



Terminal Evaluation of the Train-Sea-Coast Project (GLO/98/G35) “Strengthening Capacity for Global Knowledge Sharing in International Waters” (Component II)



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List of Acronyms

CDU	Course Development Unit
CSU	Central Support Unit
DOALOS	Division for Ocean Affairs and Law of the Sea
GEF	Global Environment Facility
GloBallast	Global Ballast Water Management Programme
GPA	Global Programme of Action for the Protection of Marine Environment from Land-based Activities
ICM	Integrated Coastal Management
IMO	International Maritime Organization
IOI	International Ocean Institute
IW	International Waters
MOU	Memorandum of Understanding
PIR	Project Implementation Reviews
SAP	Strategic Action Programme
STPs	Standardized Training Packages
TDA	Transboundary Diagnostic Analysis
TSC	Train-Sea-Coast
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNOPS	United Nations Office for Project Services



1. Introduction

1.1 Overview of the Train-Sea-Coast Program

In 1992, the United Nations (UN) conference on Conservation and Development, also known as the Rio Conference, identified the need to build capacity for the development of effective integrated coastal management (ICM). In response to this mandate, the Division for Ocean Affairs and Law of the Sea (DOALOS), within the UN Office of Legal Affairs established the Train Sea Coast (TSC) program. The capacity building strategy adopted by the TSC program was the development and delivery of high-quality training courses that apply the standards and mechanisms of the “Train-X” family of programs. Train-X was first developed in the early 1970s by telecommunications giant AT&T to meet its international capacity building needs. The methodology was adopted by the UN Development Programme (UNDP), and in 1992 as the overarching methodological training framework for addressing a wide range of needs for capacity building of personnel in such fields as air traffic control, port management and international trade. Train Sea Coast was one of several programs that followed the Train X methodology that features establishing a set of training centers, known as course development units, (CDUs) in selected developed and developing nations.

Between 1995 and 1999, the TSC program had completed a first generation by establishing a network of training centers including several associated with universities and institutes established by the International Ocean Institute (IOI). These training centers applied the Train-X methodology to prepare, validate and deliver training courses designed to meet local and national needs in integrated coastal management.

This evaluation addresses the activities that occurred in the second generation of the Train Sea Coast program that extended from 2000 to 2010. This second generation was entitled "Strengthening Capacity for Global Knowledge Sharing in International Waters Component II". The justification, objectives, strategies and anticipated results of the project are set forth in the Project Document dated April 1999 and funded in the year 2000 by the Global Environment Facility (GEF) as a three year project funded at \$2.04 million. The development objective for this second generation TSC program was phrased as follows:

"To enhance the effectiveness of ocean and coastal management efforts generated by GEF projects in promoting sustainable human development, particularly the poor, in developing countries." (Project Document p.15)

The core anticipated result of the second generation TSC project was the establishment of a sustainable and dynamic global network of decentralized training units that would develop and deliver high quality courses that respond to the training needs of GEF International Waters (IW) projects operating at regional scales. A core assumption was that within the three year time frame of this project, training centers distributed across both developed and developing nations would have become financially self sustaining and would continue to provide trainings programs that meet capacity building needs at the local, national and regional scales. A crucial feature of this vision was that the members of the network would be exchanging courses and adapting them to the contexts in which they were operating. DOALOS, as the hub of the network, was to be the institution responsible for building the necessary capacity in the network members and validating their courses as compliant with rigorous Train-X standards.

The implementation of the second generation TSC project proved to be a difficult undertaking due in part to the low capacity of the five Course Development Units (CDUs) established in universities in developing nations that were anticipated to produce twelve of thirteen courses. By early 2004, when the project should have been completed, less than half of the anticipated courses had been validated and institutional support to the project both within DOALOS and the CDU host institutions had significantly diminished. The design of the project was therefore modified by DOALOS so as to entrust the development of courses to international organizations and CDUs from the first generation of the project of which had demonstrated greater capacity to develop, deliver and market Train-X courses than the new second generation CDUs created for this purpose. The project was extended incrementally over a ten year period that ended in 2010. By that time a total of 19 validated courses had been produced. The demand for the second generation courses produced over the ten year life of project has been highly variable. The project's vision of a network of self sustaining training centers has not been achieved. It also can be concluded that the training needs of regional GEF International Waters projects were not met by the TSC project to the degree anticipated by the project design.

1.2 The Purposes and Scope of This Evaluation

This terminal evaluation of Component II of the UNDP/GEF project has been conducted on the behalf of UNDP in accordance with the UNDP/GEF project monitoring and evaluation policy. Its purpose is to document project results and assess project performance against the strategies and objectives set forth in the 1999 Project Document. Component I, IW: LEARN was designed through a separate Project Document and has been subject to several evaluations, including a terminal evaluation in 2010. Component III, International Waters Conferences, has also already undergone a terminal evaluation. The evaluation of Components I and III are therefore not the subject of this document. However, since they were designed as elements of a comprehensive capacity building program references are made to them when the strategies and results of Component II are assessed. This terminal evaluation identifies factors that have facilitated or impeded the achievement of the project's objectives. It evaluates the effectiveness, efficiency, relevance, impact and sustainability of the TSC program. The final section discusses the lessons that can be drawn from this project and what these lessons suggest in informing future capacity building initiatives designed to meet capacity building needs for effective coastal and ocean management.

1.2.1 Evaluative Methods for This Terminal Evaluation

The evaluation has been undertaken by a team led by Stephen B. Olsen contracted through SustainaMetrics LLC, a social enterprise based at 1101 East 33rd Street, John Hopkins University @ Eastern in Baltimore, Maryland 21218. The other team members are:

- Glenn G. Page, CEO of SustainaMetric a professional evaluator specialized in development evaluation and the evaluation of cross disciplinary IGERT PhD programs at a number of US universities
- Glenn Ricci of the Coastal Resources Center who is co-leader of the Center's training programs and
- Manuela de los Rios, a consultant who has played a lead role in several European-wide capacity building programs in coastal management.

The evaluation commenced in October, 2010 when the contract with SustainaMetric was signed and was due to be completed by the end of February, 2011. The evaluation has been carried out in three phases.

Phase 1. In October 2010 the team reviewed the Terms of Reference (Appendix 1) and assembled documents that trace the evolution of the Train Sea Coast program and the major products associated with Component II of the Train Sea Coast Project. These were obtained from the web and by requesting files from the appropriate United Nations offices in New York. Meetings with those with lead responsibility for the Central Support Unit in DOALOS and Andrew Hudson at UNDP were held in New

York City on October 27 and 28, 2010. These discussions focused on expectations for the evaluation, discussion of the major features of the program, challenges encountered during its implementation and prospects for follow-on activities. During this visit additional documentation on the project were assembled from the DOALOS library and project files provided by Alice Hicuburundi, the Coordinator of the project. Phase 1 ended with the preparation of a detailed Table of Contents and decisions on how to structure of the evaluation process.

Phase 2. Phase 2 of the evaluation began in mid November and extend to the production of the initial draft of the report in early February 2011. During this period a detailed desk review of the assembled documents were supplemented by telephone and Skype interviews (see Appendix 2). The interviews enables the evaluation team to solicit the views of representatives of CDU Managers, GEF IW regional project personnel, Course Developers and Instructors.. We were able to contact people who had participated in both the country-based CDUs and the international agencies that developed TSC courses. In addition, the evaluation team has discussed the project with staff from UNDOALOS, UNDP and the IW Learn sister project.

Phase 3. Phase 3 was reserved for refinements to the report and responses to comments made by those who reviewed the initial draft. The commentary period was extended until May 23, 2011. Unfortunately, comments from DOALOS were not received by that date despite several extensions to the comment period.

The evaluation follows the American Evaluation Association standards and guidelines for systematic, competent, honest and respectful evaluation that is intended to be useful and accurate. Primarily a formative mixed methods approach, the evaluation is utilization-based, acknowledging that the intended users are more likely to apply the findings if they both understand and feel ownership of the assessment process and findings (Patton 2002, Patton 2008, Wholey et al. 2004). The report is not intended to be a summative evaluation in order to prove a theory of institutional or programmatic change, rather, the terminal assessment process is intended to contribute to improving training and capacity building efforts as part of the United Nations portfolio. This report, however, does provide some aspects of summative reflection on the program, including a reflection of outputs, outcomes and impact and possible continuation of specific program elements. The conclusion provides a set of recommendations for next steps that are based on this reflection.

It is important to note that the report does not review or make recommendations regarding the quality of the training for specific courses or level of competency of any student, faculty, administrator or partner. Instead, it is focused on the Train Sea Coast overall performance and relies on the data collected, and analysis and interpretation of those data, to tell the project's performance story. Based primarily on a desk audit of the available documents supplemented by open-ended interviews, the report synthesizes a set of information gathered between October 2010 and February 2011. Appendix B provides a detailed list of people interviewed for the terminal evaluation.

1.3 The Evaluative Process Anticipated by the Project Design

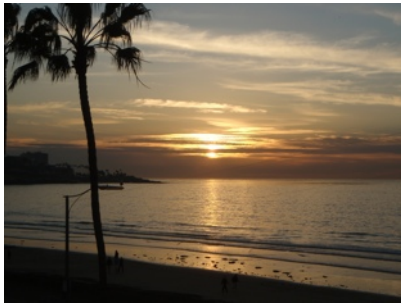
The Project Document, that serves as our guide to the logic model of the Train Sea Coast program called for annual project review reports as well as the annual Project Implementation Reviews (PIR) required of all GEF projects. The design anticipated annual tripartite reviews, an external mid-term evaluation and a terminal evaluation. It also called for two portfolio wide strategic planning and assessment meetings termed Coordination Conferences that were to bring together course developers and representative of the GEF International Waters projects whose training needs the project was to fill. These consultations were to have been completed in 2003. At the second Coordination Conference, that was intended for 2002, a plan was to have been presented for up-scaling the program. These events did not occur or took place later on during the extensions to the project.

A midterm review was conducted as a tripartite meeting between DOALOS, UNDP/GEF and UNOPS in 2002. A single Coordination Conference was held in early 2004, a year after the project was anticipated to have been completed. The reports on these

two meetings, as supplemented by annual reports (PIRs) are the principal elements of the "paper trail" relied upon as the basis for evaluating the program's implementation. Two memoranda retrieved from the project files at DOALOS drafted in 2004 explore the potential for up-scaling the program. The ideas presented were not acted upon as anticipated by the Project Document. The project will be declared as officially closed in early 2011.

1.4 Organization of this Report

Section 2 sets forth the weaknesses in international training in support of the management of oceans and coasts as presented by the 1999 Project Document. It describes the outcomes anticipated by the project design and the major strategies selected for achieving those outcomes and identifies the major assumptions that underlie the design. The modifications to this project design, made during an extended ten year period of implementation, and the outputs generated, as called for by the eleven objectives detailed in the project design, are the subject of section 3 of this evaluation. Sections 4 and 5 assess the strengths and weakness of the design and of the implementation process as revealed by the degree to which outcomes and outputs were achieved.



2. The Project Design

Scope of This Section

This section sets forth the weaknesses in international training in support of the management of oceans and coasts as presented by the 1999 Project Document. It describes the outcomes anticipated by the project design and the major strategies selected for achieving those outcomes and identifies the major assumptions that underlie the design.

2.1 The Demand for Capacity Building in Support GEF IW Projects

The Project Document describes in Section A (Context) a rapidly expanding need for professionals that can successfully contribute to making the transition "away from traditional sector oriented marine resources use management practices" and to the formulation of "new political, administrative and technical schemes for integrated and sustainable development of coastal and marine areas." This opening section of the Project Document is a significant statement of need as it highlights both the insufficiency of then current levels of human resources required to meet the needs of International Waters (IW) projects and the limited capacity to produce high-quality courses that can contribute to meeting these needs. By 1999, when the Project Document was prepared, the GEF had financed some 25 projects in International Waters with an investment of some US\$ 215 million. The expectation was that in the three-year period of the TSC project these investments would expand to \$1 billion or more in support of an expanded portfolio of at

least 40 International Waters projects. This section of the Project Document concludes "these initiatives represent the largest global source of financing and project activity for the protection of trans-boundary water systems." These IW projects would require professionals with the capacity to address the multiple and interconnected issues posed by threats to the quality of trans-boundary waters, the degradation of marine and freshwater habitats, the spread of non-indigenous species and excessive exploitation of living and nonliving resources.

2.2 Weaknesses Identified in Existing Training Programs

Section A2 of the Project Document details five weaknesses in the many training programs and courses being offered by various national and international projects and programs on topics relevant GEF International Waters projects. These identified weakness in existing training programs provide the rational for the TSC Project design and may be summarized as follows:

- *Ad hoc, supply driven approaches to training and the limited sharing of training materials.* Training courses are generally one-time offerings provided by a diversity of projects and programs. They are rarely replicated, shared or improved through a peer review process. Local beneficiaries of trainings rarely participate in the development or the implementation of the courses they attend
- *Limited technical expertise and lack of data on man power requirements and training needs.* The integrated approaches required for effective responses to the multiple issues posed by coasts and International Waters pose complex challenges to institu-

tions and projects attempting to build the necessary capacity through training. The capacity to provide such training is particularly weak in developing nations where the need for integrating approaches is urgent and the pace of ecosystem change is most rapid. There is a lack of data on man power requirements and the specific capacity building needs that can be met by training.

- *Unresponsiveness to emerging operational needs.* In most countries advanced education and training is provided primarily by universities and courses but such university curricula are not directed at the operational needs of GEF projects and programs. There is a need for a fresh analysis of the jobs created by GEF International Waters projects and of the skills and knowledge that are required to implement these GEF projects successfully.
- *Limited opportunities for contacts between providers of training within the GEF's International Waters projects.* The GEF encourages and supports learning both across institutions and individuals working on its projects. There are, however, limited opportunities for the cross-fertilization of ideas among the providers of training. This is due to the lack of mechanisms designed to avoid duplication in training courses and to promote sharing and adaptation of training opportunities in order to meet the specific needs of different regions and projects.
- *Lost opportunities for synergies among implementing agencies.* Information sharing among agencies implementing GEF projects occurs mainly at the top and rarely at the level of project implementers and their stakeholders. There is very little sharing of courses instructors and materials across projects and programs.

2.3 The TSC Project Response to Weakness in Training

Section A3 of the Project Document outlines a response to these multiple issues. It begins with a bold vision and strategy that would:

- Build permanent national capabilities to meet national and local capacity building needs
- Be responsive to the specific needs of the countries in the regions addressed by GEF International Waters projects.
- Feature the transfer of experiences from one project to another,
- Would be cost effective and
- Would be sustained over the long term.

The specifics of how these features would be attained are set forth in the targets and budget allocations for eleven project objectives (see Section 3).

The Project Document proposes that such ambitious goals will be achieved by a program with the following features:

1. An Approach to Training Centered Upon the TRAIN-X Methodology.

The program would expand upon a well established family of eight training networks supported by UNDP in such fields as telecommunications, civil aviation, postal services offered by some 200 training Train-X centers worldwide. Several of these training networks were initiated in the 1970s and have been sustained over the long term. The TrainAIR initiative (marketed as “Excellence in Aviation Training”) for example, today has over 40 member centers that frequently replicate and share their courses. Training designed to meet the needs of GEF International Waters projects was to build upon the Train Sea Coast (TSC) program that had been launched in 1993 with UNDP funding as an international initiative housed within the DOALOS in New York.

An important feature of the Train X methodology lies in the required three-step Training Need Assessment. This calls for:

- Problem analysis (What are the problems that this training is expecting to solve? What are the causes of these problems? Which of these problems can be addressed by training?)

- Job analysis (To gather information on how, where and with what information a job is done to define the skills, knowledge and attitudes required for good job performance)
- Population analysis (to determine what the trainees already know, gather information on their social and cultural background and learning preferences in order to adapt the training strategies)

This rigorous process for making a “needs assessment” was frequently seen by those interviewed for this evaluation as a unique and critically important feature of the Train-X method. Other features, described in voluminous instructions, detail an often complex, step-by-step process for setting forth in a sequence of training modules the materials and training exercises that would address each target capacity outcome. Each Standardized Training Package (STP or course) includes a test to gauge the degree to which each trainee has mastered the competencies that the course – and in some cases each module – is designed to inculcate in each trainee. The level of detail of the technical content typically requires securing content specialists who work with pedagogical experts to design how the material will be presented and “experienced” by the trainees. Train-X also features a rigorous course validation process. This requires that the full course must be delivered to a suitable audience in the presence of one or more external senior trainer selected for their familiarity with the Train-X standards. A course is validated, and declared ready for delivery, only when it is found to comply with detailed standards as set forth in lengthy validation report. One of the key responsibilities of DOALOS was to oversee this validation process.

2. Strengthen the Global Network of Training Centers established by the Train Sea Coast Program.

The second feature of the strategy detailed by the Project Document calls for building upon the existing network of TSC centers by adding five new centers that would address the capacity building needs of specific regional GEF International Waters projects. The Project Document implies that the first generation of the TSC program had worked successfully to strengthen the capabilities of eleven training and educational institutions in the field of ocean and coastal management located in both developing and developed countries. The expectation was that the five new second generation CDUs would benefit from, and exchange courses and experiences with the network created during the first generation of the TSC program. The host institution of each CDU was required to make a long-term commitment to the goals of the TSC program. The Project Document lists the support functions to be provided by each CDU host institution as follows:

- One part-time manager
- Two course developers for at least 2.5 days a week
- One part-time secretary
- One part-time graphic artist, and
- Any subject matter expertise available in-house.

Materials required for the production of each course would also be furnished by the host institution as would the funds required to cover field activities and incidentals. For a developing country university these are unusually large commitments to a project that would not provide any financial remuneration to the university.

3. Maintain DOALOS as the Train Sea Coast Program Hub.

Since the program was designed to incorporate and build upon the existing TSC program it was proposed that the Central Support Unit (CSU) would remain at DOALOS. The first generation of the TSC program had become operational in 1995 and had succeeded in producing a number of high quality courses that in many instances were well received at the local and national levels of the countries that were the focus of each CDU. The project was led by an energetic Coordinator based in DOALOS who was widely recognized by participants in the project as its driving force. This Coordinator was supported by two other professionals at DOALOS. The assumption was that this team would continue in its former role in the second generation of the program.

2.4 The Target Audiences

This is a crucial topic but one not addressed by the design in more than very general terms. In the course of this evaluation we have been impressed by the diversity of target audiences as defined for different courses. For example, the courses developed by the CDUs of Brazil and Uruguay were directed at governmental officials at the local or the national levels. In contrast the course on marine protected areas developed by the Red Sea CDU was directed largely at marine scientists while the Philippines training-of-trainers course in Indonesia was designed for a broad range of coastal and marine stakeholders including NGOs and governmental officials.

2.5 The Anticipated Products and Results of the Second Generation TSC Project

The Project Document for the second generation of TSC called for a three-year project that would begin in 2000 and generate, by 2003, the following:

1. A self-sustaining network featuring five new training centers (CDUs) capable of meeting local, national and regional capacity building needs through high-quality training courses designed in collaboration with GEF International Waters projects.
2. Twelve new training courses developed by the six new CDUs tailored to the needs of GEF International Waters projects and one course designed for global delivery on the preparation of transboundary diagnostic analysis and strategic action programs.
3. The adaptation and delivery of courses developed by each CDU as frequently as required within each International Waters project region and the importation and adaptation of courses from other units within the TSC network to meet additional training needs within their region.
4. Course development and sharing mechanisms designed to adapt training materials to the needs of International Waters projects and partners within the TSC global network.
5. The presentation and evaluation of these activities at two portfolio wide strategic planning and assessment meetings that would draw together International Waters project directors, implementing agencies, NGOs and other key stakeholders. At the second meeting (anticipated in 2002) a plan for up-scaling the GEF TSC program would be presented.

When combined into an integrating vision, the core anticipated result by 2003 was the establishment of a sustainable and dynamic global network of decentralized training units. These units would develop and deliver high quality courses that responded to GEF's regional projects to build capacity for "Global Knowledge Sharing in International Waters". The assumption was that training centers distributed across both developed and developing nations would prove to be financially self sustaining and would continue to provide trainings programs that meet well defined capacity building needs at the local, national and regional scales. A crucial feature of this vision is that the members of the network would be exchanging courses and adapting them to the contexts in which they were operating. The CDUs, as a network, would not be limited to meeting only the needs of GEF International Waters projects but – as in the first generation of the TSC program – would identify and meet a diversity of needs for training in coastal and ocean management projects and programs. Another major feature of the second generation TSC program was that the courses offered by the network would continue to be materials driven rather than trainer driven. This means that the training materials prepared for each course would be fully described and documented and provide for courses of a consistent design and with well-defined standards and learning objectives for each module. This approach contrasts with the usual "trainer-centric" model of international training in which the content, the organization, the pedagogic approach and the desired outcomes of training are left to the discretion of the trainer.

If this vision had been achieved the program would have made a very major contribution to overcoming the fragmentation and limited impacts that continues to be recognized (see for example, the National Research Council, 2008) as primary features of both past and current investments in training.

The Project Document presents eleven objectives, each with a set of activities and budget allocations that detail how the vision was to be achieved within a three year period. These objectives, and the degree to which they were achieved are the subject of the second part of Section 3.

2.6 Key Assumptions and Risks

Section E of the Project Document addresses risks, assumptions and sustainability. This brief section identified two key assumptions. Both address the imperative of long-term institutional commitment to the project in both DOALOS and in the institutions hosting the CDUs. Particularly crucial would be sustained commitment within DOALOS where project coordination, monitoring, support to the network and quality control functions are all centered. These supporting functions were all to be provided by DOALOS at no cost to the TSC project.

Equally crucial to the project design was that the host institutions of each CDU would also maintain their commitment and flow of resources (human, physical and financial) to their CDU and sustain their support to both their team and the network as a whole after the project's completion in 2003.

The only risk identified by the Project Document was the potential for delays in the preparation and delivery of courses due to the initial inexperience of course developers. Related to this was the potential for a high turnover in course developers.



3. Project implementation

Scope of This Section

This section begins by describing the major adaptations made to the project design during implementation. These changed the original focus from the development of a network of self-sustaining regional training units, capable of responding to the needs of regional GEF International Waters (IW) projects to the development of courses designed for global audiences prepared and delivered by international agencies and DOALOS itself. The second part of this section summarizes the activities and outputs of project implementation as these relate to each of the eleven objectives detailed in the Project Document.

3.1 Sources for the Evaluation

The important sources of documented information for this evaluation on project implementation are the 2002 Tripartite midterm review and the 2004 Coordination Conference report. Both of these attempted to identify the accomplishments of the TSC Network and build on them by making recommendations for the enhanced development, delivery and adaptation of courses. These sources were supplemented by other documents retrieved from the DOALOS library (see Annex B for documents reviewed) and the annual reports (PIR).

It must be noted that many inconsistencies and knowledge gaps have been detected while reviewing the available project documentation. These inconsistencies are particularly evident in the annual reports (PIR). For example, the numbers of participants reported as attending a course in a given time period not infrequently varies in the text of a single PIR or between one PIR to another. For example, the 2008 PIR states in one section that five courses had been validated by the Central Support Unit. This is later contradicted by the statement that by this reporting period there were 3 validated courses and one in the process of being validated. There are several instances where it cannot be discerned if a given course has been validated. In many cases there is no record of the number of participants attending the first delivery of a course – as would be required to assess the degree to which the targets set by the Project Document have been met. The 2006 and 2008 PIRs refer to two “coordination conferences” as called for by the Project Document. These were to draw together key personnel from the CDUs and the regional IW projects whose training needs they were created to meet. The tripartite

meeting held in 2002 was attended by representatives of UNDP, DOALOS and UNOPS (United Nations Office for Project Services) and not by representatives of either the CDUs or the GEF IW projects. The evidence is therefore that there was only one Coordination Conference (in 2004). The number of courses reported as validated and delivered – as summarized in Table 3.1 is also not reported in a consistent manner.

3.2 Three Phases of Implementation over 10 years

Project implementation was extended incrementally from the original three years to ten years. Understanding the evolution of the strategies applied to meet the targets of the program is made easier by dividing implementation into three phases.

PHASE 1, 1999-2002: Support to the five new Course Development Units (CDUs) and the formulation of their first Standard Training Packages (courses)

This initial phase was marked by an intense effort to build staff capacity in the newly created CDUs and produce courses consistent with the Train X methodology. According to several interviewees this initial phase was characterized by a positive relationship between the Course Development Units and the Central Support Unit. However, the anticipated outputs proved to be difficult to obtain and the internal stability of several CDUs proved to be fragile. The 2003 PIR attributes the delays and difficulties to “...the inexperience of DOALOS in managing this sort of program, ...the difficulties with the organization of workshops, ... the difficulties of the Train X methodology, etc”.

In May of 2002, in anticipation that the project would end in the following year, a Tripartite Review meeting was held in New York that brought together representatives of DOALOS, UNDP and UNOPS to address the issues that were the causes for:

1. The development of only 5 courses rather than the 13 anticipated;
2. The adaptation of only one course to another region;
3. The absence of any coordination conferences; and,
4. The need for greater support to the CDUs.

The participants developed a detailed set of recommendations designed to resolve these problems, ensure the sustainability of the project and its continuation to a new phase. These recommendations, as detailed in the meeting report, may be summarized as follows:

1. **Project sustainability.** DOALOS was asked to “Re-confirm the longstanding commitment of the Division to support the TRAIN-SEA-COAST Program as an integral component of DOALOS”. This was to be expressed by the creation of a training unit within DOALOS and obtaining a full-time Coordinator to replace the first Coordinator who was retiring that year, as well as two part-time professionals, and one support staff. This expanded staff was seen as the minimum required to administer the program effectively. The report also recommended that the project work to support the integration of the Course Development Units within their host institution “so that they receive more recognition” and to “work out a strategy to enable the best Course Development Units to grow into regional training centres of excellence”.
2. **Evaluation of the TSC Program and preparation of a proposal for a new phase.** The report recommends the drafting of “a second phase proposal to be considered when more of the project outputs are realized. A concept paper should be prepared by September 2002 following a full independent evaluation in June 2003”. In addition, the report recommended a second Tri-partite review of the TSC program in August 2003 to review and act upon the evaluation of the project.
3. **Cooperation with GEF International Water projects.** The report highlights the need to encourage formal discussion between the GEF/IW projects, local TSC/Course Development Unit and the TSC/Central Support Unit to generate regional partnerships (with universities, government agencies etc) and reinforce learning opportunities (layered training) on key training topics identified by the GEF/IW projects. These recommendations also called for a training needs assessment for each GEF/IW region and the preparation and wide dissemination of a GEF coastal/ocean International Waters training course catalogue through a brochure and web site.

PHASE 2, 2003-2004: Changes in the Central Support Unit staff and initial delivery of courses.

The recommendations made by the tripartite meeting in 2002 were not acted upon. To the contrary, the most important development during this period, as highlighted at the 2004 Conference and reaffirmed in many the interviews conducted for this evaluation was that DOALOS eliminated the full-time TSC Coordinator post. This retrenchment in DOALOS had a major

negative impact on the TSC Network and the project as a whole. Nonetheless, the momentum that had been created during the first phase led to the deliveries of all the Course Development Unit's first courses during these two years (with the exception of the Benguela Course Development Unit which had delivered its first course in 2001). Since less than half the anticipated courses had been prepared, the project time frame was extended to 2004 in the expectation that an additional year would enable the project to meet its objectives.

After the delivery of their initial courses, the Gulf of Guinea and the Red Sea CDUs became inactive. The support to the CDUs and their host institutions recommended by the 2002 Tripartite meeting did not materialize. One of the interviewees summarized the sense of the majority of Course Development Unit's as these changes in the project took place: *"sometime around 2004...we felt on our own as we had no news at all from the Central Support Unit after the Coordination Conference, we weren't even sure if the project had finished or not, or if we could use our TSC courses"*.

As an expression of a major change in strategy, DOALOS, with the agreement of UNDP, negotiated agreements with two international organizations, the IMO and UNEP/GPA to prepare two new courses for global delivery. The Central Support Unit relied on the first generation Brazil CDU to collaborate with IMO and UNEP/GPA in the preparation of new courses. This signaled a major change in the project design from relying on country-based CDUs to prepare and deliver courses at their regional level to working with international agencies to fulfill these functions and deliver TSC courses worldwide.

The project design had called for annual Coordination Conferences that would enable CDU managers and GEF project coordinators to together evaluate progress, plan course adaptation and deliveries, exchange lessons and establish policy for the course sharing system. These annual conferences had not taken place in the initial years of project implementation. This gap was addressed in January 2004 by assembling the first and only Coordination Conference in New York. This was attended by the managers of seven TSC Course Development Units but only two regional GEF project Chief Technical Advisors (representing the Gulf of Guinea and Benguela Current projects). The participants, as at the 2002 tripartite meeting, discussed issues of coordination and management of the TSC network and its future activities. In essence the report from this meeting reaffirms the recommendations made eighteen months before at the Tripartite Meeting. Several sections of this report appear to be a re-worked version of the 2002 report from the tripartite meeting. The recommendations follow the same sequence as follows:

1. **Project sustainability.** The importance of a long term commitment by DOALOS to a sustained training program with adequate staffing was reconfirmed. The report also echoes the recommendation to re-establish close linkages between TSC activities and the plans for the establishment of Regional Training Centres (RTCs) in regions where GEF IW projects were active.
2. **Monitoring and evaluation of the TSC program.** The Central Support Unit was advised to "Establish and implement a monitoring program covering inputs from the TSC/Central Support Unit, the Course Development Units and consultants".
3. **Collaborative Needs Assessments with GEF International Water projects.** UNDP was again asked to coordinate the TSC and GEF IW projects to discuss the need "to create regional partnerships between universities and other centers of learning in each GEF region". As in 2002 this report recommends conducting a Training Needs Assessment in each GEF region and the production of a course catalogue.
4. **Support to the Course Development Units.** A major focus of the 2004 report, as in the 2002 report, was the need to develop "a critical mass of GEF-Standard Training Packages for sharing among projects". Three lines of action were recommended to facilitate the network activities:

- TSC Managers and GEF CTAs were to plan at the anticipated 2005 TSC Coordination Conference “how to proceed for sharing and adapting Standard Training Packages to their respective regions as well as doing a stock-taking exercise to identify “lessons learned”;
- To include the existing 1st generation ICZM TSC courses in the catalogue of training courses for GEF IW projects and
- “To establish a discussion forum among TSC/Course Development Units” to address progress made and to exchange experiences.

PHASE 3: 2004-2010 The Central Support Unit at DOALOS becomes a CDU and assumes a central role in the development of courses that addressing global needs for training.

As in Phase 2, the major recommendations made at the 2004 Conference were not acted upon in Phase 3. DOALOS instead chose to pursue the strategy initiated in Phase 2 of developing courses through international agencies rather than country-based CDUs. DOALOS itself became a Course Development Unit in 2004 that could contribute to generating the quota of TSC courses anticipated by the Project Document and would meet the training needs of DOALOS itself. As a consequence, five members of the DOALOS staff became engaged in the TSC. During this third phase the courses developed by the IMO (International Maritime Organization) and GPA were successfully marketed and were delivered on multiple occasions. Thus the strategy of not relying on country-based CDUs as the primary mechanism for course development and delivery proved to be effective. Some country-based CDUs occasionally participated in the TSC project during this third phase but it is clear that they had become a “second string” rather than the focal point as anticipated by the Project Document. The Black Sea CDU, inactive until then, developed one course as did the Brazil CDU, neither of which were validated.

Two courses were replicated by the South Pacific and the Benguela CDUs. One of the reasons for the few attempts to adapt courses to other regions is that the project design specified that funding for the travel of course developers and expenses of participants were to be made available only in support of the validation of their first course. Since the CDUs created for the second generation TSC project did not have other sources of funding, this effectively eliminated the replication option.

3.3 Summary of Project Results and their Impacts

Table 3.1 Summary table of courses developed during the three implementation phases

CDU Categories	PHASE 1: 2000 - 2002	Phase 2: 2003- 2004	Phase 3: 2005 - 2010	Total number of courses
Developed by five regional (2nd generation) country-based Course Development Units	1 Course validated 1 Delivery	3 Courses validated 5 Deliveries 1 Adaptation	1 Course developed but not validated 2 Deliveries	5 Courses
Developed by three 1st Generation country-based Course Development Units	1 Course validated 2 Deliveries	6 Courses validated 8 Deliveries 2 Adaptations	1 Course developed but not validated 13 Deliveries	8 Courses (In addition, two first generation courses, developed prior to 1999 were included in the catalogue)
Developed by two UN agencies in collaboration with TSC	-	2 Courses validated 34 Deliveries		2 Courses

CDU Categories	PHASE 1: 2000 - 2002	Phase 2: 2003- 2004	Phase 3: 2005 - 2010	Total number of courses
Developed by the Central Support Unit CDU	-	1 Course validated 4 Deliveries	3 Courses validated 10 Deliveries	4 Courses
Total number of courses developed from 2000 to 2009:				19 Courses (The total is 21 if the 1st generation courses delivered after 2000 are added or 17 if the two courses which were not validated are not counted.)

The second generation TSC project was designed to achieve four major outcomes. The first was to establish a self sustaining network of country-based training centers (CDUs) that would expand the network assembled by the first generation TSC project. This central outcome has not been achieved and none of the five CDUs launched by the second generation program are operational today. Furthermore, the TSC network of training centers has not functioned as a network since the project became operational in 2000. The annual Coordination Conferences and other mechanisms included in the project design to promote networking, lesson sharing and exchanges among centers have occurred in a sporadic manner or not at all.

The second anticipated major outcome was the preparation, validation and repeated deliveries of courses that met the training needs of regional GEF International Waters projects. The country based CDUs were to prepare twelve courses designed to meet training needs identified by GEF International Waters projects in their region and one course on the TDA/SAP process was to be prepared to meet a global need. This objective was partially achieved by the preparation of five courses – rather than twelve – by the second generation CDUs. The demand for these courses has been low. One of these five courses was not validated as meeting Train-X standards. The three first generation CDUs that participated in the second-generation project were more successful and produced eight courses of which one was not validated. Thus the country based CDUs over the ten-year life of the project almost succeeded in meeting the target of twelve validated courses (they produced eleven validated courses).

The change in strategy that got underway in 2003 relied upon international agencies to produce, market and deliver validated courses designed for application at the global scale, proved to be successful in terms of the number of courses validated and the subsequent high demand for them. The most popular courses are the ones produced by the IMO and UNEP/GPA that together account for nearly half of all the deliveries and trainees (1051 out of 2272 trainees). The TDA/SAP course has been delivered on 14 occasions. The additional three courses prepared by the DOALOS training center in the third phase of the program were, in at least one case, specifically designed to meet DOALOS' training needs rather than the needs of GEF IW projects.

The 2010 course catalogue states that there have been 92 course deliveries to a total of 2272 participants. It is important to clarify that these numbers appear to include participants trained during the first generation of TSC (accounting for at least 255 participants).

It must be noted that while the Project Document specifies that 41% of the trainees should be women, we have not seen any records that segregate participants by gender.

3.4 Assessment of Outputs and Outcomes Envisioned by Project Document

We now assess the status of each of the anticipated outputs as defined by the Project Document and identify some of the factors that facilitated or impeded the achievement of the outputs specified under the eleven objectives of the project. The status of each objective and set of outputs is assessed as of 2010.

OBJECTIVE 1: To expand the existing TSC Network by establishing six new Course Development Units (CDUs) geared to GEF International Waters Projects and to maintain the viability of the expanded network.

Anticipated output of Objective 1: Six well established Course Development Units geared to the specific training needs of GEF projects in their region.

Status as of 2010: Five country-based Course Development Units (Rio de la Plata, Gulf of Guinea, Benguela Current, Red Sea and Black Sea) were selected before the second generation project became operational in 2000. Three country-based Course Development Units from the first generation of the TSC program (Brazil, South Pacific and Philippines) also participated as CDUs in the second generation. As of 2010, none of the five second generation CDUs consider themselves active participants in the TSC program and several have been inactive since 2004. Two of the first generation CDUs continue to deliver TSC courses in the South Pacific and Philippines. These training centers were operational, when the first generation TSC project got underway in 1995. They remain active as training centers today but do not consider themselves to be members of an active TSC network.

The country-based CDUs consulted with GEF projects in their region when selecting the topics for their courses. However, sustained collaborative working relationships between a CDU and its associated GEF IW project did not become a feature of the TSC project and the demand for the courses developed by the country-based CDUs created by the second generation TSC program has been small.

While the Project Document calls for a single global – rather than regional – course designed to build capacity in the TDA/SAP process it did not specify what organization would undertake its development. This course was designed by a team organized by the University of Plymouth through a contract with the GEF Secretariat. In 2002 DOALOS signed a Memorandum of Understanding (MOU) with the IMO to prepare the course on ballast water and in 2003 signed an MOU with UNEP/GPA for a course on municipal wastewater. These two international organizations were subsequently referred to as CDUs and in 2006 the CSU in DOALOS also became a CDU. These adaptations of the project design added an additional three CDUs to the TSC roster.

OBJECTIVE 2: Each Course Development Unit develops, validates and delivers two high quality STPs for exchange within the six GEF projects as well as within the TSC network. Each course produced is validated by the Course Development Unit with the assistance of the Central Support Unit.

Anticipated output of Objective 2: Twelve TSC/GEF Standardized Training Packages validated, and readily available to other members of the network; and 300 to 500 personnel trained on TSC courses throughout the GEF projects on first deliveries alone.

Status in 2010: Only 4 validated courses were developed by the CDUs created by the second generation TSC program. They were delivered on seven occasions for approximately 165 participants. This is about half the number anticipated by the Project Document. An additional seven validated courses were developed by the 1st generation CDUs bringing the total to eleven courses developed during the second generation TSC project by country-based CDUs. This total does not include the two

courses developed during the first generation of the TSC project which were added to the course catalogue, nor the two courses that were not validated

The three additional “global” CDUs developed an additional six courses that brings the total number of validated courses to seventeen.

OBJECTIVE 3: Through the global TSC Program, create a course development and sharing network among GEF projects to adapt and deliver the courses produced among the different GEF IW projects and global partners of the TSC network.

Anticipated output of Objective 3: Adapt to local conditions and deliver 9 TSC/courses. A total of an additional 270 participants will be trained during the first deliveries of the adapted courses.

Status in 2010: As envisioned by the Project Document, a course adaptation occurs when a course developed to meet the specific training needs of a GEF project in one region is adapted to the different needs of a GEF International Waters project in another region. By this standard this occurred only once. This was when the course on exchanges between continental and ocean systems developed in the first generation TSC by the Brazil CDU that was adapted to the needs of the Uruguay CDU. Other expressions of adaptation that do not meet the standards of applications across country-based CDUs include the adaptation of the course prepared by the Uruguay CDU to conditions in Argentina (within the same GEF region) and adaptations of training-of-trainers materials developed by the Philippines CDU to needs in Vietnam and Indonesia. The adaptations of the training-of-trainers course, however, did not involve another CDU. The global TDA/SAP, the GPA Municipal Wastewater and the IMO Globallast courses were fine-tuned to respond to the needs of each class of trainees. Such refinements, however, are not as significant as those anticipated when a course developed to meet needs in one region to the needs in another.

OBJECTIVES 4 and 5: Throughout the project, the Central Support Unit (CSU) which is fully funded by the UN Division for Ocean Affairs and the Law of the Sea (DOALOS), provides continuing pedagogical and technical advice and assistance to the Course Development Units in the preparation of their courses. Where the TSC Central Support Unit determines it necessary, this will be supplemented by consultants as required to support in-country activities.

Anticipated output of Objectives 4 and 5: TSC pedagogic and technical standards are maintained throughout the process of course development.

Status in 2010: The project design called for an intensive process of guidance and consultation with each CDU as it worked through a four step process composed of:

- Preliminary study
- Curriculum design
- Module design and
- Validation of the course

It was expected that all the CSUs in the network would review and comment upon the reports produced by each center on each step as a means of encouraging collaboration and cross-center learning. As needs were identified, the CSU would contract with pedagogical and technical specialists to work with the CDU team. The project records suggest that 20-25 external pedagogical and technical consultants were contracted by DOALOS to support the design and delivery of their courses. The fees of these consultants and the associated travel of the consultants and the CSU staff consumed the bulk of all the project funds in phase

one and two of implementation. However, the support to the country-based CDUs did not occur as called for by the design and was not a feature of the project after 2004.

The Central Support Unit has been responsible for overseeing the validation of all courses. In most instances this critical step has been undertaken by external consultants.

OBJECTIVE 6: Reinforce the capacity of the six new Course Development Units to prepare high quality Standard Training Packages for exchange within the TSC GEF-funded network and the global TSC network.

Anticipated output of Objective 6: 36 new GEF/TRAIN-SEA-COAST Course Developers (3 per Course Development Unit). Exchange of experiences among course developers

Status as of 2010: The project design calls for annual two week course development workshops for CDU course developers. It also calls for annual three day seminars that would bring together course developers to “discuss problems, constraints and successes”.

The 2006 annual report states that a total of 45 Course Developers had been trained through 3 Course Development Workshops. The 2008 report cites 5 workshops but does not specify the number of participants. In addition, four Training of Trainers courses were delivered to increase the number of trainers available for the GPA – Municipal Wastewater Management, the IMO - Ballast Water courses and two more for replicating two unspecified courses developed by the Philippines and the South Pacific Course Development Units. The record suggest that no seminars have been organized for “Course Developers to discuss problems, constraints and successes in the process of course development and implementation and exchange” as was anticipated.

OBJECTIVE 7: Coordination/monitoring of the project and maintenance of the sharing system.

Anticipated output of Objective 7: Effective coordination of project activities and monitoring of results

Status in 2010: The project design called for annual four day Coordination Conferences that would bring together course developers and GEF project coordinators to evaluate progress, plan course adaptations, exchange lessons learned and establish policy for sharing courses. Only one such event has occurred and took place in 2004 at a time when the country-based CDUs were seeing that DOALOS support for the network was much diminished. Many of those contacted by the evaluation team commented on the lack of communication between the CSU in DOALOS and the CDUs after the departure of the founding coordinator. Those who held positions at the CDUs were surprised by the lack of response to emails and telephone calls and the poor condition of the TSC web page. For many years this did not maintain a roster of the courses available and made no effort to update the members of the network on the activities of its members or the priorities as viewed by the CSU. The Central Support Unit conducted 7 CDU monitoring visits in support of the development of their initial courses. These visits occurred in phase one and two of project implementation.

OBJECTIVE 8: Development and validation of a Standard Training Package on how to prepare a GEF transboundary diagnostic analysis (TDA) and strategic action plan (SAP).

Anticipated output of Objective 8: this Standard Training Package will be widely disseminated to all GEF IW projects.

Status in 2010: The Project Document calls for one course to be developed for global audiences. This was the TDA/SAP course. The TDA/SAP course that was developed and validated in 2004 during the second phase of the project through a contract between the GEF Secretariat and the University of Plymouth. This course had been delivered 4 times under auspices of the TSC by

2008. The course is directed primarily to new GEF IW projects to introduce them to this complex analytical process. This is the only course for which the training materials are available online. However, this course was not “distancized” as anticipated through a collaboration with the IW Learn program.

While not anticipated by the Project Paper, two additional global – as opposed to regional - courses were developed by the IMO-GLOBALLAST programme and the UNEP/GPA programmes. Both of these were developed in collaboration with the Brazil CDU. The high demand for these courses suggests that they responded to global training needs that were also of concern to GEF IW project training needs. However, we have no means for assessing what proportion of those attending these courses were sponsored by, or were associated with, GEF IW projects. After the Central Support Unit at DOALOS became a Course Development Unit it developed an additional three courses, of which at least one was specifically designed to meet DOALOS training needs rather than the needs of GEF IW projects.

OBJECTIVE 9: Translate the Training Development Guidelines (TDG), including Participants Manual and Instructors Manual.

Anticipated output for Objective 9: The TDG in languages relevant to the GEF IW Projects

Status in 2010: There is no evidence that these TDG and Participant and Instructors Manuals have been translated.

OBJECTIVE 10: For the second Biennial GEF International Waters Meeting (2001) prepare a plan for upscaling the TSC.

Anticipated output for Objective 10: A TSC Phase II Proposal - that would propose to further expand the TSC-GEF training network to other GEF implementing agencies and other countries and regions by:

- Creating a team of mobile course developers drawn from the CDUs that will provide assistance across the network;
- The development of TSC Computer-Based Training courses; and,
- Promoting institution building of NGOs, and other coastal/marine oriented institutions, including industry.

Status as of 2010: At the 2002 tripartite meeting it was concluded that the preparation of a proposal for an expanded TSC project should await the time when more progress had been made on course preparation and delivery. The 2004 Conference report states that “No plan for upscaling GEF/TSC should be presented at the moment”. Two undated memoranda prepared by a consultant were found in the project files of DOALOS that discuss options for up-scaling the TSC program. These were kept as internal documents and were not acted upon.

OBJECTIVE 11: The objective of this component is to provide opportunities for GEF financed International Waters projects to share knowledge, engage in strategic planning, and do collaborative assessments via two face-to-face meetings among the GEF family of projects, Implementing Agencies, and partners.

Anticipated outputs of Objective 11: Two International Waters conferences (2000, 2002); conference reports; 15 inter-project staff exchanges.

Status in 2010: This component of the project was reassigned from the TSC project to IW Learn. The Central Support Unit did not take an active role in any of these conferences. Some participants in the TSC project attended these conferences but there

were no presentations or workshops to identify GEF project training needs. No staff exchanges among TSC CDU participants took place.

3.5 Summary of Status of TSC Courses as of 2010

Table 3.2 Summary table of course status as of 2010

Source of Course Development	Name of the course	Responsible (CDU) Course Development Unit	Date Validated	Total number of deliveries and total number of trainees	Number of adaptations to other regions
Developed by regional (2nd generation) country-based Course Development Units	The role of fisherwomen in coastal communities	Gulf of Guinea Course Development Unit/ Benin	2002	1 delivery in 2002 - total participant data unavailable	No adaptations
	Marine Pollution Control	Benguela Current Course Development Unit/ South Africa	2001	3 deliveries (2001, 2005, 2009) - total participant data unavailable	No adaptations
	Protective Measures for coastal areas	Rio de la Plata Course Development Unit/ Uruguay	2002	One regional delivery and one delivery of its adaptation in Argentina (2002, 2003) 45 participants	One adaptation in 2003
	Management of Marine Protected Areas	Red Sea Course Development Unit/ Sudan	2002	One delivery - total participant data unavailable	No adaptations
	Nutrient Pollutants from agriculture	Black Sea Course Development Unit/ Turkey	2009 Not Validated	One delivery - total participant data unavailable	No adaptations
Developed by 1st Generation country-based Course Development Units	Exchange and inter-relationships among Continental and Ocean System	Brazil Course Development Unit	1994	14 deliveries/ 255 participants (during 1st generation) One adaptation delivery in Uruguay, 2002 - 25 participants	One adaptation
	Environmental Management of Ports	Brazil Course Development Unit	2006 (no evidence of validation)	Deliveries and total participant data unavailable	No adaptations
	National course on Integrated Coastal Management	Philippines Course Development Unit	1996	1 delivery - total participant data unavailable	2 adaptations for Vietnam and Indonesia. "Training of Trainers"
	Integrated Coastal Management (a) for local governments ,	Philippines Course Development Unit	2004	11 deliveries 429 participants	No adaptations

Source of Course Development	Name of the course	Responsible (CDU) Course Development Unit	Date Validated	Total number of deliveries and total number of trainees	Number of adaptations to other regions
Developed by 1st Generation country-based Course Development Units	Integrated Coastal Management for b) local executives and policy makers	Philippines Course Development Unit	2004		No adaptations
	Integrated Coastal Management Course for c) provincial government	Philippines Course Development Unit	2004		No adaptations
	Sustainable fisheries management	Philippines Course Development Unit	Unclear if validated, possibly delivered in 2004	Unclear	No adaptations
	Training of Trainers in ICZM	Philippines Course Development Unit	Unclear if validated. It was delivered in 2002	Unclear	Adapted from the 1st generation National ICZM course
	Responsible fisheries in the Pacific Islands region: Implementation of Post-UNCED international instruments	South Pacific Course Development Unit/ Fiji FAO	2003	4 regional deliveries 2003-2010 - total participant data unavailable	No adaptations
	Environmental economics for coastal communities in the Pacific Islands Region	South Pacific Course Development Unit/ Fiji	2004	1 delivery - total participant data unavailable	No adaptations
Developed by the Central Support Unit/Course Development Unit	Control and Management of ship's ballast waters	IMO / Brazil Course Development Unit	2003	4 pilot deliveries, 168 participants	Developed for worldwide deliveries
	Improving municipal wastewater management in coastal cities	UNEP-GPA/UNESCO-IHE in association with the Brazil CDU	2003	30 deliveries in 8 languages 2003-2009 - 883 participants	Developed for worldwide deliveries
	The TDA/SAP approach in the GEF IW Programme	Central Support Unit/ Course Development Unit	2004	14 deliveries in 3 languages by 2010 - total participant data unavailable	Developed for worldwide deliveries

Source of Course Development	Name of the course	Responsible (CDU) Course Development Unit	Date Validated	Total number of deliveries and total number of trainees	Number of adaptations to other regions
Developed by the Central Support Unit/Course Development Unit	Delineation of the outer limits of the continental shelf beyond 200 nautical miles for submission to the Commission on the Limits of the Continental Shelf	Central Support Unit/ Course Development Unit	2005	8 deliveries - total participant data unavailable	Developed for worldwide deliveries
	Area based management development, implementation and management of Marine Protected Areas	Central Support Unit/ Course Development Unit	2007	1 delivery - total participant data unavailable	No adaptations
	Ecosystem approaches to the management of ocean related activities	Central Support Unit/Course Development Unit	2008	1 delivery - total participant data unavailable	No adaptations



4. Project Performance

Scope of This Section

This section identifies factors that facilitated or impeded the capacity of the TSC project to meet the targets and expectations set by the project design.

4.1 Effectiveness of TRAIN-X Methodology

The original purpose of the Train X methodology was “to solve operational problems within an industry or area of management” (Course Development Guidelines, 1997). Train-X is therefore most effective when applied to training people with well-defined jobs in order to (1) address specific problems related to their performance and (2) to make the necessary changes in the context in which they are working. This explains why the methodology has proved most effective when applied to courses which addressed compliance with regulatory protocols such as the “Ballast Water Management” or the need to follow a prescribed step-by-step

process as in the TDA/SAP analysis. However, GEF IW projects are undertaken to promote new approaches to complex trans-boundary environmental, social and economic issues where “formal” institutional structures and where many “jobs” are yet to be defined and put in place.

Several interviewees commented on the difficulties in applying the methodology. The first step is a job analysis of the target audience for a training course in the region addressed by a GEF IW project. One interviewee commented: *“We had to deliver a course on Marine Protected Area Management when there were no existing MPAs in our region and no such job as a Marine Protected Area manager anywhere in neighboring countries”*. In this case and in several others the assumption that there were people in well defined positions facing clearly definable operational problems placed a constraint on how a course would be designed. In the case of the GPA-UNEP course the training was designed to raise awareness of the multiple issues posed by municipal wastewater management. It drew together at each delivery professionals from many backgrounds drawn from positions in government, academia, the NGO community and elsewhere. The training issues for such a topic are not merely “operational” and several features of the Train-X methodology in such instances are not suitable. Indeed, the Train-x methodology is so complex that each course required two years of intensive effort by a CDU staff supplemented by topic specialists and pedagogic experts contracted by the CSU. This suggests that a less complex methodology, or a simplified version of Train-X would have been more appropriate. Indeed it appears that in several instances the methods were not applied in full – but the time and costs of course development remained high.

Nonetheless, several of the course developers interviewed found the rigor and the discipline of the Train-X method refreshing and useful. Several commented that their exposure to it has strongly influenced the manner in which they design and deliver trainings. University professors, for example, who are accustomed to an educational method that relies primarily on lectures and lengthy reading assignments had to rethink the essential purposes of a training course and apply a diversity of techniques to instigate a learning process in mature adults. Train-X relies heavily on simulations, role-play, problem solving in small groups and other “adult learning” techniques not usually practiced by university professors in developing countries. One of the interviewees

commented: *"We had to ask ourselves many questions...Is training the best solution... How can these practitioners drive changes... How can they understand what is most important?"*

According to a Train X expert interviewed, the process of developing and validating a course should consume no more than a year. The five new CDUs supported by the TSC project, however, required over two years to develop their courses and conduct an initial delivery. Several had significant problems in gaining validation for their course. By the time of the 2004 conference three quarters of the GEF funds allocated for the development, delivery and adaptation of the twelve anticipated courses had been expended in support of the formulation of only five courses that benefited not more than 165 trainees. This suggests a cost per trainees in the vicinity of US\$10,000. On the other hand, when Train-X methods were applied by trainers based in an international agency to design a course with the support of the staff one of the most experienced country-based CDUs (Brazil) the expense and the time required was reduced and the resulting course proved to be marketable. According to Globallast staff, the cost of delivering their course was approximately \$30,000 for thirty participants once the course had been developed, refined and validated. This suggests that the cost per trainee, once the initial development costs had been made, was in the vicinity of \$1000 per trainee. The difficulties experienced by some of those who worked with the Train-X methods suggest that the problems lay with the capacity of the course developers, their lack of familiarity with adult learning techniques and the weak support of their home institution rather than with the methodology itself.

4.2 Effectiveness of the Course Development Units

The five CDUs established during the PDF phase of the second generation TSC project were all placed at universities as untested organizations without prior experience in offering courses designed by the Train-X methodology. In two cases (the Red Sea and the Black Sea) these untested organizations experienced a series of setbacks and problems that made them inoperable. The other three country based CDUs overcame such start-up difficulties but required heavy investments in terms of technical back-up and coaching by the CSU in DOALOS to produce their initial course. The second generation CDUs lost the support of their host institutions, and several made little or no effort to market their course within their region. They became inactive soon after the initial delivery of a single course.

According to the Project Document, the first generation of the program had established five CDUs. It is unclear how many of these were active after 2000. It is instructive that the three first generation CDUs that participated in the second generation program (Brazil, Philippines, South Pacific) were all functioning as training centers when the first generation TSC program got underway in 1995 and two continue as training centers today. All three benefited from multiple sources of funding. The Brazil CDU received US\$ 1 million in support from the Brazilian government and by 2000 had delivered many courses in support of ICM at the local, provincial and national levels. This CDU closed when its director retired at a time when there was no further national funding and support from its home institution faltered. This suggests that a major fault in the project design was the reliance upon newly created and untested training centers associated with universities in developing nations with the expectation that they would be able, in three years, to generate, deliver, adapt and market sophisticated training courses without external funding. The project design made no provision for institutional strengthening of these newly created organizations or for helping them secure long-term financial support. The expectation that these newly created CDUs would become self-sustaining regional training centers with the in-house capacity to provide training services to International Agencies and governments was unfounded. This crucial assumption was not supported by the experience of the first generation TSC program.

Another critical issue was the lack of incentives for host institutions to continue investing in their CDU once it had become apparent that the generation of a single course was a protracted and expensive process that brought few benefits to the host institution. According to interviewees, the motivation of universities to become Course Development Units was the prestige of being part of a UN programme and the opportunity to be a member of a dynamic TSC global network that would share training materials and attract business generated by the demand for training that would be supported by various national and international

agencies. These expectations proved to be unfounded. By 2002 it had become apparent that the CSU in DOALOS had lost interest in global network training centers and, as detailed in the Tripartite Meeting report, had become unresponsive to requests for assistance. As a result, four out of the five Course Development Units became dormant between 2002 and 2004.

A peculiarity of the arrangements made between the project and the individual country-based CDUs was that the courses developed by each CDU would remain as its “property”. This suggests that the expectation was that the TSC courses would be a generator of funds – a hypothesis for which there was no supporting evidence. International experience suggests that high quality training courses on coastal and ocean management topics are at best financially break-even propositions and usually require a substantial financial subsidy.

Both the 2002 Tripartite report and the report of the Coordination Conference in 2004 made a series of specific recommendations on the need to strengthen the CDUs, bolster the support of their host institutions and work to develop business plans that could guide their advance to becoming financially sustainable organizations. These recommendations were not acted upon and it is likely that if they had been adopted the result would have been a case of “too little, too late”. Given the very limited capacity of the majority of the country-based CDUs it is unlikely that business plans that were not backed up by a threshold level of sustained funding would have transformed the CDUs into training centers that would be sustained over the long term. Such an investment would have been justified only if each CDU met defined performance standards. Such explicit capability and performance standards should have been the basis for the selection of the CDUs during project design. The failure of the courses to produce a revenue stream may be a reason for the dwindling support for the CDUs within their home institutions. Another constraint brought by this “ownership issue” is that it prevented placing the materials generated on the web or at a central location – such as the DOALOS library. It also may have become a constraint to the adaptation of courses by other members of the TSC network.

4.3 Effectiveness of the Network

While the founding coordinator of the TSC program believed strongly in the value of a global training network based largely in developing nations, the limited funds available to the project were directed through 2004 to the preparation and validation of an initial set of courses, and not to building a CDU network. Objective 6 called for an annual two week long workshop that would bring together course developers from each CDU. In addition, Objective 6 calls for annual three day seminars for course developers and GEF project coordinators. The record suggests that while there were training events for some course developers these events did not occur with the frequency anticipated. In addition, Objective 6 calls for annual Coordination Conferences designed to bring CDU managers together with GEF Project Coordinators to evaluate progress, plan course adaptations, exchange lessons and establish policies for sharing courses. Only a single such coordination meeting took place. This was in 2004 when the funds for the project had been spent or were committed. Communication and information flow between CDUs could have been enhanced by setting up a simple system of conference calls, an online forum or mailings. This cost-effective approach, however, was not considered.

The Project Document, in Objective 11, details Biennial International Waters meetings for portfolio wide strategic planning and exchange. Responsibility for this important opportunity for networking was reassigned to IW LEARN. The budget for these events included funds for exchange visits among CDUs. The TSC project did not take advantage of these high profile events to organize workshops or sessions to (1) analyze the training that was being delivered in support of GEF projects worldwide, (2) to carry out regional Training Need Assessments as called for in both of the project reviews or (3) to market the existing courses and engage a critical mass of IW projects for course adaptation and regional deliveries. One of the interviewees noted her surprise that at the two IW Conferences she attended *“never has anyone referred to the TSC”*.

The result of these missed opportunities and the lack of interest in promoting networking among the CDUs from 2003 resulted in the absence of an overarching communication strategy for the network and the absence of an attempt to identify GEF IW

project needs for training as recommended by both the 2002 and 2004 reports. Despite repeated calls from UNDP and the CDUs for an updated website and a course brochure this fundamental basis for networking remained unattended until the third phase of the project.

4.4 Effectiveness of the CSU Within DOALOS

The Central Support Unit was to provide: (1) effective project management and coordination, (2) strategic communications, and (3) effective technical and pedagogical support for course validations in order to meet the Train Sea Coast standards. Project management was deeply affected by the retirement of its experienced and charismatic coordinator in 2002. Soon thereafter the appointment of a half time Coordinator at DOALOS, a lawyer with no training or background in project management or in leading a capacity building network, signaled dramatically reduced support for the TSC project. However, once DOALOS made the decision to become a CDU to meet its own capacity building needs, it increased the staff working on the courses it developed.

As noted above, technical and pedagogical support to the country-based CDUs was reduced sharply after the five new CDUs delivered their first course in the second phase of the project. Thereafter, the CSUs dedication and capacity for validating courses also diminished. Both the Benguela and the South Pacific CDUs complained at the 2004 Coordination Conference about the difficulties of obtaining the attention needed to validate courses.

4.5 Quality and Timeliness of Delivering Outputs and Activities

In terms of timeliness of products the TSC project has fallen far short of expectations. The time required to produce the thirteen courses anticipated by the project design was severely underestimated. The central problem lay in relying on untested CDUs to produce courses by applying a complex Train-X methodology that at the beginning of the project was unknown to them. In 2002, in the at the mid point of what had been designed as a three year project only one course had been validated and an additional four were underway. By early 2004, at the beginning of a six month extension of the project, five courses had been validated, rather than the thirteen called for by the Project Document. At the time of the Coordination Conference, eight more courses were anticipated to be completed in 2004 and 2005. By the beginning of the extension, the majority of the GEF funds had been expended on the development of these courses. This suggests that the funding was adequate for a three year project. However, the time required to meet the target of thirteen courses set by the Project Document required twice the time and twice the funding.

The quality of the courses developed by the TSC project can only be assessed indirectly. A full evaluation of the quality of individual courses is beyond the scope of this evaluation but even a cursory assessment is made difficult by the fact that with the exception of the TDA/SAP course, none can be accessed through the web and there is no set of binders containing the materials developed for each course at DOALOS or at any other central location. In the course of preparing this terminal evaluation we have made many attempts to contact GEF IW project directors to inquire as to the usefulness of TSC courses and their relationship to the project. We also attempted to survey participants in TSC courses. We were not successful in contacting a representative example of such primary stakeholders. We therefore assess the quality of the TSC courses by the demand that they have generated and their apparent relationship to the needs of the regional GEF IW projects whose training needs the TSC courses were designed to meet. We divide our assessment by the four categories of CDUs, as we did in Section 3.

The country-based CDUs established by the second generation TSC project

Only one Standard Training Package was produced by each regional CDU in the ten years of the project. The quality of courses varied, but according to several interviewees, only the courses from Rio de la Plata and the Benguela CDUs were of high quality. The low demand for the courses developed by these CDUs suggests that either the quality was poor or the topic was not of great interest to the IW project in their region. Another reason for low demand could be the absence of a marketing strategy and in-

stability and lack of capacity in several of these CDUs. This was particularly evident in the Red Sea and Black Sea CDUs, both of which had to be closed down by the CSU during the second phase of implementation.

The first generation country-based CDUs

Three of the five CDUs established in the first generation of the TSC project identified themselves as national training centers with a mission to meet a number of training needs. The TSC program was not their only source of technical and financial support and all three received funding support from their national governments and/or other sources. The courses they developed during the first generation were offered repeatedly and were considered to be of high quality. Training needs assessments were conducted independently by each first generation CDU and not by another party as was presumably the case in the second generation when training needs at the regional scale were to be identified by the GEF International Waters project in their region. It is interesting that the 2006 Coordination Conference report notes that the courses developed by these CDUs during the second generation – as in the first – were prepared without consultation with GEF IW projects and were not designed specifically to meet the needs of GEF IW projects as called for by the project design. The greater demand for the courses prepared by these CDUs during the second generation suggests that they were of higher quality than those prepared by the newly established country-based CDUs. After 10 years as an active TSC Member, the Brazil CDU made the following reflection, *“Successful deliveries of a course depend on three points: high quality training material, adequate participants and proper instructors. Bad instructors can ruin the best training material available”*.

The CDUs established in international organizations

By far the most successful courses were the two developed, marketed and delivered by the IMO and UNEP/GPA to meet needs at the global – rather than the regional – scale. The Memoranda of Agreement between the TSC project CSU at DOALOS and these agencies was signed with the IMO in 2002 and with the GPA in 2003. Both courses were developed in collaboration with the Brazil CDU. Participants taking part in the IMO course on Ballast Water have totaled 168 in deliveries made in four languages. The GPA course has been delivered on 30 occasions to 883 participants in eight languages. One interviewee associated with a CDU commented: *“the proof of the great quality of the GPA course on municipal wastewater management was that the trainees would take the materials and deliver them in their regions”*.

The CDU within DOALOS

The establishment of the CDU within DOALOS occurred after the TDA/SAP course called for by the Project Document had been validated. The TDA/SAP course was developed under a contract with the University of Plymouth with considerable input from GEF IW managers. It has been in high demand, since this analysis is a required priority for all GEF projects. Several interviewees commented on the very comprehensive contents of this course and that it expected too much of trainees in too little time. The modules are highly technical and require a high level of competence in trainees. This course continues to be used as an initiation course and is updated through the recently approved third phase of the IW Learn project.

Three additional courses were prepared by the DOALOS CDU during the third phase of implementation. The course for the delineation of the outer limits of the continental shelf was prepared to meet the needs of DOALOS and not the needs of GEF projects. Nonetheless the course is judged by DOALOS and others to be of high quality and has been instrumental in setting the groundwork for several nations signing of the associated treaty.

4.6 Responsiveness of Project Management to Adapt and Implement Changes

With the exception of the first two-year phase of implementation, DOALOS has been unresponsive to requests and recommendations from its principle stakeholders as represented by UNDP and the coordinators and staff of the country-based CDUs.

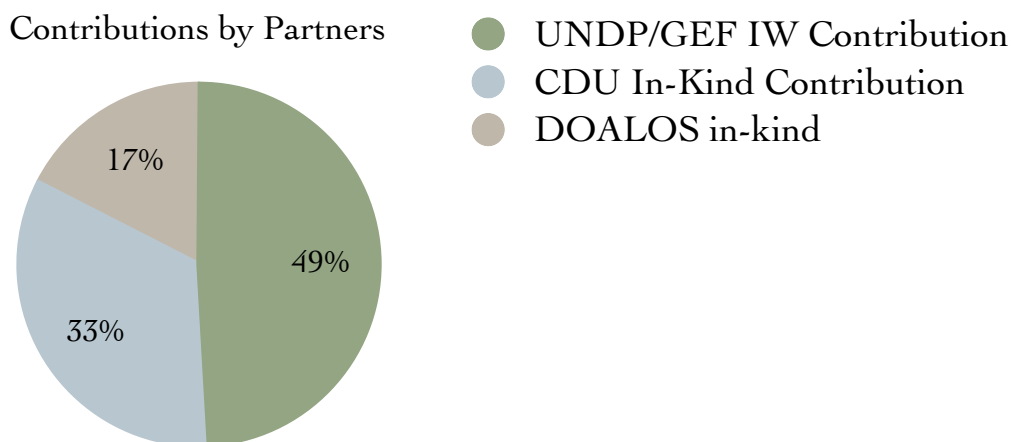
This has been expressed by the absence of actions in response to the detailed recommendations set forth by both the 2002 tripartite meeting and the Coordination Conference held in 2004. These recommendations were directed at the need to invest in the country based CDUs in order to strengthen their position within their host institutions and assist them in developing marketing strategies for TSC courses.

DOALOS has made major adaptations to the project design that have enabled it – over a ten year period – to meet or exceed the targets set by the project design for numbers of courses and numbers of participants. This required a major change in strategy that appears to have been made in a largely unilateral manner by DOALOS. Rather than relying on the country-based CDU network to design and deliver courses the strategy has been to develop courses through CDUs formed in international agencies (the IMP and UNEP/GPA) and within DOALOS itself. This change in strategy has produced the most successful courses and has met global –rather than region specific - needs for training.

4.7 Project Resource Quality and Quantity (financial, physical and manpower)

The second generation TSC project was in the judgment of those responsible for its terminal evaluation, deeply flawed in its assumptions on the ability of a three year effort to create a network of self sustaining of training centers based in universities in developing nations. As shown by Figure 4.1 the host institutions for the CDUs established for the project made a substantial commitment of facilities and personnel in the expectation that they would become regional training centers positioned to meet a growing diversity of training needs in their region. The project design also assumed that these newly created organizations would be capable of building the technical capacity to deliver in three years two courses each that would meet the rigorous Train-X standards. By early 2004, when the project should have been completed, only four validated courses has been produced and both the host institutions of the newly created CDUs and DOALOS itself were withdrawing their support to the CDUs and the concepts of a decentralized network of training centers.

Figure 4.1 Shows the Total Contributions to the TSC Project by Major Partners



NOTE: These numbers do not reflect the 8% of support costs

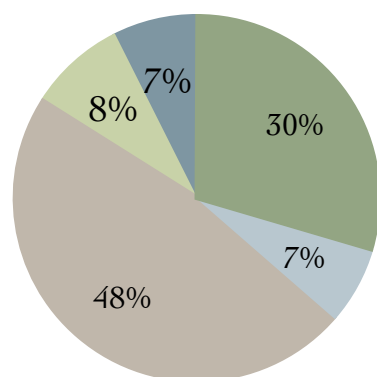
Category Type	Amount
UNDP/GEF IW Contribution	\$ 2,121,500
CDU In-Kind Contribution	\$ 1,440,000
DOALOS in-kind	\$ 750,000
Total Contribution	\$ 4,311,500

Figure 4.2 Shows that the Budget Allocations, as set forth in the Project Document, Directed the Available Funding at the Preparation and Validation of Courses by the Newly Established CDUs.

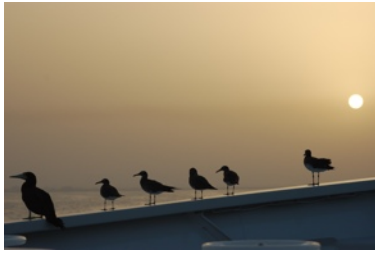
- Project Personnel (consultants)
- Monitoring and Evaluation
- Validation, training and support for CDU's (includes travel of validation missions)
- 3 TSC Coordination Conferences
- Adaptation Study Tours

Expenditure by Category

NOTE: These numbers do not reflect the 8% of support costs



Category Type	Amount	Percent of Total
Project Personnel (consultants)	\$ 628,400	30%
Monitoring and Evaluation	\$ 142,500	7%
Validation, training and support for CDU's (includes travel of validation missions)	\$ 1,012,200	48%
3 TSC Coordination Conferences	\$ 180,000	8%
Adaptation Study Tours	\$ 158,400	7%
Total Contribution	\$ 2,121,500	100%



5. Conclusions and Lessons Learned

Scope of This Section

This section reflects on the project as a whole and assesses the degree to which it achieved its desired outcomes and impacts.

5.1 What are the Major Achievements of the TSC Project?

The Train Sea Coast project has generated training courses that have contributed to building capacity to address significant issues of importance to the effective management of International Waters. This has been accomplished despite the many difficulties encountered during the implementation of this project. Most notably, three training courses (on the management of ballast water, the treatment of urban wastewater and on the TDA/SAP process) have together been delivered by 2010 at least on 48 occasions to an estimated 1,286 participants. It is beyond

the scope of this evaluation to assess the impacts of these courses in terms of improved management or to assess the quality of the content of these courses or how the content is delivered to trainees. The demand for these three courses and the positive comments made by course developers and trainers interviewed for this evaluation suggests that they are indeed high quality courses that have benefited those who have taken them. As noted below, the quality and the demand for the other sixteen courses prepared during the second generation of the TSC project has been highly variable.

The Train-X methods have provided a path to developing high quality, demand driven, job focused training that responds to specific, clearly defined capacity building needs. The Train-X methodology is viewed by the course developers we have interviewed as a powerful and useful approach to the design and delivery of training courses. As a result of the TSC project it would appear that there is a cadre of perhaps 40 trained course developers that continue to apply the Train-X methods in courses associated with other projects and programs. Several of these individuals continue to prepare training courses as individual consultants but none of them have continuing relationships with the CDUs since only two remain active as of 2010. The major long-term impact of this training methodology appears to be within the United Nations agencies that developed the most successful courses. Within DOALOS the training course on defining outer continental shelf boundaries is seen as having played a critically important role in enabling a number of countries to proceed through the necessary analysis and actions required to sign the convention that addresses this issue.

However, the nature of many of the topics that have been the subject of TSC training courses has made it necessary to simplify and adapt the Train-X methods and their complexity outstripped the capacity of the country-based CDUs created as the primary vehicle for TSC course development and delivery. As a result none of the country-based CDUs created by the project remain active in 2010. From a cost benefit perspective the return on individual training courses are highly variable. On average it required two years for a country-based CDU to prepare and validate a course. This was often an exhausting process for the CDU team and required major investments in content and pedagogical specialists, as well as multiple visits from the CSU coordinator. By 2004, three quarters of the GEF funds had been expended in the preparation of the five courses that had proceeded through validation. Since many of these courses were given only once and typically involved only 20 trainees, the cost benefit ratio was poor.

On the other hand the cost benefit ratio was much better for the courses prepared in Phase 3 by the two international organizations who played the lead role in course development, course delivery and course marketing.

5.2 To What Degree Were Anticipated Project Outcomes Achieved?

The Project Document anticipated three major outcomes within a three-year period. The first was that a self-sustaining global network of training centers would be established in developed and developing nations that would have demonstrated their capacity to meet the training needs of regional GEF projects in International Waters. This has not occurred. As of 2011 none of the five CDUs established for the second generation of the TSC program are active. Similarly, the CDUs established by the first generation program are also either dormant or – in the case of the Philippines and South Pacific – continue to provide training services that meet local and national needs but that are not explicitly linked to the GEF project in their region.

A second, closely related outcome, as set forth by the project design was that DOALOS would be the hub of this global network of training centers and would have demonstrated its capacity to nurture the centers, coordinate their activities and position the Train Sea Coast program as a major source for meeting the expanding demand for capacity building in support of the effective management and stewardship of coasts and oceans. This too has not occurred.

A third principle outcome was that the TSC project would foster a close working relationships between each CDU and the GEF International Waters project operating in its region. Here the results appear to be variable. In the case of the Rio de la Plata CDU in Uruguay, the relationship with the director of the associated GEF project was highly positive for both parties. It appears, however, that this was the exception rather than the rule. The maturity of the GEF projects were, in many cases, out of phase with the period when a CDU was working to identify training needs and define the topic of their initial training course. The modest demand for the courses developed by the CDUs suggests that they did either not target the priority training needs of GEF projects or for some reason were not seen as sufficiently attractive to generate repeated deliveries.

The Project Document implies that another anticipated outcome was that the Train-X methodology would become established as a widely used framework for training courses designed to build capacity in coastal and ocean management. While the Train-X methodology has demonstrated that it can be an effective method for meeting operational needs it has not been adopted by current projects and programs that are underway in support of ocean and coastal management with funding from the GEF, international agencies, NGOs and bilateral assistance programs.

Despite the failure to produce these anticipated *outcomes*, which may have led to desired *impacts*, the Train Sea Coast program has – over an extended ten year period - met or exceeded the *outputs* set forth in the Project Document for the number of courses developed and the number of participants trained.

These may be summarized as follows:

Table 5.1 Summary of TSC Program Components

Item	1999 Project Document Target	Status by 2010
CDUs established	6 (new)	5 New country-based CDUs 3 CDUs from the 1st generation 3 Global CDUs

Item	1999 Project Document Target	Status by 2010
Validated Courses (regional)	13	11 new validated courses 2 new courses, not validated 2 courses developed during the 1st generation were offered
Validated courses (global TDA/SAP)	1	6
Courses adapted and produced by country-based CDUs	9	1
Course deliveries	NA	92
Participants	NA	2272
Course developers	36 new	45
Course developer workshops	3 (annually)	5
Course developer seminars	3 (annually)	0
Coordination Conferences	3 (annually)	1

It must be noted that it is unlikely that a number of the courses listed in the catalog are indeed available should a GEF project – or another party - make a request for them. This is because the majority of the CDU's are no longer operational and the course materials they developed remain with those institutions rather than being available on the web or at a single central location.

5.3 What Major Issues and Problems Affected Project Implementation?

At least three major issues have affected the success of the implementation of the Train Sea Coast project. Perhaps most critical is that the key assumptions of the project design proved to be unfounded. This was that DOALOS would sustain its commitment to the TSC project and continue to provide at no cost the staffing required to coordinate project activities, support the CDU network and ensure the quality and relevance of the courses generated. However, soon after the original coordinator of the TSC program retired in 2002, DOALOS reduced this critically important position to halftime and appointed a new coordinator who had little involvement in the first generation of the program and a large agenda of competing responsibilities and interests within DOALOS. It would appear that a major shortcoming of the design was the reliance on a single person – the first project Coordinator – to carry the project forward. Many of those interviewed for this evaluation are of the opinion that the project lost its momentum and began to unravel when this pivotal person retired.

The 2004 Coordination Conference is explicit about how this change eroded the capacity of the project to meet the needs of individual CDU's and the network as a whole. By that time it had also become apparent that it could not be assumed that the host institutions for the CDU's would sustain their commitment to the project. The process of developing and validating a course according to the Train-X methodology was a complex process that placed very major demands on the staff provided by each host institution to each CDU. Rather than evolving into prestigious centers for capacity building at the local, national and regional scales, the benefits and financial return to the host institution generated by a CDU appeared to be very limited or absent. Both the

2002 and 2004 assessments identify institutional support and the need for business plans and marketing strategies as top priorities. When these services were not forthcoming the CDU's collapsed.

While the Project Document goes into considerable detail to outline the process by which Train-X courses would be developed and validated it is silent on the needs and the costs of developing a global self-sustaining network of CDU's. The project design assumes that there would be sufficient incentives for host institutions to justify their provision of the staff and the facilities required by each CDU. It did not recognize that establishing a self-sustaining network of institutions in developing countries was unlikely to be accomplished without financial support and with only minimal backstopping directed only at course development. Experience with other global networks of institutions suggests that this was at best a naïve assumption. By the time that these problems had been recognized the bulk of GEF funds had been expended and there were neither the resources nor the will within the DOALOS to meet the challenges that had been identified by both the 2002 tripartite meeting and the 2004 Coordination Conference.

5.4 Evidence of Adaptation

In this section we briefly summarize instances where major adaptations were made and then identify other instances in which adaptations would have had the potential to improve upon the outputs and outcomes of the project. The major change to the project design was the decision to develop courses through international organizations rather than the CDU's established in developing nations. This change in strategy emerged after the 2004 tripartite meeting and was expressed through the preparation of the course on ballast water with the IMO and the course on urban wastewater treatment with UNEP/GPA. In this instance, the strategy was to link these UN agencies with the staff at the most successful CDU's. Thus, the ballast water and the urban wastewater courses were developed through a joint effort between IMO and the Brazil CDU. The success of these courses and the need to meet the target of not less than 12 validated courses appears to have encouraged DOALOS to make itself a CDU and prepare courses that met its own needs in training. While this change in strategy resulted in the production of courses that proved to meet real demands the new strategy seems to have contributed to the lack of attention paid to the network of developing country CDU's and their eventual collapse.

There are other instances when less radical adaptations would have been beneficial but were not undertaken. It appears to be particularly unfortunate that the relationship with the IW Learn sister project (component one of this IW GEF project) did not mature as a joint enterprise and more collaborative effort. IW Learn began by focusing upon its information sharing mandate and then expanded its consultative process and an increasingly sophisticated assessment of capacity building needs while the Train Sea Coast program has not received any additional GEF funding since the original allocation in 2000, IW Learn has proceeded through a series of allocations and remains an important feature of the GEF program today.

Another instance where adaptation would have been beneficial is in the Train-X methodology. Interviews with course designers suggest that the rigor of the Train-X methodology is appropriate for some subjects but less appropriate for others. The methodology is clear that its purpose is to develop training that meets operational needs. Indeed the most successful Train-X programs are those that address professions where the strict adherence to detailed procedures is essential as is the case with air traffic controllers or those responsible on ships for the management of ballast water. It is also appropriate when designing a course that is intended to teach people how to proceed through a complex analytical person process like the TDA/SAP process. But when the methodology is applied to topics where individual jobs are not defined and where the context within which an activity is being undertaken demands significant shifts in how the work is conducted and what products are generated then the Train-X methodology becomes rigid, bureaucratic and overly complex. In such instances modifying the methodology becomes necessary.

Finally, a series of major adaptations to how the project was being implemented were made at the tripartite assessment in 2004 and further elaborated and reaffirmed in the 2006 assessment. The same responses to identified problems and needs were the

subject of memoranda that evaluated the prospects for up-scaling the project as envisioned by the Project Document. Here again the decision was not to act on these findings and recommendations.

5.5 Given an opportunity, what actions would the evaluation team have recommended to address issues and increased the impacts of the program?

Our first recommendation would have been to re-examine and modify the agreements made with the CDU host institutions. Our understanding of the agreement with each host institution suggests that there were considerable expectations on the part of the host institutions that the prestige and the benefits that membership in the TSC network would produce important opportunities for training that would extend well beyond the preparation of an initial course. If the low capacity to meet such expectations had been recognized at the start of the implementation process it would have suggested the need to simplify the Train-X methods and invest in marketing and organization strengthening of the CDUs from the outset. We are impressed that the project and design did not provide the necessary incentives to build and sustain such centers and indeed the result has been that none of them have survived.

As suggested in interviews with the first TSC coordinator, in retrospect, each CDU should have received individual coaching and mentoring to focus their investments in the TSC project towards an individual business plan designed to market a program of international training within their region.. The design and implementation of an overarching Marketing Strategy for the TSC project would have supported the development of a stronger CDU network with the capacity to reach out to clients. Such an approach could have significantly increased the number of deliveries and adaptations of the TSC courses that were developed and could have prompted the design of additional courses as anticipated by the Project Document.

Our own experience in working with universities and other institutions dedicated to capacity building for ecosystem management in developing countries has demonstrated repeatedly that both technical and financial support are essential where the goal is to build up the capacity of an institution to a level where it can sustain itself over the long term. All of those who we contacted in preparing this terminal evaluation remain highly positive about the concept of a network of training centers in developing countries. Indeed the need for such centers is greater today than it was a decade ago. The first and second generation of the TSC project demonstrated that in some instances such centers can produce high-quality courses that meet local national and regional training needs. A highly attractive feature of the project design, as set forth in the Project Document, is that these centers would have the responsibility to identify and prioritize training needs together with institutions operating in their country and region. Such decision making responsibility rarely occurs when training programs are designed with international funding and this makes the CDU concept highly attractive to institutions in these countries.

5.6 Were There Factors, Beyond the Control of the Project, that Influenced the Outcomes?

The Terms of Reference for this evaluation asks that we consider if there were issues beyond the control of the project that influenced its success and the outcomes it generated. Our conclusion is that the most important issues, as identified above, were internal to the project. They may be attributed in part to an overly ambitious project design that failed to recognize the challenges of establishing a global network of self sustaining training centers. If the challenges of achieving this vision had been recognized in the design and addressed from the beginning of the project it is indeed plausible that such a network could have been constructed and would today be generating very major benefits in meeting urgent capacity building needs.

Appendix A: Ratings of Major Project Attributes

The Terms of Reference for this terminal evaluation call for rating the implementation of the TSC project as Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory, Highly Unsatisfactory or Not Applicable (N/A). Five project attributes are to be rated as follows:

1. Sustainability

The potentially most significant and appealing feature of the project was the expectation that it would establish a self-sustaining global network of training centers based in developed and developing nations. This has not occurred. By the end of the project in 2010 only two country-based training centers remain active (the Philippines and South Pacific) but neither consider themselves members of an active global TSC network. Of the 19 courses developed by the project, the majority were offered on one to three occasions and they have not become a feature of the training options available to those seeking training on issues related to ocean and coastal management. In contrast, two courses developed by TSC international organization partners (the IMO and UNEP/GPA) have attracted the majority of the TSC trainees and are considered highly satisfactory. It may be anticipated that these two courses, and perhaps a few others, may be offered after the project ends in early 2011. In light of these findings we consider the project to have been marginally satisfactory in terms of sustainability.

2. Outcome and Achievement of Objectives

This requires assessing the extent to which the program's immediate and development objectives were achieved. The principal outcomes and outputs of the second generation TSC project were, in three years, to feature the following:

- Establish a self-sustaining global network of training centers (CDUs);
- Twelve training courses would be produced by the CDU network and validated as meeting Train-X standards;
- The twelve courses produced by the country-based CDUs would respond to the training needs of regional GEF International Waters projects;
- The courses developed by the global network of country-based training centers would be adapted to conditions in other regions and that sharing and collaborative learning would be a major feature of the network;
- Capacity building among the members of the CDU network would be strengthened by annual course development workshops and seminars that would bring together the course developers to discuss problems and successes and Coordination Conferences that would also feature representatives of the GEF IW projects;
- A proposal would be formulated for a second phase of the TSC project;
- One course would be produced designed for application globally that would train participants in GEF projects in the TDA/SAP analytical process that all GEF projects must complete; and,
- Half the participants in the TSC courses would be women.

By the time that the project had completed its three-year anticipated lifespan plus an additional six-month extension, none of these anticipated outcomes had been achieved. By January 2004, only five GEF courses had been validated. By that date the country-based CDU's were in such a fragile condition that a number of recommendations were made at the TSC Coordination Conference to strengthen them through a second three-year phase of the project requiring an additional \$2 million. A proposal for a second phase was not prepared and the other recommendations made at the only Coordinating Conference in 2004 were not acted upon. The annual events designed to strengthen the capacity of the members of the country-based CDU network occurred sporadically between 2000 and 2004 and were suspended for the remaining six years of the project. Records were not maintained on the gender of course participants. Without the benefit of additional funding and through a sequence of year-to-year extensions, the project continued through 2010. By 2011, 19 courses had been validated but few appear to have been

designed to meet the specific needs of individual GEF IW projects. In light of these realities we judge the achievements of the project as of 2010 to be unsatisfactory.

3. The Implementation Approach

The implementation of the project was characterized by a sequence of difficulties - many of which may be attributed to an overly ambitious project design. The decision by DOALOS to replace the first project coordinator with a half-time position and other expressions of a lack of commitment by the lead organization had a devastating impact. However, the experience of this project and of other international initiatives that have attempted to create new institutions dedicated to capacity building in ocean and coastal management in developing countries suggests that the expectation that a self-sustaining global network of training centers could be achieved within three years with dollars \$2 million in funding was highly unrealistic. The case can therefore be made that it was sensible to redesign the project so that the design, delivery and marketing of the TSC training courses would be undertaken by international organizations with demonstrated capabilities in the subject matter and the institutional strength to sustain the delivery of high quality training courses. This change in strategy, however, refocused the program on training needs at the global scale rather than the needs of individual GEF International Waters projects. In light of these findings we rate the implementation approach as marginally satisfactory.

4. Stakeholder Participation in Course Design and During Implementation

The principal stakeholders in the project may be defined as UNDP, regional GEF International Waters projects, the host institutions of the country-based CDU's and the staffs of the members of the CDU's. The reports of the tripartite meeting in 2002 and the Coordination Conference in 2004 make it clear that communications between DOALOS and these stakeholders was poor. Both meetings produced detailed recommendations for significant adjustments to how the project was being implemented. These recommendations were not acted upon and these expressions of stakeholder participation and input were ignored.

The project design makes it clear that the primary beneficiary of the project was to be the regional GEF International Waters projects whose training needs were to be met by this TSC project. We have no evidence to judge the degree to which this primary stakeholder was involved in project design. There is, however, considerable evidence that the directors and staff of the GEF International Waters projects had minimal interactions with the TSC project throughout the 10 years of its implementation. This centrally important stakeholder was not present at the tripartite meeting in 2002 and was represented by only two GEF projects at the only Coordination Conference. The record also shows that the workshops for course developers and the annual seminars and coordinating conferences that would have brought course developers and GEF project coordinators together to identify training needs and strategize on how to meet them, as called for by the project design, did not occur. We therefore rate stakeholder participation as unsatisfactory.

5. Monitoring and Evaluation

The project design called for two site visits to each CDU during each of the three years of the anticipated implementation period. The overheads presented by the DOALOS project coordinator at the 2004 Coordination Conference notes that by that date only 10 monitoring missions had been carried out rather than the anticipated 36. By that date the CDU's had come to the conclusion that the CSU was no longer committed to the network and had little interest in monitoring the CDU's or providing them with the technical and financial support that they urgently required. The low quality of project monitoring is also reflected in the many inconsistencies in how the activities of the project are reported in the annual PIR's. The evaluation of the project in 2003 called for by the tripartite meeting in 2002 did not occur. This terminal evaluation is occurring in the 10th year of what was anticipated to be a three-year project. In light of these findings, we consider that the monitoring and evaluation of the project has been unsatisfactory.

Appendix B: Sources of Information for the Terminal Evaluation

The following is a list of people interviewed for the TrainSea Coast Terminal Evaluation.

Design: Subjects were selected based on their experience with the TSC program. Our preference was to interview enough people to gain a comprehensive set of perspectives from people who were involved in the multiple roles for each CDU and for the program in general. Some target interview subjects could not be located or did not respond despite multiple requests.

Interview Situation: Subjects were most frequently contacted by phone or Skype and were each given a brief (5-10 minute) explanation of the nature of the terminal evaluation and value of their perspective. Each interview was open-ended and lasted for approximately 50 minutes and followed a typical semi-structured interview that featured a series of planned questions and included probes for more information and clarity. The interviews lasted on average for approximately 50 minutes each and were carried out between October and December of 2010. The team prepared 3 models of questionnaires/guidelines for subjects; one for Course Developers; one for GEF IW project managers; and, one for CTAs, CDU Managers. A survey was prepared for participants but only 3 responses were received.

Transcription: Interviews were either recorded via digital recorder or recorded via notes with the subjects verbal permission and later edited into simple transcripts - these were not verbatim transcriptions.

Analysis: A simple coding process was applied to the edited data according to their role and the content. Coded material was later analyzed as personal intuitive interpretation and as group dialogue among evaluation team members.

Verification: A simple reliability check was instituted by having two staff review the others transcriptions and analysis. Controls for counter-acting bias and selective interpretations was not considered necessary in this terminal evaluation. Validity was compromised by the late nature of the terminal evaluation and could have been greatly increased if the terminal evaluation had been accomplished two top three years earlier when the program was still actively in place and more respondents would have been possible.

Organization Affiliation	Name	Role in TSC Project
UNDP	Andrew Hudson	Principal Technical Adviser International Waters, Global Environment Facility Unit, UNDP
UNDOALOS/Consultants	Alice Hicuburundi	Project Officer and Project Coordinator from 2002
UNDOALOS/Consultants	Stella Maris Vallejo (retired)	Project Coordinator from the 1st generation TSC, starting in 1995 until 2002. Consultant.
UNDOALOS/Consultants	Phil Reynolds (consultant)	Consultant
UNDOALOS/Consultants	John Chapman	Train X Pedagogic consultant
UNDOALOS/Consultants	Francois Bailet	Course Developer
UNDOALOS/Consultants	Michael Shuwchuk	Course Developer
UNDOALOS/Consultants	Charlotte Salpin	Course Developer
Gulf of Guinea CDU /GEF IW (Benin)	Jacques Abe	GEF IW CTA

Organization Affiliation	Name	Role in TSC Project
Benguela Current CDU (South Africa)	Adnan Awad	CDU Manager
Benguela Current CDU (South Africa)	Jocelyn Collins	Course Developer
Red Sea CDU/ GEF IW (Sudan and Jordan)	Friedhelm Krupp	GEF IW CTA/ Instructor
Red Sea CDU/ GEF IW (Sudan and Jordan)	Khulood Tubaishat	GEF IW (Responsible of Public Awareness-Education and ICM for the Strategic Action Plan)
Rio de la Plata CDU (Uruguay)	Alicia Torres	CDU Manager
Rio de la Plata CDU (Uruguay)	Daniel Collazo	Course Developer
Black Sea CDU (Turkey)	Ulku Yetis	Course Developer
Brazil CDU	Enir Girondi	CDU Manager/ Course Developer
Brazil CDU	Jose Carlos Soares	Instructor
Philippines CDU	Cesario Pagdilao	CDU Manager
Philippines CDU	Adel Corpuz	Course Developer
Philippines CDU	Ester Zaragosa	Instructor
South Pacific CDU (Fiji)	Joeli Veitayaki	CDU Manager
UNEP/GPA – UNESCO-IHE CDU (Netherlands)	Erik de Ruyter	Course Developer / Instructor
IMO/ GLOBALLAST CDU (UK)	Dandu Pughliuc	Course Developer/ Instructor
IW LEARN (US and Bratislava)	Dann Sklarew	Project Coordinator
IW LEARN (US and Bratislava)	Mish Hamid	Project Officer

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