

# GEF Country Portfolio Evaluation: Samoa (1992–2007)

MARCH 2008





**Global Environment Facility  
Evaluation Office**

# **GEF Country Portfolio Evaluation: Samoa (1992–2007)**

**March 2008**

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## Abbreviations

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AusAID	Australian Agency for International Development	PDF	project development facility
EA	enabling activity	POP	persistent organic pollutant
ExA	Executing Agency	RAF	Resource Allocation Framework
FAO	Food and Agriculture Organization	SAT	Samoa tala (currency)
FSP	full-size project	SDS	Strategy for the Development of Samoa
GEF	Global Environment Facility	SES	statement of economic strategy
GHG	greenhouse gas	SIDS	small island developing states
IA	Implementing Agency	SGP	Small Grants Programme
LDC	least developed country	SPBCP	South Pacific Biodiversity Conservation Programme
MNRE	Ministry of Natural Resources and Environment	SOPAC	Pacific Islands Applied Geoscience Commission
MPA	marine protected area	SPREP	South Pacific Regional Environmental Programme
MSP	medium-size project	UN	United Nations
NAP	national action plan	UNCCD	United Nations Convention to Combat Desertification
NAPA	national adaptation program of action	UNDP	United Nations Development Programme
NBSAP	national biodiversity strategy and action plan	UNEP	United Nations Environment Programme
NCSA	national capacity self-assessment	UNFCCC	United Nations Framework Convention on Climate Change
NDP	national development plan	UNIDO	United Nations Industrial Development Organization
NGO	nongovernmental organization		
NIP	national implementation plan		
NZAID	New Zealand International Aid and Development Agency		



## Foreword

This report is the third in a series of country portfolio evaluations produced by the Evaluation Office of the Global Environment Facility (GEF). Using the country as the unit of analysis, these evaluations examine the totality of GEF support across all GEF Agencies and programs. The GEF Council had two objectives in undertaking such studies: (1) to gain knowledge on the results of GEF-supported activities and how they are implemented and (2) to evaluate how GEF-supported activities fit into national strategies and priorities as well as within GEF-mandated global environmental objectives.

The approach was piloted in a 2005–06 evaluation of GEF support in Costa Rica during 1992–2005. Based on this experience, in October 2006, the Evaluation Office prepared standard terms of reference for country portfolio evaluations, delineating objectives, main questions, scope, and methodology. Country portfolio evaluations are conducted fully and independently by the Evaluation Office and, when possible, in partnership with other evaluation offices of GEF Agencies, governments, and nongovernmental organizations.

Samoa was chosen as one of the countries to be evaluated in this way based on several criteria, including its long history with the GEF, the availability of baseline information, the role of the environmental sector in its sustainable development agenda, opportunities for synergies, and the role of GEF partners in the country. Moreover, Samoa not only provides a country example from the

Pacific islands, it also represents two important groups for which the GEF Evaluation Office has not previously conducted evaluations: small island developing states (SIDS) and least-developed countries (LDCs). Even though no two countries are alike and findings cannot necessarily be transferred to other countries in the region or to other SIDS or LDCs, some lessons learned can be shared. In particular, Samoa's experience can provide feedback to the GEF Pacific Alliance for Sustainability.

The evaluation found that GEF support has contributed positively to both the Samoa Development Strategy and the development and implementation of national environmental policies. The GEF, as the main source of external financial assistance to the country's environmental sector, has contributed to Samoa's success in building a strong foundation for national environmental activities and meaningful contributions to international environmental efforts. GEF support has been consistent with its global mandate, and Samoa has a strong sense of local ownership of GEF-supported activities. Despite these successes and the close linkages between GEF global priorities and Samoan national priorities, the evaluation found that the longer term sustainability of results is somewhat at risk.



Rob van den Berg  
Director, Evaluation Office

## Acknowledgments

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This report was prepared by a team led by Claudio Volonté, Chief Evaluation Officer of the GEF Evaluation Office, and consisting of three consultants from Pacific Environment Consultants Ltd, Joe Reti, Cedric Schuster, and Sam Sesega.

Members of the government of Samoa—in particular Tu'u'u Dr. Ieti Taule'alo, Chief Executive Officer, and Tapa Suaesi, Principal Terrestrial Conservation Officer, both of the Ministry of Natural Resources and Environment—provided full cooperation and participated actively in this evaluation. The Evaluation Office is particularly thankful to them for facilitating access in their

country. The team is also grateful for the field mission support provided by staff from the United Nations Development Programme and the Small Grants Programme.

A draft document was presented in Samoa on March 29, 2007, to national stakeholders, including representatives of the national government, GEF Agencies, nongovernmental organizations, and other civil society partners. Feedback was very constructive, and the comments received have been incorporated in this evaluation report. The Evaluation Office remains fully responsible for the contents of the report.

# 1. Main Conclusions and Recommendations

## 1.1 Background

Samoa has been the recipient of Global Environmental Facility (GEF) financial support since the pilot phase of the GEF when Samoa participated in two regional projects: one on biodiversity, the other on climate change. These two projects set the stage for GEF interventions in Samoa—and the Pacific region as a whole—creating a partnership among the GEF, the United Nations Development Programme (UNDP), the South Pacific Regional Environmental Programme (SPREP), and the Samoan Ministry of Natural Resources and Environment (MNRE) that continues to this day.

The evaluation of GEF support to Samoa took place between January and April 2007; it followed the standard terms of reference for GEF country portfolio evaluations developed by the GEF Evaluation Office in October 2006. (See annex A for the terms of reference.) A team comprised of GEF Evaluation Office and Pacific Environment Consultants Ltd staff members conducted the evaluation. The evaluation's objectives were to (1) provide the GEF Council with additional information on the results of GEF-supported activities and how they are implemented in Samoa and (2) evaluate how GEF-supported projects are linked to national environmental and sustainable development strategies as well as the GEF-mandated global environmental benefits within its focal areas.

Samoa was selected through a randomized selection process from among all GEF-eligible countries in the Asia and Pacific region and then by a set of strategic criteria. Based on these, Samoa was selected for country portfolio evaluation because

- it represents two groups of countries that are highly relevant to the GEF: small island developing states (SIDS) of the Pacific and least developed countries (LDCs);
- it has a diverse portfolio, with projects in all GEF focal areas and implemented through several GEF Agencies—specifically, UNDP, the United Nations Environment Programme (UNEP), the World Bank, the Asian Development Bank (ADB), the Food and Agriculture Organization of the United Nations (FAO), and the United Nations Industrial Development Organization (UNIDO);
- it has a well-established environmental sector.

During the evaluation process, it became evident that although Samoa experiences difficulties that are common to SIDs and LDCs with regard to accessing and implementing GEF-funded projects—such as limited capacity, high transaction costs of doing business, and high vulnerability—not all lessons from this case can be transferred to the other countries in these groups.

The evaluation explored three key questions for the GEF and Samoa:

- Is GEF support **relevant** to the Strategy for the Development of Samoa (SDS) 2005–2007, national development needs and challenges, action plans for the GEF’s focal areas, and the GEF mandate and focal area programs and strategies?
- Is GEF support **efficient**, as indicated by the time, effort, and money needed to develop and implement GEF projects; by any particular issues related to regional projects; and by the creation of partnerships and synergies within GEF projects and between them and other projects funded by government agencies as well as other GEF stakeholders?
- What are the **results** of completed projects, aggregated at the focal area and country levels?

The evaluation focused on a portfolio of 18 projects funded by the GEF from 1992 to December 2006 with an estimated investment of \$7 million.<sup>1</sup> Eight are national projects—six enabling activities (EAs) and two medium-size projects (MSPs); seven are regional (projects in which Samoa participates as a member of the Pacific Island States),

most of which are full-size projects (FSPs); and three are global, which have national components in Samoa. The GEF focal areas of biodiversity, climate change, international waters, land degradation, and persistent organic pollutants (POPs), as well as the multifocal area, are represented in this cohort of projects. Although 80 percent of these projects are implemented through UNDP, UNEP and the World Bank have also had experience with projects in Samoa.

Figure 1.1 shows the level of funding for all GEF activities under way or completed in Samoa, by focal area. Table 1.1 shows the distribution of GEF-supported projects by geographic scope and modality.

**Table 1.1**

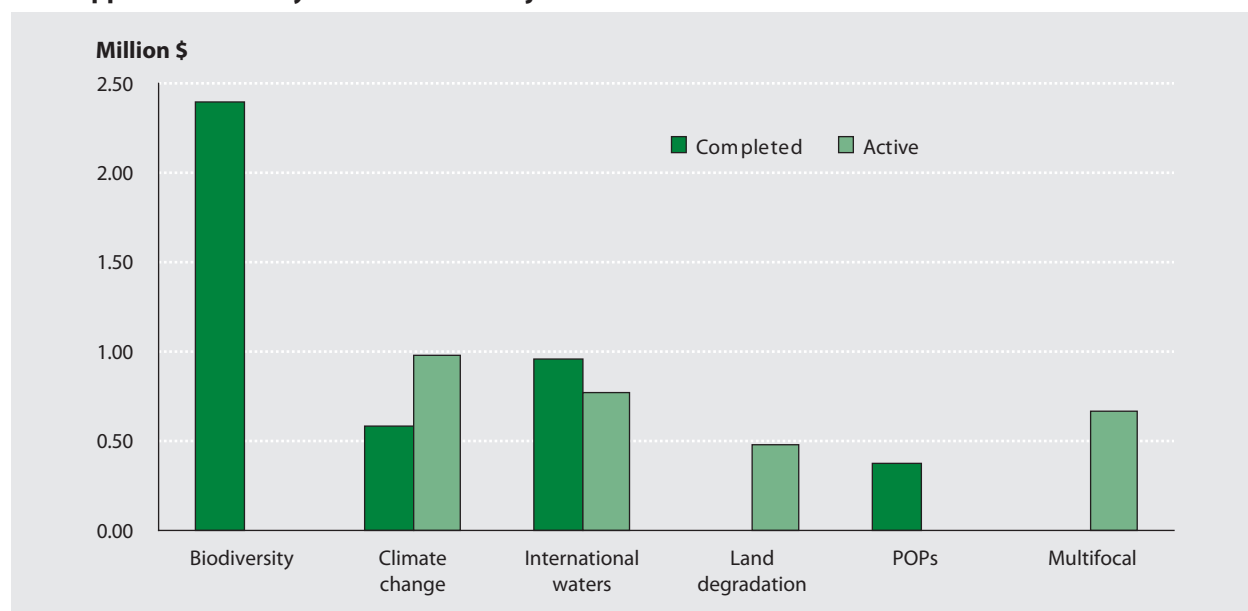
**Number of GEF Projects in Samoa, by Modality**

Project scope	EA	MSP	FSP	Total
National	6	2	0	8
Regional	2	1	4	7
Global <sup>a</sup>	0	0	3	3
<b>Total</b>	<b>8</b>	<b>3</b>	<b>7</b>	<b>18</b>

a. Includes the Small Grants Programme.

**Figure 1.1**

**GEF Support to Samoa by Focal Area and Project Status**



## 1.2 Conclusions

Based on the information collected and analyzed in this evaluation, the following conclusions about the relevance, efficiency, and results of GEF support to Samoa over the last 15 years can be reached.

### Relevance of the Portfolio

#### **Conclusion 1: GEF support has been relevant to the Samoa Development Strategy and national environmental policies.**

##### **GEF support has direct linkages to the key outcomes of the Samoa Development Strategy.**

The GEF has supported key outcomes for the protection/conservation of biodiversity; protection of water catchments; and increased awareness of potential climate change impacts, importance of ozone-depleting substances, community-based natural resource management, and community development. The GEF enabling activities facilitated the development of national policies related to Samoa's National Environmental Management Strategy. For example, the country's biodiversity policy was developed in conjunction with the National Biodiversity Strategy and Action Plan (NBSAP) and Watershed Management Policy, and the country's Water Resources Policy took advantage of a GEF international waters project, Implementation of the Strategic Action Programme of the Pacific Small Island Developing States, to advance its implementation. Furthermore, the evaluation found that the GEF had targeted national priorities established under Samoa's environmental policies. The fact that GEF support is consistent with national priorities has helped Samoa develop a strong ownership of GEF activities.

**The GEF is the main source of external financial assistance to Samoa's environmental protection and conservation needs.** The GEF contributes about 60 percent of total external funding

to the country's environment sector. Samoa thus has a high level of dependency on GEF financing to meet its needs, and it is expected that this level of dependency will continue and perhaps increase in future.

##### **GEF modalities of support have been appropriate to the state of Samoa's development.**

The modalities supported so far—primarily project development facilities (PDFs), Small Grants Programme (SGP) projects, enabling activities, MSPs, and regional projects—are relevant and appropriate to Samoa's capacity, knowledge base, existing environmental frameworks, and type of environmental issues. The various GEF stakeholders in Samoa particularly value the availability of funding for PDFs. This funding makes it possible to devote the time and resources needed to achieve a thorough understanding of the issues and modalities of intervention to prepare for a project.<sup>2</sup> The country has received support to fulfill convention reporting requirements where such reporting is eligible for GEF support. All enabling activities have been completed, with the exception of the land degradation National Action Plan (NAP) and the National Capacity Self-Assessment (NCSA), both of which are near completion. Regional approaches were found appropriate when dealing with transboundary issues, and the SGP was appropriate for providing nongovernmental organizations (NGOs) and community groups with transparent access to GEF support.

#### **Conclusion 2: All GEF-funded projects are highly relevant to the GEF mandate and focal areas, but slow follow-up support from government sources could jeopardize the sustainability of results.**

**All GEF-funded projects were developed and approved on the basis of their relevance to the GEF mandate and focal area strategies.** GEF

projects have primarily focused on biodiversity, climate change, land degradation, or international waters. Enabling activities have concentrated largely on capacity building.

**The sustainability of project results could be jeopardized.** As one example, although the Marine Biodiversity Protection and Management project and South Pacific Biodiversity Conservation Programme (SPBCP) met their objectives by establishing four community-based and community-managed protected areas in Samoa, all these protected areas have suffered from inadequate financial follow-up support from the government since GEF funding ended. Moreover, the former project had very ambitious objectives and set a high cost for services, which the government could not sustain once GEF funding ended.

## Results of the Portfolio

**Conclusion 3: Enabling activities have supported Samoa in building the foundations for its environmental frameworks and strategies, which are necessary conditions for generating global environmental benefits.**

**GEF support achieved its greatest results in the area of policy and strategy development.** Samoa has completed all necessary national plans, policies, and legislation related to the environment. These include the NBSAP, National Adaptation Program of Action (NAPA), land degradation NAP, and POPs National Implementation Plan (NIP). To address environmental issues systematically in Samoa, the Ministry of Natural Resources and Environment has, over the last 15 years, focused GEF support on building its capacity. Capacity has been built by developing the necessary strategies and supporting other relevant stakeholders so all are able to implement the plans developed. The MNRE has contracted with a consultant to handle GEF matters. In 1992, the ministry had only 5 staff

members dedicated to environmental work; today, more than 100 staff members attend to the full spectrum of environmental issues. Staff who had managed now-completed GEF projects have been retained within the ministry, thereby sustaining the lessons learned from previous experiences.

**Enabling activities in the climate change area have supported strategies and frameworks.** Climate change enabling activities have contributed to increased public awareness about greenhouse gases (GHGs) and ozone-depleting substances as well as about natural disasters and their potential impacts on people and the environment. Priorities identified in the NAPA are beginning to be implemented and mainstreamed into investments such as the Coastal Infrastructure Management Plans and Coastal Emergency Recovery Project which are funded as credits from the World Bank. Furthermore, the country's draft national energy plan has made notable progress in promoting the use of renewable energy with pilots on solar energy and coconut oil under way, and planning begun for more hydro schemes on the island of Savaii.

All of these actions create the conditions to enable impacts to emerge. By supporting the establishment of these policies, strategies, and frameworks, the GEF has contributed to building a strong foundation for Samoa to make a useful contribution to international efforts to protect the global environment.

**Conclusion 4: Completed projects have achieved concrete on-the-ground results; however, actual reporting on results has limitations because of the poor quality of final evaluations and limited baselines.**

**GEF support in the biodiversity focal area enabled the conservation and sustainable management of forest and marine ecosystems.** GEF projects eased the participation of more



than 20 village communities within critical forest and mangrove ecosystems on the island of Upolu in resource conservation and management and helped build local capacity in effective planning and management of Samoa's environment. The Marine Biodiversity Protection and Management project initiated bans on commercial scuba fishing within certain protected areas. The Ministry of Agriculture and Fisheries subsequently expanded the ban on this fishing practice throughout the country; this was adopted by about 50 communities. The project also imposed bans on the commercial harvesting of sea turtles within the protected areas, thereby supporting regional and international efforts to protect these endangered marine animals.

The species conservation component of the SPBCP initiated efforts for the conservation of marine mammals and turtles in the region; in Samoa, this led to a ban on the commercial harvesting of sea turtles at the national level. Since 1995, when the first Pacific Year of the Sea Turtle campaign was launched, populations of sea turtles have increased in Samoa as evidenced both at the nesting beaches and by sightings by fishermen and divers.

There is some anecdotal information of marine ecosystem impacts deriving from such interventions as the Marine Biodiversity Protection and Management project and some recent SGP activities. For example, the marine project collected baseline data that later helped demonstrate that the fish population had increased over the last few years. The two marine communities visited by the evaluation team and supported by SGP activities reported improvements in coral health and fish populations. In particular, one of the communities reported that fishermen from neighboring villages were coming to their no-take zone illegally because the fish population is better.

**Evaluating the impacts of GEF-funded initiatives is not straightforward.** Often, the type of information generated by project evaluations is primarily limited to reports on outcomes and does not contain information related to project impacts on environmental conditions. This absence of information is attributed to the fact that evaluations were conducted before intended project impacts could be detected or have had time to emerge. In fact, it has been suggested that project impacts often cannot be detected until well after the projects have ended. Many GEF-funded projects in Samoa have been completed only over the last two or three years.

**Other results on the ground have been achieved through the replication of approaches, processes, and lessons learned from the experiences of other GEF-funded projects.** The replication of approaches, processes, and lessons to new GEF initiatives and other development assistance programs in Samoa has produced good results. For example, the community-based conservation approach supported by the SPBCP in Samoa was replicated on a larger scale by the Marine Biodiversity Protection and Management project. The consultative and participatory processes that were important features of the country's initial regional projects (SPBCP and the international waters projects) are accepted as best practices for all other environmental initiatives in Samoa, particularly in light of the customary land and natural resource ownership that exists there. Village bans on the use of certain types of fishing gear and practices in marine protected areas (MPAs) have been adopted by around 50 communities in Samoa. Finally, the ban on commercial harvesting of sea turtles under the Marine Biodiversity Protection and Management project complemented the government's own efforts to protect migratory species and marine mammals in Samoan waters.

## The Portfolio's Efficiency

### **Conclusion 5: Samoa has improved its efficiency in accessing GEF funding, but there are still some obstacles.**

#### **Samoa has improved its efficiency in accessing GEF funding...**

- The MNRE has improved its capacity by retaining expertise within its staff, hiring a consultant to coordinate all GEF activities, and expanding its mandate to cover most environmental issues.
- All enabling activities have produced action plans and strategies that are ready for implementation.
- The SGP is an efficient mechanism for delivery support to local communities and for helping them access the GEF. SGP support is already helping increase GEF visibility throughout Samoa. The SGP's flexibility and its accessibility to village communities and NGOs enable it to respond effectively to country priorities at the local/community level. The small funding involved is easily absorbed by the limited capacity of local communities, and the small community-based project supports are more manageable and their outcomes easily sustained by local groups. (These features are often not present in medium- and full-size projects, which are usually more difficult to sustain after donor funding has ended.)
- Samoa has implemented projects using most available GEF modalities, from enabling activities, MSPs, projects approved under umbrella global projects (which have a national component), regional projects, and the SGP.
- The government has shown a willingness to reach out to other GEF Agencies (in addition to UNDP) to implement action plans and strat-

egies that potentially generate global environmental benefits.

- Samoa is sharing lessons from GEF projects within and outside the country.

#### **...but there are still some obstacles.**

- The GEF Activity Cycle is too long and costly. Consistent with the findings of other evaluations from the GEF Evaluation Office, the absence of project information is a critical problem. The recently completed Joint Evaluation of the GEF Activity Cycle and Modalities provided the most accurate information but did not collect information for enabling activities, which are half of the GEF support activities in Samoa. In general, the GEF does not properly and systematically compile and conduct quality control of project data (for example, project cycle dates, status, and finances). Uncertainties about the status of projects within the Activity Cycle are common.
- Lengthy delays between project preparation and actual start-up hinders implementation. There are also variations in the time it takes to prepare and implement GEF projects in Samoa according to modality.<sup>3</sup> As one example, the SPBCP took less than 8 months to design, but it took UNDP and the GEF almost 16 months to approve the design. The more than two years of preparation ("wait and see" period) generated negative feedback, reduced the project's readiness for start-up, and dampened the enthusiasm of participants.
- The implementation of the Resource Allocation Framework (RAF) has created additional uncertainties, particularly about the fate of projects in previous pipelines.
- Harmonization has not taken place among all players working in the environmental sector, although two of the main donors, AusAID



and NZAID (respectively, the international aid organizations of Australia and New Zealand), are beginning to harmonize their contributions to Samoa. AusAID has taken the leadership. However, the GEF, GEF Agencies, and the government of Samoa have different requirements for project preparation, monitoring, and reporting. (A project implemented through SPREP, for example, has different reporting requirements for the GEF, UNDP, SPREP, and national governments.)

- Most relevant government agencies have not prepared and implemented GEF projects. This affects Samoa's ability to access the GEF at full capacity. Although many government agencies have participated in the implementation of GEF projects, only the MNRE has been an executing agency responsible for implementing GEF projects. To date, NGOs and community-based organizations only participate in SGP activities, mainly due to their lack of capacity to implement medium- and full-size projects and limited cofinancing.

**Conclusion 6: Most GEF Agencies have not been engaged in Samoa, primarily because of the high transaction costs and limited understanding of GEF objectives and procedures.**

**The leading GEF Agency in Samoa is UNDP.** Stakeholders attributed this to the fact that UNDP is the only GEF Agency with an office in Samoa; it recently assigned a UNDP-GEF adviser to this office. The World Bank and ADB have extensive portfolios of currently active loans, representing a combined \$70 million in investments and \$10 million in technical assistance. Both banks are working in areas highly relevant to the GEF (cyclone recovery, infrastructure improvement along coastal areas, power sector improvement, sanitation and drainage, and small business development), but none of their loans

have included GEF cofinancing. FAO also has a significant technical assistance program with the government of Samoa but has no plans to include the GEF.

**Most relevant GEF Agencies now have a presence in the Pacific region.** The GEF Agencies have established (or are planning to expand) their presence in the region. UNDP plans to increase its number of national offices in the region and has relocated a GEF staff member from its regional office in Bangkok to the Samoa regional office. ADB has an officer in Fiji, the World Bank has an office in Sydney, UNEP is bringing an additional person to be located within SPREP, and FAO has a regional office in Samoa.

**The high transaction costs involved with, and limited knowledge about, GEF activities in the Pacific are due to many factors:**

- The price of airline tickets for travel from outside as well as within the region is very high, and travel times are long.
- The limited network of local consultants means that outside consultants must be hired, who must then travel to the region.
- There is a lack of awareness about and knowledge of the GEF, with many stakeholders not fully understanding the potential of GEF objectives and their complementarity with their regular activities.
- Agencies lack internal communications about the potential of the GEF and GEF procedures.
- Accessing GEF funds is complex, and it takes a long time to prepare for a GEF project; moreover, GEF Activity Cycle requirements are often out of sync with Agencies' own project cycles.
- Limited GEF resources available in Samoa make investment less cost effective.

## 1.3 Recommendations

### Recommendations to the GEF Council

#### **Recommendation 1: The proposed programmatic approach for the Pacific SIDS should take into account Samoa's experience.**

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The lessons from Samoa's experience with the GEF should be considered when developing the proposed regional programmatic approach for Pacific SIDS for implementation in GEF-4. Although no two countries are alike and the diversity of this region should be recognized, Samoa shares several common problems with the rest of the Pacific island states (such as limited capacity, high transaction costs of doing business, high vulnerability, and fragile ecosystems). Key lessons learned from the GEF experience in Samoa include the following:

- GEF support to Pacific SIDS should first focus on assisting countries in establishing the foundation for policies and strategies and in developing action plans, frameworks, and priorities, primarily through enabling activities. After these items have been accomplished, as in the case of Samoa, GEF support should then focus on implementation of priorities and action plans that will generate global benefits.
- The comparative advantages of the various GEF stakeholders—national, regional, and global—need to be taken into account. In the same vein, roles and responsibilities should be clearly discussed and agreed upon for the GEF Secretariat, the Council, SPREP, UNDP, other GEF Agencies, and bilateral donors. The GEF is a major player in the region's environmental sector, but it is not the only one.
- There should be sufficient flexibility to accommodate the different capacities of the different Pacific island countries. A one-size-fits-all approach should not be proposed.

- The case of Samoa substantiates that high transaction costs are characteristic of the Pacific region. To reduce these costs, GEF stand-alone projects should not be encouraged. There are ways to reduce these transaction costs, especially when GEF activities are made part of the regular programs of GEF Agencies already working in the region.
- Harmonization needs to be strengthened across the GEF stakeholders. The experiences of NZAID and AusAID should be studied as possible models for future programs.
- The GEF, in partnership with its Scientific and Technical Advisory Panel and the Pacific SIDS, should identify more specific global environmental benefits in Samoa and the Pacific. Two areas requiring more clarity across the GEF system are the global benefits of marine resources and the role of the GEF in adaptation to climate change impacts.

### Recommendations to the Government of Samoa

#### **Recommendation 2: Environmental concerns, which are seen as a cross-cutting issue, need to become visible in the Samoa Development Strategy.**

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Although environmental concerns have been well integrated into many sectors and policy areas, the environment is not specifically identified as a priority or sector in the Samoa Development Strategy. Instead, the environment is considered a cross-cutting issue. The lack of clarity about the importance of environmental concerns has caused confusion among Samoa's external partners when it comes to financial support. Because the sector is not explicitly recognized as a priority, donors do not prioritize it for support.

**Recommendation 3: Increased participation by other stakeholders (ministries, civil society, and the private sector) in implementing GEF-supported projects will increase national capacity.**

The Samoa evaluation showed that the MNRE's capacity to develop and implement GEF projects has increased considerably over the last few years. The implementation of the national priorities and action plans developed from GEF support involve activities in many sectors of the country's development strategy. The ministry alone cannot implement all of these plans, however. It is recommended that the MNRE reach out to other sectors of Samoa, both within government and civil society, to assist in implementation and increase the country's capacity to access and implement those plans. For example, the ministry could develop a

proactive plan for public awareness and capacity building on GEF issues and create a demand for GEF funding in these other sectors.

## Notes

1. All dollar amounts are U.S. dollars unless otherwise indicated.
2. This preparation includes consultations with stakeholders and the hiring of experts familiar with GEF guidelines and GEF document preparation.
3. Enabling activities take between three and six months to prepare (from PDF approval to project approval) and then three to four years for implementation, which is longer than the GEF expectation of 18 months. The regional FSPs (most of which include 14 countries) have taken six months to two years to prepare, and up to 10 years for implementation.

## 2. Description of the Evaluation

### 2.1 Background

The GEF Council requested that the GEF Evaluation Office continue conducting evaluations of the GEF portfolio at the country level after the positive pilot experience of the evaluation of GEF support to Costa Rica was completed in 2006. These evaluations will provide the Council with additional information on how the GEF functions at the country level and on the results of the activities it supports, enhancing its understanding of how these activities contribute to the country's sustainable development, national strategies and priorities, and the GEF mandate.

Since the GEF-4 (2006–10) is implemented under the Resource Allocation Framework for biodiversity and climate change focal areas and allocations are made at the country level, this type of evaluation is expected to provide useful feedback. The case of Samoa brings an additional dimension to these evaluations because this is the first time the GEF is looking at how its initiatives are implemented in two groups of countries of particular interest for the GEF and the conventions it serves: SIDS and LDCs.

Samoa was selected through a randomized selection process from among all GEF-eligible countries in the Asia and Pacific region. The final selection was made using a set of strategic criteria and synergies with ongoing evaluations in the GEF Evaluation Office. The random selection ensured

that all countries in this region could potentially be selected. The strategic criteria indicated that Samoa was an excellent choice for several reasons:

- Samoa represents both SIDS and LDCs, two important groups for which the GEF Evaluation Office has not conducted evaluations before.
- The country has concluded all enabling activities reports within GEF focal areas and is very close to finishing its national capacity self-assessment, which could provide good baseline information for the evaluation.
- The environmental sector is a cross-cutting issue in Samoa's national sustainable development agenda.
- The World Bank, UNDP, and ADB have conducted work in the environment sector in Samoa, including evaluations; this provides additional baseline information.
- The GEF portfolio in Samoa provides good opportunity for synergies with ongoing evaluations, in particular the evaluation of the SGP, capacity building, and the catalytic role of the GEF.
- Samoa could be considered a representative example with problems similar to those of other Pacific island countries (limited capacity, a high transaction cost of doing business, high vulnerability, and fragile ecosystems). Of course, no two countries are alike, situations vary, and this is a very diverse region.

- SPREP, a major GEF partner, operates in Samoa.

## 2.2 Objectives of the Evaluation

The evaluation of GEF support to Samoa has four objectives:

- Independently evaluate the relevance and efficiency of GEF support in the country from various viewpoints, including national environmental frameworks and decision-making processes, the GEF mandate (achievement of global environmental benefits), and GEF policies and procedures.
- Assess the effectiveness and results of completed projects and those expected from ongoing ones.
- Provide additional evaluative evidence to other evaluations conducted or sponsored by the GEF Evaluation Office.
- Provide feedback and knowledge to be shared with (1) the GEF Council in its decision-making process on distributing resources and developing policies and strategies to Samoa and other Pacific island countries and (2) the various Agencies and organizations involved in preparing and implementing GEF-funded projects and activities.

## 2.3 Key Questions for the Evaluation

The key questions explored during this evaluation were as follows:

- **Relevance of GEF support and activities**
  - Is GEF support relevant to the present Strategy for the Development of Samoa 2005–2007 and any of the past strategies?
  - Is GEF support relevant to the national development needs and challenges (such as those presented in the NCSA)?

- Is GEF support relevant to the action plans for GEF’s focal areas (such as the ones from GEF-supported enabling activities)?
- Is GEF support relevant to the GEF mandate and focal area programs and strategies, and what is the relationship between the results of GEF support and impacts (proposed versus actual) and the global environmental indicators of each focal area?

- **Efficiency of GEF support**

- How much time, effort, and money are needed to develop and implement GEF projects in the various GEF modalities (FSP, MSP, enabling activity, and SGP project)? Is there any difference in this regard between nationally and regionally implemented projects?
- Are the roles and responsibilities of the various players (GEF Agencies, NGOs, GEF focal point, other government entities, SPREP and other regional agencies) involved with the GEF during the project design and implementation phases clear?
- What are the synergies and partnerships among GEF projects, the GEF Agencies in Samoa (UNDP, UNEP, the World Bank, ADB, FAO, and UNIDO), other relevant government agencies, other national stakeholders (NGOs, the private sector, academia), and other donors (such as NZAID, AusAID, the Japan International Cooperation Agency, and the European Union)?

- **Results and effectiveness**

- What are the outcomes and impacts of completed projects?
- What are the aggregated results at the focal area and country levels?
- What is the likelihood that objectives will be achieved for those projects that are still under implementation?



Annex B presents an evaluation matrix in which each of these questions is further explored, indicating the main sources of information as well as the main methods used to obtain the information.

## 2.4 Focus and Limitations of the Evaluation

The evaluation focused on 18 approved projects as of December 30, 2006.<sup>1</sup> These projects, which constitute the GEF portfolio in Samoa, include eight national projects (six enabling activities and two MSPs); seven regional projects in which Samoa participates; and three global projects that also have national components, including the SGP biosafety framework and the community-based adaptation projects.

The evaluation did not include projects in the pipeline because the implementation of GEF-4 in the Pacific will not start until a GEF programmatic approach is approved in December 2007.

The evaluation also focused on the context in which these projects were developed and approved and are being implemented. This is covered in chapter 3, which includes a historic assessment of national sustainable development and environmental policies, strategies, and priorities; the legal framework in which these policies are implemented and enforced; GEF Agencies' country strategies, regional strategies, and approaches (such as from SPREP); and GEF policies, principles, programs, and strategies.

The evaluation has several limitations inherent in the way the GEF operates. As of the end of GEF-3 (June 2006), the GEF did not operate under GEF country strategies. Thus, there is no GEF/Samoa national framework against which to evaluate results or effectiveness; evaluation must be done on a project-by-project basis. Attribution of results is also difficult, because GEF support to Samoa

has not been in isolation. Other donors and organizations are also providing support and working on similar topics; this includes the governments of New Zealand, Australia, Japan, and the European Union as well as GEF Agencies, such as the World Bank and ADB, which are providing loans; and UNDP, UNEP, and FAO, which are providing technical and financial assistance.

The inclusion of regional and global projects is extremely relevant to the case of Samoa since 7 of the 18 projects in which Samoa participates are implemented regionally. These regional projects included some on-the-ground activities as well as enabling activities.

## 2.5 Methodology

The methodology used included a combination of quantitative and qualitative methods:

- An in-depth review and analysis was made of 10 documents containing information on the development of Samoa's environmental, political, and legal sectors; more than 20 documents on the GEF and the implementation of GEF Agencies' assistance programs in Samoa; and more than 30 documents containing information on progress in implementation and evaluative information from GEF projects. Annex C lists all the documents reviewed.
- One consultation workshop was held with key players in GEF implementation in Samoa to discuss the first draft of this report. Participants included about 40 representatives from government agencies, GEF Agencies, regional organizations, and NGOs (see annex D for a full list of participants).
- Three site visits were made by staff from the GEF Evaluation Office to introduce the evaluation, conduct extensive interviews, conduct the consultation workshop, and conduct field visits to project sites.

- Visits were made to two protected areas established by the completed Marine Biodiversity Protection and Management project, to two SGP recipients, and to one demonstration site from the Implementation of the Strategic Action Programme of the Pacific Small Island Developing States international waters project.
- Extensive interviews were conducted with over 40 individuals and 10 global, national, and local institutions associated with the GEF and their

contents analyzed. Annex E presents a list of all persons interviewed.

### Note

1. The evaluation focuses on GEF support, approved by Council and/or the GEF Chief Executive Officer from the GEF pilot phase through the end of GEF-3, that was concluded by December 31, 2006. For Samoa, no new projects were approved after the special Council meeting in August 2006, and no new projects were endorsed by the GEF Chief Executive Officer after September 2006.

## 3. Context of the Evaluation

One of the fundamental objectives of this evaluation was to analyze the relevance of GEF support, both for Samoa and for the GEF itself. This chapter thus presents a brief summary of the context in which GEF support is provided in terms of both the environmental sector in Samoa and the mandate and operations of the GEF.

### 3.1 General Description

Samoa is a small island country in the Southwest Pacific, with a land area of 2,935 square kilometers. Samoa consists of two main islands, Upolu and Savaiit; two other inhabited smaller islands, Manono and Apolima; and several uninhabited small islands and islets. Samoa's exclusive economic zone is approximately 120,000 square kilometers, which is smaller than that of any other Pacific island country.

Samoa has a relatively low population density of 60 people per square kilometer, and a total population of 176,710, according to the country's 2001 Population and Housing Census. About 21 percent of the total population, or 40,000 people, live within the main Apia urban area; the rest of the population is spread over villages along the coast. Between 1991 and 2001, Samoa had an annual population growth rate of 1 percent. Table 3.1 presents Samoa's ratings on various key indicators.

### 3.2 Environmental Resources in Key GEF Focal Areas

#### Biodiversity Conservation

Samoa's biological environment reflects a rich natural heritage of species diversity and endemism. Samoa supports an estimated 775 native vascular plant species, of which approximately 30 percent of the angiosperms are endemic.<sup>1</sup> There are about 280 genera of native angiosperms, which is more than in any other archipelago in Polynesia. In addition, there are about 250 introduced plant species and 47 threatened plants.

Samoa's fauna consists of 21 butterfly species; 11 species of reptiles; 43 resident bird species, 8 of which are endemic; and 3 flying fox species. This biodiversity constitutes an essential aspect of the Samoan culture, with many cultural proverbs and oral traditions derived from or reflecting relationships with the forests, reefs, marine life, and land animals.

The marine resource base in Samoa is very fragile. The mangrove, lagoon, and coral reef house an enormous diversity of marine invertebrates, many of which are harvested as food. Fourteen threatened species have been identified, including numerous corals and clams and the coconut crab.

Of the 19 recognized terrestrial plant communities in Samoa, the country's 2001 National Biodi-



**Table 3.1****Status of Key Development Indicators**

Indicator	Value	Year
Population size	176,848	2001
Annual population growth rate	1.29%	2000
Life expectancy at birth (females)	71.9 years	1997/98
Life expectancy at birth (males)	65.4 years	1997/98
Per capita gross domestic product	SAT 4,806 <sup>a</sup>	2001
External debt as a percentage of gross domestic product	54.8%	2002
Poverty ratio (population below extreme poverty line, defined as \$1/day)	7% of households	2000
Infant mortality rate (per 1,000 births)	12	2003
Children ages 5–14 enrolled in primary school	94.7%	2001
Enrollment ratio for girls in primary school	85%	2003
Enrollment ratio for boys in primary school	84%	2003
Enrollment ratio for girls in secondary school	62%	2003
Enrollment ratio for boys in secondary school	48%	2003
Literacy rate for 15- to 24-year-olds	99.9%	2003
Literacy rate for all adults	95.7%	1999
Population use of traditional wood fuel	<50% and dropping	2000
People without access to safe water	10%	1999
Prevalence of HIV/AIDS (known cases)	4	2004
Prevalence of noncommunicable diseases	Increasing	2004

**Source:** Samoa National Development Report 2006.

a. SAT 2.65 = \$1 (March 2007).

iversity Strategy and Action Plan recognized that littoral vegetation, wetland vegetation, rainforest, and volcanic scrub are threatened global ecosystems and thus conservation efforts should be prioritized in these ecosystems for actions.

More than 171,000 hectares of Samoa's total land area is covered in forest. To conserve Samoa's biodiversity, the national protected area system was expanded to accommodate the customary land tenure system of the country and empower community participation in its management. These protected area approaches include the following: national parks and reserves, community conservation areas, conservation covenants, management of complete watershed catchments, tradi-

tional fishery reserves, and community-based indigenous forest management.

The small size and geographical isolation of Samoa's islands from continental land masses resulted in the country's high level of species endemism. These same factors provide the seeds for its ecological fragility and vulnerability. For instance, many species have limited defenses against aggressive invasive species; and while endemism is high at the species level, it is less diversified at higher taxa levels. Genetic variability is thus limited.

The ecological vulnerability inherent in its size, isolation, and limited genetic variability is exacerbated by the ever-present threat of natural events

such as cyclones and climate variability, and the impacts of human activities.

## Climate Change

Samoa's First National Communication to the UNFCCC (United Nations Framework Convention on Climate Change) and NAPA both indicated that climate change would have a serious impact on Samoa (Gos/DEC 1999 and MNRE 2005). The critical sectors and other areas that would experience adverse impacts of climate change and variability include:

- food security and agriculture,
- water supply,
- biodiversity loss,
- health sector (from the increase in vector- and water-borne diseases),
- role of forests in watershed management and environmental protection,
- vulnerability of coastal assets,
- energy supply,
- tourism sector.

Approximately 70 percent of Samoa's population and infrastructure are located in low-lying coastal areas. Projected sea level rise caused by climate change could exacerbate coastal erosion and result in land and property losses, dislocation of island inhabitants, and saltwater intrusion. The extreme events of tropical cyclones Ofa (1990) and Val (1991) caused damages that cost approximately four times the gross domestic product of Samoa. The high winds, storm surges, and heavy rains severely damaged agricultural plantations, infrastructure, and the country's socioeconomic base. Projected changes in tropical cyclone systems due to climate change increase the risk to life, property, and ecosystems. As a semisubsistence nation,

Samoa is sensitive to threats to water supplies, food production, and natural resources associated with climate change and climate variability. The island's small size increases the seriousness of climate change impacts because any one of these impacts is likely to affect the whole country rather than a small portion.

The mapping of areas vulnerable to natural hazards under a World Bank-funded project indicated that 65 percent of all stations assessed for sensitivity to coastal hazards were highly vulnerable, 20 percent showed medium sensitivity, and 11 percent were very highly sensitive (Beca/GoS 2001 and GoS 2002). Only 4 percent of the coastline is resilient to coastal hazards, which are normally climate related. Improving Samoa's resilience to natural hazards and its preparedness through adaptive regimes is a current priority consideration.

Samoa's greenhouse gas emissions as noted in its First National Communication to the UNFCCC are presented in table 3.2. The majority of emissions come from fuel combustion caused by transport and building inefficiencies. By world standards, these levels are quite insignificant. However, a comparison of 1994 and 1997 GHG emissions shows that all categories of gases recorded increasing trends during this period. For example, the net carbon dioxide emissions of 34.09 gigagrams between 1994 and 1997 indicate a yearly increase of about 8.52 gigagrams (Gos/DEC 1999).

Energy is a critical element underpinning the government of Samoa's strategy for economic growth and social development. Throughout the 1990s, Samoa experienced a rapid transformation in its energy consumption pattern, shifting from heavy use of traditional indigenous biomass toward a more commercial energy supply. Nevertheless, biomass still accounts for about 48 percent of the total primary energy supply in Samoa; petroleum

**Table 3.2****Inventory of GHG Emissions in Samoa, by Source and Sink Category, 1994***Gigagram/year*

GHG source and sink category	Carbon dioxide	Methane	Nitrous oxide
<b>Total (net) national emissions</b>	<b>20.22073</b>	<b>3.303743</b>	<b>1.260135</b>
Energy (fuel combustion)	102.20193	0.017078	0.000872
Industrial processes	0	0	0
Agriculture	0	2.140598	1.244289
Land use change and forestry	-81.9812	0	0
Other (for example, waste)	0	1.146067	0.0104974

**Source:** GoS/DEC 1999.

products represent 39 percent. No hydrocarbon deposits have been found in Samoa. Solar energy usage is currently limited to water heating and some photovoltaic systems on the smaller islands. Electricity consumption from diesel and hydro-power account for about 13 percent of usage. Biomass, primarily from fuel wood and coconut residues, is the dominant cooking fuel. An undetermined amount (estimated at 12 megawatts) of on-site unaccounted-for standby diesel electricity generation is used by hotels, commerce, and industry in the event of supply outages or to avoid high electricity costs.

### International Waters

As mentioned before, Samoa's total exclusive economic zone of approximately 120,000 square kilometers is the smallest for all Pacific island countries because of its proximity to other island nations and territories on all four sides.

A survey and monitoring program conducted in preparation of Samoa's National Biodiversity Strategy and Action Plan showed a reduction in biomass and size of reef fish in shallower and more heavily fished areas, while high biomass was found in less fished and deeper reef slopes. Declines in fish stocks are attributed to overfishing and destructive fishing practices (dynamiting) and the targeting of juveniles.

Several conservation programs have been established to promote the conservation and sustainable use of the marine environment, such as MPAs; traditional fishery reserves; and species conservation programs for sea turtles, whales, and other cetaceans.

A regional program supported by the GEF addressed the underlying causes of pollution in the marine environment and has established a water catchments program for Samoa.

### Land Degradation

Most of the country's land (81 percent) is owned by extended families or villages under customary ownership, and alienation of customary land is prohibited by law. Customary land cannot be transferred or made freehold, although lease arrangements are possible. Eleven percent of the land is government owned and is used mainly for plantation farming, national reserves, public buildings, and infrastructure. Five percent of the land remains under the Samoa Trust Estates for commercial plantations; although an increasing amount is being sold or leased to the public—thereby expanding the amount of freehold land available, particularly on the island of Upolu, where it now comprises 3 percent of total.

Of the total land area, 56 percent is classified as indigenous forest, 2 percent as plantation forest,

and 3 percent as under livestock; the remaining 39 percent is currently used for agricultural purposes.

Land is central to the economic and cultural fabric of Samoa, and land that has productive potential is in ample supply (GoS 1999). However, in areas of heavy population concentration, lands under customary ownership are becoming evidently stressed, and lands of marginal value are increasingly coming under pressure to be developed for village sector production. Proper use of land resources according to their appropriate capabilities and vulnerabilities is critical to sustainable land use management.

Samoa has only recently been engaged in developing a sustainable land management strategy as part of a GEF project (approved in 2006) in support of the United Nations Convention to Combat Desertification (UNCCD). The goal is to have at the project's end a plan that will identify appropriate practices to reduce land degradation and promote the sustainable use of land resources.

### **Persistent Organic Pollutants**

Samoa ratified the Stockholm Convention on Persistent Organic Pollutants in 2002 as well as six other regional and international conventions that focus on the elimination of toxic chemicals. In 2005, Samoa produced its national implementation plan on POPs, which identified 8 of 12 toxic chemicals as being present in Samoa.

Samoa does not manufacture any intentionally released substances such as pesticides and industrial chemicals; thus, the main source of entry for these substances is importation. The main sources for unintentional release are uncontrolled combustion of fires, controlled combustion processes such as incineration, and incomplete combustion of motor vehicle engines.

The levels of pesticide release in Samoa vary throughout the years—the last major releases of DDT, dieldrin, and aldrin occurred between the 1950s and 1970s. Heptachlor and chlordane had confined uses for termite spraying up to the early 1990s; it has been determined that these chemicals have had limited nationwide contamination. The presence of only three PCB-contaminated transformers above acceptable levels denotes the limited spread of contamination nationwide.

Since POP pesticides and PCBs are no longer allowed to be imported into Samoa, intentional releases into the environment are effectively curbed, except when they are imported illegally. Current levels of contamination, which are very confined and localized to soils, are expected to decrease over the years, especially if the highly contaminated areas can be cleaned and disposed, or sealed from further contact by humans or animals.

## **3.3 Environmental Legal Framework in Samoa**

### **National Framework**

Samoa is a parliamentary democracy. Since its independence in 1962 until the introduction of universal suffrage in the 1991 general election, only *matai* (chiefly titleholders) could stand as candidates and vote in elections. The change in the electoral system gave all Samoan citizens 21 years old and over the right to vote in parliamentary elections; the right to stand as candidates remains restricted to *matai*. The parliament consists of the legislative assembly and the head of state, whose written consent is required before a bill can become law. The Samoan constitution blends custom and tradition, and democratic institutions and practices; it recognizes the division of state power into three independent branches: legislative, executive, and judiciary.

Because there is no formal GEF program for Samoa, the Aid Coordinating Committee that screens and approves proposals for donor funding has limited involvement with GEF proposals. Proposals for GEF funding therefore come to the committee as approved projects with funding that has already been decided by an executing agency in the government. Unlike other donor-funded projects, the allocation for GEF proposals does not take place at the Aid Coordinating Committee but within the GEF.

Samoa does not have a comprehensive principal law to promote environmental conservation, protection, and management. Instead, the country relies on a wide range of laws—enacted from colonial times until the present—to serve this purpose.

In recent years, a significant number of laws addressing environmental conservation, protection, and management issues have been enacted by the Samoan parliament. The importance of sustainable development has been recognized in a number of laws to some degree. Under these laws, a wide range of government entities play critical regulatory roles affecting environment-related issues, but there are no clear procedures under any of the relevant laws that make provisions for coordinating responses or for applying regulatory processes. Table 3.3 lists the range of environmental-related legislation, clustered by theme area.

### **Regional Programming**

GEF-funded regional projects in the Pacific have been executed mainly by SPREP. All 14 independent Pacific SIDS are eligible for participation in regional projects, although a country may choose not to participate.<sup>2</sup> Regional projects are developed by SPREP in close consultation with its member states and are based on a priority issue(s) previously identified by the members. In

fact, SPREP often develops proposals at the recommendation of its governing body, the membership of the organization. Regional projects often incorporate transboundary priority issues that, because of limited local capacity and financial resources, are often not adequately addressed by nationally executed projects. In the case of Samoa, the MNRE has identified separate activities under NAPA for government and other donor funding, including from regional programs. This ensures funding covers all aspects of the plan instead of honing in on any one aspect.

Regional programs are, as a rule, guided by regional strategies and action plans developed jointly by Pacific island countries and regional organizations/institutions present in the region such as SPREP, the Pacific Islands Forum Secretariat, and others. The SPREP Action Plan for Managing the Environment of the Pacific Islands Region is considered the agenda for managing the region's environment. The plan covers a four-year period (the most recent was issued for the period 2005–09) and embodies the vision of SPREP and its members and key stakeholders. It serves as the main planning document for long-term management of the shared environment, identifying broad priorities, the regional agenda's key result areas, and associated capacity-building processes and interventions. More than 90 percent of SPREP funding comes from donors, most of it tied to specific projects and programs linked to the action plan. The key result areas of the action plan are nature conservation, pollution prevention, climate change and variability, and economic development; these are discussed below.

### **Nature Conservation**

The SPREP Action Strategy for Nature Conservation in the Pacific Islands Region, 2003–2007 (SPREP 2002) represents the regional consensus on priorities for actions to promote the main-



**Table 3.3****Environmental-Related Legislation**

Theme	Law
Administrative responsibility for environmental protection	<ul style="list-style-type: none"> <li>• Lands, Surveys, and Environment Act</li> <li>• Agriculture, Forests, and Fisheries Ordinance</li> <li>• Samoa Water Authority Act</li> <li>• Ports Authority Act</li> <li>• Quarantine (Biosecurity) Act</li> </ul>
General protection of the environment	<ul style="list-style-type: none"> <li>• Water Act</li> <li>• Watershed Protection and Management Regulations</li> <li>• Police Offenses Ordinance</li> <li>• Health Ordinance</li> <li>• Plastic Bag Prohibition on Importation Regulations</li> <li>• Protection of the Ozone Layer Regulations</li> </ul>
Fisheries resources	<ul style="list-style-type: none"> <li>• Fisheries Act</li> <li>• Local Fisheries Regulations</li> <li>• Fishing (Scuba Fishing) Regulations</li> <li>• Fisheries (Ban of Driftnet Fishing) Act</li> <li>• Fisheries Bylaws</li> </ul>
Habitat protection	<ul style="list-style-type: none"> <li>• National Parks and Reserves Act</li> <li>• Forests Act</li> <li>• Forests Regulations 1969</li> </ul>
Animals	<ul style="list-style-type: none"> <li>• Animals Ordinance</li> <li>• Protection and Conservation of Wild Animals Regulations</li> <li>• Protection of Wildlife Regulations</li> <li>• Animal Diseases Prevention Regulations</li> </ul>
Community involvement	<ul style="list-style-type: none"> <li>• Internal Affairs Act</li> <li>• Village Fono Act</li> <li>• Fisheries By-Laws</li> </ul>
Transboundary movement and quarantine	<ul style="list-style-type: none"> <li>• Biosecurity Act</li> </ul>

streaming of conservation and sustainable use of biodiversity and serves as a guide to international, regional, national, and local communities; organizations; and governments on development, review, and implementation of their individual plans and programs. The GEF-funded South Pacific Biodiversity Conservation Programme was developed as a way to implement the action strategy and hence the action plan. This program provided invaluable support for the establishment of the Uafato Forest Conservation Area and the Saanapau/Sataoa Mangrove Conservation Area.

### **Pollution Prevention**

A regional waste management strategy was developed by SPREP in 2005 to help Pacific island countries deal with waste issues in their respective countries and in the region. A GEF international waters project, Implementation of the Strategic Action Programme of the Pacific Small Island Developing States, supported the development of this strategy as well as the implementation of country-specific actions to address root causes of waste pollution in a number of Pacific island countries. AusAID assistance enabled the stockpiling

and removal of toxic waste from some Pacific island countries (including Samoa) to Australia, and the Japan International Cooperation Agency is helping establish state-of-the-art landfills on the islands of Upolu and Savaii.

### ***Climate Change and Variability***

The Pacific Islands Conference on Climate Change, Climate Variability, and Sea Level Rise held in April 2000 began the process of strengthening regional collaboration and cooperation with regard to climate change. At this conference, a draft Pacific Islands Framework for Action was developed in a roundtable process. The strategy addresses a wide range of actions and activities at both the regional and national levels which are designed to help countries understand how climate change must be linked to and integrated into current development processes.

### ***Economic Development***

The Pacific Plan for Strengthening Regional Cooperation and Integration provides a regional framework for Pacific island countries and regional organizations to work together to ensure that environmental protection, management, and planning parameters are integrated with development planning. The plan was endorsed by leaders of the Pacific island countries and is administered by the Pacific Islands Forum Secretariat. Regional organizations contribute to the implementation of specific aspects of the plan through implementation of their respective work programs and projects. For example, in the area of economic development, SPREP will focus mainly on providing advice regarding the World Trade Organization Committee on Trade and Environment and on trade dimensions of relevant multilateral environment agreements such as the Convention on International Trade in Endangered Species. Sustainable tourism is also addressed through a well-coordinated series of interventions for nature

conservation, pollution prevention, and climate change.

### **Samoa's Development Strategy and Policy Framework**

The Samoan government reclassified its national development plan approach in 1998 when it changed its plan to annual statements of economic strategy (SESs; later designated as development strategies—SDSs). Samoa's SESs of 1998–99 and 2000–01 both identified the environment as an important issue in terms of promoting the economy through improved public and private sector efficiency and effectiveness, and improving the social service sectors such as education and health. Although these statements did not identify the environment as a sector per se, the environment is viewed as an important cross-sectoral issue that needs to be considered in most of the other sectors. In fact, the environment is prominently covered in the education and village economy sectors of the 1998–99 SES and in the agriculture and fisheries, sustainable tourism, and village economy sectors in the 2000–01 SES.

In the 2002–04 Strategy for the Development of Samoa, the government pledged to ensure mutually beneficial partnerships with the private sector for the sustainable management and development of the environment in the areas of environment planning and policy, climate change, oceanic/coastal resources, waste management, biodiversity, and capacity building. The SES promotes a vision of “improved quality of life for every Samoan premised on sustained economic growth, improved education, enhanced health standards, and strengthened cultural and traditional values” (GoS/MOF 2002).

Enhancing health standards and sustaining economic growth are dependent on, among other factors, a healthy biophysical environment and

natural resource base. This rationale underpins environmental protection and Samoa's sustainable development strategy.

Although environmental considerations are mentioned in the current SDS (2005–07), they are effective only in a limited way because there is no integrated approach to mainstreaming important environmental issues in the government's national plan. The Planning and Urban Management Act does require environmental assessments for all major development projects in the country; however, this requirement is not yet accepted as a prerequisite for all major development projects by the majority of developers, some of whom claim to be ignorant of the law until directed to comply. Furthermore, the impacts of climate change and POPs are not addressed at all in major national planning documents such as the SDS.

The limited reference to environmental considerations in important planning documents such as the SDS makes it difficult to promote the global environment and does “raise eyebrows” at international and regional forums where climate change adaptation is given paramount importance by Samoa but is not treated correspondingly in the country's seminal planning document. Nevertheless, the SDS 2008–10 that is currently being formulated is expected to redress this gap in recognition of the importance of the environment to Samoa's economy and people.

The government's commitment to the environment and sustainable development is evident in its broader activities. The Ministry of Natural Resources and Environment is now one of the largest ministries in the Samoan government. When the Lands and Environment Act of 1989 was first established, the Division of Environment and Conservation had only a three-person staff in 1990. Furthermore, the government budget and official development assistance provided toward

activities that promote environmental issues are quite substantial.

The government first documented the state of Samoa's environment in 1993; a new version is now under preparation. In the same year, the National Environment Management Strategy was developed, which resulted in the formulation of national policies in key environmental areas. The policies that are operational are listed in table 3.4.

With regard to official development assistance, the Cabinet Development Committee, which screens all project proposals, requires that all proposals with a value of SAT 100,000 or more be “environmentally sound.”

### **Relevant International Treaties, Conventions, and Protocols**

Samoa has signed and ratified most of the regional and international treaties and conventions related to the environment, as shown in table 3.5.

### **GEF Focal Point Mechanisms**

The Ministry of Natural Resources and Environment was recently designated as the GEF operational focal point in Samoa, assuming this responsibility from the Ministry of Foreign Affairs and Trade (which still maintains its function as the GEF political focal point). The MNRE has been proactive in this capacity, creating a new position in the ministry—GEF consultant—at the deputy chief executive officer level. (The position is not a permanent one, but was created for a one-year consultant.) The consultant will be dealing only with GEF issues for now, but may later be responsible for coordinating all official development assistance within the ministry. Box 3.1 lists the specific duties of this position.

Although the MNRE has been the primary executing agency for GEF projects, the ministry has not always been involved with GEF management



**Table 3.4**

**Policies and Key Environmental Issues**

Year	Policy framework	Key environmental issue	Link to the GEF
1991–97	<ul style="list-style-type: none"> <li>• National Watershed Management Policy</li> <li>• National Forest Development Policy</li> </ul>	Degradation of watershed areas, deforestation	Technical support under international waters FSP and land degradation MSP
1994–2000	<ul style="list-style-type: none"> <li>• National Population Policy</li> <li>• National Land Use Policy</li> <li>• National Waste Management Policy</li> <li>• National Water Resources Policy</li> <li>• National Biodiversity Policy</li> </ul>	Population needs, land use management, waste management, provision of clean water, protection of biodiversity	
2000	Coastal Infrastructure Management Strategy	Identify coastal areas vulnerable to erosion, landslides, flooding, impacts of strong winds, and extreme events	Enabling activity under climate change
2001	National Biodiversity Strategy and Action Plan	National priorities for conservation and sustainable use of Samoa’s marine, freshwater, and terrestrial resources	Enabling activities in biodiversity, SGP
2005	National Adaptation Program of Action	Identify urgent and immediate adaptation priorities	Enabling activity
2005	National Implementation Plan for POPs	Management of POPs	Enabling activity in POPs
2005	Development Consents Policy	Criteria for development consent	
2005	National Biosafety Framework	Regulatory regime for genetically modified organisms	Supported under global biosafety
2005	National Biodiversity Framework	NBSAP update	Add-on activity in biodiversity
2005	National Biodiversity Conservation Policy	Conservation of biodiversity	Enabling activities in biodiversity, SGP
2005	National Forest Policy	Update of 1990s policy	
2006	National Action Plan	Land degradation and land use management	Developed in conjunction with land degradation MSP
2006	Ban on Commercial Logging Policy	Save remaining forest cover	
Under development	Renewable energy		

Source: GoS 2007, pp. 106–07.

or coordination with the GEF structure (for example, contacting the GEF Council or Pacific Council members). The Ministry of Foreign Affairs and Trade, as the GEF political focal point, acts as the clearinghouse for GEF information in Samoa and attends GEF Council meetings on behalf of the government of Samoa; it also signs important communications from the government to the GEF and UNDP. The ministry is the focal point for most of the international treaties and agreements.

Currently, there is limited capacity outside the MNRE to generate project proposals that would be acceptable to the GEF (thus, the need to have assistance from UNDP in preparing and implementing projects). The focal point does not operate with a national GEF committee, as is done in other countries. This is because sufficient prioritization exercises and action plans in the GEF focal areas have been prepared through the enabling activities, thus meaning there is no urgent need

**Table 3.5****International Treaties Samoa Has Ratified Related to the GEF Mandate and Objectives**

<b>International and regional treaties</b>	<b>Ratified</b>
Convention on the Conservation of Nature in the South Pacific	July 20, 1990
Convention for the Protection of the Natural Resources and Environment of the South Pacific Region	July 23, 1990
United Nations Framework Convention on Climate Change	December 29, 1994
Montreal Protocol on Substances That Deplete the Ozone Layer	December 21, 1992
Convention for the Protection of the Ozone Layer	December 21, 1992
Convention on Biological Diversity	February 10, 1994
United Nations Convention on the Law of the Sea (1982)	August 14, 1995
Convention for the Prohibition of Driftnet Fishing in the South Pacific	September 9, 1996
Convention to Ban the Importation into Forum Island Countries of Hazardous and Radioactive Wastes and to Control the Transboundary Movement and Management of Hazardous Wastes within the South Pacific Region (Waigani Convention)	May 16, 2001
Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks	October 23, 1996
United Nations Convention to Combat Desertification	August 21, 1998
Cartagena Protocol on Biosafety	March 13, 2002
Kyoto Protocol to the Framework Convention	November 15, 2000
Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean	January 2, 2001
Convention Concerning the Protection of the World Cultural and Natural Heritage	August 27, 2001
Stockholm Convention on Persistent Organic Pollutants	February 4, 2002
International Convention for the Protection of Pollution from Ships (1973) and Its Protocol (1978)	February 7, 2002
Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal	March 22, 2002

**Box 3.1****Duties and Responsibilities of the GEF Consultant within the MNRE**

Generally, the GEF consultant will facilitate MNRE access to GEF project funding through the effective planning and preparation of project proposals. Specifically, the consultant will be responsible for:

- Strengthening national awareness about the GEF and its links to the relevant multilateral environment agreements as well as the process for accessing GEF assistance
- Identifying areas of greatest benefit to Samoa from GEF activities
- Preparing both concept and detailed project proposals to the GEF
- Conducting research and promoting strategic advice to the MNRE on GEF operations and funding opportunities
- Coordinating the staging of GEF-funded projects and those of other donors
- Working with GEF Agencies to ensure effective administration of GEF projects
- Facilitating the participation of all stakeholders in GEF programs

to discuss them in committee. Samoa now needs resources to enable government and stakeholders to jointly implement action plans and strategies already developed through the enabling activities. Adequate capacity is currently spread over several government agencies and NGOs to implement these plans if the MNRE can effectively mobilize them for this purpose. Future support should include assistance to develop the capacity of other government agencies and NGOs to develop quality GEF proposals.

At the request of the Ministry of Foreign Affairs and Trade, Samoa's ambassador to the United Nations often represents Samoa on GEF matters in the United States. On other occasions, this ministry and the MNRE together represent Samoa at GEF meetings. As political focal point, the Ministry of Foreign Affairs and Trade represents the state in official negotiations and discussions regarding GEF policy issues. The operational focal point, by contrast, deals with all technical and operational issues of the GEF. In practice, the Ministry of Foreign Affairs and Trade consults with the MNRE on GEF policies and management issues prior to making representations to the GEF.

### 3.4 Changes in Implementation for GEF-4

The following events have taken place in 2006–07 within the GEF and will affect the context in which the GEF operates in the region:

- New funding allocation procedures for the biodiversity and climate change focal areas was approved and implemented under the RAF. Samoa has been assigned a group allocation for both focal areas. This implies that, for each focal area, Samoa will receive a minimum of \$1 million and a maximum of \$3 million. If this funding is not accessed by mid-GEF-4, the balance will be reallocated to the countries in the
- group allocation for them to use in the second half of GEF-4. As of the writing of this report, no GEF-4 resources (RAF or otherwise) have been approved for Samoa.
- The GEF Council removed the funding that it used to provide the GEF Implementing Agencies (IAs—namely, UNDP, UNEP, and the World Bank) to support their participation in corporate activities (for example, development of GEF policies, dissemination of information, representation of corporate interest). One of the functions of the IAs was to disseminate up-to-date information on GEF objectives and policies and explain their implications for national and regional programs. This change is very relevant for UNDP, because it is the only GEF IA with a substantial regional presence.
- SPREP has appointed a GEF adviser (see chapter 6 for more details) to perform two main functions: help countries in the region better access GEF programs and coordinate regional projects. The position is funded by NZAID and AusAID as a SPREP permanent position. The GEF adviser will provide additional capacity to access GEF support but potentially adds a new layer or step in the processing of projects.
- The GEF Secretariat is preparing a regional programmatic approach for implementation of GEF-4 (all focal areas) in the Pacific; this was announced in a letter dated March 1, 2007. Based on the finding that regions have limited capacity to access and implement GEF resources, a regional programmatic approach (with national execution) aims to save on both the transaction costs and time of implementing many small projects and expand the level of skills and knowledge sharing among countries. No proposals and concepts for the region will be considered until this program is approved by the GEF Council (it will likely be presented

at the Council's December 2007 meeting). Samoan government representatives have indicated that they have not seen any specific information on this approach so far.

- NZAID and AusAID have begun a process of full harmonization of their support to Samoa, following the Paris Declaration on Aid Harmonization. As one example, these two governments reached an agreement that, in the education sector, NZAID will take the lead; in the environment sector, AusAID will. Harmonization means that if only one donor is coordinating the support to a sector, the government will need to report to only one donor, reducing the burden on limited capacity. In addition, both donors (which were major donors for the environment sector) are reducing their bilateral support and will instead, in the interest of harmonization, direct their support through regional organizations such as SPREP or global ones such as the GEF.

The cumulative impact of these events has not been evaluated, but the potential for conflicts and confusion about the roles and responsibilities of different players and programs of support and further delays for the region in accessing GEF support are likely. For example, the roles and responsibilities of different players and programs of support have not been discussed, overlaps between RAF and programmatic approach procedures and rules are not clear, and delays in the region's access to GEF-4 resources is of great concern to countries such as Samoa, which are ready for implementation.

## Notes

1. Flowering plants, representing approximately 80 percent of all the known green plants now living.
2. The independent states are Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.

## 4. Activities Funded by the GEF in Samoa

### 4.1 Overall GEF Portfolio

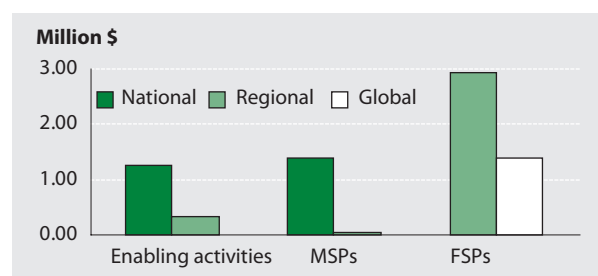
GEF support to Samoa started during the GEF pilot phase when the South Pacific Biodiversity Conservation Programme regional project was approved in 1992. This was followed by a second regional project on climate change, Pacific Islands Climate Change Assistance Project, which was approved in 1995. The national projects started at the beginning of GEF-2 (1998–2002), with the approval of a series of enabling activities to support Samoa’s responses to its obligations under the various global conventions for which the GEF is the financial mechanism. In all, 18 projects have been approved in which Samoa has participated, including the Small Grants Programme.<sup>1</sup> As mentioned earlier, Samoa does not have a GEF program; rather, GEF support to Samoa is considered as a portfolio of projects approved and implemented under different circumstances to achieve different objectives, not necessarily related to one another or attempting to form a GEF program.

GEF support has been primarily of two types: enabling activities (eight projects) and regional projects (seven projects). Regional projects are implemented mostly through SPREP, in which Samoa participates as part of the Pacific island countries community. Samoa has been one of the few Pacific island countries that has also received GEF support through medium-size projects—one in support of two marine protected areas (com-

pleted in 2004) and a second recently approved MSP in support of land degradation issues (part of a global LDC land degradation project). As is the case for most Pacific island countries, no full-size project or project in the international waters focal area has been approved for national execution in Samoa. The primary GEF Implementing Agency active in Samoa throughout this period has been UNDP, which has implemented 16 of the 18 projects (including administration of the SGP).

Given the large number of regional projects (for which estimates of actual country allocations are not readily available), it is difficult to estimate the precise amount of money provided by the GEF to Samoa. Assuming equal distribution among countries participating in regional and global projects, this estimate should be about \$7 million (including support to project development facilities)—\$2.63 million through national projects, \$3.33 million through regional projects, and \$1.38 million through global projects in which Samoa participates.<sup>2</sup>

Figure 4.1 shows GEF-supported projects in Samoa by project scope (national, regional, or global) and funding amount. Table 4.1 shows the number of projects implemented under each modality. Table 4.2 provides a comprehensive list of GEF-supported activities (completed and ongoing), and includes focal area, Implementing/Executing Agency (ExA), modality, and approval date.

**Figure 4.1****GEF Support to Samoa by Project Scope****Table 4.1****Number of GEF Projects in Samoa, by Modality**

Project scope	EA	MSP	FSP	Total
National	6	2	0	8
Regional	2	1	4	7
Global <sup>a</sup>	0	0	3	3
<b>Total</b>	<b>8</b>	<b>3</b>	<b>7</b>	<b>18</b>

a. Includes SGP.

**Table 4.2****GEF Portfolio in Samoa as of December 2006**

Scope and project	Focal area	IA/ExA	Modality	GEF approval date
<b>Completed activities</b>				
National: Preparation of National Biodiversity Strategy and Action Plan, and First National Report to the COP of the CBD	BD	UNDP	EA	March 1998
National: Additional Funding of Biodiversity Enabling Activity	BD	UNDP	EA	July 2001
National: Initial Assistance to Samoa to Meet Its Obligations under the Stockholm Convention on POPs	POPs	UNDP	EA	September 2001
National: Program of Action for Adaptation to Climate Change	CC	UNDP	EA	December 2002
National: Marine Biodiversity Protection and Management	BD	WB	MSP	January 1999
Regional: Pacific Islands Climate Change Assistance Project	CC	UNDP	EA	October 1995
Regional: Pacific Islands Climate Change Assistance Project Phase II	CC	UNDP	EA	July 2000
Regional: Pacific Islands Renewable Energy Program	CC	UNDP	MSP	February 2002
Regional: South Pacific Biodiversity Conservation Programme	BD	UNDP	FSP	May 1991
Regional: Implementation of the Strategic Action Programme of the Pacific Small Island Developing States	IW	UNDP	FSP	July 1998
Global: Biosafety	BD	UNEP	FSP	2004 <sup>a</sup>
<b>Activities under implementation</b>				
National: Clearing House Mechanism Enabling Activity	BD	UNDP	EA	September 2000
National: National Capacity Self-Assessment for Global Environmental Management	MF	UNDP	EA	June 2004
National: LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management in Samoa <sup>b</sup>	LD	UNDP	MSP	May 2006 <sup>a</sup>
Regional: Pacific Islands Oceanic Fisheries Management Project	IW	UNDP	FSP	April 2005
Regional: Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project	CC	UNDP	FSP	June 2005
Global: Community-Based Adaptation Programme <sup>c</sup>	CC	UNDP	FSP	August 2006 <sup>a</sup>
Small Grants Programme	MF	UNDP	FSP	2005 <sup>a</sup>

**Note:** BD = biodiversity; CC = climate change; IW = international waters; LD = land degradation; MF = multifocal; WB = World Bank.

a. Date Samoa component was completed.

b. This project was approved within the global UNDP project on LDC/SIDS support to land degradation.

c. This global project includes a total of 10 countries; the Samoan component began in January 2007.



## 4.2 Portfolio by IA/ExA

GEF support to Samoa is virtually synonymous with UNDP. About 80 percent of the funding (for 16 of 18 projects) has been channeled through UNDP as a GEF Agency. All enabling activities as well as all regional projects implemented in Samoa or with Samoa's participation have been implemented through UNDP. UNDP maintains a regular support program to Samoa and the region (outside the GEF context), as do the other GEF Agencies. However, UNDP's actual presence in Samoa—with a national and regional office, and years of experience working with GEF projects in the region—is viewed by many stakeholders as a key comparative advantage of this Agency.

Despite numerous GEF identifiers in the context of GEF projects (notably the SGP) and project documentation, the GEF is not always identified by government or the general public as a donor in its own right, and its support is usually indistinguishable by them from UNDP funding. For example, Samoa's Ministry of Finance records national-level GEF funding as UNDP<sup>3</sup> (see GoS/MOF 2006); similarly, SPREP records GEF funding at the regional level as UNDP (see SPREP 2006).

In 1999, the GEF Chief Executive Officer endorsed the first MSP for Samoa—designed to improve the management of two protected areas on the island of Upolu—which was to be implemented through the World Bank. UNEP's participation in Samoa has been through UNEP's global project on biosafety only, where, its role was to support Samoa's preparation of its national biosafety framework. None of the other relevant GEF IA/ExAs have implemented GEF projects in Samoa, although FAO and ADB have extensive and long-running programs in the country. Furthermore, interviews with staff from the World Bank, FAO, and ADB suggest there are no plans for involv-

ing the GEF through these Agencies in Samoa at this time.<sup>4</sup> The national focal point said that the government will be interested in working through other GEF Agencies. At present, only UNDP has projects under implementation; these are at both the national and regional levels.

The Small Grants Programme, a GEF corporate program administered by UNDP and the United Nations Office for Project Services, began implementation in March 2005.

## 4.3 Portfolio by Focal Area

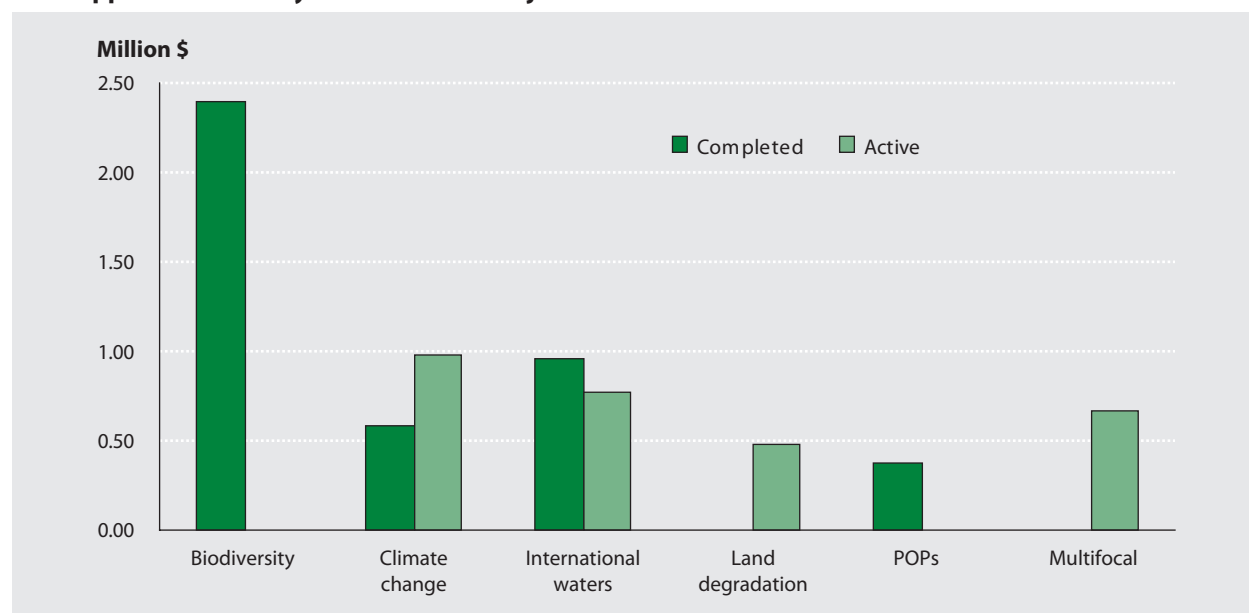
The GEF portfolio in Samoa is diverse and includes support for at least one project in each of the GEF focal areas. The funding has been split roughly in thirds along the three main and oldest GEF focal areas: biodiversity (33 percent), climate change (22 percent), and international waters (24 percent), with less support to the other focal areas (\$480,000 for a land degradation project, \$370,000 for the POPs enabling activity, and about \$660,000 for multifocal projects such as SGP and national capacity self-assessment). See figure 4.2 and table 4.3 for delineation by focal area.

The country has received support to fulfill all the reporting requirements from all of the conventions the GEF finances.<sup>5</sup> All the enabling activities except those involving land degradation and NCSA have been completed.

Samoa participated in the implementation of the two components of the Strategic Action Program for the Pacific SIDS. The component dealing with oceanic fisheries management was jointly executed by the Forum Fisheries Agency in the Solomon Islands and the Secretariat of the Pacific Community in New Caledonia; the integrated coastal and watershed management component was executed by SPREP.

**Figure 4.2**

**GEF Support to Samoa by Focal Area and Project Status**



**Table 4.3**

**Portfolio by Focal Area and Project Scope**

Project scope	Biodiversity	Climate change	International waters	Land degradation	POPs	Multifocal	Total
National	4	1	0	1	1	1	<b>8</b>
Regional	1	4	2	0	0	0	<b>7</b>
Global	1	1	0	0	0	1	<b>3</b>
<b>Total</b>	<b>6</b>	<b>6</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>18</b>

One-third of the GEF projects in which Samoa participates are currently active; the other two-thirds have been completed. All biodiversity activities as well as the POPs enabling activity are complete. In terms of total funding by focal area, 40 percent of climate change activities (Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project and the global Community-Based Adaptation Programme) and 50 percent of international waters activities (Pacific Islands Oceanic Fisheries Management Project) are still under implementation.

#### 4.4 Portfolio by Objective

The objectives addressed in the activities supported by the GEF in Samoa are summarized in table 4.4. (See chapter 5 for more details on each project’s objectives and results.) As mentioned before, Samoa has completed (or is very close to completing) all national reporting requirements associated with the various conventions financed through the GEF. In biodiversity, Samoa has worked primarily on conservation of marine and coastal ecosystems using such innovative approaches as



**Table 4.4**

**Main Objectives of GEF-Supported Activities in Samoa by Focal Area and Modality**

Focal area	FSP	MSP	EA	SGP
Biodiversity	<ul style="list-style-type: none"> <li>Regional approach</li> <li>Establishment and management of conservation areas</li> <li>Research, training</li> </ul>	<ul style="list-style-type: none"> <li>National approach to marine protected areas (Aleipata and Safata districts)</li> <li>District-level approach of community-based management</li> </ul>	<ul style="list-style-type: none"> <li>NBSAP</li> <li>Clearinghouse mechanism</li> <li>National biosafety framework</li> </ul>	Ecosystem conservation focusing on marine habitats
Climate change	<ul style="list-style-type: none"> <li>Regional and global approach</li> <li>Reduction of GHG emissions from fossil fuels through renewable energy resources</li> <li>Community-based adaptation</li> </ul>	<ul style="list-style-type: none"> <li>Regional approach</li> <li>Improvement of enabling environment for renewable energy</li> </ul>	<ul style="list-style-type: none"> <li>National Action for Adaptation to Climate Change</li> <li>National Communication to UNFCCC</li> </ul>	Adaptation
International waters		<ul style="list-style-type: none"> <li>Conservation and sustainable management of coastal and ocean resources</li> <li>New regional arrangement for conservation, management, and sustainability of migratory fish species</li> <li>Demonstration site with watershed management</li> </ul>		Conservation and sustainable management of coastal resources
Land degradation		Capacity development and mainstreaming		<ul style="list-style-type: none"> <li>Improvement of agricultural growth, organic farming, and community development</li> <li>Women in business</li> </ul>
POPs			POPs NIP	
Multifocal			NCSA	

community-based management. In climate change, GEF support concentrated on mitigation of GHGs through regional projects; over the last two years, however, some activities (in the SGP and a global project) are beginning to be implemented on adaptation. In international waters, objectives have focused on management of coastal and marine resources, migratory fish species, and watersheds. The recently approved capacity-building project on land management will be the first GEF activity in Samoa in the land degradation focal area.

Given this context, GEF support will likely expand to cover more actual implementation of projects, with less emphasis on enabling activities.

## 4.5 GEF Small Grants Programme

### Projects and Funding

The SGP was nationally launched in Samoa in March 2005, followed by the first meeting of the National Steering Committee to review and approve the first set of projects. The SGP in Samoa

is administered through a subregional model, an aspect unique to this program. The SGP national coordinator also coordinates SGP activities in Niue, Cook Islands, and Tokelau. Moreover, allocations from the SGP global program are provided as a lump sum for the four countries. Country allocations are then based on country work programs, according to demand (the National Steering Committee handles approval of all SGP projects included in the work programs). In the program's first year of operation, Samoa was allocated \$185,000, of which \$162,770 was committed and \$81,739 was disbursed. For year 2 (March 2006–February 2007), the four countries together were allocated \$550,000, of which Samoa received about \$250,000. The maximum project size was about \$19,000 in the first two years; this was related to the country's capacity to absorb funds and was determined by the National Steering Committee. In the future, projects are expected to reach up to \$50,000, which is the global maximum funding allowed in the SGP.

Although Samoa's program does not have a specific geographic focus given the country's small size, many activities are located in the coastal lowland area. Most grants made to the island of Upolu deal with ecosystem conservation, water quality, and watershed and waste management; those to the island of Savaii are more focused on sustainable agriculture. During the inception phase (year 1), the main focus was on stakeholder capacity building (local communities and NGOs with limited capacity) to establish full understanding of the program and carry out small demonstration projects. Of the 43 projects approved in year 1, 33 were planning grants and 10 were actual projects. In the second year, 14 projects were approved, 5 of which were planning grants and 9 of which were projects (8 of those were scaled-up projects). Most projects in both years were implemented by community-based organizations: 22 by the Wom-

en's Committee, 15 by the Council of Chiefs, and 18 by both groups.

It is expected that in the next two years (2007–09), the SGP in Samoa will focus on implementation of a few full projects rather than planning projects.

### **Program Governance and Administration**

The SGP National Steering Committee has nine members: two government representatives (from the MNRE and the Ministry of Finance), one consultant on climate change, one representative each from academia and the private sector, three members from civil society, and a UNDP representative. The national coordinator reports to the central SGP management team in New York. The United Nations Office for Project Services is the executing agency, authorizing the UNDP country office to disburse funds to the grantees.

### **Cofinancing**

The NZAID Pacific Environment Fund is the largest cofinancer of the SGP in the Pacific, providing \$NZ 6 million to support 15 Pacific island countries participating in the SGP for the next three years. Samoa is expected to receive \$NZ 215,000 annually to match the GEF SGP funds. The NZAID support also includes 15 percent of its funds for capacity-building activities for the National Steering Committee and grantees. A technical adviser will be provided to support the partnership in the areas of project review, monitoring, and assessment.

Another partnership was recently established with the global Community-Based Adaptation Programme, which will implement its Samoa component through the GEF SGP. This type of coordination helps facilitate partnership opportunities among similar small grant initiatives operating in the country, such as the World Bank's Cyclone Recovery Project and the planned AusAID Vulnerability and Adaptation Small Grants Scheme.

## 4.6 Activities over Time

Samoa has received funding from the GEF in three categories:

- A series of enabling activities supporting Samoa's requirements from conventions
- A series of regional projects on biodiversity, climate change, and international waters
- A series of national projects, including an MSP for marine protected areas, the SGP projects, and the Samoa component of the global Community-Based Adaptation Programme

The first GEF funding for Samoa came in the form of two regional support programs, one for biodiversity and one for climate change, in 1991 and 1995, respectively. The latter was a regional approach to prepare climate change reporting to the UNFCCC. Support for fulfilling other UN convention reporting requirements continued with the support to NBSAP approved in 1998, the clearinghouse in 2000, POPs in 2001, climate change adaptation in 2002, and biosafety in 2004. Also in that year, the GEF started a new type of enabling activity, NCSA, to assess national capacity and develop a program of action to support countries in their implementation of all global conventions. Samoa is in the process of completing all enabling activities available for financing by the GEF.

In 1998, a regional project, Implementation of the Strategic Action Programme for the Pacific Small Island Developing States, began implementation through SPREP; this was completed at the end of 2006. One component of this project focuses on integrated water management; this effort is continuing through a second phase (approved in 2005) and is also implemented through a regional approach (this time by the Pacific Islands Applied Geoscience Commission [SOPAC] based in Fiji).

Another sequence of two regional projects has taken place in the area of renewable energy—the Pacific Islands Renewable Energy Programme approved in 2002 and the Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project approved in 2005.

After completing its NBSAP, Samoa began implementing in 1999 one of the few MSPs in the Pacific island countries, Marine Biodiversity Protection and Management. Once Samoa ratified UNCCD, another MSP was approved, Capacity Building for Sustainable Land Management in Samoa, in 2006.

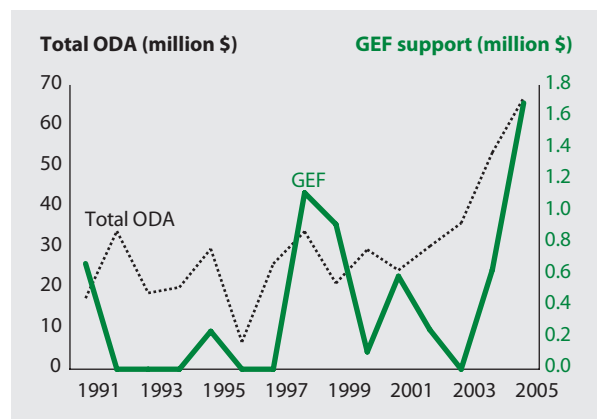
## 4.7 GEF in the Context of Official Development Assistance

Samoa's official development assistance has increased since the initiation of GEF support, rising from \$17.5 million in 1991 to \$53.5 million in 2005 (this includes both bilateral and multilateral donors in all sectors). Over this period, GEF support increased from \$0.67 million approved in 1991 to almost \$1.7 million approved in 2005.<sup>6</sup> (See figure 4.3.) There is a similar parallel between total official development assistance and GEF funding to Samoa throughout this period, but the relationship cannot be established. Chapter 5 discusses the relevance of GEF support to national priorities and may shed light on how important GEF support is in the context of official development assistance, particularly for the environment sector.

In Samoa's environment sector, the perception is that the GEF is the largest donor (this perception was confirmed by this evaluation; see chapter 6). In the past, AusAID and NZAID played an important role in supporting the MNRE, but in the last year or so their direct support to the environment sector has ceased.<sup>7</sup> Staff from these agencies cited several reasons for this:

**Figure 4.3**

**GEF and Official Development Assistance to Samoa, 1991–2005**



Source: OECD.

Note: GEF funding is by year of approval.

- The absence of the environment as a priority sector in the SDS
- The focus of support on regional approaches, such as by SPREP and the GEF SGP
- Harmonization of support increasingly directed to programs rather than projects

A newcomer to the environment sector in Samoa is the Japan International Cooperation Agency (although it has been a major donor for Samoa in other sectors). The agency will provide up to \$3.7 million in the next three years to support three projects in waste management, protected areas, and environmental awareness, respectively.

Both the World Bank and ADB have extensive active portfolios of loans in Samoa, totaling a combined \$70.2 million in investments and \$10 million for technical assistance.

### 4.8 GEF Support to Samoa in the Context of SIDS and the Pacific

Samoa is one of 38 SIDS eligible for GEF support. These countries have received support from the

GEF through 196 enabling activities, 63 FSPs, and 38 MSPs.<sup>8</sup> These 297 projects represent about 16 percent of the total GEF portfolio across all eligible countries, 24 percent of all enabling activities, and 9 percent of all FSPs. The Caribbean SIDS have participated in about 43 percent of projects, and the Pacific SIDS in 21 percent. Samoa has participated in about 6 percent of the SIDS projects and in most Pacific SIDS projects. All focal areas are represented in SIDS initiatives. In general, GEF support to SIDS has been relatively consistent with its non-SIDS support throughout all GEF phases.

SIDS have received about \$324 million from those 297 projects.<sup>9</sup> The largest allocation goes to Caribbean SIDS, which received about \$164 million (about 50 percent), compared to \$86 million for Pacific SIDS (including large allocations to Papua New Guinea). Samoa has received about 18 percent of the funds, a higher percentage than most Pacific island countries. On average, GEF allocations to SIDS FSPs and MSPs is \$1.1 million—much lower than the average for the entire GEF portfolio (\$4.13 million for FSPs and \$0.58 million for MSPs). The average allocation to enabling activities is \$0.23 million. Cofinancing for SIDS projects is much lower than for the GEF as a whole, \$0.17 versus \$2.45 per GEF dollar.

About half of SIDS projects are implemented through UNDP, about 30 percent through the World Bank, and about 7 percent through UNEP; the GEF ExAs have implemented about 7 percent combined. GEF support to Samoa is therefore somewhat atypical compared to the rest of the SIDS, since it is predominated by UNDP.

Project annual reports and final evaluations suggest that the performance of SIDS projects is worse than for the entire GEF portfolio; this analysis, however, is based on a limited number of projects.

Almost half (45 percent) of the GEF support to SIDS is executed by government agencies. More of these GEF-supported projects are executed by multilateral donor organizations (such as SPREP, the Organization of American States, countries of the Caribbean Community, and the International Fund for Agricultural Development) and NGOs (such as the Nature Conservancy and the International Union for Conservation of Nature) than throughout the entire GEF portfolio.

## Notes

1. Some of these activities are add-ons (for example, there were two add-ons to the enabling activities for climate change and biodiversity).
2. Because the GEF is developing a new programmatic approach for the Pacific island countries which will not be ready until later in 2007 and will drive the GEF-4 projects in the region, the evaluation does not present or discuss projects that could be considered in a pipeline.
3. The Ministry of Finance's "Partnerships for Development 2004–2005" report lists UNDP and the GEF together as a single donor. It does not distinguish between UNDP- and GEF-funded projects except for the SGP, which is listed as "GEF-Small Grants Scheme."
4. This situation may change. The GEF proposed to the GEF Council at its June 2007 meeting a programmatic approach for the Pacific SIDS in which all Agencies are invited to participate, although it is not clear if this will happen in Samoa.
5. UNDP has also provided financial support from its own regular programs for Samoa's development of a national action program for land degradation.
6. Since country allocations in regional projects are not readily available, it is assumed that each country receives the same amount.
7. The Ministry of Finance's "Partnerships for Development" report does not list any environmentally related assistance to Samoa by Australia or New Zealand; however, both countries offer scholarship awards that could include studies in the environment if selected as a priority by the Samoan government.
8. Some of these projects are regional and global initiatives that include at least one SIDS as a participant.
9. To simplify the calculations, as with the Samoa portfolio, the evaluation team made an equal proportional adjustment to the allocation per participating country for regional and global projects.



## 5. Results of GEF Support to Samoa

This chapter reviews the results, in terms of outcomes and impacts, of the various projects undertaken in Samoa with GEF support. To assess whether the projects have helped advance policy development in the country, the origins of these projects are also reviewed. The chapter identifies GEF contributions toward solving global and national environmental issues as well as improving capacities; however, because the GEF works with many partners, including donors, it would be inappropriate to attribute any results solely to the GEF.

Results were measured using the following parameters:

- **Impacts:** changes in environmental status, especially those of global significance
- **Outcomes:**
  - Advances in policies and strategies
  - Catalytic and replication effects
  - Institutional sustainability and capacity building

Information on results was compiled from interviews, reviews of existing project documentation, and a few field visits to selected projects.

### 5.1 Global Environmental Impacts

Evaluating the impacts of GEF-funded initiatives is not straightforward. Often, project evaluations

generate information on outcomes rather than impacts. Additionally, evaluations are often conducted before intended project impacts can be detected or have had time to emerge. Some believe that project impacts cannot be detected until well after a project has ended (many GEF-funded projects in Samoa were completed only over the last two or three years). In addition, all completed national projects in Samoa (with the exception of the Marine Biodiversity Protection and Management MSP) were enabling activities, which are not expected to produce impacts at the environmental level. For instance, the Pacific Islands Renewable Energy Project succeeded in identifying barriers to the development of renewable energy, but this outcome could only have a direct impact on this type of energy and the environment when follow-up activities (that is, the Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project) removed the barriers and put in place renewable energy technology that reduces GHG emissions. This latter project is now under implementation.

GEF support in the biodiversity area enabled village communities on the island of Upolo to conserve critical forest and mangrove ecosystems and practice sustainable management. More than 20 village communities participated in resource conservation and management efforts, and the support helped build local capacity for the effec-



tive planning and management of Samoa's environment. The Marine Biodiversity Protection and Management project initiated bans on commercial scuba fishing within the MPAs, which the Ministry of Agriculture and Fisheries subsequently expanded by placing a national ban on this fishing practice. The project also imposed bans on the commercial harvesting of sea turtles within the MPA, thereby supporting regional and international efforts to protect these endangered marine animals.

The species conservation component of the South Pacific Biodiversity Conservation Project initiated conservation practices for marine mammals and turtles in the region, which in Samoa led to a ban on commercial harvesting of sea turtles at the national level. Since 1995, when the first Pacific Year of the Sea Turtle campaign was launched, populations of sea turtles have increased in Samoa as evidenced both at the nesting beaches and by sightings by fishermen and divers.

There is some anecdotal information on impacts related to marine ecosystems and interventions through the Marine Biodiversity Protection and Management project and even some recent SGP activities. In the first case, some baselines were collected in the two MPAs, and analysis has shown that the fish population has increased in the last few years. Evaluation staff visited two marine communities and found improvements to coral health and fish populations. One of the communities reported that fishermen from neighboring villages are coming to their no-take zone, illegally, because the fish population is better.

At the national level, the lack of baseline data and information makes it difficult to measure and quantify the global impacts of GEF-funded projects.

## 5.2 Outcomes: Advances in Policies and Strategies

As might be expected, given the type of GEF support to Samoa, GEF support achieved its greatest results in the area of policy and strategy development. With GEF support, Samoa has completed the necessary national plans, policies, and legislation related to the environment such as the NBSAP, NAPA, land degradation NAP, and POPs NIP. These plans have helped the country identify priority ecosystems and species for conservation actions, national adaptation actions on the impacts of climate change, capacity needs for implementation of environmental work, and appropriate legislative frameworks and policies. All of these actions were necessary to create the conditions for impacts to be able to emerge.

Implementation of some priority actions identified by the plans has begun, using funds from other official development assistance or organizations such as the Japan International Cooperation Agency (national parks and waste management), NZAID (invasive species), AusAID (community reforestation), Canadian International Development Agency (community adaptation), European Union (water conservation), and the World Bank (coastal vulnerability and adaptation, and ecosystem recovery).

To address its environmental issues systematically, Samoa—through the MNRE—has focused GEF support over the last 15 years on building its capacity at the institutional and systemic levels by developing the necessary strategies, building the capacity of the ministry and other relevant stakeholders through planning processes, and consolidating the MNRE so it is able to adequately implement the plans developed.

The climate change-enabling activities have contributed enormously to increased public awareness

about GHGs and ozone-depleting substances, and about natural disasters and their potential impacts on people and the environment. Priorities identified in the NAPA are beginning to be implemented and mainstreamed into investments such as the Coastal Infrastructure Management Plans and Coastal Emergency Recovery Project which are funded by the World Bank.

Through its first international waters project, Samoa, along with the 13 other countries involved, actively participated in the IW:LEARN (International Waters Learning Exchange and Resource Network) initiative. In this context, Samoa shared its experience and lessons—especially ones related to the use of communication tools to address root causes of key environmental problems in the Pacific—with other GEF-funded international waters projects around the world.

Samoa's draft national energy plan has made notable progress in promoting the use of renewable energy with pilots on solar energy and coconut oil under way, and planning for more hydropower schemes in Savaii is well advanced.

GEF support has helped establish all of the above policies, strategies, and framework, which have in turn helped build a strong foundation for Samoa to contribute to international efforts to protect the global environment.

### 5.3 Outcomes: Catalytic and Replication Effects

Lessons learned from a number of GEF-funded projects have advanced the development of new GEF initiatives as well as those of other development assistance programs in Samoa. The community-based conservation approach of the SPBCP was replicated—albeit on a larger scale—by the Samoa MPA MSP. The consultative processes that were important features of such GEF initiatives as

the SPBCP and the Implementation of the Strategic Action Programme of the Pacific Small Island Developing States have been accepted as best practices for all other environment initiatives in Samoa, especially given the customary nature of land and natural resource ownership that exists in the country. The latter project also contributed to the development of Samoa's Water Resources Policy and Watershed Management Policy and was a catalyst for setting up the Water Resources Division within the MNRE; the division now replicates the project's participatory approach in establishing new watershed areas around the country.

GEF enabling activities played a key catalytic role in securing funding and other support for national projects to such degree that some GEF-supported activities have been mainstreamed and are now supported by other donors and government programs. The NBSAP, NAPA, and NIP have all received funding from AusAID and NZAID for assistance in implementing priority actions. Village bans on the use of certain types of fishing gear and practices in MPAs have been adopted by some 50 other communities in Samoa, and the ban on commercial harvesting of sea turtles under the MPA project complemented the government's own efforts to protect migratory species and marine mammals in Samoan waters.

The NBSAP was a catalyst in identifying priority ecosystems for action, including the proposed MSP for the highest priority terrestrial area in Samoa. The threatened species and alien invasive species programs ongoing in the country have also used information and lessons learned from GEF projects; thus, the current NZAID-funded invasive species program utilizes one of the sites from the MPA program.

The SGP and the Community-Based Adaptation Programme now primarily focus on funding proj-

ects related to the priority actions identified in the NBSAP, NAP, NIP, and NAPA.

The SGP has provided good opportunities for a number of communities and NGO groups to learn from each other's experience and replicate the results of GEF-funded projects. Several communities are engaged in nature-based conservation projects with support from the GEF. These projects have enormous potential for collaboration and information sharing, thereby avoiding the repetition of past mistakes and promoting efforts to achieve desired results on time.

#### **5.4 Outcomes: Institutional Sustainability and Capacity Building**

The national plans developed through the GEF have been an invaluable resource for building the capacity of the MNRE and other stakeholders in Samoa; in fact, the MNRE is now one of the best trained ministries in Samoa. Environmental issues are also well understood in other government agencies, the private sector, and civil society through the work of GEF enabling activities.

The MNRE, which in 1992 had a staff of 5 dedicated to environmental work, now has more than 100 staff members dealing with environmental issues such as climate change, biodiversity, land management, capacity building, environmental awareness, toxins, forestry, water resources, and waste management. Staff members who had previously managed now-completed GEF projects have been retained by the ministry to ensure sustainability of results of these projects with government or other donor funding support. The infrastructure to support these projects—including geographic information systems, legal assistance, and surveying—has also been increased to accommodate the increasing demand for service in these areas. GEF support has been invested in a long-term process to build MNRE capacity

and increase public awareness of environmental issues so that capacity building can continue to improve.

As mentioned before, limited baseline data do not permit a meaningful, quantifiable assessment of the GEF's contribution toward building Samoan capacity to protect its environment and subsequently meet its obligations under international treaties. However, project documents and evaluation reports clearly show that the GEF has contributed significantly to the building of national capacity for environmental management in the country. All GEF-funded projects (including SGP projects) had capacity development built into their design and implementation, and the nature of the projects undertaken allowed for capacity building at various levels of government and within community groups.

#### **5.5 Results of Completed Projects**

The results of completed projects are summarized as follows:

- Critical forest and mangrove ecosystems afforded conservation status
- Alternative sources of follow-up support secured for invasive and bird conservation work
- Strong community support and ownership of conservation initiatives
- Improved knowledge and information base for environment management
- Development of frameworks, policies, and action plans as a basis for progressing in environmental initiatives
- Increased capacity of the MNRE to access GEF funding and effectively manage projects
- Certain endangered marine species afforded national protection

On the basis of the interviews and project document reviews carried out as part of this evaluation, all GEF-funded projects in Samoa appear to

have either achieved, or are well on their way to achieving, their objectives. Table 5.1 describes the major achievements of each completed project.

**Table 5.1**

**Project Achievements for Regionally and Nationally Executed FSPs and MSPs**

Project	Description and major achievements
SPBCP (regional)	<ul style="list-style-type: none"> <li>• 17 community-owned conservation areas established and supported in 12 countries</li> <li>• Improved capacity of Pacific communities to manage biodiversity</li> <li>• Critical ecosystems (mangroves, wetlands, coral reefs, forests) and species (birds, turtles, whales) protected</li> <li>• Alternative sources of income from honey production and ecotourism ventures established for local communities</li> </ul>
Marine Biodiversity Protection and Management (national)	<p>As of the project's end in April 2004:</p> <ul style="list-style-type: none"> <li>• Two district-owned MPAs established involving 20 villages; these are managed by a steering committee comprising one representative from each of the villages</li> <li>• MPA bylaws developed by the steering committee and given formal recognition by government</li> <li>• District ban established on commercial harvesting of sea turtles in both districts</li> <li>• District ban established on commercial mining of sand and use of spear guns for fishing</li> </ul>
Implementation of the Strategic Action Programme of the Pacific Small Island Developing States (regional)	<ul style="list-style-type: none"> <li>• Contributed to the establishment of the new Western and Central Pacific Fisheries Commission in 2004, in which Samoa is a member</li> <li>• Supported country's participation in developing the Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific in 2001</li> <li>• Established two pilot sites for conservation of watershed areas in Samoa</li> <li>• Improved water quality for Lepa and Apolima-tai villages</li> <li>• Integrated watershed conservation and management into the work of the MNRE through its newly established Water Division</li> <li>• Increased support of and participation by local communities in watershed management activities</li> </ul>
Pacific Islands Climate Change Assistance Project (national components)	<ul style="list-style-type: none"> <li>• First National Communication to the UNFCCC prepared</li> <li>• Vulnerability and adaptation assessment completed</li> </ul>
NBSAP and Clearing House Mechanism	<ul style="list-style-type: none"> <li>• NBPSAP developed with five-year priorities identified</li> <li>• Proposals for implementation of NBSAP prepared and implementation initiated</li> <li>• Web site established as main clearing-house mechanism</li> <li>• Biodiversity policy completed</li> </ul>
NAPA	NAPA developed and implemented through a variety of funding sources, including SGP
Biosafety Framework	Biosafety framework developed and implementation initiated for some activities
POPs NIP	<ul style="list-style-type: none"> <li>• National Implementation Plan developed</li> <li>• POPs clean-up initiated with AusAID assistance</li> </ul>
Pacific Islands Renewable Energy Programme	National assessment of renewable energy completed

## 6. Relevance of GEF Support to Samoa

This chapter reviews the relevance of GEF support in Samoa in the context of both the country's own and GEF's goals and priorities. The evaluation asked, and this chapter summarizes its findings about, the following:

- Is GEF support in line with Samoa's Sustainable Development Strategy, legal framework, and environmental priorities?
- Are the different GEF modalities and project components and instruments (FSPs, MSPs, enabling activities, small grants, and so on) pertinent to Samoa's needs and challenges?
- Does GEF support help development needs (technology transfer, income generation, and capacity building) and reduce challenges (gaps in capacity building)?
- Does GEF support have country ownership, and is it country driven?
- What is the level of GEF funding compared to other official development assistance in the environment sector?
- Is GEF support linked to Samoa's National Biodiversity Strategy and Action Plan, national communication to the UNFCCC, national implementation plan on POPs, and national capacity self-assessment for global environmental management?
- Are project outcomes and impacts related to the RAF global benefits indexes for biodiversity

and climate change and to other global indicators for POPs, land degradation, and international waters?

- What is GEF support's relevance to Implementing and Executing Agencies and institutions, including SPREP?

### 6.1 Relevance to Samoa's Sustainable Development Strategy and Environmental Priorities

#### Support of Key SDS Outcomes

In the 2002–04 Strategy for the Development of Samoa, the government pledged to ensure mutually beneficial partnerships with the private sector for sustainable management and development in the areas of environmental planning and policy, climate change, oceanic/coastal resources, waste management, biodiversity, and capacity building. Under key outcome VII of the SDS (improve infrastructure and services), the government also pledged a greater focus on protection of the environment through passage of the Lands and Environment Act, which would reinforce key policy statements and regulatory requirements including environmental impact assessment, biodiversity, climate change, and protection of the atmosphere. Economic valuation of environmental resources was to be undertaken, along with a continuation of environmental awareness programs. Protection



of water catchment areas was a top priority during the SDS period.

GEF support for initiatives in the climate change and international waters focal areas in Samoa are directly linked to key outcome VII. Initiatives in the climate change area resulted in increased awareness of the potential impacts of climate change on the nation's health, environment, and economy; and a complete ban on the import of ozone-depleting substances has been legislated. Under the Implementation of the Strategic Action Programme of the Pacific Small Island Developing States initiative, the pilot project for Samoa focused on protecting watershed areas in Lepa and Apolima-tai on the islands of Upolu and Apolima, respectively.

### **Support of Environmental Strategies**

The GEF-funded Marine Biodiversity Protection and Management project focused on the protection and sustainable use of marine biodiversity—an important environmental priority for Samoa. It created for the first time a physical and institutional model for larger, district-level MPAs in the country to complement the small, single-village-based MPA model initiated through an AusAID-funded fisheries project in the early 1990s.

GEF enabling activities dovetailed with the development of national policies related to Samoa's National Environment Management Strategy. For example, the country's Biodiversity Policy was developed alongside its National Biodiversity Strategy and Action Plan. Similarly, the Watershed Management Policy and Water Resources Policy leveraged the experience of Samoa's international waters project to advance their implementation.

The GEF has targeted national priorities established under Samoa's environmental strategies (that is, the National Environment Management Strategy, NBSAP, NAPA, NIP, NAP for land degradation, and others) for its support initiatives

in the country. These priorities were identified through multi-stakeholder consultative processes and have guided the government's own efforts and support to the environment in recent years. This consistency of GEF support with national priorities has fostered a sense of local ownership of GEF-supported initiatives.

### **Support of Local and National Development**

Support from the SGP is helping increase GEF visibility throughout Samoa. The SGP's flexibility and transparent access by village communities and NGOs enables the program to respond effectively to country priorities at the local/community level. The small amounts of funding involved are easily absorbed to the limited capacity of local communities, and the small community-based projects the SGP supports are more manageable, and their outcomes more easily sustainable, by local groups. These features are often lacking in medium- or full-size projects, which are usually more difficult to sustain after donor funding has ended.

All GEF projects have capacity-building and technology transfer (when necessary) components built in. Much of the capacity building that occurred in Samoa's environmental sector over the past decade or so can be directly attributed to GEF-funded projects.

The Samoa MPA project had an income-generation component, even though there was not enough time to fully develop and explore opportunities in this area. Similarly, the Uafato and Saanapu/Sataoa Conservation Area projects, with support from the GEF-funded South Pacific Biodiversity Conservation Programme, established ecotourism activities that helped generate alternative income for the communities involved.

On the negative side, some criticism was expressed about the role of outside consultants in local com-



munities. Although it is recognized that the use of consultants can help expedite compliance with requirements, this methodology fails to build local capacities.

### Country Ownership

In examining the origins and results of projects supported by the GEF in Samoa, the evaluation found that about 80 percent of these projects have originated within the country—that is, they were developed by the MNRE in consultation with other government and NGO stakeholders based on previously identified national priorities. They are thus fully locally owned, and they implement national priorities that align with GEF priorities. GEF-supported projects in Samoa have been fully integrated into the work of the MNRE, and they have been supported by the ministry’s own budget since the end of GEF funding. Regional projects such as SPBCP and Implementation of the Strategic Action Programme of the Pacific Small Island Developing States may have originated with SPREP, but they have focused on priority issues by the Pacific island countries, and demonstration sites and topics within regional projects have been responsive to national priorities.

In all cases, GEF projects have provided an opportunity to implement or build on preexisting initiatives originating in-country as national ideas and experiences evolve. Although GEF Agencies have helped improve certain operational aspects and assisted in making adjustments whenever necessary, leadership has remained in local hands

## 6.2 Relevance of GEF Modalities to Country Needs and Challenges

The consistency of GEF modalities of support with country needs is best evidenced by the extent of their use. In Samoa, all existing GEF modalities except PDF-C grants have been used, often

more than once. This reflects well on the capacity of Samoa’s institutions and organizations, the stability of its civil service, and its commitment to exploring and using available options to build on and advance its environmental agenda.

The availability of PDF funding (blocks A and B) is highly valued, because this funding frees the time and resources needed to achieve a thorough understanding of the issues and modalities of intervention. PDF funding enables countries to undertake stakeholder consultations and—where there is a lack of capacity to develop and design projects—hire expertise to help prepare project documents in accordance with GEF and UNDP guidelines. Without this funding, it would have been extremely difficult for Samoa and other Pacific island countries to prepare GEF proposals. However, the amount of time required for proposal preparation and approval needs to be reduced; this is especially true for PDF-B proposals, which on average take 18 to 24 months for regional projects and 6 to 12 months for MSP proposals.

When the Marine Biodiversity Protection and Management project was first implemented, it was suggested that a five-year implementation period was inadequate given the substantial learning curve for understanding the related complex ecology, sociology, and economics as well inculcating the significant requisite changes in community social behavior and resource management. However, through capacity development and awareness/understanding of the country’s environmental issues and concerns through the GEF and other donor-funded projects during the past several years, it is believed that Samoa now has the capacity to implement MSPs within five years or less.

Like other SIDS in the Pacific, Samoa could access the GEF either directly or through regional organizations such as SPREP. For enabling activi-

ties, the government submits proposals through UNDP and implements the projects on its own. For regional projects, proposals are developed and submitted to UNDP by SPREP, which then acts as the executing agency. Evaluations of the regional projects have shown that it is difficult to manage multiple projects involving multiple countries spread over vast ocean areas. The inherent logistical problems create unnecessary delays in project implementation (Hunnam 2002). SPREP pinpoints the real problem as the limited capacity of many Pacific island countries to implement GEF-funded projects which often have set time frames and complex additional requirements and procedures as compared to other donor-funded activities. In addition, local arrangements established for in-country project implementation are ineffective.

Despite these limitations, the regional approach is considered appropriate for dealing with transboundary issues (climate change, migratory species, invasive species, movement of hazardous waste, and so on) and for the sharing of knowledge and lessons learned. However, establishing stand-alone units within the executing agencies to manage these projects may create problems with sustainability as well as confusion because managers often have a poorly defined relationship with the executing agency and/or government agency responsible for project implementation.

Samoa, through its MNRE, has far more capacity to manage its own environment compared to many other Pacific island countries. Although the GEF may have decided to use national projects only for enabling activities in the past, there is reason to believe that Samoa is ready to move on to implementing MSPs and FSPs (although some GEF objectives—for example, international waters—may be better achieved through a regional approach).

The role played by the Small Grants Programme should be noted. The SGP provides local NGOs and community groups with transparent access to GEF support, based on processes and requirements specifically targeted to them. Local activities can thus become part of larger, more comprehensive undertakings aimed at achieving global environmental benefits.

### 6.3 Relevance of Project Outcomes and Impacts

All GEF-funded projects have contributed to increased public awareness about environmental concerns (biodiversity, climate change, land use management, waste management, and persistent organic pollutants) and to building national capacity (of individuals, institutions, and systems) to address environmental issues at various levels ranging from government to local communities. Both the MPA project and SPBCP established community-based, locally managed conservation areas that expanded the small number of existing protected areas in the country. These areas have suffered, however, from dwindling support since GEF funding ended.

GEF-funded projects enabled the development of comprehensive frameworks (policies and legislation) and strategic actions (NBSAP, NAPA, NIP, NAP for land degradation, NCSA, national reports to the various conventions, and management plans for community conservation areas), which comprise the current charter for effective management of Samoa's natural resources.

Obviously, increased capacity will enable Samoa to respond effectively to the challenges facing its fragile environment through the loss of biodiversity, climate change, land degradation, and pollution. The GEF is thus helping Samoa meet its obligations under the United Nations Convention on Biological Diversity, UNFCCC, and UNCCD.

While all GEF-funded projects in Samoa are highly relevant to the GEF mandate and focal areas, their impacts have not been fully realized for various reasons, including lack of follow-up support. For instance, the Marine Biodiversity Protection and Management project and SPBCP met their objectives by establishing four community-based and -managed protected areas in Samoa; all of these have received inadequate follow-up support since GEF funding ceased. This suggests that the GEF-funded projects, at least in the biodiversity area, may have been of a scale too complex for the government to sustain.

The Samoa NBSAP identified littoral vegetation, wetland vegetation, rainforest, and volcanic scrub as threatened ecosystems with global significance. Yet limited GEF support has been available to protect these ecosystems since the NBSAP was completed. Samoa has prepared a project concept on threatened forests in Savaii but so far has not received support from the GEF Secretariat (after more than two years of project concept preparation). In the POPs area, no follow-up GEF funding has been provided to implement the NIP which identified priorities for action in this area. The same is true for climate change: no GEF follow-up support has been received explicitly for NAPA priorities; the global Community-Based Adaptation Programme which is now starting up only provides rather small-scale support, limited to the transport sector's GHG emissions.

Overall, although the GEF invested heavily in the development of plans and strategies in Samoa, support for the implementation of these plans and strategies has been rather slow in coming. The lack of follow-up funding for the implementation of plans and strategies created through the GEF enabling activities suggests a possible mismatch between global environmental priorities in Samoa and GEF support.

## 6.4 Relevance to GEF Agencies and SPREP

### GEF Agencies

UNDP has been the main Implementing Agency for GEF-funded projects in Samoa. GEF support is particularly relevant to UNDP's country program and mandate in the areas of the environment and energy. The GEF is the main source of funding for implementation of UNDP's country program environmental priorities in Samoa. Moreover, an in-country UNDP representative notes that the Agency spends up to \$300,000 each year of its own funds in administering GEF-supported national and regional projects. UNDP recently established a UNDP-GEF adviser based in its Samoa office to support GEF activities in the Pacific and to work closely with UNDP offices, Pacific island countries, regional organizations, and stakeholders. Together with the GEF adviser in SPREP (see below and box 6.1) and the GEF consultant within the MNRE, this UNDP adviser should provide support in the implementation of the proposed programmatic approach for Pacific SIDS.

The new regional United Nations Pacific Framework for Action 2008–2012 identifies the GEF as a key partner in supporting environmental activities of the United Nations in the Pacific. The SGP already is proving to be a model for community-based interventions which UNDP and other UN agencies could support and replicate.

In future GEF support, it should be considered how to include the small island biogeographic regions and their unique biodiversity as an imminent and urgent priority.

Both the World Bank and ADB have extensive portfolios of currently active loans, accounting for a combined \$70.2 million in investments and

## Box 6.1

### Main Duties and Responsibilities of the SPREP GEF Adviser

Key tasks include (but are not be limited to):

- Assisting SPREP members in identifying environmental priorities for GEF funding
- Facilitating networking and information sharing among the GEF, convention secretariats, GEF Agency officials, SPREP, and GEF national focal points and stakeholders
- Providing briefings to those coordinating Pacific participation in the various conventions' conference of the parties, particularly on issues likely to influence or affect the GEF and future allocation of funding
- Liaising closely with GEF Agencies to facilitate relationships with Pacific island countries and improve information flow regarding opportunities and criteria for GEF projects
- Working together with the Pacific island countries and relevant partners, including regional agencies, to rationalize and prioritize regional projects for GEF funding according to prevailing and emerging GEF funding policies and strategies
- Collaborating with the GEF Secretariat, GEF Agencies, and Council of Regional Organizations in the Pacific agencies to assist with capacity building of national operational focal points, committees, and other stakeholders to improve access to, and effective and responsible management of, GEF resources
- Backstopping Pacific SIDS with the development of nationally driven projects, from concept phase to project development and implementation to monitoring and evaluation
- Developing the capacity of SPREP program officers (and other Council of Regional Organizations in the Pacific agencies where requested) responsible for coordinating the implementation of projects contributing to the major multilateral environmental agreements in understanding the relevant machinery and Activity Cycle of the GEF
- Encouraging stronger links between ongoing national and regional projects and those GEF initiatives that are developed at the regional and global levels

\$10 million in technical assistance. Even though both banks are working in areas relevant to the GEF—including cyclone recovery, infrastructure improvement, power sector improvement, sanitation and drainage, and small business development—none of their loans have included GEF cofinancing, although they do cover such areas as marine biodiversity and adaptation to climate change.

Government officials indicated that they have contacted other GEF Agencies, particularly the World Bank and ADB,<sup>1</sup> but that representatives of these Agencies said they were not interested in participating with GEF activities in Samoa. When evaluation team members contacted these Agencies (as well as FAO), they were given the following reasons why the Agencies did not work with the GEF in the Pacific:

- High transaction costs of developing stand-alone GEF activities in the Pacific
- Lack of awareness of and knowledge about the GEF, including not fully understanding the potential of GEF objectives and how they complement the Agencies' own regular activities
- Lack of internal communications within Agencies about the possibilities of GEF
- Complexity of accessing GEF funds and lengthy project preparation cycle, which is out of phase with the Agencies' own project cycles

### SPREP

SPREP has been the main executing agency for GEF-funded regional projects in the Pacific, although other regional organizations such as SOPAC and the Forum Fisheries Agency will soon



be executing other GEF-funded projects in the region.

GEF support has been relevant in meeting the sustainable development agenda and environmental priorities of SPREP member countries and the SPREP mandate. Many countries have incorporated sustainable development and the environment into their national sustainable development strategies and national planning frameworks; others have recognized the importance of so doing and are working toward mainstreaming the environment into their national sustainable development policy agenda.

SPREP's mandate is to promote cooperation in the Pacific islands region and to provide assistance in order to protect and improve the environment and ensure sustainable development for present and future generations. SPREP addresses climate change, biodiversity, land degradation, international waters, POPs, and ozone depletion, topics pertinent to the GEF mandate and focal areas.

In developing regional projects and programs, SPREP procedures require that country objectives and priorities be incorporated into the project design. Considerable consultation takes place with countries as they develop regional project proposals to ensure they are country-driven and reflect national development objectives and priorities.

The relevance of the GEF to the region is thus pervasive; it is exemplified by the community-based approach to adaptation initiated through the Pacific Islands Climate Change Assistance Project and promulgated by the Pacific Adaptation to Climate Change project as the most relevant mode for adaptation in the region.

In response to several recommendations—including from the Third Overall Performance Study of the GEF (GEF 2005) and a review of GEF support to the Pacific island countries conducted for NZAID

in 2002—SPREP, with financial support from the governments of Australia and New Zealand, created a GEF adviser staff position. The adviser was selected through an international competition in early 2007 and began work in March 2007. Box 6.1 summarizes the duties and responsibilities of this position.

## 6.5 GEF Funding and Other Development Assistance

The GEF is the main source of external financial assistance to Samoa's environmental protection and conservation needs. It contributes about 60 percent of total external funding to the country's environment sector. Samoa thus is highly dependent on GEF financing to meet its needs; this dependency is expected to continue, and perhaps increase, in the future. New Zealand and Australia have been Samoa's other major contributors in this regard, either through direct bilateral arrangements with the government of Samoa, with NGOs, or through regional assistance programs to Pacific island countries executed by SPREP and other regional organizations.

It is unrealistic to expect Samoa to be solely responsible for the financing of its global environmental obligations now or in the future because (1) part of the country's environmental problems are due to globalization forces that are beyond its control,<sup>2</sup> and (2) the country faces development problems inherent to small developing countries. Therefore, the GEF and other development assistance programs should continue to play a significant role in supporting Samoa and other Pacific island nations in their efforts to address national and global environmental concerns.

On average, ongoing technical assistance will cost about SAT 56.67 million annually (approximately \$21.8 million) over the next three years. Approximately SAT 5.08 million will be required in coun-

terpart funding; on average, an additional SAT 0.79 million will be needed for recurring annual costs over the same period. It is not clear at this point how much will be required for the environment sector during this time period (GoS/MOF 2006).

An interesting question arises regarding the incrementality and additionality of the GEF. The GEF was created under the condition that its funding be new and additional to already existing bilateral and multilateral support. According to New Zealand's and Australia's programs of assistance for Samoa, their bilateral financial support to the environmental sector is reduced because they channel their funding through regional activities, which decreases the additionality of the GEF. There have been no major increases in support from these two countries to SPREP or the GEF in the last few years. The New Zealand contribution to the GEF has remained constant from GEF-1

to GEF-4 at SDR 4, while Australia's contribution was SDR 9.68 in the GEF pilot phase, SDR 20.84 in GEF-1, SDR 23.47 in GEF-2, SDR 27.60 in GEF-3, and SDR 24.42 in GEF-4.<sup>3</sup>

## Notes

1. Government officials were not aware that FAO was now a GEF Agency with direct access (FAO staff in the Samoa office were recently made aware of this fact).
2. These include the impacts of climate change, transboundary movement of wastes and hazardous materials, the impacts of new global pandemics, and other global threats that are destructive to the country's biophysical and socioeconomic environments.
3. These figures are expressed in terms of special drawing rights (SDRs), a unit of currency used by certain international organizations whose valuation is (currently) based on the U.S. dollar, euro, Japanese yen, and pound sterling.



## 7. Efficiency of GEF-Supported Activities in Samoa

This chapter reviews the efficiency of GEF-supported activities in Samoa in accordance with the following indicators:

- Time, effort, and money needed to develop and implement a project, by type of GEF support modality
- Roles and responsibilities among different stakeholders in project implementation
- The GEF focal point mechanism in Samoa
- Lessons learned across GEF projects
- Synergies among GEF stakeholders and projects

Consistent with the findings of other GEF Evaluation Office evaluations, the foremost issue facing this type of analysis was the absence of project information. The recently completed Joint Evaluation of the GEF Activity Cycle and Modalities (GEF EO 2007) provided the most accurate information, but it is not fully applicable because it did not collect information for enabling activities, which represent half of the GEF support activities in Samoa. In general, the GEF still does not properly and systematically compile, or conduct quality control of, project data, including project cycle dates, status, and finances. Uncertainties about where projects are within the Activity Cycle remain common among national proponents. The implementation of the Resource Allocation Framework has created additional uncertainties, particularly about the fate of projects in previous pipelines.

### 7.1 Resources Needed for Project Development and Implementation

The Joint Evaluation of the GEF Activity Cycle and Modalities conducted by the GEF Evaluation Office and its counterpart entities in the GEF Agencies presented the first comprehensive analysis of how GEF projects are prepared, approved, and implemented. This evaluation is used as the main reference for this section. Given the small number of projects (and limited available data) in the Samoa GEF portfolio, not many generalizations may be derived.

#### The GEF Activity Cycle

Different project cycles pertain depending on the type of GEF modality involved. Samoa has three possible cycles, one for each project category:

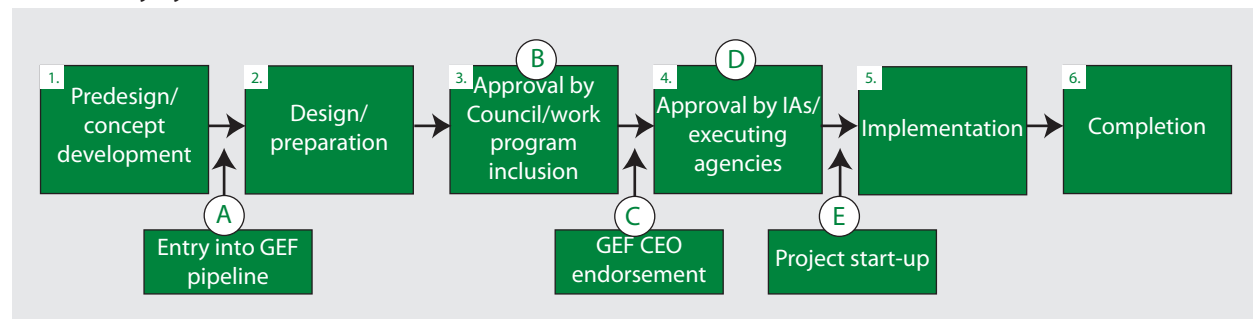
- Regular GEF projects such as enabling activities, MSPs, and FSPs
- Projects approved under umbrella global projects, including implementation of national projects or components
- SGP projects

#### Regular Project Cycle

The GEF Activity Cycle in place at the time of the Samoa evaluation for regular projects had six steps, as shown in figure 7.1. In addition, all of the GEF proponents and Agencies have their

Figure 7.1

## GEF Activity Cycle



own cycles, which overlap the GEF's. For example, UNDP's cycle includes the following overlapping and additional steps to the GEF process:

1. Concept is prepared by project proponents such as government, SPREP, and NGOs.
2. Concept is submitted to UNDP country office in Samoa.
3. Country office sends the concept to UNDP-GEF regional technical advisers in UNDP regional office in Bangkok to check for eligibility.
4. If concept is eligible, country office begins preparation of PDF application with project proponent.
5. PDF application is submitted to UNDP-GEF in New York for approval.
6. If approved, PDF begins implementation with goal being to design project and prepare UNDP project document.
7. UNDP project document is sent to UNDP-GEF in Bangkok and New York for technical review and clearance.
8. When cleared, project document is sent to GEF Secretariat for review and clearance.
9. When cleared, project document is sent to GEF Council for approval.

10. MSP or FSP is approved by Council.

11. UNDP-GEF in New York authorizes country office to sign project document with project proponent and begin implementation.
12. Project is implemented by proponent and monitored by country office, which provides reports to GEF Secretariat and UNDP-GEF in Bangkok and New York.
13. When project is completed, terminal evaluation is prepared by independent consultant and sent to GEF Evaluation Office.

The SPREP project cycle is as follows:

1. SPREP initiates the project concept and develops it in consultation with the participating countries.
2. Once the countries agree on the concept, SPREP hires a consultant to design and prepare the project document, with countries' full participation. (The preparation of the concept paper is sometimes done with support from PDF funds.)
3. Once SPREP and its member countries approve the project proposal, it is submitted to one of the GEF Agencies (for example, UNDP) for inclusion in the GEF Activity Cycle. (In the case of UNDP, the proposal enters the UNDP

project cycle at either step 1 or step 6, depending on whether PDF funds are used.)

### **Project Cycle for Umbrella Global Projects**

In the case of umbrella global projects, the GEF Council approves the large global project and delegates the approval of country activities to the appropriate GEF Agency. This was the process followed for the Biosafety/Framework and Clearing House project and the Community-Based Adaptation Programme. The projects' national components did not have to go through the GEF Activity Cycle because they were approved by UNEP and UNDP, respectively, under global project procedures.

### **SGP Project Cycle**

The processing of SGP grants is also different from the method used to process larger GEF projects. Project proposals are approved on a quarterly basis by the SGP National Steering Committee, after an initial screening by the national coordinator for their relevance to the GEF. A technical review committee is then convened to conduct a full appraisal and site visit. The committee's report is sent to the National Steering Committee for approval. Because funding for the national SGP comes from the global SGP, project approval is delegated to the national organization.

Once grants are approved, the UNDP country office is authorized by the United Nations Office for Project Services to sign memorandums of understanding and begin disbursements.

### **GEF Activity Cycle Duration in Samoa**

There are some variations in the time it takes to prepare and implement GEF projects in Samoa. Because most projects were prepared and implemented by UNDP, this discussion is based on UNDP projects.

Enabling activities take three to six months to prepare (from PDF approval to project approval), and then take three to four years for implementation; this is longer than the GEF expectation of 18 months. No information is available on how long it took to prepare the World Bank MSP, but its implementation took about five years, which is also much longer than for MSPs in other parts of the world. The final evaluation for the Samoan MSP indicated that five years was too short given the project objectives and the situation in Samoa (in terms of capacity to absorb the large amount of funding [\$920,000] and widespread implementation of an innovative approach to district-level conservation involving several villages). The regional FSPs, most of which involved 14 countries, have taken between 6 months and 2 years to prepare and up to 10 years for implementation. For example, although the South Pacific Biodiversity Conservation Project took less than 8 months to design, it took almost 16 months for UNDP and the GEF to approve the project design and ensure that it was acceptable to the GEF. This "wait-and-see" period generated negative feedback, reduced the readiness of the project for start-up, and dampened participant willingness and enthusiasm. Based on this information, the implementation of projects in Samoa, and in the Pacific in general, appears to take longer than the GEF global average.

Preparation of the national document for the biosafety project (approved within the global Biosafety/Framework and Clearing House project implemented and executed by UNEP) took about five months, not including preparation of the global project. The project's implementation took 2.25 years, which is shorter than the average for other enabling activities in Samoa.

There are not enough examples in Samoa to compare the efficiency of enabling activities approved nationally to those approved through global proj-

ects (such as the ones for land degradation and biosafety). From the viewpoint of the recipient country, global projects may seem more efficient, but the overall time it takes for an enabling activity to go through the entire GEF Activity Cycle from concept to approval is similar.

In the case of the SGP, small planning projects (up to \$1,500) take about two weeks to get approved and three months to implement. For full grants (\$20,000 to \$50,000), it takes about three weeks to refine the proposal for approval and one to three years to implement; disbursements begin less than six months after approval.

### **Barriers to Project Preparation**

The perception by national stakeholders is that GEF projects take longer to prepare than those of other donors (there are no data from other donors in the case of Samoa). Extensive information requirements and the need for multiple reviews during the preparation phase are considered to be the main reasons for the lengthy process. In particular, the GEF requirement to justify that a project will generate global environmental benefits requires additional time and resources in project preparation than is needed for other donors (which require only that projects fit with already defined national strategies). Most GEF projects take a multidisciplinary approach; this also requires more time for preparation. Finally, because local capacity is limited for preparing projects, outside consultants are needed. These consultants may not fully understand local circumstances, such as the fact that projects are required to meet the government's SDS, or the intricacies of the economic planning processes coordinated by the Ministry of Finance.

### **Costs of Project Preparation and Implementation**

The GEF provides funding for project preparation via PDFs to the GEF Agency and project propo-

nents. The funding for the responsible Agency comes from its fee (since 2006, 10 percent; previously it was 9 percent additional to the project cost<sup>1</sup>) and covers management of the project (included in the project cost and provided to the agency or institution executing the project). It can be argued that the cost of preparing and implementing national projects in Samoa is lower than in other Pacific island countries because UNDP and SPREP (and now UNEP) are located in the country, thus mitigating the region's high travel costs, which represent the lion's share of project preparation and supervision costs.

UNDP indicated that the 3 percent received by its Samoa office from the 10 percent project fee is not sufficient to develop and manage GEF projects in the three countries it oversees (plus the 14 Pacific island countries included in the regional projects executed by SPREP). UNDP's Samoa office explained that it spends about \$300,000 per year, from its own resources, to fulfill its obligations toward GEF projects. Processing a GEF project for UNDP involves 14 staff members in the country office, 3 technical advisers in UNDP GEF in Bangkok, and at least 2 personnel in UNDP GEF in New York.

UNEP has executed the global biosafety project with a 2 percent management cost (in addition to the 10 percent implementing fee given to UNEP GEF for its supervision of the global project).

Project proponents and executing agencies concur that the requirements to implement and supervise GEF projects are usually very bureaucratic. The various systems (those of GEF, its Agencies, and the government) have different requirements for project preparation, monitoring, and reporting. For example, a regional project implemented through SPREP would have reporting requirements for the GEF (annual project implementation report), UNDP (financial reporting, tripartite

agreement, and so on), SPREP (financial reporting in compliance with SPREP's accounting system and to the governing body), other donors cofinancing the project (various financial reports), and national governments (progress reports). There is a consensus that the various types of requirements should be harmonized, following the Paris Declaration for Harmonization, to reduce the burden to project proponents and executing agencies.

## 7.2 Stakeholder Roles and Responsibilities

### Who Implements and Executes Projects?

The lead GEF Agency in Samoa is UNDP. The national executing agency has been the MNRE, with SPREP executing the regional projects. To date, NGOs and community-based organizations participate only in SGP projects due to their lack of capacity to implement MSPs and FSPs.

The main reason for UNDP's predominance in the GEF's Samoan activities is its presence in the country. Nevertheless, the local office does not have lead decision-making authority in GEF matters, but must instead consult with UNDP in Bangkok and New York, which has transaction cost implications, especially as it relates to additional time in the process and additional staff involvement.

Other IA/ExAs have had limited GEF activities in Samoa, for various reasons as discussed in chapter 5.

In all GEF projects implemented by the MNRE, other stakeholders (NGOs, research institutes, the private sector, and other government ministries) participate as members of steering committees and/or are engaged in implementing some of the project activities.

### Are Roles and Responsibilities Clear?

For the most part, the roles and responsibilities for each project are clearly established in the memorandums of understanding signed between the GEF Agency and the executing agency, and then between the executing agency and its relevant partners in the project.

However, some regional projects were constrained during implementation because of unclear roles assigned to the host country lead agency (SPREP and UNDP). This lack of clarity regarding reporting requirements also affected country ownership of national activities under these projects. For the Samoa component of the international waters project, there were concerns that the MNRE took a different approach for determining its priority areas for national-level action than the approach advocated by the project coordination unit. Similarly, the lines of communication and reporting were not properly defined for the project officer, regional project team leader, and national lead agency. The extra layers of responsibilities and reporting requirements imposed by the GEF, SPREP, the lead national agency, and the communities were identified in the South Pacific Biodiversity Conservation Project and the international waters project as part of the reason for delays in implementation. Most of these challenges were ironed out during the life of the projects.

## 7.3 Lessons Learned across GEF Projects

Sharing lessons from GEF projects at both the regional and national levels has had some success. Some well-documented lessons learned originated from GEF regional projects (see box 7.1). Most lessons have been disseminated and used in other projects at the regional and national levels. In some cases, lessons were not shared. For exam-



## Box 7.1

### Lessons Learned from Selected GEF Projects in Which Samoa Has Participated

#### *Marine Biodiversity Protection and Management (Biodiversity, MSP, World Bank, National)*

- Five years is too short for an MSP that requires major increases in understanding of ecology, sociology, and economics as well as the development of significant social behavior and resource management.
- Project resources, including personnel, should be allocated across those sectoral agencies deemed vital for participation, for example, those for tourism and fisheries. If this is not done, the project will be viewed as a single-agency project, and other agencies will not see it as a priority and may not have the capacity or resources to participate in it.

#### *South Pacific Biodiversity Conservation Program (Biodiversity, FSPs, UNDP, Regional)*

- Establish and sustain a process of management planning that involves communities and generates local ownership as opposed to detailed, fixed project documents and management plans that are difficult for communities to understand and implement.
- Income-generating activities such as ecotourism can help promote local participation in biodiversity conservation. Defining ecotourism potential should include market prospects and not be based on biodiversity values alone.
- For community-based projects, start small and expand as capacity and experience develops.

#### *Implementation of the Strategic Action Programme for Pacific Small Island Developing States (International Waters, FSP, UNDP, Regional)*

- Develop clear, easy-to-follow reporting formats for progress and financial reports.
- Unless there are prospects for follow-up funding, terminal evaluations should be carried out at least six months after the end of the project to allow for better assessment of project results and impacts.

ple, the lessons on community approaches learned from the South Pacific Biodiversity Conservation Project—although well documented—were not fully utilized in Samoa’s international waters project. If applied, these lessons might have reduced the level of confusion that occurred during the latter’s implementation.

In the case of national projects, evidence indicates that the expected duration of GEF project implementation projects is too short in Samoa.

For the nationally executed enabling activities, lessons learned were fully integrated into MNRE systems and utilized by other projects. Examples of these include harmonization of some of the steering committees’ work and sharing of tasks required among the different enabling activities. Also, enabling activities adopted a consultative approach (an enabling activities initiative) for implementing most environmental activities in

Samoa whether by the GEF or other donors. This coordination was possible because (1) most of the steering committees shared the same representatives of the various stakeholders, and (2) all GEF projects to date are implemented through the MNRE.

Because the Samoa SGP has only been in operation for a little more than two years, not many lessons have emerged from these projects. On the other hand, lessons learned from national GEF-related projects, such as the effective use of steering committees and the national plans developed, have been incorporated into the coordination and management of the Samoa SGP.

## 7.4 Synergies among GEF Stakeholders and Projects

As the primary Agency working in Samoa, UNDP has a very good understanding of all GEF projects



in the country, and most of its project support falls within UNDP's country program strategy. The World Bank and UNEP have only one project each in Samoa. The evaluation thus did not see much evidence of synergy as it relates to the coordination among the GEF Agencies for projects in Samoa.

Because all GEF projects in Samoa have been executed within the MNRE, several opportunities for maximizing efficiencies and synergies are expected to emerge. As presented in box 7.1, some of the lessons were incorporated across projects within the MNRE such as close coordination among steering committees and sharing of information and resources; this suggests that these types of opportunities were exploited.

The SGP is currently using information (on the prioritization of activities, key players, and so on) that has emerged from the NAPA, NBSAP, NIP, NCSA, and World Bank-funded coastal infrastructure management plans as guidance for review and approval of its community-based projects. This input has helped the SGP become more efficient and relevant, since its projects are linked to or originate from existing planning instruments.

### Note

1. A rough estimate indicates that UNDP has received about \$300,000 in fees related to Samoa's participation in GEF projects (this is an estimate because it includes regional projects, which receive a fee for the entire project, not per country).



## Annex A. Terms of Reference

### A.1 Background and Introduction

The GEF Council has requested the GEF Evaluation Office to conduct evaluations of the GEF portfolio at the country level: GEF country portfolio evaluations. The Office conducted its first such evaluation in 2006 in Costa Rica on a pilot basis with the objective of assessing the feasibility and cost effectiveness of this type of evaluation and to develop, based on the experience, methodologies to fully implement this type of evaluation in subsequent years.

The objective of these evaluations, as requested by the Council, is twofold: (1) to provide the Council with additional information on the results of GEF-supported activities and how these activities are implemented, and (2) to evaluate how GEF-supported activities fit into the national strategies and priorities as well as within the global environmental mandate of the GEF. The Council is thus interested in using this type of evaluation primarily to assess and report on experiences across different types of countries.

There are several other reasons to conduct country portfolio evaluations in the GEF. First, although the GEF has been in existence for more than a decade, no assessments have ever been conducted of a GEF portfolio using a country as a basis for analysis, regardless of GEF focal area or Implementing Agency. Second, given the new

Resource Allocation Framework which allocates funds to countries, the GEF will need to further research and assess how the GEF is implemented at the country level. Finally, these evaluations will provide additional opportunities for the GEF Evaluation Office to collect evaluative evidence to be incorporated into other evaluations conducted by the Office or reviews conducted by the GEF Secretariat and for the Office to collaborate with the evaluation offices of GEF partners that are conducting country evaluations of their own programs and/or strategies.

Based on the experience in Costa Rica, the GEF Evaluation Office prepared standard terms of reference for country portfolio evaluations; these were approved by the Director of the Office on October 27, 2006. This document presented the objectives, main questions, scope, and methodology of the country portfolio evaluations. It is proposed that these evaluations be conducted fully and independently by the GEF Evaluation Office and, when possible, in partnership with other Implementing Agency/Executing Agency (IA/ExA) evaluation offices, governments, or NGOs. Even though every country portfolio evaluation during GEF-4 will be conducted following these standard terms of reference, particular terms of reference will be developed for each selected country. In addition to the key issues, these specific terms of reference will include particular questions relevant to the

selected country and other relevant evaluations under implementation by the Office at the time of the evaluation.

There are about 160 GEF-eligible countries. The GEF Evaluation Office cannot evaluate all their portfolios. Straightforward and transparent criteria have thus been developed by the Evaluation Office to conduct the selection of countries for each year. The criteria ensure that all of the 160 countries have a fair chance of being chosen. The GEF Evaluation Office will attempt to conduct at least two such evaluations per year. Where possible, cost efficiencies will be applied, such as combining two countries in one region or combining a large portfolio with a small one. In addition, the Evaluation Office will take into account the fact that many GEF recipient countries are presently (at the beginning of GEF-4) conducting self-assessment exercises so as to be ready for implementation of GEF-4 and the RAF. For fiscal year 2007 (July 2006–June 2007), two countries were selected for evaluation: the Philippines and Samoa.

## A.2 Objectives of GEF Country Portfolio Evaluations

The purpose of GEF country portfolio evaluations is to provide the GEF Council with an assessment of how the GEF is implemented at the country level, report on results from projects, and assess 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. These evaluations thus have the following objectives:

- Independently evaluate the *relevance* and *efficiency* of GEF support in a country from several points of view:<sup>1</sup> national environmental frameworks and decision-making processes, the GEF

mandate and achievement of global environmental benefits, and GEF policies and procedures.

- Assess the *effectiveness* and *results* of completed projects aggregated by focal area.<sup>2</sup>
- 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) the country on its participation in the GEF, and (3) the different agencies and organizations involved in the preparation and implementation of GEF-funded projects and activities.

Furthermore, these evaluations are conducted to bring to the Council's attention different experiences and lessons on how the GEF is implemented at the national level in a wide variety of countries. Country portfolio evaluations do not have the objective of evaluating the performance of Implementing Agencies, Executing Agencies, national governments, or individual projects.

## A.3 Key Evaluation Questions

GEF country portfolio evaluations are guided by a set of key questions that should be answered based on analysis of the evaluative information and perceptions collected during the evaluation exercise. These questions are as follows:

- **Relevance of GEF support and activities**
  - Is GEF support relevant to the national sustainability development agenda and environmental priorities, national development needs and challenges, and action plans for the GEF's national focal areas?
  - Are the GEF and its Agencies supporting the environmental and sustainable development

prioritization and decision-making processes of the country?

- Is GEF support in the country relevant to the objectives of the different global environmental benefits (biodiversity, greenhouse gases, international waters, POPs, land degradation, ozone)?
- Is the country supporting the GEF mandate and focal area programs and strategies with its own resources and/or support from other donors?

● **Efficiency of GEF support**

- How much time, effort, and money are needed to develop and implement projects, by GEF support modality?
- What are the roles, types of engagement, and coordination mechanisms among different stakeholders in project implementation?
- How successful is dissemination of GEF project lessons and results?
- What synergies exist between GEF project programming/implementation and GEF Agencies, national institutions, GEF projects, and the projects and activities of other donors?
- What is the level of sustainability of GEF-supported activities?

● **Results and effectiveness**

- What are the results (outcomes and impacts) of completed projects?
- What are the aggregated results at the focal area and country levels?
- What is the likelihood that objectives will be achieved for those projects that are still under implementation?

Each of these questions is complemented by a short list of indicative aspects to be explored and potential sources of information. Annex B pres-

ents a table of evaluation guidelines with these indicative aspects and sources of information.

## A.4 Focus and Limitations

The country portfolio evaluations will focus on all types of GEF-supported activities in a country at all stages of the Activity Cycle (pipeline, ongoing, and completed) and implemented by all IA/ExAs in all focal areas, including applicable GEF corporate activities such as the Small Grants Programme. The aggregate of these activities constitutes the GEF portfolio. Project status will determine the evaluation’s expected focus (see table A.1).

**Table A.1**

**Focus of Evaluation by Project Status**

Project status	Relevance	Efficiency	Effectiveness	Results
Completed	Full	Full	Full	Full
Ongoing	Full	Partially	Likelihood	Likelihood
In pipeline	Expected	Processes	NA	NA

**Note:** NA = not applicable. The main focus of the evaluation will be relevance and efficiency; it will explore possible methodologies on how to evaluate project effectiveness and results.

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

The way the GEF operates imposes several difficulties in conducting this type of evaluation. For example, the GEF does not have country programs, so there is no GEF framework against which to assess results or effectiveness. Furthermore, GEF support rarely works in isolation but

instead through partnerships with many institutions. This makes the issue of attribution difficult to determine. On the positive side, an assessment with the objectives as described above may provide important insights which may allow the GEF to become more effective at the country level and within the context of RAF operationalization.

The GEF has not yet used (as of the beginning of 2007) country strategies or programs; therefore, and in significant contrast with other agencies such as the World Bank, UNDP, and the regional banks, there is no GEF program to be used as a reference. Similarly, the GEF focal areas do not have a clear set of indicators that can be used at the country level to assess country portfolio performance.

The initiation of the RAF process is expected to lead the way toward more country programming or at least prioritization of projects or areas in which a government determines it would like to focus GEF support. The GEF Evaluation Office may encounter countries in which these exercises have been completed, which will provide an additional context in which to assess the GEF portfolio.

The inclusion of regional and global projects potentially increases the complexity of this type of evaluation, since these projects are developed and approved in a different context (that is, in accordance with regional or global policies and strategies). Given the limited time and financial resources available to conduct country portfolio evaluations, they will in principle not be included unless the project implementation unit is located in the country under evaluation. In each specific case, the feasibility of including regional and global projects and their relevance for the national portfolio will be looked at when preparing the terms of reference for the specific evaluation.

## A.5 Methodology

GEF country portfolio evaluations will be conducted by staff of the GEF Evaluation Office and international and local consultants; this will constitute the evaluation team.

The methodology includes a series of components using a combination of qualitative and quantitative methods and tools. The *qualitative* aspects of the evaluation will include a desk review of existing documentation such as GEF project documents; policy and strategy documents from national, GEF, and convention levels; relevant scientific literature; IA/ExA national strategic frameworks (particularly those related to the GEF focal areas); extensive interviews with GEF stakeholders; consultation workshops; and field visits to a few project sites. 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, and so on) and to measure GEF results (progress toward achieving global environmental impacts) and project performance (implementation and completion ratings).

The evaluation will develop different tools and protocols. For example, a *project review protocol* will be prepared to conduct the desk and field reviews of GEF projects, and *questionnaires* will be developed to conduct interviews with different stakeholders. Examples of both protocols have been prepared but will need to be adapted to the particular year of the country portfolio evaluation so as to include particular issues related to the country or to the GEF Evaluation Office work program.

Country portfolio evaluations will primarily be based on the review of existing information and on additional information gathered for the purpose of this evaluation. The expected sources of information to be utilized include the following:



- At the *project level*, project documents, project implementation reports, terminal evaluations, reports from field visits, scientific literature
- At the *country level*, national sustainable development agendas, environmental priorities and strategies, GEF focal area strategies and action plans, GEF-supported national capacity self-assessment, global and national environmental indicators, literature review
- At the *IA/ExA level*, country assistance strategies and frameworks and their evaluations and reviews
- *Evaluative evidence* at the country level coming from GEF Evaluation Office evaluations, GEF Second and Third Overall Performance Studies, and national evaluation organizations
- *Interviews* with GEF stakeholders and beneficiaries
- Information from national consultation *workshops*

The methodology for the Samoa country portfolio evaluation will include the following steps:

1. Initial GEF Evaluation Office visit to do the following:
  - Secure government support, in particular from GEF focal points. The focal point will be requested to provide support to the evaluation, such as identification of key people to be interviewed; support to organize interviews, field visits, and meetings; and identification of main documents.
  - Identify a local consultant. The consultant should qualify under the GEF Evaluation Office Ethical Guidelines.
  - Identify local evaluators/evaluation associations as possible partners in the evaluation.

2. Prepare country-specific terms of reference.
3. Collect information and conduct literature review to extract existing reliable evaluative evidence.
4. Prepare specific inputs to the country portfolio evaluation:<sup>3</sup>
  - *GEF portfolio database*, which describes all GEF-supported activities within the country, including basic information (IA/ExA, focal area), implementation status, project cycle information, GEF and cofinancing financial information, major objectives and expected (or actual) results, key partners per project, and so on.
  - *Country environmental framework*, which provides the context in which GEF projects have been developed and implemented (this framework may already be available, prepared by IA/ExAs or national governments). This document will be based on information on environmental legislation, environmental policies of each government administration (plans, strategies, and so on), and the international agreements signed by the country presented and analyzed through time so as to be able to connect with particular GEF support. The experience in Costa Rica showed that this analysis should preferably be done by an environmental lawyer.
  - *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 RAF (for

biodiversity and climate change) and others used in project documents.

5. The evaluation team conducts the evaluation, including at least one visit by GEF Evaluation Office representatives.
6. Prepare draft report.
7. The GEF Evaluation Office conducts a visit to present the draft report at a second consultation workshop with major stakeholders.
8. Prepare final report, which incorporates comments and is then presented to the GEF Council and the recipient government.

## A.6 Output and Timetable

The main output of the evaluation will be a report, the GEF country portfolio evaluation. Following GEF Evaluation Office practice, the report will be discussed with the government of the Philippines, other national stakeholders (including project staff), the GEF Secretariat, and the GEF Agencies. Comments will be requested from them on factual

issues. The final report, a document from the GEF Evaluation Office, will be presented to the Council for its information.

The evaluation will be conducted between January and May 2007, with the final report to be presented to Council at its June 2007 meeting. The key milestones of the evaluation are presented in table A.2.

## Notes

1. *Relevance*: the extent to which the objectives of the GEF activity are consistent with beneficiaries' requirements, country needs, global priorities, and partner and donor policies; *efficiency*: a measure of how economically resources/inputs (funds, expertise, time, and so on) are converted to results.
2. *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.
3. These inputs are working documents and are not expected to be published as separate documents.

**Table A.2**

### Evaluation's Key Milestones

Milestone	Deadline
1. Desk review of country and IA/ExA information	January 8, 2007
2. GEF Evaluation Office field mission to launch evaluation, present terms of reference to government and other GEF stakeholders, and conduct a few field visits	January 21–26, 2007
3. Project review protocol and questionnaires	January 31, 2007
4. Global environmental benefits assessment for Samoa	February 28, 2007
5. Desk review of all national GEF projects	February 1–March 15, 2007
6. Interviews with stakeholders	January 31–February 28, 2007
7. Draft report	March 12–20, 2007
8. First draft	March 22, 2007
9. National workshop to present preliminary conclusions and results	March 29, 2007
10. Prepare final country portfolio evaluation report, which incorporates comments from stakeholders	April 27, 2007
11. Presentation to GEF Council	June 12, 2007

## Annex B. Evaluation Matrix

Key question	Indicators/basic data	Sources of information	Methodology component
<b>Is GEF support relevant to...</b>			
Samoa's Sustainable Development Strategy and environmental priorities?	<ul style="list-style-type: none"> <li>• GEF support is consistent with SDS and environment priorities</li> <li>• GEF support has country ownership and is country based (in terms of project origin, design, and implementation)</li> <li>• Level of GEF funding compared to other official development assistance in the environment sector</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with government officials</li> <li>• Review of country reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk reviews</li> <li>• Interviews</li> <li>• National consultation workshop</li> </ul>
Country's development needs and challenges?	<ul style="list-style-type: none"> <li>• The GEF supports development needs (such as technology transfer, income generation, capacity building) and reduces challenges (for example, gaps in capacity building)</li> <li>• The GEF's various modalities, project components, and instruments (including FSPs, MSPs, enabling activities, small grants, IA/ExA blended projects, technical assistance, microcredits) are applied according to the country's needs and challenges</li> </ul>	<ul style="list-style-type: none"> <li>• IA/ExA strategies</li> <li>• Interviews with government officials</li> <li>• Project reviews</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review of relevant country-level information</li> <li>• Desk review of IA/ExA strategies</li> <li>• Interviews</li> </ul>
National GEF focal area action plans (enabling activities)?	GEF support is linked to the National Biodiversity Strategy and Action Plan, National Communication to the UNFCCC, National Implementation Plan on POPs, NCSA	<ul style="list-style-type: none"> <li>• GEF-supported enabling activities</li> <li>• Interviews with IA/ExAs, government officials</li> <li>• Project review</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review of country information</li> <li>• National consultation workshop</li> <li>• Interviews</li> <li>• Desk review of IA/ExA strategies</li> </ul>
Global environmental indicators and vice versa (biodiversity, greenhouse gases, international waters, POPs, land degradation)?	Project outcomes and impacts are related to the GEF Benefits Indexes for biodiversity and climate change and to other global indicators for POPs, land degradation, and international waters	<ul style="list-style-type: none"> <li>• Country-level information</li> <li>• Project reviews</li> </ul>	Desk review of country- and project-level information
GEF mandate and focal area programs and strategies?	GEF activities, country commitment, and project counterparts support GEF mandate and focal area programs and strategies (catalytic and replication)	<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Interviews with GEF Secretariat staff and IA/ExA technical staff</li> </ul>	Desk review of project-level information

Key question	Indicators/basic data	Sources of information	Methodology component
<b>Is the GEF support efficient?</b>			
Time, effort, and money required to develop and implement a project, by type of GEF support modality	<ul style="list-style-type: none"> <li>• Process indicators: project processing timing (according to Activity Cycle phases), preparation and implementation cost by modality</li> <li>• Preparation time considered too long; implementation time considered too short</li> </ul>	<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Interviews with government, IA/ExAs</li> <li>• Field visits</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review of project-level information and project field visits</li> <li>• Consultation workshops</li> </ul>
Roles, engagement, and coordination among different stakeholders in project implementation	<ul style="list-style-type: none"> <li>• Full participation at project preparation phase</li> <li>• Roles and responsibilities not always clear</li> <li>• Some coordination among projects</li> </ul>	<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Interviews with project staff</li> <li>• Field visits</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review of project-level information</li> <li>• Extensive interviews</li> <li>• Consultation workshops</li> </ul>
Lessons learned between GEF projects	Project design, preparation and implementation have incorporated some relevant lessons from previous projects within and outside the GEF		
Synergies among IA/ExAs for GEF support programming and implementation	<ul style="list-style-type: none"> <li>• Acknowledgment of each others' projects</li> <li>• Communication</li> <li>• Technical support</li> </ul>	<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Interviews with IA/ExAs</li> </ul>	
Synergies among national institutions for GEF support programming and implementation		<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Interviews with project staff</li> <li>• Field visits</li> </ul>	
Synergies between GEF projects and other donors' support		<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Interviews with NGOs and bilateral donors</li> <li>• Field visits</li> </ul>	
<b>What are the methodologies to measure the results and effectiveness of the GEF support?</b>			
Project level	<ul style="list-style-type: none"> <li>• Project outcomes and impacts according to GEF programs</li> <li>• Project outcomes and impacts according to national priorities</li> <li>• Attribution to the GEF</li> </ul>	<ul style="list-style-type: none"> <li>• Project reviews</li> <li>• Field visits</li> <li>• Evaluative evidence</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review of projects and field visits</li> <li>• Interviews with government officials</li> </ul>
Aggregate level (portfolio) by focal area and IA/ExA	<ul style="list-style-type: none"> <li>• Aggregated indicators from above</li> <li>• Catalytic and replication effects</li> <li>• Attribution to the GEF</li> </ul>		
Country level	<ul style="list-style-type: none"> <li>• Aggregated indicators from above</li> <li>• Overall outcomes and impacts of the GEF</li> <li>• Catalytic and replication effects</li> </ul>		

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## Annex D. Workshop Participants

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The following people participated in the consultation workshop held March 29, 2007.

- Anne Rasmussen, Climate Change Officer, MNRE  
Asenati Lesa-Tuiletufuga, AusAID Manager, AusAID  
Bismarck Crawley, Consultant, FAO  
Cedric Schuster, Consultant, Pacific Environment Consultants Ltd  
Chris Derrick, Australia Department of the Environment and Water Resources  
Claudio Volonté, Chief Evaluation Officer, GEF  
Dominique Benzaken, CNA, SPREP  
Easter Chu Shing Galuvao, Assistant Resident Representative, UNDP Samoa  
Elisaia Talouli, ACEO, CS, MNRE  
Faumuina V.S. Pati Liu, ACEO, DEC/MNRE  
Fiona Sapatu, PUMA/MNRE  
F. Vitolio Lui, Deputy Director, SPREP  
Joe Reti, Consultant, Pacific Environment Consultants Ltd  
Joe Stanley, GEF Adviser, SPREP  
Kate Brown-Vitolio, ASA, SPREP  
Leilani Duffy, GEF-SGP Samoa  
Malama Momoemausu, CERP Adviser, MNRE  
Meapelo Maiai, UNDP Samoa  
Natasha Doherty, PTCO, MNRE  
Paul Tomane, A/FAO Representative, FAO  
Suluimalo Amataga Penaia, ACEO-WRD, MNRE  
Sam Sesega, Director, Pacific Environment Consultants Ltd  
Susan Sano, STCO, MNRE  
Tepa Suaesi, Principal Terrestrial Conservation Officer, MNRE  
Tilafaga Imo, NPC-NCSA, MNRE  
Tuiolo Schuster, PCBO, MNRE  
Tolusina Pouli, PRDO, MNRE  
Tu'u'u Dr. Ieti Taule'alo, CEO, MNRE  
Uaine Lolani Silailai, ACEO, MNRE  
Vitaoa Peleiupu Fuatai, MNRE  
Will McGoldrick, CCTO, MNRE

## Annex E. People Interviewed

Potoa'e Roberts Aiafi, Consultant Specialist, HRM, Public Service Commission

Luigi Bodda, Senior Project Economist, Pacific Department, ADB

Robin Broadfield, Regional Coordinator, Asia, World Bank

Eddie Brotoisworo, Senior Safeguards Specialist, Pacific Department, ADB

Stuart Chape, Programme Manager, Island Ecosystems, SPREP

Bruce Chapman, Programme Manager, Pacific Futures, SPREP

Sara Carley, Team Leader, Pacific Group, NZAID

Roger Cornforth, Deputy Director, Strategy, Advisory and Evaluation Group, NZAID

Chris Derrick, Strategic Programmes Advisor, Australian Government

Leilani Duffy, GEF-SGP, Samoa, Manager

Keneti Faulalo, Regional Coordinator for Pacific Islands, UNEP

Easter Chu Shing Galuvao, Assistant Resident Representative, UNDP

Naheed Atiq Haque, United Nations Resident Coordinator, Samoa

Hon. Faumuina Tiatia Liuga, Minister, MNRE

Thomas Lynge Jensen, Associate Programme Specialist, UNDP

F. Vitolio Lui, Deputy Director, SPREP

Meapelo Maiai, Programme Officer, UNDP

Francois Martel, Director, Pacific Islands Program, Conservation International

Malcolm Millar, Deputy High Commissioner, New Zealand High Commission, Samoa

Hinauri Petana, CEO, Ministry of Finance

Prasad, Indra, Senior Policy Officer, Ministry of Foreign Affairs and Trade, New Zealand

T. Matairangi Purea, Pland Protection Officer, FAO

Idah Z. Pswarayi Riddihough, Lead Natural Resources Specialist, East Asia Rural Development, World Bank

Espen Ronneberg, Climate Change Adviser, SPREP

Noumea Simi, Ministry of Foreign Affairs

Joe Stanley, GEF Adviser, SPREP

Tepa Suaesi, Principal Terrestrial Conservation Officer, MNRE

Suzanne Tai, Marine Program Manager, Pacific Islands Program, Conservation International

Tu'u'u Dr. Ieti Taule'alo, CEO, MNRE

Ceri Teather, AusAID, Australian High Commission, Samoa

Takayuki Tomihara, Program Formulation Advisor, Japan International Cooperation Agency, Samoa Office

Terry Toomata, Acting CEO, Ministry of Foreign Affairs

Roina Faatauavaa Vavatau, CEO, Samoa Umbrella for Non-Governmental Organisations, Inc.

Andrea Vounteras, Regional Technical Officer, UNDP GEF

Antonie de Wilde, Coordinator, Asia Sustainable and Alternative Energy, World Bank

Sarah Wong, Programme Manager, Samoa, NZAID

## Annex F. All GEF-Funded Activities in Samoa, as of December 31, 2006

GEF ID	Country/region	Project name	Focal area	Modality	IA	Executing agency	GEF project allocation	Co-financing	Total project cost
							(million \$)		
<b>Completed</b>									
336	Regional (Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Samoa, Solomon Islands, Tuvalu, Vanuatu)	Pacific Islands Climate Change Assistance Project	CC	EA	UNDP	SPREP	2.44	None	2.44
403	Regional (Palau, Micronesia, Nauru, Vanuatu, Solomon Islands, Tuvalu, Kiribati, Marshall Islands, Fiji, Tonga, Niue, Cook Islands, Samoa, Tokelau, Papua New Guinea)	South Pacific Biodiversity Conservation Programme	BD	FSP	UNDP	SPREP	10.00	4.30	14.30
476	Samoa	Preparation of National Biodiversity Strategy and Action Plan, and First National Report to the COP of the CBD	BD	EA	UNDP	MNRE	0.17	0.01	0.18
530	Regional (Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu)	Implementation of the Strategic Action Programme of the Pacific Small Island Developing States	IW	FSP	UNDP	SPREP	12.29	8.06	20.35
656	Samoa	Marine Biodiversity Protection and Management	BD	MSP	World Bank	MNRE	0.90	0.68	1.58
850	Regional (Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Samoa, Solomon Islands, Tuvalu, Vanuatu)	Expedited Financing of Climate Change Enabling Activities (Phase II)	CC	EA	UNDP	SPREP	1.00	None	1.00
861	Samoa	Clearing House Mechanism Enabling Activity	BD	EA	UNDP	MNRE	0.01	None	0.01
875	Global	Biosafety/Framework and Clearinghouse	BD	FSP	UNEP	MNRE	0.15	0.08	0.22

GEF ID	Country/region	Project name	Focal area	Modality	IA	Executing agency	GEF project allocation	Co-financing	Total project cost
							(million \$)		
1058	Regional (Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Vanuatu, Tuvalu, Nauru)	Pacific Islands Renewable Energy Programme	CC	MSP	UNDP	SPREP	0.70	0.11	0.81
1379	Samoa	Additional Funding of Biodiversity Enabling Activity	BD	EA	UNDP	MNRE	0.22	0.03	0.25
1457	Samoa	Initial Assistance to Samoa to Meet Its Obligations under the Stockholm Convention on POPs	POPs	EA	UNDP	MNRE	0.37	None	0.37
1868	Samoa	Programme of Action for Adaptation to Climate Change	CC	EA	UNDP	MNRE	0.20	0.02	0.22
<b>Under implementation</b>									
1766	Samoa	National Capacity Self-Assessment for Global Environmental Management	MF	EA	UNDP	MNRE	0.23	0.03	0.26
2131	Regional (Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tokelau, Tuvalu, Vanuatu)	Pacific Islands Oceanic Fisheries Management Project (South Pacific Forum/Fiji)	IW	FSP	UNDP	SPF	11.64	79.09	90.73
	Global	Small Grants Programme	MF	FSP	UNDP	SGP	0.43		
2699	Regional (Cook Islands, Fiji, Kiribati, Niue, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu)	Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project (2nd phase 1058)	CC	FSP	UNDP	SPREP	5.23	20.80	26.03
2774	Global (Bangladesh, Bolivia, Niger, Samoa, Guatemala, Jamaica, Kazakhstan, Morocco, Namibia, Vietnam)	Community-based Adaptation Programme	CC	FSP	UNDP	SGP	5.01	4.53	9.54
3196	Samoa	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management in Samoa	LD	MSP	UNDP	MNRE	0.48	1.03	1.51
299	Global	Climate Change Training Phase II – Training Programme to Support the Implementation of the UNFCCC	CC	EA	UNDP	UNITAR	2.7	0.5	3.2

GEF ID	Country/region	Project name	Focal area	Modality	IA	Executing agency	GEF project allocation	Co-financing	Total project cost
							(million \$)		
<b>Pipeline<sup>a</sup></b>									
1593	Samoa	Conservation and Management of Threatened Lowland and Upland Forests of Savaii	BD	MSP	UNDP	MNRE	PDF-A: 0.025 Expected GEF support: 0.75	None expected	
2586	Regional (Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, Samoa, Solomon Islands, Palau, Papua New Guinea, Tonga, Tuvalu, Vanuatu)	Implementing Sustainable Integrated Water Resource and Wastewater Management in the Pacific Island Countries	IW	FSP	UNDP/UNEP	SOPAC	PDF-A: 0.025 PDF-B: 0.698 Expected GEF support: 12.00	1.11 <sup>b</sup>	
2734	Regional (Fiji, Samoa, Vanuatu)	Promotion of Environmentally Sustainable Transportation in the Pacific Islands	CC	MSP	UNDP	TBD	PDF-A: 0.025	No data	
3101	Regional (Cook Islands, Micronesia, Fiji, Nauru, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu)	Pacific Islands Adaptation to Climate Change Project/ UNDP Regional Office in Samoa	CC	FSP	UNDP	SPREP	PDF-B: 0.35 Expected GEF support: 11.25	70.80 <sup>b</sup>	

**Note:** BD = biodiversity; CC = climate change; IW = international waters; LD = land degradation; TBD = to be determined; UNITAR = United Nations Institute for Training and Research.

- a. Projects in the pipeline were not included in this evaluation.
- b. Expected cofinancing.



## Annex G. Management Response

This is the management response to the *GEF Country Portfolio Evaluation: Samoa (1992–2007)*, prepared by the GEF Evaluation Office. The management response has been prepared by the GEF Secretariat in consultation with the GEF Implementing and Executing Agencies.

The objective of the evaluation is to provide the GEF Council with an assessment of how the GEF is implemented in Samoa. It reports on results from projects and assesses how these projects are linked to national environmental and sustainable development strategies as well as the GEF mandate of generating global environmental benefits within its focal areas. In line with these objectives, the evaluation explores three key questions for the GEF and Samoa:

- Is GEF support relevant to the Strategy for the Development of Samoa 2005–2007, national development needs and challenges, as well as action plans for the GEF focal areas and the GEF mandate, objectives, policies, and focal area programs and strategies?
- Is GEF support efficient as indicated by the time, effort, and money it takes to develop and implement GEF projects; any particular issues related to regional projects; and synergies and partnerships between GEF projects and between GEF and government agencies as well as other GEF stakeholders?

- What are the results of completed projects, aggregated at the focal area and country levels?

We generally agree with the overall recommendations provided by the GEF Evaluation Office and are pleased with many of the conclusions of the report.

### G.1 Evaluation Conclusions

We welcome work carried out to evaluate the portfolio of 19 projects funded by the GEF in 1992–2006. We are encouraged by the conclusions reached on the relevance and results of the GEF support to Samoa and take note of the conclusions on the need for improved efficiency of carrying out projects in Samoa.

#### **Conclusion 1: GEF support has been relevant to the Samoa Development Strategy and national environmental policies.**

We are pleased that GEF support has had direct linkages to the key outcomes of the Samoa Development Strategy and that all modalities supported thus far have been appropriate to the state of Samoa's development. We also take note of the finding that the availability of funding to prepare projects has been highly valued by different GEF stakeholders, as this funding makes it possible to devote the time and resources needed to achieve a thorough understanding of the issues and modalities of intervention in preparation for a project.

**Conclusion 2: All GEF-funded projects are highly relevant to the GEF mandate and focal areas, but slow follow-up support from government sources could jeopardize the sustainability of results.**

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We are pleased with the finding that all GEF-funded projects were developed and approved on the basis of their relevance to the GEF mandate and focal area strategies. We are, however, concerned that the sustainability of project results could be jeopardized by slow follow-up support from the government.

**Conclusion 3: Enabling activities have supported Samoa in building the foundations for its environmental frameworks and strategies, which are necessary conditions for generating global environmental benefits.**

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Since the majority of GEF projects carried out in Samoa are enabling activities, we are pleased that GEF support achieved its greatest results in the area of policy and strategy development.

**Conclusion 4: Completed projects have achieved concrete on-the-ground results; however, actual reporting on results has limitations because of the poor quality of final evaluations and limited baselines.**

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We are pleased with the finding that GEF support in the biodiversity focal area enabled the conservation and sustainable management of forest and marine ecosystems. We do, however, recognize the limitations of the findings due to the poor quality of final evaluations and limited baselines but believe that the highlighting of this issue in several Evaluation Office reports and the issuance of The GEF Monitoring and Evaluation Policy (February 2006) will lead to more complete terminal evaluations of GEF projects in the future. We also recognize the complications associated with evaluating the impacts of GEF-funded initiatives.

**Conclusion 5: Samoa has improved its efficiency in accessing GEF funding, but there are still some obstacles.**

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We are pleased that Samoa has improved its efficiency in accessing GEF funding but acknowledge that there are still some obstacles. We believe that the introduction of the streamlined project cycle will help to alleviate some of these issues.

**Conclusion 6: Most GEF Agencies have not been engaged in Samoa, primarily because of the high transaction costs and limited understanding of GEF objectives and procedures.**

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We take note of the findings that the leading GEF Agency in Samoa thus far has been UNDP and that most relevant GEF Agencies now have a presence in the Pacific region.

## G.2 Evaluation Recommendations

**Recommendation 1: The proposed programmatic approach for the Pacific SIDS should take into account Samoa's experience.**

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We agree with the above recommendation that the lessons from Samoa's experience with the GEF should be taken into account when developing the proposed regional programmatic approach for Pacific SIDS for implementation in GEF-4.

Samoa has long recognized that regional cooperation is an excellent way to overcome the problems of small size and the resulting lack of economies of scale and capacity. In the field of the environment, the government has benefited from cooperation in regional approaches to regulatory issues and reducing costs of governance by sharing skills and capacity.

Considering the shared and common environmental problems faced by Samoa, the GEF proposes that in GEF-4 national projects are agreed to after considering the opportunities available

for regional synergies. Such a multifocal programmatic approach for the Pacific is meant to achieve economies of scale in gathering expertise and making it available to Pacific countries, so that each government reduces its cost by avoiding duplication of capacity that is best shared regionally. We believe a regional approach would allow countries to better address common problems and those that are transboundary in nature.

The GEF approach for the Pacific region will aim to strike a balance between efforts at the regional versus country levels. As a standard practice, GEF operations will be conducted at the country and subnational levels through national executing agencies. Regional work will be undertaken in areas where regional cooperation is needed to support and complement these country-level efforts.

The GEF Pacific program will therefore be an aggregation of nationally executed projects that

will help in reducing transaction costs, ease reporting to the GEF, and help in raising cofinancing.

**Recommendation 2: Environmental concerns, which are seen as a cross-cutting issue, need to become visible in the Samoa Development Strategy.**

**Recommendation 3: Increased participation by other stakeholders (ministries, civil society, and the private sector) in implementing GEF-supported projects will increase national capacity.**

We note that recommendations 2 and 3 are to the government of Samoa, and we look forward to helping the government implement these recommendations in the context of developing and implementing the programmatic approach for the Pacific SIDS. Annex H provides feedback from the government of Samoa.

## Annex H. Country Response



GOVERNMENT OF SAMOA

### Ministry of Natural Resources & Environment

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30 April, 2007

Monique Barbut  
Chief Executive Officer  
GEF Secretariat  
1818 H-Street,  
NW Washington D.C. 20433  
USA

Dear Ms. Barbut

#### **GEF Country Portfolio Evaluation: Samoa, 1992 – 2007**

On behalf of the Government of Samoa I wish to acknowledge the GEF Council decision to undertake the assessment of GEF programmes in Samoa by the Evaluation Office. This has been a most valuable exercise for Samoa, taking stock of our partnership with the GEF during the past fifteen years and using the lessons we have learned to determine the focus of GEF's programmes in Samoa in the future.

We have reviewed the draft evaluation report and fully endorsed its findings. In general we are satisfied that with GEF funding to date Samoa was able to put in place a broad scope of national enabling environmental frameworks including the NBSAP, NAPA, NIP, NBF and NAP with associated information management systems as well as implement capacity building and awareness programmes for the relevant stakeholders.

Parallel with this development is the growing government support for sustainable environmental management as highlighted in the integration of natural resources management functions with environmental support services under the new Ministry of Natural Resources and Environment. This has expanded staff levels from less than 25 in 1989 to over 450 today. The Ministry has also been designated the Operational Focal Point for GEF with a new local consultant for GEF Programmes appointed to work full-time in the coordination of GEF activities.

As raised in the report we also support the GEF's programmatic approach for Pacific SIDS and will be happy to share Samoa's experience in the finalisation of that programme. With the enabling and institutional frameworks now established we are confident that Samoa is more than ready for the implementation phase of its approved plans and strategies. This is expected to be mirrored strongly in the next Strategy for the Development of Samoa 2008-2010 where the environment sector will be accorded a high priority.

Finally Samoa anticipates a stronger and more fruitful partnership with the GEF in the future and looks forward to the approval of the Pacific SIDS programme and accessing financial resources under GEF4 for its implementation.

Yours faithfully



Tu'u'u Dr. Ieti Taule'alo  
Chief Executive Officer  
& GEF Operational Focal Point for Samoa

cc: Rob D. van den Berg  
Director GEF Evaluation Office

## References

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The GEF Council documents cited here (indicated with the designation “GEF/C.xx”) are available on the GEF Web site, [www.thegef.org](http://www.thegef.org), under Documents/Council Documents. GEF Evaluation Office documents can be found on the GEF Evaluation Office Web site, [www.gefeo.org](http://www.gefeo.org), under Publications.

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# GEF Evaluation Office Publications

Number	Title	Year
<b>Evaluation Reports</b>		
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
35	Evaluation of the Experience of Executing Agencies under Expanded Opportunities in the GEF	2007
34	Evaluation of Incremental Cost Assessment	2007
33	Joint Evaluation of the GEF Activity Cycle and Modalities	2007
32	GEF Country Portfolio Evaluation: Costa Rica (1992–2005)	2007
31	Annual Performance Report 2005	2006
30	The Role of Local Benefits in Global Environmental Programs	2006
29	Annual Performance Report 2004	2005
28	Evaluation of GEF Support for Biosafety	2006
	Third Overall Performance Study	2005
	GEF Integrated Ecosystem Management Program Study	2005
	Biodiversity Program Study	2004
	Climate Change Program Study	2004
	International Waters Program Study	2004
<b>Evaluation Documents</b>		
ED-1	The GEF Evaluation and Monitoring Policy	2006
ED-2	GEF Evaluation Office Ethical Guidelines	2008



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