



United Nations Environment Programme



**FINAL REPORT OF THE TERMINAL EVALUATION OF UNEP-GEF  
PROJECT ON INTEGRATING WATERSHED AND COASTAL AREAS  
MANAGEMENT IN THE CARIBBEAN SMALL ISLAND DEVELOPING  
STATES (IWCAM)  
GFL/6030-05-01**

Andrea Merla and David Simmons  
(Consultants)

Evaluation Office

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**Project Identification Table**

<b>GEF project ID:</b>	GFL/6030-05-01 UNEP52550 UNDP Atlas	<b>IMIS number:</b>	IMIS: 83400FR3PIMS: 2195
<b>GEF Strategic Priority/Objective:</b>	IW 3 – Undertake Innovative Demonstrations for Reducing Contaminants and Addressing Water Scarcity	<b>GEF approval date:</b>	23 March 2005 (UNEP) 25 July 2006 (UNDP)
<b>Approval date:</b>	UNEP/DGEF Director - 23/03/05 Decision Sheet Signature - 23/04/2005	<b>First Disbursement:</b>	23 March 2005(UNEP) 25 July 2006 (UNDP)
<b>Actual start date:</b>	23 May 2006 (UNEP) 26 July 1006 (UNDP)	<b>Planned duration:</b>	60 months
<b>Intended closing date:</b>	July 2010 (UNEP) December 2009 (UNDP)	<b>Actual or Expected closing date:</b>	June 2012 (UNEP) December 2011 (UNDP)
<b>Project Type:</b>	FSP	<b>GEF Allocation:</b>	US\$ 13.78 million
<b>PDF GEF cost:</b>	US\$ .61 million	<b>PDF co-financing:</b>	US\$ 498,625
<b>Expected FSP Co-financing:</b>	US\$ 98.27	<b>Total Cost:</b>	US\$ 112.66 million
<b>Mid-term re-view/eval. (planned date):</b>	January 2009	<b>Terminal Evaluation (actual date):</b>	January 2011
<b>Mid-term re-view/eval.(actual date):</b>	June-October 2009	<b>No. of revisions:</b>	No. 3 being finalized
<b>Date of last Steering Committee meeting:</b>	15 November 2011	<b>Date of last Revision*:</b>	January 2009
<b>Disbursement as of 30 June 2011 (UNEP):</b>	Regional: US\$ 6.68 million	<b>Disbursement as of 30 June 2011 (UNDP):</b>	Demos: US\$ 5.3 million
<b>Total co-financing realized as of 30 June 2011:</b>	US\$ 5.2 million disbursed	<b>Leveraged financing:</b>	

# Executive Summary

## Context and rationale

1. The UNEP-GEF Project On Integrating Watershed And Coastal Areas Management In The Caribbean Small Island Developing States (IWCAM) addresses one of the most challenging environmental issues globally, the sustainability of small island developing states (SIDS), appropriately defined for their vulnerability as “the sentinels of the global environment”. It is now well recognized that in the face of growing climatic variability the sustained development of small island states will increasingly depend on two related factors: protection of ecosystem services and management of freshwater resources, primarily groundwater. The challenges relate to human/climate induced alterations of the marine/freshwater interface, and to pollution of unconfined aquifers and rivers by excess nutrients and their impacts on coral reefs and other habitats.
2. To address these challenges, the UNEP-GEF IWCAM aimed at fostering the integrated management of water and coastal area resources, that is the hard, long but possibly only way to sustainable development in SIDS, particularly in the smaller and the low lying ones. In small islands river basins, aquifers and coastal ecosystems represent an obvious environmental continuum that has to be managed as such, in an integrated way. The IWCAM concept of integrating freshwater and coastal zone management in small island environments is the end result of the evolution of thinking on environmentally sustainable development in SIDS: unless small island states introduce conjunctive surface and groundwater management, and policies/practices of coastal zone utilization that consider the land use capacity and the vulnerability of coastal ecosystems to climatic and human induced stresses, they will be exposed to rapid degradation, and loss of revenues and livelihoods.
3. The thirteen Small Island Developing States of the Caribbean, beneficiaries of the IWCAM project include a variety of different and inter-linked geo-morphologic, geologic and socio-economic conditions. Three major distinctions can be made:
  - (i) Large islands, mountainous and with prevalence of ancient sedimentary rock formations; relatively high population densities with a high proportion dedicated to farming and other agricultural practices; well-developed institutional set up, with responsibilities over water, and environment, and land use planning variously distributed among various ministries (Cuba, Hispaniola, Jamaica).
  - (ii) Small low lying islands, essentially made up of Quaternary limestone of organic origin, locally high population density; mostly devoted to the tourism industry; limited agriculture, and highly vulnerable freshwater resources in shallow unconfined aquifers; well-developed governmental institutions and agencies, with an important role played by the private sector in natural resources management (Barbados, The Bahamas).
  - (iii) Small volcanic islands, mostly mountainous; low population densities and agriculture developed along coasts and in the upstream basins; abundant freshwater resources, both surface and groundwater; less developed institutional settings (Antigua, Dominica, Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Tobago).
4. These islands belong to and receive support from various regional organizations and bodies, with different roles and mandates. As far as the project is concerned, mention has to be made mainly of the Caribbean Community – CARICOM – with its technical institute, the Caribbean Environment Health Institute (CEHI), which is one of the two main project Executing Agencies, and to the Cartagena Convention and its Secretariat, the UNEP Caribbean Regional Coordinating Unit - CAR RCU, the other project Executing Agency. All

project stakeholders and executing partners in the region were very much aware that the integrated approach to development is fundamental to the sustainability of the islands, a point that the project was seeking to promote and reinforce. This shared recognition is at the basis of the commitment that brought about the project's remarkable accomplishments.

### **Design approach of the project**

5. The Objective of the project was: "To strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas, with a long-term goal of enhancement of the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis" (project document –PD- 1.9). This Objective is well formulated and in line with all the activities that constitute the project's design. The project is articulated into five components (demonstrations of IWCAM practices, establishment of indicators framework, facilitation of policy reforms, rising of awareness, and project management) and adopts a blend of regional facilitation mechanisms and of country-based on-the-ground demonstrations of good practices and simple technological solutions. Rarely in technical assistance efforts has this approach been applied so effectively as in the IWCAM project. What normally is so difficult to achieve, the overall coordination of technical assistance providers and of entities active in natural resources governance at national and regional levels, and their convergence towards a common objective, the IWCAM project has attained, at least during the second half of its implementation. The long preparation period that allowed the fine tuning of the design of the project, and the decision taken during preparation to strengthen the demonstrations component, were key to an overall successful implementation.

### **The Terminal Evaluation**

6. The terminal evaluation of the Project "Integrating Watershed and Coastal Areas Management in the Caribbean Small Island Developing States (IWCAM)" was conducted during January 10<sup>th</sup>, 2012 – April 30<sup>th</sup>, 2012 by a team of two independent consultants, Dr. Andrea Merla – Team Leader, and Dr. David Simmons – Supporting Consultant, under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), and in consultation with the UNEP Division of Environmental Policy Implementation (Nairobi). The field visits were carried out between January 17<sup>th</sup> and February 19<sup>th</sup> 2012. The zero draft of the evaluation report was delivered on March 4<sup>th</sup> 2012 and the final draft on 21<sup>st</sup> May 2012
7. **Limitations of the evaluation.** It has to be noted that the terminal evaluation took place before project closure, foreseen for June 2012, upon request of the project itself<sup>1</sup>. This fact has placed on the evaluators the burden of having to operate in the absence of well consolidated summary project documentation, especially, but not limited to financial information.
8. It is also worth mentioning that the Team Leader visited Cuba from February 8<sup>th</sup> to February 10<sup>th</sup> 2012, but – despite previous arrangements - was not allowed to meet with project personnel, or to visit the demo sites. Hence, activities in Cuba will not be part of this evaluation to the detriment of the evaluation findings which could not take into account results achieved in the country.
9. Similarly, it was not possible for the Supporting Consultant to rate the project activities in Union Island, Saint Vincent, as the National Focal Point (NFP) for Saint Vincent and the

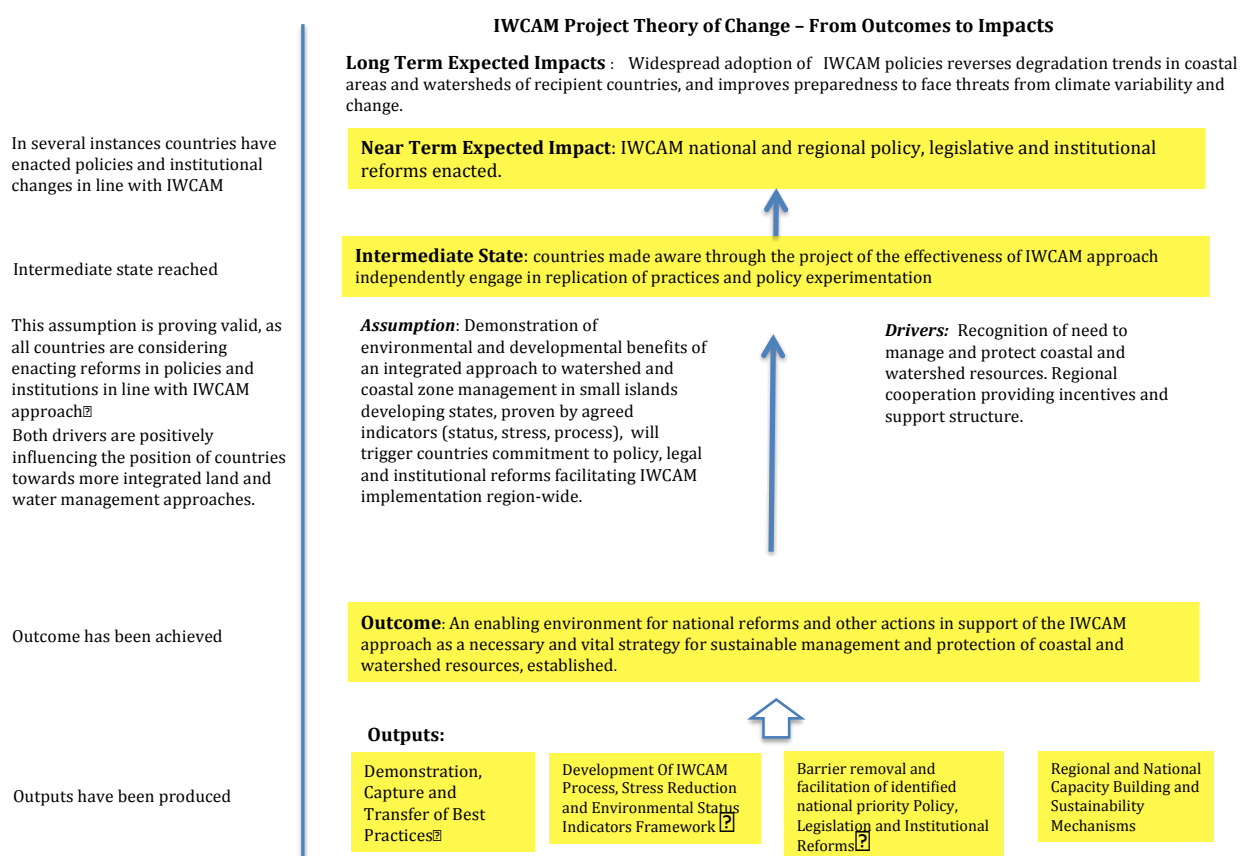
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<sup>1</sup> Reportedly, this was made in order to allow for the submission of a follow up project in time for the June 2012 GEF Council Meeting.

Grenadines did not make any provisions for the visit either to St. Vincent or to Union Island despite previous communication, including letter and phone calls to the NFP and the PS. As a result, this report is unable to make any definitive statement on the achievements or outputs of this project other than to inform on the project activities and its intended objectives.

## Findings

10. What has this project accomplished with its 5 components, over 70 outputs, 9 demonstration sites and 6 pilots, each a small to medium-sized project in itself? A multiplicity of results can be attributed to the project, both regionally and at country level, and the detailed review attempted by this evaluation is presented in the main body of this report, and in Annexes I and II. The figure below captures the stage reached by the countries, thanks also to the project, in their progress towards integrated management of environmental resources.



11. As part of this evaluation summary, it is worth concentrating on those aspects and results that appeared to the evaluation team as the main contributions and problematic areas of this project.

(i) *The project created the foundations for the application of the IWCAM approach in countries.*

During the visits paid to 11 countries involved in the project, the evaluators could take note that all the stakeholders that were interviewed, from the government level to the local communities, had gained a good understanding of the IWCAM approach and were convinced of the need to move ahead in the direction of integrated management, in particular of water resources. This new awareness was largely brought about by the visible, tangible benefits that the demonstration projects were able to deliver, and by the effective awareness campaigns and information exchanges among countries systematically conducted by the project. Those involved in the execution of demonstration projects were adequately capacitated through ad hoc training and often became “IWCAM” champions.

(ii) *The project strengthened the commitment to IWCAM of regional project executing organizations, and their capacity to sustain in time what the project has started.*

The transition period has started, and both CEHI and UNEP CAR RCU are now undergoing some restructuring and getting ready to take over the IWCAM promotion and facilitation functions so far developed by the project. Being the repository of monitoring data and Clearing House Mechanism (CHM), will be an important part of this new “role”: capacity strengthening has already been held at the CAR RCU, that will host the mechanism, for the operation and maintenance of both hardware and software, and a dedicated IT Assistant has been hired who will provide long-term continued support for the CHM.

(iii) *The project catalysed the beginning of a policy and institutional reform process.*

A number of new policies and plans, all strictly related to the IWCAM approach, have been or are being drafted and adopted by countries. They can be clearly traced back to the project action. The Land and Sea Use Plan in Andros, the IWCAM- Watershed Area Management Model (WAMM) policy adopted country-wide in Jamaica, the new Water Act in Saint Kitts, the NGO created for the management of the Font d’Or basin in Saint Lucia, the private – public partnership that will continue remediation efforts in the Haina Basin in the Dominica Republic, the Integrated Water Resources Management (IWRM) Road Maps and policy statements adopted by various countries (Antigua, Dominica, Barbados, Grenada, St. Lucia, Union Island) are examples and signs of this emerging process of change. It has also to be noted that St. Lucia is exploring policy options to mandate health centers to install rainwater harvesting systems. This is based on the experience of Hurricane Tomas in 2010. The health center in the Font D’Or watershed was the only one nationwide that had a reliable water supply after the Hurricane, as a result of the IWCAM-installed rainwater harvesting system.

(iv) *The project catalysed the initial replication of best practices across project countries.*

Thanks to an effective dissemination of experiences and stakeholder involvement effort, a well-developed and somewhat innovative communication strategy, and a proactive PCU, the project was able to foster the replication of successfully tested practices and the full consideration of lessons learned. This led in a number of cases to actual replication of management approaches and technologies. The case of Jamaica and its WAMM nation-wide policy replicating/adopting the lessons learned in Portland, the application in Grenada of the IWRM approach tested in St Lucia, the extension to other watersheds of the management scheme of the Lower Haina Basin in the Dominican Republic are signs that the project did succeed.

*12. This project clearly responded to a need felt by the countries for guidance in the all-important issue of the management of their water and coastal resources, and for support, both technical and financial, allowing them to experiment and learn.*

13. At the same time, problematic areas have been identified by the evaluation team, as follows:

(i) As the project was winding down, and as the process of transferring roles to CEHI and CAR RCU was starting, the PCU has been progressively dismantled, with staff taking over new positions and/or transitioning to other projects in the region. This is of course normal and necessary as projects come to their end. In the case of the IWCAM project however, the transition to the post-project situation, including the transfer of some of the project's roles to CEHI and CAR RCU, represents a critical step in the achievement of sustainability of project results, and as such should have been treated as a project activity, part of the Sustainability Strategy of the project. Provisions in terms of human resources, budget and time, could have been made to ensure that this activity be followed through to its satisfactory completion, the relative outputs produced and the outcome of enhanced sustainability achieved. As part of this sustainability strategy, the consolidation of the project experience in the form of a conclusive report, prepared by those that led and participated to the project (IAs, EAs, PCU, SC), including its technical, financial and management aspects, would have helped both countries and regional institutions to take stock of the IWCAM project legacy. Such consolidation of project experience would have also greatly benefited the GEF IW Focal Area, in its continuing effort to enhance portfolio learning, and global dissemination of the experiences of highly successful projects, like the one object of this evaluation. It has to be noted here that a "terminal report" – to be delivered at least one month prior to project closure - is mentioned, without qualifications, in the M&E section of the Project Document. No other reference to or requirement for a consolidated summary project report is contained in the Project Document. This is the case for many, if not the majority of GEF projects. Great benefits would be derived from the availability for all projects of final project reports, prepared according to standardized specifications.

(ii) The adoption of the IWCAM approach in the Caribbean islands, as well as its implementation, would greatly benefit from, and require the involvement and support of development financial institutions, such as the World Bank, IADB and particularly, the Caribbean Development Bank, the region's only development bank. Notwithstanding the repeated albeit generic requirements contained in the Project Document, the project failed to deliver in this respect. There are reasons which may explain, but not justify, this lack of response from the project's implementing and executing agencies. Unless financial institutions become engaged in understanding the importance of an integrated approach to management of water resources in all its many aspects, they will, at best, remain focused on more or less conventional sewage and waste collection, treatment and disposal systems. The IWCAM project offered an opportunity for the development banks to realize the full potential of integrated natural resources management in SIDS, including the need for priority investments in securing high quality freshwater supply, primarily through groundwater, supporting coastal management and sea zoning based on land/sea use capacity, and on ecosystem sensitivity and vulnerability assessments, rehabilitating coastal and water infrastructure and mitigating impacts of climate variability and change. For countries, it could have been the beginning of a dialogue on new priorities for investment and country assistance strategies, to harness more effective support from these organizations in their quest for sustainability.

### **Overall Assessment**

14. Based on the ratings assigned to the various project components and activities presented (see Overall Ratings Table), and on the considerations made above on key contributions and main problematic areas, the evaluation team has concluded that the project deserves an overall **Highly Satisfactory** rating.

### **Recommendations**

15. The evaluation team wishes to submit two main recommendations, which might be relevant for project completion, and for future IWCAM related work in the region.



1. Consideration should be given to ensuring that the experience of this very successful GEF project be fully captured in a consolidated final project report. This work might possibly be undertaken as part of project completion by the Executing Agencies with remaining project funds, if any.
2. The Executing Agencies could, as part of their newly established mandate on IWCAM, organize and facilitate periodic consultations with development banks and donors, including GEF, where countries could present their advancements, problems, plans and priorities in water and coastal area management and initiate a dialogue with potential development partners.

## **I. EVALUATION BACKGROUND**

### **A. Context**

1. The thirteen Small Island Developing States (SIDS) of the Caribbean, beneficiaries of the UNEP-GEF Project On Integrating Watershed And Coastal Areas Management In The Caribbean Small Island Developing States (IWCAM), include a variety of different inter-linked geo-morphologic, geologic and socio-economic conditions. Three major distinctions can be made:
  - (i) Large islands, mountainous and with prevalence of ancient sedimentary rock formations; relatively high population densities with high proportion dedicated to farming and other agricultural practices; well-developed institutional set up, with responsibilities over water, environment, and land use planning variously distributed among various ministries (Cuba, Hispaniola, Jamaica).
  - (ii) Small low lying islands, essentially made up of Quaternary limestone of organic origin, locally high population density; mostly devoted to the tourism industry; limited agriculture, and highly vulnerable freshwater resources in shallow unconfined aquifers; well-developed governmental institutions and agencies, with an important role played by the private sector in natural resources management (Barbados, The Bahamas).
  - (iii) Small volcanic islands, mostly mountainous, low population densities and agriculture developed along coasts and in the upstream basins; abundant freshwater resources, both surface and groundwater; less developed institutional settings (Antigua, Dominica, Grenada, Saint Christopher and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Tobago).
2. All these island belong to and receive support from various regional organizations and bodies, with different roles and mandates, As far as the project is concerned, mention has to be made mainly to the Caribbean Community – CARICOM – with its technical institute, the Caribbean Environment Health Institute (CEHI), which is one of the two project Executing Agencies, and to the Cartagena Convention and its Secretariat, the UNEP Caribbean Regional Coordinating Unit - CAR RCU, the other project Executing Agency.

### **B. The Project**

3. The Terms of Reference for the Terminal Evaluation of the IWCAM project contain a summary description of the project and of its rationale. This description is reported below, with some modifications.

#### **B.1 - Project Rationale**

4. The Caribbean region is of critical importance to global biodiversity from the point-of-view of the uniqueness of its species and habitats. The watersheds and coastal areas of the Caribbean contain some of the world's most diverse and productive habitats and encompass extensive areas of complex and unique eco-systems. The coastal areas include mangroves, coral reefs, sea grass beds and river deltas, which are an important source of food production and support a variety of economic activities such as fisheries, tourism and the related uses of recreation and transportation.
5. Many Caribbean species are endemic only to this region. Some 30% of these are now considered to be either destroyed, or at extreme risk from anthropogenic threats. Another 20% or more are expected to be lost from the Caribbean over the next 10-30 years if significant action is not taken to manage and protect them over and beyond existing activities. Caribbean SIDS have special conditions and needs that were identified for international attention in the Barbados Programme of Action for the Sustainable Devel-

- opment of Small Island Developing States. Specifically their coastal and watershed environments are strongly interlinked which strongly advises their consideration under an integrated management approach.
6. The natural resources, in particular water and coastal areas and ecosystems, of the project beneficiary states are exposed to various stresses:
    - Aquifer Degradation mainly due to lack of, or improper wastewater treatment, direct disposal of liquid wastes, including industrial, in the subsurface, overuse of agricultural chemicals, decreasing recharge rates due to increased runoff to the sea due to deforestation, overgrazing and constructions, and an inadequate knowledge of aquifer and groundwater dynamics and re-charging;
    - Reduction in Surface Water Quality and Availability that results from overuse of agricultural chemicals, water abstractions exceeding supply, and poorly planned and controlled construction;
    - Loss of Watershed and Coastal Biodiversity primarily as result of land-use conversion, changes in catchment and stream flow, loss of habitat, and over-exploitation of resources coupled with limited and ineffective protection of sensitive areas;
    - Land Degradation and Coastal Erosion caused by deforestation, overgrazing, soil erosion, inappropriate land-use practices, increasing demand for building materials, inappropriate construction practices, and increased climatic variability and frequency of extreme events.
    - There are overarching, governance-related root causes for the current status of natural resource management across SIDS including Ineffective Policy and Legislative Mechanisms, Weak Enforcement, Inadequate Knowledge, Information or Training in Integrating Watershed and Coastal Areas Management (IWCAM) related issues, Poor Management Approaches, Inadequate Infrastructure or Capacity.

## **B.2 - Project objectives and components**

7. The IWCAM project's objective is to strengthen the commitment and capacity of the 13 participating Caribbean SIDS to implement an integrated approach to the management of watersheds and coastal areas. The goal of the project is to enhance the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis.
8. The project recognises the integrated and interlinked nature of watersheds and coastal areas in small islands and aims to develop a more sectorally-coordinated management approach, both at the national and the regional level, with a strong emphasis on an expanded role for all stakeholders within a participatory management framework.
9. The project also aims to demonstrate the development of an effective regional strategy for IWCAM, in parallel with demonstrating and replicating geographically targeted national solutions to common Caribbean SIDS issues, through a series of components that capture best practices and translate these into replicable actions.
10. Component I of the project seeks to support the demonstration of actual working examples of activities that can mitigate or resolve barriers to IWCAM within a defined watershed and/or coastal system boundary. Nine demonstration projects in 8 countries (St. Kitts and Nevis, St. Lucia, Antigua and Barbuda, Bahamas, Dominican Republic, Trinidad and Tobago, Cuba and Jamaica) target national and regional hotspots. This component also seeks to ensure that valuable information on lessons and best practices are collected and disseminated for review by the regional stakeholders, that models and guidelines are derived, and that countries are encouraged to implement these models and to adopt the guidelines (where appropriate).

11. Component II focuses specifically on creating an indicators framework to monitor the long-term progress and impact of the overall IWCAM strategy for SIDS in the context of process, stress reduction and environmental status indicators as recommended by the GEF. The intention is to identify an optimal indicator framework to monitor changes in the state of the watershed and coastal environments, monitor the trends in socio-economic pressures and conditions in watershed communities and coastal towns, and to assess the efficacy of IWCAM in addressing these issues and mitigating harmful impacts.
12. Component III addresses the need for reform to policy, legislation and institutional arrangements pertinent to IWCAM. These needs have been clearly identified in the lack of appropriate and enacted policy and legislation addressing threats and their root causes represents a major barrier to successful IWCAM. For IWCAM to achieve sustainability within the region it is necessary for the countries to reform their policy and legislation to capture IWCAM concepts, especially those inherent to Multilateral Environmental Agreements.
13. Component IV seeks to foster regional integration and networking to develop active partnerships for IWCAM in the areas of public awareness and stakeholder participation, policy-level sensitisation, evolution of educational materials and new curricula, training, secondment, and the development of a long-term strategy for sustainable IWCAM at the regional level. It also addresses the need for effective community networking and involvement in project activities. The project explores the mechanisms for establishing MOUs with local communities within the countries through the efforts of the project National Focal Points.
14. Component V seeks to set up overall project management, steering, reporting and evaluation. Project management is invested in the Project Coordination Unit, which will undertake the handling of day-to-day project issues and requirements. Overall project decision-making at the policy level is the responsibility of the Project Steering Committee (PSC), which functions as the primary policy body for the participating countries in co-operation with the GEF Implementing Agencies and the Executing Agencies.

### **B.3 – Preparation and readiness: Discussion on Objective, Outcomes, and Outputs**

15. The Evaluation Team has noted the following inconsistencies in project design formulation that have relevance for the evaluation work:
  - Objective - The Objective of the Project is: “To strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas, with a long-term goal of enhancement of the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis” (PD 1.9). This Objective is well formulated and in line with all the activities that constitute the Project’s design.
  - Outcomes - The overall expected Outcome of the Project, as stated in the Project Document’s Logframe, is: “Overall national and regional reforms in support of the IWCAM approach, as a necessary and vital strategy for sustainable management and protection of coastal and watershed resources, implemented.” This outcome is overambitious. The Inception Report of the Terminal Evaluation (Annex IV) notes that: “...this outcome (enacting of national reforms) lies beyond the reach of the project that has no control over countries political decisions”. A better formulated outcome would be: “The creation of an enabling environment that facilitates national reforms in support of the IWCAM approach”. Reforms, as well as ratification of Multilateral Environmental Agreements, are a prerogative of the countries, and the project can only create an enabling capacity and awareness environment for policy changes. Moreover, the systematic adoption of IWCAM policies and practices in the Caribbean SIDS is clearly a long term process that will extend well beyond the project’s life. The formulation adopted in the Project Docu-

ment Logframe seems to be better suited to express the Project's intended impact. This inconsistency precludes the full development of the Review from Outcomes to Impact. Also the various formulations of the "Component Outcome" are over-optimistic, and the indicators identified in the Logframe for the achievement of the "component outcome" appear to be inconsistent with the actual activities developed under the component.

- **Outputs** - Outputs are not listed as such in the text of the PD. Sometimes it is difficult to extract them from the description of the activities.

#### **B.4 - Executing Arrangements**

16. The Project was jointly implemented by UNEP and UNDP. UNEP served as the Lead Implementing Agency (IA). Specifically, UNEP served as IA for Components II, III, IV and V while UNDP implemented Component I (the Demonstration Projects) given its specific expertise and value vis-à-vis its regional and country offices. These arrangements were in place throughout the project.
17. The Executing Agencies (EAs) are the Secretariat of the Cartagena Convention (UNEP CAR-RCU) and the Caribbean Environmental Health Institute (CEHI) with the Secretariat assuming the role of lead EA. Early in project execution UNOPS took on the role of executing agency on behalf of UNDP's for Component 1, essentially dealing with procurement services. Project coordination and administrative requirements are based at the CEHI in St. Lucia. At the national level, each participating country was supposed to designate a national focal point for the project and establish national intersectorial committees (NIC). NICs would capture the concepts of IWCAM and the project's objectives at the national level and would ensure complimentary activities between national strategies and policies and the IWCAM initiative. The National Focal Points would sit on the NICs, and would act as the country's representative to the Project Steering Committee.
18. Regional co-ordination and collaboration was to be facilitated through a Regional Project Co-ordination Unit (PCU), consisting of appropriate professional and support staff that would also provide technical assistance and advice to the participating countries. The PCU was to be established and operated out of CEHI headquarters in St. Lucia.
19. A Project Steering Committee was to meet annually to monitor progress in project execution, to provide strategic and policy guidance, and to review and approve annual work plans and budgets. The Committee was to be chaired by a national representative (on a rotational basis) and consist of the national focal points from all participating countries and representatives of the two GEF Implementing Agencies. The Steering Committee could decide to vary this membership through the addition of representatives from other IGOs, NGOs, and the private sector, particularly significant co-financiers. In particular, the Committee was to ensure the involvement of the Regional Development Banks and the World Bank in its deliberations both through a process of information-sharing and requested input, and through direct attendance at the Steering Committee meetings.
20. The overall regional project, through the PCU and through the approval of the Steering Committee, was to adopt a Regional Technical Advisory Group (R-TAG). The R-TAG was to advise the Steering Committee and the PCU on IWCAM technical issues within the region. Each country was to nominate a suitable technical representative to R-TAG for adoption by the Steering Committee.

#### **B.5 - Project Cost and Financing**

21. Table 3 presents a summary of expected financing sources for the project as presented in the Project Document. The GEF provides US\$ 13.78 million of external financing to the project. This puts the project in the Full-size Project category. The project was expected to mobilize another US\$ 98.27 million in co-financing, mostly from Governments (US\$

82.90), UNDP, UNEP-CAR/RCU, IGO, NGO and private sector. Table 3 also summarizes expected costs per component and financing sources.

22. The most recent Project Implementation Review (PIR) for fiscal year 2011 reports that by 30 June 2011 the project had effectively disbursed US\$11.98 million (regional and demonstration component) of the GEF grant– close to 87percent. By then, US\$ 5.203 million were disbursed from the co-financing pledges.

Table 3. Estimated project costs per component and financing source

Component	Co-financing Governments	Co-financing others	GEF	TOTAL	%
<u>Comp I:</u> Demonstration, Capture and Transfer of Best practices	\$82,299,964		\$5,474,970	87,774,934	78
<u>Comp II:</u> Development of IWCAM process, stress reduction and environmental status indicators framework		\$4,104,000	\$2,821,800	6,925,800	6
<u>Comp III:</u> Policy, Legislative and Institutional Reform for IWCAM		\$641,500	\$1,300,850	1,942,350	2
<u>Comp IV:</u> Regional and National capacity building and sustainability for IWCAM		\$11,047,029	\$804,600	11,851,629	11
<u>Comp V:</u> Project management and coordination		\$237,000	\$2,743,200	2,980,200	3

## B.6 - Project Implementation Issues

23. Given the delays at the project start-up phase, the project completion date was changed from December 2009 to July 2011. The extension was to allow the demonstration projects to be completed and lessons shared with other countries. One further extension was requested until June 2012 in order to allow for project wrap-up, uptake of experience and lessons from the project and their systematization and preparation of a follow up project.
24. A Mid-term Evaluation of the project was conducted by the UNEP Evaluation Office in June-October 2009. At that time the IWCAM project was rated overall as Satisfactory. The project activities related global and regional priorities and the implementation approach by the project, specifically the work of the PCU, were rated as Highly Satisfactory.

## B.7 - Modifications to Design Before and During Implementation

25. No major design modifications were deemed necessary during project execution, besides adjustments that had to be made to the design of several demos (Exuma, Antigua, St Kitts and Nevis, and Tobago) to account for changed circumstances at the time of effectiveness.

## C. Evaluation Objectives, Scope and Methodology

26. The terminal evaluation of the Project “Integrating Watershed and Coastal Areas Management in the Caribbean Small Island Developing States (IWCAM)” was conducted during January 10<sup>th</sup>, 2012 – April 30<sup>th</sup>, 2012 by a team of two independent consultants, Dr. Andrea Merla – Team Leader, and David Simmons – Supporting Consultant, under the

overall responsibility and management of the UNEP Evaluation Office (Nairobi), and in consultation with the UNEP Division of Environmental Policy Implementation (Nairobi). The field visits were carried out between January 17<sup>th</sup> and February 19<sup>th</sup> 2012. The zero draft evaluation report was delivered on March 4<sup>th</sup> 2012 and the final draft evaluation report on 21 May 2012.

27. The in-depth evaluation used a participatory approach whereby key stakeholders – the PCU, EAs and IAs staff, were kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods were used to determine project achievements against the expected outputs, outcomes and impacts.
28. It has to be noted that the terminal evaluation took place before project closure, foreseen for June 2012, upon request of the project.<sup>2</sup> This fact has placed on the evaluators the extra burden of having to operate in the absence of well consolidated summary project documentation, specially, but not limited to financial information.
29. The findings of the evaluation are based on the following:

A **desk review** of project documentation, including:

- Relevant background documentation, inter alia UNEP and GEF policies, strategies and programs pertaining to international waters; Regional Synthesis Report and National Reports prepared during PDF-B phases;
- Project design documents;
- Annual Work Plans and Budgets or equivalent; Project reports such as progress reports from countries to the EA and from the EA to UNEP;
- Steering Committee meeting minutes; RTAG and Steering Committee and workshop reports;
- Annual Project Implementation Reviews and relevant correspondence; demonstration projects terminal reports;
- The Mid-term Evaluation report and its rubrics;
- Documentation related to project outputs such as: documentary, website, webstream of Final Conference; newsletters, articles, brochures, technical bulletins, training manuals, community-based resource assessment toolkit, legislative toolkit, demonstration project case studies and experience notes.

**Interviews** with:

- Project management and execution support;
  - UNEP Task Manager (Washington);
  - UNDP GEF IW Team Leader (New York);
  - Country lead execution partners and other relevant partners;
  - Relevant staff of GEF Secretariat;
  - Beneficiaries of demonstration and pilot projects.
30. The evaluation TORs and the first and final draft evaluation report were shared with UNDP for comments and UNDP was kept informed on the progress of the evaluation. Key staff was interviewed by the evaluators.
  31. During the interviews, questions naturally varied according to the interlocutor. In general terms they revolved around three main topics: (i) relationships and synergies between the regional activities and Component 1 (demonstrations); (ii) sustainability mechanisms; (iii) catalytic impacts attributable to the project.

**Country visits.**

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<sup>2</sup> Reportedly, this was made in order to allow for the submission of the application for a follow up project in time for the June 2012 GEF Council Meeting.

The evaluation team visited 11 countries where the project was implemented, namely:

- *The Bahamas, including Andros and Exuma islands*, from January 17<sup>th</sup> to January 20<sup>th</sup>;
- *Jamaica, including Kingston and Portland's watersheds*, from January 21<sup>st</sup> to January 24<sup>th</sup>;
- *Dominican Republic, including Santo Domingo and the lower Haina basin*, from February 6<sup>th</sup> to Feb. 8<sup>th</sup>;
- *Cuba, including Havana*, from February 8<sup>th</sup> to 10<sup>th</sup>;
- *St Kitts and Nevis, including Basseterre and Nevis*, from February 11<sup>th</sup> to 12<sup>th</sup>;
- *Antigua, including St John's and McKinnon Pond*, from February 13<sup>th</sup> to 14<sup>th</sup>;
- *St. Lucia, including Castries and Fond D'Or*, from February 15<sup>th</sup> to 17<sup>th</sup>;
- *Tobago*, on February 3<sup>rd</sup>;
- *St. Vincent & the Grenadines, including Union Island*, from February 6<sup>th</sup> to 8<sup>th</sup>;
- *Grenada, including Carriacou*, from February 9<sup>th</sup> to 10<sup>th</sup>;
- *Dominica*, from February 12<sup>th</sup> to 14<sup>th</sup>.

For a complete list of all persons interviewed, please see Annex IX.

32. **Limitations of the evaluation.** It has to be noted that the Team Leader visited Cuba from February 8<sup>th</sup> to February 10<sup>th</sup> 2012, but – despite previous arrangement - was not allowed to meet with project personnel or to visit the demo sites. Hence, activities in Cuba will not be part of this evaluation to the detriment of the evaluation findings which could not take into account results achieved in the country.
33. Similarly, it was not possible for the Supporting Consultant to rate the Union Island, Saint Vincent, activities as the National Focal Point (NFP) for Saint Vincent and the Grenadines did not make any provisions for the visit either to St. Vincent or to Union Island, despite previous communication, including letter and phone calls to the NFP and the PS. As a result, this report is unable to make any definitive statement on the achievements or outputs of this project other than to inform on the project activities and its intended objectives.



## II. PROJECT PERFORMANCE AND IMPACT

### A) Attainment of Objectives and Planned Results

#### A.1 - Achievement of Outputs and Activities

34. The tables below present an assessment of project's achievement by demonstration projects and by outputs and activities.

Table 1: Demonstration Projects – Summary Evaluation

Country and Title	Object of demonstration	Years	Main Achievements	Funding (\$k GEF)	Overall Rating
<b>Antigua:</b> Resolution of coastal sewage and wastewater pollution through retroactive fitting of street level treatment systems, McKinnon's Antigua.	Advantages of sewage gathering and treatment in urban areas	6	A Membrane Bio-Reactor (MBR) sewage treatment plant with the capacity to treat 20,000 gallons per day of sewage was installed, and McKinnon pond partly rehabilitated. Connections to be completed.	560.3	MS
<b>The Bahamas:</b> Developing a Land and Sea Use Plan for Water Recharge Protection in Andros Island	Land use planning as a means of groundwater recharge protection	4	The Land and Sea Use Plan prepared and accepted by local communities thanks to extensive local consultations. Focus on groundwater partly lost since freshwater shipments to Nassau were discontinued in 2011.	560.3	S
<b>The Bahamas:</b> Wastewater Management at Elizabeth Harbor Marina - Exuma	Ship waste management in one of the Caribbean busiest harbors	4	Collection, treatment and disposal systems in place, together with strategy and management body.	579.5	S
<b>Dominican Republic:</b> Mitigation of Impacts of Industrial Wastes on the Lower Haina River Basin and its Coast	Addressing one of the major hot spots of pollution in the Caribbean through policies, community participation, and partnerships with industry	4	The project resulted in the creation of the permanent <i>Management Committee for the Lower Haina River Basin</i> for the application of IWCAM (CDM-HAINA) (Dec. 2011), and of the <i>Inter-ministerial Consultative Committee for the mitigation of the impacts of industrial developments in the Lower Haina Basin</i> (January 2012)	520.4	HS
<b>Jamaica:</b> An integrated approach to managing the marine, coastal and watershed resources of East-central Portland	Integrated watershed and coastal management practices	4	In March 2010, all relevant Government agencies, Ministries, and CBOs and NGOs signed an MoU that "shall govern the manner in which Sustainable Watershed Management is implemented in Jamaica's Watersheds using the GEF – Integrating Watershed and Coastal Area Manage-	601	HS

			<i>ment/National Environmental and Planning Agency - Watershed Area Management Model (WAMM)...</i> ". The MoU extends to the entire country. NEPA will be the Secretariat for WAMM, tasked with monitoring and dissemination.		
<b>Saint Lucia:</b> Protecting Watershed Services and Developing Management Incentives in the Fond D'Or Watershed Area in Saint Lucia	Participatory watershed management approach	5	The project has resulted in the fast-tracking of the Water Resource Management Agency, the preparation of a Strategic Plan for Agency and facilitated the establishment of a legitimate community-based NGO dedicated to continuing the management work on their own, and neighbouring communities to ensure the entrenchment and enforcement of existing policies.	571.2	HS
<b>Saint Kitts and Nevis:</b> Rehabilitation and Management of the Basseterre Valley as a Protection Measure for the Underlying Aquifer	Groundwater recharge area protection	3	The project has facilitated the establishment of, and produced a Management Plan for the Liamuiga National Park, which has been adopted by government. In addition, the project prepared a new draft Water Act, incorporating IWCAM principles and consideration of groundwater.	530.7	HS
<b>Trinidad and Tobago:</b> Land-Use Planning and Watershed Restoration in the Courland Watershed and Buccoo Reef Area in Tobago	Reversing coastal degradation	4	The artificial wetland wastewater treatment, the reforestation program, as well as the monitoring techniques introduced by the demo will likely be sustained due to the interest demonstrated by several of the stakeholders, including the THA, the Private Sector and the NGO community.	673	HS

Rating scale: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU).

Table 2: Achievement of outputs and activities

Component	Outputs	Evaluation
I	DEMONSTRATION, CAPTURE AND TRANSFER OF BEST PRACTICES	

1.1	Demonstration Implementation	<p>All demonstration projects foreseen in the Project Document have been executed. The Evaluation Team has made a particular effort to report in detail on the execution and results achieved on the ground in the countries, including demos and hot spot pilots. The results of this in depth evaluation are an essential part of this Terminal Evaluation and are reported in Annex I and II, and summarized in the table 1: Demonstration Projects - Summary Evaluation.</p> <p>No evaluation was possible of the Cuba demo, since the evaluator was not allowed to visit the site and interview project stakeholders despite previous arrangements. Similarly, it was not possible for the Supporting Consultant to rate project activities in Union Island, Saint Vincent, as the National Focal Point did not make any provisions for the visit, despite previous communication.</p>
	Initiation & management of demonstration projects	<p>All demos suffered some initial delay in startup, due to (i) the need to readjust the design to the realities on the ground at the time of effectiveness, years after the demo design (all demos); (ii) the contracting of project managers, which in a number of cases originated further delays; (iii) the confirmation of co-financing and partners. In a few cases the delay was substantial (Bahamas Exuma, Antigua) and required action from the part of the SC. All issues were eventually resolved satisfactorily, and at the time of the Terminal Evaluation only the demo in Antigua had still to conclude operations (expected completion date June 2012). The management of the demos was entrusted entirely to country agencies/organizations, with UNOPS acting in the background as procurement agency. This arrangement proved very effective in securing maximum country ownership of the demos. The strong commitment of country executing entities, the role of demo managers – who often became the IWCAM champions in the country – and the continuous and flexible support provided by the PCU, appear to have been the factors determining the success of the Component. The PCU and the countries executing entities demonstrated capacity to exercise adaptive management throughout the duration of the Component, and this was the key of the successful completion of practically all demos.</p>
	Development of complementary MSPs and non-demo hotspot concepts	<p>No complementary Medium Size Project for GEF submission has originated from the Component. In several instances however (Jamaica, Dominican Republic) the demo produced detailed proposals for replication of the demo's practices in other sites, or for upscaling. These proposals are presently being submitted to Governments and donors for funding. Non-demo hotspots small "pilots" were designed and executed in islands not involved in the demo effort (Grenada, St. Lucia, St. Vincent, Dominica, Carriacou and Union Isl.), funded through small grants from Component II (see detailed evaluation in Annex II).</p>
	Demo Project support (Monitoring and Evaluation)	<p>Specific guidance was provided by the PCU on demo reporting to SC and R-TAG meetings, and the advancements were monitored regularly by the PCU, which intervened whenever deemed necessary, and by NICs or equivalent bodies.</p>
1.2	Capture of Lessons and Best Practices	<p>A special effort was made to disseminate the results being achieved through experience notes, publications, presentations at national, regional and extra-regional meetings, videos and media coverage and press releases. This was achieved under this Component with support, technical and financial, from the PCU and from the Executing Agencies.</p>

	Review and capture existing best lessons and practices	Close monitoring of demos by the PCU, SC and NICs allowed the early identification of lessons learnt and best practices. A guideline paper for the identification of lessons and best practices was prepared in 2009 (see also IW LEARN website). This resulted in the publication of 8 Experience Notes which were broadly disseminated including through the IW LEARN website. The Notes are well conceived and effective, and address key aspects of IWCAM.
	Review of reports from Demo projects	All demo projects prepared their Terminal Reports following, with flexibility, a standard format. Some are more informative than others (e.g.: Cuba), but all responded to the minimum requirements set by the PCU. Cuba's reports showed the completion of fully successful on the ground activities, within a context of appropriate policies that were already in place country-wide.
	Reports from R-TAGS on general IWCAM lessons and practices	R-TAGS meetings considered the issue of extracting lessons and experiences as the project advanced, and meeting reports were part of the selection process.
	Development of and access to a project database	The project database is operational and fully accessible. Its architecture and implementation was the object of specific consultancies. All reports, presentations and other material produced by the demos have been uploaded and are relatively easy to retrieve. A possible improvement would be the consolidation of all documents/data pertaining to each specific demo in a single entry point.
	Input of information into clearing house	Input of data relating to demos is basically completed, apart from final information on Antigua. Since activities have been catalysed in almost all demo sites and countries, it would be very useful if the final recipient of the CHM, which is CAR RCU, would continue to monitor and provide updated information on developments.
	Regional stakeholder review of lessons and practices from Demos and general IWCAM approaches through Partnership Forum	No clear activity/product was identified for this expected output.
1.3	Transfer and Replication of Lessons and Practices	Replication of best practices is already occurring at the country level as well as regionally (e.g.: Grenada is adopting IWRM practices tested in St. Lucia; Jamaica is extending to the whole nation the IWCAM approach tested in Portland; in the Dominican Republic, work is being expanded to the upper Haina basin; etc.). This happened mainly due to the systematic communication activities and the dissemination of results being achieved by the various demos. The quarterly bulletin was instrumental in triggering the initial interest that eventually led to replication. The project also facilitated and encouraged informal and peer-to-peer collaboration between the demo projects and the participating countries.
	Development of mechanisms for transfer of lessons and best practices throughout re-	Dissemination of lessons and best practices developed by the project was effective, and followed several lines of action: annually, through the SC meetings and the RTAG meetings (attended by all countries at high government level); through the website/CHM, which was regularly updated; and through Experience Notes and

	gion	the Waterways Bulletin.
	Development of Website Pages	The project website has been a dissemination tool and contains a wealth of information concerning demos and other project activities. Apparently there were no mechanisms in place to monitor use of the website (number of hits, etc.).
	Linkages to IW:LEARN	Main IWCAM results can be found on IW LEARN website; the project also featured prominently at GEF biannual International Water Conferences.
<b>II</b>	<b>DEVELOPMENT OF IWCAM PROCESS, STRESS REDUCTION AND ENVIRONMENTAL STATUS INDICATOR FRAMEWORKS</b>	
2.1	Review IWCAM indicators	The review was conducted early on in project life (2009). It produced two reports: The Capacity Assessment, and the Indicators Template. The Assessment concludes that while the countries do not have monitoring programs and indicators mechanisms specifically linked to an IWCAM framework, a number of them plan to or have been developing indicators within other national frameworks which are pertinent to IWCAM. All the countries have some basic elements for developing IWCAM indicators mechanisms. This work was useful in providing a baseline for future monitoring activities.
	Review national and regional Environmental Status Indicator mechanisms	Most of the existing monitoring mechanisms relate to the environmental status of 12 themes/categories, which reflect the main issues of relevance to IWCAM, and which cover some of the main sustainability concerns of the countries. Coverage and capacities are uneven among countries.
	Review national and regional Stress Reduction Indicator mechanisms	GEF IW Stress Reduction indicators relate to measuring/estimating the actual impact of specific mitigation/reduction/rehabilitation measures. In this sense none of the countries, prior to IWCAM, were engaged in similar exercises. The review was hence useful in introducing this new conceptual framework for environmental monitoring.
	Review national and regional Process Indicators	These types of indicators were not considered by countries.
2.2	Develop National Indicator Templates	The Assessment contains templates for each of the three categories of GEF IW indicators, to be adapted and applied at the national level. The total number of proposed core indicators may appear excessively high: 149. The indicators in the template however, were selected based on existing national, sub-regional, regional, and international frameworks – therefore developing an indicators mechanism should not have placed an added burden on the PCs. The Templates were presented to the countries in a workshop held in 04/2008 and the conclusion was to proceed according to project design to the pilot testing the scheme in one country (Barbados, see 2.5), and to conduct a laboratory assessment in all 13 countries to support monitoring efforts. This work was carried out and in at least one case brought to the upgrading of the laboratory capacity (Nevis).

	Harvest information from Demonstration Projects on Environmental Status indicators	Demos have undertaken extensive baseline assessments which may represent the starting points for the agreement on, and implementation of GEF IW Environmental Status Indicators (ESI): in Andros (2010), in the Lower Haina Basin, and others. It appears however that the Assessment (May 2008) preceded the development of most of the demos, and could not take stock of the experiences.
	Develop and disseminate templates for Environmental Status Indicators	A Template for ESI was prepared and distributed to countries (65 core indicators, 11 supplementary ones).
	Harvest information on policy and legislative process and stress reduction indicators from 4.2 and Demonstration Projects	Progress is reported in relation to measurement of process and stress reduction in a number of countries, such as Jamaica, Cuba, Dominican Republic and Dominica. There however was no feed back to the regional indicators work, which preceded the demo work. Evaluators could note in some countries a lack of understanding of the meaning of stress reduction.
	Develop and disseminate templates for Process and Stress Reduction Indicators	Templates were prepared and disseminated, including 73 core and 28 supplementary proposed SRI, and 11 core process indicators.
2.3	Undertake National Hotspot Diagnostic Analysis	It appears that a Hot Spot Analysis (rather than H Diagnostic A) served to identify sites/topics of particular interest in the four countries where small pilot projects were implemented. In March 2011, the GEF-IWCAM Project through UNEP CAR/RCU successfully completed national hotspot analysis (HSA) and related activities in non-demo islands (Dominica, Grenada, Haiti, Saint Vincent, and Saint Lucia.
	Identify national 'non-demo' Hotspots and Sensitive Areas and their IWCAM problems and root causes	See Annex II for the in depth evaluation of the visited pilots in Dominica, Saint Vincent, Grenada. No final HSA report was found among project documents made available to the team, nor documents describing the intended activities for each pilot.
	Identify required reforms	This was not done in a systematic way, or captured in a report. Only the "Toolkit for institutional, Policy, and Legislative Improvements" contains some reference to this.
	Develop Concept papers for follow-up activities	Not systematically done. See Annex II.
2.4	Indicator Coordination and Training	An important effort was made by the project to promote the use of the IW GEF Indicators. The GEF International Waters Annual Project Performance Results Template contains the consolidated reporting on process, stress reduction and environmental status indicators on each demo project based on reporting by countries.
	Establish a regional centre for storage of indicator-related in-	The Regional Technical Advisory Group (RTAG) discussed possibilities for building on the indicators work completed by the project. Some ideas included: a regional center of excellence for indicators

	formation	training, virtual training in indicators development, on-line tutorials, and regional trainings. Various nodes for the data and centers of excellence were considered such as the Caribbean Institute for Meteorology and Hydrology (CIMH), CEHI, UNEP/CAR-RCU, the University of the West Indies (UWI), and other universities in Cuba, the Dominican Republic, and Haiti. UNEP CAR-RCU was identified as the repository. A Clearing House Mechanism (CHM) is being established as part of the Project Monitoring and Information System (PMIS) adopting the GeoNetwork Opensource software. It is expected to be operational by Mid-2012.
	Develop regional centre as a Centre of Excellence for Indicator Training	No information on this activity was made available to the evaluation team.
	Training for stakeholders in application of process, stress reduction and environmental status indicators	One regional workshop, and several national events were dedicated to this training. While this training has given country executing agencies a first idea of GEF IW monitoring framework, it is planned that UNEP CAR RCU will continue building the countries monitoring capacity.
2.5	Indicator Demonstration	The project established in Barbados, one of the top 20 water scarce nations on Earth, an internet based Water Resources Indicator System (ESI only) which may represent a globally replicable practice for low lying islands fully dependent on groundwater.
	Establishment (including capacity building) of IWCAM process, stress reduction and environmental status indicator monitoring system in one country using new templates	The SC 2008 meeting decided to test the indicators framework in Barbados. An agreement was signed between UNEP-CAR/RCU and the Government of Barbados, on behalf of the project, to pilot test the GEF-IWCAM indicators template. As a product of this agreement, a web-based integrated water resources management (IWRM) Information System has been designed and deployed. Datasets are specific for Barbados and relevant for the application of OECD Water Resources and Water Quality indicators, integrated with additional socio-economic data. No evident link with the Template developed under 2.2. which had been however provided as a guide in identifying the indicators Barbados was going to track.
<b>III</b>	<b>POLICY, LEGISLATION AND INSTITUTIONAL REFORMS</b>	
3.1	Review of national policy, legislation and institutional structures	The project did a major effort to facilitate the achievement of the project's overall expected outcome. The review work built on work done during the long preparation phase.
	Reviews of national policies and structures Identification of barriers to IWCAM	This assessment has informed, and is subsumed in the Legislative Toolkit.
3.2	Development of models and guidelines	The guidelines produced by the project represent a major accomplishment, which might impact SIDS policies globally.

	Consolidation of inputs and lessons from national reviews, etc.	All activities and products under this expected output have been consolidated in the “Toolkit for Institutional, Policy, and Legislative Improvements” aimed at fostering the IWCAM approach in Caribbean SIDS. The Toolkit has been instrumental in achieving some of the policy and institutional reforms enacted in the demo countries.
3.3	Programme for regional policy, legislative and institutional reform	The program was instrumental to achieve the entry into force of the LBS Protocol.
	Initial Workshop to discuss IWRM strategy, assistance and adoption of standard regional approach Parallel development of incentives, and awareness of the need for SIDS to ratify those IEAs, Conventions and Treaties pertinent to IWCAM (Especially Cartagena Convention and Protocols)	Antigua/Barbuda, the Bahamas, and Saint Lucia ratified the LBS Protocol during the project life. Trinidad had ratified the LBS Protocol prior to the start of the full project. The Dominican Republic, Grenada, Dominica and Jamaica are all very close to ratification. Bahamas’s ratification brought the Protocol into force.
3.4	Development of IWRM and Water Use Efficiency Plans	Support for participating countries in the development of IWRM policies, like Plans or Road Maps, and strategies were a focus throughout the project life.
	Initial Workshop to discuss IWRM strategy, assistance and adoption of standard regional approach National IWRM plan development process Workshop to present all IWRM and Water Use Efficiency plans (13) to the Steering Committee for comment and feedback Development and adoption of an implementation strategy for other funding agencies and partnerships	<p>The outputs at the national level of these activities have been:</p> <p><u>Antigua and Barbuda</u>: Support for adoption of IWRM Roadmap and Policy by senior policy-makers; drafting of Strategy for Wastewater Treatment and Sewage Management.</p> <p><u>Barbados</u>: Finalization of IWRM Roadmap</p> <p><u>Bahamas</u>: Support for IWRM Awareness-raising; Ministry of Environment adopts the Land and Sea Use Plan for Andros Island.</p> <p><u>Cuba</u>: four national dialogues across the country on IWRM and awareness raising</p> <p><u>Dominica</u>: LBS Implementation training Workshop. Development of Roseau Watershed Management Planning Initiative; a National Integrated Water Resources Management Policy and a guideline for ratification of the LBS Protocol; IWRM-based community-based resources assessment training used as contributory material for the community-based resources toolkit.</p> <p><u>Dominican Republic</u>: IWRM / LBS Stakeholder Consultation.</p> <p><u>Grenada</u>: Implementation of St. John’s Watershed Management Planning Initiative; finalization of IWRM of Road Map.</p>



		<p><u>Jamaica</u>: Support for revision of Watershed Protection Act and preparation of regulations; support to national dialogue on IWRM.</p> <p><u>Saint Kitts and Nevis</u>: Ongoing support for the development of a National Water Policy.</p> <p><u>Saint Lucia</u>: Finalization of IWRM Roadmap and advocacy for IWRM among policy-makers.</p> <p><u>Saint Vincent and the Grenadines</u>: Implementation of four (4) community-based IWRM Projects which resulted in direct impacts within communities, including improved access to water and environmental enhancement</p> <p><u>Trinidad &amp; Tobago</u>: National dialogue on IWRM and coastal zone management in partnership with NOAA</p>
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IV	REGIONAL AND NATIONAL CAPACITY BUILDING AND SUSTAINABILITY	
4.1	Awareness and Sensitisation	<p>The IWCAM project generated heightened awareness on IWCAM related activities among major stakeholders at both the Regional and National Level including the political directorate, the media, decision-makers, technocrats and community groups through the convening of national and regional training workshops on various topics, including a media training workshop, in the respective member countries. An important vehicle in awareness raising and sensitisation was the quarterly publication of the newsletter “Caribbean WaterWays” and the website hosted by IWCAM. Both these mediums were used to disseminate information about the project to participating member countries, partner organizations and the general public. Though there were no specific mechanisms in place to measure the effectiveness of these information sharing tools, the evaluation team (i) could verify during the country visits the satisfactory extent to which the bulletin was circulated and used not just by the demo executing staff, but also by schools and stakeholders, and (ii) assess the high quality of the website, a true communication platform now evolving into a PMIS and CHM.</p>
	National & Regional Workshops on needs and target audiences Multisectoral awareness campaign with feedback mechanisms	<p>GEF-IWCAM played a major role in the CEF-5, as its Partnership Forum. The event involved over 200 participants, including two Prime Ministers and the Deputy Executive Director of UNEP. It also involved a Youth Environmental Forum, sponsored by IWCAM, an exhibit of all IWCAM Demos, live webcast of selected sessions and a tree-planting ceremony. Partners included CEHI, OAS, GTZ, USEPA, CDC, Clean Islands International and private exhibitors. Partners from the Pacific Islands also participated in this event.</p>
4.2	Stakeholders Involvement	<p>From the very beginning, the project received the endorsement of countries, several of which pledged counterpart funding. Over the life of the project the list of stakeholders varied from governmental personnel and private sector entities, to community groups. Stakeholder involvement was extensive throughout the Project. Among the most notable and more formal involvement of stakeholders were the following: In Jamaica, the Drivers River Stakeholders Group engaged stakeholders in East Portland through four sub-committees: Governance and Enforcement; Sanitation and Livelihoods; Environmental Monitoring; and Public Awareness. In the Dominican Republic, the Private Sector participated in an extensive</p>

		<p>survey of industrial practices in the Lower Haina River Basin, as well as identification and implementation of Cleaner Production Mechanisms planned for the short, medium and long-term. In Saint Lucia, the Mabouya Valley-based Watershed Management Committee, responsible for motivating and mobilizing the wider community to participate in several activities, took the initiative to transform itself into an NGO, the Trust for the Management of Rivers, to promote, implement, and ensure sustainability of the IWCAM approach after the project was finished. In Tobago, the Anse Fromager Ecological Environmental Protection Organization (AFEPO), a community group largely dedicated to clean-ups and fighting wild fires on the hills of the Courland Watershed became involved in all planning and execution activities for the Watershed's reforestation effort. In Saint Vincent, IWRM Community Pilot Projects in four communities - Chateaubelair, Greggs, Spring Village, and Vermont - worked to increase public awareness of watershed issues and implement activities aimed at mitigating water pollution while providing improvements to communal facilities.</p>
	Identify, strengthen and involve stakeholders	<p>Various initiatives were undertaken to involve stakeholders. These included training workshops and capacity building activities such as the publication of a document on Community based Resource Assessment, which was then followed up with a series of workshops on capacity building. A representative of each of the participating member state also sat on the PSC, and RTAG. This ensured that stakeholders were continuously involved and engaged in the decision making processes and rolling out of program activities throughout the existence of the project.</p>
4.3	Education & Training	<p>The project produced a significant amount of technical materials which provide participants with useful knowledge, but more importantly, information which can be used to further entrench the principles of IWCAM. Much of that information was delivered at national and regional workshops convened throughout the tenure of the projects. The following were among the various workshops convened:</p> <ul style="list-style-type: none"> <li>▪ GEF-IWCAM GIS Regional Workshop, 5 - 6 July 2007, Tobago,</li> <li>▪ IWRM Workshop, 28 September 2007, Dominica</li> <li>▪ GEF-IWCAM Regional Workshop on Policy, Legislation and Institutional Structures, Legal Workshop, 27 - 28 November 2007, Nassau, the Bahamas.</li> <li>▪ GEF-IWCAM Workshop on Communications, Public Education and Outreach for Integrated Watershed and Coastal Areas Management 12 - 13 February 2008</li> <li>▪ Workshop to Discuss Integrated Management of Saint Lucia's Watersheds and Coastal Areas, 12 August 2008</li> <li>▪ GEF-IWCAM Project Management Training, 21 - 25 September 2009, St. Lucia</li> <li>▪ Coastal Aquifer Management in Small Island Developing States (SIDS) of the Caribbean: Challenges and New Directions, October 11 - 12, 2010, Saint Kitts and Nevis.</li> </ul>

		<ul style="list-style-type: none"> <li>▪ GEF-IWCAM Training Workshop - Responding to RFP's - Writing Effective Proposals (2010-2011) Trinidad and Tobago, Antigua and Barbuda.</li> <li>▪ GEF-IWCAM Community-Based Resource Assessment Train-the-Trainer Workshop Roseau, Dominica 12-14 April 2011</li> <li>▪ GEF-IWCAM/CLME (in association with Caribbean Media Workers) Media Workshop 17 - 19 May 2011, Port of Spain, Trinidad and Tobago</li> <li>▪ Environmental Impact Assessment (EIA) Review Training Workshop, 07 – 09 June 2011, Kingstown, Saint Vincent and the Grenadines</li> <li>▪ LBS Awareness and Implementation Workshops and Meetings in Dominica, Grenada and St. Vincent and the Grenadines.</li> </ul>
	<p>Educational Workshops (linked to Awareness Workshops)</p> <p>Production of educational materials and incorporation into regional curricula</p> <p>Identification and implementation of training needs and regional training networks.</p> <p>Regional training workshops &amp; networking through IW:LEARN Inter-country secondment</p>	<p>Training has been an integral feature of the project and was provided to assist in building capacity in several areas. Demo project personnel and laboratory technicians from the water agencies in the participating countries were provided with training aimed at improving their technical capacities. Member countries were also provided training in Proposal Writing, Communications, Project Management and EIA Review. Among the various materials produced are:</p> <ul style="list-style-type: none"> <li>✓ The Toolkit for Institutional, Policy and Legislative Improvements; GEF-IWCAM Indicators Assessment and Template;</li> <li>✓ The Community Based Resource Assessment (CBRA) Tool and Facilitation Manual;</li> <li>✓ Environmental Impact Assessment Review Training Workshop Manual;</li> <li>✓ Manual on Responding to RFPs – Writing Effective Proposals;</li> <li>✓ Policy Makers Briefing Sheets;</li> <li>✓ A series of IWCAM Brochures for the general public, the agricultural sector, the industrial sector and the tourism sector.</li> </ul> <p>Following the publication of the Community Base Resource Assessment manual project personnel in all the participating countries were provided with training in the application of the principles. The CBRA is a multimedia tool, involving the use of video, photos, and web-links to deliver information to intended target audiences.</p> <p>Through the life of the project the PCU served as the effective medium for the sharing of information among participating countries. With the decision being made to establishment the CHM at the CAR-RCU it is anticipated that all of the information stored at the PCU will be accessible through this database.</p>
4.4	Strategy for IWCAM Regional Sustainability	<p>The multi-pronged approach of building capacity at various levels, nationally and regionally, combined with raising the awareness of the IWCAM approach and building partnerships, has served to ensure the sustainability of the project. Further transitioning continued within CEHI, as capacity to continue the work of IWCAM was built. CEHI continues to broaden its programmes according to its</p>

		<p>main mandate which is for Environmental Management instead of the specific focus on Environmental Health, as indicated in its name. Committees have been established which would continue to function after the projects ended. In some instances governments have pledged their assistance in continuing with the project and are seeking funds from donor agencies or giving their support to NGOs (Tobago and St. Lucia) to continue the awareness raising programmes (St. Lucia) and the reforestation work (Tobago) started under the demonstration project.</p>
	<p>Development of IWCAM regional strategic approach</p> <p>Assistance with identifying long term funding mechanisms for IWCAM regional strategic approach</p> <p>Incentives for national and regional adoption of IWCAM strategies and arrangements</p> <p>Review and Evaluation Mechanisms for Strategic Approach, including a stakeholder-sponsored mechanism for post-project evaluation of GEF IWCAM objectives</p>	<p>From an institutional perspective the GEF-IWCAM project has been effective in establishing linkages with various partners (GIZ, CAR-RCU, CEHI, CWWA, GWP-C and OECS) thus ensuring that regional mechanisms are in place to further the objectives of the programme. Also, several of the initiatives undertaken as part of the demo projects (RWHP, WTS) are being replicated in other countries. This has occurred thanks to the combined effect of regional support mechanisms (targeted capacity building, and dissemination of information and experiences). However, several of the initiatives undertaken through the demo projects have indicated a financing deficit (e.g. Tobago Reforestation, awareness and sensitisation work in St. Lucia) which could limit their effectiveness.</p> <p>In more general terms, it appears that some of the assumptions at the basis of the design of these activities (see Logframe for Component 4) were rather optimistic, and that the time necessary to help the countries to move in the direction of the systematic and strategic adoption of IWCAM and establishment of an incentive mechanism for its application on the ground was largely underestimated. At the time of the Terminal Evaluation, countries, implementing and executing agencies seemed determined to move into a follow on project and are now in the process of submitting a proposal to the GEF. The evaluators did not purposely assess in any way this possible future development nor are aware of the contents of the proposal. It is however hoped that through this new possible project, and its linkages with the just started CReW GEF-IADB project, the IWCAM approach will be fully and permanently integrated in natural resources management practices of the region.</p>
4.5	Project Networking	<p>A multi-sectoral, multi-national and multi-institutional project of this type invariably demands the establishment of partnerships with other organizations. Those partnerships were successfully pursued by the project by supporting other events convened by partners (e.g. World Water Forum; CEF; CWWA, and GWP-C), at which the objectives of the project are promoted. The Global Water Partnership-Caribbean (GWP-C) has been a long time partner of the project. One of the main objectives of GWP-C is to improve water governance in the Caribbean through the promotion, enhancement and effective implementation of legislation, policies and programs on IWRM. In this regard, and as a partner organisation, GWP-C regularly facilitates High Level Sessions with Caribbean Ministers of water and managers of water utilities, a joint initiative of GWP-C and its partner, the Caribbean Water and Wastewater Association (CWWA). GWP-C also assists with capacity building and awareness-raising by providing training in areas such as climate change and the implication for water resources.</p>

	<p>Linkages to national/regional and global institutions</p> <p>Linkages to other IWCAM related projects and initiatives, especially WW2BW and GPA</p> <p>Development of Clearing House Linkages to GPA-CHM Networking with countries</p>	<p>The majority of regional development agencies and environmental managers are familiar with the “IWCAM” terminology. An effective IWCAM was able to develop strong working relationships with several partner agencies both at the regional and internal level.</p> <p>IWCAM presented to UNEP CAR/RCU LBS ISTAC, May, 2010; High-Level Session of Ministers of Water, October 2009; National IWRM Symposium, chaired by Minister of Water, Jamaica, Feb 2010; CEF-5, June 2010, attended by two Prime Ministers and Deputy Executive Director of UNEP. Reference is frequently made to IWCAM through TV and radio interviews during regional and national events.</p> <p>Throughout the life of the project a significant amount of information, as evidenced by the Technical Reports (Toolkit for Institutional, Policy and legislative Improvements, Indicators Mechanisms, etc.) Briefing Notes (Guide for Policy makers) and Workshops (Project Management EIA Review and Communications), have been generated and shared with participating member countries. Much of that information has been shared directly and through the quarterly newsletter. The project website has also been a main tool for information sharing. To facilitate this information exchange a CHM was established at UNEP CAR/RCU with the main objective of capturing outputs of all national and regional projects, including lessons learnt and best practices. IWCAM Project website will be the gateway to the CHM with current and additional (new) content being organized into the structure of the CHM and labeled with metadata. In light of the phasing down of the project an independent analysis was done of the IT and Human Resource Capacity at both CEHI and UNEP CAR/RCU in terms of hosting the CHM. A decision has therefore been made that the facility will now be hosted at CAR/RCU. In response to the analysis, further capacity strengthening has already been held at that office for the operation and maintenance of -both hardware and software and a dedicated IT Assistant hired who will provide long-term continued support for the CHM. Networks have been expanded and the profile has been raised, through on-going joint activities, some of which have been supported by IWCAM and other partners.</p>
<b>V</b>	<b>REGIONAL PROJECT MANAGEMENT AND COORDINATION</b>	
5.1	Project Management	The actual day to day management of the project was executed by a Project Coordinating Unit (PCU) located at CEHI in St. Lucia.
	Establish Project Coordination Unit Contract staff and consultants	The PCU was established in May 2006 with the appointment of the RPC. By November of that year all five (5) positions (RPC, TC, CNIS, AO and BAA) were filled. PCU held weekly staff meetings to discuss project progress. All five of these officers remained with the Project for its entire duration.
5.2	Regional Project Steering	A Project Steering Committee (PSC), the highest decision-making body for the project, was established to monitor progress in project execution, to provide strategic and policy guidance, and to review and approve annual work plans and budgets. The PSC was comprised of National Focal Point country representatives (all 13 countries), EA and IA.
	Steering Committee Meetings (project monitoring, workplan and budget re-	Since its first meeting in 2006 the PSC met annually with the last meeting being held in Jamaica in November 2011.

	views)	
5.3	Meetings of National Intersectoral Committees Day-to-Day inputs by members	<p>National Intersectoral Committee (NIC) were established in participating countries where such a committee did not already exist. In other countries, terms of reference of other committees were modified to allow them to also serve as the NIC (e.g. CZMAC in Saint Lucia). No reporting on the NIC activities was found, but references to their presence and inputs are to be found in various reports and other documentation. The role of the NIC was essentially to provide oversight of the project, but more importantly, to ensure the integration of IWCAM principles into the national policy framework. No information was found on the composition of each country NIC.</p> <p>Reportedly, the NICs were a major weakness in building sustainability / mainstreaming into national policy. The concept of a functioning NIC was recognized as a challenge based on other experiences in maintaining national intersectoral entities to coordinate environmental matters.</p>
5.4	IA/EA Management Group	Though the project had a multiplicity of actors fulfilling the management role, they all had common concerns in respect of achieving outputs and goals of the project. As such, they provided constant reminders of the essential targets such as transitioning from a demonstration mode to one of replication.
	Annual IA/EA Meetings EA Interim Management Discussions	Through the organ of the PSC, both the IA's and EA's were able to combine their input into ensuring that obstacles were addressed and resolved either at the annual meetings or through various communications mediums.
5.5	Project Technical Support	PCU staff were all highly competent in their respective fields and were able to provide the first line of support to participating member countries. In addition both CEHI and CAR/RCU were always available to provide additional assistance.
	Meetings of Regional Technical Advisory Group (To provide technical support and advice to Steering Committee)	<p>The RTAG generally met once a year, just prior to the PSC although one year it met twice, due to additional input needed related to the demo projects. It had as its main responsibilities:</p> <ul style="list-style-type: none"> <li>✓ Reviewing reports from the Demonstration Projects</li> <li>✓ Reviewing all technical matters related to project objectives</li> <li>✓ Addressing any increased or emerging technical concerns within the region pertinent to the participating countries and to IWCAM issues</li> <li>✓ Providing technical guidance and recommendations to the PSC on project-related issues</li> <li>✓ React to any other requests from the PSC, PCU or EAs requiring technical input and advice</li> </ul>
5.6	Project Reporting	Participating Member Countries were required to submit semi-annual (January and July) Progress Reports along with financial reports. In addition they were expected to submit Brief Quarterly Progress Reports (BQPR) within two weeks of the end of the previous quarter. These reports were to consist of a summary of activities undertaken over the previous quarter and no longer than one page (100 words) in length. Project Managers were provided with a template for submitting their reports (PR and Financial). A Demonstration Project Guidance Document was prepared and submitted to all Project Managers detailing requirements for work plans, submission deadlines issuing of media releases, information about the GEF-

		IWCAM project as well as templates for the preparation of financial reports. A workshop was also convened to provide project personnel with training in the preparation of reports and ensuring they had a clear understanding of the demands of the project. In addition PCU staff, as well personnel from CEHI and CAR-RCU were available, in person, on the telephone or through other electronic means to provide assistance.
	<p>Reports from Demo Projects to PCU Reports from PCU to Steering Committee</p> <p>Reports from Steering Committee to EA/IAs</p>	<p>Reports from the Demo projects were completed satisfactorily. From time to time PCU staff had to send out reminders or call Project Managers to request reports which were delayed. However the fear of withholding funds from delinquent participants always served as a catalyst in ensuring that reports were submitted in time for appropriate decisions to be made. These usually followed the annual meetings of the PSC. At these meetings the workplan of the PCU would be presented and issues relating to project implementation discussed. Six successful meetings were held over the life of the project. Quarterly Reports (QRs) and monthly reports received from Demonstration Projects. Consolidated APR/PIR reports were prepared for review by IAs in a timely manner. From time to time the Administrative Officer (AO) in the PCU had to send out reminders to Demo Project Managers to speed up the preparation of their reports.</p>
5.7	IA Evaluation Requirements GEF Evaluation Requirements	A Mid-Term Review was successfully completed in 2009. Several recommendations were made and shared with all participating member countries. Where action was required by a Member Country the PCU staff followed up to ensure the recommendations were acted upon and reported on at the next RTAG and SC meetings. As part of the evaluation requirements a Terminal Evaluation is also being undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
	Project Information Management System	The development of information management systems has been an integral aspect of the program as the IWCAM has sought to provide participating member states with the tools and training, in the use of these systems they require, to identify the nature of problems, designing solutions or options, choosing from among those options and devising a strategy and plan for implementing the decision as well as monitoring the entire process. Among the information systems successfully established were GIS, a Water Information System (in Barbados and Grenada) as well as ongoing work for the commissioning of the CHM and GeoNetwork Opensource facility. The manual to facilitate training for the use of the GeoNetwork facility has already been completed. The GeoNetwork Opensource system, in particular, is a standard based and decentralised spatial information management system, which would allow project managers and other users to access geo-referenced databases and cartographic products from a variety of data providers through the internet.
5.8	Establish Regional Project Information System National inputs and outputs related to Information Management	The GEF-IWCAM project has placed considerable importance on data and information management, especially on information exchange amongst the different stakeholders. The information systems established, as well as those due to come on stream are particularly useful. The GeoNetwork system has the potential to be a game-changer in terms of resource analysis and informed decision-making as it makes available spatial data and thematic maps from

	ment System	multidisciplinary sources. A considerable amount of data has been generated from all the demonstration projects. Much of that data has been fed into information systems at both the national level and regional levels (e.g. NEPA in Jamaica and Physical Planning in Trinidad and Tobago, CEHI in St. Lucia) and is being stored as baseline information for future purposes or being used to influence policy and decision making. Water quality information (river and marine) collected in St. Lucia and Tobago respectively, was used effectively to demonstrate to users and other stakeholders the extent of the problems and served as the catalyst in designing solutions and taking corrective measures to reduce and eliminate the problems. An IWCAM Atlas has also been prepared with assistance from UNEP CAR/RCU. The atlas will be incorporated into the CHM, or at the very least hosted on the CEP website and linked to the CHM. As the main repository for all documentation concerning the project the PCU served as the <i>defacto</i> Clearing House Mechanism (CHM) however with the closure of that office, work is ongoing in relocating that mechanism to UNEP-CAR/RCU.
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## A.2 - Relevance

35. The first target of the St George's Declaration requires countries to "*Develop, adopt, and monitor the implementation of comprehensive national policies and strategies that are consistent with strategies and frameworks for sustainable development and that are backed by appropriate legislation, addressing the following sectors or issues: water resource management and use efficiency; land development, administration and management; biodiversity protection; marine and coastal resource management; creative and sustainable management of solid, liquid, hazardous and biomedical wastes that includes provision and incentives for reuse and recycling wherever appropriate; protected area management.*" The IWCAM project's objective is clearly in line with these recommendations, and has supported the countries in complying with the Organization of Eastern Caribbean States (OECS) requirements contained in the declaration.
36. The project is also consistent with UNEP's Expected Accomplishments and programmatic objectives, with UNDP Water Governance program, and with GEF Operational Program 9, which dictated the eligibility requirements for GEF funding at the time of Council approval of the project brief.
37. The IWCAM concept of integrating freshwater and coastal zone management in small island environments is the end result of the evolution of thinking on environmentally sustainable development in SIDS, appropriately defined for their vulnerability as "the sentinels of the global environment": unless small island states will introduce conjunctive surface and groundwater management, and policies/practices of coastal zone utilization that consider the land use capacity and the vulnerability of coastal ecosystems to climatic and human induced stresses, they will be exposed to rapid degradation, and loss of revenues and livelihoods.
38. All project stakeholders and executing partners in the region were very much aware of the fundamental relevance for the future sustainability of the islands of the approach to development that the project was trying to promote. This shared recognition is at the basis of the commitment that brought about the project's remarkable accomplishments.

## A.3 - Effectiveness

39. The Logical Framework proposes over 100 indicators of achievement, some of which are clearly over-optimistic – in particular those referring to the Overall Project Objectives. This evaluation however has estimated that the majority of the logframe indicators (around 80%), including those related to each demonstration project, can be con-



sidered as largely met. It has to be stressed that, notwithstanding the unrealistic nature of the project's overall expected outcome, *id est*: "*An overall national and regional reform in support of the IWCAM approach....*" – which expresses not an outcome, but the desired catalytic impact of the project, the project - through the combined action of strong and flexible management, on the ground demonstrations, capacity building, awareness raising and communication, and regional policy support - has catalysed various levels of national reforms in policies and institutional arrangements, replication of best practices, and a high level of regional and national commitment to continue what the project has started. This fact is a proof that the project has created an "enabling environment for reforms", probably a more appropriate formulation of the overall outcome of the project.

40. Given the many outputs expected from this project under its five Components (71, not considering those related to the 9 demonstrations), a considerable number of positive results in terms of stress reduction and establishment of processes, including monitoring capacity and management frameworks, and scientific advancements, not directly related to the main objective of the project (catalysing reforms) have also been achieved (see Achievement of Outputs and Activities Section).

#### A.4 - Efficiency

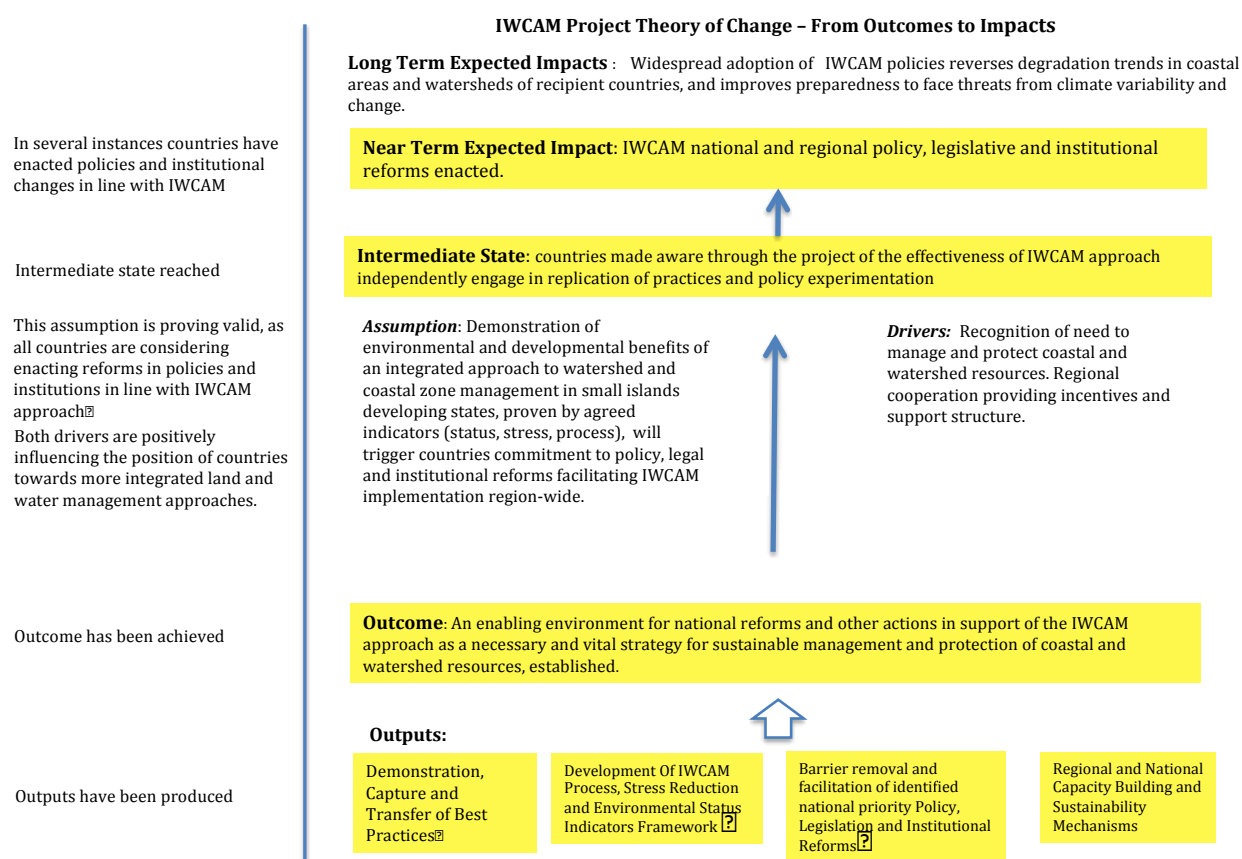
41. The project suffered from an initial delay between the time of Council approval of the project brief, and effectiveness on the ground (approx. two years), and from a complex startup phase, particularly in a number of the countries where demonstration projects were going to be implemented (see Annex I). These "physiologic" delays were compounded by the time elapsed between project design, including design of all demos - which was developed starting in the year 2000 -four years before Council approval. This determined the need for a number of readjustments particularly in demo project design, due to inflation, and changed context conditions. In spite of this, the project as a whole, and each specific demonstration, emerged from this initial period of restructuring maintaining the original objectives and overall architecture, and adherence to the Project Document. These modifications in design did not imply substantial budget revisions. It has to be noted that a large part of the co-financing foreseen at the time of approval did not materialize. Since this was essentially due to IADB investments in Tobago and Antigua that were cancelled, this reduction did not affect the project as a whole, besides requiring the re-design of the two demonstrations.
42. In spite of initial delays, the execution of the demo projects deserves a particular mention for its overall cost-effectiveness. The results achieved with the limited GEF grants are surprising. This can be explained when two factors are taken into consideration: (i) country commitment: in most of the demos the evaluation team was able to verify a high level of commitment of the governments- directly responsible for demo execution - and extraordinary dedication of the local stakeholders and executing personnel (see also the Relevance section); (ii) the great capacity of the PCU in adapting to changing circumstances, and in providing continuous technical and management support to the countries.

#### A.5 - Review of Outcomes to Impacts (ROtI)

43. The Project Document defines the project expected outcome, i.e.: the desired changed conditions that would result from the delivery of the project outputs, as: "*Overall national and regional reforms in support of the IWCAM approach, as a necessary and vital strategy for sustainable management and protection of coastal and watershed resources, implemented*". The following table proposes instead a flow sequence from outputs to outcomes to impacts that introduces a different formulation of the overall project outcome, and defines "enacting of national reforms" as the desirable catalytic impact of the project, rather than as the expected outcome directly obtainable by producing the stated outputs, as in the Project Document. The lead evaluator considers it useful to maintain

the focus of the analysis on reforms as a direct “impact” to be hopefully catalyzed by the project, rather than an intermediate state towards achieving environmental improvements - the final purpose of this project as well as of all initiatives funded by the GEF - something that might only happen in the distant future.

44. It is the conviction of the evaluation team that enacting reforms in policies and laws, and institutional changes are a prerogative pertaining to the political domain in each country, and as such lies beyond the reach of any international assistance project. The success of this project should not be measured by the number of countries enacting what number of relevant legislation and institutional changes, but by the fact that outputs have been effective in creating the necessary enabling environment (outcome), assumptions have been found valid, the intermediate state has been clearly reached and “some” impact is already visible.



## B) Sustainability and catalytic role

### B.1 - Sustainability

45. The IWCAM project was intended to set the stage for the adoption of integrated water and coastal area management policies and practices in 13 Caribbean SIDS. This approach is considered as essential to sustaining the quality of the environmental resources of the island states while allowing continued development. The islands economy, particularly for the smaller ones, largely depends on the tourism industry and hence on the maintenance of acceptable levels of environmental quality, and on the function-

- ing and integrity of ecosystems and of the services they provide. Water is key to the achievement of these conditions.
46. Countries are more and more convinced of the need for action, and the project has provided them a way ahead, a road map towards sustainability by building their capacity in integrated natural resources management, testing new ways, behaviors and technologies, supporting regional cooperation and facilitating the necessary legislative and institutional reforms, and investments. The project's approach has proven effective (see ROTI analysis), and signs of change can already be detected (see Attainment of Outputs section, and Annex I).
  47. Given the multiplicity of the activities and outputs of the project, many of which requiring a sustainability assessment, the evaluation team has tried to include considerations on the sustainability of single products of the regional components of the project in the Attainment of Outputs section, while the review of the sustainability of each demonstration project can be found in Annex I.
  48. The analysis of the sustainability of this process of change that the project has started has to involve two distinct levels: (i) the assessment of the likelihood that the overall regional facilitation action will continue after the project ends in mid-2012, and (ii) the consolidation of the results achieved in each country, in particular of the technologies, practices and management arrangements that have been tested and put in place through the demonstrations and pilots. In other words, will the regional Executing Agencies effectively take over the regional facilitation mechanisms that the project initiated? Will the countries maintain the focus on IWCAM implementation that was reached thanks to the project?
  49. The point has been made quite strongly that sustainability at the regional level will be ensured by the fact that the promotion of the IWCAM approach, thanks to the project, is seen as the best approach and has become part of their institutional mandate. This is an important achievement of the project, and a necessary pre-condition for the sustainability of its results. Both CEHI and UNEP CAR RCU have demonstrated their interest in taking over where the project has left, and show confidence that mechanisms for the facilitation of reforms will continue through the combined action of the Cartagena Convention and its Protocol on LBS process, of the CHM that will soon be completed and operational, of their continued action in support of the application of IWRM practices, and of the implementation of monitoring GEF IW indicators.
  50. At the country level, sustainability of commitment to IWCAM reforms has to be viewed case by case. While Annex I may provide at least in part this level of assessment, in general terms it can be noted that a significant number of countries have already taken steps towards replicating the demo project experiences, adopting IWRM plans, and adjusting their institutional settings to facilitate integration of natural resources management. All of them have in various ways strengthened their determination at government level towards more comprehensive land and water management approaches. Local management frameworks have been put in place that might gain sustainability through mechanisms experimented through the project, and innovative partnerships with the private sector might prove successful and replicable region-wide.
  51. All this notwithstanding, it is the opinion of the reviewers that, without dedicated financial resources, and more importantly, without coordination between the two entities, CEHI and CAR RCU, and the effective communication strategy that has been developed during the project by the PCU, the regional momentum toward reforms might be at least in part lost after project completion. At the country level the evaluation has shown that countries are likely to maintain their commitment to IWCAM beyond the project, and move on to policy and other reforms. This process will greatly benefit from, but not entirely depend, on continuing regional and international support.
  52. *Socio-political sustainability:* A high level of country ownership has been achieved by the project, as demonstrated by SC Meetings reports, country visits, and results of the demos amongst others. Ownership by regional institutions is also evident, as they re-

peatedly confirmed their commitment to take over the project's facilitating and monitoring functions.

53. *Financial resources*: As already stated, without dedicated financial resources, the regional momentum toward reforms might be at least in part lost after project completion.
54. *Institutional Framework*: Existing institutional frameworks in countries are quite variable depending on country size and history. New schemes are being experimented that were set up as part of the project. Overall institutional settings appear adequate and sufficiently robust for the purposes of the adoption of the IWCAM approach.
55. *Environmental Sustainability*: Frequency of extreme climatic events, such as the storm surge affecting Andros during the project execution, may hinder the progress towards sustainability.

## B.2 - Catalytic Role and Replication

56. The project has triggered spontaneous replication and in some cases has induced catalytic impacts. This has occurred thanks to the combined effect of regional support mechanisms (targeted capacity building, institutional strengthening, policy guidance, and dissemination of information and experiences) and most importantly local on the ground actions (demonstrations and pilots) that involved at various levels all participating countries. The region is now in what will approximate the "Intermediate State" of ROTI (replication, adherence to regional treaties), and is moving towards showing concrete impacts (enacting IWCAM reforms).
57. At the regional level, the main catalytic achievement – albeit not entirely attributable to the project - has been the entry into force of the LBS Protocol. The project has also catalysed the commitment of the regional Executing Agencies to sustain IWCAM promotion action as part of their mandates, and maintain and sustaining the CHM. In the countries, various cases of replication have been detected during the evaluation (see Annex I). Among those worth mentioning here is the effective exchange and replication going on in Tobago, Grenada and St. Lucia. A number of results in countries can be categorized as "catalytic", mostly in the domain of creation/adoption of the new management watershed/coastal zone schemes, as for example in the case of St. Lucia, the Dominican Republic, or Bahamas, Exuma. New water and/or sewerage management policies have been adopted or are in the process of adoption in some countries (e.g.: Jamaica, St Kitts), and an innovative Land and Sea Use Plan is being considered for adoption and application to islands of The Bahamas. There is evidence in Saint Lucia, that a Rain Water Harvesting (RWH) policy promoted by the project was introduced for all Health Centers following the passage of Hurricane Tomas amid the evidence that these systems made a huge difference in having water available to those institutions which had installed the system prior to the passage of the Hurricane.
58. In the opinion of the evaluators the most important factor behind these country level accomplishments is the strong commitment of the national executing agencies (see Section 3), and local demo or pilot managers, who often became the champions of the IWCAM approach in their country, and beyond (see the case of Jamaica). Two general lessons relevant for the enhancement of catalytic impacts and replication can be drawn from this experience: (i) selection of demonstration projects that are highly relevant in the national context (this was made possible by the extended *ad hoc* preparation process during PDF B); (ii) involvement of the right national entities in the direct execution of demo projects, together with backstopping from a strong regional PCU.
59. One further relevant consideration related to the project's catalytic role, relates to the involvement of development financial institutions such as the World Bank, IADB, CDB and others during the project lifetime. This involvement was called for repeatedly in the Project Document, with the intent of catalysing the interest of these institutions, including IWCAM related issues, in their dialogues with the countries to provide support in addressing coastal environmental sustainability concerns. This involvement by the in-

vestment banks did not happen in a systematic way, but only sporadically, and only as part of demo execution. The reason for this lack of project's action can in part be due to the fact that the Project Document, while calling for IFIs involvement, did not foresee any specific activities and outputs apart from generically calling for the establishment of a Partnership Forum. Other elements that discouraged the project management in moving aggressively and systematically in this direction would certainly been the cancellation of the large IADB loans, which formed the bulk of the project's co-financing, and the length of time between approval and implementation of the GEF funded Caribbean Regional Fund for Wastewater Management (CReW) investment project to be implemented by IADB and UNEP.

60. These considerations only partly justify the lack of project delivery on this point. A similar consideration can be made for what concerns the engagement of the private sector, which was sporadic and happened exclusively in connection with the demos (Bahamas Exuma, Dominican Republic). The tourism and cruise industry reportedly did not respond to, albeit limited, efforts made to engage their interest in the project.

## **C) Processes Affecting Attainment of Project Results**

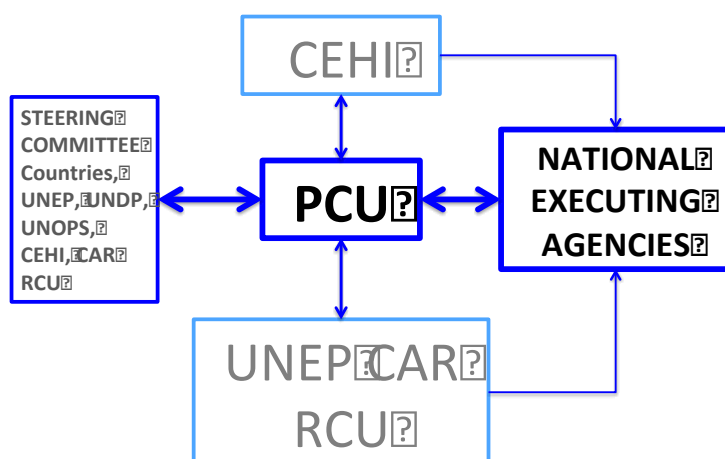
### **C.1 - Preparation and Readiness**

61. The overall objective: "To strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas, with a long-term goal of enhancement of the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis" was certainly realistic and achievable within the allocated timeframe of sixty (60) months. The systematic adoption of IWCAM policies and practices in the Caribbean SIDS is instead clearly a long term process that will extend beyond the project's life.
62. The project received the endorsement of all thirteen (13) countries and was allocated a total of US\$ 112.780 million, with US \$14.39 provided by the GEF Trust Fund and in-kind contribution of US \$98.39 million from local governments and other regional partners. This funding distribution reflects the situation at the time of GEF Council approval in 2004. By the time of effectiveness, in 2006, a large part of the co-financing had been lost (about US\$ 77 million, representing loans from IADB and private investments). The project could overcome this decrease in co-financing by restructuring the two demos that were involved (Tobago, and St Kitts), and was virtually not affected by this occurrence. The remaining funding was in fact adequate to carry out all project activities.
63. The two Implementing agencies had significant experience in implementing similar projects and both Executing Agencies had the technical expertise to guide its implementation. Though it took some time to establish the Project Coordinating Unit, when it was established, it was fully staffed with very competent individuals, all of whom remained with the project throughout its implementation phase. All previous reviews are satisfied that sufficient planning and consultation preceded the approval of this project. It clearly appears that the project did build on the experience gained in the South China Sea GEF project (UNEP), that used the same approach of blending the on the ground pilots with regional facilitation actions and consensus building.

### **C.2 - Implementation Approach and Adaptive Management**

64. The implementation of this project is best described as complex, involving two Implementing Agencies – UNEP and UNDP, three executing agencies – The Secretariat of the Cartagena Convention (UNEP/CAR/RCU), the Caribbean Environmental Health Institute (CEHI), and UNOPS, -with a Project Coordinating Unit (PCU) based at CEHI charged with the day to day responsibility of managing the implementation of five project Components. Providing oversight was a Project Steering Committee (PSC) and a Regional Technical Advisory Group (RTAG) meeting annually.

65. The PCU played a technical support role and was a facilitator of technical exchanges. It developed appropriate materials such as the Demonstration Project Guidance Document and the Communications Planning Guide as templates for reporting and ensuring project personnel were equipped with the appropriate communication tools. Several training workshops were also convened as well as exchange programmes facilitated to ensure that project personnel were able to learn from the achievements of their other colleagues. The innovative Wastewater Wetland Filtration System and the Rain Water Harvest system developed in St. Lucia, the Communications Outreach initiative in Jamaica, and the Water Information System developed in Grenada are just some examples of the exchanges facilitated by the PCU.
66. The meetings of the Steering Committee were always well attended and provided an opportunity for all the major stakeholders to review work progress and to make timely interventions and modifications to the project. Where urgent decisions were required members were polled individually and the final decision subsequently conveyed in writing to the SC.
67. The IWCAM project also established a Regional Technical Advisory Group (RTAG) - a technical advisory group to the project, and specifically to the Project Steering Committee (PSC). The membership of RTAG consisted of senior technical representation from each country (wherever possible a representative of a sector which is related to that country's demonstration project or areas of principal IWCAM concern).
68. The implementation/execution approach of the project as it evolved is a distinctive aspect of this project and an interesting experience for replication. At the moment of the Terminal Evaluation the project implementation/execution arrangements had crystallized in the form tentatively described in the figure below, where different color intensities correspond to different levels of engagement.



69. The striking feature of this arrangement is the primary roles in overall project execution developed by the PCU and by the countries, interacting with each other and among themselves, and responding to the Steering Committee, where all project actors were involved. The two regional executing agencies, CEHI and UNEP CAR RCU, provided the context and were responsible for the execution of specific activities, and UNEP, UNDP and UNOPS acted in the background, providing overall guidance and procurement services.

70. The arrangement described above, with the preeminent role of the PCU and the countries, has been a decisive factor in the project achievements, and reflects the experience of the UNEP South China Sea project, one of the flagship GEF IW projects. The importance for project success of strong project management and country ownership cannot be understated.
71. Another feature worth mentioning is the high degree of adaptive management and other challenges posed by the changing conditions that the PCU, together with the Steering Committee, had to overcome in executing the project in the 13 countries, including 9 demonstration projects, the numerous hot spot pilots, all within the context of a regional agenda, as for example in the cases of Tobago and St. Kitts, where the project was faced by the failure of the co-financing to materialize, or in responding to specific requests for ad hoc capacity building from countries, or the decision to proceed with small pilots in hot spots identified through the hot spot analysis.
72. Committees initially foreseen, including the RTAG and NICs, were established, and sound evidence has been found of their effective participation in support of the countries regionally, and within the countries (not all countries established NICs: St Vincent and Grenada did not have one, and doubts remain concerning Antigua). The Steering Committee played a fundamental role in guiding/advising the PCU and executing agencies at all levels. The MTE findings were considered and corrective actions were taken, in particular to accelerate demo project delivery in some countries.

### **C.3 - Stakeholder Participation and Public Awareness.**

73. The project had to consider stakeholders at two different levels. Regional organizations and bodies, academia, some international NGOs, and the general public were the main stakeholders at the regional level. The project had identified them during project preparation, and all were involved in project implementation; there is evidence of their contributions to the project in SC meetings reports and the quarterly bulletin. More complex was the situation at the level of the 13 project countries, in particular the 9 involved in the demonstration projects. Here not all the good work done during preparation could be utilized, given the time elapsed and changing contexts (e.g.: new public works in Antigua pre-empting project activities, failure of private intervention in Exuma, The Bahamas). The project main interlocutors in countries remained however the executing entities initially identified, and these entities were instrumental in ensuring the adequate level of stakeholder involvement in almost all countries and demonstration activities. The NICs were, amongst others, a vehicle for government-level stakeholder involvement.
74. The effectiveness of stakeholder involvement is demonstrated amongst others, by the emergence of an NGO group in the community where a demonstration project was being implemented (St. Lucia). The involvement of the academic community was somewhat sporadic. They were involved with specific activities in Tobago (marine exercise and several students from the UWI participated in a field trip to), in St. Lucia (an economist from UWI was contracted to undertake the Payment for Ecosystem Services project) and in Barbados (a water resource specialist from UWI undertook the preparation of the IWRM road map).
75. Communication and public awareness activities conducted by the PCU have been throughout the project an extremely successful tool for catalyzing the involvement and active participation of stakeholders. The PCU used a combination of consultative mechanisms including regional workshops, news media, an in-house quarterly "Caribbean Waterways" that became increasingly popular as the project progressed, a very informative and interactive website – a veritable Project Information Management System soon to evolve into the IWCAM CHW, and the publication of technical reports and experience notes to ensure that all major stakeholders were kept informed, involved and committed to participate and contribute. Also, in Jamaica, an innovative form of communication

was utilized in stimulating debates and encouraging local involvement in the project, including of secondary and high school students. What is even more remarkable is the fact that the budget did not originally contain a line item for communications. However, recognizing the importance of this activity and very early in the life of the project, the PCU initiated several activities which would ensure that information about the project would be shared with participating countries and other stakeholders.

76. At the global level, the IWCAM project featured prominently in several SIDS related international events, including GEF International Waters Conferences and other IW LEARN activities.

#### **C.4 - Country Ownership and Driven-ness.**

77. The intensive consultation which preceded the implementation of the project provided an opportunity for the countries to clearly articulate their priorities which were reflected in national reports that eventually informed the preparation of the IWCAM program. Throughout the life of the project the country government representatives were able to effectively demonstrate their overall ownership of the project, and their responsiveness to GEF and implementing agencies guidance through their involvement in the PSC and RTAG. Several of the partners also provided in-kind support for the project and, even if not all the pledged contributions were forth coming, they sustained their interest with further pledges to continue support to a number of the initiatives started under the project, like in the Lower Haina Basin, where the local industrial association will continue to provide facilities and support.
78. Though the project had the support of the respect governments, it could have benefitted from a higher level of direct governmental involvement, particularly at the level of the SC. The highest level of governmental representation was at the level of Permanent Secretary. Even then, very few of the countries sent the same person on a continuous basis to participate at the level of the SC and R-TAG. Even at the national level, the National Focal Point was not necessarily a senior governmental person.

#### **C.5 - Financial Planning and Management.**

79. Evaluation of financial planning and management was hindered by the lack of consolidated summary reporting. Without such systematic summary reporting, the assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime would require an excessively lengthy effort. This applies both at the regional and demo level, and includes levels of co-financing achieved, and actual project costs. The Annex on Summary co-finance information and a statement of project expenditures by activity was therefore not prepared. The evaluators were informed that this consolidation work is ongoing, to be ready by the time of project closure. At present, the only data available are those summarized at B.7.
80. The evaluation team, through interviews, and the analysis of annual reports and work plans, came to the conviction that there were no significant issues associated with financial matters that proper standards were applied and that timely financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners was in place.
81. The only issue of concern expressed by some Project Managers came towards the latter part of the project when some changes were made to the financial reporting mechanism by UNDP, which caused some reporting delays. It is the evaluators' opinion that if the Terminal Evaluation had occurred at a later time, after project closure, the proper documentation might have been ready allowing the full assessment of the soundness of financial planning and management.
82. Tracking of co-financing (see B.7 above) was unfortunately not done in a systematic and continuous manner. Comprehensive, periodic or cumulative data were not available to



the evaluation team, and reportedly they are presently being consolidated into a final report that will be ready by the time of project completion. In general terms, without considering the two cancelled IADB loans that were supposed to be the bulk of the co-financing originally foreseen - but which related exclusively to two demonstration projects, the opinion of the evaluators is that co-financing from countries and partners did materialize, possibly in a measure exceeding expectations. This opinion is based on the achievements of a number of the demos, like for example Exuma, St. Kitts, and the Dominican Republic, which appear to largely surpass funding originally allocated.

## C.6 - UNEP and UNDP Supervision and Backstopping

83. Supervision provided by UNEP and UNDP seemed adequate. Though a little late in getting off the ground, once the PCU became operational, both UNDP and UNEP provided continued support. That was made easier by the fact that the PSC and RTAG met formally once a year, but given the number of related initiatives on which they participated and the other opportunities to discuss various aspects of the program, a forum for discussion or opportunity to thrash out issues always seemed readily available. On a few occasions when changes had to be made to the work plan the IA's and EA's acted on those matters swiftly to obtain a resolution that benefitted the project. One example is the decision to abandon the purchase of a marine vessel. The other instance of adaptation is the decision to change the M&E rubric which had as one of its outcomes, ratification of the LBS Protocol.
84. The presence of both the IA and EA on the PSC together with participating member states served to add a significant degree of legitimacy to the decisions coming out of that body. The two Implementing Agencies held informal interagency discussions before SC meetings.
85. As proven by email exchanges among agencies and the findings of the country visits and of the interviews with IAs staff, the supervisory roles of UNDP and UNEP were critical during the early phases of the project for guiding PCU staff and initiating work on the ground in the countries, and later on essentially focused on SC activities and the oversight of periodic project reporting (PIRs, and IW reporting template). Quality of PIRs has been good, in particular of the last one available, of June 2011.

## C.7 - Monitoring and Evaluation

86. The IWCAM Project Document contains a logframe matrix which presents several shortcomings related to the monitoring section. As noted in the Inception Report of the Terminal Evaluation, the logframe indicators reflect shortcomings in the formulation of outcomes (that often appear to be lists of outputs rather than outcomes), do not apply to objectives but rather to activities, include qualitative judgments (see in particular Component 1); means of verification and assumptions are excessively lengthy lists. Performance indicators are mentioned but without details on their nature. There is no attempt to assess the baseline conditions, or to provide desirable targets and timeframe for monitoring, and are hence seldom SMART.
87. Monitoring and evaluation activities carried out during the project strictly adhere to the regular reporting requirements (see table below) of the Implementing Agencies and of the GEF, as reiterated in the Project Document. All Annual reporting (PIRs, Steering Committees, Work Plans) have been found very informative, and effectively utilized as project management tools. Budgeted resources seemed adequate for the purposes of the M&E plan implementation.

Table 3: Reporting requirements

Activity	Responsibilities	Timeframes
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Work Plan	Regional Project Coordinator, with UNEP and UNDP	Annually
Quarterly Operational Reports	UNEP and PPR	Quarterly
Annual Programme/ Project Reports	The Steering Committee, working closely with UNEP and the Regional Project Coordinator in consultation with Project stakeholders	Annually
Project Implementation Review	UNDP, UNEP, project team, GEF's M&E team	Annually
Mid-term and Final evaluations	UNDP, UNEP, project team, independent evaluators	At the mid-point and end of project implementation.
Terminal Report	UNDP and UNEP, Regional Project Coordinator	At least one month before the end of the project*
Progress Evaluation of the Demonstration Projects	UNDP, Regional Coordinator and Steering Committee	Annual
Post-Project Sustainability Evaluations	UNEP, UNDP, Project Team and GEF	Beginning of 7 <sup>th</sup> Year and end of 8 <sup>th</sup> year after Project Inception*

\* Not available at the time of the Terminal Evaluation

88. For reporting on the progress of demonstration projects, the project adopted the "Annual Project Performance Results Template" of the GEF International Waters Focal Area. This was not foreseen in the Project Document, and possibly the decision to experiment with the template was taken in order to overcome the shortcomings of the indicators part of the PD Logframe.
89. The reports provide detailed information, country by country, on (i) implementation performance; (ii) progress in achievement of results measured in terms of Process, and Stress Reduction Indicators; (iii) environmental /Water Resources & Socio-economic Status Indicators. An effort has been made to define the baselines for each demonstration project, and provide some level of information on evolution of trends. The reason why the same was apparently not done for the project as a whole is not apparent from the documentation provided to the evaluators.
90. This Terminal Evaluation takes place as the project is closing down, but is not yet finished. In its execution, the evaluation suffered from the lack of consolidated reporting on this very complex project - its history, accomplishments, encountered problems and failures, distillation of lessons learned and of recommendations on the way ahead - and systematic archiving of all relevant documents in one single repository. It is hoped that such consolidation will be part of the Terminal Report to be issued before June 2012.

## C.8 - Complementarities with UNEP and UNDP strategies and programmes

91. Linkage to UNEP's Expected Accomplishments and POW 2010-2011 The evaluation confirms the expectations based on project design. In particular:
  - The capacity of countries and regions to increasingly integrate an ecosystem management approach into development and planning processes is enhanced.
  - Countries and regions have capacity to utilize ecosystem management tools.
  - The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is strengthened.

92. Linkages with UNDP Water Strategy – The project is well in line with UNDP strategy and Water Governance Programme to promote equitable access to water resources and water and sanitation services as a fundamental requisite for human development.
93. Alignment with the Bali Strategic Plan and South-South Cooperation - The project supports the Bali Strategic Plan particularly as it relates to providing “systematic, targeted, long and short-term measures for technology support and capacity-building, taking into account international agreements and based on national or regional priorities and needs”: the support function that CEHI and CAR RCU have played and will continue to develop in the future, and the guidance provided by the LBS Protocol are examples in point. The dissemination of the results of the demonstrations and pilots executed under the project by national agencies and the exchanges occurred among demonstrations and the initial replication efforts which have been detected, are evidences of the effective South – South cooperation and learning that was facilitated by the project. It could be said that the whole IWCAM project is an example of cooperation and technical exchanges among participating countries. For example, in executing the IWRM component, significant exchanges/visits took place between SOPAC and CEHI and, most importantly, persons working in their respective member states undertook exchange visits to learn about each other’s IWRN initiatives.
94. Gender - Many of the project demonstrations had a special focus on social issues, and on most vulnerable communities. Women played an important role in the execution of the demonstrations, and of the project as a whole. They will continue to be major actors as part of the sustainability mechanisms put in place in the various countries, as champions environmental sustainability. Overall, the evaluators could verify the advancements made in the region on gender balance, and it appears that the project did not need to open new ground on this issue. Women are fully empowered, and play a decisive role in the stewardship of the environment.

### III. CONCLUSIONS AND RECOMMENDATIONS

#### Evaluation ratings

#### A. CONCLUSIONS

Table 4: Overall ratings table

Criterion	Summary Assessment	Rating
<b>A. Attainment of project objectives and results</b>	The overall rating for attainment of project results takes into consideration the three categories below, and the ratings resulting from the evaluation of all demos and pilots (see Annexes I and II).	HS
1. Effectiveness (Paragraphs 33-34)	This evaluation has estimated that the majority of the logframe indicators (around 80%) including those related to each demonstration project, can be considered as largely met. Overall, the project has catalyzed various levels of national reforms in policies and institutional arrangements, and a high level of regional and national commitment to continue what the project has started.	HS
2. Relevance (paragraphs 29-32)	The project objectives are well in line with regional priorities, and with UNEP and GEF strategies. All project stakeholders and executing partners in the region were very much aware of the fundamental relevance for the future sustainability of the islands of the approach to development that the project was trying to promote.	HS
3. Efficiency (paragraphs 35-36)	In spite of initial delays, the execution of the demo projects deserves a particular mention for its overall cost-effectiveness. The results achieved with the limited GEF grants are surprising. The project as a whole was conducted within budget thanks to the adaptive management exercised by the PCU.	HS
<b>B. Sustainability of project outcomes</b> (paragraphs 38-48)	Sustainability of the regional reform facilitation mechanisms put in place by the project will be partly ensured by the fact that the promotion of IWCAM approach has become part of the institutional mandates of the two regional Executing Agencies. While this is an important achievement of the project, and a necessary precondition for the sustainability of its results, it is the opinion of the reviewers that without dedicated financial resources, and more importantly the coordination among the two entities and effective communication strategy that have been developed during the project by the PCU, the momentum toward reforms might be in part lost after the project completion. Lack of systematic attempts to involve the development investment community or the private sector may also somehow affect overall sustainability. At the country level, the evaluation findings indicate that countries are likely to maintain their commitment to IWCAM beyond the project, and move on to policy and other reforms. This process will greatly benefit from, but not entirely depend on continuing regional and international support.	L
	Financial	ML
	Socio-political	HL
	Institutional Framework	L
	Environmental	L
<b>C. Catalytic role</b> (paragraphs 49-53)	The project has triggered spontaneous replication and in some cases has induced catalytic impacts. This has occurred thanks to the combined effect of regional support mechanisms (targeted capacity building, structural strengthening, policy guidance, and dis-	HS

	semination of information and experiences) and most importantly local on the ground actions (demonstrations and pilots) that involved at various levels all participating countries. The region is now in what well approximates the “Intermediate State” of ROTI (experimentation of policies, replication, adherence to regional treaties), and is moving towards showing concrete impacts (enacting IWCAM reforms). More on the other hand could have been obtained in involving development banks, besides the project’s role in fostering the GEF CReW investment project approval (UNEP-IADB).	
<b>D. Stakeholders involvement</b> (paragraphs 67-70)	The project main interlocutors in countries were the national executing entities. These entities were instrumental in ensuring the adequate level of stakeholder involvement in almost all countries and demonstration activities. The NICs were amongst others a vehicle for government level stakeholder involvement. Communication and public awareness activities were an extremely successful tool for catalysing the involvement and active participation of stakeholders. The PCU used a combination of consultative mechanisms including regional workshops, news media, an in-house quarterly “Caribbean Waterways”, a very informative and interactive website and the publication of technical reports and experience notes to ensure that all major stakeholders were kept informed, involved and committed to participate and contribute.	HS
<b>E. Country ownership / driven-ness</b> (paragraph 70)	The intensive consultation which preceded the implementation of the project provided an opportunity for the countries to articulate clearly their priorities in the national reports which eventually informed the preparation IWCAM programme. Throughout the life of the project the major stakeholders (country government representatives) were able to effectively demonstrate their overall ownership of the project, through their involvement on the PSC and RTAG. Several of the partners also provided in-kind support for the project and even if not all the pledged contributions were forthcoming, they sustained their interest with further pledges to continue support some of the initiatives started under the project.	HS
<b>F. Achievement of outputs and activities</b> (paragraph 28)	For the evaluation of the overall performance of the project in delivering the expected outputs both at the regional and at the country level (demonstrations and hot spot pilots) please see the table: Achievement of Outputs and Activities, and Annexes I and II.	HS
<b>G. Preparation and readiness</b> (paragraphs 54-56)	The two implementing agencies had significant experience in implementing similar projects and the Executing Agencies both had the technical expertise to guide its implementation. Though it took some time to establish the Project Coordinating Unit, when it was established, it was fully staffed with very competent individuals, all of whom remained with the project throughout its implementation phase.	S
<b>H. Implementation approach</b> (paragraphs 56-66)	The implementation/execution arrangements adopted by the project – with the enhanced roles of the PCU and of the countries – have been a decisive factor for the project achievements, and reflects the experience of the UNEP South China Sea project, one of the flagship GEF IW projects. The importance in project success of strong management and of country ownership cannot be understated.	HS

<b>I. Financial planning and management</b> (paragraphs 71-73)	Evaluation of financial planning and management was hindered by the lack of consolidated summary reporting. Without such systematic summary reporting, the assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime would require an excessively lengthy effort. This applies both at the regional and demo level, and includes levels of co-financing achieved, and actual project costs. The evaluators were informed that this consolidation work was ongoing, to be ready by the time of project closure (June 2012). This notwithstanding, the evaluation team, through interviews, and the analysis of annual reports and work plans, came to the conviction that there were no significant issues associated with financial matters, that proper standards were applied, and that timely financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners was in place.	S
<b>J. Monitoring and Evaluation</b> (paragraphs 77-81)		S
1. M&E Design	The original design of the M&E activities presents shortfalls that have been discussed in the Inception Report of this evaluation. The logframe indicators reflect shortcomings in the formulation of outcomes (that often appear to be lists of outputs rather than outcomes), do not apply to objectives but rather to activities, include qualitative judgments (see in particular Component 1); means of verification and assumptions are excessively lengthy lists. Performance indicators are mentioned but without details on their nature. There is no attempt to assess the baseline conditions, or to provide desirable targets and timeframe for monitoring, and are hence seldom SMART.	MU
2. M&E Plan Implementation	The project monitoring and evaluation was conducted according to the requirements of the Implementing Agencies and of the GEF, and reiterated in the Project Document. All Annual reporting (PIRs, Steering Committees, Work Plans) have been found very informative, and effectively utilized as project management tools. A particular mention to the Annual IW Project Performance Review Template which was prepared for the demonstrations projects, and may represent a best practice in the application of the IW GEF Indicators.	S
3. Budgeting and funding for M&E activities	Adequate	S
<b>K. UNEP and UNDP Supervision and backstopping</b> (paragraphs 77-84)		S
1. UNEP	Both Implementing Agencies provided fundamental support during the early phases of the project in order to ensure timely implementation and assisting executing agencies and the PCU in restructuring several demonstration projects (Antigua, St. Kitts, Tobago, Exuma). Throughout the project they acted in the background, attended to all SC meetings, and participated to M&E activities (PIRs).	S
2. UNDP		S

Rating scale: Most criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

95. The Integrated Water and Coastal Area Management Project addresses one of the most challenging environmental issues globally, the sustainability of small island developing states. It is now well recognized that in the face of growing climatic variability, the sustained development of small island states will increasingly depend on two related factors: protection of ecosystem services and management of freshwater resources, primarily groundwater. The challenges relate to human/climate induced alterations of the marine/freshwater interface, and to pollution of unconfined aquifers and rivers by excess nutrients and their impacts on coral reefs and other habitats.
96. The project objective was to *foster the integrated management of water and coastal area resources in Caribbean SIDS*, that is the hard, long but possibly only way to sustainable development in SIDS, particularly in the smaller and the low lying ones. In small islands, river basins, aquifers and coastal ecosystems represent an obvious environmental continuum that has to be managed as such, in an integrated way, if human well-being and health, and the economic potential of the islands, has to be preserved for future generations.
97. The project adopts a blend of regional facilitation mechanisms and of country-based on the ground demonstrations of good practices and simple technological solutions. Rarely in technical assistance efforts has this approach been applied so effectively as in the IWCAM project. What normally is so difficult to achieve, the overall coordination of technical assistance providers and of entities active in natural resources governance at national and regional levels, and their convergence towards a common objective, the IWCAM project has attained, at least during the second half of its implementation. The long preparation period that allowed the fine tuning of the design of the project, and the decision taken during preparation to strengthen the demonstrations component, were key to an overall successful implementation.
98. Good design, effective and reliable regional support and facilitation, a project management that exercised leadership and had the capacity to adapt to changing contexts and circumstances, and a PCU staffed with personnel of outstanding commitment and capacity, are the factors that probably made the difference, and allowed to progressively reach the level of country ownership and involvement which is the most striking feature of this project's implementation.
99. What has this project accomplished with its 5 components, over 70 outputs , 9 demonstrations and 6 pilots, each a small to medium sized project in itself? A multiplicity of results can be attributed to the project, both regionally and at country level, and their somewhat detailed review attempted by this evaluation is presented in the main body of this report. As part of these conclusive remarks it is worth instead concentrating on those that appeared to the evaluation team as the main contributions of this project.

(i) *The project created the foundations for the application of the IWCAM approach in countries.*

100. During the visits paid to 11 countries involved in the project, the evaluators could take note that all the stakeholders that were interviewed, from the government level to the local communities, had gained a good understanding of the IWCAM approach and were convinced of the need to move ahead in the direction of integrated management, in particular of water resources. This new awareness was largely brought about by the visible, tangible benefits that the demonstration projects were able to deliver, and by the effective awareness campaigns and information exchanges among countries systematically conducted by the project. Those involved in the execution of demonstration projects were adequately capacitated through ad hoc training and often became "IWCAM" champions.

(ii) *The project strengthened the commitment to IWCAM of regional project executing organizations, and their capacity to sustain in time what the project has started.*



101. The transition period has started, and both CEHI and UNEP CAR RCU are now undergoing some restructuring and getting ready to take over the IWCAM promotion and facilitation functions so far developed by the project. Being the repository of monitoring data and CHM, will be an important part of this new “role”: capacity strengthening has already been held at the CAR RCU (Cartagena Convention Secretariat), that will host the mechanism, for the operation and maintenance of both hardware and software, and a dedicated IT Assistant has been hired who will provide long-term continued support for the CHM.
- (iii) *The project catalysed the beginning of a policy and institutional reform process.*
102. A number of new policies and plans, all strictly related to the IWCAM approach, have been or are being drafted and adopted by countries. They can be clearly traced back to the project action. The Land and Sea Use Plan in Andros, the IWCAM-WAMM policy adopted country-wide in Jamaica, the new Water Act in Saint Kitts, the NGO created for the management of the Font d’Or basin in Saint Lucia, the private – public partnership that will continue remediation efforts in the Haina Basin in the Dominican Republic, the IWRM Road Maps adopted by various countries (Antigua, Barbados, Grenada, St. Lucia) are examples and signs of this emerging process of change.
- (iv) *The project catalysed the initial replication of best practices across project countries.*
103. Thanks to a huge dissemination of experiences and stakeholder involvement effort, a very effective communication strategy, and a proactive PCU, the project was able to foster the replication of successfully tested practices and the full consideration of lessons learned. This led in a number of cases to actual replication of management approaches and technologies. The case of Jamaica and its WWAM nation-wide policy replicating/adopting the lessons learned in Portland, the application in Grenada of the IWRM approach tested in St Lucia, the extension to other watersheds of the management scheme of the Lower Haina Basin in the Dominican Republic are signs that, yet again, the project did succeed.

*This project clearly responded to a need felt by the countries for guidance in the all-important issue of the management of their water and coastal resources, and for support, both technical and financial, allowing them to experiment and learn.*

104. At the same time, problematic areas have been identified by the evaluation team, as follows:
- (i) As the project was winding down, and as the process of transfer of roles to CEHI and CAR RCU was starting, the PCU has been progressively dismantled, with staff taking over new positions and/or transitioning to other projects in the region. This is of course normal and necessary as projects come to their end. In the case of the IWCAM project however, the transition to the post-project situation, including the transfer of some of the project’s roles to CEHI and CAR RCU, represents a critical step in the achievement of sustainability of project results, and as such should have been treated as a project activity, part of the Sustainability Strategy of the project. Provisions, in terms of human resources, budget and time, could have been made to ensure that this activity be followed through to its satisfactory completion, the relative outputs produced and the outcome of enhanced sustainability achieved. As part of this sustainability strategy, the consolidation of the project experience in the form of a conclusive report, prepared by those that led and participated to the project (IAs, EAs, PCU, SC), including its technical, financial and management aspects, would have helped both countries and regional institutions to take stock of the IWCAM project legacy. Such consolidation of project experience would have also greatly benefited the GEF IW Focal Area, in its continuing effort to enhance portfolio learning, and global dissemination of the experiences of highly successful projects, like the one object of this evaluation. It has to be noted here that a “terminal report” – to be delivered at least one month prior to pro-



ject closure - is mentioned, without qualifications, in the M&E section of the Project Document. No other reference to or requirement for a consolidated summary project report is contained in the Project Document. This is the case for many, if not the majority of GEF projects. Great benefits would be derived from the availability for all projects of final project reports, prepared according to standardized specifications.

(ii) The adoption of the IWCAM approach in the Caribbean islands, as well as its implementation, would greatly benefit from, and require the involvement and support of development financial institutions, such as the World Bank, IADB and particularly, the Caribbean Development Bank, the region's only development bank. Notwithstanding the repeated albeit generic requirements contained in the Project Document, the project failed to deliver in this respect. The reasons for this have been stated earlier in this report which may explain, but not justify, this lack of response from the project's implementing and executing agencies. Unless financial institutions become engaged in understanding the importance of an integrated approach to management of water resources in all its many aspects, they will, at best, remain focused on more or less conventional sewage and waste collection, treatment and disposal systems. The IWCAM project offered an opportunity for the development banks to realize the full potential of integrated natural resources management in SIDS, including the need for priority investments in securing high quality freshwater supply, primarily through groundwater, supporting coastal management and sea zoning based on land/sea use capacity, and on ecosystem sensitivity and vulnerability assessments, rehabilitating coastal and water infrastructure and mitigating impacts of climate variability and change. For countries, it could have been the beginning of a dialogue on new priorities for investment and country assistance strategies, to harness more effective support from these organizations in their quest for sustainability.

## Overall Assessment

105. Based on the ratings assigned to the various project components and activities presented (see Overall Ratings Table), and on the considerations made above on key contributions and main problematic areas, the evaluation team has concluded that the project deserves an overall **Highly Satisfactory** rating.

## B. Recommendations

106. The evaluation team wishes to submit two main recommendations, and a series of observations that might be relevant for project completion, and for future IWCAM related work in the region.
1. Consideration should be given to ensuring that the experience of this very successful GEF project be fully captured in a consolidated final project report. *This work might possibly be undertaken as part of project completion by the Executing Agencies with remaining project funds, if any.*
  2. The Executing Agencies could, as part of their newly established mandate on IWCAM, organize and facilitate periodic consultations with development banks and donors, including GEF, where countries could present their advancements, problems, plans and priorities in water and coastal area management and initiate a dialogue with potential development partners.

## C. Lessons Learned and Final Observations

107. *The possible future of CEHI* - The successful implementation of the GEF-IWCAM project served to highlight the need for a dedicated Environmental Management Agency in the Caribbean with specific responsibilities for the implementation of projects. Even if the termination of the project has left CEHI momentarily weaker from a financial and

HR standpoint, it has endeared itself to several partners and environmental practitioners as a competent organization capable of delivering technical quality.

108. *Readiness Criteria* - New IWCAM related initiatives in the region could consider developing a set of “readiness criteria” for future projects. These could include:
  - Establishing preconditions
  - Defining the enabling environment required for the project to be successful (e.g. countries which have ratified the LBS protocol)
  - Insisting on the need for countries to have some policy in place and required legislation
109. *Capacity building and sustainability* – These are closely linked and should be essential features of all enabling projects like IWCAM. The issue of capacity is one which most SIDS will face when it comes to implementation of projects. Once a project is drawing to an end, every effort should be made to ensure that trained personnel are absorbed in positions in which their skills will be effectively utilized. This will require that both the implementing agencies as well as the PCU ensure transparency in the selection process and that the best candidates are selected. Some of the more obvious benefits of IWCAM were related to the personal growth of individuals involved with the project, particularly at the community level. The emergence of the NGO group in St. Lucia is evidence of that personal and collective growth.
110. *Adaptive management* - Adaptive and flexible management should be encouraged. This is especially relevant when engaging local communities. One of the first initiatives of the St. Lucia Demonstration project was a needs assessment. Out of that came initiatives to address the pollution of the river in the community and innovative measures such as the Rain Water Harvest (RWH) system for collecting and storing water.
111. *M&E* - Monitoring and evaluation can take several forms, preparation of annual workplans, quarterly and annual reports, mid-term and terminal reviews. It is essential, however, that provisions are made for projects to obtain feedback, not just on their performance, but also, on the extent to which stakeholders, and to some extent, the wider public, are receiving “the message” and how that message is making a difference in their lives.
112. *Private sector* - Several initiatives pursued under the GEF-IWCAM project seemed to have great potential for private sector involvement and even being of commercial value. While this may not have been a specified output, with the context of current efforts to promote the green economy principles, a greater effort should be made in promoting these initiatives. This may require the engagement of short-term consultants to explore the commercial values of such initiatives and developing a blueprint for its commercialization.
113. *Using ICT* - While exchange visits and workshops have great value for participants the changing landscape for convening meetings using electronic means need to be explored and considered and much more use made of this technology. The savings in terms of travel and accommodation could be tremendous as funds diverted from travel could be used for the benefits of demonstration projects or other beneficial uses.
114. *Communication activities* - Another of the major successes of the GEF-IWCAM project was the quantum of resource materials, including the high quality newsletter “Caribbean Water Ways” published on a quarterly basis. This was an initiative of the PCU because the budget did not initially make allowance for communications of this nature. This obviously was an oversight, but serves to indicate the importance of ensuring that communications is a part of every major project, taking into consideration the various audiences (project managers, partners, students and academic institutions) who will have an interest in the information to be disseminated. The website proved to be a very valuable means of communications. However, having an informed and interactive

website requires maintenance (regular updates) to ensure its effectiveness. Like in IWCAM, adequate resources should be made available in all projects for the regular maintenance of the site.

115. *Political Legitimacy within CARICOM* - While UNEP CAR-RCU and UNDP provided valuable support to the programme, and CEHI was one of the EA, the sustainability of such initiatives will be greatly enhanced if there would be greater visibility of the regional presence and their participation directly related to programmes approved by the regional political governing body. The adoption of the Revised Treaty of Chaguaramas (RToC) provides an opportunity for such linkages (within CARICOM) in a similar manner to linkages with Cartagena Convention, the GPA, Barbados Programme of Action (BPoA) and the St. Georges Declaration. The justification for such an approach is that the RToC is a legally binding document which creates obligations on parties (CARICOM Member States) that are signatory to the Treaty to enforce. The output, therefore, which required or may in the future require the drafting or amendment to legislation will have their roots, not only in principles of sustainable development and sound environmental management, but also in obligations derived from the treaty and not necessarily from an arbitrary requirement of the project.
116. *Involvement of the Scientific Community*- Though there is evidence of the involvement of the academic community on specific projects, there was little evidence of attempts to engage them, particularly the scientific community, on a sustained basis. It could have been beneficial to have some technocrats from outside the governmental (national and regional) circles on R-TAG.
117. *From Policies to Laws* - Given the fact that policies take an estimated two to three years, or more in some cases, to translate into legislation, and given the fact that several countries have demonstrated such great willingness to adopt the reforms and policies (policies adopted and institutional arrangements reconfigured) which the project sought to promote, GEF-UNDP-UNEP may want to consider providing continued support for the implementation to those policies either directly through the existing executing agency arrangement (CAR-RCU and CEHI) or through another ongoing project (CReW), utilizing any unused funds. That support may require support for raising awareness at the community level (NGO support), the drafting of appropriate legislation and developing a system of monitoring and reporting on progress specific to the projects executed under the project.

**IWCAM TERMINAL EVALUATION  
FINAL EVALUATION REPORT**

**ANNEXES**


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## **ANNEX I - Assessment of Demonstration Projects**

1. **Antigua**
2. **Bahamas-Andros**
3. **Bahamas-Exuma**
4. **Dominican Republic**
5. **Jamaica**
6. **St. Kitts and Nevis**
7. **St. Lucia**
8. **Tobago**

## ANTIGUA

[Mitigation of groundwater and coastal impacts from sewage discharges from St. John]  
**Resolution of coastal sewage and wastewater pollution through retroactive fitting of street level treatment systems, McKinnon's Antigua.**

Actual start date	2006	
Completion date (exptd)	June 2012	
Planned duration	3 years	
Total GEF funding (US\$)	560,300	
Total co-financing (US\$)	582,800	

### Pilot Project Rationale and Objectives

Initially, the project envisioned that the city of St. John's would be the focus of activities. In the original project document, two streets piping systems were to be upgraded for connection to a central wastewater treatment system. However, due to several developments during the first year of the project, it became necessary to move the focus of the demo from St John's to the current demonstration site at McKinnon's Pond.

McKinnon's Pond - a biodiversity hotspot close to Antigua's capital St John's in need of protection from a wide variety of land based sources of pollution - was chosen as the site for demonstration of an effective sewage treatment system. The new demonstration site included the revamping of a small treatment plant and the connection to a number of homes and commercial enterprises within the McKinnon's area. To ensure the demonstration of the best available technology for the effective treatment of sewage, a Membrane Bio-Reactor (MBR) sewage treatment plant with the capacity to treat 20,000 gallons per day of sewage was eventually chosen. This treatment system will allow the final effluent to be used for irrigation of nearby agricultural plots. Farmers in the area are keen to participate in this aspect of the project, especially as Antigua is well known for being water-scarce.

**Executing Arrangements :** Environment Division, Ministry of Agriculture, Land, Housing and the Environment, and the Central Board of Health, Ministry of Health

**Mid-term Evaluation:** At the time of the Mid Term Evaluation (mid 2009) the demo was at its initial stages of execution. Delay was noted and corrective actions recommended.

**List of persons interviewed**

Mrs. Diann Black Layne, GEF Focal Point, Ministry of Environment, Environment Division

Ms. Melesha Banhan, Senior Environmental Technician, Environment Division.

**Project Delivery** – The demo had a very difficult start and its location had to be moved from downtown St John's to the McKinnon's Pond, not far from the city center. Even here difficulties arose when the anticipated private sector involvement did not work out, and the Government decided to move on its own with the construction of a sewerage system. The hope is that the treatment technology demonstrated (MRB) will eventually be adopted by hoteliers. The goal is to both reduce the salinity of McKinnon's Pond and provide treated water to farmers for re-use in irrigation. Project implementation picked up speed during 2010, and at the time of the Terminal Evaluation the plant was constructed but not yet linked to the sewage pipes from the selected housing district. In order to completely meet the objectives of the Project, it will be necessary for the Environment Division to measure water quality within the demonstration site for at least six months after construction of the plant is completed.

**Evaluation****RELEVANCE**

Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Testing of the MBR system will represent a valuable experience for the Caribbean SIDS, as well as the rehabilitation of McKinnon's pond ecosystem, and the re-use of treated wastewater for irrigation.
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**Rating for relevance**

S

**RESULTS AND CAUSALITY**

Were the objectives realistic?	The demo had to change its initial outputs and objectives, which had resulted unfeasible under the circumstances present at the time of on the ground effectiveness (2006-7). This need for change is attributed to the fact that the Central sewerage system for St John's was not developed as originally planned and to the renovation of the streets selected by the project that took place for the 2007 Cricket World Cup).
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	The demo is still under implementation at the time of the Terminal Evaluation. End of construction (pipeline connections) and of monitoring foreseen for Mid-2012.
Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Initial delays and change in focus have not substantially affected overall results: in fact new project location might provide a wider range of potential social and environmental benefits once/if demo will be completed.
Were the activities designed within the pilot likely to produce their intended results?	Activities had to be completely re-designed, and although a detailed new design was not made available to the evaluator, the activities described in the interviews seem adequate to produce expected results.

<b>Overall rating for results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot make use of/build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programs and projects etc. to increase pilot efficiency?	The project is striving to build synergies with other ongoing and soon to be implemented GEF projects (CReW) in the country, and is seeking coordination with other sectors (Tourism).
<b>Overall rating for efficiency</b>	<b>S</b>
<b>SUSTAINABILITY/REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	The demo has helped the Environment Division to draft a nation-wide Strategy for wastewater and sewage management which is now at the Minister office for approval and submission to Parliament. The Strategy will be refined once the demo's economic and operational data will become available.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	The Strategy foresees the search of ways to achieve sustainable financing mechanisms.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Yes, depending on swift approval of the national strategy and financing scheme.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits	The rehabilitation of McKinnon's pond only outlet to the sea will have to be completed as soon as the treatment plant will have demonstrated its effectiveness, to restore some ecosystem functioning.
Has the pilot contributed to policy changes?	It has fostered the drafting of the national strategy for sewage and wastewater.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	The CReW project and the possible continuation of IWCAM type assistance from GEF are seen has potential ways to sustain the demo's results and initiate replication.



Did the project create opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?	Not outside the Environment Division.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Involvement of local stakeholders appears weak at present.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>MS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	The demo had to overcome a number of obstacles, and with assistance of the IWCAM PCU was able to do so and move towards achievement of significant results.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>MS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP’s regional office, CEHI and others?	Apparently not, besides frequent and very effective support from the PCU.
Were there exchanges, and regional dissemination efforts?	Apparently not.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Only marginally.
<b>Overall rating for contribution to overall ex-</b>	<b>MS</b>

pected outcome of IWCAM:	
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning?	No
Were financial and administrative arrangements including flows of funds effective?	Flow of funds was not seen as a problem by the executing agency.
Overall rating for Financial Planning / budgeting:	S
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	The baseline assessment included a legislative review, and the sampling of the pond's waters in the vicinity of the plant.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Implementation progress, initially very slow, has lately improved substantially, thanks also to the PCU's and SC oversight and proactive involvement. Some misunderstanding seemed to exist concerning the way to assess "stress reduction".
Overall rating for Monitoring:	MS


BAHAMAS		
Developing a Land and Sea Use Plan for Water Recharge Protection in Andros Island		
Actual start date	2006	
Completion date	Dec. 2011	
Planned duration	4 years	
Total GEF funding (US\$)	560,300	
Total co-financing (US\$)	582,800	
<b>Pilot Project Rationale and Objectives</b>		
<p>For over 35 years Nassau has shipped nearly five million gallons of freshwater daily from the North Andros Well Field. Andros is the largest source (70 percent) of freshwater in The Bahamas and has been critical for a long time to the maintenance of potable water quality on the main island of New Providence (capital—Nassau) barging water across from Andros on an almost daily basis. Within Andros, the most important aquifers are very vulnerable as they occur within 30 cm of the top soil. They support some of the most pristine forest (pine and coppice) and wetland habitat in the Caribbean. The main challenges include pollution of the aquifer (from agriculture, sewage, unsanctioned domestic use, and puncture as a result of development), encroachment, habitat destruction, dredging, and over extraction.</p>		
<p>The aim of this project was to demonstrate active groundwater recharge area protection through the development of a Land and Sea Use Plan (including zoning for all user practices) supported by an on-the-ground monitoring, surveillance and compliance mechanism. The Land and Sea Use Plan (LSUP) would be adopted as a formal government policy and enacted in law where appropriate. Zoning would be achieved through an integrated combination of GIS, ground surveys (where required) and community participation (including local District Councils). The initial intention was to prove the value and efficacy of such a LSUP, to demonstrate effective mechanisms for enforcement and monitoring, and to replicate this throughout the Bahamas (as well as other countries within the regional IWCAM project).</p>		
<p><i>It has to be noted that groundwater extraction in Andros for shipment to Nassau has permanently been discontinued in 2011, when a desalinization plant entered into production in New Providence.</i></p>		
<b>Executing Arrangements:</b> The Bahamas Environment Science and Technology (BEST) Commission has been identified as the Project executing agency. The BEST Commission coordinates the protection and conservation of the environmental resources of The Bahamas, and represents the Government in discussions and negotiations with representatives of regional and international organizations and foreign governments, where appropriate, on matters relating to the environment, science or technology.		

<b>Mid-term Evaluation</b> At the time of the MTE (2009), the project was encountering difficulties and serious delays that prevented the evaluation of the progress made.	
<b>List of persons interviewed</b> Mr. Philip Weech, Director, BEST Commission Mr. Sherlin Brown, BEST Commission Dr. Richard Cant, WSC Cyprian Gibson, WSC William Ambrose Johnson, Engineering Technical Services (ETS)	
<b>Project Delivery</b> – Until 2009 the project suffered serious delays in implementation – partly due to several changes in project management, and the project was declared at risk during the 2009 Steering Committee Meeting. By the time of the 2010 meeting of the RTAG the project had however made important progress and at the time of the evaluation (January 2012) had achieved a number of the expected results.	
<b>Category</b>	<b>Evaluation</b>
<b>RELEVANCE</b>	
Are the results likely to contribute to the achievement of IWCAM goal and outcomes?	The Land and Sea Use Plan prepared by TNC and accepted by local communities thanks to extensive local consultations, is based on the most comprehensive baseline assessment performed so far in Andros. It represents an example for low lying islands globally. The focus on groundwater recharge protection seems however to have been lost in the Plan.
<b>Rating for relevance</b>	<b>S</b>
<b>RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes, including the adoption by the Environment Ministry of the Land and Sea Use Plan.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	The project, notwithstanding very serious initial delays, has produced the initially foreseen products.
Were the activities designed within the pilot likely to produce their intended results?	Yes. The urgency of groundwater protection through land use planning was however lost during the project lifetime, likely because of the Government decision to move to desalinization of sea water.
<b>Overall rating for results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot make use of/build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programs and	The pilot suffered from difficulties in startup and organizational issues within the national executing agency. Efficiency in delivery greatly benefited from the partnership with Nature Conservancy and other non profit organizations.

projects etc. to increase pilot efficiency?	
<b>Overall rating for efficiency</b>	<b>MS</b>
<b>SUSTAINABILITY/REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	The Andros LSUP has been adopted by the Ministry of the Environment, and may be replicated in other islands of The Bahamas.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	While the sustainability of the LSUP will depend on Government enforcement, and hence will not require specific funding, the maintenance of the composting latrines installed by the pilot in North Andros high school will require funding. The source of this funding is not yet clearly identified.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	See above.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits	Recurrence of hurricanes and storm surges will put at risk groundwater quality for human consumption, but not otherwise affect habitats and ecosystem services.
Has the pilot contributed to policy changes?	The Land and Sea Use plan forms part of the background documents, which will be used under the new Planning and Subdivision Act (2010). The Act includes provision for land use planning throughout The Bahamas.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	No
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Teachers of the North Andros high school have shown great commitment to maintaining the composting latrines and using them as teaching tools.

Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Extensive awareness raising campaigns were conducted for this purpose.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>S</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Only after the second half of 2009.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	No.
Were there exchanges, and regional dissemination efforts?	Weak participation to regional activities and project events.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Pilot stakeholders did not show particular understanding of the overall scope of IWCAM, nor of the regional support activities being conducted by CEHI and UNEP CAR/RCU.
<b>Overall rating for contribution to overall expected outcome of IWCAM:</b>	<b>U</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial	No

planning?	
Were financial and administrative arrangements including flows of funds effective?	Delays in start up do not seem to be due to cash flow problems.
Overall rating for Financial Planning / budgeting:	S
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	The baseline assessment carried out in Andros represents an example for all low lying island globally.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Not until 2009.
Overall rating for Monitoring:	S

BAHAMAS Wastewater Management at Elizabeth Harbor Marina - Exuma		
Actual start date	2006	
Completion date	June 2011	
Planned duration	4 years	
Total GEF funding (US\$)	579,500	
Total co-financing (US\$)	739,188	
<b>Pilot Project Rationale and Objectives</b>		
<p>The Demonstration Project in Exuma, Bahamas focuses on waste disposal in one of the Caribbean’s busiest harbors: Elizabeth Harbor in the Exuma Keys. At many anchorages, harbors and marinas throughout the Caribbean SIDS, provision for proper waste disposal is inadequate. Sewage discharges in particular are of concern. This harbor was identified as an area of concern as up to 500 marine vessels per day make use of it during peak yachting seasons. Although adequate solid waste collection is available to yachters, the harbor did not have a facility for the collection and treatment of wastewater. In addition, although designated anchorage areas are available, along with private mooring and docking facilities, these were insufficient during peak months. As a result, improper anchoring practices have caused damage to sensitive biological habitats. Historically, wastewater contamination from the yachting and harbor-side communities has posed a challenge to environmental sustainability.</p> <p>To redress this situation the project objectives were: (i) establishment of management infrastructure and strategy for Elizabeth Harbor; (ii) construction of effective wastewater reception facilities including deep-well disposal mechanism; (iii) deployment of moorings and establishment of anchorages; (iv) policy amendments to provide incentives for use and maintenance of facilities; (v) enhance sustainability and replication.</p>		
<b>Executing Arrangements</b> The Executing Agency is the Bahamas Environment Science and Technology Commission (BEST) with oversight by the Elizabeth Harbor Management Partnership (EHMP). In addition, Water and Sewerage Corporation (WSC) held responsibility for the technical oversight of the project.		
<b>Mid-term Evaluation</b> – Due to delayed start up of the project, the MTE recommended action to accelerate the project or to cancel it.		



<b>List of persons interviewed</b> Mr. Philip Weech, Director, BEST Commission Mr. Sherlin Brown, BEST Commission Dr. Richard Cant, WSC Cyprian Gibson, WSC William Ambrose Johnson, Engineering Technical Services (ETS)  Elizabeth Harbor Management Partnership Committee (EHMPC):  Craig Parotti (PORT Chairman, EHMPC Chairman, businessman) Ivan Ferguson, Exuma Island Administrator Kenneth Nixon, businessman, town planning committee Catherine Booker, Environmental Consultant Jennifer Delancy, Department of Environmental Health Elvis Ferguson, Harbor Master Min. of State-Environment, Phenton Neymour Karen Rolle, WSC Jenny Kettel, College of the Bahamas Charity Armbrister, Ministry of Tourism	
<b>Project Delivery</b> – Partly as a consequence of the lengthy period elapsed between project design and on the ground effectiveness, The Bahamas Government lost its first private project partner and had to reassess the methodology by which this project would be managed, consequently losing time during the implementation phase. Eventually a decision was made to task the Bahamas water authority, the Water & Sewerage Corporation (WSC) to hold responsibility for the technical oversight of this project. This was shown to be a critical factor in the success of the project despite initial delays, as The Bahamas Government received a product which was better suited to the realities on the ground, and addressed wastewater treatment requirements of both marine vessels and harbor-side businesses along Elizabeth Harbor. Project execution was hence concentrated in the period 2009-2011, and most project results were obtained.	
<b>Evaluation</b>	
<b>RELEVANCE</b>	
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes. The Demo project addresses the tourism sector, and in particular the very vibrant yachting community present in most Caribbean islands. It showcases modern technological approaches for marina and harbor wastewater collection, treatment and disposal, and ways to minimize habitat degradation. The demo also adopted the innovative Elizabeth Harbor Management Partnership including Government, Commerce, and Community.
<b>Rating for relevance</b>	<b>S</b>
<b>RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Overall yes.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated	The period initially foreseen represented an adequate assessment of the project needs in terms of time. The long time elapsed between the IWCAM

duration of the project?	project approval and on the ground effectiveness of the demo project has affected this as well as all other pilots, in terms of increased costs, evolving conditions and context, requiring an adaptive management effort.
Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Initial delays did not compromise achievement of expected results.
Were the activities designed within the pilot likely to produce their intended results?	Yes. Project design was sound and effective notwithstanding initial delays, which instead affected execution arrangements.
Were the activities appropriate to produce outputs?	Yes
<b>Overall rating for results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot make use of/build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programs and projects etc. to increase pilot efficiency?	The demo project was able to establish partnerships with the private sector for the management of the harbor, the Elizabeth Harbor Management Partnership (EHMP), and for pumping out liquid wastes from yachts, and to involve the Water and Sewerage Company in the handling of the treatment facilities and deep well disposal of residues.
<b>Overall rating for efficiency</b>	<b>S</b>
<b>SUSTAINABILITY/REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	Currently the EHMP is being transformed into a Management Authority, for sustainable long-term administration of project facilities (this is pending cabinet approval). Government expects that EHMP will be instrumental in gathering the consensus of the yachting community to use the pump out scheme and hence allow treatment of liquid wastes. EHMP expects a high level of voluntary compliance and specific enforcement policies are not presently foreseen.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	The Minister with responsibility for the national Water & Sewerage Corporation (WSC) has instructed WSC to produce an estimate of the required government subvention during its first year of operation. The yachting community has expressed an interest in renting the newly built moorings once a fee structure has been determined. It is this sort of improved livelihood and revenue generation activity that is expected to lead to both success and sustainability.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress to-	Yes, if long term financing is not secured.

wards impact?	
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits	No
Has the pilot contributed to policy changes?	Currently a Cabinet Paper has been drafted to empower the EHMP with authority to administrate project facilities, advise government going forward on how these may be sustainably managed, and how local government can continue to enforce newly recommended policies.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	No. Government expects the newly established facilities to become self sustained.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Strong commitment to project success and long term sustainability was clear in both the BEST Commission and EHMP committee. The EHMP retained a highly committed Harbor Master with monitoring compliance and enforcement duties.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Extensive awareness raising campaigns were conducted for this purpose, and a very high ownership of project results at the local and national levels was achieved.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	The BEST Commission proved a high degree of capacity in adapting management to changing conditions.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	There seems to have been little awareness of the overall IWCAM context, and weak participation to regional efforts.
Were there exchanges, and regional disseminations efforts?	Planned, but not yet implemented.
Were local stakeholders and authorities aware of the activities	Only in a very limited way. Government not inclined to achieve intended results through policy

under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	reforms and enforcement.
Overall rating for contribution to overall expected outcome of IWCAM:	MS
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning?	No
Were financial and administrative arrangements including flows of funds effective?	Not initially, which caused delay in project execution.
Overall rating for Financial Planning / budgeting:	S
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	A comprehensive assessment of baseline conditions in Elizabeth Harbor was conducted.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Project delays have prevented to monitor performance of demo facilities, which have only recently started operation.
Overall rating for Monitoring:	S

**DOMINICAN REPUBLIC**  
**Mitigation of Impacts of Industrial Wastes on the Lower Haina River Basin and its Coast**

Actual Start Date	15/02/2008	
Intended Completion Date	December 2011	
Planned duration	4 years	
Total GEF funding \$	520,470	
Total co-financing expected \$	642,750	

**Pilot Project Rationale and Objective:**

The lower Haina river basin hosts one of the main industrial conglomerations of the country with over one hundred medium to large size industries, and one of the major hot spots of pollution in the Caribbean. Industries include the main electricity generating plant, the petroleum refinery, and the only vehicle battery factory in the country. The region is highly contaminated by these industrial activities, as well as by the solid and liquid wastes generated by the communities. At the same time, the waters of the basin are one of the main potable water sources of Santo Domingo.

The pilot project consisted of the following components/activities:

1. Establishment of a Project Management and Administrative Unit
2. Establishment of a management infrastructure and strategy for the Haina River Basin
3. Legislative and policy review to provide incentives for reductions in discharges and emissions, and to establish responsibility for monitoring and compliance, based also on a survey of existing discharge, solid waste disposal and air emission practices in the Haina Industrial area and river basin.
4. Identification and implementation of mechanisms to reduce point-source pollutants
5. Clean-up (removal of solid wastes from ravines, removal of contaminated soils where feasible, ensuring channels have effective water flow where appropriate, etc) and Public/Private Sector Awareness
6. Sustainability and Replication

**Executing Arrangements** - The executing agency of the project was the Secretary of Environment and Natural Resources through the Undersecretary of Environmental Management

**Mid-term Evaluation**

The MTE of the pilot project was conducted in the period June- October 2009. The evaluation only notes a delay in pilot project start up.	
<b>List of persons interviewed</b> Olga Rosario, project coordinator, and Director of Environmental Quality Nancy Valdez, responsible for water quality monitoring Stalin Sanchez, technician, water quality monitoring Mercedes Pantaleon, former Project Coordinator Emma Gomez, responsible for the clean production program	
<b>Project Delivery</b> - The project suffered serious initial delays due to the centralized, and hence slow, administration of funds in the Environment Ministry (SEMARENA). Corrective action was taken only during the second half of 2009. Thus the actual duration of the project was shortened by at least 1.5 years. Thanks to very effective project management, and commitment of the Direccion de Calidad of the Ministry, it appears that this delay only very marginally affected project results, contrary to Project management fears that "The remaining period for project execution is too short to achieve the expected results" (July 2010).	
<b>Evaluation</b>	
<b>RELEVANCE</b>	
Are the results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, in two very relevant ways: (i) by addressing an hot spot of industrial pollution and waste disposal at the estuary of the Haina river, and piloting cleaner production approaches; and (ii) by promoting sustainable integrated management structures for the lower basin, with participation of the industrial community.
<b>Rating for relevance</b>	HS
<b>RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Overall yes.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	The four years initially foreseen represented an adequate assessment of the project needs in terms of time. Had the project team have the opportunity to operate within the originally foreseen timeframe, the pilot may have achieved impacts well beyond initial expectations.
Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Initial delays did not compromise achievement of majority of expected results.
Were the activities designed within the pilot likely to produce their intended results?	Yes, pilot had simple but well conceived design.
Were the activities appropriate to produce outputs?	Yes
<b>Overall rating for results and causality</b>	HS
<b>EFFICIENCY</b>	



Did the pilot make use of/build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programs and projects etc. to increase pilot efficiency?	The project built on the existing SEMARENA infrastructure and policy context, and established synergies with the representative body of the industrial community.
<b>Overall rating for efficiency</b>	<b>S</b>
<b>SUSTAINABILITY/REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	The project resulted in the creation of the permanent <i>Management Committee for the Lower Haina River Basin</i> for the application of IWCAM (CDM-HAINA), formed by representatives of all stakeholders (Dec. 2011), and of the <i>Inter-ministerial Consultative Committee for the mitigation of the impacts of industrial developments in the Lower Haina Basin</i> (January 2012).
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Staff of SEMARENA is preparing an option paper for financial sustainability mechanisms to be submitted to CDM-HAINA.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Lack of sufficient funding may hinder the continuity of the monitoring program.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits	No
Has the pilot contributed to policy changes?	Not yet
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	SEMARENA Water Quality Division is preparing a proposal for the replication of the project approach and methodology in another basin, to be submitted to a variety of possible financing sources, including Government and GEF.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	A number of champions, both in SEMARENA and in the basin have been instrumental to the project remarkable success.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Yes, both at central and local levels, including in the industry community.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Project management was very effective, in particular in establishing since the start a constructive partnership with the private sector industry.

Overall rating for Management, Execution and Partnership Arrangements	HS
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Project staff recognized the effectiveness of IWCAM PCU, but was unaware of activities developed under the regional component. The pilot on the other hand was addressing issues of the utmost importance for the IWCAM approach.
Were there exchanges, and regional dissemination efforts?	The project was highlighted in IWCAM bulletin
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Apparently not.
Overall rating for contribution to overall expected outcome of IWCAM:	S
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning?	No
Were financial and administrative arrangements including flows of funds effective?	Not initially, which caused serious delays in project execution.
Overall rating for Financial Planning / budgeting:	MS
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	The survey conducted as part of Component 3 was fundamental for the conduction of the project. It has been the first effort to diagnose the situation in the lower Haina basin, and identified some key problems initially unforeseen, like the fact the over 80% of industrial discharges are disposed of underground. Given the karstic nature of the substratum, it is likely that a heavy contamination of the unconfined aquifer will result from this practice. High in the agenda of the CDM-HAINA is now the sampling of groundwater and follow up protective measures.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes
Overall rating for Monitoring:	S



## JAMAICA

### An integrated approach to managing the marine, coastal and watershed resources of East-central Portland

Actual start date	2007
Completion date	Dec. 2011
Planned duration	4 years
Total GEF funding (US\$)	601,000
Total co-financing (US\$)	629,340



#### Pilot Project Rationale and Objectives

Portland parish is located at the northeastern section of Jamaica. The majority of the upper and middle watershed areas of the parish are within the Blue and John Crow Mountain National Park, Jamaica's first terrestrial national park opened in 1993. The demo area spans along approximately 20 km of coastline including all inshore marine habitats from the coast to the 100 fathom mark (~ 200m in depth) and the interior watershed area draining into the sea between these points, up to the northern boundary of the National Park. Portland's inshore marine environment includes a variety of seafloor habitats (stone, algae, sand, and mud plains). Coral reefs include some of the healthiest examples remaining in Jamaica and thus are critical national priority. However, major threats to coral reefs, and other coastal and marine species are the downstream effects of sewage, solid waste mismanagement, other pollutants and suspended solids brought to the reef by rivers, runoff and prevailing currents.

The project proposes to develop and implement a model Watershed Area Management Mechanism for the Eastern Portland area, incorporating the lessons and experiences gained elsewhere in the country, and capture relevant examples from other SIDS. GEF funding of this project will be instrumental in achieving:

- Collaborative implementation of IWCAM effort, taking into account other initiatives (e.g. USAID, CIDA) currently operating in the region;
- Improved Water Quality Management;
- Promotion of the protection of globally important biodiversity and endangered species;
- Improved sustainability and management of declared PA
- Development, implementation and adoption of participatory approach
- community governance and management of sustainable environmental process
- Promoting the suitability environmentally compatible economic activities for human existence
- Dissemination of lessons learnt and replication of experience.

**Executing Arrangements:** National Environmental Planning Agency (NEPA) an agency of the Ministry of Land and the Environment.


**Mid-term Evaluation:** The evaluation noted that the Jamaica demonstration project reported clear stress reduction, and represented an innovative example of increasing the involvement of local participation, also through a local 'animator' to stimulate the debates and to encourage local involvement. The MTE also noted the synergies with previous projects (e.g. USAID

Ridge to Reef – Jamaica).	
<b>List of persons interviewed</b> NEPA Mr. Peter Knight, CEO Mrs. Lisa Kirkland, Project Manager Mrs. Novlette Douglas, Special Projects Manager Mrs. Sheries Simpson, Manager, Projects Planning & Monitoring Branch Mrs. Natalie Fearon, Manager, Public Education and Corporate Communication Branch  In Portland Mr. Selvyn Thompson - Conservation Officer Mrs. Lucille Palmer – President Fairy Hill Citizen Association Mrs. Julia Smith – Member of Nature’s Handmade Paper Mrs. Gloria Dorman - Supervisor, Nature Handmade Paper Mrs. Cherika Haye - Member of Nature’s Handmade Paper Mrs. Lena Stewart – Farmer, Member of the Long Bay Citizen Association Mrs. Edris Jones – Secretary, Farmer, Hectors River Jamaica Agricultural Society Mrs. Annette Russell – President, Hectors’ River Senior Citizens Group Mr. Osbert Stichel – Fisheries Officer Mr. George Williams – President, Manchioneal Fishing Group	
<b>Project Delivery</b> – The demo project was executed according to the initial plan, and delivered all foreseen results and outputs.	
<b>Evaluation</b>	
<b>RELEVANCE</b>	
Are the results likely to contribute to the achievement of IWCAM goal and outcomes?	The demo is an example of the application of IWCAM principles in a watershed and coastal area, with emphasis on stakeholder participation. As such it contributed substantially to IWCAM Project’s overall success.
<b>Rating for relevance</b>	HS
<b>RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes, and were all achieved.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	The demo was completed within schedule.
Were the activities designed within the pilot likely to produce their intended results?	Activities were adequate to produce expected results.
<b>Overall rating for results and causality</b>	HS
<b>EFFICIENCY</b>	
Did the pilot make use of/build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programs and projects etc. to increase pilot efficiency?	The demo built on, and achieved synergies with previous and ongoing projects funded by various donors and Government agencies and NGOs.
<b>Overall rating for efficiency</b>	HS
<b>SUSTAINABILITY/REPLICATION AND CATALYTIC EFFECTS</b>	

Does the pilot present a strategy / approach to sustaining outcomes / benefits?	In March 2010, all relevant Government agencies, Ministries, and CBOs and NGOs signed an MoU that “ <i>shall govern the manner in which Sustainable Watershed Management is implemented in Jamaica’s Watersheds using the GEF – Integrating Watershed and Coastal Area Management/National Environmental and Planning Agency - Watershed Area Management Model (WAMM)...</i> ”. The MoU specifies duties and roles of all signatories, and extends to the entire country. NEPA will be the Secretariat for WAMM, tasked with monitoring and dissemination.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	The application of the WAMM approach will be supported through the regular funds of the many Governmental and Civil Society bodies signatories of the MoU. It will not be an additional activity, but a new, integrated way to perform each agency’s or organization’s mandate.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	There might be a need for additional technical assistance funding in the early phases of implementation of the IWCAM/WAAM approach.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Climatic variability and the increased frequency of extreme climatic events might represent a challenge to sustainability of watershed management efforts.
Has the pilot contributed to policy changes?	The approach piloted in Portland served as a basis for the drafting and adoption nation-wide of the IWCAM/WAMM MoU.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	In addition to securing Government financing, NEPA is considering other sources, including GEF, for replication and testing of WAMM in a basin with different geomorphologic and climatic context.
Did the project create opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?	Also thanks to the SGP quite successfully implemented as part of the Pilot, a number of IWCAM/WAMM champions are active in the in the Portland area. They will be key for sustaining the demo’s results with NEPA’s guidance. The commitment and outstanding capacity of NEPA’s Project Manager in catalyzing action was a decisive element for the success achieved in Portland.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Ownership by stakeholders both at the national and local levels is the defining characteristic of this demo project.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Yes.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Compo-	The pilot was effectively linked to the activities implemented by the regional component of the project and par-

nents of IWCAM executed by UNEP's regional office, CEHI and others?	participated to visits and exchanges of experience with other pilots (e.g.: Bahamas). Grenada was particularly interested in the Portland model, and is considering replicating it.
Were there exchanges, and regional disseminations efforts?	The pilot was presented in a number of project events and also in international fora, like the Stockholm Water Week, and the SOPAC conference in Hawaii.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Most stakeholders were aware of the IWCAM project, and had some perception of its overall goal. New policies were in fact adopted in the country as a consequence of the positive testing of the IWCAM approach in Portland, and it is expected that ad hoc legislation might follow.
Overall rating for contribution to overall expected outcome of IWCAM:	HS
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning?	No
Were financial and administrative arrangements including flows of funds effective?	Flow of funds was not seen as a problem by the executing agency.
Overall rating for Financial Planning / budgeting:	S
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	The definition of the Watershed Area Management Mechanism was based on an assessment of baseline conditions and a review of all ongoing initiatives.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	The pilot had a smooth implementation history.
Overall rating for Monitoring:	S

**SAINT KITTS AND NEVIS****Rehabilitation and Management of the Basseterre Valley as a Protection Measure for the Underlying Aquifer**

Actual Start Date	01/01/2008	
Intended Completion Date	December 2010	
Planned duration	3 years	
Total GEF funding \$	530,740	
Total co-financing expected k\$	22,362,380	

**Pilot Project Rationale and Objective**

The Basseterre Valley aquifer is of major importance to the welfare of the people of Basseterre as well as the maintenance of a healthy ecosystem. It provides most of the groundwater supply to the capital town. It is under threat from over-extraction and pollution. Pollution threats are from sewage, agricultural chemicals, and fuel stations.

The project proposed to demonstrate the proper management and protection of the critical Basseterre aquifer and well-field through: A. Baseline assessment and mitigation of threats from contaminants, B. On-the-ground protection of the recharge area, and C. Improved user-resource management.

**Execution Arrangements** - The executing agency of the project has been the St Kitts Water Services Department.

**Mid-term Evaluation**

The MTE of the pilot project was conducted in the period June - October 2009 by the UNEP Evaluation and Oversight Unit. The evaluation noted that the project was at that time well under way after an initial 10 months delay in procurement start up, and producing expected outputs.

**List of persons interviewed**

Dr. Halle Sahely, Project Coordinator, ST Kitts Water Services Department

Mrs. Marsha Smith, Laboratory Analyst, Nevis Water Department

Mr. George Morris, Head, Nevis water Department

Mr. Lewellyn Wiltshire, Laboratory Technician, Nevis water Department

<b>Project Delivery</b> – After an initial delay, the project progressed smoothly, and produced all major expected outputs: (i) improved knowledge of the Basseterre aquifer system, and hence an increased capacity to sustainably manage the resource, and various measures to reduce pollution farming practices and oil contamination; (ii) the establishment of the Liamuiga National Park, covering the entire recharge area of the aquifer, through Parliament Act and adoption of the Management Plan; (iii) facilitation of policy reforms: preparation of the first draft of a new Water Act, including due consideration of IWCAM principles and of groundwater issues (draft to continue process of revision and approval); (iv) progress in the formal adoption of the LBS protocol. In addition to delivering initially foreseen products, the project has also supported the Nevis Water Department in upgrading its water quality laboratory and strengthening its monitoring capacity. The evaluator found the Nevis Lab is in perfect working conditions and fully operational. The monitoring is ongoing.	
<b>Evaluation</b>	
<b>RELEVANCE</b>	
Are the results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, this is the first case in the region of extensive and systematic groundwater recharge protection measures. This is a key component of IWCAM implementation.
<b>Rating for relevance</b>	HS
<b>RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Overall yes.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	The three years initially foreseen represented an adequate assessment of the project needs in terms of time. The exceedingly long time elapsed between the IWCAM project approval and its effectiveness has affected this as well as all other pilots, in terms of increased costs, and evolving conditions and context requiring an adaptive management effort.
Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Initial delays did not compromise achievement of majority of expected results.
Were the activities designed within the pilot likely to produce their intended results?	Yes, the design of the pilot was based on extensive previous work and did not need major changes during execution. It has to be noted that the pilot resulted in the formal adoption of “reforms” by Parliament, something normally beyond the reach of TA projects.
Were the activities appropriate to produce outputs?	Yes
<b>Overall rating for results and causality</b>	HS
<b>EFFICIENCY</b>	
Did the pilot make use of/build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programs and projects etc. to increase pilot efficiency?	The project built on previous work of the Department, and sought coordination with other sectors (agriculture).
<b>Overall rating for efficiency</b>	S
<b>SUSTAINABILITY/REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to	The project has facilitated the establishment



sustaining outcomes / benefits?	of, and produced a Management Plan for the Liamuiga Park, which has been adopted by government.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	The Management Plan foresees the search of ways to achieve sustainable financing mechanisms, eg. through levies on tourism and other uses.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Substantial funding will be needed to rehabilitate the Park area and transform it into a recreational area. Funding has not yet been secured. Farmers presently using the Park area for livestock grazing have not yet agreed to move to other areas.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits	No
Has the pilot contributed to policy changes?	Yes: the Parliament Act establishing the Park, and the adoption of the Management Plan. In addition, the project prepared a new draft Water Act, incorporating IWCAM principles and consideration of groundwater.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	Yes, but limited to the Park Management Plan.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Both St Kitts, and Nevis Water Departments are deeply committed to ensure project's future continuity.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Extensive awareness raising campaigns were conducted for this purpose.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>S</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	The Water Services Department of St Kitts has proven an effective executing agency
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Project staff recognized the effectiveness of IWCAM PCU, and has shown appreciation of the regional context and of the other complementary regional activities of the IWCAM project. In fact in drafting the new Water Act use was made of the toolkit prepared by the regional component of IWCAM.
Were there exchanges, and regional dissemination efforts?	The achievements and approach of the project were showcased in a number of events, both of IWCAM and of others.
Were local stakeholders and authorities aware	Yes, see above.

of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	
Overall rating for contribution to overall expected outcome of IWCAM:	HS
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning?	No
Were financial and administrative arrangements including flows of funds effective?	Not initially, which caused some delay in project execution.
Overall rating for Financial Planning / budgeting:	S
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	The baseline assessment included a geophysical survey – innovative for the region – that allowed a substantial improvement in the characterization of the aquifer, and provided a unique and indispensable management and monitoring tool.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Implementation progress was adequately under control. Some misunderstanding seemed to exist concerning the way to assess “stress reduction”.
Overall rating for Monitoring:	S



## Saint Lucia

### Protecting Watershed Services and Developing Management Incentives in the Fond D'Or Watershed Area in Saint Lucia

Actual start date:	June 2006	
Intended completion date:	June 2010	
Total GEF funding (US\$)	US\$571,200.00	
Total co-financing:	US\$2,122,418	

#### Pilot Project Rationale and Objectives

The primary objective of this project was the development of a model approach to participatory watershed management within the Fond D'Or watershed complex (i.e. catchment areas and tributaries, river basin, river mouth). Such a management approach would capture requirements for integration with other national policies, legislation and resource management strategies. Very specifically, the model would demonstrate the use of incentives and transferred benefits within a watershed management structure to achieve reduction in wastage and loss, and to encourage better conservation and more long-term sustainable use of the resource. The participatory approach would aim to capture the input and support of all stakeholders, particularly local communities, within the watershed complex. A primary initiative of this demonstrative project would be the development of a Compensation for Environmental Services (CES) that would assist in developing a mechanism whereby resource users could exchange services as compensation to each other. This could occur between farmers and institutions or between fishers and government agencies.

#### Executing Arrangements

Ministry of Agriculture, Forestry and Fisheries under the Chairmanship of the Permanent Secretary was the lead governmental Agency with responsibility for the execution of the project. A National Inter-Sectoral (NIS) team comprised of other governmental and non-governmental agencies including private sector representatives.

#### Mid-Term Evaluation

At the time of the Mid Term Evaluation (mid 2009) the demo was almost 80% completed.

#### List of Persons Interviewed:

Mr. Darnley Auguste, Deputy Permanent Secretary, Ministry of Agriculture

Mr. Cornelius Isaac. Project Manager, PMU, GEF-IWCAM Demonstration Project, Saint Lucia

Mr. Trevalyn Clovis, Member of the Watershed Management Committee/Trust for

<p>the Management of Rivers (TMR)</p> <p>Ms. Perpertina James, Trust for the Management of Rivers (TMR)</p> <p>Mr. Louis Ernest, Trust for the Management of Rivers (TMR)</p> <p>Mr. Urban Glace, Trust for the Management of Rivers (TMR)</p> <p>Mr. Ananias Verneuil, Community Liaison Officer, PMU, GEF-IWCAM Demonstration Project, Saint Lucia</p> <p>Mr. Victor Poyotte, Executive Director, Caribbean Water &amp; Sewerage Association (CWSA) Inc.</p>	
<p><b>Project Delivery:</b></p> <p>Based on the project objectives outlined it was clear that the identification of incentive for environmental services was to become one of the significant outputs in demonstrating integrated watershed management. However, having undertaken a needs assessment and recognizing also the potential challenges in achieving that outcome, the PMU embarked on a series of sub-projects that addressed priorities of the communities within the watershed with an expectation that it would engender a greater appreciation for and attention to improving the quality of water that was being by the local population. The sub-projects initiated to address the adverse impacts on the Fond D'Or watershed included a Rain Water Harvesting (RWH) initiative, the Wastewater Wetland Treatment System (WWTS), the Integrated Pig-Waste Management System (IPWMS) and a River Bank Stabilization project.</p>	
<b>EVALUATION</b>	
<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Though some adaptations were made to the original objectives, the projects undertaken will certainly contribute to the achievements of IWCAM goals by demonstrating how various innovative technologies may be used at the community level to address their water quality and water reliability issues as well as contribute to the overall community water improvement initiatives.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	For the most part they were. In hindsight, it may be argued that the CES initiative was a bit ambitious since models for its application had not been developed or tried and tested previously. The other initiative not undertaken was the Soil Conservation project. That was a realistic objective, however, difficulties arose in procuring the services of a soil engineer within the time frame of the project.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated	The time frame would have been realistic were it not for the adaptations made to the project. Several mini projects such as the RWH initia-


duration of the project?	tive, the WWTS, and the IPWMS were initiated to demonstrate community involvement in addressing water reliability and conservation and enhancing water quality.
Were the activities designed within the pilot likely to produce their intended results?	There were some adaptations to the activities initially designed. However those adaptations were seen as contributing to the overall goals of the project and received the blessings of the NIC as they were seen as being realistic and likely to achieve the intended results.
<b>Overall rating for Intended Results and causality</b>	<b>HS</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	<p>When the project was conceptualized Saint Lucia was in the process of making changes to the management of its water resources through the preparation of a national water policy and the establishment of a Water Resource Management Agency (WRMA). It was therefore intended that the PMU would have been located in that agency. Though the execution of the project remained under the Min. of Agriculture, Forestry Division, it helped to fast-track the eventual formation of the WRMA. It was also intended that the Sustainable Development and Environment Division (SDED), and the Coastal Zone Management Unit (CZMU), in particular, would have assumed a greater coordinating role in the management of the project. Unfortunately, due to capacity constraints, neither one of those institutions were able to fulfill those intended roles.</p> <p>While the project might not have benefited from the initial institutional arrangements envisaged, they were able to establish linkages and partnerships with several other governmental agencies, and institutions (e.g. CARDI) and provide some of these institutions with valuable data and technologies generated under the project.</p>
<b>Overall rating for Efficiency</b>	<b>S</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	The project has facilitated the establishment of TMR as a legitimate community-based NGO dedicated to continuing the work of the PMU.

	Through this group, not only is it anticipated that the work will be sustained, but that they will engage in community-community dialogue to share experience, generate awareness of the issues and eventually assist in improving water quality and watershed management in those communities.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	One of the outputs of the project is the creation of TMR. Though still a fledging entity, the enthusiasm of the group does present an opportunity, if not a means whereby funding may be directed for continuing the work started by the PMU.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	The success of some of the projects has created opportunities for private sector entities to now make a commercial venture out of them. However, other initiatives requiring ongoing sensitization and the need to replicate those successes in other communities run the risk of not being possible without the injection of additional funds.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	The continuation of some development activities (e.g., farming on hillsides, rearing of pigs) means that the initial concerns of soil erosion and poor water quality will continue to have a negative impact on the environment.
Has the pilot contributed to policy changes?	Though evidence of policy change is considered an essential indicator of change, in the case of Saint Lucia, this may not be as essential, given the fact that existing legislation is comprehensive to address issues related to watershed management. There the challenge however, is one of capacity, the need acquire the capability to enforce the laws. Notwithstanding, there has been evidence of changes based on project initiatives. That was evident in respect of the enhancing water quality, and policy directives in respect of water storage.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	Though there are clearly identified areas for continued support, TMR has not received much financial support.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its	Individuals in the various communities have now become more aware of how their activities are impacting negatively on the environment and particularly the water quality. Several of the innovative technologies are being used by

results)?	<p>individuals in the communities some of whom are thinking of making a commercial venture out of projects such as RWH and the development of a bio-digester to make use of pig waste. Though it is not legislated, the Ministry of Education has now issued a policy directive making it mandatory that schools install a RWH system to serve as a backup water supply to meet water shortages.</p> <p>The establishment of TMR does provide an opportunity for members to continue with the initiatives established by the PMU.</p> <p>There were also several training opportunities provided to members of the community in various marketable skills. These included training in water quality monitoring, installing RWH systems, construction of septic tanks and exposure to technologies involved in the IPWMS.</p>
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	<p>The project pursued a very participatory approach to achieving its objectives, and to a great extent, it seemed to have achieved its objectives. The establishment of the community NGO TMR is evidence of that community interest and involvement. Having identified the problems facing residents in the community, the PMU sort to educate and inform residents of the activities which they themselves were responsible for.</p> <p>The success achieved through the introduction of the RWH system provided the catalyst for engaging the attention of populations in the watershed area. Water problems encountered in the post Hurricane Thomas provided final validation of the benefits of the system of water conservation and ensuring that the successes of the project were not only restricted to the Fond D'Or region.</p>
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	<p>Though some adaptations were made to the overall project objectives, those changes seem to have received the approval of all the parties involved. All of the parties involved seem highly satisfied with the execution arrangements.</p>
<b>Overall rating for Management, Execution and Partnership Ar-</b>	<b>HS</b>

rangements	
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Initially there was as clear connection given the intended object to demonstrate incentives for environmental services as a means for enhancing watershed management. Though the intended project activities were modified, the final outcome helped to draw attention to critical aspect of watershed management including the enhancement of water quality, the need for increasing means for water storage capacity and addressing issues of water supply.
Were there exchanges, and regional disseminations efforts?	The WWTS and the RWH system were significant innovative technologies for sharing with other regional partners. The PMU also benefited from other exchanges with other regional partners as well as training provided by the IWCAM PMU in areas such as Lab technologies, GIS, educational awareness and project management. Given the overall success of community involvement in this initiative there are now opportunities for the Fond D'Or community to share their successes with other communities in Saint Lucia.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes, there was constant dialogue with the IWCAM PMU and or CEHI. More importantly, the frequent training opportunities provided opportunities to share and exchange information and the quarterly newsletter as well as other technical reports provided a constant source of information about the project intended outcomes.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	Though there were no apparent deficiencies in the budget, the project was able to leverage additional financial support from several international, regional and local sources to undertake the additional projects they embarked upon.
Were financial and administrative arrangements including flows of	Yes. For the most part it was not a problem though there were some concerns about the

funds clearly described?	changes to the reporting system which caused some delay.
<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	Within the context of the changed sub-projects, yes.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Though there seems to be widespread satisfaction with the project, it would have been useful if some feedback mechanism had been built into the project to determine the magnitude of that success and the scope or extent to which communities in the project area were aware and satisfied with the outputs.
<b>Overall rating for Monitoring</b>	<b>S</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

Tobago Land-Use Planning and Watershed Restoration in the Courland Watershed and Buccoo Reef Area		
Actual start date:	June 2007	
completion date:	November 2010	
Total GEF funding (US\$)	\$673,000.00	
Total co-financing:	\$50,719,700	

### Pilot Project Rationale

The project aimed to alleviate the causes of environmental degradation in the Targeted Area (Courland Watershed and Buccoo Reef Bay area).

### Pilot Project objectives and components

- Initiate Reforestation of Courland watershed and monitoring programme
- Diversion of surface drain into constructed artificial wetland
- Upgrade Land-Use Plan in Target Area and improve EIA process
- Collaboration with IDB for effective waste-water monitoring programme
- Establishing a sustainable programme of effective data-collection
- Developing formal procedures for data-flow
- Instigate an IWCAM approach to decision-making
- Incorporate community involvement in the management process
- Undertake a long-term awareness and sensitisation campaign

### Executing Arrangements

The project was managed by a Cabinet-approved National Inter-sectoral Committee (NIC) comprised of representatives from various Ministries and Divisions from both Tobago and Trinidad. The NIC was chaired by the representative of the Department of Natural Resources and Environment of the Tobago House of Assembly (DNRE/THA).

The daily project management was the responsibility of the Project Manager, who had responsibility for overseeing the execution of the project to time and according to the stated budget. The Project Manager reported to the PMB at their regular meetings. The Project Manager was supported by a Project Assistant as well as additional staff including:

- Demonstration Project Manager
- Environmental Education Coordinator
- 2 Geographic Information Officers
- Scientific Diver

The PM supervised the project staff and the operation of the GIS Unit. The directors of Buccoo Reef Trust, as the entity contracted to undertake the implementation of the project provided general oversight and ensured the timely and professional delivery of the outlined ob-



jectives and ensure successful completion of the project.
<p><b>Project Cost and Financing</b></p> <p>As of December 2011, the project had received all of the GEF grant funds with the exception of \$5,000.00.</p>
<p><b>Mid-term Evaluation</b></p> <p>An MTE of the pilot project was conducted by the UNEP Evaluation and Oversight Unit May 11 – 12, 2009. The main issues identified at that time were apparent communication issues between the BRT and THA and concerns in respect of the pace at which the stress reduction aspect of the project was proceeding. The “communication issues” was nothing more than a little misunderstanding as a result of some delays in communications and easily resolved, while the issue of stress reduction was also address through the selection of a Fish Processing Plan as a demo for stress reduction using the Wetland Wastewater Treatment system. This project was successful completed.</p>
<p><b>List of persons interviewed</b></p> <p>Mr. Linford Beckles (Director, NRE) Tobago House of Assembly  Ms. Sandra Timothy (Project Manager/Postharvest Technologist, DFCP, THA)  Ms. Kaye Trotman (BRT Board Representative)  Mr. Lyndon Glasgow Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)  Ms. Laura Glasgow Anse Fromager Ecological Environmental Protection Organisation (AF-FEPO)  Ms. Avril Alexander, Regional Coordinator, Global Water Partnership-Caribbean</p>

RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes. The project was very much in sync with the overall intended goals and outcomes of IWCAM. As a project it demonstrated the use of various technologies (GIS, Marine Survey mapping and the artificial wetland system) and other management approaches to drive and shape policies for integrated watershed management.
<b>Rating for Relevance</b>	<b>HS</b>
INTENDED RESULTS AND CAUSALITY	
<b>Were the objectives realistic?</b>	<p>Most of the objectives were realistic and attainable. Where they were not realistic it was not as a result of a failing of the project but because these objectives were outside the control of the project. For example:</p> <ul style="list-style-type: none"> <li>▪ Waste water Project for SW Tobago</li> <li>▪ Upgrading Land Use Plan</li> </ul> <p>In respect of the Wastewater project, GOTTT decided to discontinue the project as the cost kept escalating. However, some work</p>

	<p>was done including the undertaking of a feasibility study and an Environmental Impact Assessment (EIA). The project was eventually redesigned and it was decided to utilize existing unused capacity.</p> <p>In respect of the Upgraded Land Use plan, thought the programme benefited from increased use of GIS in development planning, it was beyond the capability of the project to enforce any land use changes as that falls squarely under the remit of the central government and the THA. Since 2007 GOTT has been proposing to undertake a revision of the Physical Development Plan. It is hoped that this initiative, when started, will take into consideration the data generated under this project.</p>
<b>Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?</b>	No, but there were some components e.g. Wastewater project not completed. But technically, it was not an activity of the project.
Were the activities designed within the pilot likely to produce their intended results?	Yes. The activities involved quite a bit of training and practical activities which were directly related to the objectives.
Were activities appropriate to produce outputs?	Yes
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	<p>An essential aspect of the pilot was the extent to which it sought to involve several governmental and non-governmental institutions, both formally and informally, in related initiatives. Apart from the fact that several governmental entities served on the NIC, they also benefited from training initiatives structured around related project activities (e.g., GIS Training, Proposal Writing and Project Management Workshops and Seminars), the generation of various marine and terrestrial data, which served to inform governmental entities (Town Planning) regarding land use planning decision-making as well as schools and community groups (e.g. re-forestation programs) in the shaping and drafting of policies for the better management of both marine and terrestrial resources.</p>
<b>Overall rating for Efficiency</b>	<b>HS</b>

SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	<p>While the pilot does not present a strategy/approach for sustaining outcomes, there is little doubt that several of the initiatives have and will be sustained due to the interest demonstrated by several of the stakeholders, including the THA and the NGO community.</p> <ul style="list-style-type: none"> <li>▪ Survey techniques have been developed for gathering information on land-based sources of pollution</li> <li>▪ The Point Intercept Marine Survey method was undertaken and training provided;</li> <li>▪ Reforestation program initiated in the Courland watershed; and</li> <li>▪ Artificial Wastewater Wetland Treatment system constructed.</li> </ul> <p>These projects, together with other community awareness programmes, have not only delivered practical benefits to the communities but have generated a continue interest even after the completion of the project.</p>
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	<p>Yes, funding is required, particularly in respect of the reforestation project and the Wastewater Wetland projects. Though some funds have been secured by the Community group from the UNDP Small Grants programme, the THA has now given their support to the organisation in their application to the Green Fund for additional financial support to continue with the reforestation programme. BRT is also seeking additional support from THA for the completion of the Wastewater project.</p>
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	<p>Yes. Without that financial support the reforestation programme, in particular, will be constrained.</p>
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	<p>Yes, without the continued support for the implementation of the reforestation and wastewater projects there are concerns that there will be a continuation of negative environmental impacts.</p>
Has the pilot contributed to policy changes?	<p>Not in an explicit way, though there is general appreciation for the information derived confirming the extent to which land-based activities, originating in the water-</p>

	<p>shed areas, are having a negative impact on the environment. Policy and/or legislation are not matters which can be immediately implemented given the context in which governmental decision-making takes place. However, by drawing attention to these problems and giving the magnitude of the problems, it is anticipated that all stakeholders will initiate changes in their daily lives which are impacting on the resource base.</p>
<p>Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?</p>	<p>Not in a direct way. What it did was to raise the profile of the NGO in the local community thus providing them with the legitimacy which will allow them to approach various funding agencies e.g. the Green Fund for additional financial support. It also provided training for their membership and other selected personnel from other government agencies. Also the relationships established with other governmental agencies have now provided them with a pool of resources which they can draw on for additional technical resources.</p>
<p>Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?</p>	<p>Yes. The NGO Group AFEPP has now established themselves as a bona fide community group dedicated to protecting the forest resources. Likewise, the BRT has certainly benefited and gained greater legitimacy as an organisation dedicated to the protection of the wider environment.</p>
<p>Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?</p>	<p>Yes, both at the national and regional level. The problems of Buccoo reef are well known, both nationally and regionally. The project is linked with national priorities, as listed in the "Protecting Our Environment" Action Plan for 2002-2007 produced by the Government of the Republic of Trinidad and Tobago. It is also compatible with International and Regional Multilateral Agreements to which Trinidad and Tobago is a signatory, including the Convention on Biological Diversity, the Ramsar Convention on Wetlands, the Cartagena Convention and its protocols and the United Nations Convention to Combat Desertification (UNCCD). The project is fully endorsed and supported by the Tobago House of Assem-</p>

	bly and the Government of Trinidad and Tobago. The intensive educational awareness programmes at the national (Tobago) level has provided sufficient opportunities to heighten that awareness and the need for concerted effort to have them addressed.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the execution arrangements clear?	Yes.
Were the roles and responsibilities of internal and external partners properly specified?	Overall management was effective. All parties were very clear on their roles. Whenever there were doubts, the matters would be brought before the NIC where they were quickly resolved.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	The Pilot was directly related to the overall objectives of the Regional Component and that of CEHI. More importantly, the pilot provided opportunities for learning and sharing watershed management measures with other participating countries
Were there exchanges, and regional disseminations efforts?	Yes. Over the life of the project several workshops and training programmes were held which provided opportunities to share information with others in the community (especially schools and other government ministries) as well as with other regional partners.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Certainly, through the publication of Newsletters, the convening workshops and public awareness exercises (e.g., TV and Radio call-in programmes).
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>HS</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	Yes. It was obvious that funds allocated for salaries were a little short of prevailing rates, even within the public sector. Between the conception and start of implementation cost of living in Trinidad had


	<p>seen some significant changes. From 2007-2010, the project was paying salaries established for 2004. Though the PCU entertained some adjustment to project funds, the Project Management team was reluctant to make changes to salaries for fear it would have opened a flood gate.</p> <p>Another issue related to co-financing. The initial contribution for GOTT under the IADB funded Wastewater Project never really materialised. The Government expressed concern about the increasing cost of the project and even if feasibility study was completed along with an Environmental Impact Assessment, it was decided to utilise existing capacity and delay the project.</p>
Were financial and administrative arrangements including flows of funds clearly described?	Yes, however, towards the final year of the project changes were made in the financial reporting which presented some significant challenges for the local project team. This difficulty created delays in obtaining final disbursement of funds.
<b>Overall rating for Financial Planning / budgeting</b>	<b>S</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	Yes. There was a small hiccup, initially, with respect to the GIS data generated, however that was quickly remedied once a new GIS Specialist was hired. Other data including the water quality monitoring of Buccoo Reef has been satisfactory.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes, though it would have been useful if some feedback mechanism had been built into the project to assess the level of awareness and extent of support there was for the project in Tobago.
<b>Overall rating for Monitoring</b>	<b>S</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

## ANNEX II - Assessment of Hot Spot Pilot Projects

1. Dominica
2. Grenada-Carriacou
3. Grenada
4. St. Vincent
5. St. Vincent Union Island

### Commonwealth of Dominica

#### Roseau Watershed Planning Initiative and the National Integrated Water Resource Management (IWRM) Policy

Actual start date:	February 2010	
Completion date:	October 2010	
Total UNEP funding (US\$)	US\$12,000.00	
Disbursement as of 30 January 2012 (UNEP):	US\$12,000.00	

#### Pilot Project Rationale and Objectives

Dominica was not considered for a Demo project because the information requested from CEHI at the time the proposal was being prepared was not submitted. However, during a national Workshop to promote the ratification of the LBS Protocol, the Roseau Watershed was identified as a critical area or “hot spot” in need of integrated watershed management approaches to preserve its unique and dynamic natural resources.

Following the submission and acceptance of the Planning Initiative some consultants were engaged to prepare the roadmap which resulted in the preparation of a National Integrated Resource Management (N-IWRM) Policy document.

The justification for the project was based on the fact that there are 14 communities within the Roseau Watershed and that changing land use patterns from agriculture to housing, provision of tourism services and the consequent intense, high density development, as well as uncontrolled land-based activities taking place within the watershed, were impacting negatively on the quality of water in the watershed.

The rivers in that watershed, it was revealed, were the source of potable water for domestic consumption and the cruise ship industry, and for export to other Caribbean countries, generation of hydroelectricity, recreation, health spa development as well as for fishing, laundering, and a host of associated recreational activities.

These problems were further exacerbated by the fact that there are inadequate legislation and policies for management and conservation of water resources and watersheds, overlapping institutional responsibility by various departments for the same

<p>resources and the absence of a sustainable land use plan for the area and Dominica as a whole.</p> <p>In light of the above, the objective was to develop a proposal, including specific activities, work plan and budget for a watershed management initiative for the Roseau Watershed in Dominica. The initiative would include the development of a watershed management master plan as well as tangible, on-the-ground interventions.</p> <p>The rationale for the preparation of the IWRM policy was that though Dominica, which derives most of its water from surface water sources, is not considered a water stressed country, there is anecdotal evidence of decreasing stream flows. There is, therefore, a need to develop an integrated policy that will:</p> <ul style="list-style-type: none"> <li>▪ Ensure a sustainable, adequate and secure water supply and guide the development and use of public policies across all sectors to promote efficient use and equitable distribution of water in an environmentally and economically sound manner</li> <li>▪ Assure the orderly and coordinated development and use of Dominica's water resources</li> <li>▪ Value, protect and conserve such resources for the optimal socio-economic benefit of present and future generations</li> <li>▪ Provide the Dominican population with a safe, adequate and reliable supply of water and dependable public sewerage services.</li> </ul>	
<p><b>Executing Arrangements</b></p> <p>Ministry of Agriculture, Forestry and Fisheries, Government of the Commonwealth of Dominica</p>	
<p><b>List of Persons Interviewed:</b></p> <p>Ronald Charles, Assistant Forestry Officer, Forestry and Wildlife Div., Ministry of Agriculture, Fisheries, and the Environment</p> <p>Bernard Ettinoffe, General Manager, DOWASCO</p> <p>Ivanira Da Costa James, Manager, Operations &amp; Maintenance Dep., DOWASCO</p> <p>Magnus Williams, Chief Engineer, DOWASCO</p>	
<p><b>Project Delivery:</b></p> <p>Ministry of Agriculture was responsible for the execution of this project. They engaged the services of two teams of consultants to prepare the study. A Steering Committee comprising various stakeholders was formed to provide general oversight of the execution of the project.</p> <p>The plan provided a detailed physical description of the watershed, problem analysis, implementation proposal and indicative budget. Several priority actions have also been identified for further support in a Phase Two pilot project which it was anticipated, would have come on stream before the project came to an end.</p>	
<p><b>EVALUATION</b></p>	
<p><b>RELEVANCE</b></p>	<p><b>Evaluation Comments</b></p>
<p>Are the intended results likely to contribute to the achievement of IWCAM goal</p>	<p>Yes, it will contribute to the building of capacity in Dominica to contribute to global issues like watershed management and to facilitate the national main-</p>



and outcomes?	streaming of IWCAM approaches and current efforts toward ratification of the regional LBS Protocol.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	The information generated from the project will help the government in meeting the goals of the LBS Protocol utilizing the IWCAM strategy as well as fulfilling the goals of biodiversity conservation, climate adaptation and address concerns arising from the project for the development of a buffer zone for the <i>Morne Trois Pitons</i> National Park World Heritage Site.
Were the objectives realistic?	Yes
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. Several related studies had been undertaken and lots of data generated which would be used in developing a management mechanism for watershed management.
Were the activities designed within the pilot likely to produce their intended results?	While the output was not an activity in the manner of a demonstration project, the Planning Initiative and Nation IWRM Policy documents arising out of the consulting assignments does point the way forward towards the preparation of a National IWRM Plan and a framework in which it should be executed.
Were activities appropriate to produce outputs?	Yes.
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes, it built on studies and other initiatives particularly aimed at biodiversity conservation and climate adaptation. In addition it projects a continuing role for DOWASCO, the Ministry of Agriculture, Division of Forestry and other agencies involved in conservation and protection of Dominica's natural resources.
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	Yes. A carefully laid out plan presents a strategy detailing the management structure to supervise the implementation of the plan including the need for consultation with relevant stakeholders.


If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Funding will be required to undertake some of the activities detailed both in the RW and National IWRM Policy including the recruitment of a consultant to assist with the development of a plan for a regulated agency.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Yes. Without the appropriate funding it will be quite some time before the institutional and legislative recommendations could be implemented.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Maintenance of the status quo could lead to increasing amount of unplanned and unregulated activities in the Roseau Watershed, further jeopardizing the primary sources of potable water in the Roseau area.
Has the pilot contributed to policy changes?	There is heightened awareness of the importance of water and activities that are potentially contributing to pollution of the rivers. Draft policy statements have now been prepared for the implementation of the National IWRM Policy as well as ratification of the LBS Protocol.  It has also drawn attention to deficiencies in respect of data collection and analysis which will need to be addressed as part of any initiative to establish and sustain an IWRM plan for Dominica.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	A management structure for the implementation of the project has been detailed. The government is in discussion with CEHI and UNEP-CAR/RCU for possible funding under the STAR initiative.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Yes, the role of DAWSCO has been highlighted and it is expected to play a continuing role in protecting the country's water resources.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Several institutions have been engaged in various initiative aimed at addressing various aspects of resource management in the Roseau River Watershed, including DAWSCO, Ministry of Agriculture and Fisheries and the Ministry of Physical Planning (land use).
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>S</b>
<b>MANAGEMENT, EXECU-</b>	

<b>TION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the execution arrangements clear?	Yes. The Ministry of Agriculture, Forestry Division had responsibility for the execution of the project. Consultants were hired to undertake the studies and execute the pilot projects.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	Dominica did not benefit from a Demonstration Project, but served on the Project Steering Committee (PSC) and the Regional Technical Advisory Committee (RTAG)
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	The main goal of the project was to implement integrated coastal area and watershed management techniques for long-term reduction of land based sources of pollutants. This initiative is closely linked to the overall goals of the IWCAM project and the formal adoption of the LBS protocol.
Were there exchanges, and regional disseminations efforts?	The initial project came as a result of a recommendation from the LBS protocol workshop held in Dominica. Nationals of Dominica also benefited from several initiatives (workshops, technical reports and exchanges) convened under the auspices of the GEF-IWCAM project. The National Focal Point representative, Mr. Ronald Charles, was one of the few persons to attend every one of the PSC and RTAG meetings.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes, stakeholders were informed of the background to the project and the extent to which it fitted in with the overall goals of the GEF-IWCAM project and had the capacity to contribute to other globally supported initiative which were currently being pursued in Dominica.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>HS</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	No.
Were financial and administrative arrangements including flows of funds clearly described?	Yes.

<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	A sufficient amount of data (samples) have been generated in order to inform the preparation of the plans. However some concerns were expressed regarding difficulty in accessing information from governmental organizations and other statutory boards. There was also an absence of scientific data pointing to a need for governmental departments to place greater priority on research, data storage and retrieval of that data. It is anticipated that the CHM and other information databases such as the GeoNetwork being developed by the project and due to be housed at CAR/RCU could greatly assist in addressing this problem.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes. All the objectives have been met and the project completed in the timeframe projected.
<b>Overall rating for Monitoring</b>	<b>MS</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

## Carriacou, Grenada

### Refurbishment Works: Beausejour and Hospital Hill Community Rainwater Catchment Systems

Actual start date:	October 2009	
Completion date:	Nov. 2009	
Total GEF funding (US\$)	US\$17,055.00	
Disbursement as of 30 June 2011 (UNEP):		

#### Pilot Project Rationale and Objectives

Carriacou, one of the sister islands of Grenada, is completely reliant on Rainwater Harvesting to meet its water security needs. As is the case with most of the Grenadine islands, communities become stressed during drought periods when stored water supplies reach critically low levels. During these times of scarcity residents are exposed to the potential hazards associated with lack of adequate water to meet consumption requirements. In responding to the water scarce situation on Carriacou, the Government installed a number of community rainwater catchment systems that service public facilities and the general public. The L'Estere, Beausejour and Hospital Hill community rainwater catchments were among these systems.

The objective of the project is to improve the quality of harvested rainwater supplied by the community RWH catchment systems through the rehabilitation of the L'Estere, Beausejour and Hospital Hill Community Rainwater Catchment systems, the installation of appropriate security fencing, and improvement to the catchment surfaces through the elimination of cracks in the cisterns thereby minimizing entry of contaminants and loss of stored water.

#### Executing Arrangements

The work was supervised by technical staff of the Grenada National Water and Sewerage Authority (NAWASA)

#### Mid-Term Evaluation

This project commenced after the MTE exercise was completed.

#### List of Persons Interviewed:

Ms. Bernadette Lendore-Sylvester, Permanent Secretary, Ministry of Carriacou and Pitit Martinique Affairs with responsibility for Local Government

Dane Lewis, NAWASA, Carriacou

#### Project Delivery:


The project involved the rehabilitation of the L'Estere, Beausejour and Hospital

Hill Community Rainwater Catchment systems and refurbishment of the Beausejour catchment. This entailed the de-bushing of the areas in proximity to the catchment surfaces, repair of cracks in the cisterns, reinstatement of fencing and other ancillary facilities and removal of debris.	
<b>EVALUATION</b>	
<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as it focused on addressing the issue of water scarcity on the island.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes, very straight-forward
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes
Were the activities designed within the pilot likely to produce their intended results?	Yes.
Were activities appropriate to produce outputs?	Yes, though it ran the risk that without adequate funding sustainability could not be guaranteed.
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes, the sites selected were all public institutions (hospital and school) or public facilities.
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	It was intended that these facilities would now be maintained either by the local government or the local communities and that it would serve as a model for the cleaning and maintenance of other cisterns in Carriacou.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in	Project completed

place?	
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	No
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	No
Has the pilot contributed to policy changes?	There has been little evidence of policy change though it has been agreed that the Local Government Council would assume responsibility for maintenance of these facilities. A Bill detailing the responsibilities for the local council in respect of maintenance of the cisterns has been drafted and there is hope it will receive the approval of Parliament in 2012.
Did the project establish adequate measures to contribute to sustaining follow-on financing (catalytic financing) from Governments, the GEF or other donors?	No
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Local community, schools and local government would step in to ensure maintenance of the cisterns.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	While the hospital, schools and local communities have resumed use of the cisterns, there is need for ongoing maintenance. The community in and around the L'Estere school came together in the past (dry season) to assist with cleaning up work. However, that was not evident at the Beausejour community cistern. Some repair work is required on the security fence and some lengths of pipe need replacing in order to transport water to the outlet for collecting water.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>MU</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Yes. There was cooperation and support from the Ministry of Carricaou Affairs.

<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Yes, the project was intended to restore the cisterns to make them useable and provide water to the respective communities.
Were there exchanges, and regional disseminations efforts?	No
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>S</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	No. The contractor was paid once the completed work was verified and approved via a Completion Certificates for all Work Packages.
Were financial and administrative arrangements including flows of funds clearly described?	Yes, these were clearly spelt out in the contract.
<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	No baseline data had to be collected.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	
<b>Overall rating for Monitoring</b>	<b>MS</b>
<b>Overall rating for Evaluation</b>	<b>MS</b>



Grenada St. John's Watershed Management Planning Initiative		
Actual start date:	June 2011	
Intended completion date:	November 30, 2011	
Total GEF funding (US\$)	US\$38,000.00	
Disbursement as of January 2012		
<b>Pilot Project Rationale and Objectives</b>		
<p>The project is aimed at identifying the types and causes of land-based sources of pollution of the coastal environment within the watershed, with a view to developing measures that would promote environmentally sound land use practices that would contribute to healthy coastal ecosystems. The main goal of the project is to implement integrated coastal area and watershed management techniques for long-term reduction of land based sources of pollutants.</p> <p>Implementation of a Watershed Management Mechanism (WMM)</p> <p>Establishment of a Model Liquid Waste Water Treatment System</p> <p>Establishment of a Rain Water Harvesting Systems</p>		
<b>Executing Arrangements</b>		
Ministry of Agriculture, Land Use Division		
Mid-Term Evaluation		
The project started long after the completion of the MTE exercise.		
<b>List of Persons Interviewed:</b>		
Trevor Thompson, Land Use Division, Ministry of Agriculture, Forestry and Fisheries		
Raymond Baptiste, Land Use Division, Ministry of Agriculture, Forestry and Fisheries		
Edward Niles, Consultant		
Alphonous Daniel, Daniel and Daniel		
<b>Project Delivery:</b>		
<p>The project got off to a late start, notwithstanding, at the time of this evaluation they seem well set on accomplishing most of the objectives of the project. A consultant was hired to undertake the preparation of the report detailing the establishment of the Watershed Management Mechanism (WMM) which is intended to provide the framework for enabling a sustainable and efficient management of the watershed. The model Wastewater Wetland Treatment System (WWTS) was under construction, not at the initial Government's Hospital Laundry Facility at Queen's Park, but at Spice Basket, a multi-purpose visitor and entertainment center. The (WWTS) is intended to reduce potential biological and chemical waste materials from entering the coastal environment and will be used as a demonstration model for adoption</p>		

in other pollution point-sources in other parts of the country. The third component, the **Rain Water Harvesting Systems (RWHS)** aimed at encouraging the harvesting, storage and treatment of rainwater for domestic and other uses was established at two venues with the third (Spice Basket) nearing completion. These systems are intended to be used as models for adoption in other parts of the country in order to help in the alleviation of flooding and subsequent reductions in siltation of the river and the marine environment.

## EVALUATION

RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as the overall goal of the IWCAM Project is to strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas.
<b>Rating for Relevance</b>	<b>HS</b>
INTENDED RESULTS AND CAUSALITY	
Were the objectives realistic?	Yes
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. Several related studies had been undertaken and lots of data generated which would be used in developing a management mechanism for watershed management. Also the other project initiatives (RWHS and Wastewater Wetland Treatment) had been initiated and implemented in other countries (Saint Lucia and Tobago). The consultant hired to implement those project had received training in the implementation of similar projects.
Were the activities designed within the pilot likely to produce their intended results?	Yes
Were activities appropriate to produce outputs?	Yes.
<b>Overall rating for Intended Results and causality</b>	<b>HS</b>
EFFICIENCY	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	The design and installation of an efficient and cost effective Wastewater Wetland Treatment System (WWTS), as a high-impact measure, and the RWHS System were both modelled after a similar systems installed in the GEF-IWCAM Demonstration project in St. Lucia.
<b>Overall rating for Efficiency</b>	<b>HS</b>
SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS	

Does the pilot present a strategy / approach to sustaining outcomes / benefits?	Yes. Several demo projects are planned to demonstrate the benefits of the system and encouraging other individuals to invest in similar systems. One of institutions selected for a RWH demo is the Dorothy Hopkins Centre, a home for disabled children and adults. The home uses lots of water on an annual basis and management there is quite satisfied that this system will assist in reducing their annual water bill. One other RWH system has been installed for a private resident, who also is engaged in back yard gardening. A WWTS is currently being installed at Spice Basket, an entertainment Center which houses a Theatre, Restaurant, Museum and Gift Shop, to demonstrate its value as an effective means of reducing pollution of waterways. A third RWH system is planned for a commercial house to demonstrate the benefits of the system both as a means for storing water in times of water shortages, but also as a means of reducing water bills.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Funding will be required and the intention is that local funds will be sourced through the Irrigation and Drainage project to build more demo projects in Grenada.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Yes. Though both the RWH and WWT systems have generated lots of interest in St. Lucia and Tobago, there is some concern that the cost of obtaining the huge water storage tanks might make them unattractive for the average homeowner.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Failure to generate interest could lead to persons reverting to their old practices of disposing inadequately treated waste into nearby waterways.
Has the pilot contributed to policy changes?	Yes, the government has signed on to the LBS Protocol.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Yes, Spice Basket, a major site of tourism interest has been selected for one of the three WWTS.
Has the level of ownership by	Several institutions have been engaged in various

the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	initiatives aimed at addressing various aspects of resource management in the St. John's watershed, including the Ministry of Works (flooding) Physical Planning (land use), NAWASA (water supply and water quality) and Public Health (sanitation). They all supported and stood to benefit from an integrated approach to management.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>S</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the execution arrangements clear?	Yes. The Ministry of Agriculture, Lands Division has responsibility for the execution of the project. Consultants were hired to undertake the studies and execute the pilot projects.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	The main goal of the project, which was to implement integrated coastal area and watershed management techniques for long-term reduction of land based sources of pollutants. This initiative is closely linked to the overall goals of the IWCAM project and the formal adoption of the LBS protocol.
Were there exchanges, and regional disseminations efforts?	The IWCAM/PCU convened a number of workshops and technical training sessions throughout the region from which local stakeholders benefited. Personnel from NAWASA, in particular, received training in water quality monitoring and plans are underway for upgrading the lab facilities.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes. There were several events planned and undertaken which allowed stakeholders and authorities in Grenada to become aware of the overall objectives and outcomes of the IWCAM project. The IWCAM newsletter and website also proved to be a useful source of information for local stakeholders.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>HS</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / fi-	No.

nancial planning	
Were financial and administrative arrangements including flows of funds clearly described?	Yes. However there were some delays in accessing funds disbursed by the project which led to delays in execution.
<b>Overall rating for Financial Planning / budgeting</b>	<b>S</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	A sufficient amount of data (samples) have been generated to determine ambient water quality of nearby rivers. Once the pilots become fully operational it is the intention of the local organizing committee to monitor the performance, particularly in terms of water usage at those entities with the RWH systems and water quality in rivers next to the WWTS.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	So far there is no indication of any initiative to monitor the progress and performance of the pilots. However the consultant has indicated his intention to continue with the collection of water samples after the completion of the WWTS in order to determine the effectiveness of the system.
<b>Overall rating for Monitoring</b>	
<b>Overall rating for Evaluation</b>	<b>S</b>

## Saint Vincent

### Implementation of Project Activities in the Pilot Projects in Chateaubelair, Spring Village, Buccament Valley/Vermont and Greggs of Mainland St. Vincent

Actual start date:	June 2010	
Completion date:	Dec. 2011	
Total GEF funding (US\$)	US\$80,000.00	
Disbursement as of 30 June 2011 (UNEP):		

#### Pilot Project Rationale and Objectives

The project consisted of a number of sub-projects in several communities. They were aimed at strengthening communities' commitment and capacity to implement an integrated approach to the management of watersheds and coastal areas.

#### Executing Arrangements

Projects Promotion Ltd (PPL) was engaged by the Caribbean Environmental Health Institute (CEHI) to work with the communities of Greggs, Chateaubelair, Spring Village, and Vermont, Saint Vincent and the Grenadines to develop four project proposals for funding. Following this initial activity PPL was contracted by UNEP to manage and execute a set of project activities under the specific supervision of the Technical Co-ordinator (TC) of the GEF-IWCAM Project.

#### Mid-Term Evaluation

This component of the IWCAM project did not get started until June 2010, which was after the MTE had already been undertaken.

#### List of Persons Interviewed:

Yasa Belmar, Environmental Resource Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Nyasha Hamilton, Environmental Education Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Neri James, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Orlando Craig, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Cecil Ryan, Managing Director, Project Promotions Ltd.

Roseman Adams, President, Union Island Environmental Attackers

#### Project Delivery:

The project sought to increase residents' understanding of the importance of community waterways and to reduce the volume of waste entering the waterways. In this regard the project involved awareness raising as well as providing community

<p>groups with some basic tools and equipment (cameras, garbage bins) as well as involving the construction of the Garifuna Spring, Community Bath and Washing Station in the community of Greggs. The project was executed in two phases. The first phase involved the purchase and distribution of equipment while the second phase involved the development and distribution of promotional materials as well as hands on training and demonstration exercises in the respective communities. Much of the work was done by community members themselves under contract to PPL with PPL making a number of visits and providing technical advice along with other governmental agencies. The project was delayed due to the passage of hurricane Tomas and the General Elections.</p>	
<b>EVALUATION</b>	
<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as it focused on raising awareness and understanding the importance of community waterways.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes, though it assumed that community groups would easily buy into the project.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. The delays were caused by two unforeseen events, one a natural disaster (Hurricane Tomas) and the other, the calling of a General Election.
Were the activities designed within the pilot likely to produce their intended results?	Yes. There were plans made to support the provision of garbage bins with awareness training and promotional materials to ensure the communities were well informed of the project objectives.
Were activities appropriate to produce outputs?	Yes, though it ran the risk that without adequate funding, sustainability could not be guaranteed.
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	The project utilized existing community groups in the execution of the project thus enabling a certain amount of interest and buy-in. There was also extensive collaboration with other governmental institutions such as the Central Water and Sewerage Authority Public Health Department, St. Vincent Electricity Services, Forestry Department, National Parks, Rivers, and Beaches Authority who either provided services, use of equipment and resources or lent their expertise.
<b>Overall rating for Efficiency</b>	<b>HS</b>



<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	With the garbage bins and a regular waste collection service in place there is reason to believe that the outcome could be sustained. Also, the initiative to monitor the quality of water in the Chateaubelair river and tributaries has received support from the North Leeward's Tourism Association who promised to provide support for training additional students.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Funding will be required as these are primarily depressed communities. No mechanisms have been instituted to secure additional funding.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Garbage bins have a finite life and will have to be replaced. Likewise, the display posters and signs could deteriorate and will have to be replaced.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Community members are now more aware of the benefits (health and environmental) and hopefully that would encourage greater willingness to ensure the sustainability of the pilot project.
Has the pilot contributed to policy changes?	There has been little evidence of policy change at the community level other than to reinforce the need for greater collaboration among agencies in delivering essential services to communities.
Did the project establish adequate measures to contribute to sustaining follow-on financing (catalytic financing) from Governments, the GEF or other donors?	Not as yet.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Members of the project community groups have developed a deeper interest in the protection of their community water resources. The community project partner organisations themselves have become more aware, interested and committed to maintaining cleaner waterways and healthier surroundings, generally. Likewise, PPL has been able to strengthen existing relations and corporation between the community-based organisations, the state agencies, and CEHI/IWCAM.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	There was considerable community involvement in formulating the work plan, assigning responsibilities and setting time frame for the implementation of projects. Considerable support was also provided by various governmental agencies. Hur-



	<p>ricane Tomas and the General Elections cause some major disruptions and delays. It took some time to reignite interest in the project. These events and the disruption caused help to demonstrate the fragility of stakeholder support and the difficulties that can arise in sustaining the benefits of the project.</p>
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>MS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Yes. There was cooperation and support from the various governmental and non-governmental organizations involved.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Yes, the project was intended to demonstrate the benefits of keeping waterways clear and enhancing the quality of bathing waters. Information was presented to emphasize the interconnection between the use of forest resources, the waterways and community living. From a regional perspective they would have benefited from information and promotion literature generated by other participating countries as well as the use of other innovative technologies such as the Rain Water Harvesting systems.
Were there exchanges, and regional disseminations efforts?	The project got off the ground too late to really benefit in a significant way. However, there were technical exchanges for personnel associated with the project.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes. The project targeted residents in small communities (Greggs, Vermont, Spring Village and Chateaubelair) occupying areas in and around the vicinity of waterways – streams, rivers and shorelines. Also, the personnel from local churches and schools were targeted. The project also utilized personnel from various state agencies such as the Solid Waste Unit of the Central Water and Sewerage Authority (CWSA), Public Health Department

	in the Ministry of Health and Wellness and the Environment, and the Bureau of Standard. However, given the fact that the project was being implemented in small communities there is little evidence or indication that it received widespread national attention.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>S</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	Not from the regional stand point. The delays in the disbursement were thought to be more an internal issue.
Were financial and administrative arrangements including flows of funds clearly described?	Yes.
<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	No. A monitoring programme, initially calling for forty-eight site visits was reduced to sixteen. The monitoring programme was initiated to assess the level of awareness and understanding on the importance of community water ways and quantity of wastes entering water ways. Another initiative involved the strengthening of community capacity to monitor water quality in Chateaubelair river and tributaries. Over 100 students from the Petit Bordel Secondary School, received training in river water quality monitoring (conducting water testing and generating reports).
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes, though it would have been useful if some feedback mechanism had been built into the project to assess the level of awareness and extent of support there was for the project.
<b>Overall rating for Monitoring</b>	<b>S</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

**Union Island, Saint Vincent**  
**Laying of Pipeworks to Connect the Donaldson Community Water Catchment facility to the Clifton Storage Tank**

Actual start date:	March 2010	
Completion date:	June 10, 2011	
Total GEF funding (US\$)	US\$16,853.00	
Disbursement as of 30 June 2011 (UNEP):		

**Pilot Project Rationale and Objectives**

Union Island is completely reliant on Rainwater Harvesting to meet its water security needs. The community on the island becomes particularly stressed during drought periods when stored water supplies reach critically low levels. During these times of scarcity residents are exposed to the hazards associated with lack of adequate water to meet consumption requirements and safe sanitation. In recognition of the lack of water security on Union Island, the Government has installed a number of community rainwater catchment systems that service public facilities and the general public. In order to address the water security concerns of residents it was agreed that a project will initiate the operationalization of the Donaldson Catchment (at Clifton) facility which was constructed some time ago but was yet to yield drinking water to residents.

The objective of the project is to run delivery pipeworks from the Donaldson Community Catchment to the storage tank at Clifton so as to make the water more accessible to local residents.

**Executing Arrangements**

The Central Water and Sewerage Authority was contracted by CEHI to execute the project

**Mid-Term Evaluation**

The project commenced after the completion of the MTE exercise.

**List of Persons Interviewed:**

Roseman Adams, President, Union Island Environmental Attackers

**Project Delivery:**

The project seeks to connect the Donaldson catchment storage tank to the Clifton tank at Clifton. This will be achieved through the installation of two thousand and fifty (2050 ft.) feet of 2" Galvanised Iron (G.I.) pipes and associated fittings and fixtures along the roadside (unpaved area) from Donaldson Catchment to Clifton tank.

EVALUATION	
RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as it was intended to address a critical issue of water scarcity on Union Island.
<b>Rating for Relevance</b>	<b>HS</b>
INTENDED RESULTS AND CAUSALITY	
Were the objectives realistic?	Yes.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. Both parties agreed that the project could have been executed in the time frame indicated.
Were the activities designed within the pilot likely to produce their intended results?	Yes, the project was intended to provide water in a situation where it did not exist previously.
Were activities appropriate to produce outputs?	Yes
<b>Overall rating for Evaluation</b>	<b>NA</b>
	<p>It was impossible to rate this project as very little information was provided.</p> <p>This leg of the country visit was not the most productive as the National Focal Point for SVG did not make any provisions for the visit either to St. Vincent or to Union Island despite letters being sent to both the NFP and the PS and telephone calls made prior to the visit. The first day of the visit to SVG was spent trying to arrange meetings with personnel from the Environment Department and with Projects Promotions Limited, the entity involved in the execution of the project. Late that afternoon a meeting was convened with personnel from the Public Health Department as they had provided assistance (facilitated workshops and made presentations) with the execution of the projects in the four communities.</p> <p>The following day a meeting was convened with the Managing Director of PPL to discuss the outputs and achievements. Later that afternoon a tour of the <b>GA-RIFUNA SPRING</b> Bath and Washing Station was undertaken to assess the status of the project.</p> <p>After finally making contact with the Project Manager of project in Union Island it was agreed that a visit could be facilitated on Wednesday. The visit to Grena-</p>

	<p>da was therefore postponed to accommodate the visit to Union. Island. Unfortunately, on arriving in Union Island the Project Manager was unavailable. The President of Union Island Environmental Attackers Mr. Roseman Adams offered to facilitate a tour of the facilities but he could not say much about the project as he was not directly involved. Given the tight schedule it was not possible to remain in Union Island for another day to meet with the Project Manager. As a result this report is unable to make any definitive statement on the achievements or outputs of this project other than inform on the project activities and its intended objectives.</p>
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## ANNEX III - EVALUATION TORS

### TERMS OF REFERENCE

#### Terminal Evaluation of the Project “Integrating Watershed and Coastal Areas Management in the Caribbean Small Island Developing States (IWCAM)” GFL/6030-05-01

### PROJECT BACKGROUND AND OVERVIEW

#### Project General Information<sup>3</sup>

**Table 1. Project summary**

<b>GEF project ID:</b>	GFL/6030-05-01 UNEP 52550 UNDP Atlas	<b>IMIS number:</b>	IMIS: 83400FR3 PIMS: 2195
<b>Focal Area(s):</b>	International Waters	<b>GEF OP #:</b>	9
<b>GEF Strategic Priority/Objective:</b>	IW 3 – Undertake Innovative Demonstrations for Reducing Contaminants and Addressing Water Scarcity	<b>GEF approval date:</b>	23 March 2005 (UNEP) 25 July 2006 (UNDP)
<b>Approval date:</b>		<b>First Disbursement:</b>	23 March 2005 (UNEP) 25 July 2006 (UNDP)
<b>Actual start date:</b>	23 May 2006 (UNEP) 26 July 2006 (UNDP)	<b>Planned duration:</b>	
<b>Intended closing date:</b>	July 2010 (UNEP) December 2009 (UNDP)	<b>Actual or Expected closing date:</b>	June 2012 (UNEP) December 2011 (UNDP)
<b>Project Type:</b>	FSP	<b>GEF Allocation:</b>	US\$ 13.78 million
<b>PDF GEF cost:</b>	US\$ .61 million	<b>PDF co-financing:</b>	/
<b>Expected FSP Co-financing:</b>	US\$ 98.27	<b>Total Cost:</b>	US\$ 112.66 million
<b>Mid-term review/eval. (planned date):</b>	January 2009	<b>Terminal Evaluation (actual date):</b>	January 2011
<b>Mid-term review/eval. (actual date):</b>	June-October 2009	<b>No. of revisions:</b>	No. 3 being finalized
<b>Date of last Steering Committee meeting:</b>	15 November 2011	<b>Date of last Revision*:</b>	January 2009
<b>Disbursement as of 30 June 2011 (UNEP):</b>	Regional: US\$ 6.68 million	<b>Disbursement as of 30 June 2011 (UNDP):</b>	Demos: US\$ 5.3 million
<b>Total co-financing realized as of 30 June 2011:</b>	US\$ 5.2 million disbursed	<b>Leveraged financing:</b>	

#### Project Rationale

The Caribbean region is of critical importance to global biodiversity from the point-of-view of the uniqueness of species and habitats. The watersheds and coastal areas of the Caribbean contain some of the world’s most diverse and productive habitats and encompass extensive areas of complex and unique eco-systems. The coastal areas include mangroves, coral reefs, sea grass beds and river deltas, which are an important source of food production and support

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<sup>3</sup> Source: UNEP GEF Project Implementation Report (PIR) Fiscal Year 2011

a variety of economic activities such as fisheries, tourism and the related uses of recreation and transportation.

Many Caribbean species are endemic only to this region. Some 30% of these are now considered to be either destroyed, or at extreme risk from anthropogenic threats. Another 20% or more are expected to be lost from the Caribbean over the next 10-30 years if significant action is not taken to manage and protect them over and beyond existing activities.

Caribbean Small Island Developing States (SIDS) have special conditions and needs that were identified for international attention in the Barbados Programme of Action for the Sustainable Development of Small Island Developing States. Specifically their coastal and watershed environments have a strong causal linkage which strongly advises their consideration under an integrated management approach.

The natural resource protection and management and sustainable development within the Caribbean SIDS witness degradation in a number of areas including: Aquifer Degradation mainly due improper wastewater treatment, overuse of agricultural chemicals, increasing demand for water resources, and an inadequate knowledge of aquifer and groundwater dynamics and re-charging; Reduction in Surface Water Quality and Availability that results from overuse of agricultural chemicals, demand for water resource exceeding supply, deforestation, overgrazing, and poorly planned and controlled construction; Loss of Watershed and Coastal Biodiversity primarily as result of land-use conversion, changes in catchment and stream flow, loss of habitat, and over-exploitation of resources coupled with limited and ineffective protection of sensitive areas; Land Degradation and Coastal Erosion caused by deforestation, overgrazing, soil erosion, inappropriate land-use practices, increasing demand for building materials, and inappropriate construction practices.

There are overarching, governance-related root causes for the current status of natural resource management across SIDS including Ineffective Policy and Legislative Mechanisms, Inadequate Knowledge, Information or Training in Integrating Watershed and Coastal Areas Management (IWCAM)-related issues, Poor Management Approaches, Inadequate Infrastructure or Capacity.

### **Project objectives and components**

The IWCAM project's objective is to strengthen the commitment and capacity of the 13 participating Caribbean SIDS to implement an integrated approach to the management of watersheds and coastal areas. The goal of the project is to enhance the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis.

The project recognises the integrated and interlinked nature of watersheds and coastal areas in small islands and aims to develop a more sectorally-coordinated management approach, both at the national and the regional level, with a strong emphasis on an expanded role for all stakeholders within a participatory management framework.

The project also aims to demonstrate the development of an effective regional strategy for IWCAM, in parallel with demonstrating and replicating geographically targeted national solutions to common Caribbean SIDS issues, through a series of components that capture best practices and translate these into replicable actions.

The project has five components, each with its own component objective as presented in table 2.

**Table 2. Project components and component objectives**

<b>Components</b>	<b>Component objectives</b>
<u>Component I (UNDP)</u> Demonstration, Capture and Transfer of Best practices	To successfully demonstrate concrete solutions and mitigations to specific threats to IWCAM and to capture, develop and distribute best lessons and practices arising from demonstration pilots.
<u>Component II (UNEP)</u> Development of IWCAM process, stress reduction and environmental status indicators framework	To establish process stress reduction and environmental status indicators framework and enhance national and regional capacities for indicator monitoring
<u>Component III (UNEP)</u> Policy, Legislative and Institutional Reform for IWCAM	To reform and realign national policies, legislation and institutional structures to reflect the objectives of the IWCAM and to capture the requirements of the more pertinent regional and international MEAs
<u>Component IV (UNEP)</u> Regional and National capacity building and sustainability for IWCAM	To improve sensitization, awareness and capacity throughout all sectors with respect to IWCAM and establish active, long-term sustainable national and regional mechanisms supporting IWCAM
<u>Component V (UNEP)</u> Project management and coordination	To set up and effective project management and the national and regional level and put in place an active and effective sustainable regional information and management system

The planned outputs under each component, as per the Logical Framework Matrix are presented in Annex 1 of the TORs. The IWCAM project is jointly implemented by UNEP and UNDP. For administrative reasons the UNEP IWCAM project for the Caribbean is complemented by an associated UNDP IWCAM project. UNDP is the Implementing Agency for Component 1 while UNEP implements Components 2-5.

Component I of the project seeks to support the demonstration of actual working examples of activities that can mitigate or resolve barriers to IWCAM within a defined watershed and/or coastal system boundary. Nine demonstration projects in 8 countries (St. Kitts and Nevis, St. Lucia, Antigua and Barbuda, Bahamas, Dominican Republic, Bahamas, Trinidad and Tobago, Cuba and Jamaica) target national and regional hotspots. This component also seeks to ensure that valuable information on lessons and best practices are collected and disseminated for review by the regional stakeholders, that models and guidelines are derived, and that countries are encouraged to implement these models and to adopt the guidelines (where appropriate). The project will pay particular attention to the involvement of the Regional Development Banks and other potential co-founders in the coordination of the demonstrations and in the sharing of lessons and best practices.

Component II focuses specifically on creating indicators framework to monitor the long-term progress and impact of the overall IWCAM strategy for SIDS in the context of process, stress reduction and environmental status indicators as recommended by the GEF. The intention is to identify an optimal indicator framework to monitor changes in the state of the watershed and coastal environments, monitor the trends in socio-economic pressures and conditions in



watershed communities and coastal towns, and to assess the efficacy of IWCAM in addressing these issues and mitigating harmful impacts.

Component III addresses the need for reform to policy, legislation and institutional arrangements pertinent to IWCAM. These needs have been clearly identified in the lack of appropriate and enacted policy and legislation addressing threats and their root causes represents a major barrier to successful IWCAM. For IWCAM to achieve sustainability within the region it is necessary for the countries to reform their policy and legislation to capture IWCAM concepts, especially those inherent to Multilateral Environmental Agreements.

Component IV seeks to foster regional integration and networking to develop active partnerships for IWCAM in the areas of public awareness and stakeholders participation, policy-level sensitisation, evolution of educational materials and new curricula, training, secondment, and the development of a long-term strategy for sustainable IWCAM at the regional level. It also addresses the need for effective community networking and involvement in project activities. The project will explore the mechanisms for establishing MOUs with local communities within the countries through the efforts of the project National Focal Points.

Component V seeks to set up overall project management, steering, reporting and evaluation. Project management is invested in the Project Coordination Unit, which will undertake the handling of day-to-day project issues and requirements. Overall project decision-making at the policy level is the responsibility of the Project Steering Committee (PSC), which will function as the primary policy body for the participating countries in cooperation with the GEF Implementing Agencies and the Executing Agencies.

### **Executing Arrangements**

The Project is jointly implemented by UNEP and UNDP. UNEP serves as the lead Implementing Agency (IA). Specifically, UNEP serves as IA for Components II, III, IV and V while UNDP implements Component I (the Demonstration Projects) given its specific expertise and value vis-à-vis its regional and country offices.

The Executing Agencies (EAs) are the Secretariat of the Cartagena Convention (UNEP CAR-RCU) and the Caribbean Environmental Health Institute (CEHI) with the Secretariat assuming the role of lead EA. Project coordination and administrative requirements are based at the CEHI in St. Lucia.

At the national level, each participating country was supposed to designate a national focal point for the project and establish national intersectorial committees (NIC). NICs would capture the concepts of IWCAM and the project's objectives at the national level and would ensure complimentary activities between national strategies and policies and the IWCAM initiative. The National Focal Points would sit on the NICs, and would act as the country's representative to the Project Steering Committee.

Regional co-ordination and collaboration was to be facilitated through a Regional Project Coordination Unit (PCU), consisting of appropriate professional and support staff that would also provide technical assistance and advice to the participating countries. The PCU was to be established and operated out of CEHI headquarters in St. Lucia.

A Project Steering Committee was to meet annually to monitor progress in project execution, to provide strategic and policy guidance, and to review and approve annual work plans and

budgets. The Committee was to be chaired by a national representative (on a rotational basis) and consist of the national focal points from all participating countries and representatives of the two GEF Implementing Agencies. The Steering Committee could decide to vary this membership through the addition of representatives from other IGOs, NGOs, and the private sector, particularly significant co-financiers. In particular, the Committee will endeavour to ensure the involvement of the Regional Development Banks and the World Bank in its deliberations both through a process of information-sharing and requested input, and through direct attendance at the Steering Committee meetings.

The overall regional project, through the PCU and through the approval of the Steering Committee, was to adopt a Regional Technical Advisory Group (R-TAG). The R-TAG was to advise the Steering Committee and the PCU on IWCAM technical issues within the region. Each country was to nominate a suitable technical representative to R-TAG for adoption by the Steering Committee.

### **Project Cost and Financing**

Table 3 presents a summary of expected financing sources for the project as presented in the Project Document. The GEF provides US\$ 13.78 million of external financing to the project. This puts the project in the Full-size Project category. The project is expected to mobilize another US\$ 98.27 million in co-financing, mostly from Governments (US\$ 82.90), UNDP, UNEP-CAR/RCU, IGO, NGO and private sector. Table 3 also summarizes expected costs per component and financing sources.

The most recent Project Implementation Review (PIR) for fiscal year 2011 reports that by 30 June 2011 the project had effectively disbursed US\$11.98 (regional and demonstration component) of the GEF grant— close to 87percent. By then, US\$ 5.203 million were disbursed from the co-financing pledges.

**Table 3. Estimated project costs per component and financing source**

<b>Component</b>	<b>Co-financing Governments</b>	<b>Co-financing others</b>	<b>GEF</b>	<b>TOTAL</b>	<b>%</b>
<b><u>Comp I:</u> Demonstration, Capture and Transfer of Best practices</b>	\$82,299,964		\$5,474,970	87,774,934	78
<b><u>Comp II:</u> Development of IWCAM process, stress reduction and environmental status indicators framework</b>		\$4,104,000	\$2,821,800	6,925,800	6
<b><u>Comp III:</u> Policy, Legislative and Institutional Reform for IWCAM</b>		\$641,500	\$1,300,850	1,942,350	2
<b><u>Comp IV:</u> Regional and National capacity building and sustainability for IWCAM</b>		\$11,047,029	\$804,600	11,851,629	11
<b><u>Comp V:</u> Project management and coordination</b>		\$237,000	\$2,743,200	2,980,200	3
<b>PDF (B)</b>			\$637,271	637,271	1
<b>Total Project Financing</b>	\$98,329,493		\$13,782,691	112,112,184	100

Source: Project Document for CEO Approval – 17 January 2005

## **Project Implementation Issues**

Given the delays at the project start-up phase, the project completion date was changed from December 2009 to July 2011. The extension would allow the demonstration projects to be completed and lessons shared with other countries. One further extension was requested until June 2012 in order to allow for project wrap-up, uptake of experience and lessons from the project and their systematization and preparation of a follow up project.

A Mid-term Evaluation of the project was conducted by the UNEP Evaluation and Oversight Unit in June-October 2009. At that time the IWCAM project was rated overall as Satisfactory. The project activities related to the relevance to global and regional priorities and the implementation approach by the project, specifically the work of the PCU, were rated as Highly Satisfactory.

## TERMS OF REFERENCE FOR THE EVALUATION

### A. Objective and Scope of the Evaluation

In line with the UNEP Evaluation Policy<sup>4</sup>, the UNEP Evaluation Manual<sup>5</sup> and the Guidelines for GEF Agencies in Conducting Terminal Evaluations<sup>6</sup>, the terminal evaluation of the Project “Integrating Watershed and Coastal Areas Management in the Caribbean Small Island Developing States (IWCAM)” is undertaken at the end of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, UNDP, the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project’s intended outcomes, which may be expanded by the consultants as deemed appropriate:

- How successful was the project in spearheading national and regional reforms in support of the IWCAM approach as a necessary and vital strategy for sustainable management and protection of coastal and watershed resources?
- To what extent did the project demonstrate environmental and developmental benefits of an integrated approach to watershed and coastal zone management in small island developing states
- Did the project establish process, stress-reduction, and environmental status indicators framework and enhanced national and regional capacities for indicator monitoring?
- Were national policies, legislation and institutional structures reformed and realigned to reflect the objectives of IWCAM and to capture the requirements of the more pertinent regional and international MEAs?
- Was the project successful in improving sensitisation, awareness and capacity throughout all sectors with respect to IWCAM? Were regional mechanisms promoting long-term sustainability, networking and Clearing House successful in sharing and dispersing information?
- Was an effective project management system established and functioning at the national and regional level?

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<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

5

<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

6

[http://www.thegef.org/gef/sites/thegef.org/files/documents/TE\\_guidelines7-31.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf)

## Overall Approach and Methods

The terminal evaluation of the Project “Integrating Watershed and Coastal Areas Management in the Caribbean Small Island Developing States (IWCAM)” will be conducted by a team of two independent consultants under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office and UNEP Department of Environmental Policy Implementation (Nairobi).

It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.

The findings of the evaluation will be based on the following:

- **A desk review** of project documents<sup>7</sup> including, but not limited to:
  - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to international waters; Regional Synthesis Report and National Reports prepared during PDF-B phases;
  - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
  - Project reports such as progress and financial reports from countries to the EA and from the EA to UNEP; Steering Committee meeting minutes; RTAG and Steering Committee and workshop reports; annual Project Implementation Reviews and relevant correspondence; demonstration projects terminal reports;
  - The Mid-term Evaluation report and its rubrics;
  - Documentation related to project outputs such as: documentary, website, web-stream of Final Conference; newsletters, articles, brochures, technical bulletins, training manuals, community-based resource assessment toolkit, legislative toolkit, demonstration project case studies and experience notes.
- **Interviews**<sup>8</sup> with:
  - Project management and execution support;
  - UNEP Task Manager (Washington) and Fund Management Officer (Nairobi);
  - UNDP Regional Technical Advisors (Columbia – Panama)
  - UNDP GEF IW Team Leader (New York)
  - Country lead execution partners and other relevant partners;
  - Relevant staff of GEF Secretariat;
  - Representatives of other multilateral agencies and other relevant organisations.
- **Country visits.** The evaluation team will visit 11 Countries where the project is implemented, in particular Bahamas, Jamaica, Cuba, St Kitts and Nevis, St. Lucia, Dominican Republic, Trinidad & Tobago, Antigua/Barbuda, Grenada, St. Vincent & the Grenadines, Dominica.

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<sup>7</sup> Documents to be provided by the UNEP and UNDP are listed in Annex 7.

<sup>8</sup> Face-to-face or through any other appropriate means of communication

## Key Evaluation principles

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned<sup>9</sup>. Analysis leading to evaluative judgements should always be clearly spelled out.

The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The lead consultant can propose other evaluation criteria as deemed appropriate.

**Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 3 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between **what has happened with** and **what would have happened without** the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the **“why?” question** should be at the front of the consultants’ minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.

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<sup>9</sup> Individuals should not be mentioned by name if anonymity needs to be preserved.

## Evaluation criteria

### 1. Attainment of Objectives and Planned Results

The evaluation should assess the relevance of the project's objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved.

- *Achievement of Outputs and Activities:* Assess, for each component, the project's success in producing the programmed outputs as presented in Table A1.1 (Annex 1), both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives). The achievements under the regional and national demonstration projects will receive particular attention.
- *Relevance:* Assess, in retrospect, whether the project's objectives and implementation strategies were consistent with: i) Sub-regional and regional environmental issues and needs – i.e. such as the OECS St. George's Declaration on Principles for Environmental Sustainability; ii) the UNEP and UNDP mandate and policies at the time of design and implementation; and iii) the relevant GEF focal areas, strategic priorities and operational programme(s).
- *Effectiveness:* Assess to what extent the project has achieved its main objective **to strengthen the commitment and capacity of the participating 13 Caribbean SIDS to implement an integrated approach to the management of watersheds and coastal areas** and its component objectives as presented in Table 2 above. To measure achievement, use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3.
- *Efficiency:* Assess the cost-effectiveness and timeliness of project execution. Describe any cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget and (extended) time. Analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, compare the cost and time over results ratios of the project with that of other similar projects. Give special attention to efforts by the project teams to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.
- *Review of Outcomes to Impacts (ROtI):* Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office's ROtI Practitioner's Handbook<sup>10</sup> (summarized in Annex 8 of the TORs). As-

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<sup>10</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact\\_Eval-Review\\_of\\_Outcomes\\_to\\_Impacts-RotI\\_handbook.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf)

sess to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as regards: i) increased capacities for indicator monitoring; ii) realignment of national policies, legislation and institutional structures to reflect IWCAM; iii) improved sensitization, awareness and capacity in all sectors with respect to IWCAM; and the likelihood of those leading to changes in the natural resource base and benefits derived from the environment: a) the adoption and implementation of an integrated and participatory approach to the management of watersheds and coastal areas.

### **Sustainability and catalytic role**

**Sustainability** is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. Application of the ROTI method will assist in the evaluation of sustainability.

Four aspects of sustainability will be addressed:

- *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
- *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources<sup>11</sup> will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
- *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any pro-

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<sup>11</sup> Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.



ject outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?

**Catalytic Role and Replication.** The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP, UNDP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;
- provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- contributed to *policy changes* (on paper and in implementation of policy);
- contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
- created opportunities for particular individuals or institutions (“*champions*”) to catalyze change (without which the project would not have achieved all of its results).

*Replication*, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and evaluate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

### **Processes affecting attainment of project results**

**Preparation and Readiness.** Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? Were lessons learned and recommendations from Steering Committee meetings adequately integrated in the project approach? What factors influ-

enced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.?

**Implementation Approach and Adaptive Management.** This includes an analysis of approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- Assess the role and performance of the units and committees established and the project execution arrangements at all levels;
- Evaluate the effectiveness and efficiency of project management by the EA and how well the management was able to adapt to changes during the life of the project;
- Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and IA supervision recommendations;
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems;
- Assess the extent to which MTE recommendations were followed in a timely manner.

**Stakeholder<sup>12</sup> Participation and Public Awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?
- the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the

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<sup>12</sup> Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

assessment methods so that public awareness can be raised at the time the assessments will be conducted;

- how the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) engaged key stakeholders in adopting and sharing lessons on IWCAM approach.

The ROtI analysis should assist the consultants in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and objectives to impact.

**Country Ownership and Driven-ness.** The evaluation will assess the performance of the Governments of the countries involved in the project, namely:

- in how the Governments have assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various contact institutions in the countries involved in the project and the timeliness of provision of counter-part funding to project activities;
- to what extent the political and institutional framework of the participating countries has been conducive to project performance. Look, in particular, at the extent of the political commitment to enforce (sub-) regional agreements promoted under the project;
- to what extent the Governments have promoted the participation of communities and their non-governmental organisations in the project; and
- how responsive the Governments were to UNEP and UNDP coordination and guidance, to UNDP and UNEP supervision and Mid-Term Evaluation recommendations.

**Financial Planning and Management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

- Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).

- Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by the EA or IA to prevent such irregularities in the future. Assess whether the measures taken were adequate.

**UNEP and UNDP Supervision and Backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP and UNDP have a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP and UNDP including:

- The adequacy of project supervision plans, inputs and processes;
- The emphasis given to outcome monitoring (results-based project management);
- The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- The quality of documentation of project supervision activities; and
- Financial, administrative and other fiduciary aspects of project implementation supervision.

**Monitoring and Evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- *M&E Design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:
  - Quality of the project logframe as a planning and monitoring instrument; analyse/compare logframe in Project Document, revised logframe if any and logframe used in Project Implementation Review reports to report progress towards achieving project objectives;

- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.
- *M&E Plan Implementation.* The evaluation will verify that:
  - the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
  - annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
  - the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
  - projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

### **Complementarities with UNEP and UNDP strategies and programmes**

UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues:

- *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROtI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS)<sup>13</sup>/ Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist.

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<sup>13</sup> <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

- *Alignment with the Bali Strategic Plan (BSP)*<sup>14</sup>. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- *Gender*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Assess whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

### **The Consultants' Team**

For this evaluation, a team of two independent consultants will be hired, at least one of which is from the project sub-region. The evaluation team will combine the following at a minimum two-decades long:

- Experience in evaluation of environmental projects
- Expertise in institutional analysis, environmental management
- Extensive knowledge of fifteen years or more of international water, coastal and integrated watershed, water resource conservation and management, wastewater treatment and management
- And Fluency in Spanish;

coupled with post-graduate education in environment-related field (Team Leader) and post graduate education in law (Supporting Consultant).

The **Team Leader** will be responsible for coordinating the data collection and analysis phase of the evaluation, and preparing the inception report and main evaluation report. (S)He will ensure that all evaluation criteria are adequately covered by the team. **Annex 6** provides a matrix which presents the distribution of responsibilities between evaluation team members which is to be finalized in consultation with the Team Leader in the inception report.

The **Supporting Consultant** will prepare a technical working paper that will be appended to the main report, the content of which will be agreed upon with the Team Leader. The Supporting Consultant is also expected to contribute to selected sections of the main report as agreed with the Team Leader, and provide constructive comments on the draft report prepared by the Team Leader.

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<sup>14</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

*By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of their contract) with the project's executing or implementing units.*

## **Evaluation Deliverables and Review Procedures**

The Team Leader will prepare an **inception report** containing a thorough review of the project design quality and the evaluation framework. The review of design quality will cover the following aspects:

- Project relevance (see paragraph 36 (b));
- A desk-based Theory of Change of the project (see Annex 8 - ROtI analysis);
- Sustainability consideration (see paragraphs 37-38) and measures planned to promote replication and upscaling (see paragraph 39-40);
- Preparation and readiness (see paragraph 41);
- Financial planning (see paragraph 46);
- M&E design (see paragraph 49(a));
- Complementarities with UNEP strategies and programmes (see paragraph 50);
- Using the above, complete and assessment of the overall quality of the project design (see Annex 9)

The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The inception report will be submitted for review by the Evaluation Office before the evaluation team conducts any field visits.

**The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.

**Technical working paper.** The format and contents of the working paper prepared by the Supporting Consultants should be agreed upon with the Team Leader and approved by the UNEP Evaluation Office before any data collection and analysis work is undertaken. It is recommended that the working papers follow the same structure as the main evaluation report, for easy reference by the Team Leader (Annex 2). The Team Leader will carry out a first review of the working papers and provide comments to the Supporting Consultants for improvement. Only a version acceptable to the Team Leader will be submitted to the EO as an appendix to the draft main report.

**Report summary.** The Team Leader will prepare a 15-slide presentation summarizing the key findings, lessons learned and recommendations of the evaluation. This presentation will

be presented to consultations meeting that will be organized during the preparation of the follow-on project to IWCAM. The purpose of this presentation is to engage the main project partners in a discussion on the evaluation results.

**Review of the draft evaluation report.** The Team Leader will submit the zero draft report according to the evaluation timeline in Annex 10 to the UNEP EO and revise the draft following the comments and suggestions made by the EO. The EO will then share the first draft report with the UNEP GEF Coordination Office (Nairobi) and the UNEP Task Manager GEF Projects in Latin America and the Caribbean. The UNEP Task Manager will forward the first draft report to the other project stakeholders for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the Team Leader for consideration in preparing the final draft report. The Team Leader will submit the final draft report no later than 10 days after reception of stakeholder comments. The Team Leader will prepare a **response to comments** that contradict the findings of the evaluation team and could therefore not be accommodated in the final report. This response will be shared by the EO with the interested stakeholders to ensure full transparency.

Consultations will be held between the consultants, EO staff, the UNEP/GEF Coordination Office, UNEP/DEPI, UNDP GEF IW Team Leader, UNDP RTA and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

**Submission of the final Terminal Evaluation report.** The final report shall be submitted by Email to:

Segbedzi Norgbey, Head  
UNEP Evaluation Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel.: (+254-20) 762 3387  
Email: segbedzi.norgbey@unep.org

The Head of Evaluation will share the report with the following persons:

Maryam Niamir-Fuller, Director  
UNEP/GEF Coordination Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel: (+254-20) 762 4686  
Email: maryam.niamir-fuller@unep.org

Ibrahim Thiaw, Director  
UNEP/Division of Environmental Policy Implementation (DEPI)  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel: (+254-20) 762 24782  
Email: ibrahim.thiaw@unep.org



Isabelle Vanderbeck, Task Manager GEF Projects in Latin America and the Caribbean  
1889 F Street, N.W.  
Washington, D.C. 20006  
Room 723  
Tel: (+1-202) 458-3772  
Fax: (+1-202) 458-3560  
Email: [isabelle.vanderbeck@unep.org](mailto:isabelle.vanderbeck@unep.org) or [UNEPRep@oas.org](mailto:UNEPRep@oas.org)

Jose Troya, UNDP Regional Technical Advisor  
City of Knowledge, Clayton, Ancon Panama City, Panama  
Tel: (+507) 302-4571  
Email: [jose.troya@undp.org](mailto:jose.troya@undp.org)

Andrew Hudson, Cluster Leader & Principal Technical Advisor  
UNDP Water Governance Programme, FF-998  
1 United Nations Plaza, New York, NY 10017  
Tel: (+ 1- 212) 906 -6228  
Fax: (+ 1-212) 906 -6998  
Email: [andrew.hudson@undp.org](mailto:andrew.hudson@undp.org)

The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou) and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 5.

The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

### **Resources and Schedule of the Evaluation**

This Terminal Evaluation will be undertaken by two independent evaluation consultants contracted by the UNEP Evaluation Office. The consultants will work under the overall responsibility of the UNEP Evaluation Office and they will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, obtain documentary evidence, meetings with stakeholders, field visits, and any other logistical matters related to their assignment. The UNEP Task Manager, UNDP Regional Technical Advisor, UNDP Country Offices and regional and national project staff will provide logistical support (introductions, meetings, transport, lodging etc.) for the country visits where necessary, allowing the consultants to conduct the evaluation as efficiently and independently as possible.

The **Team Leader** will be hired for ten weeks of work during January 2012 and April 2012. (S)He will travel to Bahamas, Jamaica, Cuba, Dominican Republic, St. Kitts, Antigua and St. Lucia.

The **Supporting Consultant** will be hired for 7 weeks of work during January 2012 and April 2012. (S)he will travel to Tobago, Grenada, St. Vincent, Dominica and Saint Lucia.

The Consultants will meet in Saint Lucia to hold meetings with the executing agencies and project coordinator and start drafting executive summary of the zero report.

## Schedule of Payment

### Lump Sum Contract

The consultants will be hired under an individual Special Service Agreement (SSA). The fee will be estimated as a lumpsum, inclusive of all expenses such as travel, accommodation and incidental expenses.

The consultants will receive an initial payment covering the travel costs upon signature of the contract.

The Team Leader will receive 40% of the honorarium portion of his/her fee upon acceptance of a draft report deemed complete and of acceptable quality by the EO. The remainder will be paid upon satisfactory completion of the work.

The Supporting Consultant will receive 40% of the honorarium portion of his/her fee upon acceptance of a draft report deemed complete and of acceptable quality by the EO. The Team Leader will advise the EO whether the Supporting Consultant has provided satisfactory inputs in the evaluation. The remainder will be paid upon satisfactory completion of the work.

In case the consultants are not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

## Annex 1. Project outputs and demonstration projects

**Table A1.1. Project components and outputs**

COMPONENTS AND OUTPUTS	
<b>I</b>	<b>DEMONSTRATION, CAPTURE AND TRANSFER OF BEST PRACTICES</b>
<b>1.1</b>	<b>Demonstration Implementation</b>
	Initiation & management of demonstration projects
	Development of complementary MSPs and non-demo hotspot concepts
	Demo Project support (Monitoring and Evaluation)
<b>1.2</b>	<b>Capture of Lessons and Best Practices</b>
	Review and capture existing best lessons and practices (see 4.6)

	Review of reports from Demo projects
	Reports from R-TAGS on general IWCAM lessons and practices
	Development of and access to a project database
	Input of information into clearing house
	Regional stakeholder review of lessons and practices from Demos and general IWCAM approaches through Partnership Forum
<b>1.3</b>	<b>Transfer and Replication of Lessons and Practices</b>
	Development of mechanisms for transfer of lessons and best practices throughout region
	Development of Website Pages
	Linkages to IW:LEARN
<b>II</b>	<b>DEVELOPMENT OF IWCAM PROCESS, STRESS REDUCTION AND ENVIRONMENTAL STATUS INDICATOR FRAMEWORKS</b>
<b>2.1</b>	<b>Review IWCAM indicators</b>
	Review national and regional Environmental Status Indicator mechanisms
	Review national and regional Stress Reduction Indicator mechanisms
	Review national and regional Process Indicators
<b>2.2</b>	<b>Develop National Indicator Templates</b>
	Harvest information from Demonstration Projects on Environmental Status indicators
	Develop and disseminate templates for Environmental Status Indicators
	Harvest information on policy and legislative process and stress reduction indicators from 4.2 and Demonstration Projects
	Develop and disseminate templates for Process and Stress Reduction Indicators
<b>2.3</b>	<b>Undertake National Hotspot Diagnostic Analysis</b>
	Identify national 'non-demo' Hotspots and Sensitive Areas and their IWCAM problems and root causes
	Identify required reforms
	Develop Concept papers for follow-up activities
<b>2.4</b>	<b>Indicator Coordination and Training</b>
	Establish a regional centre for storage of Indicator-related information
	Develop regional centre as a Centre of Excellence for Indicator Training
	Training for stakeholders in application of process, stress reduction and environmental status indicators
<b>2.5</b>	<b>Indicator Demonstration</b>
	Establishment (including capacity building) of IWCAM process, stress reduction and environmental status indicator monitoring system in one country using new templates
<b>III</b>	<b>POLICY, LEGISLATION AND INSTITUTIONAL REFORMS</b>
<b>3.1</b>	<b>Review of national policy, legislation and institutional structures</b>
	Reviews of national policies and structures
	Identification of barriers to IWCAM
<b>3.2</b>	<b>Development of models and guidelines</b>
	Consolidation of inputs and lessons from national reviews, participatory stakeholder workshops, and demo projects
	Identification of specific reform requirements based on Hotspot Diagnostic Analyses
	Development of a set of regional guidelines taking into account requirements of relevant regional conventions and treaties
<b>3.3</b>	<b>Programme for regional policy, legislative and institutional reform</b>
	Development of an active regional programme for amendment of national legislation/policy and improvement & restructuring of institutional arrangements

	Parallel development of incentives, and awareness of the need for SIDS to ratify those IEAs, Conventions and Treaties pertinent to IWCAM (Especially Cartagena Convention and Protocols)
<b>3.4</b>	<b>Development of IWRM and Water Use Efficiency Plans</b>
	Initial Workshop to discuss IWRM strategy, assistance and adoption of standard regional approach
	National IWRM plan development process
	Workshop to present all IWRM and Water Use Efficiency plans (13) to the Steering Committee for comment and feedback
	Development and adoption of an implementation strategy for other funding agencies and partnerships
<b>IV</b>	<b>REGIONAL AND NATIONAL CAPACITY BUILDING AND SUSTAINABILITY</b>
<b>4.1</b>	<b>Awareness and Sensitisation</b>
	National & Regional Workshops on needs and target audiences
	Multisectoral awareness campaign with feedback mechanisms
<b>4.2</b>	<b>Stakeholders Involvement</b>
	Identify, strengthen and involve stakeholders
<b>4.3</b>	<b>Education &amp; Training</b>
	Educational Workshops (linked to Awareness Workshops)
	Production of educational materials and incorporation into regional curricula
	Identification and implementation of training needs and regional training networks
	Regional training workshops & networking through IW:LEARN
	Inter-country secondment
<b>4.4</b>	<b>Strategy for IWCAM Regional Sustainability</b>
	Development of IWCAM regional strategic approach
	Assistance with identifying long term funding mechanisms for IWCAM regional strategic approach
	Incentives for national and regional adoption of IWCAM strategies and arrangements
	Review and Evaluation Mechanisms for Strategic Approach, including a stakeholder-sponsored mechanism for post-project evaluation of GEF IWCAM objectives
<b>4.5</b>	<b>Project Networking</b>
	Linkages to national/regional and global institutions
	Linkages to other IWCAM related projects and initiatives, especially WW2BW and GPA
	Development of Regional Partnership Forum
<b>4.6</b>	<b>A Regional IWCAM Clearing House to capture and store all IWCAM information (Link to GPA-CHM)</b>
	Review of all existing and on-going relevant projects and pilots to capture current lessons and best practices
	Development of Clearing House
	Linkages to GPA-CHM
	Networking with countries
<b>V</b>	<b>REGIONAL PROJECT MANAGEMENT AND COORDINATION</b>
<b>5.1</b>	<b>Project Management</b>
	Establish Project Coordination Unit
	Contract staff and consultants
<b>5.2</b>	<b>Regional Project Steering</b>
	Steering Committee Meetings (project monitoring, workplan and budget reviews)
<b>5.3</b>	<b>National Project Steering (National Intersectoral Committees)</b>
	Meetings of National Intersectoral Committees
	Day-to-Day inputs by members
<b>5.4</b>	<b>IA/EA Management Group</b>
	Annual IA/EA Meetings

	EA Interim Management Discussions
<b>5.5</b>	<b>Project Technical Support</b>
	Meetings of Regional Technical Advisory Group (To provide technical support and advice to Steering Committee)
<b>5.6</b>	<b>Project Reporting</b>
	Reports from Demo Projects to PCU
	Reports from PCU to Steering Committee
	Reports from Steering Committee to EA/IAs
<b>5.7</b>	<b>Project Evaluation</b>
	IA Evaluation Requirements
	GEF Evaluation Requirements
<b>5.8</b>	<b>Project Information Management System</b>
	Establish Regional Project Information System
	National inputs and outputs related to Information Management System

**Table A1.2. Demonstration projects under the project Component I**

SUB-COMPONENT	COUNTRY	TITLE OF DEMONSTRATION PROJECT
A: Water Resource Conservation and Management	St. Kitts and Nevis	Rehabilitation and Management of the Basseterre Valley as a Protection Measure for the Underlying Aquifer
	St. Lucia	Protecting and Valuing Watershed Services and Developing Management Incentives in the Fond D'or Watershed Area of St. Lucia
B: Wastewater Treatment and Management	Antigua and Barbuda	Mitigation of Groundwater and Coastal Impacts from Sewage Discharges from St. John
	Bahamas - Exuma	Marina Waste Management at Elizabeth Harbour in Exuma, Bahamas
	Dominican Republic	Mitigation of Impacts of Industrial Wastes on the Lower Haina River Basin and its Coast
C: Land-use Planning, Zoning and Alternative practices	Bahamas - Andros	Land and Sea Use Planning for Water Recharge Protection and Management in Andros, Bahamas
	Trinidad and Tobago	Land-Use Planning and Watershed Restoration as part of a Focused IWCAM Demonstration in the Courland Watershed and Buccoo Reef Area
D: Targeted Model IWCAM	Cuba	Application of IWCAM Concepts at Cienfuegos Bay and Watershed
	Jamaica	An Integrated Approach to Managing the Marine, Coastal and Watershed Resources of east-central Portland

## Annex 2. Annotated Table of Contents of the Main Report

<b>Project Identification Table</b>	An updated version of the table in Section I.A. of these TORs
<b>Executive Summary</b>	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
<b>I. Evaluation Background</b>	
A. Context	A. Overview of the broader institutional and country context, in relation to the project's objectives.
B. The Project	B. Presentation of the project: rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing (amounts and sources), modifications to design before or during implementation.
C. Evaluation objectives, scope and methodology	C. Presentation of the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation.
<b>II. Project Performance and Impact</b>	
A. Attainment of objectives and planned results B. Sustainability and catalytic role C. Processes affecting attainment of project results D. Complementarity with UNEP, UNDP and UNIDO programmes and strategies	This section is organized according to the 4 categories of evaluation criteria (see section D of these TORs) and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
<b>III. Conclusions and Recommendations</b>	
A. Conclusions	This section should summarize the main findings of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with

	the overall assessment of the project. Findings should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the main findings of the evaluation. In fact, no lessons should appear which are not based upon a conclusion of the evaluation. The number of lessons learned should be limited. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing, and their number should be limited to 3 or 4. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyze the pros and cons of each option.
<b>Annexes</b>	These may include additional material deemed relevant by the evaluator but must include: <ol style="list-style-type: none"> <li>1. Evaluation TORs</li> <li>2. The evaluation framework (second part of the inception report)</li> <li>3. Evaluation program, containing the names of locations visited and the names (or functions) of people met</li> <li>4. Bibliography</li> <li>5. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs)</li> <li>6. The review of project design (first part of the inception report)</li> <li>7. Technical working paper</li> <li>8. Brief CVs of the consultants</li> </ol>



	TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.
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Examples of UNEP GEF Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou).

### Annex 3. Evaluation ratings

The evaluation will provide individual ratings for the evaluation criteria described in section II.D. of these TORs. Some criteria contain sub-criteria which require separate ratings (i.e. sustainability and M&E). Furthermore, an aggregated rating will be provided for Relevance, effectiveness and efficiency under the category “Attainment of project objectives and results”.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report. Please note that the order of the evaluation criteria in the table will be slightly different from the order these are treated in the main report; this is to facilitate comparison and aggregation of ratings across GEF project evaluation reports.

Criterion	Summary Assessment	Rating
<b>A. Attainment of project objectives and results</b>		HS → HU
1. Effectiveness		HS → HU
2. Relevance		HS → HU
3. Efficiency		HS → HU
<b>B. Sustainability of project outcomes</b>		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
<b>C. Catalytic role</b>		HS → HU
<b>D. Stakeholders involvement</b>		HS → HU
<b>E. Country ownership / driven-ness</b>		HS → HU
<b>F. Achievement of outputs and activities</b>		HS → HU
<b>G. Preparation and readiness</b>		HS → HU
<b>H. Implementation approach</b>		HS → HU
<b>I. Financial planning and management</b>		HS → HU
<b>J. Monitoring and Evaluation</b>		HS → HU
1. M&E Design		HS → HU
2. M&E Plan Implementation		HS → HU
3. Budgeting and funding for M&E activities		HS → HU
<b>K. UNEP and UNDP Supervision and back-stopping</b>		HS → HU
1. UNEP		HS → HU
2. UNDP		HS → HU

**Rating of Attainment of project objectives and results.** A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.

**Ratings on sustainability.** According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

**Ratings of monitoring and evaluation.** The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

## Annex 4. Project costs and co-financing tables

### Project Costs

Component/sub-component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)

### Co-financing

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursed (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support									
- Other (*)									
-									
-									
<b>TOTALS</b>									

\* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

## Annex 5. Quality Assessment of the Evaluation Report

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
<b>UNEP additional Report Quality Criteria</b>		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

$$\text{Quality} = (2 * (0.3 * (A + B) + 0.1 * (C + D + E + F)) + 0.3 * (G + H) + 0.1 * (I + J + K + L)) / 3$$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Terminal Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

## Annex 6 – Matrix for Distribution of responsibilities and tasks among evaluation consultants

L: Lead assessor

S: Support in data collection and analysis

Evaluation Criteria		Team Leader	Supporting Consultant
Attainment of Objectives and Planned Results	Achievement of Outputs and Activities	See table below	
	Relevance		
	Effectiveness		
	Achievement of main objective		
	Achievement of component objectives:		
	○ Component I		
	○ Component II		
	○ Component III		
	○ Component IV		
	○ Component V		
	Efficiency		
	Review of Outcomes to Impacts (ROtI)		
Sustainability and catalytic role	Socio-political sustainability		
	Financial resources		
	Institutional framework		
	Environmental sustainability		
	Catalytic Role and Replication		
Processes affecting attainment of project results	Preparation and Readiness		
	Implementation Approach and Adaptive Management		
	Stakeholder Participation and Public Awareness		
	Country Ownership and Driven-ness		
	Financial Planning and Management		
	UNEP and UNDP Supervision and Backstopping		
	Monitoring and Evaluation		
Complementarities with the UNEP Medium Term Strategy and Programme of Work	Linkage to UNEP's EAs and POW 2010-2011		
	Alignment with the Bali Strategic Plan (BSP)		
	South-South Cooperation		

	Achievement of Outputs and Activities	Team Leader	Supporting Consultant
	<b>Component I</b>		
	<b>DEMONSTRATION, CAPTURE AND TRANSFER OF BEST PRACTICES</b>		
	<b>Demonstration Implementation</b>		
	Initiation & management of demonstration projects		
	Development of complementary MSPs and non-demo hotspot concepts		
	Demo Project support (Monitoring and Evaluation)		
	<b>Capture of Lessons and Best Practices</b>		
	Review and capture existing best lessons and practices (see 4.6)		
	Review of reports from Demo projects		
	Reports from R-TAGS on general IWCAM lessons and practices		
	Development of and access to a project database		
	Input of information into clearing house		
	Regional stakeholder review of lessons and practices from Demos and general IWCAM approaches through Partnership Forum		
	<b>Transfer and Replication of Lessons and Practices</b>		
	Development of mechanisms for transfer of lessons and best practices throughout region		

	Development of Website Pages		
	Linkages to IW:LEARN		
	<b>Component II</b>		
	<b>DEVELOPMENT OF IWCAM PROCESS, STRESS REDUCTION AND ENVIRONMENTAL STATUS INDICATOR FRAMEWORKS</b>		
	<b>Review IWCAM indicators</b>		
	Review national and regional Environmental Status Indicator mechanisms		
	Review national and regional Stress Reduction Indicator mechanisms		
	Review national and regional Process Indicators		
	<b>Develop National Indicator Templates</b>		
	Harvest information from Demonstration Projects on Environmental Status indicators		
	Develop and disseminate templates for Environmental Status Indicators		
	Harvest information on policy and legislative process and stress reduction indicators from 4.2 and Demonstration Projects		
	Develop and disseminate templates for Process and Stress Reduction Indicators		
	<b>Undertake National Hotspot Diagnostic Analysis</b>		
	Identify national 'non-demo' Hotspots and Sensitive Areas and their IWCAM problems and root causes		
	Identify required reforms		
	Develop Concept papers for follow-up activities		
	<b>Indicator Coordination and Training</b>		
	Establish a regional centre for storage of Indicator-related information		
	Develop regional centre as a Centre of Excellence for Indicator Training		
	Training for stakeholders in application of process, stress reduction and environmental status indicators		
	<b>Indicator Demonstration</b>		
	Establishment (including capacity building) of IWCAM process, stress reduction and environmental status indicator monitoring system in one country using new templates		
	<b>Component III</b>		
	<b>POLICY, LEGISLATION AND INSTITUTIONAL REFORMS</b>		
	<b>Review of national policy, legislation and institutional structures</b>		
	Reviews of national policies and structures		
	Identification of barriers to IWCAM		
	<b>Development of models and guidelines</b>		
	Consolidation of inputs and lessons from national reviews, participatory stakeholder workshops, and demo projects		
	Identification of specific reform requirements based on Hotspot Diagnostic Analyses		
	Development of a set of regional guidelines taking into account requirements of relevant regional conventions and treaties		
	<b>Programme for regional policy, legislative and institutional reform</b>		
	Development of an active regional programme for amendment of national legislation/policy and improvement & restructuring of institutional arrangements		
	Parallel development of incentives, and awareness of the need for SIDS to ratify those IEAs, Conventions and Treaties pertinent to IWCAM (Especially Cartagena Convention and Protocols)		
	<b>Development of IWRM and Water Use Efficiency Plans</b>		
	Initial Workshop to discuss IWRM strategy, assistance and adoption of standard regional approach		
	National IWRM plan development process		
	Workshop to present all IWRM and Water Use Efficiency plans (13) to the Steering Committee for comment and feedback		
	Development and adoption of an implementation strategy for other funding agencies and partnerships		
	<b>Component IV</b>		
	<b>REGIONAL AND NATIONAL CAPACITY BUILDING AND SUSTAINABILITY</b>		
	<b>Awareness and Sensitisation</b>		
	National & Regional Workshops on needs and target audiences		
	Multisectoral awareness campaign with feedback mechanisms		
	<b>Stakeholders Involvement</b>		

	Identify, strengthen and involve stakeholders		
	<b>Education &amp; Training</b>		
	Educational Workshops (linked to Awareness Workshops)		
	Production of educational materials and incorporation into regional curricula		
	Identification and implementation of training needs and regional training networks		
	Regional training workshops & networking through IW:LEARN		
	Inter-country secondment		
	<b>Strategy for IWCAM Regional Sustainability</b>		
	Development of IWCAM regional strategic approach		
	Assistance with identifying long term funding mechanisms for IWCAM regional strategic approach		
	Incentives for national and regional adoption of IWCAM strategies and arrangements		
	Review and Evaluation Mechanisms for Strategic Approach, including a stakeholder-sponsored mechanism for post-project evaluation of GEF IWCAM objectives		
	<b>Project Networking</b>		
	Linkages to national/regional and global institutions		
	Linkages to other IWCAM related projects and initiatives, especially WW2BW and GPA		
	Development of Regional Partnership Forum		
	<b>A Regional IWCAM Clearing House to capture and store all IWCAM information (Link to GPA-CHM)</b>		
	Review of all existing and on-going relevant projects and pilots to capture current lessons and best practices		
	Development of Clearing House		
	Linkages to GPA-CHM		
	Networking with countries		
	<b>Component V</b>		
	<b>REGIONAL PROJECT MANAGEMENT AND COORDINATION</b>		
	<b>Project Management</b>		
	Establish Project Coordination Unit		
	Contract staff and consultants		
	<b>Regional Project Steering</b>		
	Steering Committee Meetings (project monitoring, workplan and budget reviews)		
	<b>National Project Steering (National Intersectoral Committees)</b>		
	Meetings of National Intersectoral Committees		
	Day-to-Day inputs by members		
	<b>IA/EA Management Group</b>		
	Annual IA/EA Meetings		
	EA Interim Management Discussions		
	<b>Project Technical Support</b>		
	Meetings of Regional Technical Advisory Group (To provide technical support and advice to Steering Committee)		
	<b>Project Reporting</b>		
	Reports from Demo Projects to PCU		
	Reports from PCU to Steering Committee		
	Reports from Steering Committee to EA/IAs		
	<b>Project Evaluation</b>		
	IA Evaluation Requirements		
	GEF Evaluation Requirements		
	<b>Project Information Management System</b>		
	Establish Regional Project Information System		
	National inputs and outputs related to Information Management System		



**Annex 7. Documentation list for the evaluation to be provided by the UNEP Task Manager and UNDP/UNOPS**

- Project design documents
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements (to be found in UNDP/UNOPS files)
- Annual Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Extension documentation. Has a project extension occurred?
- Project revision documentation.
- Budget revision documentation.
- Project Terminal Report (draft if final version not available)

## Annex 8. Introduction to Theory of Change / Impact pathways, the ROTI Method and the ROTI Results Score sheet

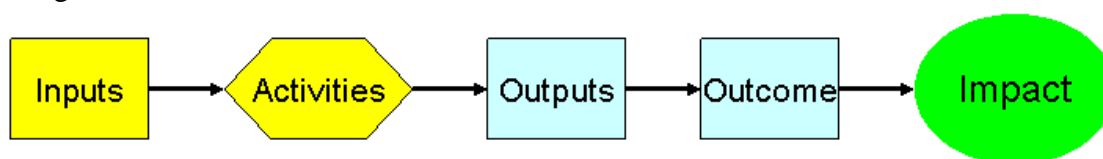
Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

### Theory of Change (ToC) / impact pathways

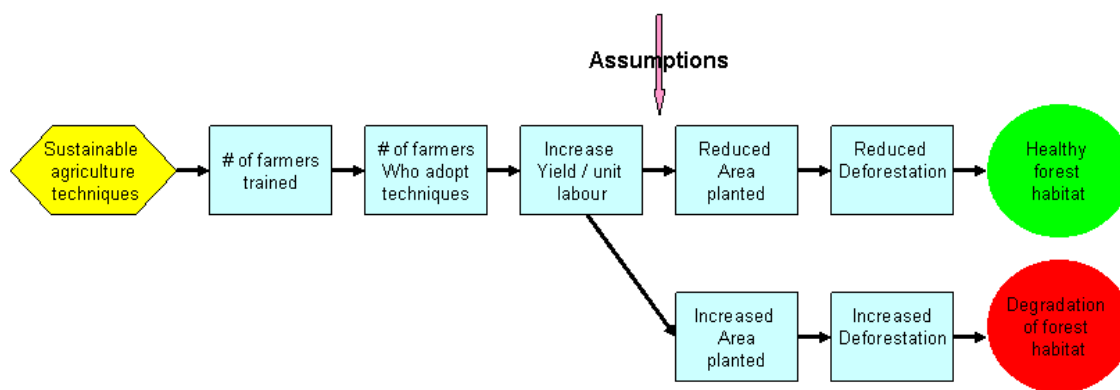
Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved faming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)<sup>15</sup> and has three distinct stages:

- Identifying the project's intended impacts
- Review of the project's logical framework
- Analysis and modelling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method<sup>16</sup>. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

**Impact drivers** are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** /

<sup>15</sup> GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. [http://www.gefweb.org/uploadedFiles/Evaluation\\_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf](http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf)

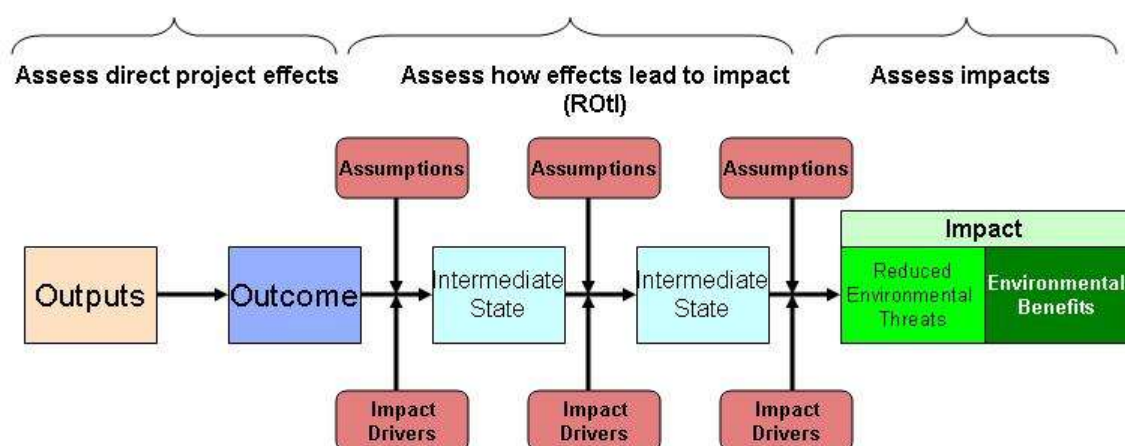
<sup>16</sup> Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via ‘intermediate states’ to impacts, the impact pathways need to be carefully examined and the following questions addressed:

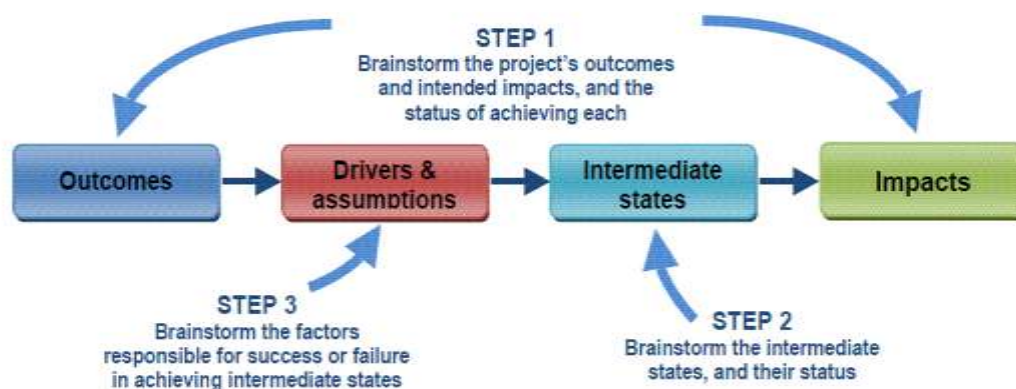
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each ‘step’ in the impact pathway.

Figure 3. A schematic ‘impact pathway’ showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009).



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project’s theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROTI method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According the GEF guidance on the method; *“The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.”* For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table 1. Rating scale for outcomes and progress towards ‘intermediate states’

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for ‘achievement of outcomes’ and ‘progress towards intermediate states translate to ratings for the ‘Overall likelihood of impact achievement’ on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, projects that achieve documented changes in environmental status during the project’s lifetime receive a positive impact rating, indicated by a “+”. The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROtI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the ‘results metrics’ for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Results rating of project entitled:							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	Rating justification:		Rating justification:		Rating justification:		

## Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

**Outcomes**, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could

change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

#### Examples

***Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved.*** People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

***Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future.*** People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

***Outcomes plus implicit linkages forward.*** Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

***Outcomes plus explicit linkages forward.*** Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

#### Intermediary stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

***“Outcomes” scored C or D.*** If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

***In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends.*** Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. (Score = D)

***The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist.*** In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermedi-

ary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

***Barriers and assumptions are successfully addressed.*** Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

***Scaling up and out over time is possible.*** Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

**Impact:** Actual changes in environmental status

**“Intermediary stages” scored B to A.**

**Measurable impacts achieved at a globally significant level within the project life-span.**  
**. (Score = ‘+’)**



U N E P  
Evaluation Office

Template for the assessment of the Quality of Project Design – UNEP Evaluation Office September 2011

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?			
Does the project form a coherent part of a UNEP-approved programme framework?			
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?			
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?		
	ii) the UNEP mandate and policies at the time of design and implementation?		
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)		
	iv) Stakeholder priorities and needs?		
<b>Overall rating for Relevance</b>			
Intended Results and Causality			
Are the objectives realistic?			
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?			
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?			
Are the activities designed within the project likely to produce their intended results			
Are activities appropriate to produce outputs?			
Are activities appropriate to drive change along the intended causal pathway(s)			
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?			
<b>Overall rating for Intended Results and causality</b>			
Efficiency			
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?			
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?			
<b>Overall rating for Efficiency</b>			

Sustainability / Replication and Catalytic effects			
Does the project design present a strategy / approach to sustaining outcomes / benefits?			
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?			
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?			
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?			
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?			
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?			
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;		
	ii) strategic programmes and plans developed		
	iii) assessment, monitoring and management systems established at a national and sub-regional level		
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]			
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?			
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?			
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?			
Are the planned activities likely to generate the level of			

ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?		
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>		
<b>Risk identification and Social Safeguards</b>		
Are critical risks appropriately addressed?		
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?		
Are potentially negative environmental, economic and social impacts of projects identified		
<b>Overall rating for Risk identification and Social Safeguards</b>		
<b>Governance and Supervision Arrangements</b>		
Is the project governance model comprehensive, clear and appropriate?		
Are roles and responsibilities clearly defined?		
Are supervision / oversight arrangements clear and appropriate?		
<b>Overall rating for Governance and Supervision Arrangements</b>		
<b>Management, Execution and Partnership Arrangements</b>		
Have the capacities of partner been adequately assessed?		
Are the execution arrangements clear?		
Are the roles and responsibilities of internal and external partners properly specified?		
<b>Overall rating for Management, Execution and Partnership Arrangements</b>		
<b>Financial Planning / budgeting</b>		
Are there any obvious deficiencies in the budgets / financial planning		
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential		
Financial and administrative arrangements including flows of funds are clearly described		
<b>Overall rating for Financial Planning / budgeting</b>		
<b>Monitoring</b>		
Does the logical framework: <ul style="list-style-type: none"> <li>capture the key elements in the Theory of Change for the project?</li> <li>have 'SMART' indicators for outcomes and objectives?</li> <li>have appropriate 'means of verification'</li> <li>adequately identify assumptions</li> </ul>		
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?		
Is there baseline information in relation to key performance		

Organization Name

Proposal Title

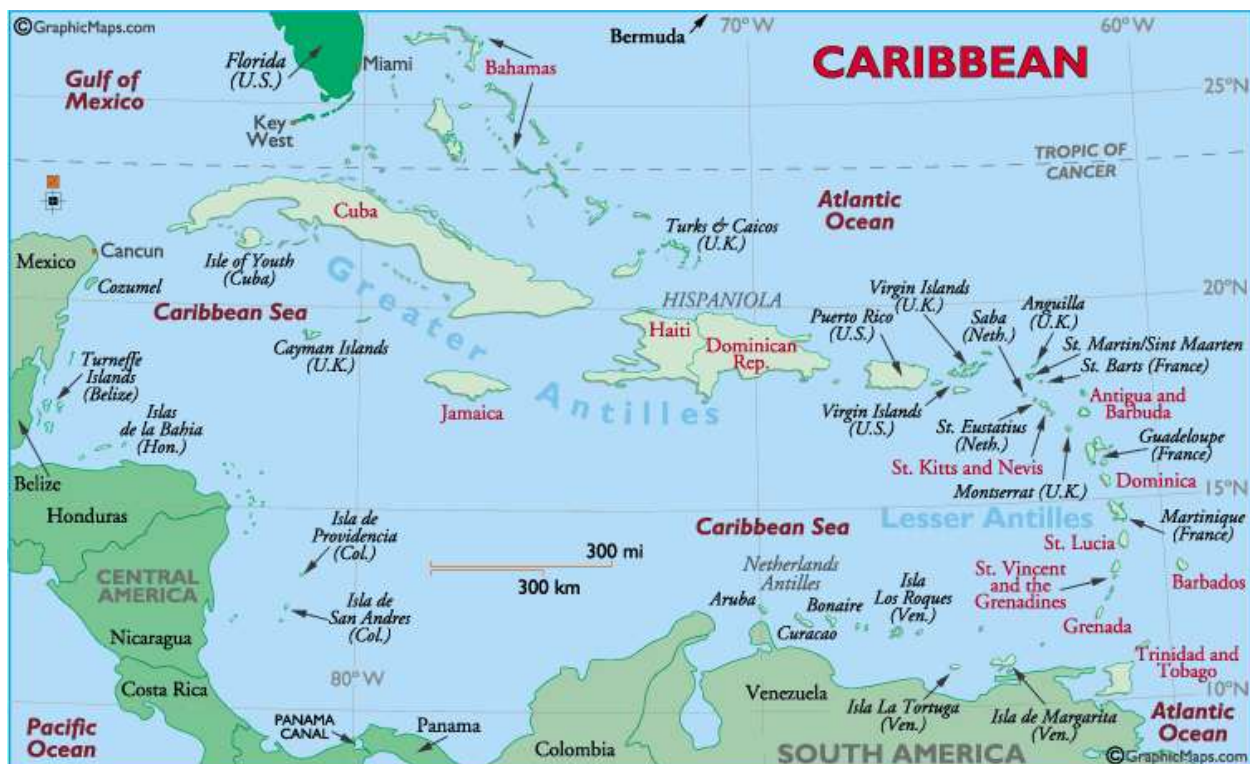
indicators?		
Has the method for the baseline data collection been explained?		
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??		
Has the time frame for monitoring activities been specified?		
Are the organisational arrangements for project level progress monitoring clearly specified		
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?		
Overall, is the approach to monitoring progress and performance within the project adequate?		
<b>Overall rating for Monitoring</b>		
<b>Evaluation</b>		
Is there an adequate plan for evaluation?		
Has the time frame for Evaluation activities been specified?		
Is there an explicit budget provision for mid term review and terminal evaluation?		
Is the budget sufficient?		
<b>Overall rating for Evaluation</b>		

## Annex 10. Tentative Evaluation Schedule

<b>Milestones</b>	<b>Date</b>	<b>Remarks</b>
<b>Start contract</b>	10/1/2012	
<b>Inception report</b>	16/1/2012	Report to be reviewed by EO
<b>Field work</b>	TL:18/1/2012-24/1/2012 5/2/2012-18/02/2012  SC: 3/2/2012-17/02/2012	Visits to 11 countries
<b>Zero draft report to UNEP EO</b>	3/3/2012	Report to be reviewed by EO
<b>Revised first draft report to EO</b>	12/3/2012	Report is sent out for comments to stakeholders
<b>Collated stakeholders' comments sent from EO to consultants</b>	30/3/2012	2 weeks to get comments from stakeholders
<b>Final report</b>	10/4/2012	Easter holidays
<b>End contract</b>	30/4/2012	

## ANNEX IV - THE INCEPTION REPORT

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# INTEGRATED WATER AND COASTAL AREA MANAGEMENT PROJECT

TERMINAL EVALUATION

Inception Report – 5 February 2012

# Contents

1. INTRODUCTION AND ACKNOWLEDGMENTS
2. APPLICATION OF THE THEORY OF CHANGE: FROM OUTCOMES TO IMPACT
3. EVALUATION OF PROJECT DESIGN QUALITY
4. RECOMMENDATIONS FOR THE EXECUTION OF FIELD MISSIONS, AND FOR THE ASSIGNMENT OF TASKS WITHIN THE EVALUATION TEAM.

## 1. INTRODUCTION AND ACKNOWLEDGMENTS

This Inception Report is the first deliverable of the Terminal Evaluation of the UNEP GEF project “*Integrating Watershed and Coastal Area Management in Caribbean Small Island Developing States Participatory - IWCAM*” as required by the Terms of Reference provided to the Consultant.

### Project summary

<b>Countries:</b> Antigua and Barbuda, The Bahamas, Barbados, Cuba, Grenada, Dominica, Dominican Republic, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago.			
<b>GEF project ID:</b>	GFL/6030-05-01 UNEP 52550 UNDP Atlas	<b>IMIS number:</b>	IMIS: 83400FR3 PIMS: 2195
<b>Focal Area(s):</b>	International Waters	<b>GEF OP #:</b>	9
<b>GEF Strategic Priority/Objective:</b>	IW 3 – Undertake Innovative Demonstrations for Reducing Contaminants and Addressing Water Scarcity	<b>GEF approval date:</b>	23 March 2005 (UNEP) 25 July 2006 (UNDP)
<b>Approval date:</b>		<b>First Disbursement:</b>	23 March 2005 (UNEP) 25 July 2006 (UNDP)
<b>Actual start date:</b>	23 May 2006 (UNEP) 26 July 2006 (UNDP)	<b>Planned duration:</b>	
<b>Intended closing date:</b>	July 2010 (UNEP) December 2009 (UNDP)	<b>Actual or Expected closing date:</b>	June 2012 (UNEP) December 2011 (UNDP)
<b>Project Type:</b>	FSP	<b>GEF Allocation:</b>	US\$ 13.78 million
<b>PDF GEF cost:</b>	US\$ .61 million	<b>PDF co-financing:</b>	/
<b>Expected FSP Co-financing:</b>	US\$ 98.27	<b>Total Cost:</b>	US\$ 112.66 million
<b>Mid-term review/eval. (planned date):</b>	January 2009	<b>Terminal Evaluation (actual date):</b>	January 2011
<b>Mid-term review/eval. (actual date):</b>	June-October 2009	<b>No. of revisions:</b>	No. 3 being finalized
<b>Date of last Steering Committee meeting:</b>	15 November 2011	<b>Date of last Revision*:</b>	January 2009
<b>Disbursement as of 30 June 2011 (UNEP):</b>	Regional: US\$ 6.68 million	<b>Disbursement as of 30 June 2011 (UNDP):</b>	Demos: US\$ 5.3 million
<b>Total co-financing realized as of 30 June 2011:</b>	US\$ 5.2 million disburse	<b>Leveraged financing:</b>	

## Objectives of the Terminal Evaluation

In line with the UNEP Evaluation Policy<sup>17</sup>, the UNEP Evaluation Manual<sup>18</sup> and the Guidelines for GEF Agencies in Conducting Terminal Evaluations<sup>19</sup>, the terminal evaluation of the Project “*Integrating Watershed and Coastal Areas Management in the Caribbean Small Island Developing States (IWCAM)*” is undertaken at the end of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons

<sup>17</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>18</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<sup>19</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/TE\\_guidelines7-31.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf)



learned among UNEP, UNDP, the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

How successful was the project in spearheading national and regional reforms in support of the IWCAM approach as a necessary and vital strategy for sustainable management and protection of coastal and watershed resources?

To what extent did the project demonstrate environmental and developmental benefits of an integrated approach to watershed and coastal zone management in small island developing states

Did the project establish process, stress-reduction, and environmental status indicators framework and enhanced national and regional capacities for indicator monitoring?

Were national policies, legislation and institutional structures reformed and re-aligned to reflect the objectives of IWCAM and to capture the requirements of the more pertinent regional and international MEAs?

Was the project successful in improving sensitisation, awareness and capacity throughout all sectors with respect to IWCAM? Were regional mechanisms promoting long-term sustainability, networking and Clearing House successful in sharing and dispersing information?

Was an effective project management system established and functioning at the national and regional level?

## **Inception Report**

The Inception Report is intended to provide to the evaluators the initial understanding of the project purposes and of the logic behind its design necessary to inform the plan for the actual evaluation of the project's achievements. It consists of (i) the application of the Theory of Change to project design, and (ii) an evaluation of project design quality based on the review of the Project Document and other documentation related to the preparation and approval stage of the project. The report will also identify elements that will have to be taken into particular consideration during the following field work and desk evaluation. The review will in particular focus on the following aspects:

A) A desk-based Theory of Change of the project as a whole

B) The Analysis of Quality of Project Design, including:

- Project relevance

- Sustainability consideration and measures planned to promote replication and upscaling
- Preparation and readiness
- Financial planning
- M&E design
- Complementarities with UNEP strategies and programmes

The results of the assessment of the quality of the Project Design will be presented in a schematic form (Template for the assessment of the Quality of Project Design – UNEP Evaluation Office September 2011).

C) Recommendations for the Execution of Field Missions, and for Assignment of Tasks in the Evaluation Team.

*The Author wishes to take the opportunity of the submission of the present report to thank the staff of UNEP EO and of the project PCU, in particular Ms. Carla de Gregorio, Ms. Donna Spencer, Ms. Una McPherson, and Mr. Vincent Sweeney, for their kindness and support in this early phase of his work.*

## 2. APPLICATION OF THE THEORY OF CHANGE: FROM OUTCOMES TO IMPACT

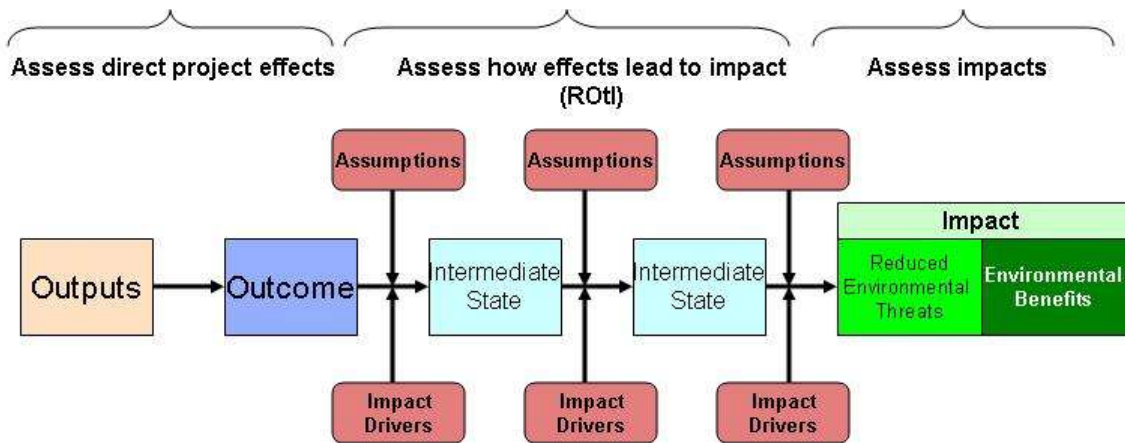
The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)<sup>20</sup> – see diagram below - and has three distinct stages:

- d. Identifying the project's intended impacts
- e. Review of the project's logical framework
- f. Analysis of the project's *[initially assumed]* outcomes-impact pathways, and intermediate states.

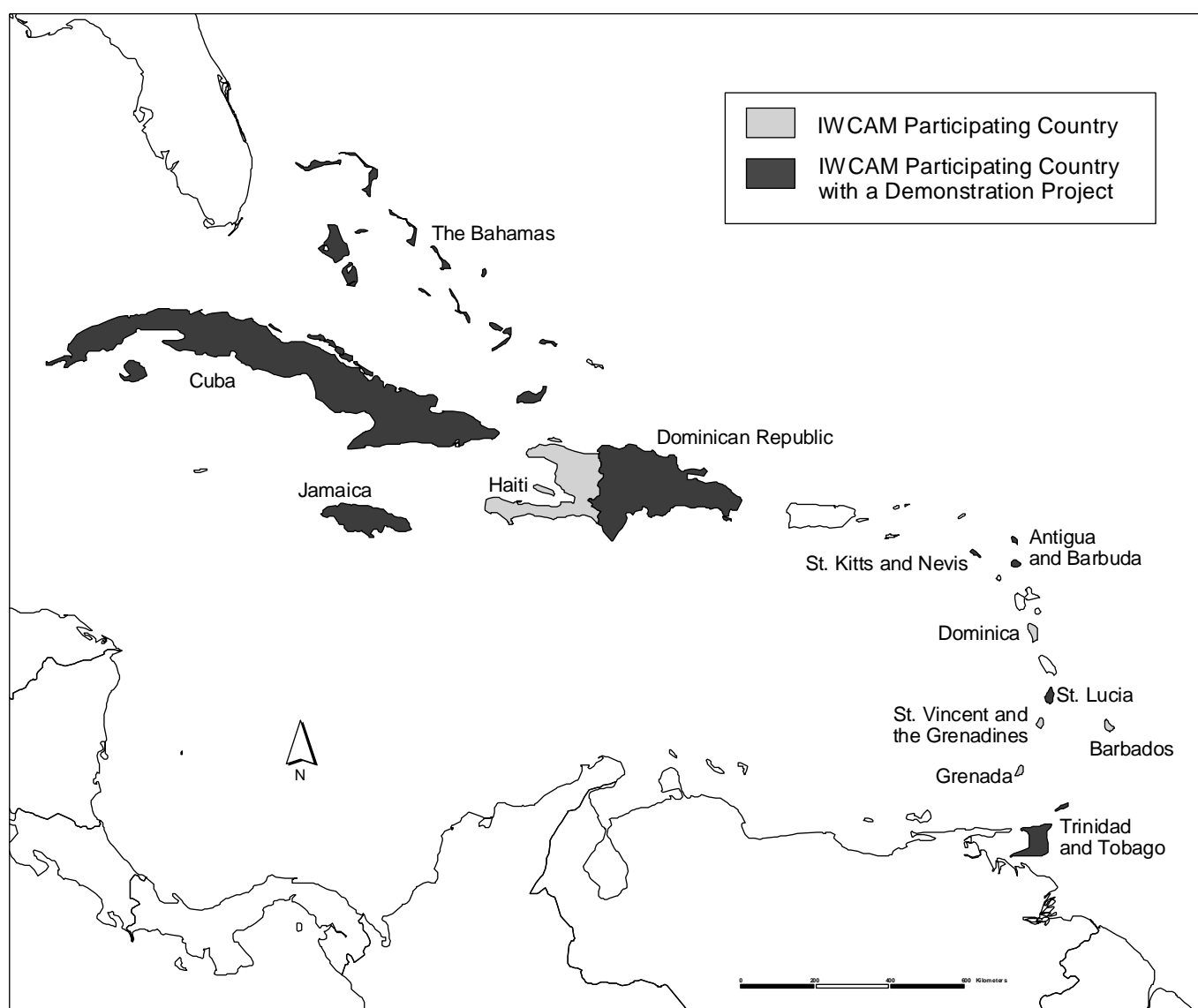
As required by the TOR for the Terminal Evaluation, an application of this methodology based exclusively on the Project Document(s) will be presented in this section.

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<sup>20</sup> GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook.  
[http://www.gefweb.org/uploadedFiles/Evaluation\\_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf](http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf)



The IWCAM project presents a particular characteristic that has implication for this exercise: almost half of the project GEF allocation, and a large part of the co-financing, are destined to the execution of 8 pilot demonstrations (Component 1) which are implemented by UNDP. The project has hence two project documents, and each pilot demonstration is of course designed as a project in itself, with its own logical framework (see UNDP's Appendix 1 to the Project Brief). For the purposes of the Inception Report, in the case of Component 1 only the general logical framework presented in UNDP's project document (page 90) will be taken into consideration. The detailed design of each of the demonstrations will instead be used to guide the field visits and evaluation work of each pilot. The author in fact considers that the value added of carrying out this exercise at the initial stage of the evaluation team's work is mainly the comprehension of the overall logic of the project, and of the role of "demonstrations" within the project context (see table below).



### *The expected outcome of the Project*

As stated in UNEP's Project Document (from now on referred to as PD), the overall outcome expected to be achieved through the project is: *"An overall national and regional reform in support of the Integrated Water and Coastal Area Management (IWCAM)<sup>21</sup> approach as a necessary and vital strategy for sustainable management and protection of coastal and watershed resources"*<sup>22</sup>.

### **IWCAM Project Theory of Change – From Outcomes to Impacts**

<sup>21</sup> The Eleventh Meeting of the Forum of Ministers of Environment of Latin America and the Caribbean (1998) identified one of the priority areas for inclusion in the Regional Programme of Action as the Integrated Management of Water and Coastal Resources

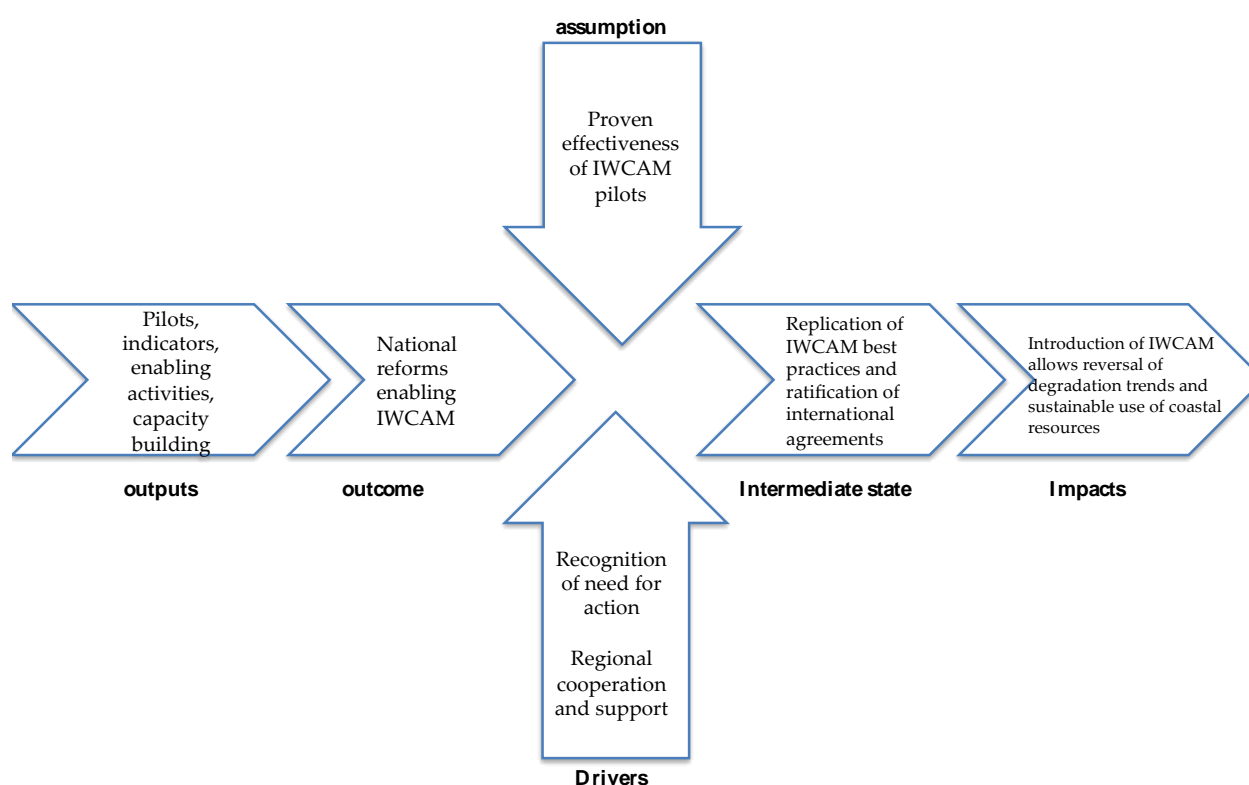
<sup>22</sup> It has to be noted that this outcome (enacting of national reforms) lies beyond the reach of the project, that has no control over countries' political decisions. A better formulated outcome would be: "The creation of an enabling environment facilitates national reforms in support of the IWCAM approach".

<b>Project objective:</b> "To strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas, with a long-term goal of enhancement of the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis" (PD 1.9)					
<b>Outputs</b>	<b>Outcome</b>	<b>Assumptions and Drivers</b>	<b>Intermediate state</b>	<b>Impacts</b>	
(i) Demonstration, Capture and Transfer of Best Practices  (ii) Development Of IWCAM Process, Stress Reduction and Environmental Status Indicators Framework  (iii) Barrier removal and facilitation of identified national priority Policy, Legislation and Institutional Reforms  (iv) Regional and National Capacity Building and Sustainability Mechanisms	Overall national and regional reforms in support of the IWCAM approach, as a necessary and vital strategy for sustainable management and protection of coastal and watershed resources, implemented.	<i>Assumption:</i> Demonstration of environmental and developmental benefits of an integrated approach to watershed and coastal zone management in small islands developing states, proven by agreed indicators (status, stress, process), will trigger countries commitment to policy, legal and institutional reforms facilitating IWCAM implementation region-wide. <i>Drivers:</i> Recognition of need to manage and protect coastal and watershed resources. Regional cooperation providing incentives and support structure.	Replication of IWCAM best practices piloted by the project. National reforms harmonized at regional level and strengthened by adoption and ratification of relevant international environmental agreements	Reduced environmental threats	Environmental benefits
				Mitigation of stress in critical hot spots. Widespread adoption of IWCAM reverse degradation trends in coastal areas and watersheds of recipient countries Caribbean SIDS better prepared to face threats from climate variability and change	Sound management and protection of globally significant coastal resources of Caribbean SIDS, including living resources, land, and water, ensures environmentally sustainable development

The project design assumes that the expected outcome, i.e.: the adoption - at national level within a coherent regional framework - of legal, policy and institutional reforms enabling the systematic application of IWCAM principles and methods, and the achievement in the long term of the intended impacts will result from essentially four parallel actions<sup>23</sup> or outputs, each object of a Project Component: pilot demonstration of best IWCAM practices; adoption of harmonized indicators to monitor progress in reversing environmental degradation trends; creating an enabling environment for policy, legal and institutional reforms; building capacity, dissemination of experiences and facilitation of replication of best practices throughout the region, and promotion of sustainability mechanisms. This approach is in turn based on the main assumption that the demonstration (through indicators) in the field of the effectiveness of IWCAM methods in economic, environmental and developmental terms, will be indispensable, if not sufficient, to convince country authorities to adopt the reforms necessary to enable IWCAM. According to project design, the recognition of the need to change unsustainable coastal management practices and behaviors is a major driver of action, together with the support provided by regional bodies and cooperation. Should the assumption be proven valid, these drivers will take the countries to an "intermediate state", where best practices are being broadly replicated, and ratification of international relevant treaties would strengthen coherence of national reforms. It is expected that reforms allowing the adoption of

<sup>23</sup> Effective project management (Component/output 5) is not considered here, as it is an obvious prerequisite for success of every project.

IWCAM principles will reverse degradation, and accrue global environmental benefits.



The figure above schematically represents the design logic of the project, as it emerges from the application of the ROTi / Theory of Change<sup>24</sup> to the design of the project as a whole. The same exercise could be made for each component and each pilot demonstration, or for that matter for every activity of the project. Consideration will be given to the utilization of this methodology to guide discussions with stakeholders during field visits, or other stages of the evaluation work.

### 3. EVALUATION OF PROJECT DESIGN QUALITY

Relevance	Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?	Yes, in particular: (a) The capacity of countries and regions to increasingly integrate an ecosystem management approach	None

<sup>24</sup> The Review of Outcomes to Impacts, based on the ToC, seems to assume that outputs will necessarily lead to outcomes, which may not always be the case. In our case for example, while the effectiveness of IWCAM in achieving impacts is hardly questionable, the transition from outputs to outcomes (IWCAM reforms) appears instead to be the critical step.

		into development and planning processes is enhanced. (b) Countries and regions have capacity to utilize ecosystem management tools. (c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is strengthened.	
Does the project form a coherent part of a UNEP-approved programme framework?		Yes, the Ecosystem Management Thematic Programme	None
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?		Yes, with the AMEP program of CEP	Section 2
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	These were clearly identified during preparation	3.1
	ii) the UNEP mandate and policies at the time of design and implementation?	Presumably	None
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	Fully in line with GEF3 priorities	Para 2.2
	iv) Stakeholder priorities and needs?	Yes, as identified during preparation	Para 3.1
<b>Overall rating for Relevance</b>		HS	
Intended Results and Causality			
Are the objectives realistic?		The overall objective: "To strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas, with a long-term goal of enhancement of the capacity of the countries to plan and manage their aquatic resources and ecosystems on a sustainable basis" is certainly realistic and achievable. There is some confusion however throughout the PD in the formulation of "objectives", "results" and "outcomes". In some parts reference is made to "national reforms" as being the "objective" or "result" or "outcome" of the project: reforms, as well as ratification of MEAs, are a prerogative of the countries, and the project can only create an enabling capacity and awareness environment for policy changes.	e.g.: Point 77
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?		The ToC was likely not developed yet at the time of project design. The intervention logic is discussed in various points of the PD, but without a systematic sequential analysis.	Para 3.3, Section 4

Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	The systematic adoption of IWCAM policies and practices in the Caribbean SIDS is clearly a long term process that will extend beyond the project's life. The project timeframe initially indicated appears to be sufficient to complete all project activities.	Para 4.3
Are the activities designed within the project likely to produce their intended results	The approach of the project, essentially based on pilot demonstrations, harmonized monitoring, and creation of an enabling environment for reforms, is sound and should prove effective in the long term. The various formulations of the "Component Outcome" are over-optimistic, and the indicators identified in the Logframe for the achievement of the "component outcome" appear to be inconsistent with the actual activities developed under the component.	Section 3, Logframe
Are activities appropriate to produce outputs?	Yes, although "outputs" are not listed as such in the text of the PD. Sometime it is difficult to extract them from the description of the activities.	Section 3
Are activities appropriate to drive change along the intended causal pathway(s)	Yes, if measured against the overall project objective. There are instead inconsistencies with Component Outcomes.	Section 3
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	The assumptions at the base of project design are well developed; less so the drivers of change, and stakeholders roles.	Para. 3.3
<b>Overall rating for Intended Results and causality</b>	<b>S</b>	
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	No	
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	The project design clearly builds upon a strong baseline of ongoing programs and projects.	Section 2
<b>Overall rating for Efficiency</b>	<b>S</b>	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	Yes. Sustaining IWCAM and project results beyond the life of the project is the object in particular of Component 4: which includes the development of a "regional strategy for the sustainable promotion and implementation of IWCAM beyond the project lifetime".	Section 3, Logframe
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests,	The project adopts a two pronged approach to both these issues: on the one hand pilot demonstrations (Component 1) will be used as a tool for raising awareness and removing barriers to	Section 3



commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?		changes and reforms; on the other, specific awareness raising activities will be performed throughout the project’s duration (Component 4).	
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?		The PD mentions the need for an “alternative financial mechanism”, but does not elaborate further, other than foreseeing an enhanced cooperation and coordination among partners.	Section 3
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?		Yes, and the PD considers them “most likely” to occur. They are related to the vulnerability of the national economies to the downturns of the global economy.	Para 4.2
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?		Yes. The information however is dispersed in the PD, and not concentrated under the “Risks and Sustainability” heading.	Para 4.2, Section 3 logframe
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?		The PD does not address this issue. It appears however that no such environmental factors, or project results/outputs exist.	None
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches showcased by the demonstration projects;	Pilot demonstrations are a major part of the project and are intended exactly for this purpose.	Section 3, and Appendix 1 to the Project Brief.
	ii) strategic programmes and plans developed	Each country will develop an IWRM Plan as part of the project.	Section 3
	iii) assessment, monitoring and management systems established at a national and sub-regional level	Component 2, on monitoring and indicators, aims at establishing an harmonized regional monitoring framework, as a basis for adaptive management.	Section 3
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]		The whole project is aimed at achieving national policy, legislative and institutional reforms enabling the implementation of IWCAM.	PD
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?			
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?		The project, as described in the PD, looks very much like the first phase of a long term effort. This is well justified by its ambitious and highly important expected outcomes. To sustain project results and fully achieve the expected outcomes, the PD mentions the need for further financial support, including from the GEF. The PD also mentions the	Section 3

	possibility to submit complementary MSPs to the GEF.	
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?	No	
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	Yes, these activities are necessary, and well developed in the PD.	Section 3
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	HS	
Risk identification and Social Safeguards	No risks to the population and local communities are foreseeable for this type of project.	None
Are critical risks appropriately addressed?	As identified in the PD, the most critical risk for the long-term success of the Project will ultimately rest on the political willingness of the participating countries to enact reforms, and cooperate and sustain the Project’s outputs well after its completion. The whole project design revolves around raising awareness and commitment of project countries.	Para 4.2, Sections 3 and 4
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	The PD captures the nature of the key assumption: that countries will commit to the necessary policy reforms and legislative amendments required to strengthen and enhance IWCAM. The project will create an enabling environment for this to happen, but the actual implementation of IWCAM related reforms is beyond its control. While this is clearly stated relevant section of the PD, inconsistencies exist with the formulation of outcomes in Section 3.	Para 3.3
Are potentially negative environmental, economic and social impacts of projects identified	Such impacts are not foreseen.	
<b>Overall rating for Risk identification and Social Safeguards</b>	S	
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?	Both IAs will refer to the same Project governance and supervision structure, which includes a Steering Committee, and a Regional Coordinator heading a PCU supported by a R-TAG (regional technical advisory group), each with clearly defined roles and responsibilities.	Annex XI
Are roles and responsibilities clearly defined?		
Are supervision / oversight arrangements clear and appropriate?	Supervision is largely responsibility of the Regional Project Coordinator.	Annex XI
<b>Overall rating for Governance and Supervision Arrangements</b>	S	
Management, Execution and Partnership Arrangements		
Have the capacities of partner been adequately as-	Yes, during an apparently very long pe-	Project

essed?	riod od project preparation	Brief
Are the execution arrangements clear?	Yes	Annex XI
Are the roles and responsibilities of internal and external partners properly specified?	Yes	Annex XI
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	S	
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning	No (Budgets are limited to GEF funds – no particular mention throughout the PD of co-financing utilization)	Annex I
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential	The costs for each activity are described with much detail, and there seems to be an effective use of GEF funds.	Annex I to IV
Financial and administrative arrangements including flows of funds are clearly described	Not described in detail	
<b>Overall rating for Financial Planning / budgeting</b>	PS	
Monitoring		
Does the logical framework: <ul style="list-style-type: none"> <li>capture the key elements in the Theory of Change for the project?</li> <li>have 'SMART' indicators for outcomes and objectives?</li> <li>have appropriate 'means of verification'</li> <li>adequately identify assumptions</li> </ul>	Overall the logical framework provides useful information, including elements needed for developing the ToC. Indicators reflect however shortcomings in the formulation of outcomes (that often appear to be lists of outputs rather than outcomes), do not apply to objectives but rather to activities, and are seldom SMART, including qualitative judgments (see in particular Component 1); means of verification and assumptions are excessively lengthy lists.	Annex IV (UNDP), Annex XII (UNEP)
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	Performance indicators are mentioned but without details on their nature. There is also mention of the application of the Process, Stress and Status Indicators resulting from Component 2 activities, during the lifetime of the project.	Section 6 Para 5.2
Is there baseline information in relation to key performance indicators?	No	
Has the method for the baseline data collection been explained?	No	
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??	No	
Has the time frame for monitoring activities been specified?	Yes	Section 6
Are the organisational arrangements for project level progress monitoring clearly specified	No	
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	Merged with Evaluation budget	
Overall, is the approach to monitoring progress and performance within the project adequate?	The project adopts the traditional UNEP and UNDP M&E procedures, with little focus on measurable indicators.	Section 6
<b>Overall rating for Monitoring</b>	PU	
Evaluation		
Is there an adequate plan for evaluation?	Project adopts traditional UNEP and UNDP procedures	Section 6

Has the time frame for Evaluation activities been specified?	Yes	Para 6.3, 4.3
Is there an explicit budget provision for mid term review and terminal evaluation?	Yes	Annex IV
Is the budget sufficient?	Yes	Annex IV
<b>Overall rating for Evaluation</b>	S	

#### 4. RECOMMENDATIONS FOR THE EXECUTION OF FIELD MISSIONS, AND FOR ASSIGNMENT OF TASKS IN THE EVALUATION TEAM.

##### **Recommendations for the field work**

The field visits and interviews will enable the consultants to have a first hand appreciation of the project achievements, of the people involved in its execution, and of the challenges faced in its implementation. Visits will revolve around the three main actors of the project:

- (i) the countries
- (ii) the Project Coordination Unit, in St Lucia
- (iii) The UNEP and UNDP regional offices, in Jamaica

For each, the information to be collected differs according to their different roles.

In the countries, focus will be on **achievements**, both as far as pilot demonstrations are concerned, as well as on the actual existence of, and contribution of pilots to, an enabling environment for reforms and its effectiveness, level of country ownership, improved capacity and awareness of IWCAM and indicators (process, stress reduction, status). Evidences of **catalytic impacts**, such as the adoption of new policies and reforms, ratification of MEAs etc. would also of course be gathered.

When visiting the PCU, the main topics of exchanges will relate to **overall project performance**, **budgetary issues**, co-financing, and **monitoring activities**, the latter two having been found somewhat weak in design.

Discussions with the regional UNEP and UNDP offices will revolve around the **baseline** activities, the **support** provided by regional bodies and treaties, the process of incorporation of **indicators** developed by the project, and of **ratification** of relevant MEAs.

#### 5. REPORTING ON DEMONSTRATION PILOTS (COMPONENT 1)

Reporting on the field visits to the sites of Pilot demonstrations, and the field visits themselves, will be guided by the following template, which has been designed following a conceptual framework similar, albeit simplified, to the one used for the evaluation of the Quality of Design. This will allow consistency of reporting of the two evaluators, and allow easier consolidation of results and comparative analyses.

##### **Terminal Evaluation of the Project "IWCAM"**

##### **PILOT PROJECTS : Summary Evaluation**

Pilot Project Title, and location			
Actual start date:		Planned duration:	
Intended completion date:		Actual or Expected completion date:	

Mid-term review/eval. (actual date):		No. of revisions:	
Disbursement as of 30 June 2011 (UNEP):		Disbursement as of 30 June 2011 (UNDP):	
Total co-financing real- ized as of 30 June 2011:		Leveraged financing:	

### Pilot Project Rationale

What are the problems the project intends to do something about and what is the context

Pilot Project objectives and components

### Executing Arrangements

### Project Cost and Financing

The most recent Project Implementation Review (PIR) reports that by 30 June 2011 the project had effectively disbursed US\$... of the GEF grant to UNEP – close to ...%. By then, the project had mobilized over US\$... in co-financing.

### Mid-term Evaluation

An MTE of the pilot project was conducted by the UNEP Evaluation and Oversight Unit in [date]. The main issues identified at that time were...

### List of persons interviewed

(Should include personnel responsible for the execution of the Pilot, representatives of the beneficiaries, and Government/Local administration/Community representatives)

RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	
<b>Rating for Relevance</b>	
INTENDED RESULTS AND CAUSALITY	
Were the objectives realistic?	
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	
Were the activities designed within the pilot likely to produce their intended results?	
Were activities appropriate to produce outputs?	
<b>Overall rating for Intended Results and causality</b>	
EFFICIENCY	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	
<b>Overall rating for Efficiency</b>	
SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	
Are there environmental factors, positive or negative, that can influence the	

future flow of pilot benefits?	
Has the pilot contributed to policy changes?	
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Have the capacities of partner been adequately assessed?	
Were the execution arrangements clear?	
Were the roles and responsibilities of internal and external partners properly specified?	
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	
Were there exchanges, and regional disseminations efforts?	
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	
Were financial and administrative arrangements including flows of funds clearly described?	
<b>Overall rating for Financial Planning / budgeting</b>	
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	
<b>Overall rating for Monitoring</b>	
<b>Overall rating for Evaluation</b>	

## 6. DISTRIBUTION OF TASKS

The Matrix below shows the proposed distribution of responsibilities and tasks among evaluation consultants: different background colours highlight the allocation of main analysis and reporting responsibilities within the team. The distribution of tasks reflects the "comparative advantages" of the two members of the team. The lead consultant will take overall responsibility for the Evaluation.

Evaluation Criteria		Team Leader	Supporting Consultant
Attainment of Objectives and Planned Results	Achievement of Outputs and Activities	See table below	
	Relevance		
	Effectiveness		
	Achievement of main objective		
	Achievement of component objectives:		
	o Component I		
	o Component II		

	o Component III		
	o Component IV		
	o Component V		
	Efficiency		
	Review of Outcomes to Impacts (ROtI)		
Sustainability and catalytic role	Socio-political sustainability		
	Financial resources		
	Institutional framework		
	Environmental sustainability		
	Catalytic Role and Replication		
Processes affecting attainment of project results	Preparation and Readiness		
	Implementation Approach and Adaptive Management		
	Stakeholder Participation and Public Awareness		
	Country Ownership and Driven-ness		
	Financial Planning and Management		
	UNEP and UNDP Supervision and Backstopping		
	Monitoring and Evaluation		
Complementarities with the UNEP Medium Term Strategy and Programme of Work	Linkage to UNEP's EAs and POW 2010-2011		
	Alignment with the Bali Strategic Plan (BSP)		
	South-South Cooperation		

	Achievement of Outputs and Activities	Team Leader	Supporting Consultant
	<b>Component I</b>		
	<b>DEMONSTRATION, CAPTURE AND TRANSFER OF BEST PRACTICES</b>		
	<b>Demonstration Implementation</b>		
	Initiation & management of demonstration projects		
	Development of complementary MSPs and non-demo hotspot concepts		
	Demo Project support (Monitoring and Evaluation)		
	<b>Capture of Lessons and Best Practices</b>		
	Review and capture existing best lessons and practices (see 4.6)		
	Review of reports from Demo projects		
	Reports from R-TAGS on general IWCAM lessons and practices		
	Development of and access to a project database		
	Input of information into clearing house		
	Regional stakeholder review of lessons and practices from Demos and general IWCAM approaches through Partnership Forum		
	<b>Transfer and Replication of Lessons and Practices</b>		
	Development of mechanisms for transfer of lessons and best practices throughout region		
	Development of Website Pages		
	Linkages to IW:LEARN		
	<b>Component II</b>		
	<b>DEVELOPMENT OF IWCAM PROCESS, STRESS REDUCTION AND ENVIRONMENTAL STATUS INDICATOR FRAMEWORKS</b>		
	<b>Review IWCAM indicators</b>		
	Review national and regional Environmental Status Indicator mechanisms		
	Review national and regional Stress Reduction Indicator mechanisms		
	Review national and regional Process Indicators		
	<b>Develop National Indicator Templates</b>		
	Harvest information from Demonstration Projects on Environmental Status indicators		
	Develop and disseminate templates for Environmental Status Indicators		
	Harvest information on policy and legislative process and stress reduction indicators from 4.2 and Demonstration Projects		
	Develop and disseminate templates for Process and Stress Reduction Indicators		



	<b>Undertake National Hotspot Diagnostic Analysis</b>		
	Identify national 'non-demo' Hotspots and Sensitive Areas and their IWCAM problems and root causes		
	Identify required reforms		
	Develop Concept papers for follow-up activities		
	<b>Indicator Coordination and Training</b>		
	Establish a regional centre for storage of Indicator-related information		
	Develop regional centre as a Centre of Excellence for Indicator Training		
	Training for stakeholders in application of process, stress reduction and environmental status indicators		
	<b>Indicator Demonstration</b>		
	Establishment (including capacity building) of IWCAM process, stress reduction and environmental status indicator monitoring system in one country using new templates		
	<b>Component III</b>		
	<b>POLICY, LEGISLATION AND INSTITUTIONAL REFORMS</b>		
	<b>Review of national policy, legislation and institutional structures</b>		
	Reviews of national policies and structures		
	Identification of barriers to IWCAM		
	<b>Development of models and guidelines</b>		
	Consolidation of inputs and lessons from national reviews, participatory stakeholder workshops, and demo projects		
	Identification of specific reform requirements based on Hotspot Diagnostic Analyses		
	Development of a set of regional guidelines taking into account requirements of relevant regional conventions and treaties		
	<b>Programme for regional policy, legislative and institutional reform</b>		
	Development of an active regional programme for amendment of national legislation/policy and improvement & restructuring of institutional arrangements		
	Parallel development of incentives, and awareness of the need for SIDS to ratify those IEAs, Conventions and Treaties pertinent to IWCAM (Especially Cartagena Convention and Protocols)		
	<b>Development of IWRM and Water Use Efficiency Plans</b>		
	Initial Workshop to discuss IWRM strategy, assistance and adoption of standard regional approach		
	National IWRM plan development process		
	Workshop to present all IWRM and Water Use Efficiency plans (13) to the Steering Committee for comment and feedback		
	Development and adoption of an implementation strategy for other funding agencies and partnerships		
	<b>Component IV</b>		
	<b>REGIONAL AND NATIONAL CAPACITY BUILDING AND SUSTAINABILITY</b>		
	<b>Awareness and Sensitisation</b>		
	National & Regional Workshops on needs and target audiences		
	Multisectoral awareness campaign with feedback mechanisms		
	<b>Stakeholders Involvement</b>		
	Identify, strengthen and involve stakeholders		
	<b>Education &amp; Training</b>		
	Educational Workshops (linked to Awareness Workshops)		
	Production of educational materials and incorporation into regional curricula		
	Identification and implementation of training needs and regional training networks		
	Regional training workshops & networking through IW:LEARN		
	Inter-country secondment		
	<b>Strategy for IWCAM Regional Sustainability</b>		
	Development of IWCAM regional strategic approach		
	Assistance with identifying long term funding mechanisms for IWCAM regional strategic approach		
	Incentives for national and regional adoption of IWCAM strategies and arrangements		
	Review and Evaluation Mechanisms for Strategic Approach, including a stakeholder-sponsored mechanism for post-project evaluation of GEF IWCAM objectives		
	<b>Project Networking</b>		
	Linkages to national/regional and global institutions		



	Linkages to other IWCAM related projects and initiatives, especially WW2BW and GPA		
	Development of Regional Partnership Forum		
	<b>A Regional IWCAM Clearing House to capture and store all IWCAM information (Link to GPA-CHM)</b>		
	Review of all existing and on-going relevant projects and pilots to capture current lessons and best practices		
	Development of Clearing House		
	Linkages to GPA-CHM		
	Networking with countries		
	<b>Component V</b>		
	<b>REGIONAL PROJECT MANAGEMENT AND COORDINATION</b>		
	<b>Project Management</b>		
	Establish Project Coordination Unit		
	Contract staff and consultants		
	<b>Regional Project Steering</b>		
	Steering Committee Meetings (project monitoring, workplan and budget reviews)		
	<b>National Project Steering (National Intersectoral Committees)</b>		
	Meetings of National Intersectoral Committees		
	Day-to-Day inputs by members		
	<b>IA/EA Management Group</b>		
	Annual IA/EA Meetings		
	EA Interim Management Discussions		
	<b>Project Technical Support</b>		
	Meetings of Regional Technical Advisory Group (To provide technical support and advice to Steering Committee)		
	<b>Project Reporting</b>		
	Reports from Demo Projects to PCU		
	Reports from PCU to Steering Committee		
	Reports from Steering Committee to EA/IAs		
	<b>Project Evaluation</b>		
	IA Evaluation Requirements		
	GEF Evaluation Requirements		
	<b>Project Information Management System</b>		
	Establish Regional Project Information System		
	National inputs and outputs related to Information Management System		

## **ANNEX V. EVALUATION PROGRAM, CONTAINING THE NAMES OF LOCATIONS VISITED AND THE NAMES OF PEOPLE MET**

### **LIST OF PERSONS INTERVIEWED**

#### **Antigua and Barbuda**

Ms. Melesha Banhan, Senior Environmental Technician, Environment Division;  
Email: [scubyd2003@yahoo.com](mailto:scubyd2003@yahoo.com); m\_banhan@yahoo.com  
Mrs. Diann Black Layne, GEF Focal Point, Ministry of Environment, Environment Division;  
Email: dcblack11@gmail.com

#### **The Bahamas**

Mr Philip Weech, Director, BEST Commission; Email: philipweech@bahamas.gov.bs  
Mr. Sherlin Brown, BEST Commission; Email: iwcam\_bhs\_ncoordinator@hotmail.com  
Dr. Richard Cant, WSC  
Cyprian Gibson, WSC  
William Ambrose Johnson, Engineering Technical Services (ETS)  
Craig Parotti (PORT Chairman, EHMPD Chairman, businessman)  
Ivan Ferguson, Exuma Island Administrator  
Kenneth Nixon, businessman, town planning committee  
Catherine Booker, Environmental Consultant  
Jennifer Delancy, Department of Environmental Health  
Elvis Ferguson, Harbor Master  
Min. of State-Environment, Phenton Neymour  
Karen Rolle, WSC  
Jenny Kettel, College of the Bahamas  
Charity Armbrister, Ministry of Tourism

#### **Barbados**

Alex Ifill, Water Quality Technologist, Barbados Water Authority (BWA)  
Email: alex.ifill@bwa.bb

#### **Carricaou**

Ms. Bernadette Lendore-Sylvester, Permanent Secretary, Ministry of Carricaou and Pititte Martinique Affairs with responsibility for Local Government

#### **Dominica**

Ronald Charles, Assistant Forestry Officer, Forestry and Wildlife Div., Ministry of Agriculture, Fisheries, and the Environment;  
Email: forestofficerprotection@cwdom.dm  
Bernard Ettinoffe, General Manager DOWASCO  
Ivanira Da Costa James, Manager, Operations & Maintenance Dep., DOWASCO  
Magnus Williams, Chief Engineer, DOWASCO

#### **Dominican Republic**

Olga Rosario, project coordinator, and Director of Environmental Quality;

Email: [olga.rosarion@ambiente.gob.do](mailto:olga.rosarion@ambiente.gob.do)  
Nancy Valdez, responsible for water quality monitoring  
Stalin Sanchez, technician, water quality monitoring  
Mercedes Pantaleon, former Project Coordinator; Email: [mercedes.pantaleon@semarena.gob.do](mailto:mercedes.pantaleon@semarena.gob.do)  
Emma Gomez, responsible for the clean production program

### **Grenada**

Trevor Thompson, Land Use Division, Ministry of Agriculture, Forestry and Fisheries  
Email: [trevort\\_lud@yahoo.com](mailto:trevort_lud@yahoo.com)  
Raymond Baptiste, Land Use Division, Ministry of Agriculture, Forestry and Fisheries  
Email: [ramoob@gmail.com](mailto:ramoob@gmail.com)  
Edward Niles, Consultant  
Alphonous Daniel, Daniel and Daniel

### **Haiti (no country visits)**

Joseph Ronald Toussaint, Ministry of Environment, Email: [josephronalddt@yahoo.fr](mailto:josephronalddt@yahoo.fr)

### **Jamaica**

Mr. Peter Knight, NEPA CEO; Email: [Peter.Knight@nepa.gov.jm](mailto:Peter.Knight@nepa.gov.jm)  
Mrs. Lisa Kirkland, Project Manager; Email: [LLatchman@nepa.gov.jm](mailto:LLatchman@nepa.gov.jm)  
Mrs. Novlette Douglas, Special Projects Manager  
Mrs. Sheries Simpson, Manager, Projects Planning & Monitoring Branch  
Mrs. Natalie Fearon, Manager, Public Education and Corporate Communication Branch  
Mr. Selvyn Thompson - Conservation Officer  
Mrs. Lucille Palmer – President Fairy Hill Citizen Association  
Mrs. Julia Smith – Member of Nature’s Handmade Paper  
Mrs. Gloria Dorman - Supervisor, Nature Handmade Paper  
Mrs. Cherika Haye - Member of Nature’s Handmade Paper  
Mrs. Lena Stewart – Farmer, Member of the Long Bay Citizen Association  
Mrs. Edris Jones – Secretary, Farmer, Hectors River Jamaica Agricultural Society  
Mrs. Annette Russell – President, Hectors’ River Senior Citizens Group  
Mr. Osbert Stichel – Fisheries Officer  
Mr. George Williams – President, Manchioneal Fishing Group

### **Saint Lucia**

Mr. Darnley Auguste, Deputy Permanent Secretary, Ministry of Agriculture  
Mr. Cornelius Isaac. Project Manager, PMU, GEF-IWCAM Demonstration Project, Saint Lucia; Email: [cornel\\_isaac@yahoo.com](mailto:cornel_isaac@yahoo.com)  
Mr. Trevalyn Clovis, Member of the Watershed Management Committee/Trust for the Management of Rivers (TMR)  
Ms. Perpertina James, Trust for the Management of Rivers (TMR)  
Mr. Louis Ernest, Trust for the Management of Rivers (TMR)  
Mr. Urban Glace, Trust for the Management of Rivers (TMR)  
Mr. Ananias Verneuil, Community Liaison Officer, PMU, GEF-IWCAM Demonstration Project, Saint Lucia  
Mr. Victor Poyotte, Executive Director, Caribbean Water & Sewerage Association (CWSA) Inc.; Email: [victor.poyotte@gmail.com](mailto:victor.poyotte@gmail.com)

**Saint Kitts and Nevis**

Dr. Halle Sahely, Project Coordinator, ST Kitts Water Services Department;

E-mail: halla@sahely.com

Mrs. Marsha Smith, Laboratory Analyst, Nevis Water Department

Mr. George Morris, Head, Nevis water Department

Mr. Lewellyn Wiltshire, Laboratory Technician, Nevis water Department

**St. Vincent and the Grenadines**

Yasa Belmar, Environmental Resource Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Nyasha Hamilton, Environmental Education Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Neri James, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Orlando Craig, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Cecil Ryan, Managing Director, Project Promotions Ltd.; Email: seeryan@vincysurf.com

**Union Island**

Roseman Adams, President, Union Island Environmental Attackers

**Trinidad and Tobago**

Mr. Linford Beckles (Director, NRE) Tobago House of Assembly; Email: linfordbeckles@yahoo.com

Ms. Sandra Timothy (Project Manager/Postharvest Technologist, DFCP, THA); Email: Sandra.Timothy@gmail.com

Ms. Kaye Trotman (BRT Board Representative)

Mr. Lyndon Glasgow Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)

Ms. Laura Glasgow Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)

Ms. Avril Alexander, Regional Coordinator, Global Water Partnership-Caribbean

**CEHI/IWCAM/CAR-RCU**

Ms. Patricia Aquing, Director, Caribbean Environmental Health Institute; E-mail: paquing@cehi.org.lc

Mr. Christopher Corbin, Email : cjc@cep.unep.org

Mr. Christopher Cox, Email: [ccox@cehi.org.lc](mailto:ccox@cehi.org.lc)

Ms. Magnalia Goldson, Email: [mgoldson@cehi.org.lc](mailto:mgoldson@cehi.org.lc); Magnalia.Goldson@unep.org

Mrs. Sasha Gottlieb, Email: sgottlieb@stanfordalumni.org

Mrs. Una McPherson, Email: umm@cep.unep.org

Mr. Christopher Roberts, Email: croberts@cehi.org.lc

Ms. Donna Spencer, Email: ds@cep.unep.org

Mr. Vincent Sweeney, Email: vincent.sweeney@unep.org

**UNEP**

Isabelle Vanderbeck; Email: isabelle.vanderbeck@unep.org

**UNDP**

Andrew Hudson; Email: [andrew.hudson@undp.org](mailto:andrew.hudson@undp.org)

**GEF Secretariat**

Christian H. Severin; Email: [cseverin@gef.org](mailto:cseverin@gef.org)

Alfred M. Duda; Email: [alfredduda@gmail.com](mailto:alfredduda@gmail.com)

## ANNEX VI. BIBLIOGRAPHY AND SOURCES OF INFORMATION

The main sources of documents for the Terminal Evaluation were the IWCAM website ([www.iwcam.org](http://www.iwcam.org)), the IW LEARN website ([www.iwlearn.net](http://www.iwlearn.net)) and the GEF website ([www.thegef.org](http://www.thegef.org)).


### General

<http://iwcam.org/documents/project-briefs>

<http://iwcam.org/documents/meeting-reports>

- Project Executive Summary
- Project Document (and Annexes)
- APR/PIR 2008, 2009, 2010, 2011
- PSC Reports, 2006, 2007, 2008, 2009, 2010, 2011, 2012
- RTAG meeting reports, 2007, 2008, 2009, 2010, 2011

### Demonstration Project Reports

- <http://iwcam.org/demonstration-activities-1>
- Case Studies: The Bahamas (Andros, Exuma), Cuba, Jamaica, St. Lucia, Trinidad Tobago, St Kitts and Nevis - <http://iwcam.org/documents/gef-iwcam-project-knowledge-documents/gef-iwcam-demonstration-project-case-studies>
-  GEF-WCAM\_Demo\_Case\_Study\_IWCAM\_CommonThreads&Trends\_FINAL.pdf
- Guidance Document on the Selection of Lessons Learned and Good Practices Worthy of Documentation for the GEF-IWCAM Project Communications and Education Planning Guide, April, 2009
- IWCAM Demonstration Project Guidance Document
- Protecting watershed services and developing management incentives in the Fond D'or Watershed area of Saint Lucia.

### Experience Notes

- GEF-IWCAM Experience Note No. 1: The Governance Mechanism of the Jamaica GEF-IWCAM Project
- GEF-IWCAM Experience Note No. 2 : Using Multi-Electrode Electricity Resistivity (MER) to measure aquifer capacity and threats.
- GEF-IWCAM Experience Note No. 3: Cuba. Agro-Forestry: Linking Sustainable Livelihoods to Conservation at La Sabanita Farm.
- GEF-IWCAM Experience Note No. 4: Tobago. Public Awareness and Changing Behaviour in support of IWCAM, Trinidad & Tobago
- GEF-IWCAM Experience Note No. 5: Jamaica. The Small Grant Facility
- GEF-IWCAM Experience Note No. 6: St. Lucia. Wastewater Wetland Treatment Systems
- GEF-IWCAM Experience Note No. 7: Development of a Participatory Watershed Management Model, St. Lucia NGO

- GEF-IWCAM Experience Note No. 8: Trinidad & Tobago. Monitoring with Geographic Information Systems (GIS) and providing information for decision-making.

## **Indicators**

- The Development of a Web-based Integrated Water Resources Management Information Management System & Water Resources Indicator System for Barbados
- Indicators Template - <http://www.iwcam.org/documents/meeting-reports/gef-iwcam-indicators/gef-iwcam-and-iabin-indicators-mechanism-workshop/gef-iwcam-indicators-template-final-may-2008/view>
- Indicators Assessment - <http://www.iwcam.org/documents/meeting-reports/gef-iwcam-indicators/gef-iwcam-and-iabin-indicators-mechanism-workshop/gef-iwcam-indicators-assessment-report-final-may-2008/view>





## **Mid Term Evaluation**

- Mid Term Evaluation, GFL/6030-05-01 October 2009

## **National Reports**














-  National Report for Antigua & Barbuda
-  National Report for Bahamas
-  National Report for Cuba
-  National Report for Dominica
-  National Report for Grenada
-  National Report for Haiti
-  National Report for Jamaica
-  National Report for St. Kitts and Nevis
-  National Report for St. Lucia
-  National Report for St. Vincent
-  National Report for Trinidad and Tobago

## **Outreach Material**

-  IWCAM Caribbean WaterWays vol 1 issue 1- March 2007 newsletter
-  IWCAM-January 2007 bulletin
-  IWCAM-March 2007 newsletter-spanish
-  IWCAM-January 2007 bulletin-spanish

-  IWCAM Caribbean WaterWays vol 1 issue 2- June 2007 newsletter
-  IWCAM-February 2007 bulletin
-  IWCAM-June 2007 newsletter-spanish
-  IWCAM Caribbean WaterWays vol 1 issue 3- September 2007 newsletter
-  IWCAM-February 2007 bulletin-spanish
-  IWCAM-September 2007 newsletter-spanish
-  IWCAM-April 2007 bulletin
-  IWCAM-April 2007 bulletin-spanish
-  IWCAM-July 2007 bulletin
-  IWCAM-August 2007 bulletin
-  IWCAM-October 2007 bulletin
-  IWCAM-July 2007 bulletin-spanish
-  IWCAM-August 2007 bulletin-spanish
-  IWCAM Caribbean WaterWays vol 1 issue 4- December 2007 Newsletter
-  IWCAM Caribbean WaterWays vol 2 issue 1- March 2008 Newsletter
-  IWCAM-June 2008 Newsletter
-  IWCAM-September 2008 newsletter
-  IWCAM Newsletter for March 2009
-  IWCAM Newsletter for June-September 2009(Caribbean Waterways)
-  IWCAM Newsletter for December 2009(Caribbean WaterWays)
-  Caribbean WaterWays for March 2010
-  Caribbean WaterWays for June 2010
-  Caribbean WaterWays for September 2010
- Think About Water! [video]
- Water Governance [video]
- IWCAM: Tobago Demonstration Project [video]
- Land Based Sources of Pollution [video]
-  Caribbean WaterWays for December 2010
-  IWCAM Caribbean WaterWays vol 2 issue 2- June 2008 newsletter











-  IWCAM Caribbean WaterWays vol 2 issue 3- September 2008 Newsletter
-  IWCAM Caribbean WaterWays vol 2 issue 4- December 2008 Newsletter
-  IWCAM Caribbean WaterWays vol 3 issue 1- March 2009 newsletter
-  IWCAM Caribbean WaterWays vol 3 issue 2/3- June/September 2009 newsletter
-  IWCAM Caribbean WaterWays vol 3 issue 4- December 2009 newsletter
-  IWCAM Caribbean WaterWays vol 4 issue 1- March 2010 newsletter
-  IWCAM Caribbean WaterWays vol 4 issue 2- June 2010 newsletter
-  IWCAM Caribbean WaterWays vol 4 issue 3- September 2010 newsletter
-  IWCAM Caribbean WaterWays vol 4 issue 4- December 2010 newsletter
-  IWCAM Caribbean WaterWays vol 5 issue 1- March 2011 newsletter
-  Caribbean WaterWays, Vol. 5, Issue 2, June 2011
-  GEF-IWCAM Quarterly Newsletter: Caribbean WaterWays, Vol. 5, Issue 3, November 2011
-  GEF-IWCAM Final Project Conference: Summary

#### **Policy Documents and other Project Technical Reports:**

- Toolkit for Institutional, Policy and Legislative improvements in Support of the IWCAM Approach in Caribbean SIDS
- Laboratory Assessment Reports
- Development of an Integrated Water Resources Management (IWRM) Information Management System for Barbados
- Road-map for IWRM implementation (Barbados, Grenada, St. Vincent and the Grenadines, Union Island and Carriacou)
- Report on the Implementation of the IWCAM Pilot Projects in the communities of Greggs, Chateaubelair, Spring Village, and Buccament/Vermont (Saint Vincent and the Grenadines).

#### **Workshop Reports**

-  IWCAM-Third Regional Workshop for GEF Project Development, PDF-B, August 2001
-  IWCAM-Second Regional Workshop for GEF Project Development, PDF-B, February 2001
-  IWCAM-First Regional Workshop for GEF Project Development, PDF-B, March 2000
-  GEF-IWCAM Regional GIS Workshop Report

-  IWCAM-Review of Policy, Legislation and Institutional Structures
-  GEF-IWCAM Capture and Demonstration of Good Practice and Lessons Learned Workshop
-  GEF-IWCAM and IABIN Indicators Mechanism Workshop
-  IWCAM Indicators Mechanism and Capacity Assessment
-  GEF-IWCAM Workshop on Communications, Public Education and Outreach for Integrated Watershed and Coastal Areas Management
-  Demonstration Project Communications Planning Workshop
-  Cuba IWRM Workshop Report
-  Grenada LBS Awareness & Implementation Workshop

## Methodological

GEF/CDC, *Review of Outcomes to Impacts: Practitioner's Handbook DRAFT*, Global Environment Facility Evaluation Office, 1818 H Street, NW, Washington, DC 20433, JUNE 2009

GEF/CDC, *The ROtI Handbook: Towards Enhancing the Impacts of Environmental Projects*, OPS4 METHODOLOGICAL PAPER # 2, August 2009  
<http://www.thegef.org/gef/sites/thegef.org/files/documents/CPE-ROtI Practitioners Handbook 4August2009.pdf>

GEF, *Guidelines for GEF Agencies in Conducting Terminal Evaluations*. Evaluation Document No. 3 Evaluation Office, Global Environment Facility Evaluation Office, 1818 H Street, NW, Washington, DC 20433, 2008  
[http://www.thegef.org/gef/sites/thegef.org/files/documents/TE\\_guidelines7-31.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf)

UNDP, *Handbook on Planning, Monitoring and Evaluating for Development Results*. United Nations Development Programme, One United Nations Plaza, New York, NY 10017, USA, 2009 Handbook Web site: <http://www.undp.org/eo/handbook>

**UNEP, Evaluation Manual**, Evaluation and Oversight Unit, March 2008  
<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/Default.aspx>

GEF International Waters Annual Project Performance Results Template  
 III. D. International Waters Results Template – Global/Regional/National Demonstration Projects 2007, 2008, 2009, 2010, 2011  
 Process Outcomes and Indicators

**ANNEX VII. SUMMARY CO-FINANCE INFORMATION AND A STATEMENT OF PROJECT EXPENDITURES BY ACTIVITY**

## ANNEX VIII - Technical working paper

### II. PROJECT PERFORMANCE AND IMPACT

#### A. Attainment of Objectives and Planned Results

##### a) Achievement of Outputs and Activities

The table below presents an assessment of the project's achievement by output and activities.

IV REGIONAL AND NATIONAL CAPACITY BUILDING AND SUSTAINABILITY		
COMPONENT	OUTPUT	EVALUATION
4.1	Awareness and Sensitisation	The IWCAM project generated heightened awareness on IWCAM related activities among major stakeholders at both the Regional and National Level including the political directorate, the media, decision-makers, technocrats and community groups through the convening of national and regional training workshops on various topics, including a media training workshop, in the respective member countries. An important vehicle in awareness raising and sensitisation was the quarterly publication of the newsletter "Caribbean WaterWays" and the website hosted by IWCAM. Both these mediums were used to disseminate information about the project to participating member countries, partner organizations and the general public. Though there were no specific mechanisms in place to measure the effectiveness of these information sharing tools, the evaluation team (i) could verify during the country visits the satisfactory extent to which the bulletin was circulated and used not just by the demo executing staff, but also by schools and stakeholders, and (ii) assess the high quality of the website, a true communication platform now evolving into a PMIS and CHM.
	National & Regional Workshops on needs and target audiences Multisectoral awareness campaign with feedback mechanisms	GEF-IWCAM played a major role in the CEF-5, as its Partnership Forum. The event involved over 300 participants, including two Prime Ministers and the Deputy Executive Director of UNEP. It also involved a Youth Environmental Forum, sponsored by IWCAM, an exhibit of all IWCAM Demos, live webcast of selected sessions and a tree-planting ceremony. Partners included CEHI, OAS, GTZ, USEPA, CDC, Clean Islands International and private exhibitors.
4.2	Stakeholders Involvement	From the very beginning, the project received the endorsement of countries, several of which pledged counterpart funding. Over the life of the project the list of stakeholders varied from governmental personnel and private sector entities, to community groups. Stakeholder involvement was extensive throughout the Project. Among the most notable and more formal involvement of stakeholders were the following: In Jamaica, the Drivers River Stakeholders Group engaged stakeholders in East Portland through four sub-committees: Governance and Enforcement; Sanitation and Livelihoods; Environmental Monitoring; and Public Awareness. In the Dominican Republic, the Private Sector participated in an extensive survey of industrial practices in the Lower Haina River Basin, as well as identification and implementation of Cleaner Production Mechanisms planned for the short, medium and long-term. In Saint Lucia, the Watershed Management Committee, responsible for motivating and mobilizing the wider community to participate in several activities, took the initiative to transform itself into an NGO, the

		Trust for the Management of Rivers, to promote, implement, and ensure sustainability of the IWCAM approach after the project was finished. In Tobago, the Anse Fromager Ecological Environmental Protection Organization (AFEEPO), a community group largely dedicated to clean-ups and fighting wild fires on the hills of the Courland Watershed became involved in all planning and execution activities for the Watershed's reforestation effort. In Saint Vincent, IWRM Community Pilot Projects in four communities - Chateaubelair, Greggs, Spring Village, and Vermont - worked to increase public awareness of watershed issues and implement activities aimed at mitigating water pollution while providing improvements to communal facilities.
	Identify, strengthen and involve stakeholders	Various initiatives were undertaken to involve stakeholders. These included training workshops and capacity building activities such as the publication of a document on Community based Resource Assessment, which was then followed up with a series of workshops on capacity building. A representative of each of the participating member state also sat on the PSC, and RTAG. This ensured that stakeholders were continuously involved and engaged in the decision making processes and rolling out of program activities throughout the existence of the project.
4.3	Education & Training	<p>The project produced a significant amount of technical materials which provide participants with useful knowledge, but more importantly, information which can be used to further entrench the principles of IWCAM. Much of that information was delivered at national and regional workshops convened throughout the tenure of the projects. Among the various workshops convened were the following:</p> <ul style="list-style-type: none"> <li>▪ GEF-IWCAM GIS Regional Workshop, 5 - 6 July 2007, Tobago,</li> <li>▪ IWRM Workshop, 28 September 2007, Dominica</li> <li>▪ GEF-IWCAM Regional Workshop on Policy, Legislation and Institutional Structures, Legal Workshop, 27 - 28 November 2007, Nassau, the Bahamas.</li> <li>▪ GEF-IWCAM Workshop on Communications, Public Education and Outreach for Integrated Watershed and Coastal Areas Management 12 - 13 February 2008</li> <li>▪ Workshop to Discuss Integrated Management of Saint Lucia's Watersheds and Coastal Areas, 12 August 2008</li> <li>▪ GEF-IWCAM Project Management Training, 21 - 25 September 2009, St. Lucia</li> <li>▪ Coastal Aquifer Management in Small Island Developing States (SIDS) of the Caribbean: Challenges and New Directions, October 11 - 12, 2010, Saint Kitts and Nevis.</li> <li>▪ GEF-IWCAM Training Workshop - Responding to RFP's - Writing Effective Proposals (2011) Antigua and Barbuda, 07-10 March 2011.</li> <li>▪ GEF-IWCAM Community-Based Resource Assessment Train-the-Trainer Workshop Roseau, Dominica 12-14 April</li> </ul>

		<p>2011</p> <ul style="list-style-type: none"> <li>▪ GEF-IWCAM/CLME (in association with Caribbean Media Workers) Media Workshop 17 - 19 May 2011, Port of Spain, Trinidad and Tobago</li> <li>▪ Environmental Impact Assessment (EIA) Review Training Workshop, 07 – 09 June 2011, Kingstown, Saint Vincent and the Grenadines</li> <li>▪ LBS Awareness and Implementation Workshops and Meetings in Dominica, Grenada and St. Vincent and the Grenadines.</li> </ul>
	<p>Educational Workshops (linked to Awareness Workshops)</p> <p>Production of educational materials and incorporation into regional curricula</p> <p>Identification and implementation of training needs and regional training networks.</p> <p>Regional training workshops &amp; networking through IW:LEARN Inter-country secondment</p>	<p>Training has been an integral feature of the project and was provided to assist in building capacity in several areas. Demo project personnel and laboratory technicians from the water agencies in the participating countries were provided with training aimed at improving their technical capacities. Member countries were also provided training in Proposal Writing, Communications, Project Management and EIA Review.</p> <p>Among the various materials produced are:</p> <ul style="list-style-type: none"> <li>✓ The Toolkit for Institutional, Policy and Legislative Improvements; GEF-IWCAM Indicators Assessment and Template;</li> <li>✓ The Community Based Resource Assessment (CBRA) Tool and Facilitation Manual;</li> <li>✓ Environmental Impact Assessment Review Training Workshop Manual;</li> <li>✓ Manual on Responding to RFPs – Writing Effective Proposals;</li> <li>✓ Policy Makers Briefing Sheets;</li> <li>✓ A series of IWCAM Brochures for the general public, the agricultural sector, the industrial sector and the tourism sector.</li> </ul> <p>Following the publication of the Community Base Resource Assessment manual project personnel in all the Demo project countries were provided with training in the application of the principles. The CBRA is a multimedia tool, involving the use of video, photos, and web-links to deliver information to intended target audiences. Through the life of the project the PCU served as the effective medium for the sharing of information among participating countries. With the decision being made to establish the CHM at the CAR-RCU it is anticipated that all of the information stored at the PCU will be accessible through this database.</p>
4.4	Strategy for IWCAM Regional Sustainability	<p>The multi-pronged approach of building capacity at various levels, nationally and regionally, combined with raising the awareness of the IWCAM approach and building partnerships, has served to ensure the sustainability of the project. Further transitioning continued within CEHI, as capacity to continue the work of IWCAM was built. Work has started on repositioning CEHI into becoming an Environmental Management Institute, as distinct from an Environmental Health institute, which will fall under the purview of Ministries of Environment (with a broader mandate to fill the regional gap with respect to EM). Committees have been established which would continue to function after the projects ended. In some in-</p>

		stances governments have pledged their assistance in continuing with the project and are seeking funds from donor agencies or giving their support to NGOs (Tobago and St. Lucia) to continue the awareness raising programmes (St. Lucia) and the reforestation work (Tobago) started under the Demonstration project.
	<p>Development of IWCAM regional strategic approach</p> <p>Assistance with identifying long term funding mechanisms for IWCAM regional strategic approach</p> <p>Incentives for national and regional adoption of IWCAM strategies and arrangements</p> <p>Review and Evaluation Mechanisms for Strategic Approach, including a stakeholder-sponsored mechanism for post-project evaluation of GEF IWCAM objectives</p>	<p>From an institutional perspective the GEF-IWCAM project has been effective in establishing linkages with various partners (GIZ, CAR-RCU, CEHI, CWWA, GWP-C and OECS) thus ensuring that regional mechanisms are in place to further the objectives of the programme. Also, several of the initiatives undertaken as part of the demo projects (RWHP, WTS) are being replicated in other countries. This has occurred thanks to the combined effect of regional support mechanisms (targeted capacity building, and dissemination of information and experiences). However, several of the initiatives undertaken through the Demo projects have indicated a financing deficit (e.g. Tobago Reforestation, awareness and sensitisation work in St. Lucia) which could limit their effectiveness.</p> <p>In more general terms, it appears that some of the assumptions at the basis of the design of these activities (see Logframe for Component 4) were rather optimistic, and that the time necessary to help the countries to move in the direction of the systematic and strategic adoption of IWCAM and establishment of an incentive mechanism for its application on the ground was largely underestimated. At the time of the Terminal Evaluation, countries, implementing and executing agencies seemed determined to move into a follow on project and are now in the process of submitting a proposal to the GEF. The evaluators did not purposely assess in any way this possible future development nor are aware of the contents of the proposal. It is however hoped that through this new possible project, and its linkages with the just strated CReW GEF-IADB project, the IWCAM aproach will be fully and permanently integrated in natural reasources management practices of the region.</p>
4.5	Project Networking	A multi-sectoral, multi-national and multi-institutional project of this type invariably demands the establishment of partnerships with other organizations. Those partnerships were successfully pursued by the project by supporting other events convened by partners (e.g. World Water Forum; CEF; CWWA, and GWP-C), at which the objectives of the project are promoted. The Global Water Partnership–Caribbean (GWP-C) has been a long time partner of the project. One of the main objectives of GWP-C is to improve water governance in the Caribbean through the promotion, enhancement and effective implementation of legislation, policies and programs on IWRM. In this regard, and as a partner organisation, GWP-C regularly facilitates High Level Sessions with Caribbean Ministers of water and managers of water utilities, a joint initiative of GWP-C and its partner, the Caribbean Water and Wastewater Association (CWWA). GWP-C also assists with capacity building and awareness-raising by providing training in areas such as climate change and the implication for water resources.
	<p>Linkages to national/regional and global institutions</p> <p>Linkages to other IWCAM related projects and initiatives, especially WW2BW</p>	<p>The majority of regional development agencies and environmental managers are familiar with the “IWCAM” terminology. An effective IWCAM was able to develop strong working relationships with several partner agencies both at the regional and internal level.</p> <p>IWCAM presented to UNEP CAR/RCU LBS ISTAC, May, 2010; High-Level Session of Ministers of Water, October 2009; National IWRM Symposium, chaired by Minister of Water, Jamaica, Feb 2010; CEF-5, June 2010, attended by two Prime Ministers and Deputy Executive</p>

	and GPA Development of Clearing House Linkages to GPA- CHM Networking with countries	Director of UNEP. Reference is frequently made to IWCAM through TV and radio interviews during regional and national events. Throughout the life of the project a significant amount of information, as evidenced by the Technical Reports (Toolkit for Institutional, Policy and legislative Improvements, Indicators Mechanisms, etc) Briefing Notes (Guide for Policy makers) and Workshops (Project Management EIA Review and Communications) have been generated and shared with participating member countries. Much of that information has been shared directly and through the quarterly newsletter. The project website has also been a main tool for information sharing. To facilitate this information exchange a CHM was established at CEHI with the main objective of capturing outputs of all national and regional projects, including lessons learnt and best practices. IWCAM Project website will be the gateway to the CHM with current and additional (new) content being organized into the structure of the CHM and labeled with metadata. In light of the phasing down of the project an independent analysis was done of the IT and Human Resource Capacity at both CEHI and UNEP CAR/RCU in terms of hosting the CHM. A decision has therefore been made that the facility will now be hosted at CAR/RCU. In response to the analysis, further capacity strengthening has already been held at that office for the operation and maintenance of -both hardware and software and a dedicated IT Assistant hired who will provide long-term continued support for the CHM. Networks have been expanded and the profile has been raised, through on-going joint activities, some of which have been supported by IWCAM and other partners.
<b>V</b>	<b>REGIONAL PROJECT MANAGEMENT AND COORDINATION</b>	
5.1	Project Management	The actual day to day management of the project was executed by a Project Coordinating Unit (PCU) located at CEHI in St. Lucia.
	Establish Project Coordination Unit Contract staff and consultants	The PCU was established in May 2006 with the appointment of the RPC. By November of that year all five (5) positions (RPC, TC, CNIS, AO and BAA) were filled. PCU held weekly staff meetings to discuss project progress. All five of these officers remained with the Project for its entire duration
5.2	Regional Project Steering	A Project Steering Committee (PSC), the highest decision-making body for the project, was established to monitor progress in project execution, to provide strategic and policy guidance, and to review and approve annual work plans and budgets. The PSC was comprised of National Focal Point country representatives (all 13 countries), EA and IA.
	Steering Committee Meetings (project monitoring, workplan and budget reviews)	Since its first meeting in 2006 the PSC met annually with the last meeting being held in Jamaica in November 2011.
5.3	Meetings of National Intersectoral Committees Day-to-Day inputs by members	A National Intersectoral Committee (NIC) was established in each or most of the participating countries. No reporting on the NIC activities was found, but references to their presence and inputs are to be found in various reports and other documentation. The role of the NIC was essentially to provide oversight of the project, but more importantly, to ensure the integration of IWCAM principles into the national policy framework. No information was found on the composition of each country NIC.
5.4	IA/EA Management Group	Though the project had a multiplicity of actors fulfilling the management role, they all had common concerns in respect of achieving outputs and goals of the project. As such, they provided constant reminders of the essential targets such as transitioning from a



		demonstration mode to one of replication.
	Annual IA/EA Meetings EA Interim Management Discussions	Through the organ of the PSC, both the IA's and EA's were able to combine their input into ensuring that obstacles were addressed and resolved either at the annual meetings or through various communications mediums.
5.5	Project Technical Support	PCU staff were all highly competent in their respective fields and were able to provide the first line of support to participating member countries. In addition both CEHI and CAR/RCU were always available to provide additional assistance.
	Meetings of Regional Technical Advisory Group (To provide technical support and advice to Steering Committee)	<p>The RTAG met once a year, just prior to the PSC and had as its main responsibilities:</p> <ul style="list-style-type: none"> <li>✓ Reviewing reports from the Demonstration Projects</li> <li>✓ Reviewing all technical matters related to project objectives</li> <li>✓ Addressing any increased or emerging technical concerns within the region pertinent to the participating countries and to IWCAM issues</li> <li>✓ Providing technical guidance and recommendations to the PSC on project-related issues</li> <li>✓ React to any other requests from the PSC, PCU or EAs requiring technical input and advice</li> </ul>
5.6	Project Reporting	Participating Member Countries were required to submit semi-annual (January and July) Progress Reports along with financial reports. In addition they were expected to submit Brief Quarterly Progress Reports (BQPR) within two weeks of the end of the previous quarter. These reports were to consist of a summary of activities undertaken over the previous quarter and no longer than one page (100 words) in length. Project Managers were provided with a template for submitting their reports (PR and Financial). A Demonstration Project Guidance Document was prepared and submitted to all Project Managers detailing requirements for work plans, submission deadlines issuing of media releases, information about the GEF-IWCAM project as well as templates for the preparation of financial reports. A workshop was also convened to provide project personnel with training in the preparation of reports and ensuring they had a clear understanding of the demands of the project. In addition PCU staff, as well personnel from CEHI and CAR-RCU were available, in person, on the telephone or through other electronic means to provide assistance.
	<p>Reports from Demo Projects to PCU</p> <p>Reports from PCU to Steering Committee</p> <p>Reports from Steering Committee to EA/IAs</p>	<p>Reports from the Demo projects were completed satisfactorily. From time to time PCU staff had to send out reminders or call Project Managers to request reports which were delayed. However the fear of withholding funds from delinquent participants always served as a catalyst in ensuring that reports were submitted in time for appropriate decisions to be made. These usually followed the annual meetings of the PSC. At these meetings the workplan of the PCU would be presented and issues relating to project implementation discussed. Six successful meetings were held over the life of the project. Quarterly Reports (QRs) and monthly reports received from Demonstration Projects. Consolidated APR/PIR reports were prepared for review by IAs in a timely manner. From time to time the Administrative Officer (AO) in the PCU had to send out reminders to Demo Project Managers to speed up the preparation of their reports.</p>
5.7	IA Evaluation	A Mid-Term Review was successfully completed in 2009. Several

	Requirements GEF Evaluation Requirements	recommendations were made and shared with all participating member countries. Where action was required by a Member Country the PCU staff followed up to ensure the recommendations were acted upon and reported on at the next RTAG and SC meetings. As part of the evaluation requirements a Terminal Evaluation is also being undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, UNDP, the GEF and their partners.
	Project Information Management System	The development of information management systems has been an integral aspect of the program as the IWCAM has sought to provide participating member states with the tools and training, in the use of these systems they require, to identify the nature of problems, designing solutions or options, choosing from among those options and devising a strategy and plan for implementing the decision as well as monitoring the entire process. Among the information systems successfully established were GIS, a Water Information System (in Barbados and Grenada) as well as ongoing work for the commissioning of the CHM and GeoNetwork Opensource facility. The manual to facilitate training for the use of the GeoNetwork facility has already been completed. The GeoNetwork Opensource system, in particular, is a standard based and decentralised spatial information management system, which would allow project managers and other users to access geo-referenced databases and cartographic products from a variety of data providers through the internet.
5.8	Establish Regional Project Information System National inputs and outputs related to Information Management System	The GEF-IWCAM project has placed considerable importance on data and information management, especially on information exchange amongst the different stakeholders. The information systems established, as well as those due to come on stream are particularly useful. The GeoNetwork system has the potential to be a game-changer in terms of resource analysis and informed decision-making as it makes available spatial data and thematic maps from multidisciplinary sources. A considerable amount of data has been generated from all the demonstration projects. Much of that data has been fed into information systems at both the national level and regional levels (e.g. NEPA in Jamaica and Physical Planning in Trinidad and Tobago, CEHI in St. Lucia) and is being stored as baseline information for future purposes or being used to influence policy and decision making. Water quality information (river and marine) collected in St. Lucia and Tobago respectively, was used effectively to demonstrate to users and other stakeholders the extent of the problems and served as the catalyst in designing solutions and taking corrective measures to reduce and eliminate the problems. An IWCAM Atlas has also been prepared with assistance from UNEP CAR/RCU. The atlas will be incorporated into the CHM, or at the very least hosted on the CEP website and linked to the CHM. As the main repository for all documentation concerning the project the PCU served as the <i>defacto</i> Clearing House Mechanism (CHM) however with the closure of that office, work is ongoing in relocating that mechanism to UNEP-CAR/RCU.

## Lessons Learned, and Final Observations

1. *The possible future of CEHI* - The successful implementation of the GEF-IWCAM project served to highlight the need for a dedicated Environmental Management Agency in the Caribbean with specific responsibilities for the implementation of projects. Even if the termination of the project has left CEHI weaker from a financial and HR standpoint, it has endeared itself to several partners and environmental practitioners as a competent organization capable of delivering technical quality.

2. *Readiness Criteria* - New IWCAM related initiatives in the region could consider developing a set of “readiness criteria” for future projects. These could include:

- Establishing preconditions
- Defining the enabling environment required for the project to be successful (e.g. countries which have ratified the LBS protocol)
- Insisting on the need for countries to have some policy in place and required legislation

3. *Capacity building and sustainability* – These are closely linked and should be essential features of all enabling projects like IWCAM. The issue of capacity is one which most SIDS will face when it comes to implementation of projects. Once a project is drawing to an end, every effort should be made to ensure that trained personnel are absorbed in positions in which their skills will be effectively utilized. This will require that both the implementing agencies as well as the PCU ensure transparency in the selection process and that the best candidates are selected. Some of the more obvious benefits of IWCAM were related to the personal growth of individuals involved with the project, particularly at the community level. The emergence of the NGO group in St. Lucia is evidence of that personal and collective growth.

4. *Adaptive management* - Adaptive and flexible management should be encouraged. This is especially relevant when engaging local communities. One of the first initiatives of the St. Lucia Demonstration project was a needs assessment. Out of that came initiatives to address the pollution of the river in the community and innovative measures such as the Rain Water Harvest (RWH) system for collecting and storing water.

5. *M&E* - Monitoring and evaluation can take several forms, preparation of annual work-plans, quarterly and annual reports, mid-term and terminal reviews. It is essential, however, that provisions are made for projects to obtain feedback, not just on their performance, but also, on the extent to which stakeholders, and to some extent, the wider public, are receiving “the message” and how that message is making a difference in their lives.

6. *Private sector* - Several initiatives pursued under the GEF-IWCAM project seemed to have great potential for private sector involvement and even being of commercial value. While this may not have been a specified output, with the context of current efforts to promote the green economy principles, a greater effort should be made in promoting these initiatives. This may require the engagement of short-term consultants to explore the commercial values of such initiatives and developing a blueprint for its commercialization.

7. *Using ICT* - While exchange visits and workshops have great value for participants the changing landscape for convening meetings using electronic means need to be explored and considered and much more use made of this technology. The savings in terms of travel and accommodation could be tremendous as funds diverted from travel could be used for the benefits of demonstration projects or other beneficial uses.

8. *Communication activities* - Another of the major successes of the GEF-IWCAM project was the quantum of resource materials, including the high quality newsletter "Caribbean WaterWays" published on a quarterly basis. This was an initiative of the PCU because the budget did not initially make allowance for communications of this nature. This obviously was an oversight, but serves to indicate the importance of ensuring that communications is a part of every major project, taking into consideration the various audiences (project managers, partners, students and academic institutions) who will have an interest in the information to be disseminated. The website proved to be a very valuable means of communications. However, having an informed and interactive website requires maintenance (regular updates) to ensure its effectiveness. Like in IWCAM, adequate resources should be made available in all projects for the regular maintenance of the site.

9. *Political Legitimacy within CARICOM* - While UNEP CAR-RCU and UNDP provided valuable support to the programme, and CEHI was one of the EA, the sustainability of such initiatives will be greatly enhanced if there would be greater visibility of the regional presence and their participation directly related to programmes approved by the regional political governing body. The adoption of the Revised Treaty of Chaguaramas (RTToC) provides an opportunity for such linkages (within CARICOM) in a similar manner to linkages with Cartagena Convention, the GPA, Barbados Programme of Action (BPoA) and the St. Georges Declaration. The justification for such an approach is that the RTToC is a legally binding document which creates obligations on parties (CARICOM Member States) that are signatory to the Treaty to enforce. The output, therefore, which required or may, in the future, require the drafting or amendment to legislation will have their roots, not only in principles of sustainable development and sound environmental management, but also in obligations derived from the treaty and not necessarily, an arbitrary requirement of the project.

10. *Involvement of the Scientific Community*- Though there is evidence of the involvement of the academic community on specific projects, there was little evidence of attempts to engage them, particularly the scientific community, on a sustained basis. It could have been beneficial to have some technocrats from outside the governmental (national and regional) circles on R-TAG.


11. *From Policies to Laws* - Given the fact that policies take an estimated two to three years to translate into legislation, and given the fact that several countries have demonstrated such great willingness to adopt the reforms and policies (policies adopted and institutional arrangements reconfigured) which the project sought to promote, GEF-UNDP-UNEP may want to consider providing continued support for the implementation to those policies either directly through the existing executing agency arrangement (CAR-RCU and CEHI) or through another ongoing project (CReW), utilizing any unused funds. That support may require support for raising awareness at the community level (NGO support), the drafting of appropriate legislation and developing a system of monitoring and reporting on progress specific to the projects executed under the project.

12. *TE Country Evaluation*: The time allocated for country evaluation was insufficient particularly for countries with Demo Projects (Tobago and St. Lucia). Taking into consideration

the need to not only meet with project personnel but also visit the demo project sites and validate (triangulate) the information provided by project personnel and contained in the reports. Trinidad and Tobago is a two island destination. One day was allocated for Tobago which was totally insufficient. Two days would have been ideal, given the fact the project was located in Tobago, with another one day allocated for meetings in Trinidad. Initially four days were allocated for St. Lucia (Two with personnel of the PMU and two with the Demo Project personnel), however due to competing activities in Dominica the trip to St. Lucia was delayed resulting in less time being spent with PCU staff as initially intended.

# Demonstration Project and Hot Spot Summary Evaluation

## Tobago Pilot Project

<b>Tobago</b> <b>Land-Use Planning and Watershed Restoration in the Courland Watershed and Buccoo Reef Area</b>		
Actual start date:	June 2007	
completion date:	November 2010	
Total GEF funding (US\$)	\$673,000.00	
Total co-financing:	\$50,719,700	
<b>Pilot Project Rationale</b> The project aimed to alleviate the causes of environmental degradation in the Targeted Area (Courland Watershed and Buccoo Reef Bay area).		
<b>Pilot Project objectives and components</b> <ul style="list-style-type: none"><li>▪ Initiate Reforestation of Courland watershed and monitoring programme</li><li>▪ Diversion of surface drain into constructed artificial wetland</li><li>▪ Upgrade Land-Use Plan in Target Area and improve EIA process</li><li>▪ Collaboration with IDB for effective waste-water monitoring programme</li><li>▪ Establishing a sustainable programme of effective data-collection</li><li>▪ Developing formal procedures for data-flow</li><li>▪ Instigate an IWCAM approach to decision-making</li><li>▪ Incorporate community involvement in the management process</li><li>▪ Undertake a long-term awareness and sensitisation campaign</li></ul>		
<b>Executing Arrangements</b> The project was managed by a Cabinet-approved National Inter-sectoral Committee (NIC) comprised of representatives from various Ministries and Divisions from both Tobago and Trinidad. The NIC was chaired by the representative of the Department of Natural Resources and Environment of the Tobago House of Assembly (DNRE/THA). The daily project management was the responsibility of the Project Manager, who had responsibility for overseeing the execution of the project to time and according to the stated budget. The Project Manager reported to the PMB at their regular meetings. The Project Manager was supported by a Project Assistant as well as additional staff including: <ul style="list-style-type: none"><li>▪ Demonstration Project Manager</li><li>▪ Environmental Education Coordinator</li><li>▪ 2 Geographic Information Officers</li><li>▪ Scientific Diver</li></ul> The PM supervised the project staff and the operation of the GIS Unit. The directors of Buc-		

<p>coo Reef Trust, as the entity contracted to undertake the implementation of the project provided general oversight and ensured the timely and professional delivery of the outlined objectives and ensure successful completion of the project.</p>
<p><b>Project Cost and Financing</b></p> <p>As of December 2011, the project had received all of the GEF grant funds with the exception of \$5,000.00.</p>
<p><b>Mid-term Evaluation</b></p> <p>An MTE of the pilot project was conducted by the UNEP Evaluation and Oversight Unit May 11 – 12, 2009. The main issues identified at that time were apparent communication issues between the BRT and THA and concerns in respect of the pace at which the stress reduction aspect of the project was proceeding. The “communication issues” was nothing more than a little misunderstanding as a result of some delays in communications and easily resolved, while the issue of stress reduction was also addressed through the selection of a Fish Processing Plan as a demo for stress reduction using the Wetland Wastewater Treatment system. This project was successfully completed.</p>
<p><b>List of persons interviewed</b></p> <p>Mr. Linford Beckles (Director, NRE) Tobago House of Assembly  Ms. Sandra Timothy (Project Manager/Postharvest Technologist, DFCP, THA)  Ms. Kaye Trotman (BRT Board Representative)  Mr. Lyndon Glasgow Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)  Ms. Laura Glasgow Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)  Ms. Avril Alexander, Regional Coordinator, Global Water Partnership-Caribbean</p>

RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes. The project was very much in sync with the overall intended goals and outcomes of IWCAM. As a project it demonstrated the use of various technologies (GIS, Marine Survey mapping and the artificial wetland system) and other management approaches to drive and shape policies for integrated watershed management.
<b>Rating for Relevance</b>	<b>HS</b>
INTENDED RESULTS AND CAUSALITY	
<b>Were the objectives realistic?</b>	<p>Most of the objectives were realistic and attainable. Where they were not realistic it was not as a result of a failing of the project but because these objectives were outside the control of the project. For example:</p> <ul style="list-style-type: none"> <li>Wastewater Project for SW Tobago</li> <li>Upgrading Land Use Plan</li> </ul>

	<p>In respect of the Wastewater project, GOTT decided to discontinue the project as the cost kept escalating. However, some work was done including the undertaking of a feasibility study and an Environmental Impact Assessment (EIA). The project was eventually redesigned and it was decided to utilize existing unused capacity.</p> <p>In respect of the Upgraded Land Use plan, thought the programme benefited from increased use of GIS in development planning, it was beyond the capability of the project to enforce any land use changes as that falls squarely under the remit of the central government and the THA. Since 2007 GOTT has been proposing to undertake a revision of the Physical Development Plan. It is hoped that this initiative, when started, will take into consideration the data generated under this project.</p>
<b>Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?</b>	No, but there were some components e.g. Wastewater project not completed. But technically, it was not an activity of the project.
Were the activities designed within the pilot likely to produce their intended results?	Yes. The activities involved quite a bit of training and practical activities which were directly related to the objectives.
Were activities appropriate to produce outputs?	Yes
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	An essential aspect of the pilot was the extent to which it sought to involve several governmental and non-governmental institutions, both formally and informally, in related initiatives. Apart from the fact that several governmental entities served on the NIC, they also benefited from training initiatives structured around related project activities (e.g., GIS Training, Proposal Writing and Project Management Workshops and Seminars), the generation of various marine and terrestrial data, which served to inform governmental entities



	(Town Planning) regarding land use planning decision-making as well as schools and community groups (e.g. re-forestation programs) in the shaping and drafting of policies for the better management of both marine and terrestrial resources.
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	<p>While the pilot does not present a strategy/approach for sustaining outcomes, there is little doubt that several of the initiatives have and will be sustained due to the interest demonstrated by several of the stakeholders, including the THA and the NGO community.</p> <ul style="list-style-type: none"> <li>▪ Survey techniques have been developed for gathering information on land-based sources of pollution</li> <li>▪ The Point Intercept Marine Survey method was undertaken and training provided;</li> <li>▪ Reforestation program initiated in the Courland watershed; and</li> <li>▪ Artificial Wastewater Wetland Treatment system constructed.</li> </ul> <p>These projects, together with other community awareness programmes, have not only delivered practical benefits to the communities but have generated a continue interest even after the completion of the project.</p>
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Yes, funding is required, particularly in respect of the reforestation project and the Wastewater Wetland projects. Though some funds have been secured by the Community group from the UNDP Small Grants programme, the THA has now given their support to the organisation in their application to the Green Fund for additional financial support to continue with the reforestation programme. BRT is also seeking additional support from THA for the completion of the Wastewater project.
Are there any financial risks that may jeopardize sustenance of pilot results	Yes. Without that financial support the reforestation programme, in particular, will

and onward progress towards impact?	be constrained.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Yes, without the continued support for the implementation of the reforestation and wastewater projects there are concerns that there will be a continuation of negative environmental impacts.
Has the pilot contributed to policy changes?	Not in an explicit way, though there is general appreciation for the information derived confirming the extent to which land-based activities, originating in the watershed areas, are having a negative impact on the environment. Policy and/or legislation are not matters which can be immediately implemented given the context in which governmental decision-making takes place. However, by drawing attention to these problems and giving the magnitude of the problems, it is anticipated that all stakeholders will initiate changes in their daily lives which are impacting on the resource base.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	Not in a direct way. What it did was to raise the profile of the NGO in the local community thus providing them with the legitimacy which will allow them to approach various funding agencies e.g. the Green Fund for additional financial support. It also provided training for their membership and other selected personnel from other government agencies. Also the relationships established with other governmental agencies have now provided them with a pool of resources which they can draw on for additional technical resources.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Yes. The NGO Group AFEPP has now established themselves as a bona fide community group dedicated to protecting the forest resources. Likewise, the BRT has certainly benefited and gained greater legitimacy as an organisation dedicated to the protection of the wider environment.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Yes, both at the national and regional level. The problems of Buccoo reef are well known, both nationally and regionally. The project is linked with national priorities, as listed in the "Protecting Our Environment"

	<p>Action Plan for 2002-2007 produced by the Government of the Republic of Trinidad and Tobago. It is also compatible with International and Regional Multilateral Agreements to which Trinidad and Tobago is a signatory, including the Convention on Biological Diversity, the Ramsar Convention on Wetlands, the Cartagena Convention and its protocols and the United Nations Convention to Combat Desertification (UNCCD). The project was fully endorsed and supported by the Tobago House of Assembly and the Government of Trinidad and Tobago. The intensive educational awareness programmes at the national (Tobago) level has provided sufficient opportunities to heighten that awareness and the need for concerted effort to have them addressed.</p>
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the execution arrangements clear?	Yes.
Were the roles and responsibilities of internal and external partners properly specified?	Overall management was effective. All parties were very clear on their roles. Whenever there were doubts, the matters would be brought before the NIC where they were quickly resolved.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	The Pilot was directly related to the overall objectives of the Regional Component and that of CEHI. More importantly, the pilot provided opportunities for learning and sharing watershed management measures with other participating countries
Were there exchanges, and regional disseminations efforts?	Yes. Over the life of the project several workshops and training programmes were held which provided opportunities to share information with others in the community

	(especially schools and other government ministries) as well as with other regional partners.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Certainly, through the publication of Newsletters, the convening workshops and public awareness exercises (e.g., TV and Radio call-in programmes).
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>HS</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	<p>Yes. It was obvious that funds allocated for salaries were a little short of prevailing rates, even within the public sector. Between the conception and start of implementation cost of living in Trinidad had seen some significant changes. From 2007-2010, the project was paying salaries established for 2004. Though the PCU entertained some adjustment to project funds, the Project Management team was reluctant to make changes to salaries for fear it would have opened a flood gate.</p> <p>Another issue related to co-financing. The initial contribution for GOTT under the IADB funded Wastewater Project never really materialised. The Government expressed concern about the increasing cost of the project and even if feasibility study was completed along with an Environmental Impact Assessment, it was decided to utilise existing capacity and delay the project.</p>
Were financial and administrative arrangements including flows of funds clearly described?	Yes, however, towards the final year of the project changes were made in the financial reporting which presented some significant challenges for the local project team. This difficulty created delays in obtaining final disbursement of funds.
<b>Overall rating for Financial Planning / budgeting</b>	<b>S</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	Yes. There was a small hiccup, initially, with respect to the GIS data generated, however that was quickly remedied once a

	new GIS Specialist was hired. Other data including the water quality monitoring of Buccoo Reef has been satisfactory.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes, though it would have been useful if some feedback mechanism had been built into the project to assess the level of awareness and extent of support there was for the project in Tobago.
<b>Overall rating for Monitoring</b>	<b>S</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

## Saint Lucia Pilot Project: Summary Evaluation

### Saint Lucia

#### Protecting Watershed Services and Developing Management Incentives in the Fond D'Or Watershed Area in Saint Lucia

Actual start date:	June 2006
Intended completion date:	June 2010
Total GEF funding (US\$)	US\$571,200.00
Total co-financing:	US\$2,122,418



#### Pilot Project Rationale and Objectives

The primary objective of this project was the development of a model approach to participatory watershed management within the Fond D'Or watershed complex (i.e. catchment areas and tributaries, river basin, river mouth). Such a management approach would capture requirements for integration with other national policies, legislation and resource management strategies. Very specifically, the model would demonstrate the use of incentives and transferred benefits within a watershed management structure to achieve reduction in wastage and loss, and to encourage better conservation and more long-term sustainable use of the resource. The participatory approach would aim to capture the input and support of all stakeholders, particularly local communities, within the watershed complex. A primary initiative of this demonstrative project would be the development of a Compensation for Environmental Services (CES) that would assist in developing a mechanism whereby resource users could exchange services as compensation to each other. This could occur between farmers and institutions or between fishers and government agencies.

#### Executing Arrangements

Ministry of Agriculture, Forestry and Fisheries under the Chairmanship of the Permanent Secretary was the lead governmental Agency with responsibility for the execution of the project. A National Inter-Sectoral (NIS) team comprised of other governmental and non-governmental agencies including private sector representatives.

#### Mid-Term Evaluation

At the time of the Mid Term Evaluation (mid 2009) the demo was almost 80% completed.

#### List of Persons Interviewed:

Mr. Darnley Auguste, Deputy Permanent Secretary, Ministry of Agriculture  
 Mr. Cornelius Isaac. Project Manager, PMU, GEF-IWCAM Demonstration Project, Saint Lucia  
 Mr. Trevalyn Clovis, Member of the Watershed Management Committee/Trust for

the Management of Rivers (TMR)  
 Ms. Perpentina James, Trust for the Management of Rivers (TMR)  
 Mr. Louis Ernest, Trust for the Management of Rivers (TMR)  
 Mr. Urban Glace, Trust for the Management of Rivers (TMR)  
 Mr. Ananias Verneuil, Community Liaison Officer, PMU, GEF-IWCAM Demonstration Project, Saint Lucia  
 Mr. Victor Poyotte, Executive Director, Caribbean Water & Sewerage Association (CWSA) Inc.

### **Project Delivery:**

Based on the project objectives outlined it was clear that the identification of incentive for environmental services was to become one of the significant outputs in demonstrating integrated watershed management. However, having undertaken a needs assessment and recognizing also the potential challenges in achieving that outcome, the PMU embarked on a series of sub-projects that addressed priorities of the communities within the watershed with an expectation that it would engender a greater appreciation for and attention to improving the quality of water that was being by the local population. The sub-projects initiated to address the adverse impacts on the Fond D'Or watershed included a Rain Water Harvesting (RWH) initiative, the Wastewater Wetland Treatment System (WWTS), the Integrated Pig-Waste Management System (IPWMS) and a River Bank Stabilization project.

## **EVALUATION**

<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Though some adaptations were made to the original objectives, the projects undertaken will certainly contribute to the achievements of IWCAM goals by demonstrating how various innovative technologies may be used at the community level to address their water quality and water reliability issues as well as contribute to the overall community water improvement initiatives.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	For the most part they were. In hindsight, it may be argued that the CES initiative was a bit ambitious since models for its application had not been developed or tried and tested previously. The other initiative not undertaken was the Soil Conservation project. That was a realistic objective, however, difficulties arose in procuring the services of a soil engineer within the time frame of the project.
Was the timeframe realistic? Have the anticipated pilot outcomes	The time frame would have been realistic were it not for the adaptations made to the project.

been achieved within the stated duration of the project?	Several mini projects such as the RWH initiative, the WWTS, and the IPWMS were initiated to demonstrate community involvement in addressing water reliability and conservation and enhancing water quality.
Were the activities designed within the pilot likely to produce their intended results?	There were some adaptations to the activities initially designed. However those adaptations were seen as contributing to the overall goals of the project and received the blessings of the NIC as they were seen as being realistic and likely to achieve the intended results.
<b>Overall rating for Intended Results and causality</b>	<b>HS</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	<p>When the project was conceptualized Saint Lucia was in the process of making changes to the management of its water resources through the preparation of a national water policy and the establishment of a Water Resource Management Agency (WRMA). It was therefore intended that the PMU would have been located in that agency. Though the execution of the project remained under the Min. of Agriculture, Forestry Division, it helped to fast-track the eventual formation of the WRMA. It was also intended that the Sustainable Development and Environment Division (SDED), and the Coastal Zone Management Unit (CZMU), in particular, would have assumed a greater coordinating role in the management of the project. Unfortunately, due to capacity constraints, neither one of those institutions were able to fulfill those intended roles.</p> <p>While the project might not have benefited from the initial institutional arrangements envisaged, they were able to establish linkages and partnerships with several other governmental agencies, and institutions (e.g. CARDI) and provide some of these institutions with valuable data and technologies generated under the project.</p>
<b>Overall rating for Efficiency</b>	<b>S</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes	The project has facilitated the establishment of TMR as a legitimate community-based NGO



/ benefits?	dedicated to continuing the work of the PMU. Through this group, not only is it anticipated that the work will be sustained, but that they will engage in community-community dialogue to share experience, generate awareness of the issues and eventually assist in improving water quality and watershed management in those communities.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	One of the outputs of the project is the creation of TMR. Though still a fledging entity, the enthusiasm of the group does present an opportunity, if not a means whereby funding may be directed for continuing the work started by the PMU.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	The success of some of the projects has created opportunities for private sector entities to now make a commercial venture out of them. However, other initiatives requiring ongoing sensitization and the need to replicate those successes in other communities run the risk of not being possible without the injection of additional funds.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	The continuation of some development activities (e.g., farming on hillsides, rearing of pigs) means that the initial concerns of soil erosion and poor water quality will continue to have a negative impact on the environment.
Has the pilot contributed to policy changes?	Though evidence of policy change is considered an essential indicator of change, in the case of Saint Lucia, this may not be as essential, given the fact that existing legislation is comprehensive to address issues related to watershed management. The challenge however, is one of capacity, the need acquire the capability to enforce the laws. Notwithstanding, there has been evidence of changes based on project initiatives. That was evident in respect of the enhancing water quality, and policy directives in respect of water storage.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	Though there are clearly identified areas for continued support, TMR has not received much financial support.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the	Individuals in the various communities have now become more aware of how their activities are impacting negatively on the environment and particularly the water quality. Several of

project would not achieve all of its results)?	<p>the innovative technologies are being used by individuals in the communities some of whom are thinking of making a commercial venture out of projects such as RWH and the development of a bio-digester to make use of pig waste. Though it is not legislated, the Ministry of Education has now issued a policy directive making it mandatory that schools install a RWH system to serve as a backup water supply to meet water shortages.</p> <p>The establishment of TMR does provide an opportunity for members to continue with the initiatives established by the PMU.</p> <p>There were also several training opportunities provided to members of the community in various marketable skills. These included training in water quality monitoring, installing RWH systems, construction of septic tanks and exposure to technologies involved in the IPWMS.</p>
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	<p>The project pursued a very participatory approach to achieving its objectives, and to a great extent, it seemed to have achieved its objectives. The establishment of the community NGO TMR is evidence of that community interest and involvement. Having identified the problems facing residents in the community, the PMU sort to educate and inform residents of the activities which they themselves were responsible for. The success achieved through the introduction of the RWH system provided the catalyst for engaging the attention of populations in the watershed area. Water problems encountered in the post Hurricane Thomas provided final validation of the benefits of the system of water conservation and ensuring that the successes of the project were not only restricted to the Fond D'Or region.</p>
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>HS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	<p>Though some adaptations were made to the overall project objectives, those changes seem to have received the approval of all the parties involved. All of the parties involved seem highly satisfied with the execution arrangements.</p>
<b>Overall rating for Management,</b>	<b>HS</b>

<b>Execution and Partnership Arrangements</b>	
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Initially there was as clear connection given the intended object to demonstrate incentives for environmental services as a means for enhancing watershed management. Though the intended project activities were modified, the final outcome helped to draw attention to critical aspect of watershed management including the enhancement of water quality, the need for increasing means for water storage capacity and addressing issues of water supply.
Were there exchanges, and regional disseminations efforts?	The WWTS and the RWH system were significant innovative technologies for sharing with other regional partners. The PMU also benefited from other exchanges with other regional partners as well as training provided by the IWCAM PMU in areas such as Lab technologies, GIS, educational awareness and project management. Given the overall success of community involvement in this initiative there are now opportunities for the Fond D'Or community to share their successes with other communities in Saint Lucia.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes, there was constant dialogue with the IWCAM PMU and or CEHI. More importantly, the frequent training opportunities provided opportunities to share and exchange information and the quarterly newsletter as well as other technical reports provided a constant source of information about the project intended outcomes.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	Though there were no apparent deficiencies in the budget, the project was able to leverage additional financial support from several international, regional and local sources to undertake the additional projects they embarked upon.
Were financial and administrative	Yes. For the most part it was not a problem

arrangements including flows of funds clearly described?	though there were some concerns about the changes to the reporting system which caused some delay.
<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	Within the context of the changed sub-projects, yes.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Though there seems to be widespread satisfaction with the project, it would have been useful if some feedback mechanism had been built into the project to determine the magnitude of that success and the scope or extent to which communities in the project area were aware and satisfied with the outputs.
<b>Overall rating for Monitoring</b>	<b>S</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

# HOT SPOTS PROJECTS: Summary Evaluation

## Commonwealth of Dominica

### Commonwealth of Dominica

### Roseau Watershed Planning Initiative and the National Integrated Water Resource Management (IWRM) Policy

Actual start date:	February 2010
Completion date:	October 2010
Total UNEP funding (US\$)	US\$12,000.00
Disbursement as of 30 January 2012 (UNEP):	US\$12,000.00



### Pilot Project Rationale and Objectives

Dominica was not considered for a Demo project because the information requested from CEHI at the time the proposal was being prepared was not submitted. However, during a national Workshop to promote the ratification of the LBS Protocol, the Roseau Watershed was identified as a critical area or “hot spot” in need of integrated watershed management approaches to preserve its unique and dynamic natural resources.

Following the submission and acceptance of the Planning Initiative some consultants were engaged to prepare the roadmap which resulted in the preparation of a National Integrated Resource Management (N-IWRM) Policy document.

The justification for the project was based on the fact that there are 14 communities within the Roseau Watershed and that changing land use patterns from agriculture to housing, provision of tourism services and the consequent intense, high density development, as well as uncontrolled land-based activities taking place within the watershed, were impacting negatively on the quality of water in the watershed.

The rivers in that watershed, it was revealed, were the source of potable water for domestic consumption and the cruise ship industry, and for export to other Caribbean countries, generation of hydroelectricity, recreation, health spa development as well as for fishing, laundering, and a host of associated recreational activities.

These problems were further exacerbated by the fact that there are inadequate legislation and policies for management and conservation of water resources and watersheds, overlapping institutional responsibility by various departments for the same resources and the absence of a sustainable land use plan for the area and Dominica as a whole.

In light of the above, the objective was to develop a proposal, including specific activ-

ities, work plan and budget for a watershed management initiative for the Roseau Watershed in Dominica. The initiative would include the development of a watershed management master plan as well as tangible, on-the-ground interventions.

The rationale for the preparation of the IWRM policy was that though Dominica, which derives most of its water from surface water sources, is not considered a water stressed country, there is anecdotal evidence of decreasing stream flows. There is, therefore, a need to develop an integrated policy that will:

- Ensure a sustainable, adequate and secure water supply and guide the development and use of public policies across all sectors to promote efficient use and equitable distribution of water in an environmentally and economically sound manner
- Assure the orderly and coordinated development and use of Dominica's water resources
- Value, protect and conserve such resources for the optimal socio-economic benefit of present and future generations
- Provide the Dominican population with a safe, adequate and reliable supply of water and dependable public sewerage services.

#### **Executing Arrangements**

Ministry of Agriculture, Forestry and Fisheries, Government of the Commonwealth of Dominica

#### **List of Persons Interviewed:**

Ronald Charles, Assistant Forestry Officer, Forestry and Wildlife Div., Ministry of Agriculture, Fisheries, and the Environment

Bernard Ettinoffe, General Manager, DOWASCO

Ivanira Da Costa James, Manager, Operations & Maintenance Dep., DOWASCO

Magnus Williams, Chief Engineer, DOWASCO

#### **Project Delivery:**

Ministry of Agriculture was responsible for the execution of this project. They engaged the services of two teams of consultants to prepare the study. A Steering Committee comprising various stakeholders was formed to provide general oversight of the execution of the project.

The plan provided a detailed physical description of the watershed, problem analysis, implementation proposal and indicative budget. Several priority actions have also been identified for further support in a Phase Two pilot project which it was anticipated, would have come on stream before the project came to an end.

### **EVALUATION**

<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, it will contribute to the building of capacity in Dominica to contribute to global issues like watershed management and to facilitate the national mainstreaming of IWCAM approaches and current efforts

	toward ratification of the regional LBS Protocol.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	The information generated from the project will help the government in meeting the goals of the LBS Protocol utilizing the IWCAM strategy as well as fulfilling the goals of biodiversity conservation, climate adaptation and address concerns arising from the project for the development of a buffer zone for the <i>Morne Trois Pitons</i> National Park World Heritage Site.
Were the objectives realistic?	Yes
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. Several related studies had been undertaken and lots of data generated which would be used in developing a management mechanism for watershed management.
Were the activities designed within the pilot likely to produce their intended results?	While the output was not an activity in the manner of a demonstration project, the Planning Initiative and Nation IWRM Policy documents arising out of the consulting assignments does point the way forward towards the preparation of a National IWRM Plan and a framework in which it should be executed.
Were activities appropriate to produce outputs?	Yes.
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes, it built on studies and other initiatives particularly aimed at biodiversity conservation and climate adaptation. In addition it projects a continuing role for DOWASCO, the Ministry of Agriculture, Division of Forestry and other agencies involved in conservation and protection of Dominica's natural resources.
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	Yes. A carefully laid out plan presents a strategy detailing the management structure to supervise the implementation of the plan including the need for consultation with relevant stakeholders.
If funding is required to sus-	Funding will be required to undertake some of the ac-

tain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	tivities detailed both in the RW and National IWRM Policy including the recruitment of a consultant to assist with the development of a plan for a regulated agency.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Yes. Without the appropriate funding it will be quite some time before the institutional and legislative recommendations could be implemented.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Maintenance of the status quo could lead to increasing amount of unplanned and unregulated activities in the Roseau Watershed, further jeopardizing the primary sources of potable water in the Roseau area.
Has the pilot contributed to policy changes?	There is heightened awareness of the importance of water and activities that are potentially contributing to pollution of the rivers. Draft policy statements have now been prepared for the implementation of the National IWRM Policy as well as ratification of the LBS Protocol.  It has also drawn attention to deficiencies in respect of data collection and analysis which will need to be addressed as part of any initiative to establish and sustain an IWRM plan for Dominica.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	A management structure for the implementation of the project has been detailed. The government is in discussion with CEHI and UNEP-CAR/RCU for possible funding under the STAR initiative.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Yes, the role of DAWSCO has been highlighted and it is expected to play a continuing role in protecting the country's water resources.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Several institutions have been engaged in various initiative aimed at addressing various aspects of resource management in the Roseau River Watershed, including DAWSCO, Ministry of Agriculture and Fisheries and the Ministry of Physical Planning (land use).
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>S</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP</b>	



<b>ARRANGEMENTS</b>	
Were the execution arrangements clear?	Yes. The Ministry of Agriculture, Forestry Division had responsibility for the execution of the project. Consultants were hired to undertake the studies and execute the pilot projects.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	Dominica did not benefit from a Demonstration Project, but served on the Project Steering Committee (PSC) and the Regional Technical Advisory Committee (RTAG)
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	The main goal of the project was to implement integrated coastal area and watershed management techniques for long-term reduction of land based sources of pollutants. This initiative is closely linked to the overall goals of the IWCAM project and the formal adoption of the LBS protocol.
Were there exchanges, and regional dissemination efforts?	The initial project came as a result of a recommendation from the LBS protocol workshop held in Dominica. Nationals of Dominica also benefited from several initiatives (workshops, technical reports and exchanges) convened under the auspices of the GEF-IWCAM project. The National Focal Point representative, Mr. Ronald Charles, was one of the few persons to attend every one of the PSC and RTAG meetings.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes, stakeholders were informed of the background to the project and the extent to which it fitted in with the overall goals of the GEF-IWCAM project and had the capacity to contribute to other globally supported initiatives which were currently being pursued in Dominica.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>HS</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	No.
Were financial and administrative arrangements including flows of funds clearly described?	Yes.

<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	A sufficient amount of data (samples) have been generated in order to inform the preparation of the plans. However some concerns were expressed regarding difficulty in accessing information from governmental organizations and other statutory boards. There was also an absence of scientific data pointing to a need for governmental departments to place greater priority on research, data storage and retrieval of that data. It is anticipated that the CHM and other information databases such as the GeoNetwork being developed by the project and due to be housed at CAR/RCU could greatly assist in addressing this problem.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes. All the objectives have been met and the project completed in the timeframe projected.
<b>Overall rating for Monitoring</b>	<b>MS</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

## HOT SPOTS PROJECTS: Summary Evaluation

### Grenada

Grenada		
St. John's Watershed Management Planning Initiative		
Actual start date:	June 2011	
Intended completion date:	November 30, 2011	
Total GEF funding (US\$)	US\$38,000.00	
Disbursement as of January 2012		
<b>Pilot Project Rationale and Objectives</b> <p>The project is aimed at identifying the types and causes of land-based sources of pollution of the coastal environment within the watershed, with a view to developing measures that would promote environmentally sound land use practices that would contribute to healthy coastal ecosystems. The main goal of the project is to implement integrated coastal area and watershed management techniques for long-term reduction of land based sources of pollutants.</p> <p>Implementation of a Watershed Management Mechanism (WMM)</p> <p>Establishment of a Model Liquid Waste Water Treatment System</p> <p>Establishment of a Rain Water Harvesting Systems</p>		
<b>Executing Arrangements</b> <p>Ministry of Agriculture, Land Use Division</p>		
<b>Mid-Term Evaluation</b> <p>The project started long after the completion of the MTE exercise.</p>		
<b>List of Persons Interviewed:</b> <p>Trevor Thompson, Land Use Division, Ministry of Agriculture, Forestry and Fisheries</p> <p>Raymond Baptiste, Land Use Division, Ministry of Agriculture, Forestry and Fisheries</p> <p>Edward Niles, Consultant</p> <p>Alphonous Daniel, Daniel and Daniel</p>		
<b>Project Delivery:</b> <p>The project got off to a late start, notwithstanding, at the time of this evaluation they seem well set on accomplishing most of the objectives of the project. A consultant was hired to undertake the preparation of the report detailing the establishment of the Watershed Management Mechanism (WMM) which is intended to provide the framework for enabling a sustainable and efficient management of the watershed.</p>		

The model Wastewater Wetland Treatment System (WWTS) was under construction, not at the initial Government's Hospital Laundry Facility at Queen's Park, but at Spice Basket, a multi-purpose visitor and entertainment center. The (WWTS) is intended to reduce potential biological and chemical waste materials from entering the coastal environment and will be used as a demonstration model for adoption in other pollution point-sources in other parts of the country. The third component, the **Rain Water Harvesting Systems (RWHS)** aimed at encouraging the harvesting, storage and treatment of rainwater for domestic and other uses was established at two venues with the third (Spice Basket) nearing completion. These systems are intended to be used as models for adoption in other parts of the country in order to help in the alleviation of flooding and subsequent reductions in siltation of the river and the marine environment.

## EVALUATION

RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as the overall goal of the IWCAM Project is to strengthen the commitment and capacity of the participating countries to implement an integrated approach to the management of watersheds and coastal areas.
<b>Rating for Relevance</b>	<b>HS</b>
INTENDED RESULTS AND CAUSALITY	
Were the objectives realistic?	Yes
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. Several related studies had been undertaken and lots of data generated which would be used in developing a management mechanism for watershed management. Also the other project initiatives (RWHS and Wastewater Wetland Treatment) had been initiated and implemented in other countries (Saint Lucia and Tobago). The consultant hired to implement those project had received training in the implementation of similar projects.
Were the activities designed within the pilot likely to produce their intended results?	Yes
Were activities appropriate to produce outputs?	Yes.
<b>Overall rating for Intended Results and causality</b>	<b>HS</b>
EFFICIENCY	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes	The design and installation of an efficient and cost effective Wastewater Wetland Treatment System (WWTS), as a high-impact measure, and the RWHS System were both modelled after a similar systems installed in the GEF-IWCAM Demonstration project in St. Lucia.

and projects etc. to increase project efficiency?	
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	Yes. Several demo projects are planned to demonstrate the benefits of the system and encouraging other individuals to invest in similar systems. One of institutions selected for a RWH demo is the Dorothy Hopkins Centre, a home for disabled children and adults. The home uses lots of water on an annual basis and management there is quite satisfied that this system will assist in reducing their annual water bill. One other RWH system has been installed for a private resident, who also is engaged in back yard gardening. A WWTS is currently being installed at Spice Basket, an entertainment Center which houses a Theatre, Restaurant, Museum and Gift Shop, to demonstrate its value as an effective means of reducing pollution of waterways. A third RWH system is planned for a commercial house to demonstrate the benefits of the system both as a means for storing water in times of water shortages, but also as a means of reducing water bills.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Funding will be required and the intention is that local funds will be sourced through the Irrigation and Drainage project to build more demo projects in Grenada.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Yes. Though both the RWH and WWT systems have generated lots of interest in St. Lucia and Tobago, there is some concern that the cost of obtaining the huge water storage tanks might make them unattractive for the average homeowner.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Failure to generate interest could lead to persons reverting to their old practices of disposing inadequately treated waste into nearby waterways.
Has the pilot contributed to policy changes?	Yes, the government has signed on to the LBS Protocol.
Did the project establish adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	
Did the project create oppor-	Yes, Spice Basket, a major site of tourism interest


tunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?	has been selected for one of the three WWTS.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	Several institutions have been engaged in various initiatives aimed at addressing various aspects of resource management in the St. John’s watershed, including the Ministry of Works (flooding) Physical Planning (land use), NAWASA (water supply and water quality) and Public Health (sanitation). They all supported and stood to benefit from an integrated approach to management.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>S</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the execution arrangements clear?	Yes. The Ministry of Agriculture, Lands Division has responsibility for the execution of the project. Consultants were hired to undertake the studies and execute the pilot projects.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP’s regional office, CEHI and others?	The main goal of the project, which was to implement integrated coastal area and watershed management techniques for long-term reduction of land based sources of pollutants. This initiative is closely linked to the overall goals of the IWCAM project and the formal adoption of the LBS protocol.
Were there exchanges, and regional disseminations efforts?	The IWCAM/PCU convened a number of workshops and technical training sessions throughout the region from which local stakeholders benefited. Personnel from NAWASA, in particular, received training in water quality monitoring and plans are underway for upgrading the lab facilities.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in	Yes. There were several events planned and undertaken which allowed stakeholders and authorities in Grenada to become aware of the overall objectives and outcomes of the IWCAM project. The IWCAM newsletter and website also proved to be a

the policy reform sector?	useful source of information for local stakeholders.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>HS</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	No.
Were financial and administrative arrangements including flows of funds clearly described?	Yes. However there were some delays in accessing funds disbursed by the project which led to delays in execution.
<b>Overall rating for Financial Planning / budgeting</b>	<b>S</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	A sufficient amount of data (samples) have been generated to determine ambient water quality of nearby rivers. Once the pilots become fully operational it is the intention of the local organizing committee to monitor the performance, particularly in terms of water usage at those entities with the RWH systems and water quality in rivers next to the WWTS.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	So far there is no indication of any initiative to monitor the progress and performance of the pilots. However the consultant has indicated his intention to continue with the collection of water samples after the completion of the WWTS in order to determine the effectiveness of the system.
<b>Overall rating for Monitoring</b>	
<b>Overall rating for Evaluation</b>	<b>S</b>



## HOT SPOTS PROJECTS: Summary Evaluation

### Saint Vincent

Saint Vincent		
Implementation of Project Activities in the Pilot Projects in Chateaubelair, Spring Village, Buccament Valley/Vermont and Greggs of Mainland St. Vincent		
Actual start date:	June 2010	
Completion date:	Dec. 2011	
Total GEF funding (US\$)	US\$80,000.00	
Disbursement as of 30 June 2011 (UNEP):		
<b>Pilot Project Rationale and Objectives</b>		
The project consisted of a number of sub-projects in several communities. They were aimed at strengthening communities' commitment and capacity to implement an integrated approach to the management of watersheds and coastal areas.		
<b>Executing Arrangements</b>		
Projects Promotion Ltd (PPL) was engaged by the Caribbean Environmental Health Institute (CEHI) to work with the communities of Greggs, Chateaubelair, Spring Village, and Vermont, Saint Vincent and the Grenadines to develop four project proposals for funding. Following this initial activity PPL was contracted by UNEP to manage and execute a set of project activities under the specific supervision of the Technical Co-ordinator (TC) of the GEF-IWCAM Project.		
<b>Mid-Term Evaluation</b>		
This component of the IWCAM project did not get started until June 2010, which was after the MTE had already been undertaken.		
<b>List of Persons Interviewed:</b>		
Yasa Belmar, Environmental Resource Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines		
Nyasha Hamilton, Environmental Education Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines		
Neri James, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines		
Orlando Craig, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines		
Cecil Ryan, Managing Director, Project Promotions Ltd.		
Roseman Adams, President, Union Island Environmental Attackers		
<b>Project Delivery:</b>		



The project sought to increase residents' understanding of the importance of community waterways and to reduce the volume of waste entering the waterways. In this regard the project involved awareness raising as well as providing community groups with some basic tools and equipment (cameras, garbage bins) as well as involving the construction of the Garifuna Spring, Community Bath and Washing Station in the community of Greggs. The project was executed in two phases. The first phase involved the purchase and distribution of equipment while the second phase involved the development and distribution of promotional materials as well as hands on training and demonstration exercises in the respective communities. Much of the work was done by community members themselves under contract to PPL with PPL making a number of visits and providing technical advice along with other governmental agencies. The project was delayed due to the passage of hurricane Tomas and the General Elections.

## EVALUATION

RELEVANCE	Evaluation Comments
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as it focused on raising awareness and understanding the importance of community waterways.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes, though it assumed that community groups would easily buy into the project.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. The delays were caused by two unforeseen events, one a natural disaster (Hurricane Tomas) and the other, the calling of a General Election.
Were the activities designed within the pilot likely to produce their intended results?	Yes. There were plans made to support the provision of garbage bins with awareness training and promotional materials to ensure the communities were well informed of the project objectives.
Were activities appropriate to produce outputs?	Yes, though it ran the risk that without adequate funding, sustainability could not be guaranteed.
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	The project utilized existing community groups in the execution of the project thus enabling a certain amount of interest and buy-in. There was also extensive collaboration with other governmental institutions such as the Central Water and Sewerage Authority Public Health Department, St. Vincent Electricity Services, Forestry Department, National Parks, Rivers, and Beaches Authority who either


	provided services, use of equipment and resources or lent their expertise.
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	With the garbage bins and a regular waste collection service in place there is reason to believe that the outcome could be sustained. Also, the initiative to monitor the quality of water in the Chateaubelair river and tributaries has received support from the North Leeward's Tourism Association who promised to provide support for training additional students.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Funding will be required as these are primarily depressed communities. No mechanisms have been instituted to secure additional funding.
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	Garbage bins have a finite life and will have to be replaced. Likewise, the display posters and signs could deteriorate and will have to be replaced.
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	Community members are now more aware of the benefits (health and environmental) and hopefully that would encourage greater willingness to ensure the sustainability of the pilot project.
Has the pilot contributed to policy changes?	There has been little evidence of policy change at the community level other than to reinforce the need for greater collaboration among agencies in delivering essential services to communities.
Did the project establish adequate measures to contribute to sustaining follow-on financing (catalytic financing) from Governments, the GEF or other donors?	Not as yet.
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Members of the project community groups have developed a deeper interest in the protection of their community water resources. The community project partner organisations themselves have become more aware, interested and committed to maintaining cleaner waterways and healthier surroundings, generally. Likewise, PPL has been able to strengthen existing relations and corporation between the community-based organisations, the state agencies, and CEHI/IWCAM.
Has the level of ownership by	There was considerable community involvement

the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	in formulating the work plan, assigning responsibilities and setting time frame for the implementation of projects. Considerable support was also provided by various governmental agencies. Hurricane Tomas and the General Elections cause some major disruptions and delays. It took some time to reignite interest in the project. These events and the disruption caused help to demonstrate the fragility of stakeholder support and the difficulties that can arise in sustaining the benefits of the project.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>MS</b>
<b>MANAGEMENT, EXECUTION AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Yes. There was cooperation and support from the various governmental and non-governmental organizations involved.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>HS</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Yes, the project was intended to demonstrate the benefits of keeping waterways clear and enhancing the quality of bathing waters. Information was presented to emphasize the interconnection between the use of forest resources, the waterways and community living. From a regional perspective they would have benefited from information and promotion literature generated by other participating countries as well as the use of other innovative technologies such as the Rain Water Harvesting systems.
Were there exchanges, and regional disseminations efforts?	The project got off the ground too late to really benefit in a significant way. However, there were technical exchanges for personnel associated with the project.
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in	Yes. The project targeted residents in small communities (Greggs, Vermont, Spring Village and Chateaubelair) occupying areas in and around the vicinity of waterways – streams, rivers and shorelines. Also, the personnel from local churches and

the policy reform sector?	schools were targeted. The project also utilized personnel from various state agencies such as the Solid Waste Unit of the Central Water and Sewerage Authority (CWSA), Public Health Department in the Ministry of Health and Wellness and the Environment, and the Bureau of Standard. However, given the fact that the project was being implemented in small communities there is little evidence or indication that it received widespread national attention.
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>S</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	Not from the regional stand point. The delays in the disbursement were thought to be more an internal issue.
Were financial and administrative arrangements including flows of funds clearly described?	Yes.
<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	No. A monitoring programme, initially calling for forty-eight site visits was reduced to sixteen. The monitoring programme was initiated to assess the level of awareness and understanding on the importance of community water ways and quantity of wastes entering water ways. Another initiative involved the strengthening of community capacity to monitor water quality in Chateaubelair river and tributaries. Over 100 students from the Petit Bordel Secondary School, received training in river water quality monitoring (conducting water testing and generating reports).
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	Yes, though it would have been useful if some feedback mechanism had been built into the project to assess the level of awareness and extent of support there was for the project.
<b>Overall rating for Monitoring</b>	<b>S</b>
<b>Overall rating for Evaluation</b>	<b>S</b>

## HOT SPOTS PROJECTS: Summary Evaluation

### Carriacou

Carriacou, Grenada		
Refurbishment Works: Beausejour and Hospital Hill Community Rainwater Catchment Systems		
Actual start date:	October 2009	
Completion date:	Nov. 2009	
Total GEF funding (US\$)	US\$17,055.00	
Disbursement as of 30 June 2011 (UNEP):		
<b>Pilot Project Rationale and Objectives</b> <p>Carriacou, one of the sister islands of Grenada, is completely reliant on Rainwater Harvesting to meet its water security needs. As is the case with most of the Grenadine islands, communities becomes stressed during drought periods when stored water supplies reach critically low levels. During these times of scarcity residents are exposed to the potential hazards associated with lack of adequate water to meet consumption requirements. In responding to the water scarce situation on Carriacou, the Government installed a number of community rainwater water catchment systems that service public facilities and the general public. The L’Estere, Beausejour and Hospital Hill community rainwater catchments were among these systems.</p> <p>The objective of the project is to improve the quality of harvested rainwater supplied by the community RWH catchment systems through the rehabilitation of the L’Estere, Beausejour and Hospital Hill Community Rainwater Catchment systems, the installation of appropriate security fencing, and improvement to the catchment surfaces through the elimination of cracks in the cisterns thereby minimizing entry of contaminants and loss of stored water.</p>		
<b>Executing Arrangements</b> <p>The work was supervised by technical staff of the Grenada National Water and Sewerage Authority (NAWASA)</p>		
<b>Mid-Term Evaluation</b> <p>This project commenced after the MTE exercise was completed.</p>		
<b>List of Persons Interviewed:</b> <p>Ms. Bernadette Lendore-Sylvester, Permanent Secretary, Ministry of Carricaou and</p>		

Pititte Martinique Affairs with responsibility for Local Government Dane Lewis, NAWASA, Carriacou	
<b>Project Delivery:</b> The project involved the rehabilitation of the L'Estere, Beausejour and Hospital Hill Community Rainwater Catchment systems and refurbishment of the Beausejour catchment. This entailed the de-bushing of the areas in proximity to the catchment surfaces, repair of cracks in the cisterns, reinstatement of fencing and other ancillary facilities and removal of debris.	
<b>EVALUATION</b>	
<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as it focused on addressing the issue of water scarcity on the island.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes, very straight-forward
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes
Were the activities designed within the pilot likely to produce their intended results?	Yes.
Were activities appropriate to produce outputs?	Yes, though it ran the risk that without adequate funding sustainability could not be guaranteed.
<b>Overall rating for Intended Results and causality</b>	<b>S</b>
<b>EFFICIENCY</b>	
Did the pilot intend to make use of / build upon pre-existing institutions, partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes, the sites selected were all public institutions (hospital and school) or public facilities.
<b>Overall rating for Efficiency</b>	<b>HS</b>
<b>SUSTAINABILITY / REPLICATION AND CATALYTIC EFFECTS</b>	
Does the pilot present a strategy / approach to sustaining outcomes / benefits?	It was intended that these facilities would now be maintained either by the local government or the local communities and that it would serve as a model for the cleaning and maintenance of other

	cisterns in Carriacou.
If funding is required to sustain pilot outcomes and benefits, are adequate measures / mechanisms to secure this funding in place?	Project completed
Are there any financial risks that may jeopardize sustenance of pilot results and onward progress towards impact?	No
Are there environmental factors, positive or negative, that can influence the future flow of pilot benefits?	No
Has the pilot contributed to policy changes?	There has been little evidence of policy change though it has been agreed that the Local Government Council would assume responsibility for maintenance of these facilities. A Bill detailing the responsibilities for the local council in respect of maintenance of the cisterns has been drafted and there is hope it will receive the approval of Parliament in 2012.
Did the project establish adequate measures to contribute to sustaining follow-on financing (catalytic financing) from Governments, the GEF or other donors?	No
Did the project create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	Local community, schools and local government would step in to ensure maintenance of the cisterns.
Has the level of ownership by the main national and regional stakeholders necessary to allow for the pilot results to be sustained, been achieved?	While the hospital, schools and local communities have resumed use of the cisterns, there is need for ongoing maintenance. The community in and around the L'Estere school came together in the past (dry season) to assist with cleaning up work. However, that was not evident at the Beausejour community cistern. Some repair work is required on the security fence and some lengths of pipe need replacing in order to transport water to the outlet for collecting water.
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>	<b>MU</b>
<b>MANAGEMENT, EXECUTION</b>	




<b>AND PARTNERSHIP ARRANGEMENTS</b>	
Were the pilot execution and management arrangements effective?	Yes. There was cooperation and support from the Ministry of Carricaou Affairs.
<b>Overall rating for Management, Execution and Partnership Arrangements</b>	<b>S</b>
<b>RELATIONSHIPS WITH THE REGIONAL COMPONENTS OF IWCAM</b>	
Was the pilot somehow connected to activities of the Regional Components of IWCAM executed by UNEP's regional office, CEHI and others?	Yes, the project was intended to restore the cisterns to make them useable and provide water to the respective communities.
Were there exchanges, and regional disseminations efforts?	No
Were local stakeholders and authorities aware of the activities under the Regional Components, and of the overall expected outcome of IWCAM in the policy reform sector?	Yes
<b>Overall rating for contribution to overall expected outcome of IWCAM</b>	<b>S</b>
<b>FINANCIAL PLANNING / BUDGETING</b>	
Are there any obvious deficiencies in the budgets / financial planning	No. The contractor was paid once the completed work was verified and approved via a Completion Certificates for all Work Packages.
Were financial and administrative arrangements including flows of funds clearly described?	Yes, these were clearly spelt out in the contract.
<b>Overall rating for Financial Planning / budgeting</b>	<b>HS</b>
<b>MONITORING</b>	
Has baseline data collection been satisfactory?	No baseline data had to be collected.
Overall, has the approach to monitoring progress and performance within the pilot been adequate?	
<b>Overall rating for Monitoring</b>	<b>MS</b>



<b>Overall rating for Evaluation</b>	<b>MS</b>
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## HOT SPOTS PROJECTS: Summary Evaluation

### Union Island

Union Island, Saint Vincent Laying of Pipeworks to Connect the Donaldson Community Water Catchment facility to the Clifton Storage Tank		
Actual start date:	March 2010	
Completion date:	June 10, 2011	
Total GEF funding (US\$):	US\$16,853.00	
Disbursement as of 30 June 2011 (UNEP):		
<b>Pilot Project Rationale and Objectives</b> <p>Union Island is completely reliant on Rainwater Harvesting to meet its water security needs. The community on the island becomes particularly stressed during drought periods when stored water supplies reach critically low levels. During these times of scarcity residents are exposed to the hazards associated with lack of adequate water to meet consumption requirements and safe sanitation. In recognition of the lack of water security on Union Island, the Government has installed a number of community rainwater catchment systems that service public facilities and the general public. In order to address the water security concerns of residents it was agreed that a project will initiate the operationalization of the Donaldson Catchment (at Clifton) facility which was constructed some time ago but was yet to yield drinking water to residents.</p> <p>The objective of the project is to run delivery pipeworks from the Donaldson Community Catchment to the storage tank at Clifton so as to make the water more accessible to local residents.</p>		
<b>Executing Arrangements</b> <p>The Central Water and Sewerage Authority was contracted by CEHI to execute the project</p>		
<b>Mid-Term Evaluation</b> <p>The project commenced after the completion of the MTE exercise.</p>		
<b>List of Persons Interviewed:</b> <p>Roseman Adams, President, Union Island Environmental Attackers</p>		
<b>Project Delivery:</b>		

The project seeks to connect the Donaldson catchment storage tank to the Clifton tank at Clifton. This will be achieved through the installation of two thousand and fifty (2050 ft.) feet of 2" Galvanised Iron (G.I.) pipes and associated fittings and fixtures along the roadside (unpaved area) from Donaldson Catchment to Clifton tank.	
<b>EVALUATION</b>	
<b>RELEVANCE</b>	<b>Evaluation Comments</b>
Are the intended results likely to contribute to the achievement of IWCAM goal and outcomes?	Yes, as it was intended to address a critical issue of water scarcity on Union Island.
<b>Rating for Relevance</b>	<b>HS</b>
<b>INTENDED RESULTS AND CAUSALITY</b>	
Were the objectives realistic?	Yes.
Was the timeframe realistic? Have the anticipated pilot outcomes been achieved within the stated duration of the project?	Yes. Both parties agreed that the project could have been executed in the time frame indicated.
Were the activities designed within the pilot likely to produce their intended results?	Yes, the project was intended to provide water in a situation where it did not exist previously.
Were activities appropriate to produce outputs?	Yes
<b>Overall rating for Evaluation</b>	<b>NA</b>
	<p>It was impossible to rate this project as very little information was provided.</p> <p>This leg of the country visit was not the most productive as the National Focal Point for SVG did not make any provisions for the visit either to St. Vincent or to Union Island despite letters being sent to both the NFP and the PS and telephone calls made prior to the visit.</p> <p>The first day of the visit to SVG was spent trying to arrange meetings with personnel from the Environment Department and with Projects Promotions Limited, the entity involved in the execution of the project. Late that afternoon a meeting was convened with personnel from the Public Health Department as they had provided assistance (facilitated workshops and made presentations) with the execution of the projects in the four</p>

	<p>communities.</p> <p>The following day a meeting was convened with the Managing Director of PPL to discuss the outputs and achievements. Later that afternoon a tour of the <b>GA-RIFUNA SPRING</b> Bath and Washing Station was undertaken to assess the status of the project.</p> <p>After finally making contact with the Project Manager of project in Union Island it was agreed that a visit could be facilitated on Wednesday. The visit to Grenada was therefore postponed to accommodate the visit to Union. Island. Unfortunately, on arriving in Union Island the Project Manager was unavailable. The President of Union Island Environmental Attackers Mr. Roseman Adams offered to facilitate a tour of the facilities but he could not say much about the project as he was not directly involved. Given the tight schedule it was not possible to remain in Union Island for another day to meet with the Project Manager. As a result this report is unable to make any definitive statement on the achievements or outputs of this project other than inform on the project activities and its intended objectives.</p>
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## **Persons Met**

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### **Dominica**

Ronald Charles, Assistant Forestry Officer, Forestry and Wildlife Div., Ministry of Agriculture, Fisheries, and the Environment

Bernard Ettinoffe, General Manager DOWASCO

Ivanira Da Costa James, Manager, Operations & Maintenance Dep., DOWASCO

Magnus Williams, Chief Engineer, DOWASCO

### **St. Vincent and the Grenadines**

Yasa Belmar, Environmental Resource Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Nyasha Hamilton, Environmental Education Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Neri James, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Orlando Craig, Environmental Health Officer, Ministry of Health and the Environment, St. Vincent and the Grenadines

Cecil Ryan, Managing Director, Project Promotions Ltd.

### **Union Island**

Roseman Adams, President, Union Island Environmental Attackers

### **Grenada**

Trevor Thompson, Land Use Division, Ministry of Agriculture, Forestry and Fisheries

Raymond Baptiste, Land Use Division, Ministry of Agriculture, Forestry and Fisheries

Edward Niles, Consultant

Alphonous Daniel, Daniel and Daniel

### **Carricaou**

Ms. Bernadette Lendore-Sylvester, Permanent Secretary, Ministry of Carricaou and Pititte Martinique Affairs with responsibility for Local Government

### **Trinidad and Tobago**

Mr. Linford Beckles (Director, NRE) Tobago House of Assembly

Ms. Sandra Timothy Project Manager, GEF-IWCAM PMU, Tobago

Ms. Kaye Trotman (BRT Board Representative)

Mr. Lyndon Glasgow, Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)

Ms. Laura Glasgow, Anse Fromager Ecological Environmental Protection Organisation (AFFEPO)

Ms. Avril Alexander, Regional Coordinator, Global Water Partnership-Caribbean, Trinidad

### **Saint Lucia**

Mr. Darnley Auguste, Deputy Permanent Secretary, Ministry of Agriculture

Mr. Cornelius Isaac. Project Manager, PMU, GEF-IWCAM Demonstration Project, Saint Lucia

Mr. Ananias Verneuil, Community Liaison Officer PMU, GEF-IWCAM Demonstration Project, Saint Lucia

Mr. Trevalyn Clovis, Member of the Watershed Management Committee/Trust for the Management of Rivers (TMR)

Ms. Perpertina James, Trust for the Management of Rivers (TMR)

Mr. Louis Ernest, Trust for the Management of Rivers (TMR)

Mr. Urban Glace, Trust for the Management of Rivers (TMR)

Mr. Victor Poyotte, Executive Director, Caribbean Water & Sewerage Association (CWSA) Inc.

**CEHI (Saint Lucia)**

Ms. Patricia Aquino, Director, Caribbean Environmental Health Institute

Mr. Christopher Cox, Programme Director, Caribbean Environmental Health Institute

Mr. Christopher Roberts, Financial Officer, CEHI

**IWCAM PCU (Saint Lucia)**

Mr. Vincent Sweeney, Regional Project Coordinator, IWCAM, PCU

Ms. Donna Spencer, Communications, Networking and Information Specialist, IWCAM, PCU

Ms. Sasha Beth Gottlieb, Technical Coordinator, IWCAM, PCU (via email)

Ms. Una McPherson, Administrative Officer, IWCAM, PCU (via email)

**CAR-RCU (Jamaica)**

Mr. Christopher Corbin, AMEP Programme Officer, UNEP CAR/RCU, Jamaica

## **ANNEX IX - BRIEF CVS OF THE CONSULTANTS**

### **ANDREA MERLA-Team Leader**

Dr. Andrea Merla, an Italian national, has obtained advanced degrees in Earth Sciences at the Universities of Florence, Italy, and Princeton, New Jersey. He has acquired a wide professional experience in the management of cooperation-development programs, especially, but not exclusively, in the fields of energy, environment and natural resources. It was gained through extensive work, in over 45 countries, within the framework of both industrial projects and programs of technical assistance to developing countries. He has been for 16 years General Manager of a private consulting firm acting world-wide in the field of environmental protection and natural resources management. Previously he was Associate Researcher at the Universities of Firenze (Italy) and Princeton (N.J.), oil exploration geologist with Gulf Oil Corporation (USA), manager of the environmental divisions of several ENI Group companies (Italy) and Regional Programme Coordinator of the Latin American Energy Organisation (Ecuador). Dr Merla is presently senior advisor of the World Bank for water resources management in the MNA and ECA regions, and consults for several UN agencies in water and chemicals issues (FAO, UNESCO, UNIDO, IAEA). He lives in Assisi, Italy, and in Washington DC.

### **DAVID SIMMONS-Supporting Consultant**

Mr. David A. Simmons has more than 25 years experience working in various areas related to Sustainable Development and Environmental Policy, Planning and Management. He is the Principal of Simmons & Associates Inc, a registered consulting practice serving clients (governmental, non-governmental organisations and the private sector) throughout the Caribbean.

Mr. Simmons is currently enrolled as a PhD candidate at the Institute of International Relations, University of the West Indies, St. Augustine, Trinidad and has a Diploma in Law University of Wolverhampton, U.K., a Masters in International Relations, Specializing in International Law and Law of the Sea from Dalhousie University, Halifax, NS., Canada; and, B.A. (Hon.) International Relations, majoring in International Politics and Economics from the University of Windsor, Windsor, Ontario, Canada.

Mr. Simmons has considerable experience in the areas of institutional analysis and environmental policy planning and management having been contracted to undertake the preparation of the "Policy, Legal and Institutional Review for Climate Change Adaptation in the OECS," (2012); an analytic "Review of the National Environmental Governance System in St. Lucia" as it relates to the obligations emanating from the Revised Treaty of Chaguaramas (2011); preparation of the Environmental Management Framework document for St. Lucia (2008); a "Review of the Operations of the Saint Lucia National Trust and Development of a Strategic Vision and Work Programme (2007); preparation of the National Biodiversity Strategies for Barbados and St. Vincent and the Grenadines; and, coordinate the preparation of the Regional Programme of Action for the implementation of SIDS/Program of Action.

Mr. Simmons is also very experienced in managing complex projects, having served as Project Manager (1997- 2000) of the OECS Solid and Ship-generated Waste Management project, a US\$50 million GEF-World Bank, and Caribbean Development Bank funded project which involved the restructuring and establishment of effective institutional, legal and regulatory and operational capacities for solid waste management in six Organisation of East Caribbean States. He has also Project Manager of the IDB funded "Policy, Legislation and Institutional Arrangements for Solid Waste Management in Be-

lize" (2010); and served as Project Coordinator on several other national and regional project



## Annex X: Main comments on evaluation report and evaluation team's response

### UNEP-GEF PROJECT ON INTEGRATING WATERSHED AND COASTAL AREAS MANAGEMENT IN THE CARIBBEAN SMALL ISLAND DEVELOPING STATES (IWCAM) GFL/6030-05-01

#### TERMINAL EVALUATION

#### STAKEHOLDERS' COMMENTS ON FIRST DRAFT EVALUATION REPORT

COMMENT (with page and initial of commentator)	CONSULTANT'S REPLY
P.7 Another to add is that St. Lucia is exploring policy options to mandate health centers to install rainwater harvesting systems. This is based on the experience of Hurricane Tomas in 2010. The health center in the Fond D'Or watershed was the only one nationwide that had a reliable water supply after the Hurricane, as a result of the IWCAM-installed rainwater harvesting system. (SG)	Will do. It has to be noted however, that in this case, as well as in most other cases where factual comments were received, stakeholders add useful information without providing any reference to project documentation, reports, minutes of meetings, etc., that were made available to the evaluators, or were easily accessible.
P. 21 The project also facilitated and encouraged informal and peer-to-peer collaboration between the demo projects and the participating countries. This approach resulting in important technical cooperation amongst countries (TCC) opportunities (e.g. training of scientific divers from St. Kitts and Nevis by the Tobago demo project team). (SG)	OK. See above consideration
P. 23 The template was provided to the Govt of Barbados to use as a guide in identifying the indicators they were going to track. The Govt of Barbados also used indicators already identified as part of the Green Economy Initiative launched in that country. (SG)	OK. See above consideration
Comments on project identification table (IV)	Data not made available
A completion/terminal report will be prepared as part of the project closure formalities.  The project learning is also captured in a series of Experience notes, result notes, case studies and how to manuals. Likewise the learning of the project has been captured in a series of short and long videos which were finalized for the closing event are available on the project website (IV)	The completion report should not be considered a "formality", as explained in the concluding recommendations of the Terminal Evaluation.
P.8 It should be noted that in the same region UNEP is currently partnering with IADB in support of waste water management under another 20M GEF funded project called CREW which will build on the IWCAM policy work and add a waste water management element, but which will also look at innovative financial mechanisms to support to costs of waste collection, treatment and disposal systems and will promote as well low cost technologies/less conventional technologies to the extent feasible.	The involvement of development banks during IWCAM as required by the PD could have started a dialogue, and possibly avoided, at least in part, the need for further very large GEF investments (\$40

<p>While CBD was originally on board it had to pull out at the last hour but is now reconsidering joining forces especially in support of the small SIDS which are not eligible for IADB funding. The latter is indeed a critical issue in the region.</p> <p>Finally, IWCAM while a demo project for the GEF , was also a foundational project which has set up the enabling environment for the promotion of natural resources management including legal and institutional reforms. The follow-on project will count on Development banks support channeled through the countries (IV).</p>	million).
P. 14 I am not sure to understand the message those percentages are meant to convey. Indeed, in my view, agglomerating GEF financing to the co-financing which in any case did not materialize for most part, is misleading regarding the actual level of funding per component. (IV)	The Table refers to commitments at the time of PD endorsement. The use of percentages highlights pitfalls in gathering, and reporting on co-financing.
P. 23 What about the legal and institutional tool kit with modal laws etc entitled “ Toolkit for institutional, Policy, and Legislative Improvements” – see e.g. tables on page 25? The HAS do not indeed have a directly linked adjacent “SAP” in response to the issues identified but the idea though is to continue addressing critical issues in the follow-on phase. Some countries also based their IWRM road maps on those HSA	Partly incorporated.
P. 41 What about the periodic expenditure reports, support documents/reports for the cash requests and budget revision? Rod/Una to provide (IV)	Not provided. In any case, the need was for a “consolidated” report, as clearly explained in the TE.
Para 9 exe summary This was not a hot-spot project; rather was a rehabilitation and upgrading of a communal rainwater harvesting system (CEHI) (also on page 22)	OK See above
Para 10 iii, exe summary Include the national water policy statements for Dominica and Antigua & Barbuda; IWRM roadmap for Union Island (CEHI)	OK See above
Para 12 ii There is a major factor that is not raised here. The enabling environments with respect to policy/agencies across the countries are at various ‘maturity’ levels/developmental capacities and capabilities. This means that the outputs of the project will have either more or less impact depending on the country circumstance. EG the Jamaica WAMM appears to have landed on fertile institution ground for continued support at the national level independent of external support because of the configuration of the agencies, policies and capacity to sustain. In most of the other countries there is more work that is required to bring them up to the level that allows for the project outputs to be propagated (CEHI)	Interesting point of view. No action needed.
P. 25 3.4 national activities (CEHI)	OK
P. 27 4.4 I suggest removal of this statement. Say instead, “CEHI continues to broaden its programmes according to its main mandate which is for Environmental Management instead of the specific focus on Environmental Health, as indicated in its name.”	OK
P.30 5.3 The NICs was a major weakness in building sustainability / mainstreaming into national policy. The concept of a functioning NIC was recognized as a challenge based on other experiences in maintaining national	Important consideration. Incorporated in TE.

intersectoral entities to coordinate environmental matters. The NICs usually lacked formal Cabinet endorsement and did not have high-level championship. The progress on the national actions were typically not fed up in a systematic manner through the state architecture. The visibility the demos had seemed to be independent of NIC mechanisms. The NIC is a highly valuable mechanism more so now in the context of water and climate (re flood, landslide, drought hazards) and now given the fact that the LBS Protocol is now in force – efforts must be to see how this mechanism can work. It should be noted that existing working mechanisms should be used as the NIC. The successor project must build on this. Also para 72 p. 40 and para 77 p. 41 (CEHI)	
P. 36 para 50 There also needs to be consideration of the knock-on effects this project will have in other national initiatives financed from other sources related to climate change resilience mainly related to water security. Many of the persons trained, tools developed, knowledge gained will likely be contributory to these initiatives. (CEHI)	No action needed.
P.44 para 92 In executing the IWRM component, which was allocated to CEHI, we built on the functional relationship we already had with SOPAC in the South Pacific. Significant exchanges/visits took place between SOPAC, and CEHI and most importantly, persons working in their respective member states undertook exchange visits to learn about each other's IWRN initiatives. (CEHI)	Incorporated in TE.
P. 45 Sustainability rating Do not agree entirely; the core mandates of the two agencies are significantly oriented around the main themes of the IWCAM project. These agencies have and will continue to collaborate on various technical and policy levels. The ratification of the LBS Protocol will further cement this collaboration where the facilitatory roles played by these agencies will feature in assisting countries in attaining compliance to the Protocol. (CEHI)	This is a personal, albeit interesting opinion . No need for action.
P.48 The rating code should be included as footnote (CEHI)	OK
P. 49 para 98 At the start of the project in 2006, CEHI has included Integrated Water and Coastal Area Management as one of its key programme areas in its Annual Workplan which speaks to continued focus by CEHI in support of its Member States. This has been approved by the Board of CEHI.	Confirms what stated in TE. No need to incorporate.
P.50 para 106 I suggest removal of this statement. CEHI is about to implement two complementary projects funded by the GIZ and the BMZ of the Government of Germany to the value of 11M euros. These will start in June 2012. I suggest that CEHI is being further strengthened.	Partly incorporated.
P. 52 para 116 No mention of a recommendation for a follow-on major project. Will this not be appropriate?	The evaluators do not think that recommending follow up GEF investments should be part of a TE.