs	Average preparation costs	Total project allocations	Average project allocation ^a	Preparation/project cost (%)
			million \$			
MSPs	9	0.175 ^b	0.019	5.806	0.645	3.01
FSPs	16	4.577	0.286	117.085	7.318	3.91
Total	25	4.702	0.188	122.891	4.916	3.83

a. GEF funding only.

b. The preparation costs for two MSPs were not documented; it has been assumed that they both had the maximum PDF-A amount of \$25,000.

equal to the overall GEF percentage of 3.97. It can thus be concluded that projects in the OECS region require no more or less resources for project preparation (as a share of total project budget) than the GEF portfolio overall. On an absolute basis, projects in the OECS region require approximately 9 percent fewer resources to prepare than FSPs in the GEF portfolio overall.

It may be surprising that OECS projects do not require more resources than other GEF projects on average, considering that many of the projects are regional efforts involving many countries and stakeholders, and thus are theoretically more complex and time consuming in terms of reaching consensus on project design. However, it must be remembered that not all projects in the overall GEF portfolio make use of PDF resources. Thus, the average preparation costs across the full GEF portfolio would be somewhat lower than the figures indicated above (taken from GEF EO 2006). Further, because there are limits on the total resources the GEF provides for project preparation, it is not surprising that preparation costs in the OECS region are similar to those for the GEF portfolio overall. Finally, this analysis does not take into consideration the non-GEF resources used in project preparation (preparation cofinancing), as these resources are not reported, but could presumably be significant, and will vary greatly from project to project.

7.2 Implementation Arrangements

There are trade-offs involved when project implementation arrangements are designed, particularly for complex regional projects with many stakeholders in multiple countries. Leveraging regional institutions as executing organizations—such as the OECS Secretariat, the CARICOM Secretariat, the CCCCC, and the Caribbean Environmental Health Institute—can create additional layers of administration between the countries and the GEF, but can also contribute to effectiveness and efficiency if lines of communication are well established; project management is well designed, adequately resourced, and executed as planned; and adaptive management is applied.

Different implementation arrangements within projects have shown varying degrees of success. For example, the IWCAM project was designed with budgets for national management of the pilot/demonstration sites, while the OPAAL project was not. It was expected that the national government staff would fit the OPAAL work into their regular workload, thereby demonstrating national commitment and ensuring sustainability beyond the project's end. In practice, however, government personnel have been stretched thin, and have not been able to provide the commitment necessary to OPAAL to achieve efficient results; the project required an extension and an

accelerated pace of implementation to complete planned activities. Discussions with stakeholders revealed an overload of responsibilities on personnel at the national and site levels affecting the timeliness, efficiency, and effectiveness of site interventions. In addition, there have been onerous procurement procedures associated with some GEF Agencies that have prohibited the participation of local vendors and required procurement of goods from outside the region at prohibitive prices. Considering mechanisms for long-term integration and sustainability has been valuable, but requiring national institutions to initiate new activities without the necessary resources has not been an adequate solution.

Since the GEF approach to environmental management still functions through discrete individual projects rather than strategically at the national level, there is a duplication of programs, projects, and actions at the national level. Inadequate effort is put into trying to create synergies among all the national actions of the various GEF regional projects.

Regional GEF projects are expected to ensure that they are coordinated with other projects attempting to achieve similar goals and objectives. A good example was presented by the CPACC and MACC projects, which interfaced with the CIDA-funded ACCC project to develop a regional strategy. Non-GEF regional initiatives such as the Caribbean Sustainable Energy Programme provide opportunities for the GEF to achieve synergies with partners already working in a particular area of interest to further develop regional programs and to fill any gaps at the national level within individual OECS countries. Under the direction of the OECS Secretariat, the OPAAL project recognizes the importance of collaborating with regional and other international institutions (e.g., the Caribbean Environmental Health Institute, UNEP and

UNDP, the University of the West Indies, and the Nature Conservancy) to implement activities. It also works with participating countries to implement country-level project activities.

Synergies among focal areas are important, as in the case of the biodiversity-focused OPAAL project, which has links with the climate change-focused MACC. However, greater synergies can be exploited between the UNFCCC and the CBD, for example, to increase the availability of resources at the national level to undertake biodiversity-related climate change adaptation.

7.3 Roles and Responsibilities

The GEF Secretariat, with guidance from the convention conference of the parties, is expected to provide executing organizations and GEF Agencies with clearly enunciated procedures and rules of engagement—how executing organizations managing regional projects should work together and ensure that they do not create parallel processes. At the present time, there are no mechanisms to ensure that the regional executing organizations coordinate their work. These entities work with the same national agencies, which become overburdened and cannot deliver project outputs on a timely basis. Duplication of effort can lead to administrative and operational inefficiencies.

National capacity strengthening is an important priority in the region to ensure national agencies can engage in developing and managing GEF projects. Only Antigua and Barbuda is implementing an FSP (Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State), the design and approval of which was a strongly country-driven process by the Environment Department. The one other national project, the Dry Forest Biodiversity Conservation MSP in

Grenada, did not have strong stakeholder ownership from national institutions during design and implementation, and had little continuing activity or support following completion. All other countries have only enabling activities, the procedures for which are simpler.

Within the OECS, the GEF is supporting an increasing number and diversity of regional environmental projects under its various portfolio areas. These projects are generating valuable experiences, lessons, and opportunities for increased regional collaboration that will improve the effectiveness of project interventions. However, national and regional mechanisms are often lacking for sharing experiences and lessons from the development and implementation of GEF projects. There are concerns that, as the GEF portfolio grows, projects may overlap, opportunities for synergies may be lost, antagonistic linkages may develop, and major gaps may continue to exist. The opportunity for dialogue at the project management and technical levels is increasingly critical as the number of projects and actors grow in the OECS region.

Most national GEF focal points undertake some form of coordination of GEF-related activities at least within the government, but communication is frequently informal, and may not comprehensively involve all relevant national stakeholders, even within government institutions. In several OECS member states, there is no institutionalized mechanism for formal interaction between the GEF focal point and the relevant convention focal points. A potential lack of broad consultation with and dissemination of information to stakeholders is one weakness of the GEF's focal point mechanism, which places a significant burden on a single individual serving as the sole point of information flow between the GEF network and national stakeholders.

The GEF requires national focal point endorsement of a project as evidence that that project is country driven. However, endorsement does not appear to be a reliable indicator in this regard, as it provides no evidence of the inclusiveness of the process and the involvement of other government, private sector, and civil society stakeholders. Some country focal points are attempting to include a broad range of stakeholders in decision-making processes by leveraging national multi-stakeholder coordination mechanisms; others have not yet done so.

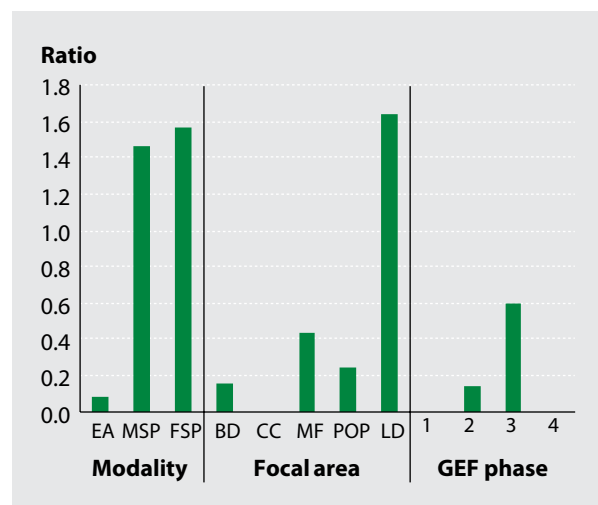
7.4 Catalytic Financing Role of the GEF

The OECS portfolio analysis shows an increase in cofinancing ratios over time, with an overall cofinancing ratio for GEF-1 projects of 0.5; GEF-2, 0.9; GEF-3, 1.9; and GEF-4, 2.0. As shown in figures 7.4 and 7.5, the data also demonstrate that significant cofinancing amounts have been provided to regional projects in the international waters focal area, with a cofinancing ratio of 5.9. More cofinancing has been provided to FSPs than to MSPs or enabling activities. At the national level, cofinancing in the land degradation focal area has been significantly higher to date than in the other focal areas; this is due to the series of land degradation MSPs, since enabling activities typically have not had significant cofinancing.

Interviews and project reviews demonstrated that there are some programming synergies among donors. For example, the EU provided funds to implement recommended initiatives stemming from some enabling activities. Another example of synergy is the collaboration between UNEP and the World Bank in the biosafety area. There also has been cross-collaboration of experience in countries outside the region and with other institutions engaged in additional relevant activities.

Figure 7.4

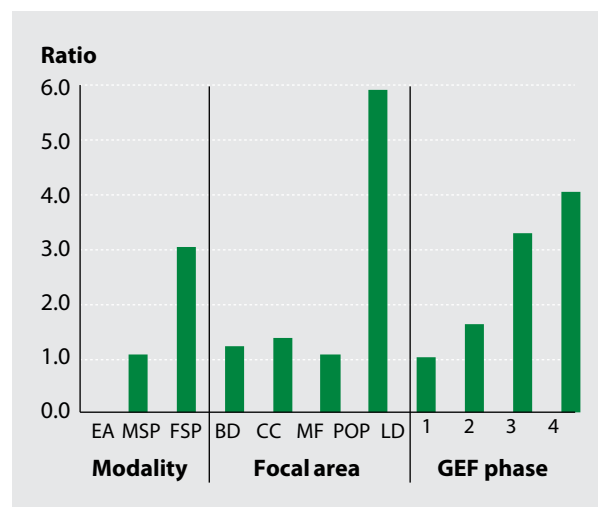
National Cofinancing Ratio by Modality, Focal Area, and GEF Phase



Note: EA = enabling activity; BD = biodiversity; CC = climate change; MF = multifocal; LD = land degradation.

Figure 7.5

Regional Cofinancing Ratio by Modality, Focal Area, and GEF Phase



Note: EA = enabling activity; BD = biodiversity; CC = climate change; MF = multifocal; LD = land degradation.

In the biodiversity focal area, the GEF and the EU have worked together to develop and approve national parks and protected areas. Opportunities exist for the GEF and the EU to work together in

the future to reinforce goals of national policies and strategies. As mentioned, the PPCR work in the OECS countries had direct linkages with previous GEF-supported adaptation work; as this important program is implemented in coming years, further synergies are expected.

On the other hand, a coordinated donor strategy is lacking with regard to the OECS countries. An inability to promulgate draft physical development plans contributes to issues and challenges of implementing sustainable land management. There is a low level of synergy between national processes and GEF-supported activities in some focal areas.

7.5 Evolution of the GEF Small Grants Programme in the OECS Region

Since its inception in the OECS region, the SGP has operated as a subregional program, with a coordinator and program assistant based in the UNDP offices in Barbados, along with a Barbados-based steering committee. From 1994 to 2005, the subregional program was comprised of 10 countries: the six OECS countries included in this evaluation, plus Anguilla, Barbados, Montserrat, and the British Virgin Islands. Dominica instituted a full national SGP in 2005, following its involvement with the SGP COMPACT program. In 2006, the GEF Council decided that the United Kingdom Overseas Territories were no longer eligible for GEF funding. That same year, the SGP subregional program moved toward decentralization with the development of country program strategies. In each of the participating OECS countries, a mostly volunteer national focal person and fully volunteer national focal group were established.

The original subregional approach was adopted to increase the cost-effectiveness of the SGP in

OECS countries, as adequate grant funds (and corresponding absorption capacity in each country) were not available to justify the establishment of administrative structures in all participating countries. OECS member states also lack national UNDP country offices, which typically serve as the host for SGP country offices elsewhere.¹ In addition, the subregional approach helps ensure quality control and alignment of the SGP subregional portfolio with GEF strategies and criteria. SGP project proposals developed in the respective countries with the support of the national focal person and approved by the national focal group may receive technical reviews by the subregional steering committee to ensure that projects are aligned with the GEF SGP criteria and have a strong technical design. The steering committee also may act in place of the national focal group to approve projects when requested by that group, or in cases of conflict of interest, or when the national focal group is unable to convene in a timely manner to meet program deadlines.

A valuable achievement of the subregional program over the past few years has been the development of country program strategies for the OECS countries; this was an outcome of the decentralization approach begun in 2006.

Various data sources for this evaluation indicate that while there are some efficiency gains in operating as a subregional program, there are also a number of efficiency and effectiveness trade-offs. Even with semi-regular in-person visits, the level of communication and support from the central node has not served to sufficiently overcome civil society capacity barriers and engage stakeholders

¹ SGP country offices usually employ a full-time national coordinator and full-time program assistant; to ensure efficiency, the grant portfolio must be of a certain size.

in each of the countries to fully take advantage of the resources available through the SGP. Numerous stakeholders in multiple countries indicated that SGP procedures and requirements were complex (relative to the amount of resources being provided), bureaucratic, and unclear, despite the efforts of the subregional office to provide clarifications when requested. Without a full-time country-based national coordinator, the accessibility of information for grantees regarding SGP requirements and procedures is reduced; the level of confusion and exasperation experienced here is not generally found in countries with a national SGP program. Other reviews have noted a similar situation in the subregion. For example, the 2010 Optimum Cost Structure review included the following recommendation:

Continue to simplify the grant approval process. One of the main challenges of the SGP's Grant Approval Process lies in the amount of paperwork required when compared to alternative sources of finance, especially in the case of relatively small amounts of money, and the fact that even with the adaptations employed to try to better cater for the Caribbean situation, the programme is not yet sufficiently adapted. Efforts should therefore continue in this area (Antilles Economics 2010).

According to SGP staff, the application procedures have been revised multiple times in the past five years, with requests for input from grantees.

The present situation effectively renders the SGP inaccessible to many stakeholders. As such, the process of community development does not seem to be adequately reflected in the nature of activities that could be funded, the type of results, and the time frame within which these results are expected. For example, stakeholders in St. Lucia expressed the view that the procedures and requirements for development of projects through the GEF SGP—with respect to the

nature of activities that could be funded, the type of results, and the time in which these results were expected—did not necessarily reflect the reality in this region. NGOs and community-based organizations were required to adapt project ideas to the GEF SGP criteria, which did not contribute to the sustainability of project activities.

The challenges faced with SGP procedures and requirements are likely partially due to the general low level of capacity of the SGP target audience: civil society organizations and community-based organizations. The lack of civil society capacity in OECS countries is a broad issue. The SGP, with support from UNDP, conducted a study in 2009 on civil society capacity development in the region. The study concluded that, while civil society organizations complain about the challenging mandate of the SGP and criticize it for its bureaucracy, they too “have to take ownership for being part of a culture that is systematically criticized for being weak and not following guidelines and seek to correct it” (Harris 2009).

The SGP staff members cite inadequate or incomplete project reporting as one of the primary reasons for delays in disbursements. Many of these organizations do not have a specific accountant or financial manager, and do not have the capacity to develop a comprehensive project recordkeeping system to facilitate preparation of necessary progress reporting. However, even well-established national NGOs in the region have indicated that the administrative requirements of applying for and implementing an SGP project were a particular struggle for them.

Despite some improvements over time, data collected suggest that the physical and communication gaps between the central node and the outlying countries have resulted in miscommunications and contracting and disbursement delays.

According to some stakeholders, funding delays have been particularly acute during the bridging period from GEF-4 to GEF-5, where SGP resources were constrained pending release of GEF-5 SGP core funding by the GEF Secretariat. The limited financial reporting capacity of grantee organizations has been noted by the subregional office as a significant obstacle to the efficient financial management of the program. It can also lead to grant cash flow issues, as each tranche of SGP funding for a given project depends on the submission of necessary financial reports and receipts by the grantee. The SGP regional staff makes a specific and concerted effort to promptly respond to communications from grantees, and should be recognized for this effort. The timeliness of email responses does not appear to be an issue for the SGP subregional program; rather, the challenge lies with the need for face-to-face interaction to facilitate clear and comprehensive communication.

The SGP has been learning from experiences over time and is working to innovate new approaches, but further improvement is necessary. In one positive example, the SGP suspended the use of microenterprise business plan templates pending further revision, following an initial experience with an SGP project in Antigua and Barbuda that was not very successful. Trials are also being made of video project proposals. Other positive developments include the introduction of mandatory project inception workshops using cost-effective remote information communication technology (although Harris also found that information communication technology “is not yet an effective substitute for face-to-face contact in the Caribbean”), and the production of simple brochures outlining SGP procedures.

Many SGP stakeholders shared their view that financial management requirements and

reporting procedures were not feasible for typical potential grantee groups in the region. SGP policies and procedures are specifically designed to ensure accountability, both financially and from a programmatic point of view. Based on an analysis of the evidence, this evaluation concludes that there has been insufficient flexibility in implementing policies, and inadequate support to assist stakeholders in complying with them—particularly given the size of the resources involved. While the SGP’s absolute flexibility is constrained by GEF and UNDP standards with respect to accountability and program scope, opportunities to improve results-based problem solving in program administration should be examined. Reputational risk is a critical issue for donor-funded programs such as the GEF (and, by extension, the SGP), but if accountability requirements are relative to the resources allocated, program reach and effectiveness will also be compromised. It is anticipated that the SGP will continue to embrace the challenges of civil society in the OECS countries and make further progress in enabling community-driven environmental conservation efforts generating global benefits.

As demonstrated in Dominica, capacity hurdles can be overcome with a dedicated full-time national coordinator and program assistant, and ongoing support from the subregional office. Dominica’s SGP portfolio presently includes 33 projects in various stages of approval and completion; of these, 12 were approved in 2010. Box 7.1 provides information about Dominica’s Kalinago Youth Empowerment Initiative.

In contrast, there have been only two recent SGP projects in St. Kitts and Nevis (approved in 2010, and completed by early 2011); four SGP projects were approved for Antigua and Barbuda in 2010, following one approval in 2009. There are approximately three active projects in St. Vincent and the

Box 7.1

Kalinago Youth Empowerment Initiative

Dominica’s Carib Reserve is home to approximately 3,000 indigenous Carib residents. The area has the highest level of poverty on the island, far above the national average. Caribs are identified as one of the island’s vulnerable groups, because of their reduced capacity to withstand the effects of economic shocks and natural disasters.

The Kalinago Heritage Society is formed by participants in a UNESCO Youth Path project who received training in the conservation and production of medicinal plants and herbs. After the project ended, they decided to continue as a group and extend the project to mainstream the herbs and spices market.



Basil herb garden; photo: SGP.

Grenadines, where four projects were approved in 2010, and none in 2009. Grenada had one approval in 2010 and eight in 2009. In St. Lucia, no projects were proposed in 2010 (and therefore none were approved); two projects were approved in 2009. Altogether, in the OECS countries (excluding Dominica), 11 projects were approved in each of the calendar years 2009 and 2010.

Dominica’s total allocation of \$250,000 per year compared to the regional annual allocation of \$350,000 means that on a per country basis, a larger amount of resources is available for Dominica than for any of the other individual OECS

countries. Based on the average SGP project grant size, there would not be resources available at present for any other country to receive 12 new approved projects in a single year, as occurred in Dominica. From March 2005 to June 2009, SGP annual commitments in the OECS countries averaged 76.0 percent of the annual regional allocation, and actual disbursements averaged 62.4 percent (Antilles Economics 2010). The SGP subregional 2010 annual report indicates that by December 2010, the subregional program had committed its maximum resources available under GEF-4, with an average calendar year commitment of \$423,200 in 2009 and 2010 to compensate for lower commitment levels in the first two program years. It was further indicated that the average “slip-page” of disbursements (the difference between committed amounts and amounts actually used) stood at 14.7 percent, which is below the stated accepted buffer of 20 percent (SGP 2011).

There is no clear reason why Dominica would inherently have greater absorption capacity for SGP resources than the other OECS countries.² Dominica’s SGP portfolio clearly benefits from the presence of a full-time national coordinator who can actively reach out to, engage, and support potential grantees. The Dominica program has a physical office, with a specific workspace for grantees to use in receiving assistance with and fulfilling the administrative requirements of the

² Anecdotal evidence indicates that Dominica may have a comparatively stronger environmentally focused civil society sector, but quantitative data on this parameter were not available. One possible relevant condition is SGP Dominica’s involvement with village councils, a form of local government not found to the same extent in other OECS countries. While SGP guidelines prescribe funding government institutions, this appears to be a gray area at the local level. In Dominica and some other regions of the world, SGP partners with a range of community-based organizations that may have some government basis or affiliation.

program. Dominica also has developed a dynamic national grantee network through which grantees can share their experience and knowledge of working with the SGP—an example that could be replicated in other countries as they develop larger SGP portfolios. Dominica’s national coordinator was regarded as a champion in the country on environmental issues. In the other countries with volunteer national focal persons and national focal groups, the level of activity is self-reinforcing—with few projects to review and approve, national focal persons and national focal group members become inactive and disengaged from the program, and do not catalyze proposals with potential grantees.

At the same time, Dominica receives and greatly benefits from support from the SGP subregional office, particularly due to the fact that there was a transition in national coordinators in the 2009–10 time period, with no overlap between coordinators to facilitate on-the-job training or portfolio handover. The subregional office has provided training to the Dominica SGP staff, and facilitates grant processing through the UNDP Barbados office and the United Nations Office for Project Services. The SGP subregional office also has a wealth of knowledge and experience of the historical SGP portfolio in the region and can provide guidance on key lessons and monitoring and evaluation, as well as support in resource mobilization.

The Optimum Cost Structure study examined three organizational scenarios: the current structure, separate national programs, and maintenance of the subregional structure but with paid community program officers. The study examined the cost and likely impact of each of these scenarios, concluding that the first scenario was the cheapest, the second provides the most impact, and the third best balances cost and impact. This

conclusion underscores the fact that cost-effectiveness is not always served by the least-cost option, but must be considered in terms of results obtained per dollar spent.

The results of the Optimum Cost Structure study were presented to the participating sub-regional countries for consideration. In the GEF-5 replenishment period, several OECS countries (Antigua and Barbuda, Grenada, St. Lucia, and St. Vincent and the Grenadines) have discussed and agreed with the SGP to transition their SGP involvement to national programs with a full-time national coordinator, and are looking to do so immediately to ensure the anticipated allocation of available SGP core funding. Following the GEF Council decision to allow countries to allocate STAR resources to the SGP, combined with an increased focus on providing greater support for SIDS, the GEF Secretariat and the UNDP-GEF SGP headquarters expect that \$1 million or more will be allocated for SGP funding in these countries. Thus, in practice, the subregional approach will be abandoned, as the only country without a national coordinator will be St. Kitts and Nevis, and a subregional steering committee would not be required to support this single country, which has only had two SGP projects in recent years.

Even with the establishment of nationally based programs, the countries will still rely on the UNDP Barbados office for administrative support in the absence of their own UNDP country offices. This new approach creates opportunities to enhance grantees' access to and uptake of GEF resources—provided that there continues to be a strong focus on ensuring that SGP resources are used in alignment with GEF objectives and principles. As experience has shown in Dominica and other SGP programs around the world, adequate support is critical for effective and efficient program ramp-up. The Barbados office would also

be able to provide support on knowledge management, sharing of lessons and good practices, external relations (including maintenance of the program website), and resource mobilization.

A recommendation of this evaluation is that the SGP subregional office continue to support the OECS country programs through this transition period, at minimum. The previous global evaluation of the SGP recommended that the program not be constrained by an arbitrary management cost ratio, but that “The level of management costs should be established on the basis of services rendered and cost efficiency rather than on the basis of a stated percentage” (GEF EO 2008). Costs should be proportional to the services required by stakeholders and provided by the program. This view is strongly supported by this evaluation, particularly for the OECS region, which consists of SIDS and where the capacity of civil society organizations is limited.

7.6 Monitoring and Evaluation

M&E consists of two components—project-level M&E and environmental monitoring. Project-level monitoring in the GEF's OECS portfolio has improved over time, and projects currently under implementation have demonstrated adaptive management based on project-level M&E. The older projects in the portfolio are generally lacking adequate logical frameworks, indicators, and overall M&E plans—as were the majority of GEF projects prior to the GEF-3/GEF-4 time frame.

Overall, M&E implementation has been adequate in that project reporting has not been a major problem, and annual project implementation reviews and evaluations have been completed in a comprehensive and timely manner. At the same time, the ratings provided in the project terminal

evaluations and project implementation reviews appear to have been unjustifiably high for some projects, particularly in the earlier GEF phases. All completed projects have received satisfactory or moderately satisfactory outcome/objective ratings. No project currently under implementation has received lower than a moderately satisfactory rating on its 2010 project implementation review.³ Evidence reviewed during this evaluation indicates that lower ratings may be more appropriate for some projects, particularly those for which the ROTI analyses were conducted.

One of the earliest regional FSPs in the portfolio, the Ship-Generated Waste Management project, initially did not have strong oversight or adequate progress reporting. Eventually, the World Bank, as the project's Implementing Agency, noted these issues; the project was consequently suspended while new management arrangements that entailed shifting from an independent project coordination unit to implementation through the OECS Environment and Sustainable Development Unit were put in place. A number of adaptive management decisions were also made at this time, although these primarily affected the solid waste blended portion of the project, such as cancellation of sewerage plan activities.

Of the five currently active regional FSPs, four have had significant adaptive management actions taken as a direct result of M&E activities. The Caribbean Renewable Energy Development Programme underwent a major restructuring following its midterm evaluation in 2007. The OPAAL project received a 15-month extension to allow completion of key project activities, resulting

³ This (2010) is the most recent year for which such ratings are available for projects receiving these ratings.

from recommendations made during its midterm review. Based on findings from the SPACC midterm review, that project underwent a significant restructuring in late 2010, with a reduction in the number of planned pilot activities. The CLME project has had several adaptive management actions taken based on regular monitoring by the project team and steering committee.

The IWCAM project, which is jointly implemented through UNDP and UNEP, presents a positive example of practical solutions to reporting approaches, as the two Agencies have different reporting formats and requirements, although both meet GEF minimum M&E standards.

As discussed in section 5.4, assessing impact-level results in the OECS countries is extraordinarily challenging due to a lack of solid baseline data on the status of environmental resources, and a corresponding lack of systematic monitoring data to assess trends over time. Impact-level results are typically anecdotal, or limited to small geographic sites specifically targeted by project activities, where changes can be more easily documented. The development and inclusion of impact-level indicators in project logframes has improved over time, but can result in the setting of unrealistic expectations relative to the level of resources invested. In one example, the IWCAM demonstration project in Antigua and Barbuda, with an investment of approximately \$560,000, was expected to eliminate pollution from 4,000 homes and 8 hotels in a 2-mile-long waterway and 2-square-kilometer pond. With improved indicators, it should be possible in the coming years for project implementation reviews and terminal evaluations to document impacts from current GEF projects and projects about to begin implementation in the OECS region.

Annex A. Terms of Reference

This annex presents the terms of reference for the OECS Cluster CPE. Minor editorial changes have been made.

GEF Evaluation Office March 2011

A.1 Background and Introduction

Country portfolio evaluations are one of the main evaluation streams of work of the GEF Evaluation Office. By capturing aggregate portfolio results and performance of the GEF at the country level, they provide useful information for both the GEF Council and the countries on results and performance of the GEF-supported activities, and on how these activities fit into the national strategies and priorities as well as within the global environmental mandate of the GEF. CPEs' relevance and utility increase in GEF-5 with the increased emphasis on country ownership and portfolio development at the country level.

The first CPE cycle has covered 11 countries during GEF-4.¹ A new CPE cycle covering 15 countries during GEF-5 has started during the last

quarter of 2010. Two CPEs have been launched in Nicaragua and in a selection of member countries of the Organisation of Eastern Caribbean States, consisting of Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines. Two country portfolio studies are also being conducted this year in El Salvador and in Jamaica in collaboration with the UNDP Evaluation Office.² These terms of reference relate to the OECS Cluster CPE.

Countries are selected for portfolio evaluation from among 160 GEF-eligible countries, based on a stratified randomized selection and a set of strategic criteria, as described in the recently revised "Note on the Selection Process and Criteria for the GEF Country Portfolio Evaluations" (GEF 2010b). Beyond that, the decision to conduct a CPE covering six OECS member countries through a cluster approach originates from the fact that regional projects are a predominant modality of GEF support in these countries. This provides an excellent opportunity to assess the real impact of such a GEF

¹ Countries having undergone CPEs during GEF-4 are Costa Rica, Samoa, the Philippines, Benin, Cameroon, Madagascar, South Africa, Egypt, Syria, Turkey, and Moldova.

² Country portfolio studies (CPSs) provide additional coverage of country portfolios, but have a reduced focus and scope. CPSs are undertaken where opportunities to collaborate with independent evaluation offices of GEF partners present themselves. With a relatively lower investment, the GEF portfolio in a country is analyzed in collaboration with an ongoing country-level evaluation.

modality at the country level. Moreover, small island developing states have been given a preferential selection criterion in the CPE workplan for GEF-5. Moreover, some GEF regional projects in the biodiversity and international waters focal areas have originated from the perspective of the environmental role played by OECS in the Eastern Caribbean region.

The OECS countries face challenges of diseconomies of scale, especially in infrastructure, institutions, and markets. Their location also makes them vulnerable to periodic natural disasters and climate change phenomena, such as rising sea levels. While they enjoy the benefits of very open economies, they are at the same time vulnerable to external shocks such as the still ongoing impact of the recent global financial crisis. The OECS was formed in 1981 in an attempt to address some of the political and economic limitations posed by its member countries' small size and population, building on their common features and interests. OECS's achievements to date in terms of deepening regional integration include the Basseterre Treaty for economic and functional cooperation in foreign, defense, and security policies; a common currency and central bank; an integrated legal system; and coordinated approaches to critical shared sectors such as education, health, agriculture, tourism, export development, the environment, and maritime matters. To lessen the impact of weather-related hazards and rising sea levels, OECS countries have stepped up efforts to preserve and protect their natural environment. In 2006, they ratified the St. George's Declaration, updated in 2008, which identifies principles and guidelines for the use, conservation, and management of the region's natural resources (OECS 2007).

The OECS member countries included in the evaluation have a population varying from as few

as 50,000 people (St. Kitts and Nevis) to 160,000 people (St. Lucia). After a history of sugar cane plantations under the British Empire, today these countries' economies depend in large part on the tourist industry. At times, enforcement of environmental protection as well as conservation of natural resources is softened in order not to discourage foreign and national investors in tourism infrastructures and services. The six islands are also very different from each other in ecological and climatic terms. Countries like Antigua and Barbuda are flat and dry, with problems of desertification and scarcity of fresh water. Countries like Dominica are mountainous, with a rich rainforest endowed with abundant natural resources. Ecological concerns are likely to be different from one island to the other.

GEF activities in the six countries started in 1992, mainly through a few important regional projects implemented by the World Bank. Enabling activities in biodiversity, climate change, and persistent organic pollutants to report to the environmental conventions have been implemented through UNDP and UNEP. The main GEF Agency for national projects is the UNDP both from the point of view of funding and number of projects.

The GEF portfolio in the six countries consists of 42 national, 16 regional, and 2 global projects. To these have to be added the first global biosafety project, related to the development of national biosafety frameworks and the second national communication to the UNFCCC.³ Of the national projects, 32 are enabling activities, most of which have been completed. In all countries but Antigua and Barbuda, there is a national component of the global Sustainable Land Management

³ A decision will be made during the evaluation phase on whether to add these two projects in the national, regional, or global portfolio.

project under implementation. These are listed as national medium-size projects in the GEF Project Management Information System. All countries participate in the Small Grants Programme. Antigua and Barbuda has the only national FSP, multifocal, being implemented by UNDP.

Under the STAR for GEF-5, each country has been allocated between \$4.00 and \$4.73 million (table A.1). Under the new STAR procedures, countries can use those resources flexibly. None has been utilized yet.

Table A.1

GEF-5 STAR Allocations by Focal Area and Country
million \$

Country	BD	CC	LD	Total
Antigua and Barbuda	1.50	2.00	0.94	4.44
Dominica	1.50	2.00	5.00	4.00
Grenada	1.50	2.00	1.16	4.66
St. Kitts and Nevis	1.50	2.00	0.98	4.48
St. Lucia	1.87	2.00	0.86	4.73
St. Vincent and the Grenadines	1.50	2.00	0.71	4.21

Note: BD = biodiversity; CC= climate change; LD = land degradation.

Since 1991, the GEF has invested about \$12.31 million (with about \$10.13 million in cofinancing) through 42 national projects, namely 15 in biodiversity, 12 in climate change, 5 in land degradation, 3 in POPs, and 7 multifocal area projects, plus the SGP. Out of the 42 national projects, 36 have been completed and 6 are ongoing (table A.2).

As previously noted, regional projects have been and still are a major modality of GEF support in the six countries. As such, they will constitute a major focus of the OECS Cluster CPE. All the countries participated in 8 out of 15 regional projects included in the OECS Cluster CPE portfolio. All in all, the regional portfolio comprises three projects in biodiversity, four projects in climate

Table A.2

GEF Support to National Projects by Focal Area and GEF Agency

million \$

Agency	Focal area	Amount
World Bank	Biodiversity	0.72
	Climate change	0.45
	Subtotal	1.17
UNDP	Biodiversity	1.61
	Climate change	1.34
	Land degradation	2.50
	Multifocal	3.62
	Subtotal	9.07
UNEP	Biodiversity	0.45
	POPs	1.06
	Multifocal	0.57
	Subtotal	2.07
Total		12.31

change adaptation and two in climate change mitigation, four projects in international waters, and two multifocal area projects (table A.3).

Table A.3

Number of Regional and Global Projects by Focal Area and GEF Agency

Focal area	WB	UNDP	UNEP	IDB	Total
Biodiversity	2		8		10
Climate change	3	3	2		8
International waters	1	2	1	1	5
Multifocal		1	1		2
Total	6	6	11	1	25

Note: WB = World Bank.

A.2 Objectives of the Evaluation

The purpose of the OECS Cluster CPE is to provide the GEF Council with an assessment of how the GEF is implemented at the country level, a report on results from projects, and an assessment of how these projects are linked to national environmental and sustainable development agendas

as well as to the GEF mandate of generating global environmental benefits within its focal areas. The evaluation will have the following objectives:

- Independently evaluate the *relevance and efficiency*⁴ of the GEF support in a country from several points of view: national environmental frameworks and decision-making processes, the GEF mandate and the achievement of global environmental benefits, and GEF policies and procedures
- Assess the *effectiveness and results*⁵ of completed projects aggregated by focal area
- Provide additional *evaluative evidence* to other evaluations conducted or sponsored by the Office
- Provide *feedback and knowledge sharing* to (1) the GEF Council in its decision-making process to allocate resources and to develop policies and strategies; (2) the country on its participation in, or collaboration with, the GEF; and (3) the different agencies and organizations involved in the preparation and implementation of GEF-funded projects and activities

The performance of the GEF portfolios in the six countries will be assessed in terms of relevance, efficiency, and effectiveness and of the contributing factors to this performance. The OECS Cluster CPE will analyze the performance of individual

⁴ *Relevance*: the extent to which the objectives of the GEF activity are consistent with beneficiaries' requirements, country needs, global priorities, and partners' and donors' policies; *efficiency*: a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

⁵ *Results*: the output, outcome, or impact (intended or unintended, positive and/or negative) of a GEF activity; *effectiveness*: the extent to which the GEF activity's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

projects as part of the overall GEF portfolio, but without rating such projects. CPEs do not aim at evaluating or rating the performance of the GEF Agencies, partners, or national governments.

A.3 Key Evaluation Questions

CPEs are guided by a set of key questions that should be answered based on the quantitative and qualitative analysis of the evaluative information and perceptions collected during the evaluation exercise. The OECS Cluster CPE will be guided by the following key questions:

*Effectiveness, results, and sustainability*⁶

- What are the results (outcomes and impacts) of GEF support at the project level?
- What are the results of GEF support at the aggregate level (portfolio and program) by focal area?
- What are the results of GEF support at the regional level?
- Is GEF support effective in producing results that build on previous lessons learned and good practices from GEF projects and partners?
- Is GEF support effective in producing results that are sustained after project completion?
- Is GEF support progressing in scale and scope in OECS countries and the region to achieve increasingly more substantial results?
- Is GEF support effective at developing capacity within the OECS region?

Relevance

- Is GEF support relevant to the OECS and its member countries' national environmental

⁶ *Sustainability*: The likelihood that an intervention will continue to deliver benefits for an extended period of time after completion.

priorities and national GEF focal area strategies and action plans?

- Is GEF support relevant to the OECS and its member countries' sustainable development needs and priorities?
- Is GEF support relevant to global environmental benefits in the OECS and its member countries (biodiversity, GHGs, international waters, POPs, land degradation, etc.)?
- Is GEF support relevant to the GEF mandate, operational principles, and global focal area strategies?
- Is GEF support relevant to emerging or evolving issues in the OECS region?
- Is GEF support relevant to the varying levels of capacity and differing needs and priorities among OECS countries?
- Are regional approaches relevant to the needs of participating OECS countries?

Efficiency

- How much time, money, and effort is expended to develop and implement a project in the OECS region (by type of GEF support modality, including SGP)?
- What are the roles and level of coordination and communication among stakeholders in project development and implementation?
- Are GEF modalities and processes adequate for efficiently addressing the needs and priorities of SIDS in the Caribbean region?
- What are the synergies for GEF programming and implementation (including among GEF focal areas) among GEF Agencies, national and regional institutions, GEF projects, and other donor-supported projects and activities in the OECS region?

- Has the GEF support mobilized resources from other sources for the environment?

- Is monitoring and evaluation contributing to efficiency and effectiveness of GEF support in the region?

Each of these questions is complemented by an evaluation matrix, which is presented in annex B. The matrix contains a tentative list of indicators or basic data, potential sources of information, and methodology components, and will be validated and/or further developed by the evaluation team once the evaluation phase starts. As a basis, the evaluation will use the indicators in the GEF project documents as well as indicators of each of the focal areas and STAR as well as any appropriate and available national sustainable development and environmental indicator.

A.4 Scope and Limitations

The OECS Cluster CPE will cover all types of GEF-supported activities in the country at all stages of the project cycle (pipeline, ongoing, and completed) and implemented by all GEF Agencies in all focal areas, including applicable GEF corporate activities such as the SGP and a selection of regional and global programs that are of special relevance to the six countries.

While the evaluation will look at the projects implemented within the boundaries of the six countries—i.e., the national projects, be them full size, medium size, or enabling activities—a major focus will be a selection of the most important regional projects in which all six countries participate, clustered by focal area or theme (biosafety, climate change adaptation, international waters, among others). This will be the case for those projects that are interlinked in a phased programmatic approach. This part of the evaluation will review the overall GEF support to the six countries

through these regional projects, report on results within the countries themselves, and describe the ways the six countries contribute to and/or participate in them. The review of selected regional projects will feed into the aggregate assessment of the national GEF portfolio described above.

The stage of the project will determine the expected focus of the analysis (table A.4).

Table A.4

Focus of Evaluation by Project Status

Project status	Focus		On an exploratory basis	
	Relevance	Efficiency	Effectiveness	Results
Completed	Full	Full	Full	Full
Ongoing	Full	Partially	Likelihood	Likelihood
Pipeline	Expected	Processes	n.a.	n.a.

Note: n.a. = not applicable.

CPEs are challenging, as the GEF does not establish country programs that specify expected achievements through programmatic objectives, indicators, and targets.⁷ In general, CPEs entail some degree of retrofitting of frameworks to be able to judge the relevance of the aggregated results of a diverse portfolio of projects. Accordingly, the standard CPE evaluation framework described here will be adapted along with the other relevant national and GEF Agency strategies, country programs, and/or planning frameworks as a basis for assessing the aggregate results, efficiency, and relevance of the GEF country portfolio.

GEF support is provided through partnerships with many institutions operating at many levels,

⁷ Voluntary national portfolio formulation exercises (NPFs) are being introduced in GEF-5. CPEs that will be conducted in countries having chosen to do an NPFE will use it as a basis for assessing the aggregate results, efficiency, and relevance of the GEF country portfolio.

from local to national, regional, and international levels. It is therefore challenging to consider GEF support separately. The OECS Cluster CPE will not attempt to provide a direct attribution of development results to the GEF, but address the contribution of GEF support to the overall achievements—i.e., to establish a credible link between GEF-supported activities and its implications. The evaluation will address how GEF support has contributed to overall achievements in partnership with others, by questions on roles and coordination, synergies and complementarities, and knowledge sharing.

The assessment of results will be focused, where possible, at the level of outcomes and impacts rather than outputs. Project-level results will be measured against the overall expected impact and outcomes from each project. Progress toward impact of a representative sample of mature enough projects (i.e., completed at least two years) will be looked at through field review of outcomes to impacts studies. Expected impacts at the focal area level will be assessed in the context of GEF objectives and indicators of global environmental benefits. Outcomes at the focal area level will be primarily assessed in relation to catalytic and replication effects, institutional sustainability and capacity building, and awareness.

The context in which these projects were developed and approved and are being implemented constitutes a focus of the evaluation. This includes a historical causality assessment of the national sustainable development and environmental policies, strategies, and priorities; the legal environment in which these policies are implemented and enforced; GEF Agency country strategies and programs; and GEF policies, principles, programs, and strategies.

Weaknesses of M&E at the project and GEF program levels have been mentioned in past CPEs

and other evaluations of the Office, and have been highlighted by many stakeholders consulted during the scoping mission. These weaknesses may pose challenges to the OECS Cluster CPE as well. Not all the information that will be used for the analysis will be of a quantitative nature.

A.5 Methodology

The OECS Cluster CPE will be conducted by staff of the GEF Evaluation Office and a team of national, regional, and international consultants—i.e., the evaluation team, led by a task manager from the GEF Evaluation Office. The team includes technical expertise on the national and regional environmental and sustainable development strategies, evaluation methodologies, and the GEF.

The selected consultants qualify under the GEF Evaluation Office Ethical Guidelines, and are requested to sign a declaration of interest to indicate no recent (last three to five years) relationship with GEF support in the country. In line with Office practice when selecting consultants for evaluations, the Office gives preference to national or regional experts. Consultants with expertise in both the environment and evaluation within the six countries in this particular CPE are limited. Some of the selected national and regional consultants to conduct this evaluation have participated in the design and/or implementation of some of the projects included in the CPE. In such cases, the Office will make sure that those consultants will not be assigned to the assessment, review, or evaluation of the projects in which they have been involved in the past.

The GEF focal point mechanisms in the six OECS countries, although not members of the evaluation team, will be essential partners in the evaluation.

The methodology includes a series of components using a combination of qualitative and quantitative methods and tools. The qualitative aspects of the evaluation include a desk review of existing documentation. The expected sources of information include the following:

- *Project level:* project documents, project implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, reports from monitoring visits, and any other technical documents produced by projects
- *Country level:* national sustainable development agendas, environmental priorities and strategies, GEF-wide focal area strategies and action plans, global and national environmental indicators
- *Agency level:* country assistance strategies and frameworks and their evaluations and reviews
- Evaluative evidence at the country level from other evaluations implemented either by the Office, by the independent evaluation offices of GEF Agencies, or by other national or international evaluation departments
- Interviews with GEF stakeholders, including the GEF focal point and all other relevant government departments, regional organizations (including CARICOM, CCCCC, OECS, the Caribbean Environmental Health Institute, and others), bilateral and multilateral donors, civil society organizations and academia (including local NGOs), GEF Agencies (the World Bank, UNDP, UNEP), SGP, and the national UN convention focal points
- Interviews with GEF beneficiaries and supported institutions, municipal governments and associations, and local communities and authorities
- Field visits to selected project sites

- Information from national consultation workshops

The quantitative analysis will use indicators to assess the relevance and efficiency of GEF support using projects as the unit of analysis (linkages with national priorities, time and cost of preparing and implementing projects, etc.) and to measure GEF results (i.e., progress toward achieving global environmental impacts) and performance of projects (such as implementation and completion ratings). Available statistics and scientific sources, especially for national environmental indicators, will also be used.

The evaluation team will use standard tools and protocols for the CPEs and adapt these to the OECS context. These tools include a project review protocol to conduct the desk and field reviews of GEF projects and interview guides to conduct interviews with different stakeholders.

A selection of project sites will be visited, including but not only in the context of the conduct of the two foreseen ROtI field studies (see further below). The criteria for selecting the sites will be finalized during the implementation of the evaluation, with emphasis placed on both ongoing and completed projects.

The evaluation team will decide on specific sites to visit based on the initial review of documentation and balancing needs of representation as well as cost-effectiveness of conducting the field visits. Quality assurance on evaluation methods, tools, and processes used will be performed at key stages of the process by two external experts renowned in the international evaluation community and academia. To this end, memorandums of understanding have been prepared and signed by the Evaluation Office and the institutions to which the experts belong.

A.6 Process and Outputs

These cluster country-specific terms of reference have been prepared based on an initial GEF Evaluation Office visit to the six OECS countries in January 2011, conducted with the purpose of scoping the evaluation and identifying key issues to be included in the analysis. The mission was also an opportunity to officially launch the evaluation, while at the same time introduce the selected consultants to GEF national stakeholders. These terms of reference conclude the OECS Cluster CPE preparatory phase, and set the scene for the evaluation phase, during which the evaluation team will complete the following tasks:

- Complete the ongoing *literature review* to extract existing reliable evaluative evidence.
- Prepare specific inputs to the evaluation:⁸
 - *GEF portfolio database*, which describes all GEF support activities within the country, basic information (GEF Agency, focal area, GEF modality), their implementation status, project cycle information, GEF and cofinancing financial information, major objectives and expected (or actual) results, key partners per project, etc.
 - *Regional environmental legal overview*, which provides a historical perspective of the context in which the GEF projects have been developed and implemented in the OECS region. This document will be based on information on regional environmental legislation and national environmental policies of government administrations in the

⁸ These inputs are first of all working documents. A decision on whether to publish them as technical annexes to the CPE report will be made later in the evaluation process. In any case, they are not expected to be published as separate documents.

six countries (plans, strategies, and similar), and the international agreements signed by the six countries presented and analyzed through time so as to be able to connect with particular GEF support

- *Global environmental benefits assessment*, which provides an assessment of the country's contribution to the GEF mandate and its focal areas based on appropriate indicators, such as those used in the STAR (biodiversity, climate change, and land degradation) and others used in project documents
- *ROI field studies* of one regional and one national project completed at least two years, selected in consultation with the Evaluation Office staff, which will contribute to strengthen the information gathering and analysis on results
- Conduct *field visits* of ongoing and completed national projects, selected in consultation with the Office staff, which will contribute to strengthening the information gathering and analysis on both efficiency and results.
- Conduct the *evaluation analysis and triangulation* of collected information and evidence from various sources, tools, and methods. This will be done internally by the evaluation team at the end of the evaluation data gathering and analysis phase in May 2011. The aim will be to consolidate the evidence gathered so far and fill in any eventual information and analysis gaps before getting to findings, conclusions, and preliminary recommendations.
- Conduct a *final consultation workshop* with participation of representatives from the six countries to present and gather stakeholder feedback on the key preliminary findings emerging from the analysis, conclusions, and preliminary recommendations to be included

in an aide-mémoire.⁹ The workshop will also be an opportunity to verify errors of fact or analysis in case these are supported by adequate additional evidence brought to the attention of the evaluation team.

- Prepare a *draft OECS Cluster CPE report*, which incorporates comments received at the final consultation workshop. The draft report will be sent out to the external peer reviewers before circulation to stakeholders.
- Consider the eventual incorporation of comments received to the draft report and prepare the *final OECS Cluster CPE report*.¹⁰

As was the case during the scoping mission, the national GEF focal point mechanisms in the six countries will assist the evaluation team and consultants in the identification of key people to be interviewed; communication with relevant government departments; support to organize interviews, field visits, and meetings; and identification of main documents. The GEF Agencies will be requested to assist the evaluation team and the selected consultants regarding their specific GEF-supported projects and activities, including identification of key project and Agency staff to be interviewed and provision of project documentation and data.

A.7 Evaluation Key Milestones

The evaluation analysis phase will be conducted between end of March 2011 and August 2011. The key milestones of the evaluation are presented in table A.5.

⁹ It was agreed with the six countries during the scoping mission to hold the workshop in St. Lucia.

¹⁰ The GEF Evaluation Office will bear full responsibility for the content of the report.

Table A.5**Evaluation Milestones**

Milestone	Deadline
Literature review	March 31, 2011
Finalization of the GEF OECS portfolio database	March 31, 2011
Regional environmental legal framework	March 31, 2011
Global environmental benefits assessment	March 31, 2011
Two field ROfI studies	April 30, 2011
Data collection/interviews and filling project review protocols	May 15, 2011
Consolidation of evaluative evidence, eventual additional field visits	May 15, 2011
National consultation workshop	May 31, 2011
Draft OECS Cluster CPE report sent out for external peer review	June 20, 2011
Draft OECS Cluster CPE report sent out to stakeholders for comment	June 30, 2011
Incorporation of comments received in a final OECS Cluster CPE report	July 20, 2011
Final OECS Cluster CPE report	August 30, 2011

Annex B. Evaluation Matrix

Key question	Indicators/basic data	Sources of information	Methodology
Effectiveness			
Is GEF support effective in producing results at the project level?	<ul style="list-style-type: none"> • Project outcome and impacts • Existing ratings for project outcomes (i.e., self-ratings and independent ratings) of expected versus actual results • Effectiveness of different GEF modalities • Effectiveness of regional approaches versus national projects (may need comparison outside the region?) • Changes in global benefits indexes and other global environmental indicators 	<ul style="list-style-type: none"> • Project staff, local stakeholders, local and national government officials • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Evaluative evidence from projects and donors 	<ul style="list-style-type: none"> • Stakeholder consultation: Individual interviews, focus groups • ROTI studies • Project field visits • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Literature review • Global environmental benefits assessment
Is GEF support effective in producing results at the aggregate level (portfolio and program) by focal area?	<ul style="list-style-type: none"> • Aggregated project outcomes and impacts • Catalytic effect (i.e., replication and up-scaling) • Contribution by the GEF 	<ul style="list-style-type: none"> • Project staff, local stakeholders, national and local government representatives • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Data from overall projects and other donors 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits • ROTI studies • Global environmental benefits assessment
Is GEF support effective in producing results at the regional level?	<ul style="list-style-type: none"> • Aggregated outcomes and impact, including analysis of results from regional versus national modalities • Overall outcomes and impact of GEF support • Outcomes and impacts generated from regional synergy • Catalytic effect (i.e., replication and up-scaling) • Adequate accounting in project design for risks specific to OECS countries and the region as a whole • Integration and mainstreaming of measures addressing environmental issues with the national and regional development agenda and policy frameworks 	<ul style="list-style-type: none"> • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • Project staff, local stakeholders, local and national government officials • Regional organization staff • Data from projects financed by other donors and/or by the government 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Project field visits • Stakeholder consultation: Individual interviews, focus groups • ROTI studies • Global environmental benefits assessment

Key question	Indicators/basic data	Sources of information	Methodology
Is GEF support effective in producing results that build on previous lessons learned and good practices from GEF projects and partners?	<ul style="list-style-type: none"> • Project design, preparation, and implementation have incorporated lessons from previous projects within and outside the GEF • Quality and application of M&E and knowledge management systems and tools • Existence and effectiveness of information and data sharing processes/mechanisms, corresponding to adequacy of information flows 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • GEF Secretariat • GEF Agency staff • NGO staff, project staff, local stakeholders, local and national government officials • Regional organization staff • Available national statistics and environmental databases 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • ROTI studies • Stakeholder consultation: Individual interviews, focus groups
Is GEF support effective in producing results that are sustained after project completion?	<ul style="list-style-type: none"> • Availability of financial resources • Availability of technical capacity • Stakeholders' ownership • Environmental risks • Existence of an adequate institutional and legal framework 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • GEF Agency staff • Executing agency staff • Project staff, local stakeholders, local and national government officials 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Project field visits • Stakeholder consultation: Individual interviews, focus groups • ROTI studies
Is GEF support progressing in scale and scope in OECS countries and the region to achieve increasingly more significant results?	<ul style="list-style-type: none"> • Type and size of GEF investment in the region over time • Existence of strategies and frameworks for implementation 	<ul style="list-style-type: none"> • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • GEF Agency staff • Executing agency staff • Project staff, local stakeholders, local and national government officials • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: GEF portfolio analysis • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Project field visits • Stakeholder consultation: Individual interviews, focus groups
Is GEF support effective at developing capacity within the OECS region?	<ul style="list-style-type: none"> • Increasing ability of institutions and organizations to originate and drive project development process • Increasing ability of government to respond to and effectively manage environmental issues • Increasing ability of government to implement international environmental conventions • Increasing use of local or regional technical capacity, as appropriate • Share of investment focused on local/regional capacity development (individual or institutional) • Level of public awareness and engagement on globally significant environmental issues 	<ul style="list-style-type: none"> • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • GEF Agency staff • Executing agency staff • Project staff, local stakeholders, local and national government officials • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Project field visits • Stakeholder consultation: Individual interviews, focus groups • Regional legal environmental framework

Key question	Indicators/basic data	Sources of information	Methodology
Relevance			
Is GEF support relevant to the OECS countries' national environmental priorities and national GEF focal area strategies and action plans?	<ul style="list-style-type: none"> • Coherence of GEF support with countries' environmental priorities • Linkage of GEF support to national environmental action plans, national biodiversity strategy and action plans, national communications to the UNFCCC, POPs national implementation plans, NCSAs; adaptation to climate change, as well as to relevant regional strategies and action plans, etc. • Coherence of GEF support with regional environmental priorities • Level of GEF funding compared to other official development assistance in the environmental sector • Level of country and/or regional stakeholder ownership in GEF-supported project concept origin, design, and implementation • Existence of mechanisms/processes within countries and within the region to coordinate GEF support and ensure relevance 	<ul style="list-style-type: none"> • Relevant country-level sustainable development and environment policies, strategies, and action plans • GEF-supported enabling activities and products (NCSA, national environmental action plans, adaptation to climate change, national communications to UN conventions, etc.) • SGP country and regional strategies • Local and national government officials, GEF Agency staff, donors, and civil society representatives • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • Available databases (international such as World Bank, OECD, etc.; and national, such as department of statistics; other) 	<ul style="list-style-type: none"> • Desk review: GEF portfolio analysis • Stakeholder consultation: Individual interviews, focus groups • Regional legal environmental framework
Is GEF support relevant to the OECS countries' sustainable development needs and priorities?	<ul style="list-style-type: none"> • Coherence of GEF support with sustainable development needs (i.e., income generation, food security, education, gender equity, health, clean water) • Ability of the GEF modalities, projects, and instruments to address countries' and regional sustainable development needs and challenges 	<ul style="list-style-type: none"> • Relevant country-level sustainable development policies, strategies, and action plans • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • Local and national government officials, GEF Agency staff, donors, and civil society representatives 	<ul style="list-style-type: none"> • Desk review: GEF portfolio analysis • Stakeholder consultation: Individual interviews, focus groups • Regional legal environmental framework
Is GEF support relevant to global environmental benefits in OECS countries (i.e., biodiversity, GHGs, international waters, POPs, land degradation, etc.)?	<ul style="list-style-type: none"> • Relation of project outcomes and impacts to RAF/STAR global environmental benefit index (for biodiversity, climate change, and land degradation) and to other global indicators for POPs, land degradation, and international waters • Relation of project outcome and impacts to threats identified by non-GEF sources to globally significant environmental resources • Linkage of GEF support to national implementation of conventions 	<ul style="list-style-type: none"> • National convention action plans, RAF, biodiversity scorecard, etc. • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • Local and national government officials, GEF agencies' staff, donors and civil society representatives 	<ul style="list-style-type: none"> • Desk review: GEF portfolio analysis • Project field visits • Desk review: Project review protocols • Regional legal environmental framework • Stakeholder consultation: Individual interviews, focus groups • Global environmental benefits assessment
Is GEF support relevant to the GEF mandate, operational principles, and global focal area strategies?	<ul style="list-style-type: none"> • Coherence of GEF-supported activities with GEF mandate and operational principles (catalytic role, flexibility, transparency, incremental cost, country drivenness, etc.) • GEF-supported activities contribute to implementation of global environmental conventions 	<ul style="list-style-type: none"> • GEF Instrument, Council decisions, focal area strategies, GEF-5 programming strategy • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • GEF Secretariat staff • GEF Agency staff 	<ul style="list-style-type: none"> • Desk review: GEF portfolio analysis • Stakeholder consultation: Individual interviews, focus groups • Global environmental benefits assessment • Regional legal environmental framework

Key question	Indicators/basic data	Sources of information	Methodology
Is GEF support relevant to emerging or evolving issues in the OECS region?	<ul style="list-style-type: none"> • GEF activities' alignment with issues currently deemed most urgent versus alignment with past, obsolete, or less presently relevant priorities • Existence, currency, and accessibility of environmental data produced with GEF support to identify and track emerging and evolving issues 	<ul style="list-style-type: none"> • Project-related documentation (project document and logframe, implementation reports, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • Available national statistics and environmental databases • Available databases (international such as World Bank, OECD, etc.; and national, such as department of statistics) • Local and national government officials, GEF Agency staff, donors, and civil society representatives 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Literature review • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Is GEF support relevant to the varying levels of capacity and differing needs and priorities among OECS countries?	<ul style="list-style-type: none"> • Level of tailoring or customization of approach within regionally focused activities • Ability of GEF support to meet individual country needs and priorities 	<ul style="list-style-type: none"> • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • GEF Secretariat staff • GEF Agency staff • Local and national government officials, donors, NGOs, local stakeholders 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Are regional approaches relevant to the needs of participating OECS countries?	<ul style="list-style-type: none"> • Coherence of regional projects with national priorities • Activities of regional projects implemented in participating countries • National-level inputs to regional project management and governance structures • Institutional mechanisms in place for ensuring relevance 	<ul style="list-style-type: none"> • Relevant country-level sustainable development policies, strategies, and action plans • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • GEF Secretariat staff • GEF Agency staff • Local and national government officials, donors, NGOs, local stakeholders 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Efficiency			
Is the appropriate amount of time, money, and effort expended to develop and implement a project in the OECS region (by type of GEF support modality, including SGP)?	<ul style="list-style-type: none"> • Process indicators: processing timing (according to project cycle steps; also linked with timeliness of relevance), preparation and implementation cost by type of modalities, etc. • Adequacy of budgets for management, implementation, and follow-up • Level of project oversight from GEF Agencies • Adequacy of communication of GEF policies and procedures (and of changes as they occur) • Timeliness of disbursements • Project dropouts from PDF and cancellations • GEF versus cofinancing 	<ul style="list-style-type: none"> • Project-related documentation (project document and logframe, implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.), PMIS, GEF Agency project databases • GEF Secretariat • GEF Agency staff • Executing agency staff • Regional organizations staff • Local and national government officials, donors, NGOs, local stakeholders 	<ul style="list-style-type: none"> • Desk review: GEF portfolio analysis • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits

Key question	Indicators/basic data	Sources of information	Methodology
What are the roles and level of coordination and communication among stakeholders in project development and implementation?	<ul style="list-style-type: none"> • Balance between national and regional components and activities of regional projects • Extensiveness of engagement in different steps of the process • Balance of use of external versus national/regional technical capacity • Roles and responsibilities of GEF actors • Level of participation of relevant stakeholders throughout project cycle • Level of communication between GEF focal points and other national stakeholders • Coordination between GEF projects, including between national and regional projects • Existence and efficiency of a national (/regional) coordination mechanism for GEF support • Balance of competing regional interests • Examples of adaptive management/flexibility 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Project staff, government officials • GEF Secretariat • GEF Agency staff • Executing agency staff • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Are GEF modalities and processes adequate for efficiently addressing the needs and priorities of SIDS in the Caribbean region?	<ul style="list-style-type: none"> • Capacity to apply GEF modalities in OECS countries at national and regional scales • Identified gaps or needs that are not addressed through GEF modalities • Level of understanding of processes for applying GEF modalities • Methods and structures of GEF engagement at the national level (focal points, agencies, etc.) 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Project staff, government officials • Executing agency staff • GEF Secretariat staff • GEF Agency staff • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Are there synergies among GEF Agencies in GEF programming and implementation, including synergies between GEF focal areas?	<ul style="list-style-type: none"> • Coordination and complementarity between projects implemented by different GEF Agencies • Effective communication and technical support by GEF Agencies 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • GEF Secretariat • GEF Agency staff • Executing agency staff • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Are there synergies between OECS national and regional institutions for GEF support in programming and implementation?	<ul style="list-style-type: none"> • Coordination and complementarity between projects of different institutions • Effective communication and technical support between national and regional institutions 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Regional, national, and local government officials • GEF Secretariat • GEF Agency staff • Executing agency staff • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits

Key question	Indicators/basic data	Sources of information	Methodology
Are there synergies between GEF support and other donors' support in the OECS region?	<ul style="list-style-type: none"> • Coordination and complementarity between projects of GEF and other donor institutions • Effective communication and technical support between institutions • Existence and effectiveness of information and data sharing processes 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • NGO staff and donor representatives • Evaluations of other donor-funded projects • GEF Secretariat • GEF Agency staff • Executing agency staff • Regional, national, and local government officials • Regional organization staff • Available national statistics 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Is the GEF efficient in galvanizing resources from other sources for investment in the environment?	<ul style="list-style-type: none"> • Cofinancing ratios • Leveraged funding • Assessment of potential cofinancing opportunities in SIDS • Sources of cofinancing • Processes through which cofinancing is secured 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Local and national government • GEF Secretariat • GEF Agency staff • Executing agency staff • Partners and other donors • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits
Is monitoring and evaluation contributing to efficiency and effectiveness of GEF support in the region?	<ul style="list-style-type: none"> • Quality of M&E outputs • Quality and level of adaptive management applied to projects and programs • Project compliance with GEF and GEF Agency M&E policies • Existence of needs or gaps in M&E coverage for regional approaches • Level of independence, quality, and timeliness of external evaluations 	<ul style="list-style-type: none"> • Project-related reviews (implementation reports, midterm reviews, terminal evaluations, terminal evaluation reviews, etc.) • Local and national government • GEF Secretariat staff • GEF Agency staff • Executing agency staff • Regional organization staff 	<ul style="list-style-type: none"> • Desk review: Project review protocols • Desk review: Meta-analysis of evaluation reports • Stakeholder consultation: Individual interviews, focus groups • Project field visits

Annex C. Interviewees

C.1 Antigua and Barbuda

Melesha Banhan, IWCAM Coordinator, Environment Division, Ministry of Foreign Affairs

Hilson Baptiste, Minister, Ministry of Agriculture, Lands, Housing and the Environment

Diann Black-Layne, Chief Environmental Officer, Environment Division, Ministry of Foreign Affairs

Mykl Clovis, Consultant, Environment Awareness Group

Carol Faye-George, Chief Executive Director, Environment Awareness Group

Eli Fuller, Adventure Antigua

Tricia Lovell, Senior Fisheries Officer, Fisheries Division, Ministry of Agriculture

Jedidiah Maxime, Acting Director, Department of Agriculture, Ministry of Agriculture, Fisheries and Environment

Lucia Mings, Project Coordinator, GARD Center

Reg Murphy, Archeologist, National Parks Authority

Dorbrene L. O'Marde, Kingdom Consultants Inc.

Ruth Spencer, Lending Officer, Antigua and Barbuda Development Bank

Adriel Thibu, Forestry Officer, Forestry Division

Joan Underwood, Ambassador/Head of Energy Efficiency Desk, Office of the Prime Minister

Roberta Williams, Director, GARD Center

David Spencer, Waste Management Authority

C.2 Barbados

Patrick McConney, Senior Lecturer, Centre for Resource Management and Environmental Studies, Faculty of Applied Sciences, University of the West Indies

C.3 Belize

Wilson Bennett, Project Manager, Caribbean Community Climate Change Centre

Green, Program Coordinator, Caribbean Community Climate Change Centre

Kenrick Leslie, Executive Director, Caribbean Community Climate Change Centre

C.4 Dominica

Jeff Jno.Baptiste, Consultant

Kongit H. Gabriel, Environment Officer, Environment Coordination Unit, Ministry of Physical Development and Environment

Collin Guiste, Environment Officer, Environment Coordination Unit, Ministry of Physical Development and Environment

Bradley Guye, Environment Officer, Environment Coordination Unit, Ministry of Physical Development and Environment

Bristol John Lawrence, Acting General Manager, Dominica Waste Management Unit

Lolita Raffoul, Discover Dominica Authority

Mills, Special Assistant to the Permanent Secretary, Ministry of Environment

Florian Mitchell, Collection Supervisor, Dominica Waste Management Unit

Lloyd Pascal, Director, Environment Coordination Unit, Ministry of Physical Development and Environment

Raymond, Financial Controller, Dominica Port Authority

Nelson Simon,

Ronald Son Piper

Kimisha Thomas, Programme Assistant, SGP Dominica

C.5 Grenada

John Auguste, Senior Energy Officer, Ministry of Finance

Francis Calliste, Fishery Officer, Fisheries Department, Ministry of Agriculture

Selby Da Breo, General Manager, Grenada Solid Waste Management Authority

Malachy P. Dottin, Director, Research and Biotechnology Laboratory

Kelvin Dottin, Forestry Division, Department of Land Management

Ian Evan, Port Manager, Grenada Ports Authority

Valerie Gordon, SGP National Focal Person

Mervin Haynes, Director of International Collaboration, Department of Economic and Technical Cooperation

Crofton Isaac, Fisheries Department

Roxanne Neckless, Department of Economic and Technical Cooperation

Jocelyn Paul, Former Representative, GEF OFF

Justin Rennie, Fisheries Department

Dianne Roberts, Sustainable Land Management Project Coordinator, Forestry Division, Department of Land Management

Anthony Tereman, Forestry Division, Department of Land Management

Spencer Thomas Linus, Consultant

Faye Thompson, Programme Officer, UNDP Grenada

Trevor Thompson, Land Use Officer, Ministry of Agriculture

C.6 Jamaica

David Lee, Consultant, CaribbeanEcosystems.org

C.7 St. Kitts and Nevis

Andy Blanchette, Conservation Office, Department of Physical Planning and Environment

Randolph Edmead, Director, Ministry of Planning and Environment

Hilary Hazel, Permanent Secretary, Ministry of Sustainable Development

June Hughes, Senior Environment Officer (Agriculture), Department of Physical Planning and Environment/Ministry of Planning and Environment

Natasha Leader, Executive Director, St. Christopher National Trust

Kathleen “Kate” Orchard, Projects Officer, St. Christopher Historic Trust

Halla Sahely, Assistant Water Engineer, Strategic Planning and Capital Projects, Water Services Department, Government of St. Kitts

Kimberly Stewart, Director/Project Officer, St. Kitts Sea Turtle Monitoring Network

Ilis Watts, OPAAL Site Coordinator (Consultant), OPAAL Project

Auren Manners, Program Officer, Department of Physical Planning, Ministry of Sustainable Development

Leighton Naraine, Vice Principal (Agriculture), Clarence Fitzroy Bryant College

Korel Browne, Physical Planner, Department of Physical Planning and Environment

C.8 St. Lucia

G. James, Permanent Secretary, Ministry of Physical Planning and Environment

Neranda Maurice, Sustainable Development Officer, Sustainable Development and Environment Division, Ministry of Physical Planning and Environment

P. A. Murray, Programme Officer, OECS ESU

K. E. Nichols, Head, OECS ESDU

Sasha Beth Gottlieb, Technical Coordinator, GEF IWCAM Project

C.9 St. Vincent and the Grenadines

Shirla Francis, Permanent Secretary, Ministry of Health and Environment

Yasa Belmar, Environment Officer, Environmental Management Department, Ministry of Health and Environment

Lystra Culzac-Wilson, Sustainable Land Management Project Coordinator, Ministry of Health and Environment

Ajit Duncan, President, Greggs Group (Rastamen)—Keepers of the Environment

Nyasha Hamilton, Environment Officer, Environmental Management Department, Ministry of Health and Environment

Edmund Jackson, Environmental Management Department, Ministry of Health and Environment

Brian Johnson, Director, Department of Forestry

Andrew Lockhart, Program Officer, National Parks Authority

Casmus McLeod, Senior Forestry Supervisor, Department of Forestry

Fitzgerald Providence, Senior Forestry Supervisor, Department of Forestry

Andrew Wilson, Director, National Parks Authority

C.10 Washington, DC

Bonizella “Boni” Biagini, Team Leader, Adaptation, GEF Secretariat

Jaime Cavelier, Senior Biodiversity Officer, GEF Secretariat

Rawleston Moore, Adaptation and Country Relations Officer, GEF Secretariat

Cletus Springer, Director, Department of Sustainable Development, Organization of American States

Walter Vergara, Team Leader, Climate Change Adaptation, Environment Department, World Bank

Christine Wellington-Moore, Task Manager, POPs and Chemicals Management, UNEP-DTIE

Richard Worden, Senior Environment Specialist, World Bank IEG

Annex D. Workshop Participants

This annex lists the participants in the May 31, 2011, aide-mémoire workshop in Rodney Bay, St. Lucia.

Ulrike Krauss, Ministry Of Agriculture, Forestry Department

Anita James, Ministry of Agriculture, Biodiversity Unit

Cornelius Isaac, IWCAM

Vincent Sweeny, IWCAM

Peter A. Murray, OECS-ESDU

Crispin d'Auvergne, Ministry of Physical Development and the Environment-SDED

Caroline Eugene, Ministry of Physical Development and the Environment

Judith Ephraim, Ministry of Physical Development and the Environment

Dawn Pierre-Nathaniel, Ministry of Physical Development and the Environment

Bethia Daniel, Ministry of Physical Development and the Environment

Heidi Soucra-Albert, Ministry of Physical Development and the Environment

Kasha Jn. Baptiste, Ministry of Physical Development and the Environment

Norma-Cherry Fevrier, Ministry of Economic Affairs

Esther Lucien, Sustainable Land Management

Robert Van de Berg, GEF Evaluation Office

Carlo Carugi, GEF Evaluation Office

Diann Black-Layne, Antigua

Ruleta Camacho, Antigua

Roxanne Nettles, Grenada

Faye Thompson, Grenada

Bradley Guye, Dominica

Evan Green, Consultant

Reynold Murray, UNDP Barbados

Santiago Carrizosa, UNDP Regional Office

Giles Romulus, UNDP Barbados—SGP

Vasanth Chase, Consultant

Annex E. GEF Portfolio in the OECS Region

GEF ID	Project title	GEF Agency	Focal area	Modality	Status	GEF support	Cofinancing	Total funding	PDF/ PPG	GEF phase
						million \$				
Antigua and Barbuda										
42	Clearing House Mechanism Enabling Activity	UNDP	BD	EA	C	0.01	0.00	0.01	n.a.	GEF-2
211	National Biodiversity Strategy, Action Plan and First National Report to COP	UNDP	BD	EA	C	0.14	0.00	0.14	n.a.	GEF-1
326	Enabling Antigua and Barbuda to Prepare its First National Communication in Response to its Commitments to UNFCCC	UNDP	CC	EA	C	0.16	0.00	0.16	n.a.	GEF-1
824	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	UNDP	CC	EA	C	0.10	0.00	0.10	n.a.	GEF-2
1614	Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State	UNDP	MF	FSP	I	3.00	4.70	7.70	0.197	GEF-3
1926	Assessment of Capacity Building Needs and Country Specific Priorities	UNDP	BD	EA	C	0.21	0.05	0.26	n.a.	GEF-3
1946	National Capacity Needs Self-Assessment for Global Environmental Management	UNEP	MF	EA	C	0.19	0.07	0.26	n.a.	GEF-3
2033	Enabling activities for the Stockholm Convention on Persistent Organic Pollutants (POPs): National Implementation Plan for Antigua and Barbuda	UNEP	POP	EA	C	0.40	0.07	0.47	n.a.	GEF-3
Dominica										
256	National Biodiversity Strategy, Action Plan and Report to the CBD	UNDP	BD	EA	C	0.10	0.00	0.10	n.a.	GEF-1
437	Enabling The Commonwealth of Dominica to Prepare its First National Communication in Response to its Commitments to UNFCCC	UNDP	CC	EA	C	0.17	0.00	0.17	n.a.	GEF-1
606	Clearing House Mechanism Enabling Activity	UNDP	BD	EA	C	0.01	0.00	0.01	n.a.	GEF-2
1747	Biodiversity Enabling Activity Add-on:: Assessment of Capacity Building Needs and Country-specific Priorities	UNDP	BD	EA	C	0.20	0.00	0.20	n.a.	GEF-3
2036	National Capacity Needs Self-Assessment (NCSA) for Global Env. Management	UNEP	MF	EA	C	0.20	0.05	0.25	0.025	GEF-3
2053	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	UNDP	CC	EA	C	0.10	0.00	0.10	n.a.	GEF-3
2727	Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants (POPs): The Development of a National Implementation Plan for the Commonwealth of Dominica	UNEP	POP	EA	C	0.26	0.07	0.33	n.a.	GEF-3
3460	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management	UNDP	LD	MSP	I	0.50	0.51	1.01	0.015	GEF-3

GEF ID	Project title	GEF Agency	Focal area	Modality	Status	GEF support	Cofinancing	Total funding	PDF/PPG	GEF phase
						million \$				
Grenada										
470	Development of a National Biodiversity Conservation Strategy,	UNDP	BD	EA	C	0.13	0.00	0.13	n.a.	GEF-1
527	Enabling Grenada to Prepare its Initial National Communication in Response to its Commitments to UNFCCC	UNDP	CC	EA	C	0.18	0.00	0.18	n.a.	GEF-2
815	Dry Forest Biodiversity Conservation	WB	BD	MSP	C	0.72	0.41	1.13	0.025	GEF-2
1585	Assessment of Capacity Building Needs and Country Specific Priorities	UNDP	BD	EA	C	0.21	0.04	0.25	n.a.	GEF-2
1879	Climate Change Enabling Activity (Additional Financing for Capacity Building)	UNDP	CC	EA	C	0.10	0.00	0.10	n.a.	GEF-3
2065	National Capacity Self-Assessment (NCSA) for Global Environmental Management	UNDP	MF	EA	C	0.20	0.03	0.23	0.025	GEF-3
3512	LDC/SIDS Portfolio Project: Capacity building and Mainstreaming of Sustainable. Land	UNDP	LD	MSP	I	0.50	0.67	1.17	0.015	GEF-3
St. Kitts and Nevis										
255	National Biodiversity Strategies, Action Plan, and the Report to the Convention	UNDP	BD	EA	C	0.10	0.00	0.10	n.a.	GEF-1
441	Enabling St. Kitts and Nevis to Prepare its First National Communication in Response to its Commitments to UNFCCC	UNDP	CC	EA	C	0.16	0.00	0.16	n.a.	GEF-1
1881	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	UNDP	CC	EA	C	0.10	0.00	0.10	n.a.	GEF-3
2047	National Capacity Self-Assessment (NCSA) for Global Environmental Management	UNDP	MF	EA	C	0.23	0.03	0.26	0.025	GEF-3
3300	Assessment of Capacity Building Needs and Country Specific Priorities (add on)	UNDP	BD	EA	I	0.18	0.00	0.18	n.a.	GEF-4
3494	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management in St. Kitts	UNDP	LD	MSP	I	0.50	0.51	1.01	0.015	GEF-3
St. Lucia										
271	Enabling St. Lucia to Prepare its First National Communication in Response to its Commitments to UNFCCC	UNDP	CC	EA	C	0.17	0.00	0.17	n.a.	GEF-1
679	National Biodiversity Strategies, Action Plan, and the First National Report to the Convention on Biological Diversity and Participation in the Pilot Phase of the CHM	UNEP	BD	EA	C	0.17	0.00	0.17	n.a.	GEF-1
991	Assessment of Capacity-building Needs for Biodiversity, Participation in CHM and Preparation of Second National Report	UNEP	BD	EA	C	0.28	0.11	0.39	n.a.	GEF-2
1701	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	UNDP	CC	EA	C	0.10	0.00	0.10	n.a.	GEF-2
1828	National Capacity Self-Assessment (NCSA) for Global Environmental Management	UNEP	MF	EA	C	0.18	0.08	0.26	0.013	GEF-3
2158	Enabling Activity for the Stockholm Convention on Persistent Organic Pollutants (POPs): National Implementation Plan for St. Lucia	UNEP	POP	EA	C	0.40	0.11	0.51	n.a.	GEF-3
3500	LDC/SIDS Portfolio Project: Capacity building and Mainstreaming of Sustainable Land Management in St. Lucia	UNDP	LD	MSP	I	0.50	1.04	1.54	n.a.	GEF-3

GEF ID	Project title	GEF Agency	Focal area	Modality	Status	GEF support	Cofinancing	Total funding	PDF/PPG	GEF phase
						million \$				
St. Vincent and the Grenadines										
257	National Biodiversity Strategies, Action Plan, and the Report to the Convention on Biological Diversity	UNDP	BD	EA	C	0.12	0.00	0.12	n.a.	GEF-1
454	Enabling St. Vincent and Grenadines to Prepare its First National Communication in Response to its Commitments to UNFCCC	WB	CC	EA	C	0.35	0.00	0.35	n.a.	GEF-1
1810	Assessment of Capacity Building Needs and Country Specific Priorities (add-on)	UNDP	BD	EA	C	0.21	0.18	0.39	n.a.	GEF-3
1911	Climate Change Enabling Activity (additional financing for capacity building in priority areas)	WB	CC	EA	C	0.10	0.00	0.10	n.a.	GEF-3
1977	National Capacity Self-Assessment for Global Environmental Management	UNDP	MF	EA	C	0.20	0.04	0.24	0.025	GEF-3
3491	LDC/SIDS Portfolio Project: Capacity Building and Mainstreaming of Sustainable Land Management in St. Vincent and the Grenadines	UNDP	LD	MSP	I	0.50	1.38	1.88	0.015	GEF-3
Regional (all six OECS countries)										
59	Ship-Generated Waste Management	IBRD	IW	FSP	C	13.02	38.00	51.02	0.518	GEF-1
105	Caribbean Planning for Adaptation to Global CC - CPACC	IBRD	CC	EA ^a	C	6.83	0.00	6.83	0.325	GEF-1
585	Wider Caribbean Initiative for Ship-Generated Waste	IBRD	IW	FSP	C	5.78	0.00	5.78	n.a.	GEF-1
840	Caribbean Renewable Energy Development Programme	UNDP	CC	FSP	C	3.73	17.91	21.64	0.309	GEF-2
1032	Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem And Adjacent Regions - Caribbean LME	UNDP	IW	FSP	I	7.08	48.30	55.38	0.719	GEF-4
1084	Caribbean: Mainstreaming Adaptation to CC - MACC	IBRD	CC	FSP	C	5.35	4.30	9.65	0.345	GEF-2
1204	OECS Protected Areas and Associated Livelihoods - OPAAL	IBRD	BD	FSP	I	3.70	3.87	7.57	0.114	GEF-3
1254	Integrating Watershed and Coastal Area Management in the SIDs of the Caribbean - IWCAM	UNEP	IW	FSP	C	13.38	98.27	111.65	0.316	GEF-3
1310	Building Wider Public and Private Constituencies for the GEF in LAC: Regional Promotion of Global Environment Protection through the Electronic Media	UNDP	MF	MSP	C	1.00	0.96	1.96	n.a.	GEF-2
2967	BS Regional project for Implementing National Biosafety Frameworks in the Caribbean under the GEF Biosafety Programme (BCH II)	UNEP	BD	FSP	A	5.97	7.10	13.07	0.111	GEF-4
41	Building Capacity for Conducting Vulnerability and Adaptation Assessments in the Caribbean [Antigua & Barbuda, Grenada, St. Lucia]	UNDP	CC	EA	C	0.12	0.00	0.12	n.a.	GEF-2
178	A Participatory Approach to Managing the Environment: An Input to the Inter American Strategy for Participation [Antigua & Barbuda, Dominica, Grenada, St. Kitts, St. Lucia]	UNEP	MF	MSP	C	0.70	0.84	1.54	0.025	GEF-1
2552	Implementation of Pilot Adaptation Measures in Coastal Areas of Dominica, St. Lucia and St. Vincent - SPACC	IBRD	CC	FSP	I	2.40	3.37	5.77	0.30	GEF-3
3183	Mitigating the Threats of Invasive Alien Species in the Insular Caribbean [St. Lucia]	UNEP	BD	FSP	I	3.03	3.08	6.12	0.225	GEF-4
3766	Testing a Prototype Caribbean Regional Fund for Wastewater Management - CReW [Antigua & Barbuda, St. Lucia]	IDB	IW	FSP	I	20.38	251.70	272.08	0.38	GEF-4

GEF ID	Project title	GEF Agency	Focal area	Modality	Status	GEF support	Cofinancing	Total funding	PDF/PPG	GEF phase
						million \$				
3858	Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems [Grenada, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines]	IBRD	BD	FSP	A	9.00	14.80	23.80	0.25	GEF-4
4171	Energy for Sustainable Development in the Caribbean [Antigua & Barbuda, Grenada, St. Lucia]	UNEP	CC	FSP	I.	4.98	6.36	11.34	0.125	GEF-4
Global										
875	Development of National Biosafety Frameworks [includes the following LAC countries: Antigua & Barbuda, Barbados, Dominica, El Salvador, Grenada, Jamaica, Nicaragua]	UNEP	BD	EA	C	26.09	12.34	38.43	n.a.	GEF-1
2341	Development of National Biosafety Frameworks Project (Add-on) [Requesting countries: Suriname, Libyan Arab Republic, Dominica, Belize, Latvia, Bhutan, Morocco, Yemen, St. Vincent and the Grenadines, Sierra Leone, St. Lucia, Malta, Gabon, Burundi, Democratic Republic of the Congo, Cape Verde, Serbia and Montenegro, Angola, Eritrea, South Africa]	UNEP	BD	EA	C	5.22	0.00	5.22	n.a.	GEF-2
167	Country cases studies on CC impacts and adaptations assessment- Phase I [Antigua & Barbuda]	UNEP	CC	EA	C	2.00	0.00	2.00	n.a.	GEF-1
3778	Supporting the implementation of global monitoring plan of POPs in LAC [Antigua & Barbuda]	UNEP	POP	MSP	I	0.89	1.07	1.96	n.a.	GEF-4
2387	National Communications Program for Climate Change	UNDP-UNEP	CC	EA	I	58.65	1.55	60.20	n.a.	GEF-3
2441	LDC and SIDS Targeted Portfolio Approach for Capacity Development and Mainstreaming of Sustainable Land Management [all 6 OECS countries]	UNDP	LD	FSP	I	29.00	30.95	59.95	n.a.	GEF-3
2613	Supporting Country Early Action on Protected Areas [Antigua & Barbuda, Grenada, St. Vincent & the Grenadines]	UNDP	BD		I	9.47	4.04	13.50	0.065	GEF-4

Note: — = not applicable; IBRD = International Bank for Reconstruction and Development; BD = biodiversity; CC = climate change; IW = international waters; LD = land degradation; MF = multifocal; EA = enabling activity; A = CEO approved; C = completed; I = under implementation.

a. Considered as an FSP.

Annex F. Countries' Response

As is usual at the completion of a country portfolio evaluation, the GEF Evaluation Office invited the relevant governments to provide their official response to the evaluation to be included as an annex to the evaluation report. GEF stakeholders from the six OECS countries included in this evaluation provided comments on the draft report through their respective GEF operational focal points. Some focal points may have felt this response was sufficient and did not provide further feedback on the final report. Others indicated in writing they were satisfied with the final report.

One focal point stated that detailed project-level assessments of achievements focusing specifically

on efficiency issues in project design and implementation to enable comparison among projects in the portfolio would have been useful. CPEs are not designed to perform detailed project-level assessments: project results, relevance, and efficiency are assessed from a higher perspective (the country portfolio one), which is aggregate in nature. The aim is to assess the achievements of overall GEF support to a country. In the GEF, project-level assessment is undertaken by GEF Agencies through supervision, midterm reviews, and terminal evaluations. The new GEF M&E Policy has introduced the requirement that the findings of M&E exercises of the GEF Agencies need to be shared with the operational focal points.

Bibliography

GEF publications are available at this link: [www.thegef.org/gef/gef Documents Publications](http://www.thegef.org/gef/gef_documents_publications). Publications cited for the GEF Evaluation Office are available at www.thegef.org/ under Evaluations & Studies and in the online documents database ASK ME. All web links cited here were accessed February 2010, unless otherwise indicated.

Antigua and Barbuda Delegation. 2002. "Case Study: Synergies of MEAs in Antigua and Barbuda. Presentation at the 1st Session of the Committee for the Review of the Implementation of the UNCCD Convention, November 2002. www.unccd.int/cop/cric1/presentations/antigua_and_barbuda.ppt.

Antilles Economics. 2010. "The Optimum Cost Structure for Managing the Caribbean Sub-Region GEF SGP." http://boecs.org/sgp/index.php?option=com_content&task=view&id=72&Itemid=61.

Baumert, Kevin A., Timothy Herzog, and Jonathan Pershing. 2005. *Navigating the Numbers: Greenhouse Gas Data and International Climate Policy*. Washington, DC: World Resources Institute.

Burke, Laretta, and Jonathan Maidens. 2004. *Reefs at Risk in the Caribbean*. Washington, DC: World Resources Institute.

Caribbean Environment Programme. n.d. "About the Cartagena Convention." www.cep.unep.org/cartagena-convention.

———. n.d. "LBS Protocol." <http://cep.unep.org/cartagena-convention/lbs-protocol>.

CARICOM. n.d. "Caribbean Planning for Adaptation to Climate Change (CPACC) Project." www.caricom.org/jsp/projects/macc%20project/cpacc.jsp.

Clauzel, Sylvester. 2009. "Guidance Document on the Selection of Lessons Learned and Good Practices Worthy of Documentation for the GEF-IWCAM Project."

Climatology of Caribbean Hurricanes. n.d. http://stormcarib.com/climatology/ECAR_map_bathy.htm.

Conservation International. n.d. "Biodiversity Hotspots Database." www.biodiversityhotspots.org.

de Romilly, George. n.d. "Caribbean Vulnerability, Caribbean Approach to Climate Change Adaptation and Cooperation with Overseas Territories."

Dellarue, Howard. 2009. "Climate Change and Disaster Risk Reduction in Caribbean Small Island Developing States." 45. ISOCARP Congress 2009.

Douglas. 2009. "Energy Policy and Sustainable Energy Plan for Dominica underway." *Dominica Central Newspaper* April 6.

FAO/World Bank Cooperative Programme. 2005. "The Future for Agriculture in the OECS Countries: Rural Sector Note." <ftp://ftp.fao.org/docrep/fao/011/k1162e/k1162e00.pdf>.

GEF (Global Environment Facility). 2004. "OPAAL Project Appraisal Document."

———. 2010. "The GEF-IWCAM Demonstration Projects—Highlights." Presented at the 5th Caribbean Environmental Forum and Exhibition, Montego Bay, Jamaica, June 24, 2010.

- GEF EO (Global Environment Facility Evaluation Office). 2006. *Joint Evaluation of the GEF Activity Cycle and Modalities*. Evaluation Report No. 33.
- . 2007. “Evaluation of the Catalytic Role of the GEF—Draft Approach Paper.”
- . 2008. *Joint Evaluation of the GEF Small Grants Programme*. Evaluation Report No. 39.
- . 2010a. “Methodological Note on Triangulation Analysis in Country Portfolio Evaluations.” <http://www.thegef.org/gef/node/3575>.
- . 2010b. “Note on the Selection Process and Criteria for the GEF Country Portfolio Evaluations.” www.thegef.org/gef/sites/thegef.org/files/documents/CPE_final_country_selection_note-0910_0.pdf.
- GEF Secretariat. 2008a. “GEF Benefits Index (GBI) for Biodiversity: Initial and Revised July 2008.” <http://www.thegef.org/gef/node/1805>.
- . 2008b. “GEF Benefits Index (GBI) for Climate Change: Initial and Revised July 2008.” <http://www.thegef.org/gef/node/1806>.
- . 2010. “System for Transparent Allocation of Resources (STAR).” GEF Policy Paper GEF/P.3/2010.
- GEF SGP (Global Environment Facility Small Grants Programme). n.d. “Creating Sustainable Livelihoods through Community-Based Sea Turtle Conservation in St. Kitts & Nevis.” Project description. http://sgp.undp.org/index.php?option=com_sgpprojects&view=projectdetail&id=13168&Itemid=205#.UD0apkQyE7A.
- Gobin, Judith, 2001. “Professional Development Programme: Coastal Infrastructure Design, Construction and Maintenance: A Course in Coastal Zone/Island Systems Management.” Chapter 7: Marine Biological Issues, Antigua, West Indies, June 18–22, 2001.
- Government of Antigua and Barbuda. 2000. “Antigua and Barbuda Ozone Recovery & Recycling Seminar.”
- . 2001a. “Antigua and Barbuda’s Initial National Communication on Climate Change.”
- . 2001b. “Biodiversity Strategy & Action Plan for Antigua & Barbuda.”
- . 2001c. “First National Report to the Convention on Biological Diversity.”
- . 2001d. “Integrating Management of Watersheds & Coastal Areas in Small Island Developing States of the Caribbean: National Report for Antigua & Barbuda.”
- . 2002. “Policy Framework for Integrated (Adaptation) Planning and Management in Antigua & Barbuda.”
- . 2005a. “National Biosafety Framework of Antigua and Barbuda.”
- . 2005b. “UNCCD Draft National Action Plan for Antigua & Barbuda.”
- . 2007. “Antigua and Barbuda National Implementation Plan for the Management of Persistent Organic Pollutants.” Prepared by Total Development Solutions.
- . 2010. “Fourth National Report to the CBD, 2009” Dr. Janil Gore-Francis. Environment Division, Ministry of Agriculture, Lands, Fisheries and Environment.
- Government of Dominica. 2001a. “Dominica’s Biodiversity Strategy and Action Plan.”
- . 2001b. “Initial National Communication under the United Nations Framework Convention on Climate Change.”
- . 2001c. “Integrating Management of Watersheds & Coastal Areas in Small Island Developing States of the Caribbean: National Report for the Commonwealth of Dominica.”
- . 2004a. “Dominica National Action Plan to Combat Land Degradation.”
- . 2004b. “Dominica’s 4th National Report to the Convention of Biological Diversity.”
- . 2004c. “National Biosafety Framework of Dominica.”
- Government of Grenada. 2000. “Grenada Initial Communication to the UNFCCC.”
- . 2001. “Integrating Management of Watersheds & Coastal Areas in Small Island Developing States of the Caribbean: National Report for Grenada.”
- . 2005a. “National Biosafety Framework of Grenada.”
- . 2005b. “National Capacity Self Assessment Final Report.”
- Government of St. Kitts and Nevis. 2001a. “St. Kitts and Nevis Initial National Communication to the UNFCCC.”

- . 2001b. “Integrating Management of Watersheds & Coastal Areas in Small Island Developing States of the Caribbean: National Report for St. Kitts and Nevis.”
- . 2004. “St. Kitts and Nevis National Biodiversity Strategy and Action Plan.”
- . 2007a. “National Biosafety Framework of St. Kitts and Nevis.”
- . 2007b. “St. Kitts National Action Programme for Combating Desertification and Land Degradation.”
- Government of St. Lucia. 2000. “St. Lucia Initial Communication on Climate Change.”
- . 2001. “Integrating Management of Watersheds & Coastal Areas in Small Island Developing States of the Caribbean: National Report for St. Lucia.”
- . 2003. “St. Lucia National Climate Change Policy and Action Plan.”
- . 2006a. “National Biosafety Framework of St. Lucia.”
- . 2006b. “National Implementation Plan for Persistent Organic Pollutants 2006–2010.”
- . 2009. “St. Lucia’s Fourth National Report to the Convention on Biological Diversity.”
- Government of St. Vincent and the Grenadines. 2000. “Initial National Communication on Climate Change.”
- . 2001. “Integrating Management of Watersheds & Coastal Areas in Small Island Developing States of the Caribbean: National Report for St. Vincent and the Grenadines.”
- . 2007. “National Biosafety Framework of St. Vincent and the Grenadines.”
- . 2010. “Fourth National Biodiversity Report of St. Vincent and the Grenadines to the UNCBD.”
- Harris, Margaret. 2009. “Capacity Development in Barbados and the Eastern Caribbean, Report No. 1, Executive Summary and Major Recommendations.”
- International Finance Corporation/World Bank. “Ease of Doing Business in Antigua and Barbuda.” <http://www.doingbusiness.org/data/exploreeconomies/antigua-and-barbuda/>.
- IPCC (Intergovernmental Panel on Climate Change). 2007. *Climate Change 2007, the Fourth Assessment Report (AR4)*.
- Multilateral Fund for the Implementation of the Montreal Protocol. 2010. “Phase-Out Plans and Projects.”
- Oceandots: The Island Encyclopedia. n.d. “St. Kitts.” <http://www.oceandots.com/atlantic/saint-kitts/>.
- OECS (Organisation of Eastern Caribbean States). 2007. *St. George’s Declaration of Principles for Environmental Sustainability in the OECS*. www.oecs.org/doc-lib/environment/cat_view/28-environment-and-sustainable-development/106-st-georges-declaration.
- OECS Secretariat (Organisation of Eastern Caribbean States Secretariat). 2009. “Status of Environmental Management in the OECS.”
- Romulus, Giles, and Tracy Phillips. n.d. “Challenges and Lessons in a GEF SGP Multi-Country Programme.” PowerPoint presentation. www.thegef.org/gef/sites/thegef.org/files/gefcs/docs/1221.ppt.
- Rusk, Bonnie L. 2010. “Case Study: Mt. Hartman Development and the Grenada Dove: Finding a Win-Win Solution.” Prepared with support from the U.S. Agency for International Development and the Nature Conservancy.
- ScienceDaily*. 2010. “Coral Bleaching Likely in Caribbean This Year.” September 29. www.sciencedaily.com/releases/2010/09/100923104217.htm.
- SGP (Small Grants Programme). 2011. “Global Environment Facility Small Grants Programme Annual Report for the Period January–December 2010 for Barbados and the Organisation of Eastern Caribbean States Sub-Regional Programme: Moving Towards a Results Based Management Structure and Operations.”
- Smith, Donna M. 2007. “Progress in Climate Change Adaptation in the Caribbean Community.” Caribbean Community Secretariat.
- St. Lucia National Trust. n.d. “OPAAL Project.” <http://www.slunatrust.org/pdf/OpaalProject.pdf>.
- UNECLAC (United Nations Economic Commission for Latin America and the Caribbean). 2004. “Disaster Assessment Training Manual for SIDS.”

- . 2005. “Effects and Implications of the Common Market and Single Economy on the Member States of the Organisation of Eastern Caribbean States (OECS) and the Utilization of Chapter 7 of the Treaty of Chaguaramas.” Report commissioned by the OECS Secretariat.
- . 2009. “The Global Crisis and Its Impact on the OECS Countries: Economic and Social Implications.” *Focus* 3: 12–13.
- . 2010. “Macro Socio-Economic Damage Assessment Report.”
- UNEP (United Nations Environment Programme). 2002. “Environmental Legislative and Judicial Developments in the English-Speaking Caribbean Countries in the Context of Compliance with Agenda 21 and the Rio Agreements.”
- . 2010. “Report of the Executive Director of the Cartagena Convention on the Implementation of the 2008–2009 Work Programme of the Caribbean Environment Programme.”
- World Bank. 1999. “Completion Report, the Wider Caribbean Initiative on Ship-Generated Waste Project.”
- . 2002. “Implementation Completion Report on Grants in the Amount of SDR 4.66 Million to the General Secretariat of the Organization of American States for a Planning for Adaptation to Global Climate Change Project (GEF).”
- . 2005. “OECS: Towards a New Agenda for Growth.”
- . 2009. “Implementation Completion and Results Report on a Global Environment Facility Grant in the Amount of US\$5.0 Million to the Caribbean Community/Caribbean Community Climate Change Centre for a Caribbean Mainstreaming Adaptation to Climate Change Project.”
- . 2011. “Grenada Pilot Program for Climate Resilience (PPCR) Second Joint Mission (WB) February 17, 2011 Aide-Mémoire.”
- . n.d. “Country and Lending Groups.” <http://web.worldbank.org/WBSITE/EXTERNAL/DATASTATISTICS/0,,contentMDK:20421402~pagePK:64133150~piPK:64133175~theSitePK:239419,00.html#LAC>.

Recent GEF Evaluation Office Publications

Evaluation Reports

71	Evaluación de la cartera de proyectos del FMAM en Nicaragua (1996–2010), Volumens 1 y 2	2012
70	Evaluation of GEF National Capacity Self-Assessments	2012
69	Annual Thematic Evaluation Report 2011	2012
68	GEF Annual Impact Report 2011	2012
67	Estudio de la cartera de proyectos del FMAM en El Salvador (1994–2010), Volumens 1 y 2	2012
66	GEF Country Portfolio Study: Jamaica (1994–2010), Volumes 1 and 2	2012
65	GEF Annual Performance Report 2010	2011
64	GEF Annual Country Portfolio Evaluation Report 2011	2011
63	GEF Annual Impact Report 2010	2011
62	Review of the Global Environment Facility Earth Fund	2011
61	Evaluation of the GEF Strategic Priority for Adaptation	2011
60	GEF Country Portfolio Evaluation: Turkey (1992–2009)	2011
59	GEF Country Portfolio Evaluation: Moldova (1994–2009)	2011
58	GEF Annual Country Portfolio Evaluation Report 2010	2010
57	GEF Annual Performance Report 2009	2010
56	GEF Impact Evaluation of the Phaseout of Ozone-Depleting Substances in Countries with Economies in Transition, Volumes 1 and 2	2010
55	GEF Annual Impact Report 2009	2010
54	OPS4: Progress Toward Impact—Fourth Overall Performance Study of the GEF, Full Report	2010
53	OPS4: Progress Toward Impact—Fourth Overall Performance Study of the GEF, Executive Version	2010
52	GEF Country Portfolio Evaluation: Syria (1994–2008)	2009
51	GEF Country Portfolio Evaluation: Egypt (1991–2008)	2009
50	GEF Annual Country Portfolio Evaluation Report 2009	2009
49	GEF Annual Performance Report 2008	2009
48	GEF Annual Impact Report 2008	2009
47	Midterm Review of the Resource Allocation Framework	2009
46	GEF Annual Report on Impact 2007	2009
45	GEF Country Portfolio Evaluation: Cameroon (1992–2007)	2009
44	GEF Annual Country Portfolio Evaluation Report 2008	2008
43	GEF Country Portfolio Evaluation: South Africa (1994–2007)	2008
42	GEF Country Portfolio Evaluation: Madagascar (1994–2007)	2008
41	GEF Country Portfolio Evaluation: Benin (1991–2007)	2008
40	GEF Annual Performance Report 2007	2008
39	Joint Evaluation of the GEF Small Grants Programme	2008
38	GEF Annual Performance Report 2006	2008
37	GEF Country Portfolio Evaluation: Samoa (1992–2007)	2008
36	GEF Country Portfolio Evaluation: The Philippines (1992–2007)	2008

Evaluation Documents

ED-4	The GEF Monitoring and Evaluation Policy 2010	2010
ED-3	Guidelines for GEF Agencies in Conducting Terminal Evaluations	2008
ED-2	GEF Evaluation Office Ethical Guidelines	2008

Learning Products

LP-3	The Journey to Rio+20: Gathering Evidence on Expectations for the GEF	2012
LP-2	Climate Change and the GEF	2010
LP-1	Biodiversity and the GEF	2010

To see all GEF Evaluation Office publications, please visit our webpage: www.thegef.org/gef/EO%20Publications.



Global Environment Facility
Evaluation Office
1818 H Street, NW
Washington, DC 20433
USA

www.gefeo.org