



Terminal Evaluation of the UNEP Project

**Regional Support for the Caribbean
Challenge Initiative: Networking,
Consolidation and Regional Coordination of
MPA Management**

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LIST OF ACRONYMS

BPAF	Bahamas Protected Areas Fund
CaMPAM	Caribbean Marine Protected Areas Managers Network
CC	Caribbean Challenge
CBD	Convention on Biological Diversity
CBF	Caribbean Biodiversity Fund
CBO	Community Based Organisations
CEP	Caribbean Environment Programme
CERMES	Center for Resource Management and Environmental Studies
ECMMAN	Eastern Caribbean Marine Managed Areas Network
GCFI	Gulf and Caribbean Fisheries Institute
GEF	Global Environment Facility
GLISPA	Global Islands Partnership
IUCN	International Union for the Conservation of Nature
MPA	Marine Protected Area
NPATF	National Protected Area Trust Fund
NFWF	National Fish and Wildlife Foundation
NGO	Non-Governmental Organisation
OPAAL	OECS Protected Areas and Associated Livelihoods
PC	Project Coordinator
PD	Project Document
PO	Programme Officer
RAC	Regional Activity Centre
RAC-SPAW	Regional Activity Centre – Specially Protected Areas and Wildlife
ROI	Review of Outcomes to Impacts
SocMon	Socio-economic Monitoring Indicators
SPAW	Specially Protected Areas and Wildlife
TM	Task Manager
TNC	The Nature Conservancy
ToC	Theory of Change
ToR	Terms of Reference
ToT	Training of Trainers
UNEP	United Nations Environment Programme
UNEP-CAR/RCU	United Nations Environment Programme – Caribbean Regional Coordinating Unit
UNEP/CEP	United Nations Environment Programme/Caribbean Environmental Programme
UNEP-DEPI	United Nations Environment Programme – Division of Environmental Policy Implementation
UNEP/GEF	United Nations Environment Programme/Global Environmental Facility
UNEP/DGEF	United Nations Environment Programme
UWI-CERMES	University of the West Indies- Centre of Marine Environmental Sciences

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Executive Summary

ES1. Background

1. The Wider Caribbean with its large grouping of Small Island States (SIDS) harbours an array of marine ecosystems, which support vast fish species, migrating species of fish, including endangered turtle species, and other aquatic life, all of which combine to give the region its rich marine biodiversity and distinct characteristics. However, these relatively small islands are also noted for their special peculiarities, including heavily populated coastlines, intensive reliance on marine and coastal resources for their daily livelihoods and development patterns and activities which contribute to pollution of their marine environment.
2. Cognizant of the increasing threats to marine biodiversity from a range of sources, including the climate change phenomena, sea level rise and overexploitation of marine resources, there is growing recognition and acceptance of Marine Protected Areas (MPAs) as a viable form of conservation and support for sustainable livelihoods. In that regard, the leadership in a number of Caribbean countries expressed their commitment to the Caribbean Challenge (CC) initiative committed to preserving and protecting vast areas of their marine space.
3. In support of the CC, and with funding provided by the Directorate General for Development Cooperation of the Italian Ministry of Foreign Affairs, the United Nation Environment Programme (UNEP) Caribbean Environment Programme (UNEP/CEP) and UNEP Division for Global Environment Facility Coordination (UNEP/DGEF) initiated the project entitled: ***"Regional support for the Caribbean Challenge initiative: Networking, consolidation and regional coordination of MPA management"***. This 2-yr project, which was targeted primarily at countries associated with the Caribbean Challenge (CC) initiative, had as its overall goal ***"to advance the establishment of a fully biologically representative, climate change resilient, and functional MPA Network – based on the Global Island Partnership (GLISPA) commitments and initially focused on projects in the Caribbean supported by the Global Environment Facility (GEF)."***
4. The project, which commenced in March 2010, was budgeted at US \$1,557,660.00 and was executed by the Caribbean Marine Protected Area Management Network and Forum (CaMPAM) in collaboration with the Gulf and Caribbean Fisheries Institute (GCFI), The Nature Conservancy (TNC) and a number of other organizations.
5. The project received three extensions which resulted in the completion of the project moving from March 2012 to June 2013. Following completion, an independent Terminal Evaluation was commissioned by UNEP to assess the project performance (in terms of relevance, effectiveness and efficiency), and to determine outcomes and impacts (actual and potential) stemming from the project, and their sustainability.

ES2. Objectives, Outputs and Outcomes

6. The evaluation has two primary foci: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and its partners. Therefore, it will identify lessons of operational relevance for future project formulation and implementation.

7. The project activities were focused on three main objectives which have been captured in the three components as follows:

Component 1:

- Enhanced coherence and financial sustainability of a large-scale trans-boundary (national and eco-regional) Caribbean MPA Network;

Component 2:

- Improved and mutually compatible approaches and frameworks for management and monitoring of MPAs, both individually and in national systems;

Component 3:

- Improved capacity of MPA practitioners for more effective MPA management.

8. The evaluation focused on a number of fundamental questions which were based on the project's intended outcome. These questions are as follows:

- To what extent did the project contribute to the establishment of a fully biologically representative, climate change resilient, and functional MPA Network?
- To what extent has the project enhanced coordination and financial sustainability of a large-scale trans-boundary (national and eco-regional) Caribbean MPA Network?
- Is there evidence of improved collaboration among participating countries for planning, managing and monitoring of MPAs
- Is there evidence of improved capacity for management of MPAs?
- To what extent did the project succeed in providing technical support to member States on strengthening the science-policy interface on biodiversity and ecosystem services?
- To what extent has the project contributed to the achievement of the goals of the Caribbean Challenge initiative?
- To what extent can behavioural and systematic change in the management of Caribbean MPAs be attributed to project activities, and which, if any, have been most effective in bringing about change?

- To what extent is there evidence of policy makers increased awareness of the threats to coastal and marine resources and the role of MPAs in resource conservation and sustainability?

ES3. Changes in design during implementation

9. The project, as originally designed, was clearly intended to provide support for the CC initiative and as such centered on a set outputs which would have made the outcomes more likely to be achieved. However, at the first Regional Coordinating Meeting convened in San Juan, Puerto Rico November 2-5, 2010, when the work plan was presented and discussed, it was agreed that because of varying levels of capacity and capabilities among different national systems the original intention of Component 2, was not feasible and instead of a harmonized monitoring approach settled for a mutually compatible approach and framework which could measure management progress both nationally and across the region.

ES3.1 Achievements of Project Outcomes

10. In respect of Component 1, collaboration was facilitated and sustained through the use of the CaMPAM Network and Forum (including creation of a dedicated website for the project), a reliable MPA management platform that includes an electronic communication mechanism. In addition, three Regional Coordination Meetings of the Caribbean Challenge MPA Network were held in 2010, 2011, 2012, thereby providing opportunities for MPA personnel to interact with each other and share experiences. In this regard, all the elements of a coherent MPA Network were established, given the role played by CaMPAM in developing the platform for coordinating and sharing of information. There is little doubt that this outcome of enhanced coherence was achieved.
11. The only major concern expressed about the CaMPAM Network is the lack of a more interactive platform which would permit a greater exchange of views. What seems to be missing is a more interactive medium, like a chat room or linkages via the different social media (e.g. Facebook or LinkedIn).
12. In respect of Component 2, the revision to the initial objective ensured that participating countries were better able to identify and adopt methodologies, models, indicators and tools for management and monitoring to measure effectiveness, and enforcement. Several of the countries, because of their participation in the GEF funded projects were using the Management Effectiveness Tracking Tool (METT) at various sites. In addition, others went on to adopt Reef Check for M&E while all have indicated an interest and have been participating in exercises being conducted by the Center for Resource Management (CERMES) of the University of the West Indies on the application of the Ecological and socio-economic (SocMon) monitoring indicators to monitor user patterns and other socio-economic aspects of MPA management.
13. Component 3 was primarily concerned with capacity building as it sought to address one of the major shortcomings of the MPA management. The training workshops, learning exchange visits, and infrastructure support, made possible through small and mid-size grants provided by the project, were therefore

designed to address the immediate needs of MPA practitioners including enhancement of their knowledge base and capacity improvement. These initiatives, not just in the training provided, but also improvements to infrastructure including the installment of marine buoys, demarcation of boundaries and equipment for patrolling and monitoring the areas under their jurisdiction, resulted in a significant improvement in the capacities of what was previously, in several cases, paper parks.

14. Sustainable financing, an output of Component 1, was facilitated in Component 3, as it sought to address one aspect of capacity building. Workshops on financial sustainability were convened in seven out of the eight participating countries which served to enhance their appreciation and understanding of various cost recovery mechanism which could be utilized in order to place their MPAs on a better financial footing. One of the more practical aspects of these workshops was the effort made to inform participants (from both the public and private sector) on the procedures for the creation and management of their national conservation trust fund, which all of them will have to establish as a precondition for the drawing down of funds from the Caribbean Biodiversity Fund (CBF). The result was an enhancement of the knowledge and management capacity of personnel in all of the participating countries.
15. While it cannot be stated that financial sustainability was achieved over the life of the project, it must be noted that the establishment and operation of a Trust Fund is not an initiative which can be easily achieved. It represents a significant departure from current revenue raising measures and requires changes to legislation which is beyond the life of this project. At best, what has been achieved is a greater appreciation for the financial sustainability of the marine resource sector and the need for greater involvement of institutions and persons in both the public and private sector, particularly persons directly involved in the use and management of the resources.
16. On the basis of the analysis of the achievements of outputs, outcomes and the intermediate states, the conclusion is that the basic objectives of enhanced cooperation and coordination, harmonization of M&E Frameworks, and improved capacity of MPA practitioners have been satisfied, and will continue to be enhanced if the additional resources and funding mechanisms being pursued can materialise.

ES4. Fundamental Questions Addressed by the Evaluation

17. In respect of the fundamental questions which formed the basis of this evaluation there was a need to revisit some of the questions, to determine, based on the objectives, how relevant they were to this project as opposed to the larger CC initiative. Taking into consideration the overall goal of this project, it was clear that it was intended to provide support for the CC initiative and as such, the outcomes of the Regional Support project could not have necessarily, or should have been expected, to be accomplished within its lifetime.

18. In that regard, the following set of questions, though some attempts were made to address the issues inherent, should not really be used as a fundamental indication of achievements of the Regional Support project. These questions are as follows:
- To what extent did the project contribute to the establishment of a fully biologically representative, climate change resilient, and functional MPA Network?
 - To what extent did the project succeed in providing technical support to member States on strengthening the science-policy interface on biodiversity and ecosystem services?
 - To what extent has the project contributed to the achievement of the goals of the Caribbean Challenge initiative?
 - To what extent can behavioural and systematic change in the management of Caribbean MPAs be attributed to project activities, and which, if any, have been most effective in bringing about change?
 - To what extent is there evidence of policy makers increased awareness of the threats to coastal and marine resources and the role of MPAs in resource conservation and sustainability?
19. A fairer set of questions were those which had their origin in the objectives specific to the Regional Support project. These questions are as follows:
- To what extent has the project enhanced coordination and financial sustainability of a large-scale trans-boundary (national and eco-regional) Caribbean MPA Network?
 - Is there evidence of improved collaboration among participating countries for planning, managing and monitoring of MPAs?
 - Is there evidence of improved capacity for management of MPAs?
20. For all of the above, the answer is yes. In that regard, there is little doubt that the Regional Support to the Caribbean Challenge was a success, giving hope to the possibility that the overall goal and indirectly, support for the CC, will also be successful.

ES5. Recommendation(s)

21. Though the project has ended, the following recommendation is being made primarily to ensure that the achievements of the project are sustained, but more importantly, that the sustainable goals are achieved and that other UNEP/GEF projects recognize the importance of a communication initiatives as they seek to generate greater publicity and heighten awareness of the social, economic and environmental benefits of projects being implemented in the respective countries. The recommendation is directed to UNEP/GEF, TNC, GLISPA and the

authorities in the participating countries who are responsible for the implementation of Marine Protected Areas.

22. A considerable amount of awareness was generated about the project, but much of that was among persons who participated in the project or benefited from the training provided. Participants in the respective countries express considerable satisfaction with the enhancement of their knowledge of MPA management, much of that due to the training provided, particularly the exchange programmes which allowed them to interact directly with practitioners in countries which had considerable experience in the particular area. Several of these countries held training initiatives to provide further skill enhancement to various persons employed with their national MPAs. However, one of the greater goals of the project, ensuring sustainable financing of the national system of protected areas through the creation of national level protected area trust funds and relevant policy is yet to be fulfilled. Part of the reason for this limited success is due to the fact that the establishment of these national trust funds is the responsibility of the governments and though workshops were held in the respective countries and draft model legislation for the establishment of those funds were given to the countries, none of the countries had adopted new policies or introduced legislations giving effect to the establishments of these funds.
23. The establishment of policy and adoption of legislation will require much more effort and time than was permitted under the project and will in fact require the raising of awareness of the importance of MPAs as a form of marine biodiversity conservation, socio-economic value to sustain economic activities such as tourism and fisheries, and the extent to which the financing mechanisms can ensure their sustainability. In that regard, it is proposed that additional resources should be provided to participating countries to raise the awareness of the project through an enhanced national communications programme targeting not just direct uses and beneficiaries in the local communities, but the wider public and ultimately, decision makers.
24. Additional funding should be provided to CaMPAM to enable them to prepare generic public education awareness materials on MPA management and value of MPAs aimed at local communities and decision makers respectively. Such material could speak to other pressures on MPAs in a holistic manner such as impacts of climate change, sea level rise, and MPA as a form of biodiversity conservation, which also promotes sustainable livelihoods. This will assist in progress towards achievement of the global environmental benefits.
25. Five of the eight countries who participated in the Regional Support for the CCI are currently participating in the Eastern Caribbean Marine Managed Areas Network (ECMMAN), which is intended to further enhance the development of management plans for marine protected areas. The recommendation, therefore, is for funding to be channeled through the CaMPAM-ECMMAN initiative, specifically aimed at creating sufficient capacity to raise the level of awareness of the benefits of the establishment of MPAs and obtaining greater national support for the establishment of sustainable financing mechanisms, including the establishment of national trust funds as part of the development of management plans and the creation of institutional support for the management of MPAs.

Table 1: Evaluation Rating table

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
A. Strategic relevance	The project was highly satisfactory in terms of its consistency with sub-regional environmental issues given the growing threats to their economies as a result of overfishing, destruction of coral reefs, pollution and the overall loss of marine biodiversity and destruction of marine ecosystems. It was also consistent with UNEP's mandate and policies which included catalysing environmental awareness and action to address environmental threats.	HS
B. Achievement of outputs	All outputs were completed, though some delays were experienced. Those delays were due primarily to the slow response from countries to initial approaches by the project coordinating team, and a perceived difficulty on the part of many persons in the participating countries in distinguishing the Regional Support project from the larger Caribbean Challenge initiative being promoted by GLISPA.	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	The outcomes were achieved. Notable among those achievements were strengthened communications and increased capacity, given the training workshops and exchange visits facilitated	HS
2. Likelihood of impact	Notwithstanding the success of the outcomes, the likelihood of overall impact is rendered less likely, given the fact that so much of the anticipated impacts are dependent on sustainable financial support. Several countries prepared management plans, but in the absence of legislative or regulatory provisions mandating the implementation of those plans, their effectiveness and sustainability is not guaranteed.	ML
3. Achievement of project goal and planned objectives	On the basis of the analysis of the achievement of outputs, outcomes and the three intermediate results, there is little doubt that the project goals and planned objectives have been met. Admittedly it started off slower than expected, and some changes were made to the original objectives, however, the project coordinating team, responding to the expressed concerns of country Focal Points, was able to present cogent reasons for the proposed revision.	HS
D. Sustainability and replication		L
1. Financial	The continuation of project results is dependent on continued financial support. A few MPAs in some of the participating countries (The Bahamas, Dominican Republic, St. Vincent and the Grenadines and Saint Lucia) already had in place various user fees and cost recovery mechanisms. However, the majority of MPAs are incapable of attracting a sufficient level of interest and resources. The introduction of the CBF presents a very viable means of obtaining sustainable financing. However, until those countries have established their NPATF and the supporting management and regulatory mechanisms, they will be unable to drawdown on these pledged funds.	L
2. Socio-political	Socio-political factors are of some concern given the fact that the lack of political will to make hard policy changes or implement new legislation delay the introduction of necessary measures to satisfy the CCI as agreed upon. Also, with economic conditions worsening in some of the countries there could be an increase in the dependence on marine resources as an alternative livelihood source. This could present challenges for persons in neighbouring communities who may be reluctant to limit their traditional access to these resources.	L
3. Institutional framework	The project provided little direct support for the development of institutional framework. However, implicit in the preparation of Management Plans is the need to ensure that the institutional framework for management of these protected areas is adequately addressed. Some of the countries recognized	ML

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
	the need to address that component and used some of their mid-size grants to help with the enhancement of their management capacities (e.g. Co-Management Mechanism for the Grenadines MPA). However, the small amount of those resources was insufficient to provide long-term institutional support. Some governments pledged additional support, but it is strongly believed that such support would only be forthcoming following the drawing down of funds from the CBF.	
4. Environmental	Global warming and sea level rise are of real concern for small island states. Any rise in sea temperature could have devastating impacts on coral reefs and other marine ecosystems which inhabit those coastal areas. Likewise, any rise in sea levels could negatively impact on communities and their economic dependence on coastal and fishery resources. Apart from these concerns and with the introduction of adaptation measures there is great likelihood that the project will be sustainable.	L
5. Catalytic role and replication	Very little evidence that some of the initiatives which will spark a behavioural change (establishment of NPATF, MPA Management Plans, legislation and regulations establishing MPS) are close to being implemented. Only one country has drafted new legislation for the establishment of a NPATF while several others have promised to follow along that path. The enactment of new legislation or regulations is a slow and long process but it is hoped that the promise of funds under the SBF and the presence of a Fund Manager will serve to move the process along at a quicker pace.	ML
E. Efficiency	Cost and time saving measures were frequently implemented and efforts were made to build on other relevant initiatives.	S
F. Factors affecting project performance		S
1. Preparation and readiness	The project objectives were clear and relatively realistic. Partnership arrangements were properly identified, counterpart resources and good project management arrangements were in place. However, the non-involvement of the countries in the design of the project meant that they were not quite ready to proceed when the project coordinating team commenced the rolling out of the project. This was further delayed as changes had to be made to one of the objectives.	MS
3. Stakeholders participation and public awareness	The primary stakeholders were initially not directly involved in the planning and design of the project. However, once they became involved there was buy-in, as reflected in the changes to one of the outputs which was initiated by participants during discussions at the first Regional Coordinators meeting. Whilst adequate consultations were facilitated with and between stakeholders, the inadequacy of resources allocated to this component limited the extent of its effectiveness. Countries were encouraged, by the project coordination team, to issue regular press releases which highlighted milestones and achievements of the project. Several countries also kept open communications channels with communities in the vicinity of the MPAs thereby ensuring all who might be impacted were aware of and got opportunities to participate in the activities being undertaken.	S
4. Country ownership and driven-ness	By signing on to the CCI the countries had given explicit support to the overall goals of the project. That support continued to manifest itself in various forms such as support for the establishment of the Trust Fund and the willingness to support the preparation of MPA management plans. Unfortunately, that has not catalyzed the desired legislative and regulatory support that would indicate a strong country ownership.	MS
5. Financial planning and management	The financial reports (of the co-financing from the Italian Fund) submitted by the Executing Agency were generally in line with the approved budget items. There was in-kind support provided by UNEP-CEP and several other partners provided various in-kind support, including assisting with workshop expenses. One notable indication of resources leveraged by the project was the funding received by CERMES from NFWF to develop the	S

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
	SocMoninitiative.	
6. UNEP supervision and backstopping	Supervision and backstopping were generally in line with UNEP requirements. Half-yearly progress and financial reports were prepared, reviewed and received the necessary approvals by the UNEP/GEF TM and the UNEP/CEP Office PO	S
7. Monitoring and evaluation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees.	S
a. M&E Design	The M&E requirements were clearly spelt out in the PD and the half yearly reports submitted by the Regional PC and approved by the UNEP/CEP SPAW Program were satisfactory. Countries were also required to report on progress being made at the national level.	S
b. Budgeting and funding for M&E activities	Adequate provisions were made for M&E which consisted of review meetings scheduled to coincide with the annual GCFI meetings, the preparation of half yearly progress and financial reports and mid-term and terminal review. No provision, however, was made in the budget for a mid-term evaluation. The evaluator was informed that projects which are of less than two years duration do not meet the criteria for a mid-term evaluation.	S
c. M&E Plan Implementation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees.	S
Overall Project Rating		S

Terminal Evaluation: Regional Support for Caribbean Challenge

Table 2: Project Summary

UNEP PIMS ID:	Not available	IMIS number:	2014-QGL-2328-2712-4B16-5582 (BAC line)
Sub-programme	Ecosystem Management	Expected Accomplishment/	Integrated marine management mechanisms are developed and networks of Marine Protected Areas are promoted to increase the sustainability of fishing and the stability of coastal and marine habitats (four ecosystems covered by the regional sea conventions and programmes)
		PoW Outputs	Technical support is provided to member States on strengthening the science-policy interface on biodiversity and ecosystem services
Expected Start Date:	March 2010	UNEP approval date:	25 March 2010
Actual start date:	10 March 2010	Planned duration:	40 months
Intended completion date:	January 2012	Actual completion date:	June 2013
Planned project budget at approval	US\$ 1,257,660	Secured budget*:	US\$ 1,257,660
UNEP contribution*	US\$ 300,000 (UNEP – CEP)	Co-financing*:	US\$ 1,257,660
Mid-term review/eval. (planned date):	Not conducted	Terminal Evaluation (actual date):	March 2014 – September 2014
Mid-term review/eval. (actual date):	Not conducted	No. of revisions:	
Date of last Steering Committee meeting:	November 2012	Date of last Revision:	31 October 2012

I. Introduction

26. In March 2010, the United Nations Environment Programme (UNEP) Caribbean Environment Programme (UNEP-CEP) and UNEP Division for Global Environment Facility Coordination (UNEP/DGEF) obtained funding from the Italian Government, Ministry of Foreign Affairs to implement the project on “Regional Support for the Caribbean Challenge Initiative: Networking, consolidation and regional coordination of Marine Protected Area (MPA) management.” The overall objective of the project was to advance the

establishment of a fully biologically representative, climate change resilient, and functional MPA Network – based on the Global Island Partnership (GLISPA) commitments and initially focused on projects in the Caribbean supported by the Global Environment Facility (GEF).

27. Specific objectives included: 1. Enhancing the coherence and financial sustainability of the Caribbean MPA Network; 2. Establishing and supporting regional harmonization of monitoring and evaluation frameworks and tracking of progress with GLISPA commitments; and 3. Improving capacity of the Caribbean Challenge regional MPA practitioners as part of GLISPA.
28. The project which was budgeted at US \$1,557,660.00 was executed by the UNEP-CEP's Caribbean Marine Protected Area Management Network and Forum (CaMPAM) in collaboration with the Gulf and Caribbean Fisheries Institute (GCFI), The Nature Conservancy (TNC) and other organizations and was intended to strengthen the capacity of MPAs in eight (8) Caribbean countries¹. CaMPAM (created in 1997 under UNEP-CEP's framework), was considered to be the ideal entity for the management of this project given its experience in capacity building and facilitating communications among the eight participating countries as well as other islands of the region, providing technical assistance and training to advance some of the existing initiatives aimed at the development of national MPA systems.
29. Following the completion of the project in December 2013, a Terminal Evaluation was commissioned by UNEP to assess the project performance (in terms of relevance, effectiveness and efficiency), and to determine outcomes and impacts (actual and potential) stemming from the project, and their sustainability. This evaluation is therefore being conducted by an independent consultant in accordance with UNEP's Evaluation Policy², UNEP's Evaluation Manual³ and the Guidelines for Global Environment Facility (GEF) Agencies in Conducting Terminal Evaluations⁴.

II. The Evaluation Objective, Approach and Limitation

2.1 Objectives

30. The evaluation has two primary foci: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and

¹Antigua and Barbuda, The Bahamas, Dominican Republic, Grenada, Jamaica, St. Kitts and Nevis, Saint Lucia, and, St. Vincent and the Grenadines.

²<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

³<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

⁴ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

knowledge sharing through results and lessons learned among UNEP and its partners. Therefore, it will identify lessons of operational relevance for future project formulation and implementation.

2.2 Approach

31. In view of the above, the evaluation focused on a set of fundamental questions which are based on the project's intended objectives and outcomes:
- To what extent did the project contribute to the establishment of a fully biologically representative, climate change resilient, and functional MPA Network?
 - To what extent has the project enhanced coordination and financial sustainability of a large-scale trans-boundary (national and eco-regional) Caribbean MPA Network?
 - Is there evidence of improved collaboration among participating countries for planning, managing and monitoring of MPAs?
 - Is there evidence of improved capacity for management of MPAs?
 - To what extent did the project succeed in providing technical support to member States on strengthening the science-policy interface on biodiversity and ecosystem services?
 - To what extent has the project contributed to the achievement of the goals of the Caribbean Challenge initiative?
 - To what extent can behavioural and systematic change in the management of Caribbean MPAs be attributed to project activities, and which, if any, have been most effective in bringing about change?
 - To what extent is there evidence of policy makers increased awareness of the threats to coastal and marine resources and the role of MPAs in resource conservation and sustainability?
32. The evaluation utilized a participatory approach whereby key stakeholders were consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods were used to determine project achievements against the expected outputs, outcomes and impacts.
33. The findings of the evaluation were based on/obtained through a combination of desk research and interviews with key stakeholders including: UNEP/GEF and UNEP/CEP project management; representatives of other partners (TNC) country representatives, participants from some of the training workshops and exchange visits, and NGOs.⁵The desk review of project documents included the following:

⁵ Funding and time constraint permitted visits to Miami, United States (to meet with the Project Coordinator), and four (Antigua and Barbuda, Grenada, Jamaica, and St. Vincent and the Grenadines) of the eight CC participating countries. The author also conducted a telephone interview with a

- Relevant background documentation, inter alia, UNEP's and other partners' policies, strategies and programmes pertaining to the establishment and management of marine protected areas; and the science-policy interface for biodiversity and ecosystem management;
 - Project design documents;
 - Annual work plans and budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports such as progress and financial reports from participating countries,
 - Steering Committee meeting minutes;
 - Annual reviews and relevant correspondence;
 - Documentation related to project outputs and relevant materials published on the project web-site;
 - Project publications.
34. This First Draft is being submitted following the preparation and submission of the Zero Draft. Comments received from the Zero Draft were address accordingly and incorporated. Before that, an Inception Report was also prepared and was based on a review of literature prior prior to the commencement of the field activities. The Inception Report consisted of three main sections:
- Initial review of project design
 - Reconstructed theory of change, and
 - Initial evaluation framework

2.3 Limitations

35. The number of countries involved, combined with the various partner organisations made the scheduling of visits and interviews with all those who were involved in the project extremely challenging. Further to that, difficulties were experienced in identifying or being able to obtain interviews with persons who were originally associated with the project, particularly those who attended the first Regional Coordination Meeting in Colombia and this limited the ability to assess the extent of country preparedness at the launch of the project.
36. Several of those persons were either no longer associated with the project or their attendance at that meeting was not a reflection of their direct involvement with the project. As such, their contribution to this evaluation was not deemed essential.

representative of Reef Check, Dominican Republic, and extensive review of documents from the other countries.

III. The Project

3.1 Context

37. Terrestrial, marine and coastal resources across the Caribbean are being overexploited and are under-protected. Despite seeing important progress made over recent years to establish protected areas that conserve terrestrial biological diversity and improve management and sustainable use of land-based resources, similar efforts for oceans and coasts have been lagging behind considerably.
38. Cognizant of the overexploitation of marine resources and the threats to marine biodiversity and a growing recognition and acceptance of MPAs as a viable form of conservation and support for sustainable livelihoods, a number of insular Caribbean countries (The Bahamas, Dominican Republic, Jamaica, and St. Vincent and the Grenadines) in 2008, expressed their countries commitment to the Challenge and called for other countries in the region to join them in preserving and protecting vast areas of their marine space.
39. Several years later, at the Convention on Biological Diversity (CBD) COP-8 in Germany, and inspired by the launch of the Micronesia Challenge, Grenada committed to protecting 25 percent of its marine and terrestrial resources by 2020. Grenada, together with The Bahamas, who had earlier pledged to place 20% of its marine resources under protection, spearheaded the efforts to create the Caribbean Challenge Marine Initiative. Since then eight (8) countries⁶ have officially joined the Caribbean Challenge (CC) Initiative.

3.2 Objectives and components

40. The overall project objective was to “advance the establishment of a fully biologically representative, climate change resilient, and functional Marine Protected Areas (MPA) Network – based on Global Island Partnership (GLISPA) commitments and initially focused on GEF supported MPA projects in the Caribbean”. The specific objectives, however, were:
 - a) Enhancing the coherence and financial sustainability of the Caribbean MPA Network;
 - b) Establishing and supporting regional harmonization of monitoring and evaluation frameworks and tracking of progress with GLISPA commitments; and
 - c) Improving capacity of the Caribbean Challenge regional MPA practitioners as part of GLISPA
41. Each objective is represented by the three project components respectively as follows:

Component 1:

⁶Antigua and Barbuda, The Bahamas, Dominican Republic, Grenada, Jamaica, St. Lucia, St. Kitts and Nevis, and St. Vincent and the Grenadines

- Enhanced coherence and financial sustainability of a large-scale trans-boundary (national and eco-regional) Caribbean MPA Network;

Component 2:

- Improved and mutually compatible approaches and frameworks for management and monitoring of MPAs, both individually and in national systems;

Component 3:

- Improved capacity of MPA practitioners for more effective MPA management.

42. Among the specific activities to be undertaken were the following:

- Integrated marine management mechanisms were to be developed and networks of Marine Protected Areas promoted to increase the sustainability of fishing and the stability of coastal and marine habitats (four ecosystems covered by the regional sea conventions and programmes).
- Technical support was to be provided to Member States on strengthening the science-policy interface on biodiversity and ecosystem services.
- Helping countries to develop their national MPA networks and supporting, when conditions allow, the creation of biologically-representative networks and/or sub-regional and cross-border corridors
- Improving capacities for a more efficient MPA management, notably through targeted training courses, guidance and onsite visits looking at the needs and problems common to all MPAs in the Caribbean (including, if need be, sites in other regions included in GLISPA objectives)
- Organising coordination meetings in order to agree on common approaches to adopt for MPA elaboration and management, including those concerning MPA networks
- Setting up a regular regional liaison system, including communication and publication tools
- Harmonising monitoring as well as ecological and socioeconomic MPA efficiency indicators (taking into account international initiatives such as GLISPA)

3.3 Target areas/groups

43. The targeted countries were those eight Caribbean countries - Antigua and Barbuda, The Bahamas, Dominican Republic, Grenada, Jamaica, Saint Kitts and Nevis Saint Lucia, and Saint Vincent and the Grenadines, who were participating in the Caribbean Challenge initiative. Five of those countries had made formal commitments to protect at least 20% of the near-shore marine and coastal habitats by 2020.

44. More importantly, it was aimed at personnel involved in MPA management in the respective countries as it sought to establish the platform for communication and sharing of information, enhancing the knowledge base of MPA managers, inclusive of training in enhancing financial capacity, and providing key personnel

with the essential tools and to increase their capacity to undertake the necessary day to day tasks such as enforcement, patrols, installation of buoys, fishing techniques and communications guidelines for the efficient undertaking of tasks associated with the day to day management of those parks.

3.4 Milestones/key dates in project design and implementation

45. The project, which became operational in March 2010, was initially scheduled to be executed over a two year period and involved a set of activities, developed in cooperation with CaMPAM, GLISPA, GCFI, and TNC. However, the slow start, changes to the programme, and other delays in execution resulted in two extensions and completion in June 2013.

Table 3: Milestones & Key Dates

Date	Event/Activity
March 2010	International Cooperation Agreement signed signalling the start of the project
March-September, 2010	Nine Small Grants awarded to support exchanges between countries of the CC. Two countries, Jamaica and The Bahamas, for various reasons did not submit a proposal.
June 2010	Regional ToTcourse in Dominican Republic (for Spanish Speakers)
November 1-5, 2010	First Annual Regional Coordination Meeting “Building MPA capacity of the Insular Caribbean countries associated with the Caribbean Challenge” San Juan, Puerto Rico
April-May 2011	Eight Mid-sizeGrants awarded.
April –May 2011:	Regional course for seven Eastern Caribbean countries
September-November, 2011	Second Regional ToT Workshop held in Hol Chan Marine Reserve, Belize.
October 31 - November 4, 2011	Second Annual Regional Coordination Meeting “MPA Strengthening in the Wider Caribbean and the Caribbean Challenge Countries”, Morelos, Mexico.
February-April 2012	Training of Trainers follow-up training activities
March – November 2012	Sustainable Financing Workshops in seven of the eight participating countries
November4-9, 2012	Third Annual Regional Coordinating Meeting “Regional Support for the Caribbean Challenge Initiative: Networking, Consolidation and Regional Coordination of MPA Management”, Santa Marta, Colombia.
April 2013	Regional Mentoring Training Workshop for Caribbean Marine Protected Area Management, Dominican Republic
June 2013	Project completion date

3.5 Implementation arrangements

46. The project was a joint undertaking of UNEP/GEF and the UNEP/CEP offices, with the UNEP GEF Task Manager, in consultation with the UNEP/CEP office (SPAW Programme Officer), being responsible for the project execution.

47. The **DGEF Task Manager** (in consultation with UNEP/CEP/SPAW Programme Officer and limited to the context of GEF supported Caribbean Challenge projects & GLISPA vetting) was charged with the responsibility to:
- review meeting & workshop agendas, proceedings/minutes;
 - review communications and training materials;
 - review best practices and guidelines in GEF portfolio context;
 - ensure fulfilment of any additional reporting to the Government of Italy (donor)
 - coordinate with UNDP and IBRD GEF Task Managers of GEF supported Caribbean Challenge projects
48. According to the project document, the **UNEP CEP SPAW Programme Officer** was charged with the responsibility of providing project oversight. However, the actual day to day management of the project was that of the **Regional Project Coordinator** with specific duties as follows:
- Coordinate the develop of workshop and meeting agendas and minutes
 - Develop a web site and monitor a list serve
 - Coordinate the preparation of materials consistent with UNEP's Publication Policy
 - Develop best practices and guidelines (with partners, eg. ICRAN)
 - Develop selection criteria for exchange visits
 - Commission the valuations of workshops/training events
 - Coordinate the review all project proposals for exchanges and mid-size projects (by herself and the management team)
 - Disseminate information via CaMPAM List and directly to focal points and local partners and promote network among local partners and with the rest of the Caribbean MPA community
 - Design, coordinate and supervise training courses
 - Write project quarterly and final reports
 - Build bridges with other relevant international and regional programs and institutions.
49. Based on the PD, a Coordination mechanism was to be established and was scheduled to meet at least once a year to oversee and coordinate regional activities and collaboration. Membership was supposed to have consisted of representation from each of the participating GEF Supported Caribbean Challenge Projects, UNEP-CEP, TNC, GLISPA and the principal donor, the Government of Italy.
50. That Committee, which was supposed to meet once a year would have had the responsibilities of:
- reviewing progress reports
 - providing guidance to the project's direction and
 - overall guidance for the project implementation.

3.6 Project financing

51. Funding for the project, Regional Support for the CC, came primarily from the Directorate General for Development Cooperation of the Italian Ministry of

Foreign Affairs, US\$1,257,660.00. There was also a UNEP-CEP in-kind contribution of US\$300,000 for a total of US \$1,557,660.00. The table below provides a summary of the project cost and financing.

Table 4:Project Cost

Activity	US\$
Cost to Environment Fund	0.00
Counterpart Contribution	1,257,660.00
UNEP CEP Co-financing	300,000.00
Total Cost of the Project	1,557,660.00

3.7 Project partners

52. The main project partners were GLISPA, Gulf and Caribbean Fisheries Institute (GCFI), and The Nature Conservancy (TNC). Several other organizations, including NOAA (the National Marine Sanctuary and the Coral Reef Conservation Programs), Seatone Consulting, and Reef Check-Dominican Republic provided various forms of in-kind support such as logistical support in the coordination of in-country meetings, the use of facilities, equipment and transportation and other materials and services including:

- a) technical assistance to partners via Internet or at meetings and exchanges,
- b) proposal review, project selection, and report review;
- c) workshops and meetings organizers
- d) provision of data for MPA database,
- e) lecturing in workshops and courses,
- f) guides and local coordinators of site visits,
- g) production of outreach materials,
- h) trainers for buoys installation, and several others.

49. Some were compensated for their work, but most volunteered their time or contributed with resources beyond their contractual obligations (Terminal Report, UNEP, 2013). However, these in-kind contributions were never clearly identified and ascribed financial values.

3.8 Changes in design during implementation

50. The project as originally designed was intended to provide support for the CC initiative and as such centered on a set outputs which would have made the outcomes more likely to be achieved. However, at the first Regional Coordinating Meeting convened in San Juan, Puerto Rico November 2-5, 2010, when the workplan was presented and discussed, participants expressed doubt about the original stated Component 2: “Regional Harmonization of M&E Frameworks and Tracking of Progress” and the usefulness of a harmonized approach for monitoring.

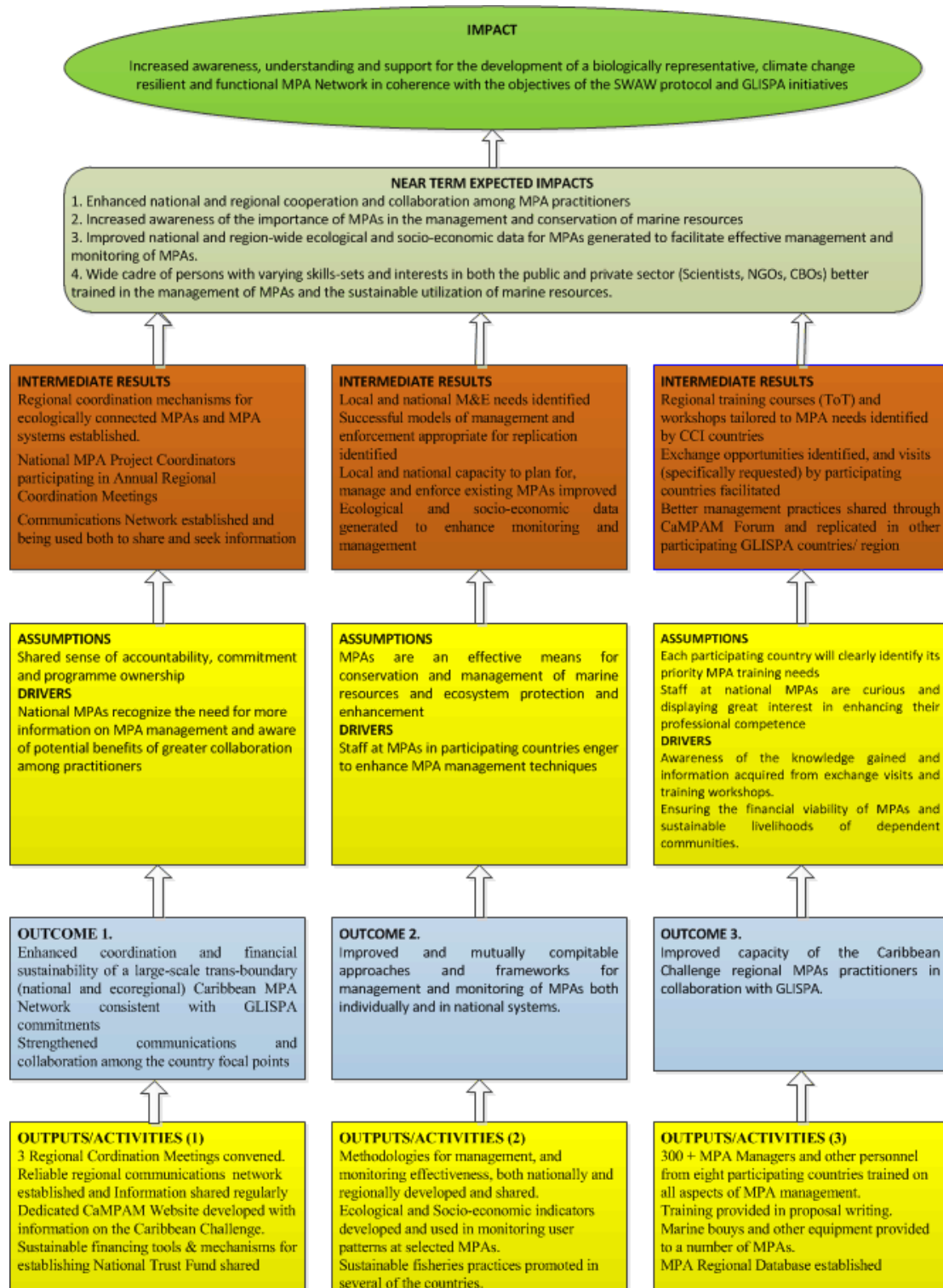
51. The concern expressed by participants was that different countries were at varying stages of management and as such, any monitoring initiatives should allow for more individual country application as opposed to a harmonization or standardization of monitoring. Their main concerns, they noted, was to address

immediate needs, such as securing technical support for training new managers and rangers, as well as obtaining basic equipment for monitoring (UNEP, Terminal Report: Regional Support for the Caribbean Challenge Initiative, 2013; and exchange of email correspondence between UNEP/GEF Liaison Officer and Task Manager and the Directorate General for Development Cooperation of the Italian Ministry of Foreign Affairs).

52. Given these concerns, the project was modified, highlighting instead, the need for “compatible approaches and framework” for management and monitoring of MPAs. It also enabled the project steering committee to redirect grants at the national level for the acquisition of equipment to strengthen the capacity of MPAs at national and regional monitoring in the Caribbean region (Progress Report, December 2010)
53. In email correspondence dated January 25, 2011 the DGEF Task Manager identified several reasons for the modification to the work plan which took effect from that year. In that note, it was pointed out to the head of the Directorate General for Development Cooperation of the Italian Ministry of Foreign Affairs that experience of doing work in the region had revealed that region-wide standardization of monitoring is “...not necessarily practical nor very useful: marine monitoring is very expensive and, ultimately, the selection of indicators, the sampling design, the expertise employed, and the continuity in the surveys will be dependent on the available resources (both funding and expertise) which may vary from country to country, and is a prerogative of program leaders and implementers” (UNEP/GEF email correspondence).
54. Additionally, it was pointed out that “at the regional meeting in Puerto Rico in November 2010, countries reiterated they are all at different levels of monitoring from non-existent or sporadic for most, to somewhat regular for very few, and that their main constraint is technical capacity for training new managers and rangers, as well as basic equipment. Most countries will be amenable to basic and management-oriented monitoring provided they have the resources to implement regularly.
55. In correspondence dated February 1, 2011, the Director General replied, approving the changes to the work plan.

3.9 Reconstructed Theory of Change of the project

Table 5: Reconstructed Theory of Change



IV. Evaluation Findings

4.1 Strategic relevance (HS)

56. The project was of great relevance given the fact that many of the countries faced growing threats to their economies as pollution, destruction of their coral reefs, overfishing and the prevalence of invasive species, are all threatening to destroy their marine ecosystems and fragile economies. It was in response to these threats that several organisations and donor agencies sought to develop programmes and provide financing for projects which sought to embark on a comprehensive programme of marine protected areas as a viable form of biodiversity conservation and enhancement of the capacity and knowledge base of individuals to manage these parks.
57. The project was also relevant from the perspective that a number of projects had been initiated as part of CC initiative which sought to bring at least 20 percent of their marine space under some form of protection by the year 2020. While this was an admirable goal, it would not have been possible to meet those targets without the provision of institutional and financial support and capacity building to move those entities from what was essentially “paper parks” to viable, sustainably financed and efficiently management entities.
58. The rationale and justification for the selection of UNEP/CEP to manage this project was based primarily on their long track record in providing training and coordinating initiatives aimed at improving the management of protected areas among its member countries. More importantly, the donor, the Government of Italy, was essentially looking for an entity which had the political support and track record, as well a sustained effective presence in providing related programme activities.
59. At the time the project was conceptualized, it appeared realistic, as it was intended to provide critical support to the CC initiative by assisting with the management of MPAs. More importantly, it was intended to provide support to the countries which had received the initial GEF funds, but had limited capacity to fulfill the mandate of the project. A close examination of the components indicated that the kind of support to be provided was supposed to go towards fulfilling capacity constraints through training and infrastructure support, establishing a network for cooperation, coordination and financial sustainability and development of tools to track project effectiveness.

4.1.1 Regional environmental issues and needs (HS)

60. Among the major environmental issues and challenges confronting Caribbean countries are pollution (land-based and marine), habitat loss (forest and wetlands), loss of biodiversity – coral reefs, seabirds, invasive alien species, overharvesting, destruction of marine and coastal ecosystems, and adaptation to climate change.
61. Marine Protected Areas are a management tool with objectives which include ensuring the long-term viability of genetic diversity of marine species and systems; protection of depleted, threatened, rare or endangered species and

populations; and preservation of critical marine habitats, while providing for human, cultural and educational welfare. In its support of the Caribbean Challenge initiative being spearheaded by TNC, the project objectives and strategies were consistent with those environmental needs. This was confirmed through a needs assessment undertaken by the Organisation of Eastern Caribbean Study as part OECS Protected Areas and Associated Livelihoods (OPAAL) Project, as well as a gap analysis of the GEF supported CC projects and consultation with the project principals and stakeholders.

62. Specifics in relation to training needs and MPA improvements (management and infrastructure requirements) would later be confirmed by participating member countries at the first Regional Coordination meeting convened in San Juan, Puerto Rico in 2010.

4.1.2 Consistency with UNEPs Mandate and Policies (HS)

63. The project's expected accomplishments and programmatic objectives are in line with at least seven of UNEP's eight major objectives, which include international cooperation on environmental issues, monitoring, data gathering and dissemination of environmental information; catalyzing environmental awareness and action to address environmental threats; facilitating the coordination of UN environmental matters; developing regional programmes for environmental sustainability; assisting countries and organizations with formulation and implementation of environmental policies; and to provide country-level environmental capacity building and technology support. Additionally, the project is in line with the action plan of UNEP's Caribbean Environment Programme (a UNEP Regional Seas Programme) and mandate provided through its Cartagena Convention and SPAW Protocol on biodiversity.
64. This is consistent with the Ecosystem Management Sub-programme and the following Expected Accomplishments of the Programme of work 2010-2013 which are as follows:
 - a) That countries and regions increasingly integrate an ecosystem management approach into development and planning processes;
 - b) That countries and regions have capacity to utilize ecosystem management tools;
 - c) That countries and regions begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.

4.1.3 Relevance to GEF focal areas and strategic priorities (HS)

65. The project as originally defined was supposed to have ensured relevance to GEF focal areas and strategic priorities in a number of ways such as:
 - The increased capacity of countries and regions to integrate an ecosystem management approach into development and planning process is enhanced.
 - Enhancing capacity of countries and regions to utilize ecosystem management tools

- The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services enhanced.
66. These would also have been satisfied through the implementation of the four GEF projects as follows:
- a) Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems (in 5 Organization of Eastern Caribbean States (OECS) countries)
 - b) Building a Sustainable National Marine Protected Area Network – The Bahamas
 - c) Re-engineering the National Protected Areas System in order to Achieve Financial Sustainability - Dominican Republic
 - d) Strengthening the operational and financial sustainability of the national Protected Area System of Jamaica.

4.1.4 Realism of Project Objectives (S)

67. When measured against the time, budget allocated to the project, the baseline situation and the institutional arrangements in the participating countries, there is little doubt that the objectives were realistic as it sought to provide critical support to countries in the implementation of the larger GEF Funded projects.
68. As stated in the project document, the overall objective was to “advance the establishment of a fully biologically representative, climate change resilient, and functional Marine Protected Areas (MPA) Network – based on Global Island Partnership (GLISPA) commitments and initially focused on GEF supported MPA projects in the Caribbean.” However, specific objectives were more concrete.
69. Taking into consideration, the strategic relevance alluded to at paragraph 16, there is little doubt that the project was relevant and the objectives realistic as it sought to address some glaring deficiencies which could have adversely affected the implementation of the GEF funded projects.
70. Another important factor to consider when discussing the issue of realism is the experience of the entities involved in the delivery of the project. CaMPAM, as noted earlier, was the umbrella under which the project was being executed, and it was considered to be the ideal entity for the management of this project given its experience in capacity building and facilitating communications among the eight participating countries as well as other islands of the region, providing technical assistance and training to advance some of the existing initiatives aimed at the development of national MPA systems.
71. Notwithstanding the above, issues of capacity constraints in some countries (as described in the Logframe), which manifested itself in the form of slow responses to initial contact, and difficulties encountered by the project coordinating team in engaging with stakeholders in a timely manner resulted in a slow start to the project. Even when it was obvious that “buy-in” was achieved, countries had to seek external assistance to prepare management plans.

72. These setbacks resulted in some delays and inevitable extension to the project.
73. These delays, though they did not result in any additional cost to the project, could have been avoided had there been a greater and more direct engagement of stakeholders in the respective countries in the initial planning process. This would have required country visits in advance of the startup of the project to ensure acceptance and buy-in by the countries. Inevitably, it would have entailed cost and time implications, neither of which was available. Notwithstanding, that on-the-ground engagement could have resulted in better identification of issues specific to the countries and would inevitably have resulted in more specific project components being better targeted at the differences in capacity in the eight countries.

4.2 Achievements of Outputs (S)

74. Despite the slow start, the project was successful in achieving its overall purpose, goals and objectives, particularly as it relates to establishing regional mechanisms for creating awareness (via listserve and website), and building capacity for protected area management among MPA managers and other personnel associated with the operations of these MPAs. See Table 5 for a summary of the project outputs and outcomes.

Table 6: Component:Outputs and Outcomes

Component	Outputs	Outcomes
Coordination and Communications network	<ul style="list-style-type: none"> ▪ Three regional coordination meetings of Caribbean Challenge MPA Network convened. ▪ Three annual Caribbean Challenge Regional Coordination Meetings convened. ▪ Reliable regional communications network established: <ul style="list-style-type: none"> • CaMPAM Forum • CaMPAM List Serve • Publications • eMail • Conference calls ▪ Materials disseminated via CaMPAM and other electronic means. 	<p>Strengthened communication and collaboration among the country focal points.</p> <p>Enhanced coordination and financial sustainability of a large-scale trans-boundary (national and ecoregional) Caribbean MPA Network consistent with GLISPA commitments</p>
Compatible approaches and framework for management and monitoring of MPAs	<ul style="list-style-type: none"> ▪ Methodologies, models, indicators and tools for management, monitoring to measure effectiveness, and enforcement identified. ▪ Ecological and socio-economic (SocMon) monitoring indicators shared with project and used in monitoring user patterns and other socio-economic aspects of MPAs. ▪ Database detailing information on MPAs in CCI participating countries. 	<p>Improved and mutually compatible approaches and frameworks for management, monitoring and enforcement piloted at local/national level</p>
Capacity building	<ul style="list-style-type: none"> ▪ Regional training tailored to needs of 	<p>Improved capacity of the Caribbean</p>

	participating countries: <ul style="list-style-type: none"> • Training of Trainers (ToT) • Learning Exchanges • Workshops • Lessons learned and shared on CaMPAM forum for replication in other GLISPA countries ▪ MPA Mentorship and peer exchange ▪ Professional coaching ▪ MPA infrastructure development ▪ Sustainable financial workshops convened in seven (7) of the eight participating countries. 	Challenge regional MPA practitioners Sustainable financing tools and mechanisms for establishing NPATF shared with participating countries.
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4.2.1 Outputs and outcomes

75. The outputs are defined as the goods and services that the project delivers in order to achieve the project outcomes. These outputs were prescribed by three specific components as follows:

Component 1:Coordination and Communications including tools and publications

76. The outputs consisted of a set of activities that were intended to facilitate greater coordination of activities among MPAs in the region as well as providing opportunities for greater interaction of personnel involved in the management of those Pas. In this regard three regional coordination meetings of Caribbean Challenge MPA Network were convened. More importantly, sustaining that collaboration was facilitated through the creation of a reliable electronic communication platform which saw the establishment and maintenance of the following:

- CaMPAM Forum (dedicated website)
- CaMPAM List Serve
- Dissemination of Publications

77. The result was strengthened communication and collaboration among the countries participating in the CC programme.

78. Regional Coordination Meetings were convened in 2010, 2011, 2012, thereby providing opportunities for MPA personnel to interact with each other, share experiences, but most importantly, enhance their knowledge and understanding of the science of MPA management, and related issues (coral bleaching, invasive species and impacts of pollution). That knowledge base was reinforced by exposure to regional training workshops/meetings/courses and site-specific training which was a direct response to identified needs.

79. Persons interviewed (Antigua and Barbuda, Grenada, Jamaica and St. Vincent and the Grenadines spoke highly of these opportunities to interact with other MPA practitioners, especially the exchange visits, which allowed them to receive targeted training and benefit from the opportunities to learn about MPA management, especially on issues to address the problem of invasive fishery

species, cost recovery mechanisms, enforcement of management measures in parks and protected areas, and techniques for the placement and anchoring of buoys.

Component 2:Compatible approaches and framework for management and monitoring of MPAs.

80. In this component the initially identified activity, which was intended to develop a harmonized approach for monitoring effectiveness was modified to one which sought, not to develop a “harmonized approach”, but rather to identify methodologies, models, indicators and tools for management and monitoring to measure effectiveness, and enforcement which could be applied both individually and nationally. It was therefore noted that several of the countries used the Management Effectiveness Tracking Tool (METT) at various sites, and that since the countries were at different levels of management,there was no need for a“harmonized” monitoring tool,since it would neither be financially beneficial or effective. Countries therefore, considered various M&E models including Reef Check as well as the Ecological and socio-economic (SocMon) monitoring indicators (developed and promoted by CERMES) used in monitoring user patterns and other socio-economic aspects of MPA management.
81. Much of the information gathered as a result of the monitoring indicators used by the various countries was used to populate the MPA Database detailing information on MPAs in CCI participating countries. The result was improved and mutually compatible approaches and frameworks for management and monitoring of MPAs, both individually and in national systems.

Component 3:Capacity building

82. Component three was primarily concerned with capacity building as it sought to address one of the major shortcomings of the MPA management which was the inadequacy of persons trained in the management of MPAs. The outputs were therefore structured to address the immediate needs of MPA practitioners and enhance their knowledge base through several different activities which were as follows:
- Regional training tailored to needs of participating countries:
 - Training Workshops
 - Learning Exchanges
 - Training of Trainers (ToT)
 - Lessons learned and shared on CaMPAM forum for replication in other GLISPA countries
 - MPA Mentorship and peer exchange
 - Professional coaching
 - MPA infrastructure development
83. In addition to the technical training provided, sustainable financing workshops were held in seven (7) of the eight participating countries to strengthen the capacity of in-country officials and other stakeholders to “design and implement tailored new conservation finance mechanisms in their countries, and establish effective and credible national PA trust funds that would need to be in place to channel proceeds from these finance mechanisms. In total, 176 persons

participants in those workshops and were provided with information, not only on financial sustainability of MPAs, but also on mechanisms for the establishment and management (legislative and administrative) of trust funds which would have to be established as a pre-condition of accessing funds from the CBF.

84. Once again, these were successfully executed, not just in the training provided, but also improvements to infrastructure given the fact that several of the participating countries benefited from the installment of marine buoys, demarcation of boundaries and procurement of equipment for patrolling and monitoring the areas under their jurisdiction. This resulted in a significant improvement in the capacities of what were previously, in several cases, paper parks.

4.3 Effectiveness: Attainment of project objectives and results (S)

85. The objectives, as were noted previously, were to a) enhance the coherence and financial sustainability of the Caribbean MPA Network; b) establish and support regional harmonization of monitoring and evaluation frameworks and tracking of progress with GLISPA commitments; and c) improve capacity of the Caribbean Challenge regional MPA practitioners. Several mechanisms were used in trying to meet project objectives including the establishment of a communication forum, the provision of grant funds to facilitate training via workshops and exchange visits, development of MPA Systems Plans and the acquisition of equipment to assist in monitoring and evaluation. For the most part, all of the objectives were achieved, albeit, with varying degrees of success.

4.3.1 Direct outcomes from reconstructed TOC (HS)

86. In respect of the first objective, all the elements of a coherent MPA Network were established given the role played by CaMPAM in establishing the platform for coordinating and sharing of information. The regional coordination mechanism which “piggy-backed” on the GCFI annual meetings (2010, 2011 and 2012) provided participants with opportunities to become better acquainted with each other, share experiences, and more importantly, provided an environment in which they were exposed to practical application of MPA management.
87. The other initiative which served to reinforce the establishment of the MPA Network was the regional communications system (regular sharing of information on all aspects of MPA management) via the internet. The Project coordination team actively used the internet (email) and conference calls to discuss with the CC focal points and partners (TNC, CERMES/UWI, GLISPA, GCFI, NOAA etc) any project issues and activity details. Subjects discussed included; project updates, feedback on activities, and other technical information. Additionally, a wealth of information such as reports, scientific achievements, regional meetings, emerging issues, job vacancies, new projects and programs, conference and workshops announcements have been disseminated via the CaMPAM List and Forum. Those forms of communications proved very successful in avoiding costly travel.

88. While the CaMPAM Forum is credited for bringing personnel from the participating countries closer together through the sharing of information, some persons have expressed concern about the static nature of that interaction. While there is an overwhelming amount of information being shared, almost on a daily basis, what seems to be lacking is a more interactive platform which would permit a greater exchange of views as it appears that the current system does not encourage one on one exchange of views. What seems to be missing is a more interactive medium, like a chat room or linkages via the different social media (e.g. Facebook or LinkedIn).
89. As noted earlier, changes were made to objective #2. Notwithstanding, several models were introduced and were applied, included Reef Check as well as the Ecological and socio-economic (SocMon) monitoring indicators used in monitoring user patterns and other socio-economic aspects of MPA management. Antigua and Barbuda, Grenada, and St. Kitts and Nevis, used funds from the mid-size grant to acquire valuable M&E equipment.
90. The Bahamas included Reef Check as the standardized coral reef monitoring tool for MPAs. The Bahamas National Trust certified seven (7) individuals from Bahamas Customs, The Department of Marine Resources, The Bahamas National Trust, Bahamas Marine Mammal Research Organization and Dive Guana, in the Reef Check EcoDiver Training Course in Abaco, 21st – 23rd March, 2012, followed by Reef Check surveys in the Fowl Cays National Park. This training increased monitoring capacity to twenty-four (24) in-country, with twelve (12) residing in the Abacos.
91. The Bahamas also established a GIS Unit under the Science & Policy Division of the BNT. GIS equipment and software acquired enabled the newly formed unit to use this tool as part of their monitoring of MPAs. A total of five (5) representatives from BNT and DMR also completed training in GIS Fundamentals I & II (26th – 30th March, 2012).
92. With respect to Objective #3, the training provided and exchange visits, which resulted in persons going to countries to experience first-hand aspects of MPA management, allowed them to obtain both practical and theoretical appreciation for what is involved in terms of challenges they would encounter in fisheries management, particularly as it related to invasive species (e.g. lionfish), and other challenges such as climate change resilience, marine pollution, education and awareness, community engagement and alternative livelihood practices. Participants were particularly impressed with the evidence on resource recovery as a result of imposed restrictions on fishing activity at some of the marine parks (Hol Chan Marine Reserves, Belize and Bonaire, Dutch Antilles) visited as part of the exchange visits. There is little doubt that participants were able to enhance their knowledge base and raise their awareness of the importance of Sustainable Management of Marine Resources.
93. Learning exchanges were also one of the many tools that CaMPAM used to increase capacity of MPA practitioners and stakeholders (fishers, etc.) as it provided an opportunity to learn and share experiences with regional counterparts. Nine small grants were awarded to support exchanges between

countries of the Caribbean Challenge or with other Caribbean countries (Cuba, Colombia, Mexico, and the Dutch Caribbean).

94. For example, Antigua and Barbuda noted that their trainees gained an understanding of various research programmes and monitoring protocols implemented on the ground in the Dutch Antilles.
95. The Dutch Antilles was an excellent setting for this exchange as they are so far along in terms of management of the marine protected area system. Their procedures for collaboration and cooperation across protected area managers was also a major plus since Antigua and Barbuda is now moving towards finding an avenue for connecting Fisheries administered protected areas through a system approach.
96. In Jamaica, funds from the mid-sized grant was used to train field staff in the installation and maintenance of mooring buoys at some of the offshore cays within the MPA (Lime Cay and Maiden Cay); to increase awareness of the users on the need for and proper use of the mooring buoys; and, to develop a maintenance programme for the installed buoys.

4.3.2 Likelihood of impact using RoTI and based on reconstructed TOC (ML)

95. Within the context of the ToC, the project's objective represents a combination of the intended impact and intermediate results. Following on from this logic, the assessment of the likelihood of impact of the Regional Support for the CC projects involves the examination of the following three elements:
 - a) The extent to which the project has to date contributed to changes in behaviour as a result of project outcomes;
 - b) The extent to which the project is likely to contribute to changes in behaviour in the future; and
 - c) The likelihood of all the aforementioned changes contributing to even greater and more significant changes, i.e. the project's impact.

4.3.2.1 Contribution to changes in behaviour as a result of project outcome

96. With respect to Outcome 1, intermediate results point to behavioral changes which are fairly positive. The regional coordination mechanism connecting MPAs and MPA systems was established and operational. This was evident by the communications mechanisms established to facilitate interaction with each other and the extensive use made by the project coordinator of the network with MPA personnel in the participating countries.
97. Personnel in participating MPAs attended the annual regional coordinating meetings convened at the time of GCFI meetings and use the occasion to provide progress reports on work being undertaken at the national level.

Intermediate Result 1**Outcome 1:**

- Regional coordination mechanisms for ecologically connected MPAs and MPA systems established
- Enhanced coordination and financial sustainability of a large-scale trans-boundary (national and ecoregional) Caribbean MPA Network consistent with GLISPA commitments.
- Enhanced communication and collaboration among the country focal points

Impact Drivers:

- National MPAs recognize the need for more information on MPA management and are aware of potential benefits of greater collaboration among practitioners
- Staff at National MPAs have desire to help establish and contribute to and benefit from the development of a Regional MPA Network

Assumptions:

- Shared sense of accountability, commitment and programme ownership
- National project budgets are sufficient to facilitate travel

98. In respect of Outcome 2, the intermediate result is also positive as several countries reported on their acquisition and use of various monitoring and evaluation tools to track the progress and performance of their MPAs. Some of those tools being used at various sites include METT, Reef Check, SocMon, and GIS.

Outcome 2:

- Improved mutually compatible approaches and frameworks for management and monitoring of MPAs, both individually and in national systems

Impact Drivers

- Staff at MPAs in participating countries eager to enhance MPA M&E management techniques
- Scientific consensus supporting MPAs as an effective strategy for sustaining fisheries, protecting biological diversity and maintaining ecosystem resilience

Assumptions:

- MPAs are an effective means for conservation and management of marine resources and ecosystem protection and enhancement

99. The intermediate results for Outcome 3 are also positive as all of the countries benefited from the training workshops and exchange visits provided. Of special note was the convening of the ToT workshop in Belize, which saw a number of persons being taught the basics of MPA design, planning and management, community participation, communication, teaching skills, conflict management, and research and monitoring. Field trips were also organized for participants and where they also able to exchanged ideas with several Belizean experts in MPA management.

100. Capacity enhancement was also manifested through the development of MPA Management and System Plans in The Bahamas, Jamaica, and Grenada.

Intermediate Results 3:

- Regional training courses (ToT) and workshops tailored to MPA needs identified by Caribbean Challenge countries
- MPA management practices learned through exchange programmes, used and replicated in other participating GLISPA countries/region
- Sustainable financing mechanisms shared with participating member States

Impact Drivers:

- Staff at MPAs in participating countries eager to enhance MPA management skills and techniques
- Awareness of the knowledge gained and information acquired from exchange visits and training workshops
- Ensuring the financial viability of MPAs and providing for the sustainable livelihoods of dependent communities

Assumptions

- Each participating country will clearly identify its priority MPA training needs
- Staff at national MPA are curious and displaying great interest in enhancing their professional competence

101. In the final year (2012) of the programme, workshops on financial sustainability were convened in seven out of the eight participating countries which served to enhance their appreciation and understanding of various cost recovery mechanism which can be utilized in order to place their MPAs on a better financial footing. One of the more practical aspect of these workshops was the effort made to inform participants (from both the public and private sector) on the procedures for the creation and management of their national conservation trust fund, which all of them will have to establish as a precondition for the drawing down of funds from the CBF. The result was an enhancement of the knowledge and management capacity of personnel in all of the participating countries.

4.3.2.2 Contribute to changes in behaviour in the future

102. In all of the countries visited and all of the participants interviewed, the consensus there was high praise for the project coordinating team and the CaMPAM initiative in facilitating the regional coordinating mechanism for ecologically connected MPAs and the communications network which was established. Such positive approval and the expressed desired for a more interactive communications forum suggest that there is good reason to believe that this communications network could be sustained into the future.

103. The concern however, in respect of the sustainability of this MPA Network, is the ability of the countries to generate the finances required to keep it going. Participants' attendance at the Annual Regional Coordinating Mechanism was facilitated out of grant funds. Likewise, the establishment and maintenance of the Forum, the sharing of information and the population of the database will involve some cost to cover salaries and maintain equipment and services.

104. The same financial concerns can be expressed in respect of the other intermediate results. The regular use of monitoring tools and equipment can become costly

undertakings, and despite the enthusiasm shown by current users, will involve a cost both for services and equipment.

105. Several of the countries (Antigua and Barbuda, St. Vincent and the Grenadines, The Bahamas, Jamaica and Saint Lucia) do have in place various funding mechanisms at some of their MPAs which could help to offset some of the costs associated with the management of the PA, however, on a national scale, these resources are insufficient to meet the cost for all of the work required to make those entities financially viable.
106. Likewise, the training and exchange programmes came in for positive approvals from all of the persons interviewed. In keeping with the ToT objectives, to maximize leveraging of knowledge acquired in source learning events, seven (7) local follow-up training proposals were written by trainees, with the assistance of the project coordinating team (implemented in SVG, Grenada, Antigua, Jamaica). Indications are, however, that in all of the countries, training programmes are being convened, and training provided by those persons previously trained to pass on some of their knowledge to others.
107. Given the above, it is evident that behaviour changes in the future is predicated on the countries finding a sustainable financing mechanism to make their MPA viable and realise the higher level goals of achieving a fully biologically representative, climate change resilient, and functional MPA Network in coordination with GLISPA commitment.
108. It is this realization which prompted the project coordinating group to initiate the sustainable financing workshops as a means of informing them about the challenges and logistics in developing country-specific action plans for passing the necessary legislation to create their NTPAF.

4.3.2.3 Likelihood of contributing to even greater and more significant changes

109. Any likelihood of the achievements contributing to even greater and more significant is dependent on continued financial support. As previously, the CBF, though none of the countries have fulfilled their legal and other statutory requirements to commence drawing down from that fund, it presents a great opportunity for the eight participating countries to gain access to a viable pool of funds to commence work on implementing the management plans developed and realising the goal of fully operational MPAs. While this fund has great potential for materialising, it is one of many financing options available to governments and managers of MPAs if they commit themselves to sustaining the gains achieved under this project and meeting the larger goals as envisaged under the CC initiative.

4.3.3 Achievement of project goal and planned objectives (HS)

110. Recalling that the overall goal of the project was the establishment of a fully biologically representative, climate change resilient, and functional MPA Network in coordination with GLISPA and acknowledging that this represented the higher level of impacts which were outside the realm of this project, one has to look more closely at the objectives of this project – “Regional Support for the CC Initiative” to really assess the extent to which those objectives were achieved.

111. Looking only at those objectives, in isolation of the larger CC initiative, there is little doubt that the objectives were realistic, notwithstanding the capacity constraints which were experienced in several of the participating countries. This resulted in a slow start, which did not prove costly.
112. What was evident, however, was that in the absence for full involvement of stakeholders, not all the objectives were feasible, hence the need to make some changes to the second set of outputs.
113. The revision made to the project, together with the funds made available for training and acquisition of monitoring equipment and infrastructure support, provide the participating countries with timely injection of resources to make small, but significant improvements to their operations and as a result contributed the change of behaviour and the undertaking of significant management operations at the national level.

Table 7: Regional Support to Caribbean Challenge: Theory of Change – From Outcomes to Impact

Project objectives: “1. Enhancing the coordination and financial sustainability of the Caribbean MPA Network; 2. Establishing and supporting regional harmonization of monitoring and evaluation frameworks and tracking of progress with GLISPA commitments; and, 3. Improving capacity of the Caribbean Challenge regional MPA practitioners as part of GLISPA”					
Outputs	Outcome	Assumptions and Drivers	Intermediate state	Impacts	
				Reduced Environmental Threats	Environmental Benefits
<ul style="list-style-type: none"> Three regional coordination meetings of Caribbean Challenge MPA Network convened Three annual Caribbean Challenge Regional Coordination Meetings convened Reliable regional communications network established and Materials disseminated via CaMPAM and other electronic means Sustainable financing tools & mechanisms for establishing National Trust Fund shared 	<ol style="list-style-type: none"> Enhanced coordination and financial sustainability of a large-scale trans-boundary (national and ecoregional) Caribbean MPA Network consistent with GLISPA commitments. Strengthened communication and collaboration among the country focal points 	<p>Assumptions: Shared sense of accountability, commitment and programme ownership National project budgets is sufficient to facilitate travel Staff at National MPA are interested and displaying great curiosity in enhancing their professional competence</p> <p>Drivers: National MPAs are sufficiently staffed with persons who are eager for opportunities to enhance their MPA management skills and techniques</p>	<p>Regional coordination mechanisms for ecologically connected MPAs and MPA systems established.</p> <p>National MPA Project Coordinators participating in Annual Regional Coordination Meetings</p> <p>Communications Network established and being used both to share and seek information</p>	<p>Barriers to collaboration and cooperation removed.</p> <p>Caribbean SIDS better prepared to face threats from climate variability and change</p>	<p>Increased awareness understanding and support for the development of a biologically representative, climate change resilient and functional MPA Network established in coherence with the objectives of the SPAW Protocol and the GLISPA initiative.</p>
<ul style="list-style-type: none"> Methodologies, models and tools for management, monitoring to measure effectiveness, and enforcement. Ecological and socio-economic (SocMon) indicators shared with project and used in monitoring user patterns and other socio-economic aspects of MPAs. 	<ol style="list-style-type: none"> Improved and mutually compatible approaches and frameworks for management and monitoring of MPAs, both individually and in national systems. 	<p>Assumptions: Each participating country will clearly identify its priority MPA needs.</p> <p>Drivers: Staff at MPAs in participating countries eager to enhance MPA management techniques Scientific consensus supporting MPAs as an</p>	<ul style="list-style-type: none"> Local and national M&E needs identified Successful models of management and enforcement appropriate for replication identified Local and national capacity to plan for, manage and enforce existing MPAs improved Ecological and socio- 	<p>Reduced threats to coastal and marine biodiversity Mitigation of biological and socio-economic stresses in critical hot spots. Strengthening MPA enforcement capacity and overall management effectiveness Scientific understanding expanded (through</p>	

Project objectives: “1. Enhancing the coordination and financial sustainability of the Caribbean MPA Network; 2. Establishing and supporting regional harmonization of monitoring and evaluation frameworks and tracking of progress with GLISPA commitments; and, 3. Improving capacity of the Caribbean Challenge regional MPA practitioners as part of GLISPA”

Outputs	Outcome	Assumptions and Drivers	Intermediate state	Impacts	
				Reduced Environmental Threats	Environmental Benefits
<ul style="list-style-type: none"> ▪ Database detailing information on MPAs in CCI participating countries 		<p>effective strategy for sustaining fisheries, protecting biological diversity and maintaining ecosystem resilience</p>	<p>economic data generated to enhance monitoring and management</p>	<p>research and monitoring)</p>	
<ul style="list-style-type: none"> ▪ Regional training tailored to needs of participating countries <ul style="list-style-type: none"> • Training of Trainers (ToT) • Learning Exchanges • Workshops • Lessons learned and shared on CaMPAM forum for replication in other GLISPA countries ▪ MPA Mentorship and peer exchange ▪ Professional coaching ▪ MPA infrastructure development 	<p>Improved capacity and knowledge enhancement of MPA practitioners.</p>	<p>Assumptions: Each participating country will clearly identify its priority MPA training needs</p> <p>Drivers: Staff at National MPAs in participating countries eager to enhance management skills and techniques</p> <p>Awareness of the knowledge gained and information acquired from exchange visits and training workshops</p> <p>Ensuring the financial viability of MPAs and the sustainable livelihoods of communities within MPAs</p>	<ul style="list-style-type: none"> ▪ Regional training courses (ToT) and workshops tailored to MPA needs identified by CCI countries ▪ Exchange opportunities identified, and visits (specifically requested) by participating countries facilitated ▪ Better management practices shared through CaMPAM Forum and replicated in other participating GLISPA countries/ region 	<p>MPA resource managers more knowledgeable and better trained to manage/ address biological/ bio-physical and socio-economic factors affecting MPAs</p>	

Table 8: Results and ratings of Review of Outcome to impact Analysis

Results rating of project entitled:	Regional support for the Caribbean Challenge Initiative: Networking, consolidation and regional coordination of MPA management					
Project Objectives	To advance the establishment of a fully biologically representative, climate change resilient, and functional Marine Protected Areas (MPA) Network – based on the Global Island Partnership (GLISPA) commitments					
		Rating (D – A)		Rating (D – A)		
Outputs	Outcomes		Intermediate states		Impact (GEBs)	Rating (+)
<ul style="list-style-type: none"> ▪ Three regional coordination meetings of Caribbean Challenge MPA Network convened ▪ Three annual Caribbean Challenge Regional Coordination Meetings convened ▪ Reliable regional communications network established and Materials disseminated via CaMPAM and other electronic means ▪ Sustainable financing tools & mechanisms for establishing National Trust Fund shared 	<p>1.Enhanced coordination and financial sustainability of a large-scale trans-boundary (national and ecoregional) Caribbean MPA Network consistent with GLISPA commitments.</p> <p>2. Strengthened communication and collaboration among the country focal points.</p>	B	<ul style="list-style-type: none"> ▪ Regional coordination mechanisms for ecologically connected MPAs and MPA systems established. ▪ National MPA Project Coordinators participating in Annual Regional Coordination Meetings ▪ Communications Network established and being used both to share and seek information 	B	<p>1. Increased awareness understanding and support for the development of a biologically representative, climate change resilient and functional MPA Network established in coherence with the objectives of the SPAW Protocol and the Caribbean Challenge initiative.</p>	
<ul style="list-style-type: none"> ▪ Methodologies, models and tools for management, monitoring to measure effectiveness, and enforcement. ▪ Ecological and socio-economic (SocMon) indicators shared with project and used in monitoring user patterns and other socio-economic aspects of MPAs. ▪ Database detailing information on MPAs in CCI participating countries 	Improved and mutually compatible approaches and frameworks for management and monitoring of MPAs, both individually and in national systems		<ul style="list-style-type: none"> ▪ Local and national M&E needs identified ▪ Successful models of management and enforcement appropriate for replication identified ▪ Local and national capacity to plan manage and enforce existing MPAs improved ▪ Ecological and socio-economic data generated to enhance monitoring and management 			
						LIKELY

<ul style="list-style-type: none"> ▪ Regional training tailored to needs of participating countries <ul style="list-style-type: none"> • Training of Trainers (ToT) • Learning Exchanges • Workshops • Lessons learned and shared on CaMPAM forum for replication in other GLISPA countries ▪ MPA Mentorship and peer exchange ▪ Professional coaching ▪ MPA infrastructure development 	<p>Improved capacity and knowledge enhancement of MPA practitioners</p>		<ul style="list-style-type: none"> ▪ Regional training courses (ToT) and workshops tailored to MPA needs identified by CCI countries ▪ Exchange opportunities identified, and visits (specifically requested) by participating countries facilitated ▪ Better management practices shared through CaMPAM Forum and replicated in other participating GLISPA countries/ region 				
	<p>Rating justification: B</p>		<p>Rating justification: B</p>		<p>Rating justification: BB</p>		
	<p>The B rating reflects that the project's outcomes were achieved as evidenced by meetings convened, collaboration achieved, M&E tools used and training provided. There is little doubt that capacity for management of MPAs has improved and should lead to desired intermediate outcomes.</p>		<p>The B rating reflects that the measures designed to move towards intermediate states have started and have produced some results. However, those results give no definite indication that they will lead towards the intended long term impact and there is still some doubt that GEBs will be achieved.</p>		<p>The BB rating corresponds to "Likely" that the GEBs will be achieved. This is based on a number of assumptions including the availability of adequate human and sustainable financial resources, mainstreaming climate change into policy and decision-making, improved monitoring and enforcement, and addressing other human pressures on the ecosystem.</p>		

4.4 Sustainability and Replication (L)

114. Sustainability is understood to mean the probability of continued long-term project-derived results and impacts after the project funding and assistance has ended. Taking into consideration both inherent factors constraining project sustainability, as well as the supporting network (which existed and was further enhanced under the project) for MPA management, there is little to doubt the sustainability of the project. However, it should be noted that a significant part of that sustainability is dependent on the continued flow of financial assistance. In order to properly assess the sustainability of the project and its potential for replication, four parameters will be utilized.

4.4.1 Socio-political sustainability (L)

115. The Regional Support for the CC, while primarily a creation of the donor community (UNEP/CEP, GEF and Italian Directorate) had its genesis in the commitments by several governments to the GLISPA promoted 20/20 initiative. That said, tangible evidence of socio-political sustainability while not glaringly obvious in all of the participating countries, was demonstrated through their continued support in moving forward with the development of draft legislation for the establishment of the Caribbean Biodiversity Fund (CBF) in all of the countries, the establishment of Co-management Network mechanism for MPAs by Grenada and St. Vincent and the Grenadines, and the development of MPA management plans in all of the countries.

116. Policy and legislative changes in respect of resource management usually materialize after considerable effort and when there are compelling drivers. Whereas compelling drivers in support of MPAs are an effective tool in support of resource management, there was little evidence that countries encountering capacity deficits and lacking institutional arrangements had made any moves towards policy or legislative changes to enhance or make effective, the management of MPAs.

117. One area of particular concern was the seeming lack of awareness or ownership by others, outside of the immediate stakeholders. That was partly due to the fact that not many people or nationals in anyone of the countries interact with or make regular use of areas declared as MPAs, other than persons who depend on the resources (food and recreation) for their daily livelihood. Also, while the project sought to create and enhance awareness among practitioners, given the funding and scope of the project, very little was done from a communications standpoint to share or disseminate information to the general public.

118. However, in respect of stakeholders (fishers and local communities), several countries initiated activities to inform persons of the need for conservation of the resource base and exposed them to alternative livelihood measures which could provide some degree of compensation of loss of income associated with restrictions on fishing in some PAs.

119. Whilst it is acknowledged that the NGOs have demonstrated a greater capacity to spearhead country ownership, there is still need for governmental buy-in. The

sustainability of project benefits will continue to face an uphill struggle unless there is simultaneous support at the political level.

120. Notwithstanding these drawbacks, the communications platforms established by CaMPAM for sharing information among MPA and the ongoing exchange of information (email and database) should ensure a degree of sustainability which could only help with the advancement of MPAs as a mechanism for biodiversity conservation and an effective tool in combating pollution and addressing challenges of management.

4.4.2 Financial resources (L)

121. One of the primary reasons for the donor support for the establishment of MPAs was the acknowledgement that without the injection of adequate financial support, few of the countries would have the necessary financial resources to move forward with the establishment or advancement of MPAs. Also, many of the established parks would not continue to be viable and there was little chance that other countries would embark on similar initiatives. While the GEF funded projects to support the development of MPAs in several countries of the region, it was acknowledged that the sustainability of these initiatives was dependent on the continued flow of financial assistance to countries whose economies were experiencing flat or negative growth and exposure to natural disasters on an annual basis meant that valuable resources were targeted at correcting infrastructural problems instead of investments in growth sectors.

122. The Caribbean Biodiversity Fund (CBF), which provided not only immediate access to a sizeable amount of grant funds (50,000 – 100,000) but also continued access to a pool of funds, albeit on a matching 1/1 ratio, therefore assured the countries of the financial sustainability needed to continue with the development and effective management of MPAs.

123. In addition, a series of Sustainable Financing workshops, convened by TNC as part of the CCI and CaMPAM in seven of the eight participating countries, were aimed at providing them with practical tools, information and training to develop their National Protected Areas Trust Fund (NPATF) as part of the creation of new mechanisms for sustainable financing of MPAs. In addition, they were also exposed to various sustainable financing and cost recovery mechanisms which could be employed, either nationally or on an individual basis, which would enhance the financial sustainability of PAs. In total, 176 persons participated in the workshops.

124. One of the main aims of this project is to strengthen the capacity of in-country officials and other stakeholders to design and implement tailored new conservation finance mechanisms in their countries, and to establish effective and credible national PA trust funds that would need to be in place to channel proceeds from these finance mechanisms.

125. At each of the workshops an overview of the Caribbean Challenge was presented as well as a review of the GEF funded project. Updates regarding the CBF were given to stakeholders and the draft legislation and by-laws for each respective

NPATF were reviewed and revised. Board composition of the NPATF was then decided upon. An action plan to pass and operationalize the trust fund was then drafted by participants. Afterwards, case study examples for a variety of sustainable finance mechanisms were presented. Participants discussed the different mechanisms and ranked the mechanisms to pursue by priority level. An action plan for implementing the top mechanism(s) was then identified by the participants.

126. With the exception of the Dominican Republic, where no workshop was concluded, this project achieved its planned objective to strengthen the capacity of in-country officials and other stakeholders to design and implement tailored new conservation finance mechanisms in their countries, and to establish effective and credible national PA trust funds that would need to be in place to channel proceeds from these finance mechanisms.

127. The sustainable financing workshops were all convened in the final year of the project. In Grenada legislation to establish the NPATF has been drafted and approved by the country Attorney General and is currently awaiting final submission to Cabinet and the approval of parliament. Likewise, in Antigua and Barbuda, Saint Lucia, and Jamaica, draft legislation have been similarly prepared for the establishment of the NPATF. In The Bahamas, the legislation to establish the NPATF was debated by both houses of Parliament in January 2013 and eventually received legislative approval on July 9, 2014. Also of significance is the fact that as of July 1st 2013, the Government introduced an environmental tax on various items imported into the country with the intention being that once the Bahamas Protected Areas Fund (BPAF) becomes law, some of these funds will go towards supporting the management of MPAs.

128. While these countries have all indicated their willingness to operationalise some of the financing mechanisms explored at the workshops, it will be some time before the legislative and regulatory instruments are fully established and implemented.

4.4.3 Institutional framework (ML)

129. While the project was not designed to address the creation of MPAs and institutional short-comings in respect of the establishment or management of MPAs, it inherently sought to have them addressed through the provision of financial support to undertake the preparation of MPA Management Plans and training in respect of management of MPAs.

130. Several of the countries used their mid-size grants to enhance their management capacity through the development of MPA Management and Systems Plans. This was the case in Antigua and Barbuda where some of the funds received was used to prepare a Management Plan for the Cades Bay Marine Reserve (CBMR).

131. Likewise, in Grenada, development of an effective National MPA structure and the preparation of a management plan for Woburn Clark Courts Bay MPA were achieved.

132. Similarly, in The Bahamas, where a core management team involving the Bahamas National Trust (BNT) and The Department of Marine Resources (DMR), funds were used to assist to undertake a number of activities including the consolidate data for the completion of two (2) management plans for the 4-Marine Parks and 2-Marine Reserves in Abaco.
133. Also, it was during the implementation of this support initiative that Grenada and The Bahamas signed the LBS Protocol.
134. The Bahamas has drafted new legislation (Bahamas Protected Areas Fund Bill, 2013) establishing the Bahamas Protected Areas Fund (BPAF) to provide reliable and long-term funding to support CCI, which will receive funding from the CBF and other sources (Hayman, 2012). Several other countries (Jamaica, Saint Lucia and Antigua) are also actively making necessary changes to legislation to ensure the establishment of the NPATF (Weary, 2014)
135. None of the participating countries introduced legislation to give effect to any of these management plans which were developed. However, it is generally recognized that higher level outcomes in respect of policy and legislation usually require a much longer time to materialise, the absence of any indication that new legislation were being considered to give effect to the 20/20 commitment suggests that the jury is still out on the achievement of those higher level outcomes.

4.4.4 Environmental Sustainability (L)

136. Global warming and sea level rise pose a real threat to the sustainability of many of these MPA. It has been documented that small changes in temperature could have significant impacts on marine ecosystems. Given that fact that one of the major objectives for the establishment of MPAs, climate change and sea level rise can result in environmental changes to these MPAs and/or coastal communities that fall beyond the level of local influence.
137. CERMES successfully obtained funding from the National Fish and Wildlife Foundation (NFWF) to undertake a project aimed at generating social and economic data on coastal communities in respect of fisheries management and fishers who live and work in those communities. The partnership with CERMES will allow researchers from the University of the West Indies to implement the project in countries which are participating in the CC initiative, thus contributing to the building of capacity in these countries by using socio-economic monitoring indicators developed by the regional scientific community.

4.4.5 Replication and catalytic effect (ML)

138. One of the most outstanding outputs providing evidence of sustainability, if not replication, expected to catalyze even greater appreciation and awareness for MPAs, is the production of the teachers' manual "*A Teachers Guide to Marine Environmental Education*" by Saint Lucia. The publication, which was produced by the Saint Lucia National Trust with funds obtained under the Mid-size Grant, is a Manual on the marine environment for school teachers in St. Lucia. The

Manual is being used to advance marine and environmental education and awareness in schools and it is hoped that it will eventually become a core text on the schools' curricula.

139. A key part of the Saint Lucia National Trust's mandate is to raise awareness and understanding of the issues affecting the country's natural heritage. The desire to fulfil this mandate has driven the development of the current project which focuses on education to effect change in the mindset of Saint Lucians about the importance of their marine reserves.
140. Likewise, in the Dominican Republic, one of the main objectives of the management measures being introduced at the La Caleta MPA was to have this model replicated in other areas of DR. To date, four other sites have started to replicate this model (Interview with MPA Coordinator, May, 2014).
141. The La Caleta MPA model has served as a model for other areas of DR with less management effectiveness, enhancing the national effort to effectively manage MPA involving public and private sectors. This in turn, has been developed with regional efforts to enhance regional networks of MPAs.
142. The Regional Support project has also contributed to the overall Caribbean Challenge initiative, and more importantly, towards reaching the "20% by 2020" protection goal by governments. Additionally UNEP-CEP was granted additional funds by the Italian Government (Project donor), in support of Caribbean biodiversity conservation and to build and capitalize on the best practices and lessons learned from this project.
143. Another indication of the sustainability of the just concluded Regional Support project is the endorsement given to CaMPAM by being asked by TNC, who was managing the project to coordinate the Small Grant Program of the 'Climate Resilient Eastern Caribbean Marine Managed Areas Network (ECMMAN) and funded by the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety.
144. The program will apply the guiding principles of the Specially Protected Area and Wildlife (SPA) Protocol of the Cartagena Convention (administered by the UNEP-CEP), and will benefit from the 15 years of experience, as well as the technical and administrative resources of UNEP-CEP, the SPAW-RAC and CaMPAM (including their networks and expertise on MPA capacity building, integrated ecosystem management and species protection.
145. In keeping with the ToT objectives, to maximize leveraging of knowledge acquired in source learning events, seven (7) local follow-up training proposals were written by trainees, with the assistance of the project coordinating team. Since then several follow up workshops have been held (Antigua and Barbuda, The Bahamas, Grenada, Jamaica, Saint Lucia and St. Vincent and the Grenadines) in the respective countries for local staff.

4.5 Efficiency (HS)

4.5.1 Cost and time-saving measures (HS)

146. Modern forms of communications were utilized throughout the project. The project coordination team actively used the internet (email) and conference calls to discuss with the CC focal points and partners (TNC, CERMES, GLISPA, GCFI, NOAA etc.) all project issues and activity details. Subjects discussed included; project updates, feedback on activities, and other technical information. Those forms of communications proved very successful in avoiding costly travel.
147. The convening of meetings, workshops and their agendas were done in collaboration with project partners and ongoing initiatives. For example, Regional Caribbean Challenge Coordination Meetings were convened while participants attended the GCFI meetings.
148. Additionally, a wealth of information such as reports, scientific achievements, regional meetings, emerging issues, job vacancies, new projects and programs, conference and workshops announcements have been disseminated via the CaMPAMelectronic list and Forum

4.5.2 Efforts to build on existing initiatives (HS)

149. The Regional Support Initiative was designed primarily to provide support to the countries who were participating in the CC Initiative. This meant that there were strong synergies and complementarity between the Regional Support initiative and the countries engaged in the CC projects being supported by GEF/UNDP, which included a) Sustainable Financing and Management of the Eastern Caribbean Marine Ecosystem (in 5 OECS countries); b) Building a Sustainable National Marine Protected Area Network - The Bahamas; and, c) Re-engineering the National Protected Areas System in order to Achieve Financial Sustainability – Dominican Republic and) Strengthening the Operational and Financial Sustainability of the National Protected Area System- Jamaica.
150. In the Dominican Republic, the project was targeted mainly at providing support to combine and “package” several previous projects and initiatives conducted in La Caleta MPA.
151. A major indication of such effort was the fact that the project team used the four major stakeholder countries that were already receiving related UNEP funds to assist with the planning and preparation of the current project. Further to this, from inception, the project coordination team made every effort to continue with and enlist further assistance and contacts with other Regional and International partners (GLISPA, TNC, IUCN, GCFI, SPAW RAC, CERMES) to ensure a successful and consultative action oriented process.
152. The project has given rise to CaMPAM launching a Mentorship Program as part of its capacity building programme with a view to sustainably enhance MPA manager/practitioner competencies through the development of mentoring

relationships (professional coaching) that respond to common and emerging professional development needs.

153. The program will operate flexibly and creatively so as to capitalize on emerging opportunities and resources to foster mentoring relationships at both individual and institutional levels (e.g. CaMPAM tools, in-kind contributions from partners, existing activities and resources at local level etc.) and implement activities that allow mentors to assist mentees in their professional development and ultimately, the advancement of MPA capacity and management effectiveness.

154. A number of regional and local organizations have contributed to the development of the Mentorship Programme by suggesting a variety of approaches by which ongoing collaboration can serve to build the programme. A selected group of mentors coming from successful MPAs across the region, have committed to support the effort through the establishment of long lasting, creative and mutually beneficial relationships with the mentees from sites who have expressed interest in participating and benefiting from this exercise.

4.6 Factors affecting performance (S)

4.6.1 Preparation and readiness (MS)

155. The project objectives were clear and to a great extent practicable and feasible. The overall goals, like most goals, provided a vision of what the project would like to see accomplished in the long-term might be seen as ambitious. But, the fact that this project was intended to provide “support to” the more ambitious CC initiative, its objectives, or what it hoped to accomplish – namely “increase collaboration and cooperation among MPA practitioners, and enhance the financial sustainability of MPAs; compatible approaches to monitoring of MPA; and, improve the capacity of MPA practitioners” - were practicable and feasible.

156. There is little doubt that the project experienced some delays in getting started. The reasons advanced point to countries not having sufficient capacity, difficulty in differentiating between the CC and the Regional Support initiatives, and some disagreement with the initially stated objectives.

157. The delay is not something which is peculiar to this project or necessarily evidence of lack of project preparation. Rather, it is indicative of a common failure to acknowledge that implementation of projects usually follow an “S” learning curve rather than a constant implementation course. In this instant, this learning curve resulted from a combination of issues such as an inherent lack of capacity of small island states, insufficient stakeholder engagement, and seeming lack of initial understanding of the overall goals of the project.

158. Examination of some of the exchanges of correspondence between the project office and country participants revealed the extent to which there was some degree of uncertainty as to what the project was about and who should be represented. While part of the reason was the limited consultation with country representation which preceded the preparation, another factor was the close similarity with the CC initiative and the Regional Support project. Several

persons seem to have had great difficulty differentiating between the two. It should also be noted that some of the countries lacked adequate capacity and were unable to devote sufficient time and resources to the project in a timely manner.

159. In some countries, MPA management could fall under Fisheries Administration, in others, under the entity responsibility for environmental management. When either of these entities is not also the Focal Point, it is not unusual for correspondence to “go missing,” be delayed or even having the wrong person being asked to represent the country.
160. Whilst it may also be argued that a needs assessment should have been done to determine the exact points of intervention, it was also noted that several of these had been done in the recent past, including the Knowledge, Attitude and Performance (KAP) study as part of the OECS Protected Areas and Associated Livelihoods (OPAAL) project. More importantly, CaMPAM, as well as the other partners involved in the execution of this project has had a long history of involvement in providing training and enhancing expertise in the management of MPAs and where knowledgeable and sensitive to the needs of the countries. It should also be noted that UNEP-CEP maintains regular communications with Caribbean countries through bilateral consultations, and regional intergovernmental meetings (e.g. the COPs of the Cartagena Convention and the SPAW Protocol). It was not evident that another needs assessment survey would have provided any additional information.
161. The majority of the partners (GLISPA, GCFI, and TNC) have also had extensive experience both in the practical and theoretical application and management of MPAs. GCFI, in particular, has been around for quite some time and their annual gatherings, which bring together the largest group of Caribbean marine scientists, fishers and managers, have provided learning opportunities for MPA practitioners to incorporate advances in marine sciences into their policies and management practices.
162. Previous engagement on similar projects among the implementing agencies as well as having a common agenda meant that not everything in the relationship and project execution was explicitly stated in the project document. However, an Internal Cooperation Agreement (ICA) provided clear instructions on supervision, reporting (progress and financial) and monitoring of project performance and milestones for reporting. It stipulated the need for half-yearly (30 June and 31 December) reports, a Terminal Report within two months of the project completion, financial reports and a Final expenditure statement.
163. Three Regional Coordination Mechanisms (2010, 2011, and 2012) meetings were convened as scheduled and coincided with the convening of the GCFI meetings. At those meetings, which were attended by all the key partners (IA, EA, CaMPAM Coordinator, TNC, GLISPA and CC National Focal Points from each country), opportunities were provided and presentations made to:
 - provide an update on project activities by all participants (project coordinating team, country representatives and partners),

- discuss each country's efforts to accomplish the Caribbean Challenge objectives; and
- gather feedback to improve project implementation over the next months

164. In addition to those meetings the Coordination team frequently initiated Skype conference calls to address individual concerns by participating countries. In addition, the UNDP/GEF Task Manager attended those meetings and prepared project appraisal reports which served to inform on the progress being made with the implementation of the project.

4.6.2 Project Implementation and management (S)

165. The project was executed by UNEP/GEF in consultation with the UNEP/CEP office, and an organisational and management structure was defined in the PD (ToR #12 – 13, pg. 4) which was specifically aimed at ensuring the efficient management of the project.

166. The implementation of the project presented early challenges given the difficulties encountered in obtaining timely responses from all of the participating countries. This accounted for the relatively slow start to the project. However, once the project became operational and the first Regional Coordinating Meeting convened, it became clearer that some of the project objectives were not in sync with the goals and needs of the respective countries and changes had to be made.

167. The changes requested by participants was made, after approval was obtained from the primary donor, the Directorate General for Development Cooperation of the Italian Ministry of Foreign Affairs, highlighting the need for programmes of this nature to be adaptable and responsive to the needs of the beneficiaries.

168. Notwithstanding the efficiency exhibited in the use of funds and the engagement of partner organization to partner with and assist in the execution of the project, the project did require three extensions before the final deliverables were completed. The reasons for the delays varied, but can be attributed to two main factors. The first, as noted earlier, was due to difficulties encountered in engaging with national stakeholders who themselves were at most time overburdened and had insufficient time to devote to the project. The other occurred towards the end of the project as difficulties were experienced in convening the sustainable financing workshops. Most of the delays were due to the fact that the coordinators of the workshop wanted to ensure that some progress had been made in the establishment of the National Trust Fund mechanism as a precursor to the Sustainable Financing Workshops convened by TNC. Also of note were logistical difficulties associated with convening workshops in seven (7) countries of the region.⁷

⁷ Conversation with Robert Weary, TNC, June, 2014.

169. Those delays, however, did not result in cost overruns as funds (small grant and mid-size grants, not utilized by some of the countries) were redirected to other uses.

4.6.3 Stakeholder Participation and public awareness (S)

170. There is little evidence that the project sought to involve primary stakeholders in any significant way in the project design. The project was donor driven as it sought to address a glaring capacity gap in the implementation of the CC project. Also, it was a project which came about as a result of the Italian government expressing an interest in providing some support based on the work being done by GLISPA in other parts of the world.

171. Given the fact that the project was targeted at specific stakeholders and not the wider public, efforts at stakeholder participation was limited to engagement with Focal Points, MPA practitioners, especially those who were targeted for training, and local community groups. However, recognizing the limited reach of their circle of stakeholders, the implementers sought to encourage national entities to issue press releases, and even assisted with the preparation of such information to inform the public of the project at the start as well as when they were awarded funds or other forms of technical assistance.

172. In the Dominican Republic, (La Caleta MPA) for example, where a considerable amount of work was ongoing with the management of MPAs, the local community has been engaged for years in several of the projects and conservation initiatives. Still, with the implementation of this project, several media releases were issued and workshops conducted to share information with the local stakeholders to allow them to obtain an appreciation for the management measures which were being introduced from time to time.

173. There was also widespread electronic circulation of information about the project which was facilitated through emails (those on List-serve mailing list) as well as the Web presence (website) which made it possible for the wider public to be kept informed about the project.

174. Whenever an event was hosted in a country, press releases were issued and videos were made and disseminated via the CaMPAM other internet lists. For example, during the ToT workshop held in Belize, interviews were conducted by the local TV stations with participants and reported on via the CaMPAM website.

175. Because of that limited outreach, few people, other than those who were directly connected to the project, would have heard about the Regional Support project. On the other hand, the CC initiative has received considerable press, especially since the involvement of media celebrities such as Sir Richard Branson (Founder of Virgin Group), who has become a Champion of sorts in helping to raise funds and drawing attention to the need for greater commitment to marine biodiversity conservation.

176. The project also sought to utilize persons from among the participating countries, as much as was possible, to be the “voice” and/or “face” of the project. In that regard, Mr. Roland Baldeo, the National MPA Coordinator in Grenada, and active partner of the project was selected to represent the project at the UN Conference on Sustainable Development (Rio +20), where a presentation was made at one Side Event organized by GLISPA called “Securing the Island Future We Want: Enabling Steps Towards Achieving a Green and Blue Economy at regional scale”). This was attended by several political and conservation leaders who gave presentation and exchanged ideas and information.
177. The project was also showcased by an interactive display with a short video and banner on the Caribbean Challenge outcomes. The video provided general information, and focused on conveying aspects of Grenada’s MPA system development from the perspective of key stakeholders.
178. Whilst the project encouraged the search for and use of “champions,” it emphasized the importance of seeking such persons from among their peers. Other countries have recognized the need for “champions” and Jamaica has indicated their intention to try and get their famous athletes to get more involved in helping to shape public opinion conservation of their natural environment as well as assist in attracting additional funds.
179. In the DR, the project identified key players in different locations of the country who it was thought would be able to move things forward and catalyze more needed actions in the future. In that regard, four Memorandum of Understanding (MOUs) have been signed with key partners.

4.6.4 Country Ownership (MS)

180. Country ownership speaks to the relevance of the project to national development and environmental agendas, but more importantly, the recipient country commitment to the goals of the project. Measures of such commitment will usually include tangible evidence such as the assignment of project staff, the declaration of new, or augmentation of existing policy, dedication of identified sources of financing to ensure sustainable management of the MPA, and evidence that new initiatives aimed at enhancing the management of protected areas are a direct result of the project. Bearing in mind that commitments made by the respective governments in relation to the CC initiative were intended to achieve the same objectives, the question has to be asked “to what extent can any notable achievements e.g, acceding to the LBS Protocol, a strong indication of a country ownership, be attributed to, or is indicative of the level of support and ownership? And, to what extent can such an achievement be attributed to the Regional Support or the CC initiative?”
181. Several of the countries used resources from the small and mid-size grants to enhance the training and knowledge base of personnel associated with the management and operations of MPAs and for the development of MPA Plans. However, there is no indication of the adoption of any of those Systems Plans by any of the participating countries.

182. Likewise, sustainable financing workshops were held and much of the training focused, not only on revenue generating initiatives, but the introduction of measures to initiate and sustain the concept of a Trust Fund as a mechanism for long-term, sustainable financing of MPAs. This initiative, while it preceded the Regional Support project, sought to capitalize on the synergies and momentum provided by the project in sustaining the interest of participating governments. As such, it became a catalyst in corralling a considerable amount of governmental resources, involving high level personnel, from various governmental departments (Attorney General, Finance, Economic Planning) as well as resource personnel from the private sector (Chamber of Commerce, Hotel Association, etc) who participated in workshops and committed themselves to the formation of NTFPA.

183. Though to date, none of the countries have formally announced the establishment of that entity, interest for the long-term initiatives being advocated has led to well advanced discussions being held on these issues in several of the countries and it is anticipated that before the end of 2014, at least one, and possibly a second, country will have proclaimed legislation to have such a fund established.

4.6.5 Financial planning and management (S)

Table 9: Costs and co-financing tables

Component/sub-component/output	Estimated cost at Design	Actual Cost	Expenditure ratio (actual/planned)
Personnel Component	226,500.00	205,731.84	0.75
Sub-Contract Component	345,500.00	683,659.00 ⁸	1.92
Training Component	639,077.00	347,686.16	0.54
Miscellaneous Component	46,583.00	20,583.00	0.44
Total	1,257,660.00	1,257,660.00	1.00

⁸ The regional and part of the local training components were executed through subcontracts, hence the larger figure under subcontracts

7. Co-financing

Co financing (Type/Source)	UNEP own Financing (US\$1,000)		Government (US\$1,000)		Other* (Italian Fund) (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants	26,000	26,000			1,231,660	1,257,660	1,257,660	1,257,660	1,257,660
- Loans									
- Credits									
- Equity investments									
- In-kind support	300,000	300,000					300,000	300,000	--
- Other (*)									
-									
-									
Totals	326,000	326,000			1,231,660	1,257,660	1,257,660	1,257,660	1,257,660

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

184. The Project was originally projected to be implemented over two years from January 2010 to January 2012. However it actually commenced in March 2010. In terms of project co-financing the total of USD1,2M was confirmed as being available from the Italian Fund when the project document was signed. It was also anticipated that there would be a further \$300,000.00USD available in in-kind contributions from UNEP-CEP.
185. There was a first Amendment of the budget dated 18th May 2011 which recorded actual expenditure in 2010, re-phased the unspent balance, re-allocated the funds amongst the four main components but did not change the original total cost and finally changed the end date to March 2012 in order to reflect the late start of the project. Unfortunately, this Amendment No.1 indicated a total cost in error of USD2, 815,320.00 consisting of the addition of USD1, 257,660.00 and USD1, 557,660.00. In a second Amendment dated August 8th 2012, the budget was further revised to reflect actual expenditure for 2010 and 2011, to re-phase the unspent balance to 2012 and to revise the completion date to December 2012. Finally, in a third Amendment dated July 17, 2013 the completion date of the project was extended to June 2013. In addition, the actuals for 2012 were inputted into the revised budget and the unspent balance of USD177,969.34 was projected to be spent in 2013. Annex 9 – Half Yearly Expenditure- CAR Challenge Jan- Jun 2013- 1 dated 19/2/14 shows that the full co-financing budget of USD 1,257,660 was spent or is committed.
186. With respect to the in-kind contributions, the time contributed by UNEP-CEP personnel, who provided oversight and facilitated the coordination of various exchange meetings, workshops and other training activities of the project, was estimated at \$300,000.00, as projected in the project budget. However, no evidence of that amount was presented. This was not a requirement of the project reporting (See footnote below).
187. Several other partners provided various in-kind support, including assisting with workshop expenses. One notable indication of resources leveraged by the project was the funding received by CERMES from NFWF. The Project Coordinating Team assisted CERMES with the preparation of their proposal and it was endorsed by CaMPAM which noted its usefulness as a socio-economic monitoring tool which could be used in the participating countries.
188. It is stated in the Terminal Report that an additional amount of USD 100,000 was obtained as in-kind contribution. However, there was no accounting for that amount in the expenditure statements. The Evaluator was informed by the TA that there was no requirement to account for those funds in the expenditure statements.⁹

⁹ Whilst it is true that monitoring is not required (funds not managed by UNEP) to report on those expenditures, [UNEP Program Manual, 2013](#) does state (page 105, box 12) that "Project Managers are encouraged to provide relevant information in budget table (as footnote) project document and progress reporting". It is also a good project management practice and should certainly be considered standard operating procedures that future projects require quantifying of all in-kind contributions.

189. The financial reports (of the co-financing from the Italian Fund) submitted by the Executing Agency were generally in line with the approved budget items.

190. Projects such as these where there are no finite quantifiable inputs or outcomes should be treated less like 'well defined infrastructure' projects and more like 'agile' projects in which the project components are defined over several phases with regular reviews of project performance being completed at the end of each phase so that lessons learnt from retrospective analysis of performance could be incorporated into the next phase.

4.6.6 UNEP Supervision and backstopping (S)

188. Overall UNEP supervision and backstopping were in line with the requirements specified in the PD.

189. Project supervision was undertaken by the project management team involving the DGEF Task Manager, the UNEP CEP SPAW Programme officer and the CC Regional Coordinator. In order to make maximum use of the limited budget much of the communications was done online via emails and tele-conferencing. Also, at the annual Regional Coordinator's meeting, the project coordinating team would meet to review progress made on the CCI, and have discussions on the way forward and make necessary adjustments as required.

4.6.7 Monitoring and evaluation(S)

190. Mechanisms for reporting were clearly stated in the PD. These included the preparation of half-yearly Progress and Financial Reports. While there is evidence of those half—yearly Progress Reports, there was not the same degree of consistency with respect to the financial reports as they did not provide a clear enough trail to allow for easy analysis.

191. The project coordinating team seemed to have excellent rapport with each other and the regular reports provided by the PC were well received and satisfied the requirement for half-yearly Progress Reports.

192. No Theory of Change was used in the preparation of the project. Likewise, there was no direct evidence of "Smart indicators" used in project preparation. Notwithstanding, inherent in the Logical Framework approach is the use of certain measurable indicators such time-bound project outputs, baseline status, indicators, and means of verification. The semi-annual reports also sought to provide information on the percentage of project completed which were in line with the indicators identified in the logframe.

193. Monitoring and evaluation was required to be address at two different levels. At one level progress was required to be monitored through the completion of key project milestones on time and on budget as described by the indicators and means of verification outlined in the budget. Those were prepared and submitted

as required on a semi-annual (June and December) basis by the Project Coordinator before being approved by the executing agency.

194. The Project Coordinating Team (UNEP/CEP, TNC, GLISPA, Italian government representative and representatives from each of the CCI participating countries) meet once a year to oversee and coordinate regional activities and collaboration. At those meetings participants asked to make presentations on progress being made and to comment on challenges faced at the national levels and the information provided was used to improve on project performance.
195. The Project Summary Table as well as the PD both noted that a mid-term evaluation and end of term evaluation should have been undertaken by the evaluation department. No budget was allocated for this activity and as such, no mid-term evaluation was undertaken. The evaluator was informed that projects which are of less than two years duration do not meet the criteria for a mid-term evaluation.¹⁰
196. The risk factors identified were limited to climatic, economic and political issues. Of these three, climatic and economic were rated highly likely while political was rated at medium. While it is understandable to consider fluctuations in economic fortunes a high risk factor, political will, notwithstanding governmental support for the project, should also have been rated highly.
197. A major short-coming of the project was the fact that one country failed to report on progress made in respect of funds received as part of the mid-size grants. A total of US \$33,750 was disbursed as per the contract, upon signature of the agreement. However, up to the close of the project, no report, despite repeated requests to the Permanent Secretary in that Ministry, had been submitted or the funds returned.

4.7 Complementarity with UNEP strategies and programmes (HS)

198. UNEP's main activities are related to climate change, disasters and conflicts, ecosystem management, environmental governance; environment under review, harmful substances and resource efficiency. Among the major environmental issues and challenges within the Caribbean are pollution (land-based and marine), habitat loss (forest and wetlands), loss of biodiversity – coral reefs, seabirds, invasive alien species, overharvesting, destruction of marine and coastal ecosystems, and adaptation to climate change.
199. More importantly, the project responds fully to the objectives of UNEP-CEP's Cartagena Convention and its Protocols on biodiversity (i.e. SPAW) and on land-based pollution (i.e. LBS) to which governments which signed on to the CCI are Contracting Parties.
200. The project was also consistent with the Ecosystem management for human well-being initiative which addresses Ecosystem services and economics, Freshwater

¹⁰Exchange of correspondence with the TM.

and terrestrial ecosystems, and marine and coastal ecosystems; addressing the environmental causes and consequences of disasters and conflicts; and adaptation to climate change; poverty and environment initiative (UNDP-UNEP partnership).

201. The Regional Support initiative is also in line with the Ecosystem Management Sub-programme and the following Expected Accomplishments of the Programme of work 2010-2013:

- That countries and regions increasingly integrate an ecosystem management approach into development and planning processes;
- That countries and regions have capacity to utilize ecosystem management tools;
- That countries and regions begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.

V. Conclusions, Lessons Learned and Recommendations

5.1 Conclusions

202. A project of this nature is difficult to evaluate given the fact it is based on qualitative as opposed to quantitative outcomes. More importantly, given the fact that its major goal was to provide support for the implementation of an initiative, it is difficult to determine which successes should be attributed solely to this project as opposed to the main CC initiative. This was reinforced by the fact that several persons interviewed admitted that it was difficult, at first, determining or distinguishing what outputs were associated with the CCI as opposed to the Regional Support for the CCI. Notwithstanding these challenges, the training initiatives undertaken, as well as the support for enhanced coordination and cooperation among MPA personnel were all intended to provide support to countries as they sought to enhance capacity for improved management of MPA and achieve the overall goals of the project.

5.1.1 Strengths

203. The project provided funding to address some of the most pressing impediments to MPA management in the Region, including training and capacity building, especially/particularly in the areas of monitoring and enforcement of regulation.

204. The decision to implement the project through CaMPAM, an entity within UNEP-CEP which had a long track record in (i) initiating capacity building initiatives throughout the Wider Caribbean Region, (ii) providing technical assistance and training to advance some of the existing initiatives aimed at the development of national MPA systems, and (iii) some trans-boundary initiatives is in itself a strength of the project.

205. CaMPAM's involvement has served to strengthen and enhance its capacity to disseminate information among MPA practitioners and scientists throughout the entire Caribbean and to ensure that its Internet forum will continue to be used as a

medium for (1) sharing information, (2) compilation of MPA data that can be used by experts and the general public, (3) implementation of training activities, and (4) dissemination of best marine practices (for fishing and MPA management). All of the above have been developed over the last 15 years with the financial support and collaboration of individuals, experts and institutions, particularly UNEP-CEP, donors and the GCFI, CaMPAM's strongest partner.

206. Financial support (\$8,000 - \$10,000) through the small-grant initiative allowed individuals from the respective participating countries to obtain valuable first-hand experience in aspects of MPA management through exchange visits to other Caribbean Challenge countries or with other Caribbean countries (Cuba, Colombia, Mexico, and the Dutch Caribbean).

207. The development of an MPA communications network (currently over 750 members) which provides Caribbean MPA practitioners with news and other relevant information (over 40 messages posted on a monthly basis) on MPAs in the region and the wider world.

208. The development of an MPA database with timely and readily-accessible information on, among other things, best management practices; sustainable financing; alternative livelihoods; MPA planning and zoning; monitoring and effectiveness assessments.

209. The project has also contributed to the overall CCI, and more importantly, towards reaching the "20% by 2020" protection goal of governments. Additionally UNEP-CEP was granted, by the Italian Government (Project donor), additional funds in support of Caribbean biodiversity to build and capitalize on the best practices and lessons learned from this project.

210. The country representatives identified an extensive list of needs for MPA capacity building in each country, which were subsequently compiled in a detailed matrix. Common needs included awareness-raising regarding MPA regulations and the importance of MPAs - targeted at various levels from the public to policy and decision-makers; MPA funding and revenue generation; and limited human resources, including staffing, training and retention of staff.

211. This project was successful in stirring sufficient interest among the persons who participated in the training and exchange activities. They are now sufficiently aware of the benefits of the project and more people have now been trained to undertake activities in the respective countries.

212. The funding provided for the project was adequate enough to allow for the project initiatives to be successfully implemented.

5.1.2 Weakness

213. The time-frame for implementing the project was too ambitious, in light of existing capacity constraints and weak or non-existent institutional infrastructure for MPAs in the respective countries.

214. Over-ambitious goals meant that considerable time was lost at the start where, instead of proceeding with an immediate rolling out of the project activities, there was a need to spend valuable time educating personnel in the participating member countries about the project and revise and revamp some of the outputs.
215. With the exception of the Bahamas, whose Parliament approved The Bahamas Protected Area Fund (BPAF) Bill in 2013¹¹, and to some extent, Grenada, who not only ratified the LBS Protocol but also established an effective National MPA structure for Woburn Clark Courts Bay MPA, the other participating countries did very little to suggest there was political buy-in, notwithstanding the fact that this was an initiative to support on-going, funded projects in the participating countries. In some of the participating countries the areas designated as MPAs were in existence only in name. Though management plans have been prepared, the absence of legislative instruments or adequacy of management structures are still evident.
216. There is little evidence that any of the participating countries were prepared to adjust policies or legislation to give greater effect to the designation, and effective establishment of MPAs.
217. The project had as its main goal “To support the development of a biologically-representative, functional network of MPAs, capable of adapting to climate change ...”. However countries noted at the Puerto Rico meeting, 2010 that they did not have the capacity to do this at that stage and indicated other capacity building initiatives which were higher on their priority list and should be addressed first.
218. In respect to the establishment of the NPATF, insufficient time was allocated for its implementation. Whilst it is obvious that countries will gain financially from the establishment of the Trust Fund, the logistics involved in establishing such a mechanism (legislation, identifying trustees, etc) usually consume a significant time, given the need for national buy-in.
219. Projects of this nature should in future be designed as ‘agile’ projects in which an initial phase, with short-term goals would be defined, and at the end of this phase, a retrospective analysis would be conducted and the results would then largely inform the design of the next phase. This process can then be repeated until the overall defined goals have been achieved. In this way, the vagaries of the various levels of institutional capacity and lack of education within the eight participating countries would have been more robust and sustainable.
220. There should have been resources and time allocated for greater involvement of the governments of the participating countries in the formulation and design of the project. In that way, there would have been greater buy-in by the countries and the project components would have reflected the various levels of capacity and development.

¹¹The Bill effectively became law on July 9, 2014.

221. Project implementation during the subsequent reporting period should therefore incorporate the recommendations from the previous progress reports in order to bring the project back on schedule or keep it on schedule.
222. The lack of consistent public awareness can hinder the progress of MPA development and future projects, particularly wider public acceptance. As such, future projects should include a sufficiently funded public awareness component.
223. In both the PD and the TR it was stated that UNEP-CEP provided in-kind support amounting to \$300,000.00 USD while other partners provided another \$100,000.00 USD. However, in neither instance was any documentation presented to reflect those contributions. While it was confirmed by the TM and PO that this was not a requirement of the project, it should be noted that the UNEP Program Manual, 2013 does state (page 105, box 12) that "Project Managers are encouraged to provide relevant information in budget table (as footnote) project document and progress reporting". The evaluator is aware that other funding agencies do require quantification and reporting of in-kind contribution and good project management practice would likewise create similar obligations. In that regard, UNEP should consider making these requirements (quantification and reporting) standard operating procedures for future projects.

Table 10: Evaluation Rating Table

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
A. Strategic relevance	The project was highly satisfactory in terms of its consistency with sub-regional environmental issues given the growing threats to their economies as a result of overfishing, destruction of coral reefs, pollution and the overall loss of marine biodiversity and destruction of marine ecosystems. It was also consistent with UNEP's mandate and policies which included catalysing environmental awareness and action to address environmental threats.	HS
B. Achievement of outputs	All outputs were completed, though some delays were experienced. Those delays were due primarily to the slow response from countries to initial approaches by the project coordinating team, and a perceived difficulty on the part of many persons in the participating countries in distinguishing the Regional Support project from the larger Caribbean Challenge initiative being promoted by GLISPA.	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	The outcomes were achieved. Notable among those achievements were strengthened communications and increased capacity, given the training workshops and exchange visits facilitated	HS
2. Likelihood of impact	Notwithstanding the success of the outcomes, the likelihood of overall impact is rendered less likely, given the fact that so much of the anticipated impacts are dependent on sustainable financial support. Several countries prepared management plans, but in the absence of legislative or regulatory provisions mandating the implementation of those plans, their effectiveness and sustainability is not guaranteed.	ML
3. Achievement of project goal and planned objectives	On the basis of the analysis of the achievement of outputs, outcomes and the three intermediate results, there is little doubt that the project goals and planned objectives have been met. Admittedly it started off slower than expected, and some changes were made to the original objectives, however, the project coordinating team, responding to the expressed concerns of country Focal Points, was able to present cogent reasons for the proposed revision.	HS
D. Sustainability and replication		L
1. Financial	The continuation of project results is dependent on continued financial support. A few MPAs in some of the participating countries (The Bahamas, Dominican Republic, St. Vincent and the Grenadines and Saint Lucia) already had in place various user fees and cost recovery mechanisms. However, the majority of MPAs are incapable of attracting a sufficient level of interest and resources. The introduction of the CBF presents a very viable means of obtaining sustainable financing. However, until those countries have established their NPATF and the supporting management and regulatory mechanisms, they will be unable to drawdown on these pledged funds.	L
2. Socio-political	Socio-political factors are of some concern given the fact that the lack of political will to make hard policy changes or implement new legislation delay the introduction of necessary measures to satisfy the CCI as agreed upon. Also, with economic conditions worsening in some of the countries there could be an increase in the dependence on marine resources as an alternative livelihood source. This could present challenges for persons in neighbouring communities who may be reluctant to limit their traditional access to these resources.	L
3. Institutional framework	The project provided little direct support for the development of institutional framework. However, implicit in the preparation of Management Plans is the need to ensure that the institutional framework for management of these protected areas is adequately addressed. Some of the countries recognized	ML

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
	the need to address that component and used some of their mid-size grants to help with the enhancement of their management capacities (e.g. Co-Management Mechanism for the Grenadines MPA). However, the small amount of those resources was insufficient to provide long-term institutional support. Some governments pledged additional support, but it is strongly believed that such support would only be forthcoming following the drawing down of funds from the CBF.	
4. Environmental	Global warming and sea level rise are of real concern for small island states. Any rise in sea temperature could have devastating impacts on coral reefs and other marine ecosystems which inhabit those coastal areas. Likewise, any rise in sea levels could negatively impact on communities and their economic dependence on coastal and fishery resources. Apart from these concerns and with the introduction of adaptation measures there is great likelihood that the project will be sustainable.	L
5. Catalytic role and replication	Very little evidence that some of the initiatives which will spark a behavioural change (establishment of NPATF, MPA Management Plans, legislation and regulations establishing MPS) are close to being implemented. Only one country has drafted new legislation for the establishment of a NPATF while several others have promised to follow along that path. The enactment of new legislation or regulations is a slow and long process but it is hoped that the promise of funds under the SBF and the presence of a Fund Manager will serve to move the process along at a quicker pace.	ML
E. Efficiency	Cost and time saving measures were frequently implemented and efforts were made to build on other relevant initiatives.	S
F. Factors affecting project performance		S
1. Preparation and readiness	The project objectives were clear and relatively realistic. Partnership arrangements were properly identified, counterpart resources and good project management arrangements were in place. However, the non-involvement of the countries in the design of the project meant that they were not quite ready to proceed when the project coordinating team commenced the rolling out of the project. This was further delayed as changes had to be made to one of the objectives.	MS
3. Stakeholders participation and public awareness	The primary stakeholders were initially not directly involved in the planning and design of the project. However, once they became involved there was buy-in, as reflected in the changes to one of the outputs which was initiated by participants during discussions at the first Regional Coordinators meeting. Whilst adequate consultations were facilitated with and between stakeholders, the inadequacy of resources allocated to this component limited the extent of its effectiveness. Countries were encouraged, by the project coordination team, to issue regular press releases which highlighted milestones and achievements of the project. Several countries also kept open communications channels with communities in the vicinity of the MPAs thereby ensuring all who might be impacted were aware of and got opportunities to participate in the activities being undertaken.	S
4. Country ownership and driven-ness	By signing on to the CCI the countries had given explicit support to the overall goals of the project. That support continued to manifest itself in various forms such as support for the establishment of the Trust Fund and the willingness to support the preparation of MPA management plans. Unfortunately, that has not catalyzed the desired legislative and regulatory support that would indicate a strong country ownership.	MS
5. Financial planning and management	The financial reports (of the co-financing from the Italian Fund) submitted by the Executing Agency were generally in line with the approved budget items. There was in-kind support provided by UNEP-CEP and several other partners provided various in-kind support, including assisting with workshop expenses. One notable indication of resources leveraged by the project was the funding received by CERMES from NFWF to develop the	S

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
	SocMoninitiative.	
6. UNEP supervision and backstopping	Supervision and backstopping were generally in line with UNEP requirements. Half-yearly progress and financial reports were prepared, reviewed and received the necessary approvals by the UNEP/GEF TM and the UNEP/CEP Office PO	S
7. Monitoring and evaluation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees.	S
a. M&E Design	The M&E requirements were clearly spelt out in the PD and the half yearly reports submitted by the Regional PC and approved by the UNEP/CEP SPAW Program were satisfactory. Countries were also required to report on progress being made at the national level.	S
b. Budgeting and funding for M&E activities	Adequate provisions were made for M&E which consisted of review meetings scheduled to coincide with the annual GCFI meetings, the preparation of half yearly progress and financial reports and mid-term and terminal review. No provision, however, was made in the budget for a mid-term evaluation. The evaluator was informed that projects which are of less than two years duration do not meet the criteria for a mid-term evaluation.	S
c. M&E Plan Implementation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees.	S
Overall Project Rating		S

Table 11: Overview of conclusions, lessons learned and recommendations

Evaluation Criteria	Conclusions	Lessons Learned
Project design	<p>1. The decision to implement the project through CaMPAM was practical and ultimately very beneficial. CaMPAM has a long track record in (i) initiating capacity building initiatives throughout the rest of the Region, (ii) providing technical assistance and training to advance some of the existing initiatives aimed at the development of national MPA systems, and (iii) some trans-boundary initiatives.</p> <p>2. The project as originally designed was intended to provide support for the CC initiative and as such centered on a set of outputs which would have made the outcomes of the CC initiative more likely to be achieved. However, at the first Regional Coordinating Meeting convened in San Juan, Puerto Rico November 2-5, 2010, changes had to be made as it was indicated that some of the intended objectives were not practical.</p> <p>3. The time-frame for implementing the project, though adequate, was difficult to achieve given the capacity constraints and weak or non-existent institutional infrastructure of MPAs in the respective countries. Those constraints were manifested in slow responses to correspondence from the coordinating team, confusion as to who should attend meetings and general mis-understanding of the goals of the project given their initial inability to distinguish between the CCI (GEF/TNC) and the Regional Support project.</p> <p>4. Whilst the project might have fallen short in meeting its overall objective which was “advancing the establishment of a fully biologically representative, climate change resilient, and functional Marine Protected Areas (MPA) Network” its specific objectives –“enhancing the coherence and financial sustainability of the Caribbean MPA Network; establishing and supporting regional harmonization of monitoring and evaluation frameworks; and improving capacity of the Caribbean Challenge regional MPA practitioners,” were more realistic and were attained.</p> <p>5. A major short-coming was the relatively insignificant amount of resources and time allocated to communications.</p>	<p>1. Over-ambitious goals meant that considerable time was lost at the start where, instead of proceeding with an immediate rolling out of the project activities, there was a need to spend valuable time educating personnel in the participating member countries about the project and revise and revamp some of the outputs.</p> <p>2. Stakeholder involvement in MPA planning and management is essential for MPA success, and more emphasis should have been placed on mobilizing project support at the country level during the preparatory stage</p> <p>3. Despite the heavy use of online forms of communications, without the active involvement and attention of the project coordinating team in communications and awareness raising at the national level, not many persons outside of the immediate group of stakeholders were aware or sensitized to the objectives of the project.</p>

Evaluation Criteria	Conclusions	Lessons Learned
Strategic relevance	<p>1. The project was of great relevance because it sought to address specific national, regional and global concerns, namely: marine pollution, degradation of marine biodiversity, depletion of marine ecosystems and specifically fishery resources. It was also very much aligned with the funding initiatives being spearheaded by the GEF and the work plans of UNEP as it sought to provide critical support to the CC initiative by assisting with the management of MPAs. More importantly, it was intended to provide support to the countries which had received the initial GEF funds, but had limited capacity to fulfill the mandate of the project. However, the challenges encountered at the early phase, together with inherent capacity inadequacies within countries hindered the ability of the project to fully achieve overall goals.</p>	<p>1. Capacity constraints, unless addressed in a sustained and consistent manner could adversely affect future programs and projects aimed at addressing issues of critical concerns to SIDS, particularly those which threaten basic livelihood.</p>
Achievements of Outputs & Activities	<p>1. While it is difficult to ascribe value to qualitative accomplishments, the number of persons expressing satisfaction with the training received, the benefits noted from opportunities provided to interact with other MPA practitioners and the sheer volume of information (marine science, fisheries management, climate change challenges and MPA management) shared and being circulated through the list-serve leaves little doubt that the training aspect of the project was a success.</p> <p>2. The development of an MPA communications network (currently over 750 members) has provided Caribbean MPA practitioners with news and other relevant information (over 40 messages posted on a monthly basis) on MPAs in the region and the wider world.</p> <p>3. Whilst it was a great accomplishment to establish and populate the database on MPAs in the region, concern was expressed by the project coordinating team of insufficient use of that tool in MPA management.</p>	<p>1. Training senior MPA managers as regional mentors contributed to building respect, and capacity as well as accelerate the dissemination of best practices across the region</p> <p>2. Exchange visits were highly important as a training tool as it provides personnel being trained with practical, first-hand experience in developing their capacities and raising their knowledge level of MPA management.</p> <p>3. Enhancing capacity of MPA Rangers through training is essential to improve enforcement capacity.</p>
Effectiveness	<p>1. A number of activities were undertaken which addressed some critical concerns and provided valuable support in enhancing and building capacity for MPA management.</p> <p>2. The funding made available to each of the participating countries, though relatively small was adequate enough to allow the countries to accomplish</p>	<p>1. Disseminating information broadly through the internet network attracts the attention of potential institutional partners and donors for the virtual continuation of the project.</p> <p>2. The development of an MPA database with timely and readily-accessible information on, among other things, best management</p>

Evaluation Criteria	Conclusions	Lessons Learned
	significant strides particularly in obtaining training (enforcement) and infrastructure support.	practices; sustainable financing; alternative livelihoods; MPA planning and zoning; monitoring and effectiveness assessments.
Sustainability & Replication	<p>1. The project has also contributed to the overall Caribbean Challenge Initiative, and more importantly, towards reaching the “20%by 2020” protection goal of governments. Additionally UNEP-CEP was granted, by the Italian Government (Project donor), additional funds in support of Caribbean biodiversity to build and capitalize on the best practices and lessons learned from this project.</p> <p>2. This project was successful in that it stirred and sustained interest among the persons who participated in the training and exchange actives. They are now sufficiently aware of the benefits of the project and more people are now trained to undertake activities in the respect countries.</p> <p>3. Whilst this project would have no doubt, achieved its immediate objectives (enhanced cooperation and coordination, monitoring programmes initiated and training provided in MPA management, enforcement and revenue generation) there was little in the way of behaviour changes (policies implemented, legislation enacted, institutional arrangements enhanced), to suggest long-term viability.</p> <p>4. There was very little evidence of political buy-in, notwithstanding the fact that this was an initiative to support on-going, funded projects in the participating countries. Several MPA management plans were drafted, but the actual legislation and regulations making them effective management instruments have not yet been adopted.</p>	<p>1. Communities in the vicinity of MPA will need assistance in seeking alternative livelihoods for fishers displaced by the establishment of MPAs, especially if management measures such as limiting access to resources may have to be introduced to protect depleted fisheries resources.</p> <p>2. Combining no take areas with areas of responsible fishing within and close to MPAs is critical to restore marine resources</p> <p>3. Valuating ecosystem services within MPAs is necessary to show its economic value and the need for protection</p> <p>4. The involvement of academia in conducting research and monitoring is crucial for sustainable MPA management</p>
Efficiency	1. Quite a significant amount of work was accomplished on a limited budget primarily because significant use was made of modern forms of communications such as the internet.	
Factors Affecting Project Performance	1. In respect of the establishment of the NPATF insufficient time was allocated for its implementation. Whilst it is obvious that countries will gain financially from the establishment of the Trust Fund, the logistics involved in establishing such a mechanisms (legislation, identifying trustees, etc) usually consumes a significant	<p>1. The lack of consistent public awareness can hinder the progress of national parks development.</p> <p>2. Educating school teachers is essential to increase environmental awareness and knowledge in all islands.</p>

Evaluation Criteria	Conclusions	Lessons Learned
	<p>amount of time given the need for national buy-in.</p> <p>2. Very little resources were set aside for communications and public awareness. Countries, however, were encouraged to prepare press releases and other public awareness campaigns in support of their national initiatives.</p> <p>3. Public Awareness/Communications were severely lacking. A significant outcome of the project was scaling up and replication but very little resources were allocated to the project and no significant training or assistance seems to have been given to countries to assist them with a strategy or plan for engaging their various constituents through public awareness initiatives aimed at further convincing them about the merits of MPAs as an efficient means of marine resource conservation.</p>	<p>3. Communication and education awareness programmes are essential in obtaining wider stakeholder support for initiatives which are being designed for their benefit.</p> <p>3. The sustainable financing of MPAs can only be achieved with a combination of tools, including the implementation of users' fees and national mechanisms to generate capital (funds, taxes, etc.).</p>
Monitoring & Evaluation	<p>1. In both the PD and the TR it was stated that UNEP-CEP provided in-kind support amounting to \$300,000.00 USD while other partners provided another \$100,000.00 USD. However, in neither instance was any documentation presented to reflect those contributions. While it was confirmed by the TM and PO that this was not a requirement of the project, it should be noted, UNEP Program Manual, 2013 does state (page 105, box 12) that "Project Managers are encouraged to provide relevant information in budget table (as footnote) project document and progress reporting".</p>	<p>1. The evaluator is aware that other funding agencies do require quantification and reporting of in-kind contribution and good project management practice would likewise create similar obligations. In that regard, UNEP should consider making these requirements (quantification and reporting) standard operating procedures for future projects.</p>
Recommendation(s)	<p>Though the project has ended, the following recommendation is being made primarily to ensure that the achievements of the project are sustained, but more importantly, that the sustainable goals are achieved and that other UNEP/GEF projects recognize the importance of a communication initiatives as they seek to generate greater publicity and heighten awareness of the social, economic and environmental benefits of projects being implemented in the respective countries. The recommendation is directed to UNEP/GEF, TNC, GLISPA and the authorities in the participating countries who are responsible for the implementation of Marine Protected Areas.</p> <p>A Considerable amount of awareness was generated about the project, but much of that was among persons who participated in the project or benefited from the training provided. Participants in the respective countries express considerable satisfaction with the enhancement of their knowledge of MPA management, much of that due to the training provided, particularly the exchange programmes which allowed them to interact directly with practitioners in countries which had considerable experience in the particular area. Several of these countries held training initiatives to provide further skill enhancement to various persons employed with their national MPAs. However, one of the greater goals of the project, ensuring</p>	

Evaluation Criteria	Conclusions	Lessons Learned
	<p>sustainable financing of the national system of protected areas through the creation of national level protected area trust funds and relevant policy is yet to be fulfilled. Part of reason for this limited success is due to the fact that the establishment of these national trust funds is the responsibility of the governments and though workshops were held in the respect countries and draft model legislation for the establishment of those funds were given to the countries, none of the countries had adopted new policies or introduced legislations giving effect to the establishments of these funds.</p> <p>The establishment of policy and adoption of legislation will require much more effort and time than was permitted under the project and will in fact require the raising of awareness of the importance of MPAs as a form of marine biodiversity conservation and the extent to which the financing mechanisms can ensure their sustainability. In that regard, it is proposed that additional resources should be provided to participating countries to raise the awareness of the project through an enhanced national communications programme targeting not just direct uses and beneficiaries in the local communities, but the wider public and ultimately, decision makers.</p> <p>Additional funding should be provided to CaMPAM to enable them to prepare generic public education awareness materials on MPA management aimed at local communities. Such material could speak to other pressures on MPAs in a holistic manner such as impacts of climate change, sea level rise, and MPA as a form of biodiversity conservation while promoting sustainable livelihoods. This will assist in progress towards achievement of the global environmental benefits.</p> <p>The dissemination and promotion of the benefits of establishing MPA will not only serve to generate attention, but encourage (providing support) the creation of local materials to highlight local conditions particularly MPAs which are under high threat from climate change impacts, and the need for alternative forms of livelihoods to address concerns of persons in communities affected by restrictions, which may have to be imposed, on access to and use of their traditional forms of employment and economic activities. More importantly, it will expose management personnel as well as other decision makers in the respective countries of the potential which these MPS have to earn revenue and ensure their viability and sustainability.</p> <p>Five of the eight countries who participated in the Regional Support for the CCI are currently participating in the Eastern Caribbean Marine Managed Areas Network (ECMMAN) which is intended to further enhance the development of management plans for marine protected areas. The recommendation, therefore is for funding to be channeled through the CaMPA-ECMMAN initiative specifically aimed at sufficient capacity is created to raise the level of awareness of the benefits of the establishment of MPAs and obtaining greater national support for the establishment of sustainable financing mechanisms, including the establishment of national trust funds as part of the development of management plans and the creation of institutional support for the management of MPAs.</p>	

Table 12: Answers to Fundamental Questions for the Terminal Evaluation

Questions	Answers
To what extent did the project contribute to the establishment of a fully biologically representative, climate change resilient, and functional MPA Network?	This question presupposes that this was an objective of this project, when that was not the case. In fact, it is an overall goal, which is more in keeping with a desired outcome which is beyond the life of this project. Notwithstanding, the training project initiated under the Regional Support sought to inform on the importance of maintaining marine biodiversity as well as drawing attention to the impacts of climate change, including sea level rise.
To what extent has the project enhanced coordination and financial sustainability of a large-scale trans-boundary (national and eco-regional) Caribbean MPA Network?	CaMPAM Network and Forum (dedicated website), a reliable electronic communication platform has provided a means whereby participating countries can network with each other. The network is used for sharing information as well as providing opportunities for MPA personnel to interact with each other, and share experiences.
Is there evidence of improved collaboration among participating countries for planning, managing and monitoring of MPAs?	The CaMPAM Forum and Network has certainly created a platform whereby countries can communicate and share information with each other. Several persons interviewed confirmed that this is the case, though there is room for growth. One example of that collaboration for planning and management is the co-management initiative between Grenada and St. Vincent and the Grenadines.
Is there evidence of improved capacity for management of MPAs?	All of the participating countries reported improved capacity for management of their MPA. That was because they all benefited from the training workshops, learning exchange visits, and infrastructure support, made possible through small and mid-size grants provided by the project. The improvements to infrastructure including the installment of marine buoys, demarcation of boundaries and equipment for patrolling and monitoring the areas under their jurisdiction, resulted in a significant improvement in the capacities of what was previously, in several cases, paper parks.
To what extent did the project succeed in providing technical support to member States on strengthening the science-policy interface on biodiversity and ecosystem services?	The training workshops provided opportunities for participants to become more familiar with the science behind MPA management. Their participation in the GCFI annual meetings (2010, 2011, 2012) also allowed them to benefit from papers presented on a host of topics ranging from the science of fisheries management to marine biodiversity, including threats from invasive species to understanding the economic benefits of ecosystem services.
To what extent has the project contributed to the achievement of the goals of the Caribbean Challenge initiative?	The CC initiative has as its primary objective the protection of at least 20% of the near-shore marine and coastal habitats by 2020. However, underpinning that objective is a number of other activities aimed at enhancing the financial sustainability and technical capacities of these MPAs. Several training activities were undertaken to assist with enhancing the technical capacities of participating countries while efforts to ensure the financial sustainability (e.g. establishing the Trust Fund and workshops on Financial Sustainability) are ongoing.
To what extent can behavioural and systematic change in the management of Caribbean MPAs be attributed to project activities, and which, if any, have been most effective in bringing about change?	While there were a large number of outputs undertaken to achieve desired outcomes, there were very few, if any, which created behavioural or systematic changes in management which can be attributed to the project. Another difficulty in identifying behavioural change is that these are usually realised over a time period which is much longer than the duration of the project. For example, several countries have embarked on the preparation of MPA Management/Systems Plans. However, behavioural change can only be accurately be measured or determined to have been realised when these plans have been adopted.
To what extent is there evidence of policy makers increased awareness of the threats to coastal and marine resources and the role of MPAs in resource conservation and sustainability?	All of the countries reported continuing interest on the part of policy makers in understanding the threats to coastal and marine resources and in the use of MPA as a form of marine biodiversity conservation. However, initiatives which would indicate growing or increased awareness have not been forthcoming other than the commitments already given.

Terms of Reference for the Evaluation

1. Objective and Scope of the Evaluation

1. In line with the UNEP Evaluation Policy¹² and the UNEP Evaluation Manual¹³, the evaluation of the Project “Regional Support to Caribbean Challenge” should be undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and its partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of key questions, based on the project’s intended objective and outcomes, which may be expanded by the consultants as deemed appropriate:
 - a. To what extent did the project contribute to the establishment of a fully biologically representative, climate change resilient, and functional Marine Protected Areas (MPA) Network?
 - b. To what extent did the project succeed in providing technical support to member States on strengthening the science-policy interface on biodiversity and ecosystem services?
 - c. To what extent has the project contributed to the achievement of the goals of the Caribbean Challenge initiative?

2. Overall Approach and Methods

2. The terminal evaluation of the Project “Regional Support to Caribbean Challenge” will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with UNEP/GEF (Washington) and UNEP/CEP (Jamaica).
3. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.
4. The findings of the evaluation will be based on the following:

¹²

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

¹³

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

- a. A desk review of project documents¹⁴ including, but not limited to:
 - Relevant background documentation, inter alia UNEP and other partners, policies, strategies and programmes pertaining to the establishment and management of marine protected areas and the science-policy interface for biodiversity and ecosystem management;
 - Project design documents; annual work plans and budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports such as progress and financial reports from participating countries, Steering Committee meeting minutes; annual reviews and relevant correspondence;
 - Documentation related to project outputs and relevant materials published on the project web-site;
 - Project publications.

- b. Interviews¹⁵ with:
 - UNEP/GEF and UNEP/CEP project management;
 - National partners;
 - Other relevant UNEP Divisions;
 - Representatives of other multilateral agencies and other relevant organizations
 - Donor representatives.

3. Key Evaluation principles

5. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned¹⁶. Analysis leading to evaluative judgements should always be clearly spelled out.

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

¹⁴ Documents to be provided by the UNEP are listed in Annex 5.

¹⁵ Face-to-face or through any other appropriate means of communication

¹⁶ Individuals should not be mentioned by name if anonymity needs to be preserved.

7. **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
8. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between what has happened with and what would have happened without the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance. As the project aimed to contribute to the goals of a wider initiative, the Caribbean Challenge, the evaluation should attempt to establish the level of attribution between the projects' deliverables and the attainments of those goals.
9. As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the "why?" question should be at front of the consultants' minds all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of "what" the project performance was, and make a serious effort to provide a deeper understanding of "why" the performance turned out the way it did, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain "why things happened" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of "where things stand" today. The consultant could also provide recommendations for the way forward. As a new agreement has been signed between UNEP and the Government of Italy to build upon the project's results, the evaluation should focus on lessons which can be integrated in the implementation of the current project.

4. Evaluation criteria

A. Strategic relevance

29. The evaluation will assess, in retrospect, whether the Caribbean Challenge project's objectives and implementation strategies were consistent with global and regional environmental issues and needs.
30. It will also assess whether the project was aligned with UNEP's Medium-term Strategy 2010-2013 and Programmes of Work 2010-2011 and 2012-2013. The UNEP MTS 2010-2013 specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. The Caribbean Challenge project was located under the Ecosystem Management Sub-programme. The evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described.
31. The evaluation will also assess whether the project objectives were realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate.

B. Achievement of Outputs

32. The evaluation will assess, for each component, the project's success in producing the programmed outputs and milestones as presented in Section 3 above, both in quantity and quality, as well as their usefulness and timeliness.
33. Briefly explain the reasons behind the success (or failure) of the project in achieving its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results).

C. Effectiveness: Attainment of Objectives and Planned Results

34. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.
35. The evaluation will reconstruct the **Theory of Change (ToC)** of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). It also clearly identifies the main stakeholders involved in the change processes.
36. The assessment of effectiveness will be structured in three sub-sections:
 - a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For the Caribbean Challenge project, the main question will be to what extent the project has achieved its main objective to advance the establishment of a fully biologically representative, climate change resilient and functional Marine Protected Areas network.
 - b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach¹⁷. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to improved decision-making by the relevant stakeholders towards the achievement at the regional and global level of internationally agreed environmental goals as a result of the projects outcomes, and the likelihood of those changes in turn leading to behavioural changes in environmental management and, ultimately, to positive changes in the natural resource base, benefits derived from the environment and human living conditions.
 - c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results

¹⁷ Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

statements as presented in the Project Document and Project Document Supplement (see Table 2). This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

D. Sustainability and replication

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

38. Four aspects of sustainability will be addressed:

- a. *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
- b. *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources¹⁸ will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? Has the project been able to contribute to securing financial resources for the establishment and long term management of legally protected areas?
- c. *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources? Is there

¹⁸ Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

any evidence of increased capacity to use science for policy making? Is there any evidence of increased ability to protect and manage sensitive marine ecosystems and biodiversity?

- d. *Environmental sustainability*. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?
39. **Catalytic Role and Replication**. The *catalytic role* of UNEP is embodied in its approach of supporting the creation of an enabling environment and of investing in activities which are innovative and showing how new approaches and market changes can work. UNEP, GEF and other partners also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:
- a. *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;
 - b. provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
 - c. contributed to *institutional changes*. To what extent have the project activities contributed to changing institutional behaviour;
 - d. contributed to *policy changes* (on paper and in implementation of policy);
 - e. contributed to sustained follow-on financing (*catalytic financing*);
 - f. created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).
40. *Replication*, in the context of UNEP projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). What are the factors that may influence replication and scaling up of project experiences and lessons? In this particular case, the evaluation will assess how the project has made sure that plans, programmes, institutions, agreements and management systems developed are going to be put to good use in the subsequent project(s).

E. Efficiency

41. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the

project as far as possible in achieving its results within its secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions.

42. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.

F. Factors and processes affecting project performance

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

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

- a. Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- b. Assess the role and performance of the units and committees established and the project execution arrangements at all levels.
- c. Evaluate the effectiveness and efficiency of project management by UNEP CEP and other relevant UNEP Divisions and how well the management was able to adapt to changes during the life of the project. How well did the relationship between UNEP/GEF and UNEP/CEP and other partners work? How well did the cooperation with the selected counties work? How successful was the project in establishing partnerships with other implementing agencies for the Caribbean Challenge (mainly UNDP and the World Bank)? To what extent did the project build upon and strengthen synergies with the other GEF funded projects?
- d. Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations.

- e. Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems.
45. **Stakeholder¹⁹ Participation and Public Awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:
- a. the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?
 - b. the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
 - c. how the results of the project (studies, assessment frameworks, etc.) engage project users' communities and their institutions.
46. **Country Ownership and Driven-ness.** This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:
- a. Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating information on protected areas protection and management that catalyzed action to improve decisions relating to the conservation and management of biodiversity.
 - b. Assess the level of country commitment to the generation and use of research related to Caribbean marine protected areas during and after the project, including in regional and international fora. Assess the extent to which this research is better used in policy making as a result of the project.
47. **Financial Planning and Management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

¹⁹ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- a. Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
 - b. Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
 - c. Present to what extent co-financing has materialized as expected at project approval. Report co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see Annex 3).
 - d. Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.
48. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.
49. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:
- a) The adequacy of project supervision plans, inputs and processes;
 - b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
 - c) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanism work? What were the strengths in guidance and backstopping and what were the limiting factors?
50. **Monitoring and Evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

1. *M&E Design*. The evaluators should use the following questions to help assess the M&E design aspects:

- Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives?
- How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

2. *M&E Plan Implementation*. The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- Half-yearly Progress & Financial Reports were complete and accurate;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

G. Complementarities with the UNEP strategies and strategies

51. *Alignment with the Bali Strategic Plan (BSP)*²⁰. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

²⁰ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

52. *Gender*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
53. *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation. Specifically, assess the level of cooperation with other GLISPA participating regions, e.g. Micronesia.

5. The Consultants' Team

54. The evaluator will conduct the entire evaluation including data collection and analysis and preparation of the main report and ensure that all evaluation criteria are adequately covered. A Master's degree or higher in the area of environmental sciences or a related field and at least 10 years' experience in environmental management is required. Expertise in ecosystem management, biodiversity and marine protected areas will be considered an advantage.
55. By undersigning the service contract with UNEP/UNON, the consultant certifies that (s)he has not been associated with the design and implementation of the project in any way which may jeopardize his/her independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of their contract) with the project's executing or implementing units.

6. Evaluation Deliverables and Review Procedures

56. The evaluation team will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.
57. It is expected that a large portion of the desk review (see paragraph 23) will be conducted during the inception phase. It will be important to acquire a good understanding of the Caribbean Challenge context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):
- Strategic relevance of the project
 - Preparation and readiness (see paragraph 48);
 - Financial planning (see paragraph 52);
 - M&E design (see paragraph 56(a));
 - Complementarity with UNEP strategies and programmes (see paragraphs 57-59);
 - Sustainability considerations and measures planned to promote replication and up-scaling (see paragraphs 42-45).

58. The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC before most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.
59. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.
60. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.
61. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.
62. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.
63. **Review of the draft evaluation report.** The evaluation team will submit a zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with relevant stakeholders. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.
64. The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.
65. **Submission of the final Terminal Evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the

report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office website www.unep.org/eou.

66. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.
67. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

7. Logistical arrangements

68. This Terminal Evaluation will be undertaken by one independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP CEP Team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible

8. Schedule of the evaluation

Activity	Date (s)
Start of the evaluation	14 April 2014
Inception report	25 April 2014
Comments from Evaluation Office	2 May 2014
Field visits	5 – 15 May 2014
Zero Draft report	23 May 2014
Comments from Evaluation Office	30 May 2014
First draft report	6 June 2014
Comments from stakeholders	20 June 2014
Final report	27 June 2014

69. The consultant will visit three or four participating countries in the region and the UNEP/CEP office to conduct interviews with relevant stakeholders, including Ministries and other actors. The schedule of the field visits and the choice of countries will be discussed with the UNEP Task Manager and the Evaluation Office.
70. Consultations will be held between the consultant, Evaluation Office staff, the UNEP/GEF, UNEP/CEP and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.
71. **Submission of the final evaluation report:** The final report shall be submitted by email to:

Mr. Michael Spilsbury

Chief
UNEP Evaluation Office
Email: michael.spilsbury@unep.org

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

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72. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou and may be printed in hard copy.
73. As per usual practice, the UNEP Evaluation Office will prepare a quality assessment of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against UNEP criteria as presented in Annex 5.
74. The UNEP Evaluation Office will also prepare a commentary on the final evaluation report, which presents the Evaluation Office ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report.

Persons Contacted (highlighted) and stakeholder

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8. The MPA Database <http://campam.gcfi.org/CaribbeanMPA/CaribbeanMPA.php>
9. Report of the 2010 UNEP-CEP Caribbean Challenge Regional Project Update Meeting <http://campam.gcfi.org/CaribbeanChallenge/UNEP-CEP-CaribChallengeNov2010RegionalUpdateMtgReport.pdf>
10. Report of the 2011 UNEP-CEP Caribbean Challenge Regional Project Update Meeting <http://campam.gcfi.org/CaribbeanChallenge/UNEP-CEP-CaribChallengeNov2011RegionalUpdateMtgReport.pdf>
11. Report of the 2012 UNEP-CEP Caribbean Challenge Regional Project Final Meeting <http://campam.gcfi.org/CaribbeanChallenge/UNEP-CEP-CaribChallengeNov2012RegionalUpdateMtgReport.pdf>
12. St. Lucia - A Teacher's Guide to Marine Environmental Education
http://campam.gcfi.org/CaribbeanChallenge/MidGrants/StLucia_MPA_Manual_-_FINAL.pdf
13. Mid-Size Grants: Strengthening the Management of the MPA Network in Antigua and Barbuda
<http://campam.gcfi.org/CaribbeanChallenge/MidGrants.php#AntiguaBarbuda>
14. Development and Effective Management of Marine Protected Areas in The Abacos <http://campam.gcfi.org/CaribbeanChallenge/MidGrants.php#Bahamas>

15. Increasing the Effectiveness of the Marine Protected Area System in the Dominican Republic <http://campam.gcfi.org/CaribbeanChallenge/MidGrants.php#DR>
16. Supporting the Development of an Effective National MPA Structure in Grenada: From Training MPA Wardens, Managers, and Board Members, To Raising Community Awareness and Developing Alternative Livelihood Skills <http://campam.gcfi.org/CaribbeanChallenge/MidGrants.php#Granada>
17. Building Infrastructure and Development of a Framework for the Management of Marine Protected Areas in St. Kitts and Nevis <http://campam.gcfi.org/CaribbeanChallenge/MidGrants.php#SKN>
18. Training Teachers to Increase Student Awareness and Understanding of the Importance of Marine Protected Areas in Saint Lucia <http://campam.gcfi.org/CaribbeanChallenge/MidGrants.php#StLucia>
19. Exchange visit of fishermen and MPA staff of the Soufriere Marine Management Area to Puerto Morelos National Park, Mexico <http://campam.gcfi.org/SGF/SGFEng.php#STENAPA>
20. United Nations Environment Programme “MPA Strengthening in the Wider Caribbean and the Caribbean Challenge”, February 2010
21. UNEP “Terminal Report: Regional support for the Caribbean Challenge Initiative: Networking, consolidation and regional coordination of MPA management. Submitted”, July 30, 2013
22. United Nations Half Yearly Progress Report 1 March 2010 to 31 December 2010
23. United Nations Half Yearly Progress Report 1 January 2011 to 31 June 2011
24. United Nations Half Yearly Progress Report 1 July 2011 to 31 December 2011
25. United Nations Half Yearly Progress Report 1 January 2012 to 31 June 2012
26. United Nations Half Yearly Progress Report 1 July 2012 to 31 December 2012
27. Caribbean Challenge Initiatives in Antigua and Barbuda, Prepared by Tricia Lovell Senior Fisheries Officer and Philmore James Deputy Chief Fisheries Officer Fisheries Division, 65th Gulf and Caribbean Fisheries Institute Conference, Santa Marta, Colombia, 5th – 9th November 2012
28. The Bahamas UNEP-CEP Activities for 2012, Presented by Lindy Knowles
29. Hayman, Alicia A. The Bahamas’ Sustainable Financing Mechanisms Action Plan, October 1, 2012
30. 65th Gulf and Caribbean Fisheries Institute Conference, Santa Marta, Colombia, 5th – 9th November 2012

31. St.Kitts and Nevis MPA Awareness Workshop, Althea Arthurton&Asim Jenkins, Departments of Fisheries, 65th Gulf and Caribbean Fisheries Institute Conference, Santa Marta, Colombia, 5th – 9th November 2012
32. Caribbean Challenge Initiative, St. Lucia Report, Nadia Cazaubon65thGulf and Caribbean Fisheries Institute Conference, Santa Marta, Colombia, 5th – 9th November 2012
33. Standardization and Optimization (Stand-Op) of Existing Marine Protected Areas In The Dominican Republic
34. Improvement in the Management Effectiveness of Jamaica’s Marine Protected AreasAndrea Donaldson, Manager, Santa Marta, Colombia, November 5-9 2012
35. Regional Support for the Caribbean Challenge Initiative: Networking, Consolidation and Regional Coordination of MPA ManagementSteve Nimrod
36. UNEP Program Manual, May 2013
http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf
37. UNEP-CEP-CaMPAM Support To MPA Management In St. Vincent And The Grenadines, GCGI 65th Annual Conference 2012, Santa Marta, ColumbiaAndrew A Lockhart
38. Regional consultation meeting of the “Regional coordination mechanism to build MPA capacity of the Insular Caribbean countries associated with the Caribbean Challenge” San Juan, Puerto Rico November 2-5, 2010, Georgina Bustamante
39. Statement by the Global Intergovernmental and Multi-stakeholder Consultation on the Fifth Global Environment Outlook held in Nairobi from 29 – 31 March 2010 UNEP/IGMC.2 Rev.2 http://www.unep.org/geo/pdfs/geo5/GEO-5_FinalStatement.pdf

Summary of Co-Financing and Statement of Project Expenditure by Activity

Summary of Co-financing

Co financing (Type/Source)	UNEP own Financing (US\$1,000)		Government (US\$1,000)		Other* (Italian Fund) (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants	28,000	0			1,257,660	1,207,446	1,557,660	1,207,446	1,207,446
- Loans									
- Credits									
- Equity investments									
- In-kind support	300,000	300,000							
- Other (*)									
-									
-									
Totals	328,000	300,000			1,257,660	1,207,446	1,557,660	1,507,446	1,507,446

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

Statement of Expenditure by Activity

Component/sub-component/output	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)
Personnel Component	226,500.00	205,731.84	0.91
Sub-Contract Component	345,500.00	683,659.00	1.98
Training Component	639,077.00	297,442.82	0.47
Miscellaneous Component	46,583.00	20,583.00	0.44
Total	1,257,660.00	1,207,446.66	0.96

Brief CV of the Consultant

David A. Simmons is the Principal of SIMMONS & ASSOCIATES a registered consulting practice specializing in environmental policy, planning and management. Mr. Simmons holds a Diploma in Law, University of Wolverhampton, U.K., a Masters in International Relations (Specializing in International Law and Law of the Sea) from Dalhousie University, Halifax, NS., Canada; and, B.A. (Hon.) International Relations, majoring in International Politics and Economics from the University of Windsor, Windsor, Ontario, Canada.

Before going into private practice Mr. Simmons worked with the Caribbean Conservation Association (CCA), a regional, non-governmental organization in Barbados, where, he advised and assisted several governments of the region on various aspects of Environmental Policy, Planning, Management and Sustainable Development. He later assisted with the establishment of the OECS Fisheries Unit (a fore runner to the CARICOM Fisheries Management Unit) and was Project Manager for the implementation of the OECS Solid and Ship-generated Waste Management Project, a US\$50 million GEF funded project which involved the restructuring and establishment of effective institutional, legal and regulatory and operational capacities for solid waste management in six OECS countries.

Mr. Simmons has considerable experience in the areas of institutional analysis and environmental policy planning and management having been contracted to undertake the preparation of several studies including: “*Policy, Legal and Institutional Review for Climate Change Adaptation in the OECS,*” (OECS, 2012); “*Review of the National Environmental Governance System in St. Lucia*” as it relates to the obligations emanating from the *Revised Treaty of Chaguaramas* (CARICOM, 2011); Coordinated the preparation of the “*Policy, Legislation and Institutional Arrangements for Solid Waste Management in Belize*” (Gov. of Belize, 2010); prepared the *Environmental Management Framework* document for St. Lucia (Government of Saint Lucia, 2008); Assessed the Capacity for Solid Waste Management in disaster situations (PAHO, 2002) , coordinated the preparation of the “*Regional Programme of Action for the implementation of SIDS/Program of Action*” (ECLAC, 1996); and the main author on the publication “*The Impact of Tourism on the Marine Environment of the Caribbean, with Special Reference to Cruise and other types of Marine-based Tourism*” (CTO, 1994).

More recently he has been involved in the terminal evaluation of the GEF funded *Integrated Watershed and Coastal Areas Management (IWCAM)* programme, in Caribbean Small Island Developing States and providing editorial review of the “*Green Economy in SIDS*” report which articulated the opportunities and enabling conditions for transitioning to a Green Economy in SIDS.

Mr. Simmons has written and edited several publications and presented papers at several distinguished gatherings. Among these is a paper entitled “*Climate Change Governance Architecture in Caribbean Jurisdictions*” which he presented at Earth System Governance Conference in Tokyo, Japan, in January 2013, and a 1991 publication “*Caribbean Ecology and Economics*” which he co-edited with the late Professor Norman Girvan.

UNEP Evaluation Quality Assessment

Evaluation Title:

Terminal Evaluation of the Project “Caribbean Challenge Support”
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All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Final report: Good summary presenting key points	5	6
B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Good overview of context, changes adequately discussed and key evaluation questions revised based on additional information provided on the project Final report: Overview of context used to anchor conclusions and recommendations	5	5
C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	Draft report: Analysis of strategic relevance is good, but not too detailed Final report: More information on links to UNEP added under complementarities with UNEP programme	4	5
D. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by	Draft report: Yes well-reasoned analysis presented Final report: Same as above	5	5

	the intervention (including their quality)?		
E.	Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: ToC reconstruction was clear from draft report Final report: Same as above	4 5
F.	Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: This section was lacking details on the actual achievement of outcomes and likelihood of impact Final report: Section revised to include more comprehensive analysis	4 5
G.	Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Analysis is well reasoned and based on evidence, main R addresses the point of how to ensure sustainability of results Final report: Same as above	5 5
H.	Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: Good analysis, no comparisons are attempted Final report: Same as above	5 5
I.	Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Full analysis, financial data was initially missing as it could not be obtained easily, although not for lack of trying from the consultant's side Final report: Financial data added	4 5
J.	Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Conclusions capture the key points and present strengths and weaknesses Final report: Same as above	5 5
K.	Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: One key recommendation addressing future project Final report: Recommendations are actionable and target key specific issues.	5 5
L.	Quality and utility of the lessons:	Draft report:	5 6

Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Lessons are relevant and specific Final report: Same as above		
Report structure quality criteria			
M. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Some annexes not included (notably on finances), structure has been followed Final report: All required annexes have been included	4	6
N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Yes good description of methods and limitations Final report: Same as above	5	5
O. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Well written report Final report: Well written report	6	6
P. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Good formatting from zero draft Final report: Good formatting with minor adjustments needed	5	5
OVERALL REPORT QUALITY RATING		4.6	5.2

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
Evaluation process quality criteria			
Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Inception report finalised before travel		5
R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	TE started one year after end of activities, but before the project was closed. The evaluation could have started earlier so as to happen closer to the actual end of activities. Some delays led to longer than planned implementation time frame		4
S. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in	Yes, all documents were made available and support provided in the planning of the mission, but it took time to obtain the relevant financial information.		4

planning and conducting evaluation missions?			
T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Yes		6
U. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	Yes, report was peer reviewed and assessment done		6
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	Yes, ToR shared with TM and stakeholders for comment. Comments from UNEP compiled by EOU with comments from EOU and circulated to relevant colleagues, only minor comments were received from stakeholders		6
W. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Yes		6
X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes, independent and no conflict of interest		6
OVERALL PROCESS RATING			5.4

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.