United Nations Environment Programme

Terminal Evaluation of the UN Environment Project "Building Capacity for Coastal Ecosystem-based Adaptation in Small Island Developing States"

Evaluation Office of UN Environment

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Photos credits:
Front cover: “UNEP-EBA Project”, Grenada and Seychelles.

Photo captions, front cover, clockwise from top left:

- outplanting coral fragments in the Seychelles
- training manual developed by the project in Grenada
- coral nursery in Praslin Island, Seychelles
- participants in Caribbean regional training workshop held in Grenada

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This report has been prepared by an independent consultant evaluator, Mr. Yves Renard and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Senior Management.

For further information on this report, please contact:

Evaluation Office of UN Environment
P. O. Box 30552-00100 GPO
Nairobi Kenya
Tel: (254-20) 762 3389
Email: chief.eou@unep.org

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Evaluation team
Yves Renard – Evaluation Consultant

Evaluation Office of UN Environment
Tiina Piiroinen – Evaluation Manager
Mercy Mwangi – Evaluation Programme Assistant

ABOUT THE EVALUATION[1]

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Brief Description: This report is a terminal evaluation of a UN Environment project implemented between 2014 and 2016. The project's overall development goal was to strengthen the resilience and adaptive capacity of communities that depend on coastal ecosystem services provided by coral reefs and associated ecosystems. The evaluation sought 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, lessons learned and recommendations among UN Environment, the European Commission, the Governments of Grenada and Seychelles and the relevant agencies of the project participating countries.

Key words: climate change; climate change adaptation; coast; coastal ecosystem; coastal management; reef; coral reef; ecosystem management; ecosystem-based adaptation; EC; ENRTP; marine; marine ecosystem; marine environment; project evaluation; resilience; SIDS; small islands; small island developing states; TE; terminal evaluation

[1] *This data is used to aid the internet search of this report on the Evaluation Office of UN Environment Website*

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ACRONYMS AND ABBREVIATIONS

AFB	Adaptation Fund Board
CARICOM	Caribbean Community
CAR-RCU	Caribbean Regional Coordinating Unit
COTED	(Caribbean) Council for Trade and Economic Development
DEPI	Division of Environmental Policy Implementation
DRR	Disaster Risk Reduction
DSA	Daily Subsistence Allowance
EbA or EBA	Ecosystem-based Adaptation
EBM	Ecosystem-based Management
EC	European Commission
ENRTP	Environment and Natural Resources Thematic Programme
EU	European Union
EUR	Euro
GAMPA	Grand Anse Marine Protected Area
GIS	Geographic Information System
GIZ	*Deutsche Gesellschaft für Internationale Zusammenarbeit*
ICA	Internal Cooperation Agreement
ICCAS	Integrated Climate Change Adaptation Strategies
ICRI	International Coral Reef Initiative
IMF	International Monetary Fund
M&E	Monitoring and Evaluation
MEECC	Ministry of Environment, Energy and Climate Change
MPA	Marine Protected Area
NAP	National Adaptation Plan
NOAA	National Oceanographic and Atmospheric Administration
PCA	Project Cooperation Agreement
PRC	Project Review Committee
PS	Permanent Secretary
PSC	Project Steering Committee
PoW	Programme of Work
ROA	Regional Office for Africa
ROLAC	Regional Office for Latin America and the Caribbean
SCA	Strategic Cooperation Agreement
SGU	St. George's University
SIDS	Small Island Developing State
SNPA	Seychelles National Parks Authority
SPAW	Specially Protected Areas and Wildlife (Protocol on)
SSFA	Small-scale Financing Agreement
TNC	The Nature Conservancy
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme (now: UN Environment)
UNFCCC	United Nations Framework Convention on Climate Change
USA	United States of America
USD	United States dollar
WCMC	World Conservation Monitoring Centre
WWF	World Wildlife Fund
XCD	Eastern Caribbean dollar

PROJECT IDENTIFICATION

Table 1: Project identification table

Sub-programme	Climate Change	**Expected Accomplishment**	112: Technical support provided to countries to implement EbA demonstrations and supporting adaptation approaches, and to scale up these through partnerships at the regional and country levels.
UN Environment approval date	19 March 2014	**Intended start date**	1 January 2014
Actual start date	1 April 2014	**Planned duration**	30 months
Intended completion date	30 June 2016	**Actual completion date**	Formally 31 December 2016, but with some activities still underway at time of evaluation
Total cost	EUR 2,856,913	**Co-financing**	EUR 356,913 (UN Environment)
Mid-term review (planned date)	No planned mid-term review	**Terminal evaluation (actual date)**	January – April 2017
Mid-term review (actual date)	No mid-term review	**Number of revisions**	One
Date of last Steering Committee meeting	Steering Committee did not meet formally	**Date of revision**	23 March 2016, with extension to 31 December 2016
Disbursement as of 31 December 2016	EUR 2,121,130 + 129,393 Programme Support (6%)	**Date of financial closure**	31 December 2016
Date of completion	Formally 31 December 2016, but with some activities still underway at time of evaluation	**Actual expenditures reported as of 31 December 2016**	EUR 2,250,523
Total co-financing realised as of 31 December 2016	No record available	**Actual expenditures entered in IMIS and UMOJA as of 31 December 2016**	EUR 2,250,523

Executive summary

This report is the main output of the terminal evaluation of the project entitled Building Capacity for Coastal Ecosystem-based Adaptation (EBA) in Small Island Developing States (SIDS).

The overall evaluation rating of the project is 'Moderately Unsatisfactory'. The project was assessed as highly relevant, with a satisfactory achievement of planned outputs and a satisfactory or moderately satisfactory assessment against many of the factors affecting performance, but with a moderately unlikely attainment of project objectives and results, and weak systems and arrangements for monitoring and evaluation.

This evaluation has concluded that:

- The project did not contribute directly towards strengthening the resilience and adaptive capacity of communities that depend on coastal ecosystem services, but its knowledge products will support such processes – and may already be doing so – and the field activities in the pilot countries, if sustained and expanded, will eventually deliver such results over the medium to long term.
- The project that was implemented was, in many respects, different from the project that had been originally conceived and approved, primarily because the linkages between the various components were weak, while the original design envisaged synergies between activities at local, national, regional and global levels.
- The project was designed and presented as a capacity-building project, and it did build the capacity of targeted institutions and participating individuals.
- In the two pilot countries, the project has raised awareness of the value of coral reefs; it has generated interest in coral restoration, as well as in the broader concept of ecosystem-based adaptation; and, it has helped to demonstrate the feasibility of coral restoration.
- While the restoration of corals and coral reefs is highly relevant to the needs and priorities of tropical SIDS, the selection of coral restoration as the EbA option to be tested in the two pilot projects created challenges (especially in Grenada), in light of the time frame available and of the capacity requirements for implementation and sustainability; the feasibility of EbA could have been demonstrated more easily with the selection of another ecosystem.
- In the two pilot countries, the project has helped to create a policy environment and institutional arrangements that are more favourable to EbA and more generally to conservation and sustainable development.
- This project has allowed UN Environment to be more directly involved in reef conservation and management.
- In Grenada, the project has raised high expectations, which now need to be managed effectively and carefully.
- The experience of this project in the two pilot countries puts into question UN Environment's suitability to execute field projects of this kind (which require efficient and flexible execution procedures and which can deliver outcomes only if activities are sustained beyond the project's funding cycle), and highlights the reputational risk involved.
- The project did not involve sufficiently the various units of UN Environment, in global programmes as well as in regions (notably the Regional Seas Programmes), that would have been in a position to assist in and benefit from its activities, and to enhance the sustainability and replication of project interventions.
- The institutional arrangements that were used for project implementation and execution in the two pilot countries will largely determine continuity and sustainability.
- This evaluation is not a management or financial audit. However, in accordance with its terms of reference, it examined the arrangements for financial and human resource

management, and it identified issues and questions that may deserve further attention, as presented in the body of the report.

This report also presents a rather large number of lessons, some applicable to project design and implementation, some related to coastal ecosystem-based adaptation, and some dealing specifically with coral and coral reef restoration.

Based on this assessment, the evaluation offers a small number of recommendations, which are spelled out in the relevant section of the report and can be briefly presented as follows:

Recommendation #1. Consider the development of internal UN Environment guidelines for programming priorities and intervention modalities in coral and coral reef restoration.

Recommendation #2. UN Environment should ensure that its future work in coral and coral reef restoration is closely connected with global and regional sources of expertise and channels of cooperation in this field.

Recommendation #3. Since UN Environment is already engaged in the design of and fundraising for follow-on actions in Grenada and in the other Caribbean SIDS, consider a number of specific recommendations to take into account when designing and implementing these actions (these recommendations are detailed in the body of the report, and relate in particular to the institutional arrangements for future activities, and to mechanisms for community participation).

Recommendation #4. With specific reference to future cooperation between UN Environment and the Government of Grenada in EbA and coastal ecosystem restoration, the report identifies a number of areas where UN Environment's Regional Office for Latin America and the Caribbean should encourage national and local partners.

Recommendation #5. Recommendations are also offered with specific reference to future cooperation between UN Environment and the Government of the Seychelles in EbA and coastal ecosystem restoration, and relate in particular to collaboration with the Seychelles National Parks Authority and to mechanisms of collaboration among agencies involved in EbA).

Recommendation #6. The UN Environment Africa Office and the Secretariat of the Nairobi Convention should examine ways in which they may be able to collaborate in providing support to the Forum of African SIDS established under this project.

Recommendation #7. UN Environment units active in African and Caribbean SIDS should review the findings of this report and agree on ways to collaborate more effectively in the testing and promotion of EbA in their respective regions, with the support of the relevant global programmes, including the Coral Reef Unit.

Recommendation #8. Since this product of the project has not yet been distributed, the Climate Adaptation Unit within UN Environment's Ecosystems Division should carry out a fresh review of policy brief produced by the project, finalise it, disseminate it to partners and make it available and easily accessible online.

Summary ratings

Table 2: Summary ratings table

Criterion	Summary Assessment	Rating[2]
A. Strategic relevance	The project was highly relevant to: a) the needs and priorities of SIDS, and b) the PoW of UN Environment.	HS
B. Achievement of outputs	Most of the outputs have been achieved, albeit incompletely. The output related to regional training (2a) was achieved because it was worded as "training delivered", but there is no evidence that the two regional workshops have resulted in the actual building of capacity. Most of the project's resources and effort were directed at the field projects (output 1b) and this output was only partially achieved.	S
C. Effectiveness: Attainment of project objectives and results		
1. Achievement of outcomes	The outcomes enunciated in the project document were clearly too ambitious for a project of this duration, and they have not been achieved, but the project's activities, if sustained and expanded, will contribute to their achievement over time.	MU
2. Likelihood of impact	The likelihood of impact on ecosystems and on ecosystem-based adaptation is low, again because of the short time available for implementation and due to the selection of coral restoration as the EbA option to be tested in the field.	MU
3. Achievement of project goal and objectives	In the project document, the objectives were enunciated as "enhance", "demonstrate" and "support", i.e. more as inputs than as expected results. For this reason, the objectives were generally achieved, i.e. the project did most of what it was intended to do, but did so in a way that limited impact and the achievement of outcomes.	MU
D. Sustainability and replication		
1. Financial	The outputs of the project at the global level will remain managed by UN Environment and can be sustained with internal resources and funds from other projects. The regional processes initiated by the project in African and Caribbean SIDS are not financially sustainable, especially in the Caribbean where the network of Permanent Secretaries is, and will remain, dependent on donor funding to operate (with no funding secured at this stage). With respect to the processes in the two pilot countries, the potential for replication is high in both countries, but the likelihood of financial sustainability varies: it is low in Grenada, higher in the Seychelles. More generally, conditions for funding work on EbA are favourable because of the interest in these approaches among SDIS governments, development partners and international organisation.	ML
2. Socio-political	There is much interest in the concept of EbA among policy-makers and in society as a whole in SIDS, and this is a positive factor for sustainability. In the Caribbean, there is much support for the network of PSs among people directly	L

[2] Ratings of effectiveness as well as ratings of monitoring and evaluation are: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U) and Highly Unsatisfactory (HU).Ratings of sustainability are: Highly Likely (HL), Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U), and Highly Unlikely (HU).The criteria used in the determination of these ratings are described in Annex 2 of the Terms of Reference; see Annex 2 to this report.

Criterion	Summary Assessment	Rating[2]
	involved, but the knowledge of that process among other key actors appears limited.	
3. Institutional framework	At the global level, sustainability depends entirely on UN Environment and the institutional framework is therefore sustainable. At the regional level, the framework is weak: in the Caribbean, the Network of PSs appears disconnected from existing regional institutions and processes, while in the African region distance and the lack of existing functional cooperation among SIDS will make it difficult to sustain linkages.	MU
4. Environmental	There is no significant issue of environmental sustainability, except for the need, in the two pilot countries, to ensure that adequate scientific support is provided on an on-going basis and to continue work on genetic mapping.	ML
5. Catalytic role and replication	In the Seychelles, the catalytic role and replication potential of the project are relatively low, simply because there are other on-going programmes in coral restoration, although the fact that this project was embedded in the protected area management agency is a very positive factor, and this project has helped to build the rationale for new investments in coral restoration in the Seychelles and Mauritius. In Grenada, and by extension in the Caribbean region, the catalytic role is high, because of the high visibility of the project, but fragile, because it will depend on the sustainability of interventions. At the global level, the dissemination of products, primarily through the website, should have a catalytic role and is precisely geared towards replication.	L
E. Efficiency	This project has been moderately efficient. The main issues have been the delays in allocation, transfer and disbursement of funds. Overall, the ratio of coordination and management costs to expenditure on actual products and field activities was high.	MS
F. Factors affecting project performance		
1. Preparation and readiness	UN Environment was well prepared to implement this project at the global level, and suitable work plans were prepared for the overall project. In the Seychelles, UN Environment carried out a mission during the design phase, and this helped to ensure buy-in and readiness. In Grenada, national and local institutions became aware of the project only after it was launched.	S
2. Project implementation and management	The primary constraint here has been that the project – originally conceived as a coherent experiment with linkages between the three main elements (local pilot activities / national and regional capacity-building / global dissemination of knowledge products and instruments) – has been implemented more as a set of separate activities, and therefore lost much of its learning potential. Overall project management was efficient. Management arrangements in the two pilot countries were good, with good support from national agencies and competent and dedicated project teams, but with some challenges caused by delays in the receipt and disbursement of funds.	MS
3. Stakeholders' participation and	This criterion applies primarily to the two pilot countries, which have very different social structures and where	MS

Criterion	Summary Assessment	Rating[2]
public awareness	"participation" is approached very differently (community involvement is the norm in natural resource management in Grenada, while this is not the case in the Seychelles). In both cases, the stakeholders who could and should have been involved were given the opportunity to participate. Stakeholder participation, however, was constrained by "turf" issues and by the lack of an integrating management framework for the coastal zone. Public awareness activities have been excellent in both cases, but were limited in volume and scope, in part because the original budget did not provide for communications.	
4. Country ownership and drive	This criterion applies primarily to the two pilot countries. In both cases, there was a high level of ownership and commitment, with national institutions effectively driving the process. At regional levels, the country ownership is somewhat weak.	S
5. Financial planning and management	The budget was appropriate, although some significant changes were made during implementation to accommodate needs in the pilot countries (especially Grenada). Financial management was effective and efficient, except for the delays in transfers and disbursements of funds, some of which were caused by the transition to the UMOJA platform. The ICAs provided a suitable basis for the allocation of funds and management responsibilities to the Regional Offices and to WCMC.	MS
6. UN Environment supervision and backstopping	UN Environment directly managed some activities, and delegated others to the pilot countries. In the case of the delegated activities, supervision and backstopping were satisfactory. The only issue, which is significant, was the lack of coordination with the Regional Seas programmes in the two regions; this was a major weakness of the project, as it deprived it of significant resources and opportunities, and now reduces the potential for sustainability.	S
7. Monitoring and evaluation		
a. M&E Design	The project document proposed a standard M&E framework, and the logical framework includes suitable indicators for the outputs and outcomes. The project document did not specify M&E design for the pilot projects, but stipulated that these would develop M&E Protocols at the design stage, and then implement them.	MS
b. Budgeting and funding for M&E activities	The global budget only included funds for one mid-term and one final evaluation. It did not include specific funds for M&E at the global level. M&E design and implementation at country level was left to the countries and should therefore have been covered under the PCAs with the national partners, but these only mentioned the terminal evaluation and made no reference to a locally specific M&E framework or plan.	MU
c. M&E Plan Implementation	M&E has been an integral part of the work in the Seychelles, especially thanks to the excellent baselines and mapping work done. In Grenada, the M&E consultancy was commissioned very late in the process (and is not even completed at the time of writing this report).	MU
Overall project rating		MU

I. INTRODUCTION

1. This report is the main output of the terminal evaluation of the project entitled Building Capacity for Coastal Ecosystem-based Adaptation (EBA) in Small Island Developing States (SIDS). An independent consultant contracted by the Evaluation Office of UN Environment[3] carried out the evaluation. The terms of reference (ToR) for this exercise are provided in **Error! Reference source not found.**. Arrangements were made for a visit to Grenada, to take place near the start of the evaluation process (30 January – 6 February), while the rest of the work (interviews, review of documents and drafting of reports) would be done from the consultant's home base. The first output of the evaluation was an inception report that was submitted on 27 January, with a final version approved by the Evaluation Office in early March 2017, following two revisions on the basis of the Evaluation Office's comments.

2. In addition to a review of all relevant documents, the priority instrument used in this evaluation was the conduct of semi-open interviews with project participants and other stakeholders, as listed in **Error! Reference source not found.**, as well as site visits. Because of budget constraints, the evaluation consultant, who is based in the Eastern Caribbean, was only able to visit Grenada. More specifically:

- The project site in Grand Anse, Grenada[4], was visited and a small number of local project participants and beneficiaries were interviewed, including all the local resource people involved in the field work to establish coral nurseries and initiate restoration work, and the community leaders most directly involved in supporting the project and who were expected to play a lead role in sustaining and expanding activities beyond the project's time frame;
- Unfortunately, because of the opportunity to conduct more interviews in the Grenadian capital and to observe some of the work in the field, the evaluator could not visit the second field site located on the island of Carriacou, but he conducted telephone interviews with some of the participants in field activities there;
- In the Grand Anse project site, the evaluator joined coral gardeners and a member of the project team in one of their weekly trips to observe maintenance work on the coral nursery;
- During his visit to Grenada, the consultant also had the opportunity to attend and observe a meeting of the Project Steering Committee (PSC);
- For project activities in the Seychelles, the evaluation relied on telephone or online interviews of key informants, including project personnel;
- For participants in the two regional training courses, the evaluation used a questionnaire created on www.surveymonkey.com, see **Error! Reference source not found.**.

3. There is one major development that impacted significantly on the evaluation process, requiring the consultant to conduct more interviews than originally planned, and to consider issues that had not been foreseen either in the original ToRs or in the inception report. Following the visit to Grenada and a first round of interviews, it became clear that the relevance, effectiveness and sustainability of the project – and especially of its components in the two pilot countries (Grenada and the Seychelles) – could not be assessed without an appreciation of the context of coral restoration and a comparison between this project and other initiatives with similar objectives. This required the review of additional documents and the consultation of a number of experts, especially since the consultant does not have expertise in this field. It is also because of the relevance and potential usefulness of observations related specifically to coral and coral reef restoration that this report departs somewhat from the norm, with a longer section on

[3] The United Nations Environment Programme (UNEP) was recently renamed "UN Environment", and it is this new denomination that is used in this report, except when citing a document in which it is named as UNEP.

[4] In the two project countries, sites were selected to establish coral nurseries and restore corals. There were two sites in Grenada (Grand Anse on the island of Grenada and Windward on the island of Carriacou) and sites in the Seychelles (one with nursery and reef rehabilitation on the island of Curieuse, and one for reef rehabilitation on the island of Praslin).

lessons learned, in order to summarise observations and conclusions that may be useful in the development of more generic guidelines.

4. This evaluation also faced a number of challenges, largely because of its timing. While the contract for this consultant was signed in November 2016 with the understanding that the project would be completed by the end of December 2016, a number of activities had not been completed by the agreed date, including some that are actually still under execution at the time this report is being submitted. This posed a number of difficulties; first because this means that the present evaluation covers a project that is not yet fully completed, and second because it is always more time-consuming to gather information on activities that are underway and not yet documented.

5. In the case of Grenada, the activities still underway and deliverables not yet finalised at the time of preparation of this report were:

- The design of the monitoring system and framework;
- The spatial planning consultancy to develop management plans for the pilot sites;
- The legislative review and gap analysis[5];
- The compilation of a training manual for coral gardeners;
- The compilation of a manual covering the entire methodology for coral restoration.

6. In the case of the Seychelles, there were also a number of deliverables that were being finalised at the time this evaluation report was being drafted. These include:

- The report on the valuation of ecosystem services, which was received in draft by the project team in early May 2017 and was still under review at the time this report was being prepared;
- The habitat management plan for Curieuse Island, in preparation;
- The review of legal and institutional gaps for coral reef conservation, in preparation;
- The design of layout for the atlas, in preparation and expected in June 2017.

7. Another challenge came from the difficulty of gathering and accessing information and documents, scheduling interviews, and obtaining answers to specific questions. For example, in spite of repeated requests, the consultant was unable to obtain from UN Environment the statistical data on access to the website http://web.unep.org/coastal-eba/, which was an important output of the project and the main instrument for the dissemination of its knowledge products. There may be several factors responsible for these difficulties, including the timing of the evaluation mentioned above, as well as the fact that the global project manager has since moved on to another position, but the evaluator is still left with the impression that there was reluctance, among some of the project participants, to share information and facilitate the conduct of a proper evaluation. This consultant has conducted a number of evaluations for the UN Environment Evaluation Office, as well as other units within the United Nations Development Programme (UNDP) and UN Environment, and it is the first time that he has experienced such challenges.

8. Since the evaluator visited Grenada, but relied entirely on a review of documents as well as telephone and online interviews for the assessment of the pilot activities in the Seychelles, this report will necessarily include more examples from and specific references to Grenada and the Caribbean, especially since this evaluator has a greater knowledge of that region than of the Indian Ocean. This imbalance does not, however, reflect in any way a judgement on the respective value, importance or success of the two pilot components of this project.

II. THE PROJECT

A. Context

9. Most of the Small Island Developing States (SIDS) are located in the tropics, where coastal ecosystems are particularly rich and diverse, and where these ecosystems, including mangroves

[5] Information received from the project team on 11 May 2017 indicates that this activity may be cancelled; see Section III below.

and other wetlands, seagrass beds, coral reefs, cliffs, beaches and sand dunes, play a critical role in supporting economic activity, particularly in fisheries and tourism. One out of five residents of African and Caribbean SIDS lives in low-elevation coastal zones, which are defined as areas with elevations less than 10 metres above sea level, and most of the urban settlements and critical infrastructure (such as air and sea ports, power plants, roads, industrial zones and waste treatment plants) are located in the coastal zone (more than half the population of Caribbean SIDS live within 1.5km of the shoreline)[6]. Because of the connectivity between ecosystems on small islands and because of this concentration of human activity on the coast, these coastal ecosystems are under severe pressure, with negative consequences for biodiversity, human health and economic activity.

10. This critical importance of coastal ecosystems is increased by the reality and threat of climate change. These ecosystems, the diversity of species they contain and the many goods and services they provide (including coastal protection) are threatened by temperature change, sea level rise and extreme weather patterns. SIDS must now adapt to this new reality, and coastal ecosystems can and must be at the centre of adaptation strategies, through the protection of existing ecosystems and through restoration wherever it is required and feasible. In recent years, the concept and practice of ecosystem-based adaptation have become central to the response of SIDS to the challenges of climate change.

11. Grenada and the Seychelles are two small island states located in tropical areas, one in the Caribbean and the other in the Indian Ocean, where coastal ecosystems – especially coral reefs and mangroves – are critically important for biodiversity, coastal protection, economic development and recreation, and where these ecosystems are threatened by land-based sources of impact, unsustainable use of resources, and climate change. In response to these and other challenges, both countries have made significant advances in sustainable development and biodiversity conservation in recent years, with strong policy and institutional frameworks, national systems of protected areas, national biodiversity strategies and action plans, and national adaptation plans. They are both parties to the international and regional agreements and conventions pertaining to climate change and biodiversity.

12. This evaluation must also be seen against the background of the special place occupied by Grenada and the Seychelles among SIDS in their respective regions, as well as on the international scene. Both have been, and remain, active and influential actors in sustainable development processes, especially in relation to climate change, providing leadership and expertise to negotiating positions and processes on behalf of all SIDS. Consequently, both countries have attracted the attention and support from the international community, and their officials have established valuable contacts and have gained high visibility in international development circles. The project under evaluation must therefore be seen in the context of the prominent role and strong standing of Grenada and the Seychelles in international development circles.

B. Objectives and components

13. The project under review was designed, financed and executed under the Strategic Cooperation Agreement (SCA) between the European Commission (EC) and UN Environment under the thematic programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP). The general objective of the ENRTP is to integrate environmental protection requirements and climate change action into the European Union's (EU) development and other external policies, as well as to help promote the EU's environmental, climate and energy policies abroad in the common interest of the Community and partner countries and regions. The specific objective of the EC-UN Environment SCA is to "support developing countries to better integrate environmental sustainability into their pursuit of development goals".

14. This project was scheduled to start in January 2014 for a period of 30 months, but effectively began in April 2014 and was officially completed on 31 December 2016 after having received a six-month extension beyond the original completion date (but with some deliverables still

[6] http://www.adaptation-undp.org/projects/undp-caribbean-sids

outstanding, as noted above). Its long-term goal was to strengthen the resilience and adaptive capacity of communities that depend on coastal ecosystem services provided by coral reefs and associated ecosystems, with three specific objectives, as spelled out in the project document:

- "Enhance and demonstrate integrated planning tools and technical guidance to assist decision-making and effective stakeholder consultation in the development of coastal EBA interventions.
- Support relevant authorities and communities in two SIDS where climate change already places intense pressure on human livelihoods and coastal and marine resources in the selection, planning and implementation of practical EBA measures.
- Support regional capacity-building and global transfer of good practices and experiences gained to other coastal regions as a means to scale up EBA development and implementation, including informing supportive adaptation policies, strategies and adaptation plans."

15. The project had five distinct components, with specific interventions and deliverables expected for each component:

- Enhanced EbA decision-support tools and capacity-building resources: a coastal-specific module of the EbA decision-support framework and planning tools, and guidance resources on integrated coastal EbA strategies developed, tested and applied in pilot projects (in Grenada and the Seychelles) and available for wider use in other SIDS and coastal areas.
- Piloting social-ecological vulnerability scenarios and adaptation cost-benefit analyses: social-ecological vulnerability scenarios developed for local coastal sites in two pilot countries (Grenada and the Seychelles), along with assessment and analysis of adaptation options considering co-benefits and ecosystem services of alternative approaches; and a cost-benefit analysis for identified adaptation options for each pilot site.
- Piloting cross-sectoral EbA planning and operationalisation, including participatory monitoring and evaluation: (a) EbA scenarios for local sites in the two coastal pilot countries; (b) operational EbA implementation plans incorporating stakeholder aspirations and needs; (c) detailed costed work plan and specific guidance on implementation modalities, costs and benefit sharing; and (d) protocol with indicators and measures for monitoring and evaluating of EbA outputs at the national level.
- Regional training sessions on EbA scenario planning, decision-making and implementation: enhanced national technical skills and capacity for undertaking vulnerability and EbA scenario building, EbA planning and implementation, as evident in new project concepts or programmes adopting EbA principles by the end of the project.
- Global knowledge-sharing on EbA experiences, good practices and policy advice: experiences and lessons from EbA pilot projects, tool development and training synthesised and disseminated for national, regional and global policy advice and practical use through UN Environment's EbA Flagship Programme, as well as through its regional and global networks.

Table 3: EbA SIDS project outcomes and outputs as defined in the project document logical framework

Project Components 1. Enhanced EbA decision support tools and capacity building resources 2. Piloting social-ecological vulnerability scenarios and adaptation cost-benefit analyses 3. Piloting cross-sectoral EbA planning and operationalization including participatory monitoring and evaluation 4. Regional trainings on EbA scenario planning, decision-making and implementation 5. Global knowledge-sharing on EbA Experiences, good practices and policy advice	
Outcomes	Outputs
1. Countries in SIDS develop and apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal	Social-ecological climate change vulnerability scenarios and cost-benefit analysis developed using existing data in two locations (Grenada and Seychelles)

communities	
2. Enhanced regional capacity and global knowledge on coastal EbA scenario development and planning including gender equity perspectives in SIDS	Regional trainings delivered in SIDS in Eastern Caribbean and Western Indian Ocean to government officials SIDS relevant adaptation network initiated and knowledge products on adaptation in SIDS developed and disseminated Global knowledge products on adaptation in SIDS developed

C. Target areas/groups

16. The project was targeted at five distinct groups:

- The local communities and the private sector in the sites selected for experiments in EbA, which would participate in research and management activities, and would eventually reap various benefits through ecosystem restoration, increased resilience, and corresponding livelihood protection, diversification or improvement. In Grenada, this group includes the households, businesses and community institutions in the village of Windward and in the Grand Anse area; the fishers who reside in and operate from these locations and who would benefit from restoration; the hotels, restaurants and other tourism-related businesses; as well as the dive operators, including those who were contracted by the project to provide training and logistical support to the project. In the Seychelles, this group includes the residents and tourism operators that are based on or use the island of Praslin.
- The national institutions in the two pilot countries, which would play an active role in project execution and would benefit from the project through improved policies, enhanced capacities and the integration of the EbA approach and methodologies into their programmes. Among those, the primary targets and intended beneficiaries were the ministries responsible for the environment, the marine protected area management agencies (Seychelles National Parks Authority and Fisheries Division in Grenada) and the civil society organisations involved in conservation and ecosystem restoration, such as Nature Seychelles or The Nature Conservancy.
- Policy-makers, opinion leaders and the public at large in these two countries, who would benefit from the awareness-raising activities of the project and would consequently gain greater interest in, and willingness to support, coral restoration in particular and coastal resource management in general, for the purpose of adaptation to climate change and a reduction of vulnerability.
- Management and technical personnel in relevant institutions in other SIDS in Africa and the Caribbean, particularly ministries responsible for the environment and protected area management agencies, who were the targets of the training workshops and would benefit from information sharing, mentoring and others forms of capacity-building.
- Professionals interested and/or involved in coastal EbA globally, who would be the beneficiaries of the knowledge products and decision-support framework developed by the project.

17. In some respects, the project also aimed to benefit UN Environment itself, because it was expected that, if successful, it would contribute to strengthening the organisation's leadership role in the science and practice of EbA, and to building its capacity to serve Member States and other SIDS actors interested in designing and implementing EbA initiatives.

D. Milestones/key dates in project design and implementation

18. The project originated in informal discussions between UN Environment and EC colleagues at a meeting of the Conference of Parties of the United Nations Framework Convention on Climate Change (UNFCCC), when the idea of an experimental project on coastal ecosystem-based adaptation was put forward. On this basis, and taking into account the opportunities offered by the ENRTP, the Marine & Coastal Ecosystems Branch in the Ecosystem Division of UN Environment developed a concept note that was submitted to and approved by the EC, and

then designed the full project. By decision of senior management, the responsibility for coordination was subsequently moved to the Climate Unit, just before it was submitted to the Project Review Committee (PRC). PRC, however, took a long time to review the project and arrive at a recommendation (12 December 2013)[7], and the planned start date of 1 January 2014 had to be adjusted to 1 April 2014. UN Environment formally approved the project on 19 March 2014, and Internal Cooperation Agreements (ICA) with the Regional Offices for Africa and for Latin America and the Caribbean were signed immediately afterwards (25 March and 4 April respectively).

[7] Another factor responsible for the delay in approval was UNEP's decision to change the format of project documents around the time that this project document had been prepared, and a new version was requested, that included a Theory of Change.

Table 4: Main steps and milestones in project implementation (from April 2014)

Global and regional	Grenada	Seychelles
March 2014: formal approval of project by UN Environment	April 2014: UN Environment mission to Grenada, with an inception meeting and project launch	May 2014: UN Environment mission to the Seychelles, with an inception meeting and project launch
	April – June 2014: establishment of the office, recruitment of team	
	1 July 2014: local team recruited and initiates work	July 2014: recruitment of coordinator
	Vulnerability assessment conducted, with consultation meeting in November 2014, presentation of the assessment and of the cost-benefit analysis, and selection of the EbA option, identification of volunteers for Task Force, with representation from Carriacou and Grand Anse communities	October 2014: vulnerability assessment and cost-benefit analysis completed
	Follow-up consultation meeting with local stakeholders in Carriacou in December 2014	
	February 2015: final version of report on vulnerability assessment submitted	
December 2015: Coastal EbA Decision Support Tool has been finalized and uploaded onto the Coastal EbA website under development	January – March 2015: collection of coral specimens, procurement for TNC consultancy	
	April 2015: visit of ROLAC Senior Programme Officer and Associate Project Manager, finalise recruitment of TNC, agreement to start work with confirmation letter from Ministry before formal agreement in May	July 2015: Technical Backstopper is recruited
February 2016: publication of Options for Ecosystem-based Adaptation (EBA) in Coastal		August 2015: work plan approved by MEECC

Global and regional	Grenada	Seychelles
Environments: A Guide for environmental managers and planners February 2016: regional workshop for Caribbean SIDS in Grenada March 2016: regional workshop for African SIDS in the Seychelles March 2016: project revision and extension approved June 2016: coastal EbA website designed and opened, including decision-support tool and case studies June 2016: WCMC compiles and submit document on lessons learned November 2016, Caribbean regional meeting convened in Cuba	May – June 2015: interview and selection of coral gardeners, TNC scoping sites June-July 2015: nurseries launched in Grand Anse and Carriacou Late July 2015: start of training of gardeners, and scuba certification, 5 training sessions between July 2015 and May 2016, trainees certified by MOE and TNC, 4 in Grenada and 10 in Carriacou, certification ceremony held in June 2016 June - August 2016: out-planting of corals at Grand Anse site November 2016: genetic analysis of coral samples in nurseries conducted November 2016: submission of business plan	October 2015: sites for coral nurseries and restoration work selected November 2015: two staff recruited to manage work on nurseries December 2015: Science Plan completed and submitted Late 2015: Needs assessment of SNPA conducted March 2016: work stops at nurseries because of impact of bleaching event March 2016: training in beach monitoring June 2016: SSFA signed between ROA and MEECC to expand rehabilitation work post-bleaching event, third field staff recruited July 2016: work recommences at nurseries, post-bleaching event August 2016: training in GIS for marine habitat mapping

E. Project financing

19. The overall budget for the project was EUR 2,856,913, including a counterpart contribution by UN Environment of the amount of EUR 356,913. Reported expenditure was lower than the amount budgeted, corresponding to the amount of EUR 2,121,130, plus 6% of Programme Support Costs. Funding for the project came primarily from the European Commission under the ENRTP Thematic Programme. The total amount committed by the EC was EUR 2,500,000, including 6.2% for Programme Support Costs. The main components of the budget were as summarised in the table below.

Table 5: Summary of budget allocations and actual expenditure

Item	Budget	Actual
Personnel	854,633	913,608
Sub-contracts	1,144,148	1,146,793
Training	78,012	---
Other	277,256	60,729
Sub-total	2,354,049	2,121,130
Project support cost	145,951	129,393
Grand total	2,500,000	2,250,523

20. The difference in the "Other" category reflects expenditure under budget for outreach materials, operating costs and support to a Global Adaptation Network. The actual figure for training is explained by the fact that training activities were covered under sub-contracts.

21. All funds were committed at 31 December 2016 and the project account was closed at the end of March 2017, with a final financial report submitted to the EC at the end of April 2017. The commitment of funds through the ICAs with ROA and ROLAC allowed for the project to submit its final reports to the donor while some of the activities were still underway and not yet paid for.

F. Project management and execution arrangements

22. The project was coordinated by the Climate Adaptation Unit within the Ecosystems Division (formerly the Division of Environmental Policy Implementation – DEPI), based at UN Environment Headquarters in Nairobi. This Division assumed direct responsibility for the global activities with inputs from the World Conservation Monitoring Centre (WCMC), and provided support to the regional activities and the two pilot projects. The regional and national activities were coordinated by the Regional Office for Africa in the case of the Seychelles and the other African SIDS[8], and by the Regional Office for Latin America in the case of Grenada and the other Caribbean SIDS. The national activities in the two countries were coordinated and executed by the Ministries of Environment.

23. The main instruments that governed and facilitated project management and execution were three Internal Cooperation Agreements (ICA), as follows:

- One ICA signed between the Ecosystems Division and UN Environment Africa Office (former Regional Office for Africa – ROA), for the amount of USD 895,908;
- One ICA between the Ecosystems Division and UN Environment Latin America and Caribbean Office (former Regional Office for Latin America and Caribbean – ROLAC), for a total of USD 744,110, subsequently amended to USD 969,110; and,
- One ICA between the Ecosystems Division and the World Conservation Monitoring Centre (WCMC), for the amount of USD 225,000.

24. In turn, the regional offices signed Project Cooperation Agreements (PCA) with the respective countries, i.e. one PCA between the Latin America and the Caribbean Office and the Government

[8] Contrary to those in the Caribbean, African SIDS are geographically dispersed and lie both in the Atlantic and Indian Ocean. These are Cabo Verde, Comoros, Guinea-Bissau, Mauritius, Seychelles and São Tomé and Príncipe.

of Grenada (for a total of USD 515,000) and the other between the Africa Office and the Government of the Seychelles (for a total of USD 530,000). Funding to the pilot projects in the two countries was complemented by a number of Small-Scale Financing Agreements (SSFA) between the regional offices and the governments, for a total USD 243,000 to Grenada and USD 113,000 to the Seychelles respectively. In the Seychelles, the purpose of this SSFA was to up-scale the coral reef rehabilitation project as a response to the damage done by the major bleaching event of 2016, while in Grenada its purpose was to increase resources for the coral restoration work. In order to support a regional meeting held in November 2016 in Cuba, another SSFA was signed directly between the Ecosystems Division and the Government of Grenada, for the amount of USD 40,000.

25. In the Grenada project, the consultancy on spatial planning and the development of the monitoring systems were included in the initial PCA between the Latin America and the Caribbean Office and the Government of Grenada, and were to be managed by the Grenada team. However, the two activities were subsequently removed from the agreement and included in the budget managed by the Latin America and the Caribbean Office, in order to increase the funding available for the actual coral restoration work in the field.

26. The original project design provided for a Project Committee comprising the project coordinator, the project assistant, the project technical advisor and national coordinators along with a number of professional staff from the UN Environment Climate Change Adaptation Unit, the Africa Office, the Latin America and the Caribbean Office, the UN Environment Marine and Coastal Ecosystems Unit and relevant Regional Seas Secretariats, but the evidence gathered by this evaluation indicates that this committee has never met, although some of its members communicated occasionally by phone and online. Within UN Environment, the project's budget contributed to three staff positions, with roles distributed as follows:

- Project Coordinator (April 2014 to December 2016): overall coordination and project management, supervision of execution of ICAs, direct supervision of activities at UN Environment Headquarters, as well as participation in and contribution to regional workshops, and technical assistance to pilot countries;
- UN Environment Technical Advisor (April 2014 to December 2016): provision of technical advice, primarily in the form of contributing to the various products, with a level of involvement that appears to have been far below the original expectations;
- UN Environment Associate Project Manager (April 2014 to March 2015): assistance to coordination and project management, supervision of execution of ICAs, conduct of selected activities at UN Environment Headquarters, technical assistance to pilot countries and regional workshops.

27. Project implementation in the regions and countries was supervised by the Regional Climate Change Coordinator at the Africa Office and a Senior Programme Officer at the Latin America and the Caribbean Office, whose roles were to provide technical support and backstopping; ensure alignment with policy and programming at national and regional levels; and, link the project with other processes and initiatives in their respective regions. The Latin America and the Caribbean Office Officer was particularly involved in project execution in Grenada.

28. Project design provided for a national Project Steering Committee (PSC) in both pilot countries, but it was not constituted in the Seychelles. In Grenada, in order to facilitate coordination and increase effectiveness and efficiency, the national PSC assumed responsibility for two complementary projects: the project under review, as well as the German- and UNDP-funded Integrated Climate Change Adaptation Strategies (ICCAS) project[9]. This national PSC met on three occasions during the course of the project under review. The Senior Programme Officer at the Latin America and the Caribbean Office represented UN Environment on the committee, which played a useful role in coordinating work on coastal EbA in the country. In Grenada, there was also one Project Steering Committee / Task Force for each site. All the committees and task forces established by the project had clear and adequate ToRs.

29. In the two pilot countries, the recruitment and procurement procedures of their respective governments were followed. In Grenada, funds were sent by UN Environment to the Ministry of

[9] https://www.giz.de/en/worldwide/27030.html

Finance, and then released to the Ministry of the Environment on the basis of funds allocated to the current fiscal year, and then the Ministry managed the funds, under the authority of its Permanent Secretary. While there have been some delays in the transfer of funds from the Ministry of Finance to the Ministry of the Environment and in the printing of cheques at the Ministry of Finance, it appears that management and procurement were efficient once the funds were received by the Ministry of the Environment[10]. In the Seychelles, UN Environment sent the funds to the Treasury, and the Ministry of the Environment issued payment requests to the Treasury.

30. The project teams in the two countries were recruited as consultants by their respective ministries. In Grenada, the project recruited two consultants, i.e. one Project Manager and one Technical Officer (each with a first two-year contract ending June 2016, and renewed until June 2017). In the Seychelles, there was one Project Coordinator (recruited at the beginning of the project) and one Technical Backstopper (recruited in July 2015); both were still attached to the project when this evaluation was being conducted. In both countries, one team member was primarily involved in coordination, administration and reporting, while the other was primarily assigned to technical work.

31. The Project Document also indicated that the project would "seek to initiate an international Ecosystem-Based Management / Ecosystem-Based Adaptation (EBM/EBA) Advisory Panel of 5-8 experts and planners in the field of climate change adaptation, ecosystem-based management, development and disaster risk reduction, and other sectors, including representatives from EC and UNEP", but this Panel was not established.

G. Project partners

32. The partnership arrangements for the implementation and execution of this project were as follows:

- Internal UN Environment agreements were at the core of the implementation arrangement, involving UN Environment Headquarters, two regional offices and the World Conservation Monitoring Centre (WCMC);
- In the two pilot countries, the ministries with responsibility for the environment assumed lead responsibility for coordination and execution;
- In the Seychelles, the Seychelles National Parks Authority (SNPA) played a special role as partner in execution, provider of counterpart resources, and primary recipient of capacity-building;
- In both countries, public sector institutions with responsibilities for physical planning, fisheries, conservation and related sectors contributed as members of steering committees and task forces and/or as resources for specific project activities;
- In Grenada, the St. George's University (SGU) provided some scientific and technical support;
- The Nature Conservancy (TNC) was the main external contractor, with tasks performed in the two pilot countries. Other service providers include the now defunct CaribSave and a number of private consultants.

H. Changes in design during implementation

33. The changes between design and actual implementation that were identified in this evaluation are as follows:

- Many of the linkages between project components at the three main levels (pilot countries, regions and global) that were envisaged in the project document did not actually occur during implementation;

[10] Because the evaluator visited Grenada and was able to meet with project personnel there, he was able to review in some detail the financial management procedures of the project in that country, which appeared fully suitable, with adequate verifications, fund and cash accounts (with cash books maintained by the Finance Officer as well as the Project Manager), and with the government's procurement guidelines being applied for all procurement under the project.

- Under Component A, the project document envisaged that an existing EbA Decision-Support Framework would be tested and expanded, but the project actually worked on new products and frameworks;
- Under Component D, the project document indicated that regional training workshops, learning exchanges, technical advice sessions and mentoring arrangements on EbA planning would be organised, but only two regional workshops were organised, and this evaluation did not find any evidence of other regional training activities besides the two workshops;
- In the Grenada pilot project, the spatial planning consultancy was originally designed to produce management plans for the two sites where nurseries have been established and where out-planting is underway or planned. But during the course of the project, it was realised that this would be too ambitious, and the exercise was therefore modified to deliver strategic plans for the two sites. The extent to which this was actually done cannot be assessed by this evaluation, as this work has not yet been completed;
- Also in the Grenada pilot project, the legislative review and gap analysis had not yet been commissioned when the evaluator visited the country, and there are indications that it will be cancelled;
- As noted in section 31 above, the EBM/EBA Advisory Panel proposed in the project document was not established.

34. One very significant change between the original design of the project by the Marine & Coastal Ecosystems Branch in the Ecosystem Division of UN Environment and the actual implementation arrangements is the role played by the Regional Seas programmes, i.e. the Secretariat of the Nairobi Convention[11] and the Regional Coordinating Unit of the Caribbean Environment Programme[12] (UNEP-CAR/RCU). These two entities, one based in Nairobi, Kenya, and the other in Kingston, Jamaica, were seen at the time as the appropriate mechanisms for regional application and uptake of the approaches and methodologies developed by the project, and they were considered a valuable source of support and an instrument of sustainability, since these two conventions have permanent mechanisms of cooperation in their respective regions, notably through the Protocol on Specially Protected Areas and Wildlife (SPAW) in the case of the Caribbean. In the case of the Nairobi Convention, the fact that it was at the time developing a climate change strategy was also seen as an opportunity to forge linkages. Regrettably, the Regional Seas secretariats were only very marginally involved in actual implementation, with all regional activities and relationships handled by the regional offices[13].

I. Reconstructed Theory of Change (ToC)

35. Figure 2 below provides a diagram representing the reconstructed Theory of Change (ToC). The reconstruction of the ToC, which was done as part of the preparation of this evaluation's inception report, proved relatively challenging because the project document presents one long-term goal, two outcomes, six outputs, three specific objectives, five interventions and five components, and the links between these various levels and elements are not all clear. The reconstructed ToC is an attempt to capture the logic of the project, while taking into consideration all these elements. It suggests that the project followed a simple pathway that can be summarised as follows:

- Vulnerability impact scenarios and analyses of costs and benefits of various EbA options are developed in the two locations (with field sites identified by host countries on that basis).

[11] Convention for the Protection, Management and Development of Marine and Coastal and Environment of the Western Indian Ocean Region.

[12] Secretariat of the Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region, known as the Cartagena Convention.

[13] In the Caribbean, for example, the UNEP-CAR/RCU was not even consulted in the selection of invitees to the regional workshop, although it has been involved in coastal conservation and management matters for a very long time, and was implementing a regional coastal EbA project, with Grenada as one of the project sites, when this particular project was being initiated.

- The scenarios inform the detailed design of pilot projects (by the project team, in close collaboration with local governmental, civil society, community and private sector partners), including the selection of the EbA option to be tested.
- EbA tools, instruments and guidance are tested and developed in the two pilot countries, in a participatory manner, with a lead role performed by government partners.
- There is adequate political will, local buy-in and community participation in the pilot projects, capacity is effectively enhanced, and governance arrangements are designed and put in place, as conditions for effective execution, sustainability, innovation and relevance.
- The policy environment in the two pilot countries is already favourable, or will be effectively and appropriately reformed, to allow for the uptake and scaling-up of the approaches and tools developed and lessons learned in the project;
- The approaches used and tools developed in the pilot projects deliver tangible results that demonstrate the feasibility and benefits of the EbA option tested.
- The approaches and tools are disseminated through a range of interventions (the outputs in the project document) at national, regional and global levels, delivered primarily by relevant units within UN Environment's global programmes, by the two regional offices involved, and by the project teams in the two countries.
- The delivery of the outcome as a result of the delivery of the outputs is conditioned on several critical assumptions, i.e. that the channels of dissemination are appropriate and effective; that there is awareness of the value of the tools being offered among managers and policy makers in SIDS; and that there is a commitment to access and use them.

36. In the ToC of the project document (see

37. Figure 1), there were five types of interventions to deliver the project's expected outcomes:

- testing, development and demonstration of EbA in two pilot sites;
- production of tools;
- dissemination of tools;
- provision of guidance in pilot countries and regionally;
- sharing of knowledge globally.

38. In the reconstructed ToC (see Figure 2), the outputs of the project document's logical framework were used, namely:

- "Output 1a) Social-ecological climate change vulnerability scenarios and cost-benefit analysis developed using existing data in two locations
- Output 1b) Demonstrations developed and implementation initiated in two project countries
- Output 1c) EbA coastal decision-support framework developed, and tested in two regions
- Output 2a) Regional trainings delivered in SIDS in Eastern Caribbean and Western Indian Ocean to government officials
- Output 2b) SIDS relevant adaptation network initiated and knowledge products on adaptation in SIDS developed and disseminated
- Output 2c) Global knowledge products on adaptation in SIDS developed".

Figure 1: Theory of Change as per project document

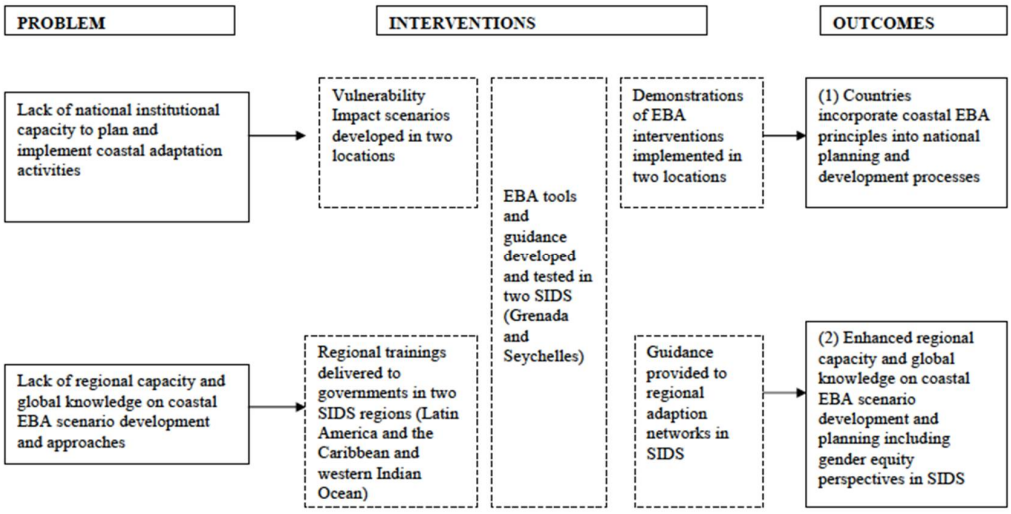
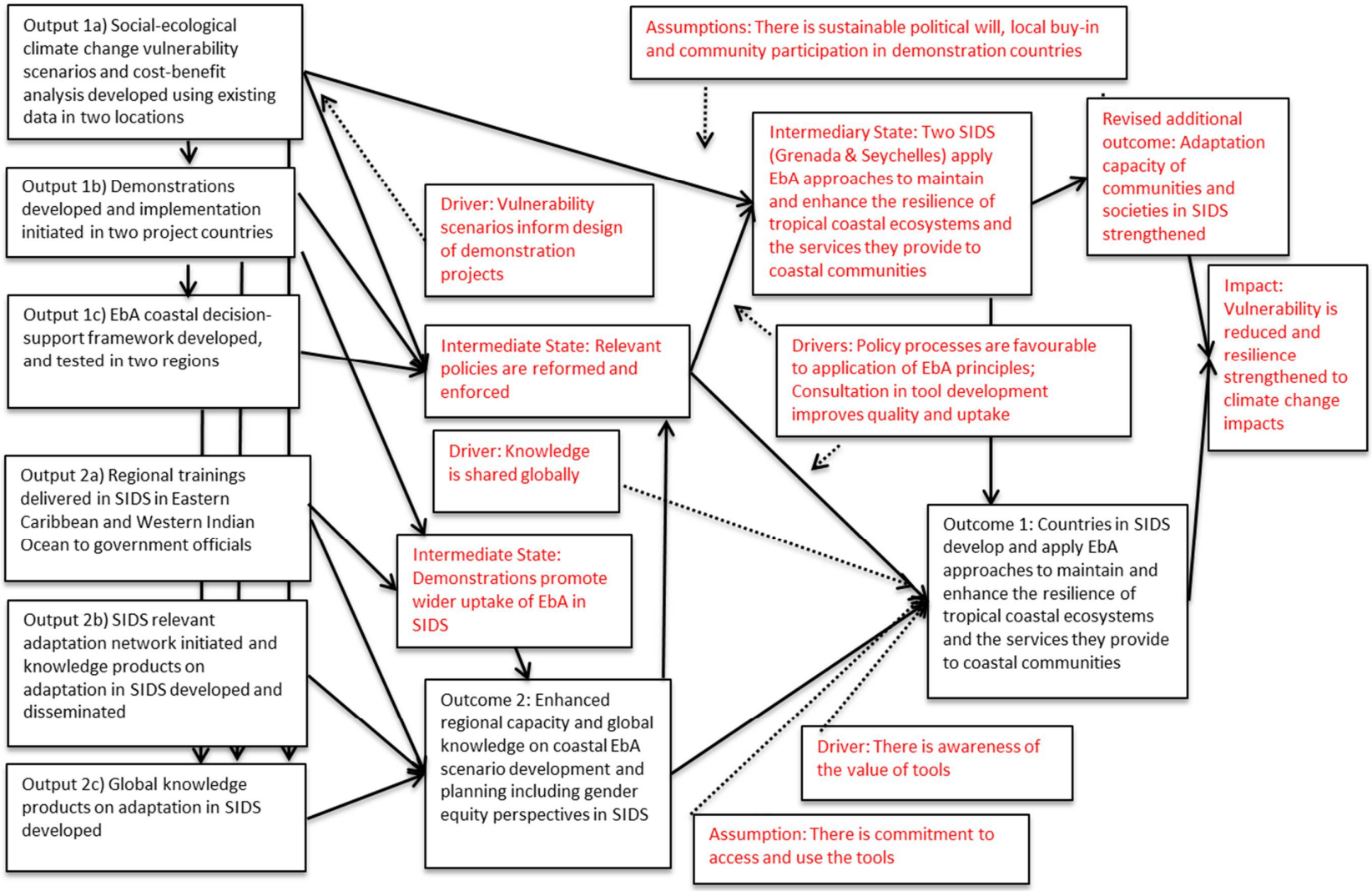


Figure 2: Reconstructed Theory of Change

Grey fills in boxes indicate elements of ToC contained in the original project document



III. EVALUATION FINDINGS

A. Strategic relevance

39. *The project was highly relevant to the joint EC-UN Environment ENRTP* as it contributed to three of its four expected results[14], namely:

- Expected result 1: Strengthened abilities of countries – in particular developing countries – to integrate climate change responses into national and regional sustainable development process, including climate change science and awareness-raising.
- Expected result 2: Improved capacities towards conservation, as well as sustainable use and management of ecosystem services/biodiversity and natural resources, including capacity-building/support on ecosystem approach to the management of human activities, ecosystem management tools and address degradation of selected priority ecosystem services.
- Expected result 4: Enhanced environmental mainstreaming into development policies, planning and decision-making, including environmental mainstreaming in disaster risk reduction.

40. *Because of their rich biodiversity and their contribution to social and economic development, the management and restoration of coastal ecosystems is a conservation and development priority in SIDS, especially in the context of climate change*, These ecosystems (coral reefs, mangroves and other wetlands, seagrass beds, beaches and sand dunes, cliffs) are critical for biodiversity, play an essential role in the local economy (particularly through tourism and fisheries), and are heavily impacted by a concentration of human activities and settlements in the coastal zone. Climate change exacerbates existing issues, because of the new impacts caused by higher seawater temperatures, sea level rise, and the higher frequency and severity of severe weather. But climate change also increases the urgency of coastal ecosystem protection and management, because of the existing and potential role of these ecosystems in providing protection, increasing resilience and thus helping SIDS to adapt to a changing climate.

41. *This project was also very relevant to the mission and programming priorities of UN Environment, which have been giving special attention to the concept and practice of ecosystem-based adaptation*. At the time this project was conceived, EbA already represented UN Environment's strategic focus within its adaptation work. The organisation is increasingly involved in the search for, and promotion of, responses to the challenges of climate change, and its experience in assessing and managing ecosystems provide it with the knowledge, linkages and management expertise required to foster EbA as an integral part of global and regional adaptation strategies and of national and local adaptation plans. It is for these reasons that UN Environment made EbA one of its key programmes on climate change and in 2010 initiated its EbA Flagship Programme, in collaboration with bilateral development agencies in Germany, Norway, Spain and Sweden.

42. *The overall design of the project, with the use of pilot experiments in two countries as the bases for testing, learning and disseminating, was relevant and appropriate*. When this project was conceived, there was – and there still is – a strong interest in the concept of ecosystem-based adaptation in SIDS, but the practice was not widely developed, and the best way to promote it was indeed to demonstrate concrete results, document the processes used and the lessons learned, and disseminate these at national, regional and global levels. Without this anchoring in concrete pilot experiments, the project would have been much less relevant and thus less effective.

43. *The coral species selected for restoration in Grenada and the Seychelles were appropriately selected*[15]. In Grenada, the work-plan developed and implemented by CaribSave and the Coral

[14] The other expected result is: Improved capacities towards resource efficiency, green economy and sustainable consumption and production.

[15] Grenada's reefs host 33 different hard coral (or reef-building) species, the most common being *Porites porites*, *Porites astreoides* and *Montastraea annularis* (cf. http://www.reefbase.org/global_database/default.aspx?section=s1), while in the Seychelles, coral diversity

Restoration Foundation International on behalf of the project aimed at restoring the shallow water populations of elkhorn (*Acropora palmata*) and staghorn (*Acropora cervicornis*) corals, while in the Seychelles the corals selected were *Acropora* and *Pocillopora*. The genus *Acropora* constitutes the most species-rich clade, or taxonomic grouping, of hermatypic corals; its members are important reef builders throughout their broad tropical range, and they are particularly resistant (especially the elkhorn). The selection of these species as the best candidates for restoration was entirely appropriate, because they are endangered[16], they serve as a natural sea defence, they provide a tri-dimensional structure that creates micro-habitats, and they have aesthetic value, thus having the capacity to restore the multi-functionality of the reef. In the Caribbean, there has been a significant decline in the population of *Acropora* in the past two to three decades, caused by a number of factors, including disease, storm damage, predation, overfishing and bleaching episodes, but one is currently witnessing in a number of locations a natural process of recovery of these corals, and this creates the opportunity to assist and accelerate the process though restoration. In addition, *Acropora* reproduces by fragmentation and also once a year by sexual reproduction, but this sexual reproduction process does not happen if the corals are scarce; therefore, as suggested by one the people interviewed for this evaluation, even a small-scale restoration effort using several genotypes could have a significant impact by boosting natural reproduction.

44. *In the two pilot countries, as well as in most other African and Caribbean SIDS, the choice of coral restoration as the EbA option to be tested and demonstrated has increased the project's relevance, because of the importance of the tourism sector*. If successful, coral restoration contributes to the enhancement of ecosystems that are important to the sector, because coral reefs are an integral part of the landscape that attracts visitors to tropical islands; because tourism infrastructures, beaches and other coastal attractions need to be protected; because diving is an important economic activity; and because coral nurseries and associated restoration work can actually engage visitors and enhance their experience, as is being done in Jamaica[17] or in the Seychelles[18].

45. *In Grenada, the pertinence of the selection of Grand Anse as one of the sites for the establishment of a coral nursery and for coral restoration work has been questioned.* This is Grenada's main beach, a large bay which presents a number of management challenges caused by multiple uses

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is much higher with 120 species from 15 families, the most common at a genus level being *Acropora* (19), *Montipora* (12), *Favites* (9) and *Porites* (8), although some species typically common in the western Indian Ocean reefs are absent or rare, particularly *Galaxea fascicularis, Galaxea astreata* and *Goniastrea pectinata* (see http://www.reefbase.org/global_database/dbr5.13.SYC.116.aspx). This means that reef biodiversity remains relatively intact. However, through "coral gardening" there is a risk of creating "designer reefs" instead of contributing to the restoration of existing reefs, as the species that lend themselves to this type of reproduction are not as varied as the existing spectrum of corals. Thus, for instance, in the Seychelles the coral nurseries concentrate on only 34 of the species encountered in the archipelago, while in Grenada and most of the other Caribbean SIDS where coral restoration is practiced, efforts are mainly on the two acroporid species, staghorn and elkhorn coral.

[16] In a manner of speaking, due to ocean warming and its negative impact on coral populations worldwide, all coral species could be considered as endangered. This said, species of already small colonies or restricted geographical distribution are particularly vulnerable to the risk of extinction. Thus, of the 274 coral species on the IUCN Red List, seven are listed as critically endangered, among them *Acropora cervicornis* and *Acropora palmata*, and a further three are qualified as endangered, while the US Endangered Species Act lists 22 coral species as threatened (again including *Acropora cervicornis* and *Acropora palmata*) and three as endangered (cf. http://www.nmfs.noaa.gov/pr/species/invertebrates/corals.htm). For its part, in its identification of the world's most evolutionarily distinct and globally endangered (EDGE) species, the Zoological Society of London lists 50 different corals: http://www.edgeofexistence.org/coral_reef/top_50.php.

[17] In Jamaica, for example, the private sector, local fishers, government agencies and civil society organisations collaborate in a coral enhancement project to establish coral nurseries and restore reefs in and around two fish sanctuaries located at Bluefields Bay, on the south-western coastline, and Boscobel, on the northern coast. In addition to providing coastal resilience and very important habitat, the coral nurseries and restoration sites have become an attraction for tourists and an income-generation source through employment and user fees.

[18] For example, in February 2017, as part of the Valentine's Day activities, guests at the Four Seasons Resort Seychelles had to prepare a rescued coral fragment from the bay and attach it to a heart-shaped metal frame, which was then transplanted into the nursery for full recovery.

of its coastline and nearshore marine environment (fishing, yacht anchoring, diving, hotels, villas, residential areas) and by several land-based sources of impact. Arguments in favour of selecting this site include ease of access, possible linkages with dive operators and hotels, and the need for ecosystem restoration. But the pertinence of having selected this site is also questioned by some project participants and partners, who note that coral restoration in such a location can only be effective if it is part of a much broader conservation and management initiative[19].

46. *Considering the availability of a number of quality sources on coral restoration, the usefulness of preparing a new methodological document, as envisaged by the Grenada project, is questionable.* The preparation by TNC, on behalf of the Grenada project, of a methodology manual (Coral Restoration: Nursery Propagation and Population Enhancement) to guide the field work in that country was certainly pertinent, but the plan (not yet implemented because of delays in the receipt of funds) to develop now, in the final stage of the project, a generic manual based on that country's experience with this project may not be that pertinent, considering the number of materials that have been developed by experts, on the basis of experience in the Caribbean and elsewhere, and which are all available from the Reef Resilience Network from its website www.reefresilience.org[20].

47. *The project was only marginally relevant to rights and equity issues.* In coastal areas of SIDS, there are important social issues, originating primarily in the restriction or loss of access by local communities to resources as a result of the expansion of tourism, urban settlements and other infrastructure. Gender issues also relate primarily to conditions and rights of access to resources and economic opportunities. The project did not focus specifically on these issues, did not adapt of rights-based approach to its work on adaptation, and did not aim to address gender equity issues.

48. *The project, as designed, was highly relevant to the concept and practice of South-South Cooperation, but in its implementation it missed some opportunities to promote such cooperation.* The main issue in this regard is the almost total absence of communication between the field projects and their teams in the two pilot countries, and it is indeed surprising that the overall project did not facilitate or encourage the exchange of experience between them, especially since the countries were testing the very same adaptation option. South-South Cooperation however happened through the regional workshops, as the pilot countries were able to share their experience with colleagues from other countries in their respective regions.

Strategic relevance is rated "Highly Satisfactory"

B. Status of interventions[21]

49. The status of interventions (inputs) can best be assessed by examining the activities originally envisaged under the five components described in the project document.

[19] After a long planning process, the formal establishment of the Grand Anse Marine Protected Area (GAMPA) was announced by the Minister of Fisheries on 25 May 2017, see: http://www.nowgrenada.com/2017/05/grand-anse-marine-protected-area-gampa-established/

[20] The Reef Resilience Network is a partnership effort led by The Nature Conservancy that builds the capacity of reef managers and practitioners around the world to better address the local impacts on coral reefs from climate change and other stressors. Its components include: aggregation, translation and access to new coral reef science and management strategies for coral reef practitioners; communication to coral reef managers worldwide on new resources and tools for managing for resilience; virtual capacity-building that is implemented through an online course, a webinar series and the Reef Resilience Network; and intensive, in-person training and experiences for coral reef managers.

[21] As noted in paragraph 35, the logic of the project document is not entirely clear, because it presents one long-term goal, two outcomes, six outputs, three specific objectives, five interventions and five components, without clear links between all these elements. This section of the report therefore provides an assessment of effectiveness against all these elements, as well as against the expected accomplishment of UN Environment's Programme of Work.

Table 6: Status of interventions in project components

Component	Interventions planned	Status of interventions
Enhanced EbA decision-support tools and capacity-building resources	A coastal-specific module of the EbA decision-support framework and planning tools, and guidance resources on integrated coastal EbA strategies developed, tested and applied in pilot projects (in Grenada and the Seychelles) and available for wider use in other SIDS and coastal areas.	A Coastal EbA Decision-Support Tool has been developed and is available online. Guidance resources, including description of EbA options and case studies, have been developed and/or gathered and are available online. All these materials are available for wider use from a well-designed and attractive website. This evaluation did not see any evidence that the Decision-Support Tool and the other materials were tested and applied in the pilot projects. The pilot projects did not contribute significantly to the development of these materials.
Piloting social-ecological vulnerability scenarios and adaptation cost-benefit analyses	Social-ecological vulnerability scenarios developed for local coastal sites in two pilot countries (Grenada and the Seychelles) along with assessment and analysis of adaptation options considering co-benefits and ecosystem services of alternative approaches; and a cost-benefit analysis for identified adaptation options for each pilot site.	In Grenada, the initial study examined the country's social and ecological vulnerability, and assessed the benefits of various adaptation options, focusing on opportunities for coastal EbA. It looked in more detail at the vulnerability of three sites (which were then selected for the field project). It made a number of valuable recommendations regarding ecosystem restoration, linkages between EbA and MPAs, and the place of EbA in broader national strategies. The study included a cost-benefit analysis that concluded positively on the value of reef restoration. In the Seychelles, a similar study was conducted, which concluded that the districts of Grand'Anse and Baie Ste Anne Praslin were highly vulnerable to climate change and required urgent interventions to alleviate the deteriorating conditions. It also provided a cost-benefit analysis and recommended that EbA form part of coastal adaptation strategy in the Seychelles.
Piloting cross-sectoral EbA planning and operationalisation including participatory monitoring and evaluation	(a) EbA scenarios for local sites in the two coastal pilot countries; (b) operational EbA implementation plans incorporating stakeholder aspirations and needs; (c) detailed costed work plan and specific guidance on implementation modalities, costs and benefit sharing; and (d) protocol with indicators and measures for monitoring and evaluating of EbA	In the two pilot countries, stakeholders were presented with the results of the studies on vulnerability scenarios and consulted on preferred options, and the option of coral restoration was selected. In the Seychelles, a comprehensive research and planning process was implemented that involved, inter alia, detailed spatial mapping using satellite remote sensing and GIS, a Local Area Management Plan for Praslin Island, and a marine habitat management plan for the Curieuse Marine National Park. Excellent baselines have been established that will

Component	Interventions planned	Status of interventions
	outputs at the national level.	serve future research, planning and management. In Grenada, two nurseries were established, while in the Seychelles the number of sites was increased from one to three, and significant progress was made despite the major coral bleaching event of 2016. Out-planting has begun in both locations. The methodologies used in both instances have been well documented. In the Seychelles, the project did a comprehensive review of existing policies, legislations and frameworks relevant for reef conservation in the Seychelles, and while the report on this review had not been finalised by the time this review was conducted, it appears that the review process did inform policy formulation by identifying gaps and needs.
Regional training sessions on EbA scenario planning, decision-making and implementation	Enhanced national technical skills and capacity for undertaking vulnerability and EbA scenario building, EbA planning and implementation, as evident in new project concepts or programmes adopting EbA principles by end of the project.	Regional workshops have been held for the benefit of professionals in African and Caribbean SIDS, with information and skills presented and shared, but there is no evidence that this has resulted in enhanced capacity or that it has led to the formulation of new project concepts or programmes by participants in these training workshops.
Global knowledge-sharing on EbA Experiences, good practices and policy advice	Experiences and lessons from EbA pilot projects, tool development and training synthesised and disseminated for national, regional and global policy advice and practical use through UN Environment's EbA Flagship Programme, as well as through its regional and global networks.	Useful knowledge products have been developed and are available online, but this evaluation was unable to obtain data on website access and downloads. Ten EbA options have been studied, documented and made available online. The global knowledge products were only partially informed by the field experiments conducted by this project.

C. Achievement of outputs

50. This section examines and assesses the achievement of the outputs as presented in the project document's logical framework, and reproduced in the reconstructed Theory of Change. Since the language used in the project document to describe the interventions (see above) is quite different from that used to describe the outputs (see below), it is useful (and fair to the project) to examine the status of interventions and outputs separately, even at the risk of repeating some of the assessments and observations.

Table 7: Status of achievements of outputs

Output	Status of achievement	Discussion
Output 1a) Social-ecological climate change vulnerability scenarios and cost-benefit analysis developed using existing data in two locations	The vulnerability scenarios and the cost-benefit analyses were developed in the two pilot countries as planned.	In both cases, the studies were of high quality and provided an adequate basis for the selection of the EbA option to be tested and promoted. Interestingly, the two cost-benefit analyses arrived at very similar conclusions and recommendations regarding the EbA option to be selected.
Output 1b) Demonstrations developed and implementation initiated in two project countries	Pilot projects to demonstrate EbA were designed and implemented in the two countries.	Because of the short time available, and of the bleaching event in the case of the Seychelles, these pilot projects are not yet at the stage where they can demonstrate the impacts of restoration.
Output 1c) EbA coastal decision-support framework developed, and tested in two regions	The decision-support framework has been developed and disseminated, but not tested.	Because of weak linkages between the various components of the project, activities in the pilot countries have not been directly informed by the global knowledge products developed by the project, and there is no evidence that the decision-support framework, which was presented at regional workshops, was used by participating countries.
Output 2a) Regional training sessions delivered in SIDS in Eastern Caribbean and Western Indian Ocean to government officials	Two regional training workshops were delivered.	The workshops were well designed, facilitated and organised, with positive feedback from participants. There were participants from 16 SIDS. The regional workshop held in the Seychelles actually served all African SIDS, and not only the Western Indian Ocean, and provided a unique opportunity for exchanges between territories that rarely have the occasion to meet and share experiences.
Output 2b) SIDS relevant adaptation network initiated and knowledge products on adaptation in SIDS developed and disseminated	The networks have been initiated in the two regions. The knowledge products have been developed and disseminated, primarily through the regional workshops and a website.	The viability and sustainability of the networks is fragile, especially in the Caribbean, as it will require external funding to function. The knowledge products are relevant and of high quality. The only concern is that the policy brief has not been disseminated and has not been posted on the website.
Output 2c) Global knowledge products on adaptation in SIDS developed	The products have been developed and are available on the UN Environment Coastal EbA website.	See above. UN Environment has confirmed that the web pages created by this project will be maintained and updated on its adaptation website.

51. In order to assess the achievement of outputs 1c), 2a) and 2b), it is necessary to examine the extent to which the regional capacity building activities envisaged in the project document were actually implemented. This can be summarised as follows:

- The project provided technical advice and regular mentoring of government staff in the development of vulnerability scenarios and preparation of EbA cost-benefits in the two pilot countries, and this support is described as very valuable and useful by the beneficiaries;

- The project also designed and conducted a number of training activities in the two pilot countries, for the benefit of government officials, community residents, civil society organisations and prospective coral gardeners, and it developed a range of training materials and manuals. The relevance and quality of the training materials and events are rated highly by participants;
- In Grenada, the topics covered in training activities and materials related primarily to vulnerability assessment and coral restoration, while in the Seychelles the scope was broader, including geographic information systems (GIS), marine habitat mapping, beach monitoring, valuation of ecosystem services as well as coral and reef restoration;
- Two regional training workshops were held successfully (in March 2016 in the Seychelles for the African SIDS, and in February 2016 in Grenada for the Caribbean SIDS) with participants from 16 SIDS in total. Respondents to the online survey (see **Error! Reference source not found.**) indicate that the workshop provided them with new skills and new information relevant to the design and execution of EbA projects. Workbooks were developed for each participating country, but this evaluation could not gather any evidence that the workbooks have been applied and used since that date;
- The project document indicated that a "series of regional training workshops, learning exchanges, technical advice sessions and mentoring arrangements on EBA planning" would be organised but, apart from the two regional workshops, this evaluation did not receive any evidence that the other forms of support were provided;
- The project document also specified that twinning arrangements of planners would be supported among project partner institutions, but this evaluation did not find evidence that this was actually done.

52. *While the two regional workshops were successfully organised and delivered, with excellent logistical arrangements, it appears that follow-up action was far more limited than what was agreed by participants at the end of these workshops.* Out of four participants from African SIDS who responded to that particular question online, only one indicated that the concept for the "mini EbA project" identified at the workshop had been further developed. In the Caribbean, the regional workshop formulated a number of recommendations, and Table 8 below suggests that several of these have not been implemented. Among the participants in the two workshops, seven responded online to the survey question regarding the use of the EbA website created by the project, with three indicating they had not accessed it since the workshop, three clarifying that they had accessed it occasionally, and one stating that he/she had accessed it only once.

Table 8: Status of recommendations of regional Caribbean workshop

Recommendation as per workshop report	Status
• Use of the Coastal EbA Workbook to complement existing EbA guides as a basis for recording EbA options and processes for the Caribbean SIDS participating in the workshop	The idea was to use the Workbook that served as the workshop's main material as a guide, and to keep updating and improving it. The evidence gathered by this evaluation indicates that this was not done and that the Workbook has not been used since the workshop.
• Review and enhancement of the Workbook	
• Use of the Workbook as a basis for the identification of EbA options, both at the national and regional levels, and to integrate those options in relevant policies and plans	
• Establishment of a functional modality to facilitate the enhancement of cooperation among Caribbean SIDS through the establishment of a Permanent Secretary network as the recommendation for moving forward	Two-day meeting of Permanent Secretaries held in Cuba, focused on developing an action plan towards the operationalisation of a Regional Permanent Secretary of the Environment Network and a roadmap for finalising a proposal for a regional EbA project, using lessons learnt from the Grenada pilot project.
• Caribbean Community (CARICOM) to consider taking the lead through its Sustainable Development Unit in implementing this conclusion with the	The UN Environment Latin American and the Caribbean Office remains the lead and principal driver of this process.

Recommendation as per workshop report	Status
support of its Member States, in particular those which participated in the EbA Training Workshop	
• Government of Grenada through its Ministry responsible for the Environment in collaboration with UNEP will take the lead in reporting on the outcomes of the Training Workshop on EbA and present these to the Council for Trade and Economic Development COTED. The meeting agreed that Grenada will prepare the documents as soon as possible to submit to CARICOM and COTED. Documents will also be submitted to the Forum for Ministers of Environment for the Caribbean and Latin America through the UNEP Regional Office in Panama. This will be done as soon as possible before the meeting in March 2016. This modality will ensure the input of Cuba and the Dominican Republic	Documents were not presented as agreed.
• [Establishment of] a modality for information sharing on EbA between Caribbean SIDS with emphasis on how to manage information. The recommendation was made to use existing UNEP projects and programs to build a platform for information exchange. Grenada will take the lead on sending information to the network	Modality for information sharing not established.
• Specific initiatives aimed at building capacity in EbA, including the strengthening of SIDS-SIDS technical assistance transfer between Caribbean SIDS. Additionally, it is recommended that capacity-building be emphasized among young people, local communities and resource users	Not done.
• An enhanced coordination mechanism for EbA Integration in Caribbean SIDS. An integral part of this enhanced coordination mechanism could be a PS Network to support the promotion of Coastal EbA as a developmental planning tool to enhance Member States´ adaptation to climate change toolboxes	See above.
• To compile and share data on critical ecosystems to support environmental accounting initiatives in the region	Not done.
• The meeting also discussed and agreed to a Governance Framework for taking EbA Integration forward in Caribbean SIDS. For countries where it is as yet unclear who will be the EbA focal point, there will be a national consultation on the national governance structure that will complement the regional governance	There is no evidence that national consultations took place.
• The summary of conclusions will be sent within two weeks to all Caribbean SIDS. Given that PSs were not present, it was decided that the summary of recommendations would be	The summary of conclusions was presented to some of the Permanent Secretaries immediately after the workshop, and to all the participants in

Recommendation as per workshop report	Status
presented to PSs to be aware off, using existing channels of the Ministry of Foreign Affairs and copying Environment Ministry representatives.	the regional meeting of Permanent Secretaries in November 2016 in Cuba.
• Further consideration to be given to the building of linkages between CARICOM and ACS or CARICOM, CARIFORUM and ACS. The recommendation from the Dominican Republic was that CARIFORUM has a specific role to facilitate financing from the European Commission and thus it might not be realistic to include them in this instance.	The project was presented at the Sub-Regional Capacity-Building Workshop on Sustainable Finance and Resource Mobilisation for Biodiversity for CARICOM Member States.

Achievement of outputs is rated "Satisfactory"

D. Effectiveness: attainment of project objectives and results

Achievement of outcomes

53. The reconstructed ToC identifies three outcomes expected from this project, and Table 9 below assesses the extent to which these outcomes were realised. The first two outcomes were expressed in the project document as:

- "Outcome 1: Countries in SIDS develop and apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal communities;
- Outcome 2: Enhanced regional capacity and global knowledge on coastal EbA scenario development and planning, including gender equity perspectives in SIDS."

54. A third outcome was added in the reconstructed ToC, reading as: "Adaptation capacity of communities and societies in SIDS strengthened".

Table 9: Achievements against outcomes

Outcome	Evaluation of achievement
Outcome 1: SIDS develop and apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal communities	There is a growing interest in EbA approaches in African and Caribbean SIDS, and this project has helped to generate this awareness. There is also an increased application of these approaches, but there is no evidence that this can be attributed to this particular project. In Grenada, the project's activities in coral restoration have not yet demonstrated results in the maintenance and enhancement of the resilience of ecosystems and the services they provide to communities. In the Seychelles, because of a number of other initiatives that usefully complement this project, the impact of coral restoration on coastal ecosystems is more obvious. In the two pilot countries, while the stated objective is the restoration of the coral reef ecosystem, in effect the project has worked on the restoration of selected coral species, and that is only one step towards the effective restoration of the entire reef ecosystem (and coral reef restoration will not automatically occur as a result of coral restoration)
Outcome 2: Enhanced regional capacity and global knowledge on coastal EbA scenario	This evaluation is unable to assess the extent to which this outcome has been realised, because of the unavailability of statistical data accessible via the website.

Outcome	Evaluation of achievement
development and planning including gender equity perspectives in SIDS	Responses from participants in regional training workshops suggest that these courses have been beneficial, particularly as it provided them with new skills and new information.
Revised additional outcome: Adaptation capacity of communities and societies in SIDS strengthened.	This has not been achieved, but the project has initiated processes and created conditions that could eventually lead to the strengthening of this capacity in communities and societies in the two pilot countries, particularly with the strengthening of the capacity of management agencies (the Ministries of the Environment, and the SNPA in the Seychelles) and with the involvement of the private sector and communities in Grenada.

55. Limited progress has been made towards the achievement of the outcomes. Most of that progress was realised in the pilot countries, where technical skills and capacity have been increased, as evidenced for example by the incorporation of EbA in the on-going work programme of the SNPA or by the design of a new EbA project in Grenada. As far as other African and Caribbean SIDS are concerned, this evaluation did not gather specific evidence that learning gained at the regional workshops has been applied in these countries. There is a growing interest in adopting EbA, especially in the Caribbean, but there is no evidence that allows one to attribute this to this particular project, especially considering that there are many other initiatives in EbA in the region.

Achievement of outcomes is rated "Moderately Unsatisfactory"

Likelihood of impacts

56. The assessment of the likelihood of impact over the medium and long-term can also be informed by an examination of the extent to which the intermediary states identified in the reconstructed ToC have been achieved, or are likely to be achieved.

Table 10: Assessment of intermediate states

Intermediate state	Assessment	Likelihood of impact
Two SIDS (Grenada & Seychelles) apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal communities	The potential contribution of EbA approaches to building resilience is now recognised by a large majority of actors in these two countries. Coral restoration has been adopted and is being implemented as an EbA option in the two countries. Both countries are committed to sustaining and expanding the activities initiated by this project.	In Grenada, impact will depend on the ability of the national and local actors, and of their external partners, to sustain the processes and activities initiated by the project, and to deliver tangible and visible results. In the Seychelles, impact is more likely because of the existence of a number of complementary activities in EbA, and because of the integration of the project's activities within the structure and programme of work of the national institution with a mandate for protected area management.
Relevant policies are reformed and enforced	The project has contributed to the inclusion of EbA as an adaptation strategy in some of the relevant policies in the two pilot countries.	Impact will depend largely on the actual enforcement of reformed policies, and this will require that: (a) institutions responsible for enforcement have the

Intermediate state	Assessment	Likelihood of impact
	In the two pilot countries, and possibly others, the project has contributed to the formulation of the NAPs, with integration of EbA as a strategy. Thanks to this project and to many other initiatives in African and Caribbean SIDS, the policy commitment to adaptation is increasingly translated into public sector investments, national and local development plans, and the enforcement of special planning and management instruments such as protected areas.	capacity to perform these functions, and (b) the benefits of EbA approaches are tangibly demonstrated. Impact will also depend on the delivery of tangible and visible results, demonstrating that EbA is an effective adaptation option in the face of climate change and in the context of multiple development and natural resource management challenges in SIDS.
Demonstrations promote wider uptake of EbA in SIDS	The demonstration activities implemented by this project (together with similar initiatives undertaken by other actors in the two pilot countries and in other African and Caribbean SIDS) have undoubtedly increased interest in and awareness of EbA, but there is no evidence that they have resulted in a wider uptake, and hence more time and work is required, especially in Grenada, to allow the demonstration projects to contribute to this intermediary state.	As noted above, impact will depend largely on the delivery of tangible and visible results, demonstrating that EbA is an effective adaptation option in the face of climate change and in the context of multiple development and natural resource management challenges in SIDS. This is actually a major challenge, because SIDS have accepted the concept of EbA, but have not yet seen concrete and quantified outcomes, and sustained commitment will depend on the delivery of these outcomes.

Achievement of project goal and planned objectives

57. The long-term goal of this project was "to strengthen the resilience and adaptive capacity of communities that depend on coastal ecosystem services provided by coral reefs and associated ecosystems". This goal has not yet been achieved – and this is of course understandable as it was not expected to be realised in such a short time – but the achievements of the project represent a significant step towards its achievement.

58. The extent to which the project has achieved the objectives set in the original project document is summarised in Table 11 below.

Table 11: Status of achievements of objectives

Objective as per project document	Status
Enhance and demonstrate integrated planning tools and technical guidance to assist decision-making and effective stakeholder consultation in the development of coastal EbA interventions.	Quality tools have been developed and demonstrated in the pilot projects – notably with the vulnerability assessments and the cost-benefit analyses, which have guided decision-making with respect to the selection of an EbA option to be tested, and which served as the basis for stakeholder consultation. Other planning tools and technical guidance instruments have been developed and disseminated by the project, including through various training sessions in the Seychelles.
Support relevant authorities and	Valuable support has been provided to government

Objective as per project document	Status
communities in two SIDS where climate change already places intense pressure on human livelihoods and coastal and marine resources in the selection, planning and implementation of practical EbA measures.	agencies, civil society organisations and communities in Grenada and the Seychelles. The main beneficiaries of this support have been the two ministries responsible for the environment, the Seychelles National Park Authority (SNPA) and the local communities in the sites selected for coral restoration. This support has focused primarily on coral restoration, in the context of spatial planning. In the case of the SNPA, this support has also helped it to strengthen its marine research and management work, consistent with its decision to refocus the primary function of rangers towards a greater role in resource monitoring and conservation action. In addition, institutions and communities in the two pilot countries have been supported through a range of communication activities.
Support regional capacity-building and global transfer of good practices and experiences gained to other coastal regions as a means to scale up EbA development and implementation, including informing supportive adaptation policies, strategies and adaptation plans.	The project has established a global platform for the dissemination of good practices and experiences, and the regional networks that it has created, if sustained, will also serve as a channel of capacity-building and knowledge transfer, but there is no evidence that this project has contributed to the scaling up of EbA development and implementation in other coastal regions.

59. *There are several other impacts and benefits of the project that should also be noted, and that are relevant to the assessment of the status of outcomes and intermediary states.* In particular:

- Project personnel in Grenada indicate that the project has resulted in the creation of a "new profession", that of "coral gardener". There is no doubt that the project has usefully and effectively transferred the skills of coral restoration to 18 persons, with approximately half of these still involved, but it is premature to conclude that a new profession has been created, because there is no obvious market demand for the use of those skills. Also, there is a claim that this has created "alternative livelihoods", but this may be an exaggerated claim;
- While the project in the two pilot countries has focused on field demonstration, it has contributed, directly and indirectly, to policy reform and institutional strengthening. In the Seychelles, the project facilitated the introduction of new biodiversity legislation, which came partly as a result of the project's work on the identification of gaps in relation to reef conservation. In the case of Grenada, had it been conducted early in the project, the legislative review and gap analysis would have been very useful in this and other national policy processes, especially as the project justified the reactivation of a dormant National Climate Change Committee and its working groups, and contributed to the formulation of a new Coastal Zone Policy. The project also contributed to the development of the National Adaptation Plans (NAP) in both Grenada and the Seychelles, while Grenada also had the opportunity to showcase its work on EbA in a number of regional forums. This evaluation also gathered evidence that this project contributed to NAP development in at least one other Caribbean SIDS, through one of the participants in the regional workshop in the Caribbean. NAPs are a requirement of the UNFCCC.
- For UN Environment, the project has provided a useful channel for a deeper engagement of two countries, Grenada and the Seychelles, that play a pivotal role in sustainable development processes, in their respective regions as well as globally;
- In the case of African SIDS, the project has brought together countries that are geographically, politically and culturally distant and that have very few opportunities to collaborate and exchange. This was done primarily through the regional workshop, but this is something that will be continued if the Forum of African SIDS, initiated by the project, is sustained and made operational. If this

communication and cooperation mechanism is sustained, it could become a very useful channel for the dissemination and eventual uptake of EbA approaches and methodologies among SIDS.

60. *While one of the two expected outcomes in the project document stated that the enhanced regional capacity and global knowledge would include "gender equity perspectives", this dimension has been weak in the project*. In Grenada and the Seychelles, efforts were made to ensure that both women and men were given the opportunity to participate, and this ensured a good level of gender equity and a significant role for women in project management and in the various organs and consultative processes. At the same time, the project document stipulated that gender disaggregated data would "inform EBA scenario planning" and that "gender analysis will be included in the inception phase where gender specific groups will be part of the stakeholder mobilization and dialogue and in the social-ecological vulnerability scenario modelling and cost benefit analysis". The products developed in Grenada and the Seychelles, however, do not provide these segregated data and do not reveal the use of the instruments of gender analysis.

Achievement of project goal and objectives is rated "Moderately Unsatisfactory"

Contribution to UN Environment Programme of Work

61. UN Environment's Programme of Work (PoW) for 2016 – 2017[22] includes seven sub-programmes, the first one focusing on climate change. This sub-programme has two expected accomplishments, and the first one reads: "Adaptation approaches, including an ecosystem-based approach, are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts", with two indicators of achievement and three expected outputs. Considering the large number of EbA initiatives underway in the two pilot countries, and more generally in African and Caribbean SIDS, it is somewhat difficult to attribute impact to UN Environment as opposed to other actors, but a review of progress against the indicators remains significant, as summarised in Table 12 below.

Table 12: Progress against PoW indicators, expected accomplishment 1(a)

Indicator and output	Assessment of progress
Expected Accomplishment: Adaptation approaches, including an ecosystem-based approach, are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts",	
Indicator (a) (i) Increase in number and percentage of countries assisted by UNEP that implement concrete ecosystem-based and other supporting site-based adaptation initiatives	The two pilot countries were already implementing concrete EbA initiatives when this project began. While it would be beyond the scope of this evaluation to identify and assess the countries that have since adopted EbA approaches, it is clear that several Caribbean countries are now implementing EbA approaches, especially focusing on mangroves and coral reefs, and that this is due, in part, to the work of UN Environment in this project, as well as through the activities of the Caribbean Environment Programme, the Caribbean Biological Corridor and national projects in Haiti and other countries.
Indicator (a) (ii) Increase in number and percentage of countries assisted by UNEP that have progressed in integrating ecosystem-based adaptation and other adaptation approaches into sectoral and national development strategies	Thanks in part to this project, the two pilot countries have formally included EbA in their National Adaptation Plans (NAP), and it is likely that other countries represented in the project's regional workshops have used learning from the project and have applied it in the preparation of their own NAP (as indicated by one respondent to the online survey conducted by this evaluation).

[22] Since the bulk of the activities of this project were conducted in 2016 and during the first half of 2017, this PoW is more relevant to this evaluation than the 2014 – 2015 PoW.

Output 1. Methods and tools for adaptation developed and piloted, and disseminated through knowledge networks along with adaptation approaches, research results, lessons learnt and good practices	There has been some progress towards the delivery of this output, but the project's duration was too short to produce results and good practices; also, some of the knowledge products were developed but have not been piloted.
Output 2. Technical support provided to countries to implement ecosystem-based adaptation (EBA) demonstrations and supporting adaptation approaches, and to up-scale these through partnerships at regional and country level	Technical support was provided to the two pilot countries. In the Seychelles, conditions are favourable for the up-scaling of these approaches, thanks to the implementation of a number of complementary initiatives in EbA and to the capacity built within the SNPA. In Grenada, up-scaling will be more challenging, because of the limited capacity of the Ministry of the Environment to sustain the processes initiated by the project, and because arrangements to sustain these processes are not yet in place. No technical support was provided at regional level, apart from the training workshops and the dissemination of knowledge products.
Output 3. Support provided to countries to develop adaptation-related policies and plans, to integrate EBA and supporting adaptation approaches into national and sectoral development policies, plans and strategies, and to develop legal and regulatory frameworks	Through the project, the two pilot countries have integrated EbA into their NAPs, have improved their policy framework for biodiversity conservation and for coastal zone management, and have recognised the potential value of EbA as a suitable and effective strategy to respond to the challenges of climate change.

Review of outcomes towards impact

Table 13: Outcomes towards impact – ratings[23]

Outcomes[24]	Rating	Intermediate states	Rating	Impact	Ratings	Overall
Outcome 1: SIDS develop and apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal communities	B	Two SIDS (Grenada & Seychelles) apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal communities	C	No change in environmental status, but demonstrated potential to achieve change over time if processes initiated by project are continued and scaled up, and if knowledge products remain available and used	BC	The overall rate is **moderately unlikely**
Outcome 2: Enhanced regional capacity and global knowledge on coastal EbA scenario development and planning including gender equity perspectives in SIDS		Relevant policies are reformed and enforced				
Revised additional outcome: Adaptation capacity of communities and societies in SIDS strengthened		Demonstrations promote wider uptake of EbA in SIDS				
Rating justification: Overall adaptation capacity may not have been achieved, but there is certainly improved capacity in scenario development and planning in the two pilot countries, where EbA approaches have been developed and are being tested, and possibly in other SIDS that benefited from the project's training activities		Rating justification: the approaches are being implemented in the two countries, but the EbA option being tested is not sufficiently advanced to impact on ecosystem resilience and services. Some policies have been positively influenced, but the policy framework required for effective EbA is still missing in the two pilot countries, and most likely in all other African and Caribbean SIDS				

Likelihood of Impact is rated "Moderately Unlikely"

[23] See Annex 6 of the Terms of Reference (in Annex 2 to this report) for the methodology and rating scale for outcomes and progress towards 'intermediate states' (with a scale from A to D).
[24] These are the outputs in the reconstructed ToC.

E. Efficiency

62. *While precise figures of staff time and other cost allocations are not available to this evaluation, there are indications that some aspects of project execution were somewhat inefficient*. The primary concern in this regard is the effort that was required for the coordination and administration of the field projects, especially in Grenada, where it appears that the Project Manager spent an estimated 80% of her time on project management, including procurement, financial matters and reporting, while the Technical Officer also had to spend time on some aspects of reporting and administration. If one adds the time and travel costs of the UN Environment Latin America and the Caribbean Office Senior Programme Officer, this means that more than half of the project's core expenditure was spent on its management and administration, and this is primarily due to the procedures that had to be followed and to the delays in receipt of funds and procurement processes.

63. *A number of issues also affected the timeliness of project execution*. In the Seychelles, the main factor responsible for a slow start in project execution was the late recruitment of the technical backstopper, in effect resulting in a one-year delay in the start of activities on the ground. For the pilot project in Grenada, the main issue was the commissioning of the consultancy on spatial planning and the design of the monitoring and evaluation system, which was initiated late, resulting in these two products not being finalised at the time of project closure.

64. *The volume of co-financing secured by the project and its impact on project execution and performance are significant but difficult to assess.* The following observations can however be noted:

- There is a co-financing figure in the approved budget (EUR 356,913), but it does not reflect the actual contribution of UN Environment and other partners, and it is not even included in the final financial report to the donor.
- The contribution of the regional offices of UN Environment (for their staff time, overhead costs and travel costs), and particularly that of ROLAC, was very substantial, but it has not been monitored and accounted for. This information would however have been useful in order to assess replicability, sustainability and efficiency.
- The contributions of the two national governments were also very high, including staff time of senior management and technical and administrative personnel, provision of office space and equipment, and various forms of logistical support, yet these are not mentioned and have not been accounted for.
- The contributions of the private sector and the communities in the pilot sites have also been substantial, through volunteer time and discounted rates on services, yet these have been neither monitored nor recorded.
- It is unusual for a donor not to require details and evidence of co-financing inputs in reports when co-financing was part of the original agreement and budget.

65. *While administrative and managerial costs may have placed a large demand on the project teams in Grenada and the Seychelles, it is also clear that the teams have handled these demands extremely well*. In both countries, the project teams were highly competent and received good support from the national institutions and from the regional offices of UN Environment. With respect to efficiency, the issue therefore was not the performance of the project teams, but the rigidity of some of the procedures of government agencies, and perhaps also the suitability of UN Environment as executing agency of small-scale field projects, considering the administrative procedures and management requirements imposed on national and local partners.

66. *In Grenada, the use of a single Steering Committee to serve both the ICCAS project and this project was a wise decision*, as it increased efficiency (considering that the primary stakeholders of the two projects are largely the same) and allowed for synergies between projects and between institutions represented (including the external partners, as UN Environment, represented by the Latin America and the Caribbean Office, and the two donors of ICCAS, GIZ and UNDP, would typically attend meetings of the Steering Committee).

Efficiency is rated "Moderately Satisfactory"

F. Sustainability and replication

Financial sustainability

67. *In most SIDS, including the two pilot countries targeted by this project, the sustainability of coastal EbA interventions and related processes is not yet guaranteed and it will be largely dependent, in the short and medium terms, on the availability of donor funding.* The situation however varies between countries and regions:

- In October 2016, the Adaptation Fund Board (AFB) approved a pre-concept for a project entitled "Restoring marine ecosystem services by rehabilitating coral reefs to meet a changing climate future" which was submitted jointly by Mauritius and the Seychelles, and a full proposal is currently being prepared, with a projected budget of USD 4.9 million. As part of that process, it has been agreed that the Seychelles component would focus on scaling-up the various ecosystem restoration activities that are currently underway in the country, including this one. It is expected that this AFB-funded project will start implementation sometime around the end of 2018, and the SNPA indicates that its current level of funding would allow it to sustain activities until then.
- In Grenada, UN Environment Latin America and the Caribbean Office was able to secure funding for a short-term transition during 2017, but Grenada's Ministry of the Environment would not be able to sustain the processes and activities generated by the project without external project funding.
- In the case of Grenada and the other Caribbean SIDS, two project documents were being developed at the time of this evaluation, which were presented by the UN Environment Latin America and the Caribbean Office as the main instruments that would allow activities to continue and expand. One is a proposal to be submitted by the Government of Grenada to the Green Climate Fund, for the maintenance and expansion of coral nurseries and restoration work, within an integrated planning framework that incorporates terrestrial areas. The other is for a regional project in ecosystem-based adaptation that would scale-up the work on coral restoration, while also working on mangroves and possibly other ecosystems; the intention is to submit this project to the European Development Fund through CARIFORUM[25]. But funding for these two projects is not yet assured and, even if it is confirmed, there will almost inevitably be a gap between the end activities supported by this project and the follow-up work.

68. *Conditions are presently favourable for a major expansion of coral restoration work – and more generally of EbA – in tropical SIDS.* The experience of the Seychelles, with several donor-funded projects underway or at design stage, shows that development partners are interested in supporting EbA approaches, and this is also the case in the Caribbean. Research needs are many, but several of the coral species that are used in restoration are listed as endangered, and this opens some funding opportunities from dedicated sources. Global and regional networks are active and the lead actors are cooperating, adding value to work done and facilitating the exchange of resources and expertise. With the appropriate design and institutional arrangements, field projects in restoration can be executed efficiently.

Financial sustainability is rated "Moderately likely"

Socio-political sustainability

69. *The socio-political context in SIDS is generally favourable to the sustainability of the processes initiated by this project, but it will eventually depend on the ability of this and other EbA initiatives to deliver concrete benefits.* The context is favourable because there is a growing awareness – within societies and among political and opinion leaders – of the dangers of climate change and of the need to adapt, and because the use of nature-based solutions is attractive to societies that depend largely on coastal ecosystems for economic development, livelihoods and recreation. The interest of and support from development partners and others in the international community is another positive factor. But this interest in and this support for EbA approaches remain fragile, as

[25] See: http://caricom.org/cariforum-the-context for presentation of CARIFORUM.

they are now based more on a promise of effective and beneficial ecosystem restoration than on the delivery of actual results, and they will not be sustained unless EbA initiatives can move from the experimental stage to the actual delivery of ecosystem restoration, coastal protection and productivity enhancement. This challenge of sustaining interest and meeting expectations is particularly important in Grenada, because of the role played by the country regionally and internationally in advocating the need for adaptation to climate change – a failure of this and other EbA initiatives to deliver tangible benefits could seriously damage the viability of the concept and the potential for sustainability, replication and scaling-up.

Socio-political sustainability is rated "Likely"

Institutional sustainability

70. *In the Seychelles, institutional arrangements and capacities appear reasonably favourable to the continuity of the processes initiated by the project*. While it will require external donor funding, the SNPA indicates that its current funding should allow it to maintain the nurseries, continue out-planting and sustain a minimal level of scientific support to coral restoration for another 12 – 18 months, keeping the three technical personnel currently working on Praslin Island and nearby Curieuse Island. Considering the high level of commitment of the national institutions, the opportunities that may be offered by the Environment Trust Fund[26], and the external support available for conservation work in the Seychelles, including the likelihood of funding from the Adaptation Fund Board (AFB), one can feel confident that the programme will be sustained and grow, under the joint leadership of the Ministry of the Environment and the SNPA.

71. *There are other positive institutional and capacity factors that will assist in ensuring sustainability of the work in the Seychelles*. These include: (a) the fact that this project has helped to place coral conservation, management and restoration work at the centre of the SNPA's work in marine management and science, and has increased its capacity to conduct this work; (b) the critical role played in the country by this project's Technical Backstopper, whose expertise is, and will remain, available for other initiatives; (c) the fact that other groups, such as the Earthwatch Institute, have expressed interest in partnering with the SNPA in research; and, (d) the extensive experience and expertise available within Nature Seychelles, the civil society organisation that has spearheaded coral restoration in the country over the past seven years[27]. Another positive factor is the increased collaboration between institutions and projects involved in reef conservation and coral restoration, as illustrated by the recent networking session organised on 26 April 2017 in Praslin by the SNPA, provoked by the need to share the experience of the expeditions sponsored by the Earthwatch Institute, and which confirmed the role that the SNPA could and should play as the convener and the facilitator of cooperation among actors in this field.

72. I*n Grenada, the institutional context is less favourable to sustainability than in the Seychelles*. The main concern there is the limited cooperation between the Ministry of the Environment, which led the execution of this project and was the primary beneficiary of its support, and the Fisheries Division, which has more technical capacity and resources, has the legal mandate for the management of marine protected areas and is otherwise involved in restoration work, but has been only marginally involved in this project. At the local level the "coral gardeners", who are critical to the continuity of the efforts, have been entirely paid by project funds, and so have the dive operators who took the project team to the field for maintenance of the nurseries and the initial out-planting work. Project funds have also covered the costs of all the diving and maintenance equipment and supplies used by the gardeners. The question of sustainability is urgent, because of the need to maintain the nurseries and continue out-planting, to expand the monitoring programme and to continue genetic mapping. For sustainability, The Nature Conservancy, as part of its contractual agreement with the project, has developed a report on

[26] The fund is capitalised by an entry fee to the botanical garden and a percentage of the environmental levy which is charged on utility bills. From time to time, it issues calls for proposals. Most of the projects funded are small or medium size, and the majority are projects put forward or otherwise supported by the Ministry of the Environment.

[27] See: http://www.natureseychelles.org/what-we-do/coral-reef-restoration

sustainable financing strategies and another report entitled "Business Plan for the Continuation of Restoration Work Incorporating Sustainable Livelihoods Activities", but the recommendations of these reports have not yet been implemented. Also, the arrangements proposed in the business plan to transfer the responsibility to sustain project activities to a grouping of coral gardeners and other community residents appear optimistic and somewhat unrealistic, and are actually described by one of the local project partners as "naïve", considering the challenges in forming community-based business entities and establishing genuine co-management arrangements between resource users, the private sector and government agencies. The concern is real, and the community members are well aware of the urgency to address these sustainability issues: it's a "crucial time", said one of the local actors.

73. *At the regional level in the Caribbean SIDS, the decision has been to establish a network of Permanent Secretaries that would play the lead role in sustaining and up-scaling the work at the regional level*. The appropriateness of this decision can be questioned, because Permanent Secretaries do not constitute a stable group (they are senior civil servants who not only do not necessarily have technical expertise in the fields covered by this proposed network, but who also often change positions and portfolios), and secondly because such a network would most likely depend on external donor funding for its operations (its first meeting, held in Cuba in November 2016, was actually funded by this project). It may indeed be a more efficient and viable option to use the mechanisms that exist within the Cartagena Convention, the SPAW Protocol and the Caribbean Environment Programme for the dissemination and up-scaling of the work on ecosystem-based adaptation initiated in Grenada.

74. *Meanwhile, the regional processes initiated by the project in the African SIDS should be easy to sustain, as they only require functional mechanisms for the exchange of information and experiences*. The decision made by participating countries is to establish and operate a Forum of African SIDS. For this purpose, a Facebook group was created in November 2016, and a website has been designed and will soon be live, hosted and maintained by the SNPA. Considering the capacity and commitment of institutions in the Seychelles and their interest in performing a facilitating and supportive role among SIDS, considering also the low cost of maintenance of these communication platforms, it is very likely that these instruments will be sustained.

75. *One additional, positive factor of sustainability of coral restoration work is the recent formation of a consortium of organisations and experts involved in coral restoration*. This consortium is led by organisations working primarily in the Caribbean, but its scope is global. It will serve as a vehicle to: maintain communication among practitioners; share methods, knowledge and results; and contribute to a more rapid evolution of the field of restoration. The structure of this consortium is under development, at the initiative of the National Oceanographic and Atmospheric Administration (NOAA) in the United States, The Nature Conservancy and other organisations, and it will include formal and informal ways to continue and improve collaboration among researchers, managers, and practitioners. It will include a number of specialised working groups, coordinated by a steering committee that is currently established with the intention of determining research priorities in consultation with interested actors within and outside the region. UN Environment has played a key role in this process through the Regional Coordinating Unit of the Caribbean Environment Programme (CAR-RCU) and it is hoped that improved linkages with the Regional Seas programmes will create a channel of reciprocal information flows contributing to sustainable project results.

Institutional sustainability is rated "Moderately Unlikely"

Environmental sustainability

76. *From an environmental perspective, the project's interventions and processes are largely sustainable, but there are three factors that could impact negatively on environmental sustainability.* First, it should be kept in mind that environmental and climatic factors remain a threat to the sustainability of coral restoration efforts. In the Seychelles, for instance, while the

most severe bleaching event occurred in 2016, corals are still affected by the phenomenon[28]. Increases in seawater temperature, sea level rise and extreme weather patterns are constant threats to the health of coastal ecosystems in tropical SIDS and to the structures and activities put in place by projects such as this one. Secondly, another external factor is the risk of disease affecting corals. In response to these potential impacts, the coral restoration processes initiated by the project need to be supported by adequate science and by continued work on genetic mapping. Thirdly, the sustainability of coral restoration efforts could be threatened by land-based sources of impacts, including those that are or have been partially responsible for the degradation of the coral reef ecosystem in the first place, including pollution and sedimentation, and which have not been addressed by this project.

Environmental sustainability is rated "Moderately Likely"

Overall, Sustainability is rated "Moderately Unlikely[29]"

Catalytic role and replication

77. *The very purpose of this project was to support dissemination and replication, but this did not happen during project execution, and the extent to which it will happen afterwards depends on the sustainability and success of activities on the ground.* In the Seychelles, the catalytic role and replication potential of the project are relatively low, simply because there are other on-going programmes in coral restoration in the country that are more advanced than what this project was able to achieve, but this project has helped to build the rationale for new investments in coral restoration in the Seychelles and Mauritius. Yet the fact that this project was embedded in the protected area management agency is a positive factor, as it could encourage replication by that organisation. In Grenada, and by extension in the Caribbean region, the catalytic role is high, because of the high visibility of the project, but it is fragile, because it will depend on the sustainability of interventions and on the ability of the processes initiated by the project to deliver tangible and demonstrated benefits. At the global level, the dissemination of products, primarily through the website, should have, and may already be having, a catalytic role and may have encouraged replication.

Catalytic role and replication is rated "Likely"

G. Factors affecting performance

Preparation and readiness

78. *The project was conceived as part of UN Environment's broader initiative in promoting ecosystem-based adaptation.* This was not an isolated project, it was an effort aimed at building on earlier and concurrent work done by UN Environment in this field, with the benefit of quality expertise and professional linkages within and outside the organisation. At regional levels, the Regional Seas programmes in the Caribbean and the Indian Ocean participated in design and were ready to contribute to project execution.

79. *The project benefited from detailed and well-structured work plans (for the project as a whole, as well as for the country pilots).* For the overall project, the work plan adequately reflected the sequence of actions required for this type of intervention, with: vulnerability assessments, mapping and other assessments completed by the end of year 1 (in addition to setting up project execution arrangements); year 2 dedicated to: the planning and implementation of demonstration activities, the development of guidance resources, knowledge products and

[28] http://www.seychellesnewsagency.com/articles/7057/Survival+of+Seychelles+coral+in+jeopardy%2C+says+marine+biologist

[29] The overall rating for sustainability is the lowest rating given to the sub-criteria since all aspects of sustainability are deemed critical.

training modules, and the uploading of materials to online SIDS adaptation networks; and year 3 focusing on the completion of the products and resources and their dissemination.

80. *The time frame for the execution of this project was extremely short, especially considering the choice of coral (and coral reef) restoration as the EbA option to be tested and demonstrated in the two field projects, and then disseminated.* As noted above, the sequence of activities in project design was adequate, but the time allocated to the field demonstration was clearly insufficient, as it is not possible to complete the "practical implementation of identified EBA demonstration activities at site" within 10 months. Restoring an ecosystem is indeed a long and complex process, especially when the ecosystem in question is the coral reef. Given the extent of bleaching and the fact that coral grows very slowly[30], it would have been impossible to achieve adaptation outcomes in the 30 months of the project's duration.

81. *The exclusive focus on coastal EbA, as opposed to a broader approach to island ecosystem management, may have been inadequate in small tropical island settings.* The field projects were designed as coastal management projects, but coastal issues, especially in small islands, cannot be addressed independently from terrestrial planning and management, especially since most of the negative impacts on coastal ecosystems come from land-based sources. As designed, the project was almost entirely focused on marine issues, without incorporating and addressing sufficiently the land-based sources of impact.

82. *The design process had an impact on project execution, local buy-in and partnerships in the two countries.* As early as September 2012, well in advance of project launch, UN Environment organised a mission to the Seychelles, which allowed for the consultation of potential partners and their involvement in project design. In September 2012, while this project was being considered, and using funds available through a China-funded South-South Cooperation project, UN Environment conducted a scoping mission to the Seychelles to present and discuss this new project, and this proved useful in informing and consulting local stakeholders. It should also have set the basis for effective project implementation once approval was secured, but it took a long time for project execution arrangements to be put in place in the Seychelles. This was not done for Grenada, and additional work was therefore required at the start of the project to inform and mobilise partners, a failing largely remedied thanks to the active involvement of the Senior Programme Officer at UN Environment Latin America and the Caribbean Office, who visited Grenada immediately after the signing of the ICA between the Ecosystems Division and Latin America and the Caribbean Office to help the start of the project.

Preparation and readiness is rated "Satisfactory"

Project implementation and management

83. *In the pilot countries, the execution of activities did not always follow the schedule and sequence envisaged in the project implementation plan.* Firstly, local work plans were developed later than expected (and very late – August 2015 – in the case of the Seychelles, because of the time taken in setting up the project). Secondly, as noted above in paragraph 78, the time allocated for demonstration activities was simply too short. Thirdly, the process of determining the EbA options and selecting the one to be tested took longer than planned in both countries. Fourthly, in the case of the Seychelles, the major coral-bleaching event of the first half of 2016 caused major setbacks. And lastly, in the case of Grenada, three major components of the project (legislative review and gap analysis, design of monitoring system and spatial planning) were left to the end of the project (and eventually cancelled in the case of the legislative review and gap analysis). In the Seychelles, in order to manage implementation challenges, the project team revised its work

[30] Although coral growth in general is affected by prevailing conditions, most notably the surrounding sea's temperature, salinity, pollution and acidity, growth rates are also highly variable between species. Thus, the slowest growing tabular corals only add between 5 and 25 millimetres (0.2–1 inch) per year to their length, whereas branching corals grow between 10 and 20 centimetres (4-8 inches) annually. The inadequate time frame set for the project's restoration target is further highlighted if one takes into account the fact that, in the Seychelles, for example, the previous bleaching event of 1998 had destroyed up to 97% of its reefs, which had only just started to recover thanks to natural recovery and sustained coral gardening when the 2016 incident made itself felt.

plan every 6 months and submitted it to the MEECC and UN Environment along with the progress reports.

84. *Work in the two pilot countries benefited from having competent and dedicated project teams*. In the Seychelles there was a well-qualified coordinator with good project management experience, and a technical backstopper with a high level of scientific expertise and with relevant experience gained from earlier projects, working closely with the SNPA. In Grenada, there was a team of two talented and committed young professionals, supported by the Latin America and the Caribbean Office Programme Officer, who provided on-going support and contributed actively to the project (and visited the country on average three times a year). Indeed, the selection by the Government of Grenada and UN Environment of the members of the project team was a positive factor of particular significance. Colleagues who were involved in that recruitment process indicate that there were a number of candidates, including some with extensive experience and strong credentials. Yet, as in the words of one government official, "we wanted to give young people a chance", and this was undoubtedly a wise decision, as it allowed two Grenadian graduates of St. George's University (SGU) to apply their skills and enthusiasm to this project, and in the process gain valuable experience. Not only are these two individuals competent and dedicated, but they have complementary skills that made the team very effective and efficient.

85. *More generally, the pilot projects in Grenada and in the Seychelles have been well served by quality products and competent expertise*. It is indeed a feature of this project that the documents that have been produced are all of very high quality, and that the organisations and individuals who were recruited to provide services were all well qualified. Several of the project beneficiaries also stress the quality of the training provided in workshops and field exercises.

86. *The partnership arrangements with national institutions for project execution were largely beneficial.* In projects such as this, the option of creating autonomous project management units is often preferred, for efficiency reasons, but in this case the challenges were largely outweighed by the benefits. In the Seychelles, for example, there were frequent delays in the disbursement of funds by the Treasury, while in Grenada the conditions of the agreement between the country and the International Monetary Fund required that a significant portion of funds be retained by the Ministry of Finance for a significant period of time. But the insertion of the project within national institutions has helped build country ownership, and it has strengthened the links between the national institutions and UN Environment, on the basis of functional cooperation and trust. As in the words of one of the project participants in the Seychelles, "uptake was very easy, because of the government's demand and engagement". It is also thanks to the lead role played by the respective ministries that it was possible to create synergies between projects, as in the case of ICCA and this project in Grenada, and it is thanks to the placement of project staff in these ministries that they were able to benefit from the Ministry's support and to contribute to its work.

87. *The project did not benefit sufficiently from possible synergies between its various components; in many respects, it was implemented more as a set of distinct activities than as a coherent experiment with a sequence of activities that follow the logic of that experiment*. While the two pilot projects worked on the same adaptation option (coral restoration), there was no exchange between the two teams, except for their unplanned encounter in December 2015 in Paris, as they were both participating in the 21st meeting of the Conference of the Parties of the UNFCCC and made presentations at a panel at the EU's Pavilion. The pilot projects in the two countries were used as examples in the regional workshops, but they were insufficiently advanced at that time to provide tangible lessons and new methodologies. For the same reason, the global knowledge products developed by the project made very limited use (if any) of lessons learned from and methodologies developed in the pilot activities. It also appears that the project, which, as stated in the project document, was designed to "build upon and further advance recent developments and approaches on EBA, including for example a UN Environment-led EBA Decision Support Framework", did not actually make use of that framework, but developed new products and instruments.

88. *In the Seychelles, the coral bleaching event of 2016*[31] *impacted negatively on the project, but also created opportunities.* This event started at the time when the project was establishing the coral nurseries, and it forced the project to stop work in the field for approximately 12 months, with the loss of most of the corals in the nurseries. Yet it also provided an interesting opportunity: following the event, pockets of survival were identified, with specimens that have the genetic capacity to resist bleaching and cope with higher water temperatures. The bleaching also justified the extension of the project by 6 months, and allowed for the new activities, financed in part by the SSFA between UN Environment Africa Office and the Ministry of Environment, Energy and Climate Change (MEECC), including the inclusion of a third rehabilitation site on Praslin Island and a greater out-planting effort.

89. *Within the two regions, UN Environment did not fully exploit the opportunities for synergies between and coordination among its various units.* The UN Environment Policy Paper entitled "Strengthened UNEP Strategic Regional Presence: Contributing to the Future We Want" approved in 2015 calls for a stronger presence and delivery in the regions, and this is certainly a positive move. Referring to this project, one UN Environment official indicated: "initially, there was a lack of clarity on who does what on a day-to-day basis, and part of the problem is that Headquarters in Nairobi has a tendency to work directly with countries". Consistent with the coordination role conferred to them by the Policy Paper, the Regional Offices should have facilitated closer programmatic linkages between the project activities in countries and the important processes and institutions facilitated or supported by UN Environment in the respective regions, such as the Caribbean Environment Programme and its Jamaica-based Regional Coordinating Unit or the Secretariat of the Nairobi Convention.

Project implementation and management is rated "Moderately satisfactory"

Stakeholders' participation and public awareness

90. *The various components of the project have benefited from positive and productive partnerships.* In particular:

- In the two pilot countries, the main government partners (in both cases, the Ministries responsible for the Environment, as well as the SNPA in the Seychelles) were very committed to and supportive of the project;
- In Grenada, the field work depended heavily on the involvement of dive operators, and the two businesses that were selected (one in Grand Anse and the other in Carriacou) were very competent, flexible and generous[32];
- In the two countries, local communities were supportive, and several local institutions, such as media houses and schools, assisted in the public awareness work;
- The Nature Conservancy provided very valuable scientific and technical inputs into the project, and it was advantageous to work with an organisation that has experience and capacity to work in various regions, and could therefore effectively support work in Grenada and in the Seychelles.

91. *In Grenada, one of the factors of success has undoubtedly been the presence of an academic institution – St. George's University (SGU).* SGU has trained a number of Grenadians in marine science and natural resource management (including the two members of the project team and key personnel of the Fisheries Division), has conducted research and produced recommendations that provide guidance to conservation and management programmes in the

[31] According to Professor David Smith of the University of Essex in the United Kingdom, what is termed the "2016 event" (but which actually started in 2015 and is on-going) is responsible for average bleaching levels of 80 per cent, but up to 95 per cent for some sites surveyed, in an ecosystem already fragilised by the previous such bleaching in 1998, from which the coral reefs were only just beginning to recover through human nurturing. See: https://phys.org/news/2016-05-seychelles-reefs-hard-pockets-resistance.html

[32] There is however one safety issue that has been raised by a couple of people interviewed for this evaluation, and that this evaluator was able to observe in person: in some instances, the dive operator in Grenada combines the maintenance trips to the coral nursery with commercial dives, and leaves the project team at the nursery site while taking its clients to another diving site. This practice does not meet basic safety standards and should not have been allowed under the project.

country, and has been a source of expertise in project activities, as well as in management (for example one of the university lecturers served as a resource person in recruitment processes).

92. *While collaboration and partnerships were generally positive, there were a number of concerns and issues*. These include:

- In Grenada, there were tensions surrounding the choice of the project's institutional home, as the Fisheries Division was of the view that it was better suited to execute a project of this kind, since it was already involved in a coral restoration project, and had the equipment and personnel required. Some of the delays and difficulties encountered by the project to secure permits for the collection of coral fragments to establish the nurseries may have been caused by these tensions;
- As noted above, The Nature Conservancy provided very valuable support, but it would have been useful if its involvement in Grenada could have covered the entire duration of the project, to provide scientific support and expertise when needed;
- There has been little cooperation between the government agencies in the Seychelles and the civil society organisations involved in reef conservation and restoration and although this has not have impacted negatively on the project, it may have caused some missed opportunities.

93. *Project design did not pay enough attention to communications*. The project document's section on "Public Awareness, Communications Strategy" was very short and identified only the channels for the global dissemination of the knowledge products. In the original design of the two field projects, there was no budget specifically allocated to communication products and activities. In both cases, the teams still managed to carry out significant activities, thanks to their creativity, to the use of social media and other low-cost channels (such as presentations to schools and interviews in electronic media), and to the reallocation of funds. In the case of Grenada, some provision was also made towards communications in the revision of the SSFA. The resources available to communications, however, remained insufficient to conduct all the advocacy and public awareness activities needed to support the projects.

94. *The field project in Grenada benefited from high visibility, and this has helped to generate interest and support, but it has at the same time generated additional risks*. The event that provoked the greatest visibility was without doubt the visit by the United Kingdom's Prince Harry in November 2016, as the local committee in charge of organising it had selected the coral nursery as the main project to be visited in the field, to which the Prince's response was very encouraging. The project also received visits by participants in several regional meetings, and the fact that the Caribbean workshop organised by this project took place in Grenada also served to raise awareness and interest. Externally, the project was featured at a side event during the 21st meeting of the Conference of Parties of the UNFCCC in Paris in December 2015. All this attention, coupled with the active participation of stakeholders in many activities, has been beneficial to the project, but it also makes it even more imperative for it to succeed, as it has raised expectations and focused attention on its expected achievements.

Stakeholders' participation and public awareness is rated "Moderately satisfactory"

Country ownership and drive

95. *The national policy context in the two pilot countries was highly favourable to the implementation of a project such as this*. Both Grenada and the Seychelles are active in international processes related to climate change and sustainable development, and, as already noted, over the years both have provided leadership to their respective regions - and to SIDS globally - in these matters. It is partly for these reasons that the two countries have attracted, and continue to attract, donor funding for environment-related initiatives. Thanks to this leadership role and to the commitments made on the international scene, there is also in the two countries a policy environment that was, and is, favourable to innovation and action in response to the threats of climate change. In many instances, it is action and experimentation that precedes policy; here, in these two island states, policy is in many respects ahead of action, creating a demand for innovation and implementation. As expressed by one government official in Grenada, "this country sees itself as a champion of EbA; we are blazing the trail, the circumstances are ideal, there is political will, and we have the expertise".

96. *The global and regional policy context was also favourable to the incorporation of EbA in the discourse, policies and practice of African and Caribbean SIDS.* There are a number of events that took place during the implementation of this project and that would have increased the attention of decision-makers, natural resource managers and the general public on the need for adaptation to climate change and of the potential role of ecosystems in that process. Among those, the most important was undoubtedly the 21st meeting of the Conference of the Parties (COP) of the UNFCCC, which took place in Paris in December 2015, and where political leaders and negotiators from Grenada and Seychelles played a prominent role. With the attention of the global media on this meeting and its outcome, and with concurrent communication and advocacy initiatives such as the "1.5 to stay alive" campaign led by civil society organisations and artists from the Caribbean, conditions were ripe for the adoption of the EbA concept.

97. *The projects in the two pilot countries benefited from the active and effective support of the host institutions, and from competent and dedicated resource people within the project teams.* In the respective ministries, the most senior civil servants (Permanent Secretary in the case of Grenada, and Principal Secretary in the case of the Seychelles) were very supportive, playing a key role in project coordination and ensuring that the projects were fully integrated into the programme and operations of their ministries (for example, in Grenada, the project manager was part of the weekly management team meetings).

Country ownership and drive is rated "Satisfactory"

Financial planning and management

98. *Financial planning and management was generally adequate* (Annex 7). The budget was appropriate for the activities that were planned, although funding for field activities had to be increased during implementation to accommodate additional needs in the countries, especially Grenada. The agreements used to govern collaboration in this project (ICAs, PCAs and SSFAs) were effective, with the ICA described by the partners as particularly convenient and efficient to govern internal arrangements. The overall project and its various components have not been audited, and the donor did not require such audits. In the pilot countries, financial management followed the procedures of the respective governments.

99. *There were however a number of administrative and financial management issues and procedures that impacted negatively on performance and efficiency*. These have included:

- A review of the agreement between the EC and UN Environment that took place during the course of project implementation (and during the transition to UMOJA) and caused delays in the transfer of funds from the EC to UN Environment;
- The transition to the UMOJA platform and the resulting tardiness in the transfer of funds, which impacted on relations with contractors (at the time of the evaluation, for example, one contractor who provided services in Grenada was still owed a second and final payment representing 80% of the contract's total value) and on project activities (in Grenada, again, the project team repeatedly postponed the initiation of one consultancy because of uncertainty regarding the availability of funds);
- The transition to UMOJA also created a major challenge to the Caribbean regional workshop of February 2016, because funds for DSA payments could not be transferred in time, necessitating a last minute arrangement with the UNDP office in Barbados to advance the funds and make them available in Grenada. Similarly, the funds allocated by UN Environment to Grenada to cover the costs of the November 2016 workshop in Cuba did not reach Grenada on time, but the project team was able to use funds available under the PCA, at the price of causing further delays in other project activities;
- In Grenada, there were also delays in the establishment of the project account and in disbursements, because of conditions imposed by the country's 2014 extended credit facility agreement with the International Monetary Fund (IMF);
- In addition, and for reasons that this evaluation has been unable to ascertain, there were further delays in the receipt of funds by the Grenada project in 2017, causing significant disruption to the field work, as the project team was unable to pay stipends to coral gardeners for a significant period of time;

- In the Seychelles, the transfer of funds from UN Environment to the government was more timely, but there were delays in disbursements of funds by the Treasury to the MEECC, and this impacted negatively on the project;
- In the two countries, there was no arrangement for petty cash advances and expenditure, requiring project personnel to make their own advances (in Grenada, these advances at times amounted to as much as XCD 7,000);
- In the Seychelles, temporary staff had to be hired with emoluments aligned to the public sector's salary structure, and this made the short-term positions unattractive and thus made recruitment difficult;
- Lastly, challenges were encountered in financial reporting from UN Environment to the EU, because the format of the Integrated Management Information System (IMIS), which preceded UMOJA, and which is different from the reporting format required by the EU.

100. *In Grenada and in the Seychelles, it is thanks to the dedication, sacrifices and contributions of project staff and certain contractors that the project was able to cope with some of the bureaucratic and administrative challenges.* Indeed, team members in both countries often received payments of salaries or allowances late and had to make personal advances for payments that were delayed or for small purchases that could not be made on time, and then had to wait very long to be reimbursed (and some reimbursements may still be pending at the time of writing this report). In Grand Anse, Grenada, where the third payment due under the PCA between Latin America and the Caribbean Office and the Government has been delayed for several months, the dive operator who is assisting the project team and the gardeners with weekly maintenance work on the nursery has agreed to continue providing the service in anticipation of late payment. In some instances, contractors have also assisted with the supply and purchase of materials when the project was unable to do so.

Financial planning and management is rated "Moderately satisfactory"

UN Environment supervision and backstopping

101. *UN Environment provided effective and quality support to the project and its various components.* The Project Coordinator and the Associate Project Manager were directly involved, participated in country missions and regional workshops, and provided timely and adequate response to requests for assistance from the project teams. The Regional Offices for Africa and for Latin America and the Caribbean as well as the World Conservation Monitoring Centre also played their roles effectively, with the Senior Programme Officer at UN Environment Latin America and the Caribbean Office in particular providing very active and effective support to the project activities in Grenada. The only concern with respect to UN Environment's supervision role is that it failed to optimise potential synergies and it did not involve its own Regional Seas programmes in a project in which they would have had much to offer.

UN Environment supervision and backstopping is rated "Satisfactory"

Monitoring and evaluation (M&E)

102. *The overall project had an adequate M&E framework, but the two pilot projects lacked such frameworks, and the linkages between M&E at the three levels of project execution (country/local sites, regions, global) were weak. T*he logical framework for the overall project was properly formulated and included suitable indicators at outcome and output levels. The project document however did not specify M&E design for the pilot projects; it stipulated that these the pilot projects would develop their own M&E protocols, but in effect these projects were managed and monitored on the basis of simpler work plans that did not include specific provisions for on-going monitoring. This made it difficult for project managers to link progress and results in the field with the outputs and outcomes expected for the overall project.

103. *The pilot projects did establish excellent environmental and vulnerability baselines that will prove useful in monitoring change and impact over time, but actual M&E implementation varied between the two pilot countries.* In Grenada, the monitoring system for the pilot project has not yet been designed. This consultancy in Grenada was commissioned late, and the process has taken longer than expected; as a result, the project is nearing completion and yet the M&E

framework is not available. Considering that this monitoring plan will require the participation of a range of governmental, community, private sector and civil society actors, it would have been preferable to develop it much earlier in the project, in order to give enough time to consult all parties and to set up the M&E Protocols. In the Seychelles, the science plan developed for the demonstration of the viability of coral reef restoration in Praslin Island includes monitoring activities, and the institutional arrangements for M&E are and will be simpler than in Grenada, because of the lead role and existing capacity of the SNPA.

104. *Contrary to what was stated in the project document, a mid-term review was not conducted, and this is regrettable*. It is not clear why this review was not conducted, but it is obvious, in light of the findings of this terminal evaluation, that such a review would have been useful, as it is very likely that it would have flagged at least two issues: the need and the opportunity to create more synergies between project components at global, regional, national and local levels; and, in Grenada, the need to pay more attention to the requirements for the continuity and sustainability of the coral restoration work.

105. *Internal project reporting was timely and adequate.* Annual progress reports to the donor included inputs from the countries and the respective Regional Offices, and provided suitable accounts of progress made and activities carried out. Project management also made periodic inputs into the internal UN Environment tracking and reporting system. In addition to the various progress reports, WCMC produced a useful document on lessons learned from the project.

M&E design is rated "Moderately satisfactory"

Budgeting and funding for M&E activities is rated "Moderately unsatisfactory"

M&E plan implementation is rated "Unsatisfactory"

H. Complementarity with UN Environment strategies and programmes

106. *This project was consistent with, and contributed directly to, UN Environment's strategies and programmes*. Section 61 above summarises the contribution of the project to UN Environment's PoW, which gives much importance to climate change, adaptation, and the linkages between biodiversity, ecosystem management, and resilience. This is why, in 2010, UN Environment decided to join forces with UNDP and the International Union for the Conservation of Nature (IUCN) to work together to promote EbA as a fruitful adaptation measure. The present project was part of this collaborative Flagship Initiative.

IV. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

Overall conclusions

107. *The project did not contribute directly towards strengthening the resilience and adaptive capacity of communities that depend on coastal ecosystem services, but its knowledge products will support such processes – and may already be doing so – and the field activities in the pilot countries, if sustained and expanded, will eventually deliver such results.* As noted above in the evaluation findings, the project's time frame was too short to deliver such results, and the project's original expectations may be have been overly optimistic. But the project activities in the two pilot countries have the potential, if they are sustained and successful over time, to strengthen the resilience and adaptive capacity of the communities in and around the project sites. If this happens, and if the policy and institutional environment remains favourable in those two

countries, this positive impact will be extended to other communities through dissemination, capacity-building and replication. Meanwhile, the training provided by the project and the materials it has produced and made available through knowledge sharing will undoubtedly contribute to the design and implementation of effective EbA initiatives that produce tangible resilience and capacity benefits at community level.

108. *The project that was implemented was, in many respects, different from the project that had been originally conceived and approved.* This project was designed as an experiment that would test approaches to coastal ecosystem-based adaptation in two pilot countries, use the lessons from those experiments to build the capacity of key actors in the two regions concerned (African and Caribbean SIDS), and distil the experience to produce generic instruments for global dissemination and use. In effect, there has been very little connection between these components and the learning dimension was weak: the field projects have been implemented as discrete projects, while the regional activities and the global knowledge products have made limited use of the actual results of those field activities. The fact that the Advisory Panel originally proposed was not established is also symptomatic of the weakness of the learning and knowledge-production dimension of the project.

109. *The project was designed and presented as a capacity-building project, and it did build capacity.* Competent and dedicated professionals in Grenada and the Seychelles were supported in doing important experimental work in the field, and this has broadened their experience and made them even better able to contribute to research, conservation and development in their respective countries and regions. In both countries, but more so in Grenada, several people have been trained in coral restoration techniques. In the Seychelles, thanks to the project, the SNPA is now better able to implement coral restoration work, and this is contributing to its current shift towards a more active programme in marine science and conservation. In the two regions, several managers and policy-makers have benefited from the information and methodologies produced and disseminated by the project. Quality materials have been produced at all levels and are now available through a website and from the participating institutions.

110. *In the two pilot countries, the project has raised awareness of the value of coral reefs; it has generated interest in coral restoration, as well as in the broader concept of ecosystem-based adaptation; and, it has helped to demonstrate the feasibility of coral restoration*. In spite of challenges caused primarily by the short time frame available and by administrative constraints, the project has delivered tangible results in Grenada and the Seychelles, on the basis of detailed vulnerability assessments and of a good analysis of EbA options, with habitats and ecosystems mapped, communities informed and mobilised, personnel trained, coral nurseries established, corals out-planted to degraded sites, and a large number of public education and awareness events held and materials produced.

111. *While the restoration of corals and coral reefs is highly relevant to the needs and priorities of tropical SIDS, it may have been an error to select coral restoration as the EbA option to be tested in the two pilot projects (and especially in Grenada), in light of the time frame available and of the capacity requirements for implementation and sustainability*. The process of selection of the EbA option to be tested in the project was part of the initial stages of project implementation, and was done on the basis of the cost-benefit analysis, which clearly pointed to reef restoration as a feasible and viable option. When the overall project was first designed, mangroves were actually considered as the most likely option to be worked on, but countries opted for coral restoration (and, in the case of the Seychelles, this was motivated in part by the fact that the country had activities underway in mangrove restoration, and wanted to give more attention to reefs). This was a correct choice from the perspective of its relevance, but it presented critical challenges, because of the short time available for the field component of the project.

112. *In the two pilot countries, the project has helped to create a policy environment and institutional arrangements that are more favourable to EbA and more generally to conservation and sustainable development*. In the Seychelles, for instance, it has contributed directly to policy reform, as the introduction of new biodiversity legislation came partly as a result of the project's work on the identification of gaps in relation to reef conservation. Meanwhile, in Grenada, the project has helped to improve policies (as in the case of the revised climate change policy recently submitted to Cabinet, which makes specific reference to EbA), it has justified the

reactivation of a dormant National Climate Change Committee and its working groups, and it has contributed to the formulation of a new Coastal Zone Policy.

113. *This project has allowed UN Environment to be more directly involved in reef conservation and management.* UN Environment colleagues indicate that, at the time this project was conceived, much of their work in EbA – especially scientific and methodological work led by its global programmes – focused on terrestrial ecosystems, and to a lesser extent on mangroves, but with limited involvement in coral reef management and restoration as an adaptation strategy. This project was therefore seen as a contribution of the work of UN Environment's Coral Reef Unit, which focuses on the development of tools and methods for ecosystem-based approaches to coral reef management, the provision of policy support, the implementation of demonstration projects, and capacity building and networking.

114. *In Grenada, the project has raised high expectations, which now need to be managed effectively and carefully.* UN Environment and its team in Grenada, with excellent support from the Ministry of the Environment, have generated much interest in the project, with the message that it would contribute to adaptation and thus increase resilience to climate change. Site visits have been organised for prominent people, including Prince Harry of the United Kingdom, while the project is frequently highlighted at national and regional events, and this has created a high level of awareness, but it also now places a huge responsibility on the participating institutions. There is no certainty that the coral restoration work currently underway will actually result in increased resilience, at least not in the short to medium term, and there is a danger that an interruption in, or a reduction in the pace of, activities would threaten the sustainability of the project, and thus the credibility of the messages that it has conveyed over the past three years.

115. *The experience of this project in the two pilot countries puts into question UN Environment's suitability to execute field projects of this kind, and highlights the reputational risk involved.* In Grenada and in the Seychelles, project implementation has suffered from the complexity of administrative procedures and delays in financial transactions. Project costs were high when compared with similar initiatives implemented by national institutions or civil society organisations. The sustainability of project interventions in Grenada is now in doubt and, if the coral nurseries are not adequately maintained and if some of the expectations that have been raised are not met, it is the very concept of ecosystem-based adaptation that will suffer, since this is what the project has promoted, with implications for UN Environment's reputation and credibility.

116. *The project did not involve sufficiently the various units and programmes of UN Environment that would have been in a position to assist in and benefit from its activities, and to enhance the sustainability and replication of project interventions.* It is indeed a shame that the implementation of a project such as this one could not benefit from the full cooperation of the global programme units most directly concerned, or that UN Environment could be actively engaged in EbA and coral restoration work in the African and Caribbean SIDS without connecting that work with highly relevant processes led or supported by its own Regional Seas programmes active in these two regions. This is of particular concern in the Caribbean, where the Caribbean Environment Programme – which provides the Secretariat for the Cartagena Convention and its SPAW Protocol -- is involved in a number of programmes relevant to EbA, collaborates actively with Caribbean and US organisations involved in research and experimental work in coral restoration, and has established structures and mechanisms for regional cooperation and information exchanges. This is a waste of opportunities, and it is detrimental to the image and credibility of UN Environment; as expressed by one Caribbean government official, "in this region we have many UNEPs". Greater efforts should therefore be made, within UN Environment, to avoid competition between units, to create synergies between initiatives, and to optimise the use of internal capacities.

117. *The institutional arrangements that were used for project implementation and execution in the two pilot countries will largely determine continuity and sustainability, with varied outcomes between those countries.* In both cases, the Ministry with responsibility for the environment was the implementing agency – and this was undoubtedly a suitable arrangement to ensure local buy-in, facilitate policy and programmatic linkages, and build cooperation between the countries and UN Environment – but in Grenada the Ministry retained the day-to-day execution function while in the Seychelles the SNPA was the primary beneficiary of capacity-building work, and project

execution was organised so as to integrate coral restoration work in SNPA's programming and structure. As a result, the SNPA is in the position to sustain activities, while this will be more challenging in Grenada. If the latter had followed a pattern similar to that of the Seychelles, the project could still have been managed by the Ministry of the Environment, but with a greater role delegated to the Fisheries Division, responsible for MPAs, which has more human and technical resources at its disposal and has a lead role in the establishment and management of the Grand Anse Marine Protected Area (GAMPA).

118. *While this evaluation was expected to examine the main features of financial and human resource management, is not a full management or financial audit, and it is therefore unable to express detailed opinions and recommendations on matters of financial and human resource management. There are however some issues and questions that have been identified and that could provide useful lessons*. In particular:

- The financial report to the donor indicates a total expenditure of EUR 766,797.75 for UN Environment personnel, which corresponds to an excess of 25% over budget (EUR 615,145.00), while the information gathered for this evaluation indicates that the position of Associate Project Manager, budgeted at EUR 232,308.00, became vacant from March 2015, and that the Technical Advisor, budgeted at EUR 34,993.00, did not participate much in project activities. A more precise analysis of the allocation of human resources to this project may provide useful lessons;
- As noted earlier, the Senior Programme Officer at UN Environment Latin America and the Caribbean Office provided very active and effective support to the project activities in Grenada, and this required frequent missions (estimated by this evaluation at a total of eight since the beginning of 2014). A full estimation of the cost of this supervisory function (staff time, travel, DSA) would inform the assessment of efficiency of this project's management arrangements, and may provide useful guidance to the design of future projects. In the absence of these figures, this evaluation can only suggest that these arrangements have not been very efficient, and this confirms that UN Environment should consider the feasibility of its direct involvement in the management and coordination of field projects of this kind in countries where it does not already have a presence.

Evaluation ratings

Table 14: Summary ratings table

Criterion	Summary Assessment	Rating[33]
A. Strategic relevance	The project was highly relevant to: a) the needs and priorities of SIDS, and b) the PoW of UN Environment.	HS
B. Achievement of outputs	Most of the outputs have been achieved, albeit incompletely. The output related to regional training (2a) was achieved because it was worded as "training delivered", but there is no evidence that the two regional workshops have resulted in the actual building of capacity. Most of the project's resources and effort were directed at the field projects (output 1b) and this output was only partially achieved.	S
C. Effectiveness: Attainment of project objectives and results		
1. Achievement of outcomes	The outcomes enunciated in the project document were clearly too ambitious for a project of this duration, and they have not been achieved, but the project's activities, if sustained and expanded, will contribute to their achievement over time.	MU
2. Likelihood of impact	The likelihood of impact on ecosystems and on ecosystem-based adaptation is low, again because of the short time available for implementation and due to the selection of coral restoration as the EbA option to be tested in the field.	MU
3. Achievement of project goal and objectives	In the project document, the objectives were enunciated as "enhance", "demonstrate" and "support", i.e. more as inputs than as expected results. For this reason, the objectives were generally achieved, i.e. the project did most of what it was intended to do, but did so in a way that limited impact and the achievement of outcomes.	MU
D. Sustainability and replication		
1. Financial	The outputs of the project at the global level will remain managed by UN Environment and can be sustained with internal resources and funds from other projects. The regional processes initiated by the project in African and Caribbean SIDS are not financially sustainable, especially in the Caribbean where the network of Permanent Secretaries is, and will remain, dependent on donor funding to operate (with no funding secured at this stage). With respect to the processes in the two pilot countries, the potential for replication is high in both countries, but the likelihood of financial sustainability varies: it is low in Grenada, higher in the Seychelles. More generally, conditions for funding work on EbA are favourable because of the interest in these approaches among SDIS governments, development partners and international organisation.	ML
2. Socio-political	There is much interest in the concept of EbA among policy-makers and in society as a whole in SIDS, and this is a positive factor for sustainability. In the Caribbean, there is much support for the network of PSs among people directly	L

[33] Ratings of effectiveness as well as ratings of monitoring and evaluation are: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U) and Highly Unsatisfactory (HU).Ratings of sustainability are: Highly Likely (HL), Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U), and Highly Unlikely (HU) .The criteria used in the determination of these ratings are described in Annex 2 of the Terms of Reference; see Annex 2 to this report.

Criterion	Summary Assessment	Rating[33]
	involved, but the knowledge of that process among other key actors appears limited.	
3. Institutional framework	At the global level, sustainability depends entirely on UN Environment and the institutional framework is therefore sustainable. At the regional level, the framework is weak: in the Caribbean, the Network of PSs appears disconnected from existing regional institutions and processes, while in the African region distance and the lack of existing functional cooperation among SIDS will make it difficult to sustain linkages.	MU
4. Environmental	There is no significant issue of environmental sustainability, except for the need, in the two pilot countries, to ensure that adequate scientific support is provided on an on-going basis and to continue work on genetic mapping.	ML
5. Catalytic role and replication	In the Seychelles, the catalytic role and replication potential of the project are relatively low, simply because there are other on-going programmes in coral restoration, although the fact that this project was embedded in the protected area management agency is a very positive factor, and this project has helped to build the rationale for new investments in coral restoration in the Seychelles and Mauritius. In Grenada, and by extension in the Caribbean region, the catalytic role is high, because of the high visibility of the project, but fragile, because it will depend on the sustainability of interventions. At the global level, the dissemination of products, primarily through the website, should have a catalytic role and is precisely geared towards replication.	L
E. Efficiency	This project has been moderately efficient. The main issues have been the delays in allocation, transfer and disbursement of funds. Overall, the ratio of coordination and management costs to expenditure on actual products and field activities was high.	MS
F. Factors affecting project performance		
1. Preparation and readiness	UN Environment was well prepared to implement this project at the global level, and suitable work plans were prepared for the overall project. In the Seychelles, UN Environment carried out a mission during the design phase, and this helped to ensure buy-in and readiness. In Grenada, national and local institutions became aware of the project only after it was launched.	S
2. Project implementation and management	The primary constraint here has been that the project – originally conceived as a coherent experiment with linkages between the three main elements (local pilot activities / national and regional capacity-building / global dissemination of knowledge products and instruments) – has been implemented more as a set of separate activities, and therefore lost much of its learning potential. Overall project management was efficient. Management arrangements in the two pilot countries were good, with good support from national agencies and competent and dedicated project teams, but with some challenges caused by delays in the receipt and disbursement of funds.	MS
3. Stakeholders'	This criterion applies primarily to the two pilot countries,	MS

Criterion	Summary Assessment	Rating[33]
participation and public awareness	which have very different social structures and where "participation" is approached very differently (community involvement is the norm in natural resource management in Grenada, while this is not the case in the Seychelles). In both cases, the stakeholders who could and should have been involved were given the opportunity to participate. Stakeholder participation, however, was constrained by "turf" issues and by the lack of an integrating management framework for the coastal zone. Public awareness activities have been excellent in both cases, but were limited in volume and scope, in part because the original budget did not provide for communications.	
4. Country ownership and drive	This criterion applies primarily to the two pilot countries. In both cases, there was a high level of ownership and commitment, with national institutions effectively driving the process. At regional levels, the country ownership is somewhat weak.	S
5. Financial planning and management	The budget was appropriate, although some significant changes were made during implementation to accommodate needs in the pilot countries (especially Grenada). Financial management was effective and efficient, except for the delays in transfers and disbursements of funds, some of which were caused by the transition to the UMOJA platform. The ICAs provided a suitable basis for the allocation of funds and management responsibilities to the Regional Offices and to WCMC.	MS
6. UN Environment supervision and backstopping	UN Environment directly managed some activities, and delegated others to the pilot countries. In the case of the delegated activities, supervision and backstopping were satisfactory. The only issue, which is significant, was the lack of coordination with the Regional Seas programmes in the two regions; this was a major weakness of the project, as it deprived it of significant resources and opportunities, and now reduces the potential for sustainability.	S
7. Monitoring and evaluation		
a. M&E Design	The project document proposed a standard M&E framework, and the logical framework includes suitable indicators for the outputs and outcomes. The project document did not specify M&E design for the pilot projects, but stipulated that these would develop M&E Protocols at the design stage, and then implement them.	MS
b. Budgeting and funding for M&E activities	The global budget only included funds for one mid-term and one final evaluation. It did not include specific funds for M&E at the global level. M&E design and implementation at country level was left to the countries and should therefore have been covered under the PCAs with the national partners, but these only mentioned the terminal evaluation and made no reference to a locally specific M&E framework or plan.	MU
c. M&E Plan Implementation	M&E has been an integral part of the work in the Seychelles, especially thanks to the excellent baselines and mapping work done. In Grenada, the M&E consultancy was commissioned very late in the process (and is not even completed at the time of writing this report).	MU
Overall project rating		MU

B. Lessons learned

Lessons in project design and implementation

119. *Pilot projects must be designed as real experiments, and calling a field project a "pilot" does not automatically make it an instrument of testing and learning*. While the project activities in the two pilot countries have produced some results, the weakness or absence of a comprehensive M&E framework, especially in Grenada, mean that these activities have not produced all the lessons and tools that they could have provided, especially with respect to policy and institutional processes. If a project is aimed at experimenting and demonstrating, it should have all the elements that are required to produce knowledge, starting with one or more hypotheses or research questions, and with a baseline, a methodology, and a plan for monitoring, learning and documentation. Otherwise, the project may produce useful results, but its full potential for knowledge production will not be realised.

120. *The absence or weakness of the policy, legislative and regulatory framework for the use and management of the marine space in SIDS is a constraint to effective coastal EbA, and the design or improvement of governance arrangements should therefore be an integral part of new EbA initiatives*. The concepts of marine spatial planning and governance are new and, in most SIDS, the legal instruments currently applicable to the marine space in coastal areas relate primarily to fisheries management and marine transportation, complemented in some instances by instruments dealing specifically with marine protected areas, without an integrating framework and with many loopholes. In addition, there are a number of other entities that may have mandates that are relevant to the marine space, including the ministries responsible for external affairs and for public property (i.e. Crown Lands in the case of Grenada). As was the case in this project, many initiatives in coastal conservation and management, including EbA projects, are constrained by this reality, with institutions at times competing for management authority, and without a mechanism for arbitration and coordination. And while countries have made substantial advances in the establishment and management of MPAs, the effective implementation of the EbA approach requires policy, governance arrangements and instruments both within and outside MPAs.

121. *When working in and with a country on issues and sectors that fall under the legal mandate of more than one national institution, UN Environment should involve all these institutions from the very early stage and, when needed, should encourage the development of formal agreements*. The initial workshops that were held in both Grenada and the Seychelles proved very useful in informing about the project and mobilising support, but in Grenada this did not resolve the tensions between the Ministry of the Environment and the Fisheries Division. "This was strange", says one external observer, "one of them had the boats, the vehicles and the staff and was responsible for marine protected areas, the other had this project and a mandate from the government and the UN to promote ecosystem-based adaptation, but they could not work it out among themselves". Or, in the words of one government official, "if this project continues, and I hope it does, we will need a Memorandum of Understanding between the Environment Division and the Fisheries Division to clarify the roles in reef restoration and make sure they work closely together", while another government official indicates that "we need to find a way to bring EbA and MPAs together".

122. *This evaluation also suggests a number of lessons, some of them very practical, in relation to the design and implementation of projects*. These include:

- Projects almost always take longer to start than in their original design, and this should be taken into account in project formulation (and accepted by donors), for example with the inclusion of a "start-up" phase dedicated to recruitment, setting-up of execution arrangements and negotiation of partnership agreements,;
- Project documents are typically too ambitious, usually because their authors feel that this will help to secure funding, but project execution can be affected when too much is expected;
- The gender dimension must be treated properly. In this project, it is felt that the words "including gender equity perspectives" were added to one of the outcomes in order to meet a requirement of the donor, especially since this was not reflected in the text of the

project document. Too often, in projects such as this, the impression is given that gender is mentioned as a token gesture;

- Projects aimed at testing, documenting and disseminating new knowledge require time. As one of the experts involved in this project expressed it: "anybody can do an intervention, but learning takes time";
- With increased efficiency, it should be possible to design projects of a longer duration with the same level of funding. As one of the key actors in this project indicated: "we need to think about a lower level of funding over a longer period of time";
- In projects that require external scientific expertise, such expertise will in most cases be required for the entire duration of a project, in order to deliver specific services and outputs, but also to remain available in response to new needs and opportunities that arise during execution. The contractual arrangement with the provider of that expertise should therefore, as much as possible, cover the entire duration of the project and be sufficiently flexible. Its purpose should be to establish a working partnership, as opposed to a client / service-provider relationship;
- In projects that include in-country activities, especially experimental field activities, the counterpart contribution of national and local institutions is always very significant, and it should be monitored and accounted for, so as to be fair to the partners, but also provide a true picture of the cost of the experiments and therefore of their viability and replicability. Even when donors do not require it, UN Environment should estimate all counterpart contributions at the stage of project design, and should keep track of these contributions during execution.

123. *These observations and recommendations suggest that UN Environment should consider whether it is adequately suited to execute small-scale pilot activities in the field, and that it should always put in place implementation arrangements that are effective and efficient.* In this instance, there were benefits gained from the transfer of management responsibility for pilot projects from the regional offices to the ministries, but the systems and procedures of the two governments at times resulted in substantial delays in procurement and payment. There were also significant delays in the transfer of funds from UN Environment to the Government of Grenada, with a very negative impact on project activities and on the ability of the project team to complete activities in late 2016 and during the first months of 2017. Questions also need to be raised about the proportion of expenditure and staff time allocated to project coordination and administration, and the resulting implications for the efficiency of project execution.

Lessons with respect to coastal ecosystem-based adaptation

124. *Any effort towards the restoration of an ecosystem as an instrument of adaptation to climate change should first consider the option of preventing, mitigating or eliminating the factors that caused the degradation or destruction of that ecosystem in the first place.* As described in the preceding section on evaluation findings, one of the main threats to the sustainability of the coral nurseries and the coral restoration work in the two pilot countries is the potential impact of land-based human activities. In practical terms, this means that a first step in any restoration initiative must be to assess whether the source of impact is still there and therefore has the potential to impact on the restoration work (as in the case of sedimentation, or conflicting resource uses in this project), or if ecosystem degradation was caused by a specific event that may or may not reoccur, such as a storm or a catastrophic event. In the latter situation, a restoration initiative may be fully justified.

125. *Restoring or enhancing ecosystems to a stage where they are able to contribute to adaptation to climate change takes a long time – especially with reef ecosystems – and the typical duration of a donor-funded project is too short to expect any result in this regard.* In the project document, it was stated that this project would "seek to sustain the ecological and social resilience of coastal ecosystems and communities and reduce their vulnerability to projected impacts of climate change by applying ecosystem-based approaches, sustainable resource use and restoration approaches that ensure long-term healthy and well-functioning coastal ecosystems". This was clearly too ambitious for a 30-month project, and this was made even more ambitious by the choice of coral restoration as the EbA option (experience suggests that mangrove restoration, for example, can provide tangible impacts in shorter periods of time, although 30 months would still be very short to deliver the desired-for results).

126. *In all field projects, but even more importantly in EbA initiatives that are largely experimental and require significant changes in perceptions and behaviours, with untested methodologies and tools, community involvement is critically needed, and it must be based on a clear communication and participation strategy*. In the case at hand, such a strategy must be targeted at specific groups; it must be realistic in communicating objectives, in order not to raise expectations that will be hard to meet; and, it must involve resource users and other community representatives in technical and scientific work and share research results as the work progresses, as this helps to demystify the complexity of ecosystem restoration in general and coral restoration in particular. If partnerships are seen as critical for implementation and sustainability (as in the case of commercial dive operators in the case of coral restoration), these partnerships must be built from the design and planning stages.

127. *Setting-up participatory and collaborative management regimes for natural resources is a complex process that requires time, skills and an enabling policy environment*. According to its own operational plan for the first half of 2017 (i.e. after the formal completion of this project), the pilot project in Grenada had the ambition, among many other tasks, to "design suitable governance structures for the co-management of [the] coral reef ecosystem", and the expectation was (and possibly remains) that these structures would be put in place and assume responsibility for the continuation and sustainability of the work. Experience from Grenada and other countries in the Caribbean region, however, indicates that community-based organisations of resource users take a long time to establish, that they require support and capacity in order to perform management functions, and that the negotiation of a co-management agreement that would vest management authority is a very complex process, especially for coastal ecosystems that are placed under several jurisdictions.

Lessons with respect to coral restoration

128. On the basis of the experience gained in this project, as well as other work done in coral restoration globally and in the two SIDS regions most directly concerned by this project, it is possible to extract a number of additional lessons that would apply specifically to the restoration of corals, and that may be used to formulate generic guidelines[34].

129. *Coral restoration is justified and feasible only when the causes of its damage are not recurrent. If the purpose is to restore a damaged, degraded or destroyed reef, the first step in any process or project must be to understand the cause of that condition, and to deal with the source of impact if that source is still there.* If a reef has been degraded because of the impact of land-based sources of pollution (usually by influx of nutrients) and sedimentation, as would often be the case in the larger islands, then the first course of action should be to mitigate or eliminate that source of negative impacts. If that is successfully done, it is likely that the reef will show signs of recovery, and that recovery can then be assisted through coral restoration.

- *In all coral restoration initiatives, the purpose must be clear, design must fit the purpose, and the extent to which the purpose is being achieved must be monitored.* Coral restoration is basically a "good thing" that will easily attract support from various sectors of society; it is fashionable among development agencies and environmental organisations at the moment, and there are, indeed, many possible benefits (biodiversity conservation, coastal protection, tourism, education, research). The expected benefits must, however, be clear and clearly negotiated and shared with all stakeholders, and the likelihood of success of the EbA initiative should be very well communicated, as there is a danger of implying too many benefits that may not materialise and of raising expectations that cannot be met. There may also be a risk, as demonstrated by the views expressed by some of the government officials in Grenada, of creating the impression that something very significant is being done to restore the health of ecosystems, thus taking the focus away from the causes of impact and from a more integrated approach to ecosystem management and resilience building.

[34] The evaluator is particularly grateful to the organisers of, and several of the participants in, the Workshop to Advance the Science and Practice of Caribbean Coral Restoration that took place in Fort Lauderdale, Florida, USA in November 2016 for sharing the conclusions of the workshop and their perspectives on the science and practice of coral restoration.

130. *Coral restoration and coral reef restoration are not synonymous*. In this project, the expressions "coral reef restoration" and "coral restoration" have at times been used interchangeably, but planting corals raised in nurseries, even successfully, will not automatically lead to the restoration of a reef ecosystem. Indeed, in many instances, adaptation objectives can be achieved with coral restoration work that does not lead to the restoration of an ecosystem that existed previously, as it may lead to the creation of a "new" coral-based ecosystem. There is therefore a need: to avoid raising the expectations of partners and be transparent in communicating expected achievements; to be rigorous in the use of vocabulary (e.g. avoiding the language of "coral reef restoration" when working on "coral restoration"), and encourage its partners to do the same;

131. *There is a difference between assisting a natural recovery process and attempting restoration against continued degradation.* Several Caribbean locations are currently witnessing a recovery of *Acropora palmata* and *Acropora cervicornis*, which are critical for reef ecosystem health and coastal protection. A major opportunity for the practitioners of coral restoration in the region is therefore to assist this process of recovery by identifying the locations where it is taking place and by accelerating the process through restoration projects that improve environmental conditions and reduce threats, increase the density of coral in recovery sites, and integrate larval propagation in the restoration techniques.

132. *Restoration must be preferred to engineering solutions, but engineering solutions may in some instances be the preferred option to protect against the impacts of climate change.* In this regard, it is interesting to note that the 2005 Annual General Meeting of the International Coral Reef Initiative (ICRI), in a resolution, expressed concern about the lack of adequate scientific evidence about the ecological and economic effectiveness of most of the engineering techniques and solutions and advised governments, international organisations and non-governmental organisations to examine carefully claims promoting engineering solutions for coral reef rehabilitation and restoration, and to seek advice from the ICRI Operational Networks and other independent experts before embarking on such initiatives.

133. *Coral restoration can be successful only if it is done for the right reason, in the right place, and with the methods, capacities and science required for that particular restoration objective and that particular place.* The actual methods to be used in a coral restoration project are very site-specific, and will be determined by the causes of degradation and loss, the objectives of restoration, the local ecological conditions, the capacity of relevant actors, and the policy context. In particular, coral restoration must consider stress levels and be guided by a diagnostic of the cause of loss, as well as an analysis of costs and benefits –and the experience in the Indian Ocean and in the Caribbean suggests that many projects do not pay enough attention to all these elements, and fail as a result.

134. *A good diagnostic of the cause of coral loss and ecosystem degradation is therefore critical to guide the design of a restoration initiative*. In summary, it provides the following guidance:

- If the degradation of a coastal ecosystem comes from a persistent land-base source of impact, then attention should turn to addressing the source of impact first;
- If the impact came from an occasional physical damage, as in the case of a storm or damage from a boat, then the option of restoring the damaged corals and assuming that it will progressively lead to ecosystem restoration is a good option;
- If thermal stress is the cause of past, existing or expected impact, as will often be the case in the context of climate change, then restoration work must as much as possible use genotypes that have been identified as resistant and tolerant. In the context of climate change and for the purpose of EbA, one of objectives of coral restoration work must indeed be to increase thermal tolerance and the resilience of corals to temperature change[35].

135. *Good science, including a comprehensive monitoring and evaluation framework, must be a critical component of any coral restoration project or programme*. Current and competent

[35] In the Seychelles, thanks to the bleaching event of 2016, there has been a natural selection and the genotypes that survived have since been used to replenish the nurseries.

scientific knowledge and expertise are essential to develop proper baselines, to conduct genetic mapping and to advise on decisions, including responses to possible diseases or other threats. In particular, the systems and procedures for monitoring and evaluation should:

- be designed and put in place from the very start of the initiative;
- be based on an adequate baseline;
- use indicators and other measures that allow for an assessment of progress towards the agreed objectives of the restoration work;
- ensure that the achievement of these objectives is carefully monitored and analysed, together with factors that may affect the success and impact of the initiative;
- use participatory approaches and ensure that beneficiaries of the restoration work and other stakeholders receive the results of monitoring and evaluation.

136. *Restoring corals – and restoring coral reefs – takes a long time, and initiatives in restoration should be designed accordingly.* One of the main weaknesses of this particular project, especially in Grenada, is that the coral restoration process had only just started by the time the project officially ended, and in Grenada there were no functional arrangements in place to ensure continuity. This suggests that restoration initiatives should be designed as long-term processes, and should preferably be managed by institutions that are involved in this field on a permanent basis and that have the relevant expertise. In a way, ecosystem restoration in general, and coral restoration in particular, cannot be done effectively through a classical short-term donor-funded project, and it is indeed revealing that the most advanced and credible work done in the Caribbean region in this field is that of organisations that have coral conservation at the core of their mission, such as Fragments of Hope[36] in Belize, the Caribbean Research and Management of Biodiversity (CARMABI)[37] in Curaçao, the Coral Restoration Foundation[38] and the Mote Marine Laboratory and Aquarium[39] in Florida (USA), and the National Oceanographic and Atmospheric Administration (NOAA) in the United States.

137. *Coral gardening may not be a new profession, as this project has claimed, but it will, if sustained, provide occupational opportunities for people in coastal communities and for personnel of coastal conservation and management agencies.* Several of the participants in the project activities in Grenada indicate that one of the successes of the project is that it has created a new profession, that of "coral gardener", and this claim is reflected in a number of reports submitted by this project, including the final technical report to the donor. The use of the word "profession" may be inappropriate and overly generous to describe an activity that is far from generating full-time employment, has until today been entirely dependent on donor funding, and is described by one of the gardeners in Grenada as "a hustle … not feeling like a work". There is, however, no doubt that coral gardening is an "occupation" (as opposed to a "profession") which can fit in well with the pattern of occupational multiplicity that characterises Caribbean societies. Indeed, it appears that the people who were trained as gardeners by the project but have since left, have done so in search of formal training or a full-time "profession", while those who have remained are young residents of coastal communities who also engage in fishing, vending and other part-time trades, but would have few opportunities for full-time employment.

138. *In tropical SIDS where tourism is an important sector, it appears logical to expect that the private sector could and would play a key role in coastal ecosystem-based adaptation, but that expectation must be realistic, informed by a good understanding of the sector's actual and potential role, and based on a genuine partnership.* In coral restoration, the obvious potential partners in the private sector are the dive operators and the hotels. The experience of this project and other initiatives suggests that:

- Hoteliers and other businesses in the tourism sector in most SIDS feel that they are already heavily taxed and do not see any short-term benefits from coral restoration work; therefore, while most would support the concept, it is unrealistic to expect that they can contribute financially to coral restoration work;

[36] www.fragmentsofhope.org
[37] www.carmabi.org
[38] www.coralrestoration.org
[39] https://mote.org/

- The commercial dive operators, on the other hand, have a more direct interest, and several diving businesses have tangibly demonstrated that interest in this project, but it would be naïve to expect them simply to provide in-kind support to field work conducted by other actors, in part because of logistical and liability issues. It is not because an operator is providing advantageous conditions when contracted by a government agency to provide a service that this same operator will provide a free service to an unregistered group of recently-trained coral gardeners;
- The involvement of dive operators should go beyond contracting them for services; it should be based on a true partnership that empowers them to manage coral restoration work, ideally working with a local civil society organisation that has the mandate and capacity to support such work (and in particular to collect fees and redirect proceeds towards management);
- Dive operators have the capacity to mobilise volunteers, as in the case of Carriacou in Grenada, where Deefer Diving[40] works with Caribbean Reef Buddy[41], an organisation that works with, and in support of, local communities to assist in the protection and preservation of a healthy, diverse and sustainable marine ecosystem through the organisation of volunteer missions. Similarly, in the Seychelles, volunteers recruited and mobilised by the Earthwatch Institute make a very valuable contribution and support to coral reef research, conservation, restoration and management[42].

139. *In many tropical SIDS, coral restoration is working, even if results are uneven and if some of the projects have failed, and the challenge now is to upscale and restore corals at a scale that is ecologically meaningful for coastal protection, ecosystem regeneration and adaptation to climate change*. This is one of the main conclusions of the November 2016 Workshop to Advance the Science and Practice of Caribbean Coral Restoration, with the recommendation that "the efficiency and scale of coral restoration need to be dramatically increased to achieve the overall goal of establishing self-sustaining, sexually reproductive populations". The experience of this project in Grenada and the Seychelles confirms this challenge. Fragmentation and micro-fragmentation methods may be effective, especially for *Acropora*, but this approach is labour intensive and it cannot add genetic diversity to coral populations. When considering what has been achieved (nurseries and out-planting) in the two pilot countries and at what cost, and when comparing this with the needs (urgency of the threats of climate change and expanse of the areas to be restored), the impacts will be negligible in the absence of a strategy to upscale efficiently and to build coral communities that can survive disease outbreaks and thermal stress.

C. Recommendations

Recommendation #1. UN Environment's Coral Reef Unit should review the lessons from this project with respect to coral and coral reef restoration as presented in the preceding section of this report, compare them with lessons from other experiences in this domain, and determine whether it would be opportune and useful to develop internal UN Environment guidelines for programming priorities and intervention modalities in coral and coral reef restoration. If it is concluded that such guidelines should be developed, the Coral Reef Unit should take the lead in drafting them, in consultation with all relevant units within UN Environment as well as selected external partners.

Recommendation #2. UN Environment should ensure that its future work in coral and coral reef restoration is closely connected with global and regional sources of expertise and channels of cooperation in this field. In the Caribbean, this means continued involvement in, and support to, the Consortium established by the National Oceanographic and Atmospheric Administration (NOAA), The Nature Conservancy (TNC) and other partners, and closer collaboration with the Global Coral Reef Monitoring Network, which has recently been reactivated in the region. The responsibility for follow-up on this recommendation in the Caribbean should rest with the Caribbean Regional Coordinating Unit (CAR/RCU) of the Caribbean Environment Programme.

[40] www.deeferdiving.com
[41] www.caribbeanreefbuddy.org
[42] www.earthwatch.org

Recommendation #3. Since UN Environment is already engaged in the design of and fundraising for follow-on actions in Grenada and in the other Caribbean SIDS, there are a number of specific recommendations that UN Environment should take into account when designing and implementing these actions:

- conceive EbA interventions as parts of complex and often complicated processes that involve policy, institutional, legislative, technical and even cultural dimensions;
- ensure that the actions or projects developed or facilitated by Regional Offices are closely linked to the programmes, activities and capacities of the respective Regional Seas programmes, because they offer permanent mechanisms for cooperation and useful links with scientific institutions.

Recommendation #4. With specific reference to its future cooperation with the Government of Grenada in EbA and coastal ecosystem restoration, UN Environment's Regional Office for Latin America and the Caribbean should encourage national and local partners to:

- consider the possibility of transferring the responsibility for coral restoration work to the Grand Anse Marine Protected Area (GAMPA) and its stakeholder committee, under the joint auspices of the Ministry of the Environment and the Fisheries Division, as this would allow for the integration of this work into institutions and a management regime that are dedicated to coastal conservation and management and have the capacity to sustain it;
- exploring the possibility of a different arrangement with dive operators (who have demonstrated interest and commitment, and who could contribute more if they are more directly involved) with delegated authority to manage some of the activities (such as the maintenance of nurseries);
- seek the assistance of organisations and/or individuals with relevant experience in community development to design, fund and implement a realistic process of organisational development for the benefit of the stakeholder groupings, which would ultimately become responsible for the on-going maintenance and growth of the nursery and out-planting programmes in the two locations;
- If it has not yet been done, finalise as soon as possible the protocols for working collaborations between the Ministry of the Environment and the Fisheries Division for the Grand Anse site and between the Ministry of the Environment and the Ministry of Carriacou and Petit Martinique Affairs for the Carriacou site.

Recommendation #5. In the short term and until donor funding for the continuation of the coral restoration work in Grenada is secured, UN Environment Latin America and the Caribbean Office should find ways to support the Government of Grenada in sustaining a minimum level of activities (maintenance of nurseries, out-planting, genetic mapping) and to keep the current project team mobilised and involved.

Recommendation #6. With specific reference to its future cooperation with the Government of the Seychelles in EbA and coastal ecosystem restoration, UN Environment's Regional Office for Africa, in collaboration with the Secretariat of the Nairobi Convention, should:

- based on the experience of the networking session held in April 2017, encourage the Seychelles National Parks Authority (SNPA) to consider hosting an annual or semi-annual event during which information on ongoing and planned activities in reef conservation and coral restoration are shared, including methodologies used, results obtained and lessons learned;
- encourage government agencies and civil society organisations involved in coastal ecosystem conservation and management to enhance cooperation and share expertise and resources whenever feasible by including them in the design and execution of any future project or action.

Recommendation #7. The UN Environment Africa Office and the Secretariat of the Nairobi Convention should examine ways in which they may be able to collaborate in providing support to the Forum of African SIDS established under this project.

Recommendation #8. In light of the low level of cooperation between the UN Environment Africa Office and the Secretariat of the Nairobi Convention on the one hand, and UN Environment Latin America and the Caribbean Office and UN Environment- Caribbean Regional Coordinating Unit (CAR/RCU) on the other, the units should review the findings of this report and agree on

ways to collaborate more effectively in the testing and promotion of EbA in their respective regions, with the support of the relevant global programmes, including the Coral Reef Unit.

Recommendation #9. Since this product of the project has not yet been distributed, the Climate Adaptation Unit within UN Environment's Ecosystems Division should carry out a fresh review of policy brief produced by the project, finalise it, disseminate it to partners and make it available and easily accessible online.

ANNEX I. RESPONSES TO STAKEHOLDER COMMENTS RECEIVED BUT NOT (FULLY) ACCEPTED BY THE EVALUATOR

All stakeholder comments have been discussed and an agreement has been reached between the evaluator and key stakeholders.

PROJECT BACKGROUND AND OVERVIEW[43]

Project General Information

Table 1. Project summary

Countries:	Grenada, Seychelles		
Executing Partners	Government of Grenada; Government of Seychelles		
UNEP PIMS ID:	01696	**IMIS number:**	
Sub-programme:	Climate Change (adaptation)	**Expected Accomplishment(s):**	2014/2015: (a) Ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts
UNEP approval date:	19 March 2014	**PoW Output(s):**	2014/15-112 2016/17-112
Expected Start Date:	1 January 2014	**Actual start date:**	19 March 2014
Planned completion date:		**Actual completion date:**	30 December 2016
Planned project budget at approval:		**Total expenditures reported as of [date]:**	
Planned Environment Fund (EF) allocation:	n/a	**Actual EF expenditures reported as of [date]:**	n/a
Planned Extra-budgetary financing (XBF):		**Actual XBF expenditures reported as of [date]:**	
Extra-budgetary funding secured:	US$ 3,366,259	**Leveraged financing:**	
First Disbursement:		**Date of financial closure:**	
No. of revisions:	1	**Date of last revision:**	23 March 2016
Date of last Steering Committee meeting:			
Mid-term review/ evaluation (planned date):	n/a	**Mid-term review/ evaluation (actual date):**	n/a
Terminal Evaluation (actual date):			

Project rationale

2. Tropical coastal ecosystems provide a range of essential ecosystem services for a significant number of people, including many of the world's poorest communities. However, climate change is threatening the integrity and productivity of the marine and coastal ecosystems

[43] Source: Project document (approved 19 March 2014).

in the form of sea level rise, acidification, changes in temperature and rainfall patterns, invasive species and changes in the regimes of floods, drought and hurricanes. On the other hand, human activities are threatening the wellbeing of coastal ecosystems resulting in depletion of fish stocks and degraded water quality and coastal vegetation. In combination, these factors can cause coastal ecosystems to lose their biodiversity, value and function.

3. Small Island Developing States (SIDS) are particularly vulnerable to the impacts of climate change. This is due to their limited size and proneness to natural hazards in combination with low adaptive capacity and the high potential costs of adaptation relative to their GDP. According to the IPCC Fourth Assessment, climate change is likely to heavily impact coral reefs and associated ecosystems (mangroves, seagrasses and coastal catchment areas), fisheries and other marine based resources. According to the IPCC Assessment, sustainable development prospects of SIDS will be affected by the anticipated trends in sea level rise, increases in sea surface temperature and changes in the precipitation cycle and patterns of extreme weather events. Furthermore, under most climate-change scenarios, water resources in small islands are likely to be compromised.

4. Ecosystem-based Adaptation (EbA) is now widely accepted by Parties to the UNFCCC as one of the key approaches in the portfolios of adaptation actions needed in the post-2012 climate change agreement. It includes adaptation strategies to build resilience of vulnerable and degraded ecosystems and to use well-managed and healthy ecosystems as "natural infrastructure" for climate change adaptation (CCA) and disaster risk reduction (DRR). EbA can help communities to adapt to the adverse impacts of climate change, but since climate change increases the risk of communities to be hit by natural disasters, ecosystem-based DRR tools can help decrease these risks to communities. The principles of ecosystem management[44] should be used throughout the development and implementation of such strategies. Despite EbA is site-specific, it supports societal adaptation actions at multiple scales ranging from small catchments to large river basins. Furthermore, EbA has the additional benefit of contributing to climate change mitigation objectives as well, through improved carbon sequestration.

5. The ecosystem-based adaptation is UNEP's flagship approach for climate change adaptation, which incorporates biodiversity and ecosystem services into the overall adaptation strategy of countries to help people adapt to the adverse impacts of climate change. UNEP's work on EbA has its origins in the key findings of the IPCC Fourth Assessment Report and the Bali Action Plan agreed at UNFCCC CoP-13, reflecting the adaptation needs of countries. It was shown that particularly developing countries are vulnerable to the adverse impacts of climate change and the negative impact of climate change has already been witnessed in the form of extreme weather events. In 2010, UNEP initiated its EbA Flagship Programme *Support for building resilience of vulnerable ecosystems* during the UNFCCC CoP 16 to assist developing countries to build the resilience of ecosystems that are most vulnerable to climate change, and maximize ecosystem services for adaptation. The projects under the EbA Flagship Programme were addressing river basins, mountains and low lying coastal ecosystems and were expected to develop and implement technical, policy and financial interventions including piloting adaptation projects in vulnerable ecosystems of vulnerable regions. The adaptation options were chosen to respond to the urgent need for knowledge, capacity, technology and good practices from these governments and communities of vulnerable countries.

6. In 2014, learning from the advancements made through the EbA Flagship Programme, a project funded by the European Commission and implemented by UNEP was launched to advance ecosystem based adaptation in small island developing states. The project "Building Capacity for Coastal Ecosystem-Based Adaptation in Small Island Developing States (EbA SIDS) was developed to enhance knowledge on, and development of, practical interventions to stop the degradation of the coastal ecosystems and to mitigate vulnerability of coastal communities to climate change. The EbA SIDS project was designed to include Community-Based Adaptation (CBA) and DRR principles and solutions in coastal ecosystems in Grenada and Seychelles. The project was designed to combine EbA decision support tool development, planning and

[44] Ecosystem management is defined here as "an integrated process to conserve and improve ecosystem health that sustains ecosystem services for human well-being."

demonstration in Grenada and Seychelles along with a broader regional component offering training to Mauritius, Madagascar, Comoros, Cape Verde, Maldives and St. Vincent & Grenadines, and to promote global sharing and learning of good practices.

Project objectives and components

7. The EbA SIDS project was also designed to contribute towards UNEP's biennial Programme of Work (PoW) 2014-2015 under the Climate Change Sub-programme (CC SP). More specifically, the project was to contribute towards the CC SP Expected Accomplishment (EA) *Ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts.* The project was designed to contribute to PoW Outputs (111) *Technical support provided to countries to develop and pilot methods and tools and dissemination of these through knowledge networks along with research results, lessons learnt and good practices*, (112) *Technical support provided to countries to implement ecosystem-based adaptation demonstrations and supporting approaches and to up-scale these through partnerships at regional and country level*, and (113) *Support provided to integrate EbA and supporting adaptation approaches into national and sectoral development policies, plans and strategies and develop legal and regulatory frameworks*.

8. The long-term goal of the EbA SIDS project was stated as *to strengthen the resilience and adaptive capacity of communities that depend on coastal ecosystem services provided by coral reefs and associated ecosystems*. The specific objectives of the EbA SIDS project as defined in the project document were (i) *Enhance and demonstrate integrated planning tools and technical guidance to assist decision-making and effective stakeholder consultation in the development of coastal EbA interventions*; (ii) *Support relevant authorities and communities in two SIDS where climate change already places intense pressure on human livelihoods and coastal and marine resources in the selection, planning and implementation of practical EbA measures*; (iii) *Support regional capacity-building and global transfer of good practices and experiences gained to other coastal regions as a means to scale up EbA development and implementation, including informing supportive adaptation policies, strategies and adaptation plans*.

Table 2. EbA SIDS outcomes and outputs as defined in the project document logical framework

Project Components 1. Enhanced EbA decision support tools and capacity building resources 2. Piloting social-ecological vulnerability scenarios and adaptation cost-benefit analyses 3. Piloting cross-sectoral EbA planning and operationalization including participatory monitoring and evaluation 4. Regional trainings on EbA scenario planning, decision-making and implementation 5. Global knowledge-sharing on EbA Experiences, good practices and policy advice	
Outcomes	Outputs
1. Countries in SIDS develop and apply EbA approaches to maintain and enhance the resilience of tropical coastal ecosystems and the services they provide to coastal communities	Social-ecological climate change vulnerability scenarios and cost-benefit analysis developed using existing data in two locations (Grenada and Seychelles)
2. Enhanced regional capacity and global knowledge on coastal EbA scenario development and planning including gender equity perspectives in SIDS	Regional trainings delivered in SIDS in Eastern Caribbean and Western Indian Ocean to government officials SIDS relevant adaptation network initiated and knowledge products on adaptation in SIDS developed and disseminated Global knowledge products on adaptation in SIDS developed

9. The project document further identifies "expected outputs" for each of the five project components which, however, have not been included in the logical framework:

- Component 1. A coastal-specific module of the EbA decision support framework and planning tools, and guidance resources on integrated coastal EbA strategies developed, tested and applied in pilot projects and available for wider use in other SIDS and coastal areas.
- Component 2. Social-ecological vulnerability scenarios developed for local coastal sites in two pilot countries along with assessment and analysis of adaptation options considering co-benefits and ecosystem services of alternative approaches; and a cost-benefit analysis for identified adaptation options for each pilot site.
- Component 3. *(a)* EbA scenarios for local sites in two coastal pilot countries; (b) operational EbA implementation plans incorporating stakeholder aspirations and needs; (c) detailed costed work plan and specific guidance on implementation modalities, costs and benefit sharing, protocol with indicators and measures for monitoring and evaluating of EbA outputs at the national level.
- Component 4; Enhanced national technical skills and capacity for undertaking vulnerability- and EbA scenario building, EbA planning and implementation considering CBA, development and DRR perspectives, as evident in new project concepts or programming adopting EbA principles by end of the project.
- Component 5; Experiences and lessons from EbA pilot projects, tool development and training synthesised and disseminated for national, regional and global policy advice and practical use through UNEPs EbA Flagship Programme as well as through its regional and global networks.

10. The project will develop and operationalize EbA implementation plans in Grenada and Seychelles and the capacity building elements of the project were to include technical advice and regular mentoring of government staff in development of vulnerability scenarios and preparation of EbA cost-benefits analyses. The demonstration projects were to explore CbA-EbA synergies in adaptation planning, implementation and participatory monitoring and evaluation with a specific focus on DDR in coastal areas. The demonstrations were to test the coastal module of UNEP-led EbA Decision Support Framework and a tool for 'resilience mapping for marine spatial planning' with an aim to use the experience and learning to support follow-up replication and up-scaling in Grenada and Seychelles and other SIDS. However, more detailed implementation modalities for the demonstration projects were not defined in the project document. However, the project document provided specific 'expected outputs' for the demonstration projects, which however were not included in the logical framework as follows;

- Seychelles: Comprehensive implementation plan outlining operational modalities for ecosystem-based adaptation in coastal areas surrounding Praslin Island, Seychelles, ensuring long-term ecological and social resilience and reduced vulnerabilities of dependent communities.
- Grenada: Comprehensive implementation plan outlining operational modalities for ecosystem-based adaptation in coastal areas of Grenada addressing predicted vulnerabilities of coastal communities.

Executing Arrangements

11. The EbA SIDS project was implemented by UNEP-DEPI Climate Change Adaptation Unit and the Marine and Coastal Ecosystem Unit. UNEP DEPI was responsible for the internal organization, supervision of development and implementation of the project, including scientific and funding aspects, and external communication. UNEP DEPI was to work in close collaboration with UNEP's Regional Offices for Africa, for Latin America and the Caribbean and for Asia-Pacific, as well as Secretariats of Regional Seas Programmes in East Africa and Caribbean and the UNEP's Ecosystem Management Sub-programme coordinator and national focal points. The project was to be executed by the Governments of Grenada and Seychelles, in partnership with The Nature Conservancy (TNC). The project stakeholders included the National Governments of the participating countries, UNEP Nairobi Convention Secretariat, UNEP Caribbean Environment Programme, international development partners, private sector and civil society and the local

communities. According to the project document, the project was to be implemented in close coordination and regular liaison with relevant EC country representations and EC regional offices.

12. Government departments, universities, NGOs and individual experts were to deliver project outputs through Small-Scale Funding Agreements (SSFAs), Special Service Agreements (SSAs) and Internal Cooperation Agreements (ICAs). The partners were to be defined upon formal approval of the project.

13. According to the project document, UNDP and UN Country Teams were to provide political guidance and help to ensure alignment of the project with UNDAFs, and to assist in implementation of project activities, dissemination of project outputs and outcomes as well as promoting replication, up-scaling, and sharing of lessons learnt to other SIDS and coastal countries.

Project stakeholders

Stakeholder groups	Key institutions / individuals
The project team	UNEP DEPI Climate Change Adaptation Unit (Project Manager) UNEP DEPI Marine and Coastal Ecosystem Unit (Technical Adviser) UNEP Regional Office for Africa UNEP Regional Office for Latin America and the Caribbean
Donor	European Commission
Government duty bearer	The Governments of Grenada and Seychelles which are also the implementing partners of the project
Executing partners	International development partners Private sector and civil society
External stakeholders	Local communities
Internal stakeholders	UNEP Nairobi Convention Secretariat UNEP Caribbean Environment Programme (CEP)

14. The project was to establish a project steering group comprised of the project coordinator, project assistant, project technical advisor, and national coordinators with professional staff from UNEP Climate Change Adaptation Unit, UNEP Regional Offices for Africa and Latin America and the Caribbean, UNEP Marine and Coastal Ecosystems Unit, and relevant Regional Seas Secretariats.

Project Cost and Financing

15. The EbA SIDS project was to run from January 2014 to June 2016, later extended to December 2016. The project was implemented under the Strategic Cooperation Agreement (SCA) between the European Commission and UNEP under the thematic programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP). The project did not receive in-cash funds from UNEP Environment Fund, however, the UNEP Programme Officers represent UNEP's in-kind support from UNEP's EF.

16. The total project budget at approval was US$ 3,366,259 from the European Commission ENRTP fund. For the period of implementation, the budget was divided as US$ 1,466,667 for the year 2014, US$ 1,388,926 for the year 2015 and US$ 510,666 for the year 2016.

17. According to the project plan, approximately US$ 1.6 million (50%) of the total project budget will be allocated directly to the Government of Grenada and Seychelles for implementation of national activities, whereas 10% or the budget was to be used on up scaling of project outcomes and regional trainings on best practices, lessons learnt, knowledge sharing and dissemination of project outputs.

Implementation Issues

18. The EbA SIDS project experienced implementation delays and challenges in terms of setting up the project demonstrations but as of December 2015 the project implementation, according to PIMS reporting, was on track. The project was extended with a no-cost extension until December 2016.

19. The project document provided a risk assessment log, which identified a total of 10 risk factors related to economic, organisational, political, financial, and potential negative environmental and social implications, most rated as medium for their impact severity and from low to high for risk likelihood. The risks 'unwillingness to engage in cross-sectoral planning causing lack of inter-agency commitment to EbA demonstration projects' and 'insufficient funding constraints full implementation of project workplan against timetable' were rated as risks with high likelihood. The project did not undergo a mid-term review or an evaluation.

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

20. In line with the UNEP Evaluation Policy[45] and the UNEP Programme Manual[46], the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the main project partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

21. The evaluation will focus on the following **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

(a) To what extent did the project contribute towards strengthening the resilience and adaptive capacity of communities that depend on coastal ecosystem services?

(b) To what extent was the project able to enhance regional capacity and global knowledge sharing on coastal EbA options in SIDS?

Overall Approach and Methods

22. The Terminal Evaluation of the Project will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Project Manager and the Sub-programme Coordinator of the Climate Change Sub-programme.

23. 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. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

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

(a) A **desk review** of:

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

46 http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

- Relevant background documentation, inter alia; UNEP Medium-Term Strategy 2014-2017 and Programmes or Work, National Development Strategy for Grenada, Grenada National Climate Change Action Plan, National climate Change Adaptation Strategy for Seychelles, Third Environment Management Plan (2011-2020) of Seychelles; relevant national policies, including Grenada National Water Policy;
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Documentation related to project outputs;
- Evaluations/reviews of similar projects

(b) **Interviews (individual or in group) with**:

- UNEP Project Manager;
- UNEP Technical Advisor;
- Other members of the project management team;
- UNEP Fund Management Officer;
- Members of the project Steering Committee;
- Project implementing partner (Governments of Grenada and Seychelles)
- Project partners;
- Project donor;
- Other relevant resource persons;

(c) **Field visits:** The consultant will visit one of the project's pilot countries, Grenada or Seychelles, based on a selection criterion which will be outlined in the evaluation report.

(d) **Other data collection tools:** In addition to interviews, the consultant may apply online surveys or email questionnaires to gather evidence from the countries which participated in the project's training events. The data collection tools will be agreed with the Evaluation Office of UNEP at the evaluation inception phase.

Key Evaluation principles

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

26. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

27. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

28. **Baselines and counterfactuals**. In attempting to attribute any outcomes and impacts to the project intervention, 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, trends and counterfactuals in relation to the intended project outcomes and impacts. It 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, trends or counterfactuals 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.

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

30. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

31. Communicating evaluation results. Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Evaluation criteria

Strategic relevance

32. The evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with global, regional and national environmental issues and needs. The evaluation will assess the relevance of the project to the National Climate Change Adaptation Strategy for Seychelles and the Third Environment Management Plan (2011-20120) of Seychelles, as well as the National Development Strategy for Grenada and the Grenada National Climate Change Action Plan.

33. The project was funded by the European Commission, under the DEVCO-UNEP SCA. The evaluation will assess whether the project was in-line with, and contributed to the Expected Results of the SCA; (1) Strengthened abilities of countries – in particular developing countries – to integrate climate change responses into national and regional sustainable development processes, including climate change science and awareness-raising; (2) Improved capacities towards conservation as well as sustainable use and management of ecosystem services / biodiversity and natural resources, including capacity-building/support on ecosystem approach to the management of human activities, ecosystem management tools and address degradation of selected priority ecosystem services; (3) Enhanced environmental mainstreaming into development policies, planning and decision making, including environmental mainstreaming in disaster risk reduction.

34. The evaluation will also assess the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the Sub-programmes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2014-2015. The magnitude and extent of any contributions and the causal linkages should be fully described.

The evaluation should assess the project's alignment / compliance with UNEP's policies and strategies. The evaluation should provide a brief narrative of the following:

1. *Alignment with the Bali Strategic Plan (BSP)*[47]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
2. *Gender balance*. 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. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance HR & GE?
3. *Human rights based approach (HRBA) and inclusion of indigenous peoples' issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
4. *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.
5. *Safeguards*. Whether the project has adequately considered environmental, social and economic risks and established whether they were vigilantly monitored. Was the safeguard management instrument completed and were UNEP ESES requirements complied with?

35. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

Achievement of Outputs

36. The evaluation will assess, for each component, the projects' success in producing the programmed outputs (products and services delivered by the project itself) and milestones as per the ProDocs and any modifications/revisions later on during project implementation, both in quantity and quality, as well as their usefulness and timeliness.

37. Briefly explain the reasons behind the success (or failure) of the project in producing 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). Were key stakeholders appropriately involved in producing the programmed outputs?

Effectiveness: Attainment of Objectives and Planned Results

38. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

39. The **Theory of Change** (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; i.e. factors that affect 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). The ToC also clearly identifies the main stakeholders involved in the change processes.

[47] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

40. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will discuss the reconstructed ToC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the ToC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the ToC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).

41. 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.

(b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach[48]. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to the identified intermediate states, and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (project documentation relating to Environmental, Social and Economic Safeguards).

(c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document[49]. 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. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.

(d) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

Sustainability and replication

42. 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 will ascertain that the project has put in place an appropriate exit strategy and measures to mitigate risks to sustainability. 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.

43. 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

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

49 Or any subsequent **formally approved** revision of the project document or logical framework.

towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to sustain the project outcomes? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of HR and GE led to an increase in the likelihood of sustainability of project results?

(b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources[50] will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?

(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, goods or services?

(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? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

44. **Catalytic role and replication**. The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims 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 capacities developed;
(b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
(c) contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;
(d) contributed to *policy changes* (on paper and in implementation of policy);
(e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
(f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

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

[50] Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

Efficiency

46. 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 (severely constrained) 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. The evaluation will also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.

47. 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.

Factors and processes affecting project performance

48. **Preparation and readiness**. This criterion focusses on the quality of project design and preparation. Were project stakeholders[51] adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of projects identified? 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? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

49. **Project implementation and management**. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions and responses to changing risks including safeguard issues (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 milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
(b) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
(c) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
(d) Assess the extent to which project management responded to direction and guidance provided by UNEP and the project steering committee.
(e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

50. **Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users of project products. The ToC and stakeholder analysis should assist the evaluators in identifying the key

[51] 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.

stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. 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) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
(b) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
(c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
(d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?
(e) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.
(f) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?
(g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

51. **Communication and public awareness**. The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report. Did the project identify and make us of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

52. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution and those participating in the project Steering Committee:

(a) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?
(b) How and how well did the project stimulate country ownership of project outputs and outcomes?

53. **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:

(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) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
(c) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
(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.

54. 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.

55. **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 and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make.

56. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies 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 mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

57. **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:

(a) *M&E Design*. The evaluators should use the following questions to help assess the M&E design aspects:
- Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? 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?
- 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?
- To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on HR and GE (including sex-disaggregated data)?
- Did the project appropriately plan to monitor risks associated with Environmental Economic and Social Safeguards?
- 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.

(b) *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;
- Risk monitoring (including safeguard issues) was regularly documented;
- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

The Consultants' Team

58. This evaluation will be conducted by an independent consultant. Details of the specific requirements and responsibilities are presented in Annex 1 of these ToRs.

Evaluation Deliverables and Review Procedures

59. The evaluation consultant 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.

60. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project's context, design and process at this stage. The review of design quality will cover the aspects specified in the project design quality matrix (see Annex 7).

61. The inception report will 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.

62. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the project document and discussion with the project team (Annex 2).

63. 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.

64. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information e.g. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a 2-page summary of key findings and lessons (Annex 10).

65. 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.

66. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

67. When data collection and analysis has almost been completed, the evaluation team will prepare a short **note on preliminary findings and recommendations** for discussion with the project team and the Evaluation Reference Group. The purpose of the note is to allow the evaluation team to receive guidance on the relevance and validity of the main findings emerging from the evaluation.

68. **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.

69. **Review of the draft evaluation report**. The evaluation team will submit a zero draft report to the Evaluation Office of UNEP (EOU) and revise the draft following the comments and suggestions made by the EOU. Once a draft of adequate quality has been accepted, the EOU will share this first draft report with the Project Manager, who will alert the EOU in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. 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 EOU for collation. The EOU will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.

70. 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 EOU with the interested stakeholders to ensure full transparency.

71. **Submission of the final evaluation report.** The final report shall be submitted by e-mail to the Director 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 web-site www.unep.org/eou.

72. As per usual practice, the UNEP EOU 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.

73. 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.

74. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Project Manager. After reception of the Recommendations Implementation Plan, the Project Manager is expected to complete it and return it to the EOU within one month. The Project Manager is expected to update the plan every six month until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.

Logistical arrangements

75. This Terminal Evaluation will be undertaken by an 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 EOU on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The international travels will be arranged through the EOU however, the consultant is responsible for his/her visa. The UNEP Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

Schedule of the evaluation

76. Table 7 below presents the tentative schedule for the evaluation.

Table 7. Tentative schedule for the evaluation

Milestone	Deadline
Consultant contracted	Early November 2016
Inception Report	December 2016
Evaluation Mission	Mid-January 2017
Telephone interviews, surveys etc.	January 2017
Zero draft report	February 2017
Draft Report shared with UNEP Project Manager	February 2017
Draft Report shared with stakeholders	March 2017
Final Report	End of March 2017

Consultant-specific Terms of Reference

The evaluation consultant will be hired for 1 November 2016 to 31 March 2017. (S)He will be responsible for the management of the evaluation, in close consultation with the UNEP Evaluation Office, and timely delivery of its outputs as described in the overall ToRs of the evaluation. (S)He will be responsible of the evaluation design, data collection and analysis, and report-writing. More specifically:

The inception phase of the evaluation, including:

- Conduct a preliminary desk review and introductory interviews with project staff;
- Draft the reconstructed Theory of Change of the project;
- Prepare the evaluation framework;
- Develop the desk review and interview protocols;
- Draft the survey protocols (as relevant);
- Plan the evaluation schedule;
- Prepare the inception report, including comments received from the Evaluation Office.

The data collection and analysis phase of the evaluation, including:

- Conduct further desk review and in-depth interviews with key stakeholders of the project;
- Keep EOU and the Project Manager updated on the evaluation progress.

Reporting phase, including:

- Prepare the main evaluation report;
- Ensure that the report is complete and coherent both in substance and style;
- Liaise with the Evaluation Office on comments received and ensure that comments are taken into account during finalization of the main report; and
- Prepare a Response to Comments annex for the main report, listing those comments not accepted by the evaluator and indicating the reason for their rejection.

Managing internal and external relations, including:

- Maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- Communicate in a timely manner with the Evaluation Office on any issues requiring its attention and intervention.

The evaluation consultant shall have had no prior involvement in the formulation or implementation of the project to be evaluated and will be independent from the participating institutions. (S)He will sign the Evaluation Consultant Code of Conduct Agreement Form.

The evaluation consultant will be selected and recruited by the UNEP Evaluation Office through an individual consultancy contract.

<u>Key selection criteria</u>

- Advanced university degree in environmental sciences or other relevant political or social science areas.
- Extensive evaluation experience, including of large, regional or global programmes and using a Theory of Change approach;
- Broad understanding of climate change adaptation, ecosystem based adaptation, community based adaptation and disaster risk reduction. Experience in managing and/or evaluating ecosystem based adaptation projects and experience in working with Governments to design national adaptation strategies and policies;
- Knowledge of the UN system, and specifically of UNEP;
- Excellent written and spoken kills in English;
- Familiarity with Small Island Developing States and their environmental specificities;

- Attention to detail and respect for deadlines;
- Excellent interpersonal and communication skills;
- Minimum 10 years of professional experience.

The fee of the consultant will be agreed on a deliverable basis and paid upon acceptance of expected key deliverables by the UNEP Evaluation Office.

Deliverables:

- Inception report
- Draft main report incorporating Evaluation Office comments as required
- Final main report incorporating comments received from evaluation stakeholders as appropriate, including a "response to comments" annex
- 2 page bulletin summarising project findings

Schedule of Payment:

Deliverables	Percentage payment
Inception report	20% of fees
Submission and approval of the draft evaluation report	40% of fees
Submission and approval of the final evaluation report	40% of fees

Contractual arrangements

77. The consultant will be hired under an individual Special Service Agreement (SSA). The contract stipulates consultant fees only. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

78. By undersigning the Special Services Agreement with UNEP/UNON, the consultant certifies that he/she 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, he/she will not have any future interests (within the six months following completion of the contract) with the project's executing or implementing units.

79. The consultant may be provided with access to UNEP's Programme Information Management System (PIMS) and if such access is granted, the consultant agrees not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

80. In case the consultant is not able to provide the deliverables in accordance with these ToRs, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultant has improved the deliverables to meet UNEP's quality standards.

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

ANNEX III. PEOPLE INTERVIEWED

Government of Grenada

- Kevin Andall, Permanent Secretary with responsibility for Human Resource Development and the Environment, Ministry of Education, Human Resource Development and the Environment
- Martina Duncan, Climate Change Focal Point, Environment Division, Ministry of Education, Human Resource Development and the Environment,
- Merina Jessamy, Permanent Secretary, Ministry of Agriculture, Lands, Forestry and Fisheries
- André Joseph-Witzig, Technical Officer, Environment Division, Ministry of Education, Human Resource Development and the Environment
- Kim Julien, Accounts Officer, Ministry of Agriculture, Lands, Forestry and Fisheries
- Aria St.Louis, Head, Environment Division, Ministry of Education, Human Resource Development and the Environment
- Spencer Thomas, Ambassador & Special Envoy for Multilateral Environmental Agreements and Chairman, Sustainable Development Council

Government of the Seychelles

- Wills Agricole, Principal Secretary, Energy and Climate Change Department, Ministry of Environment, Energy and Climate Change
- Maureen Hoareau, Private Secretary, Energy and Climate Change Department, Ministry of Environment, Energy and Climate Change
- Flavien Joubert, Chief Executive Officer, Seychelles National Parks Authority

UN Environment (including in-country project teams)

- Jude Bijoux, Technical Backstopper, EbA project, Seychelles
- Stuart Crane, Programme Officer, Climate Change Adaptation Unit, UN Environment, Nairobi
- Mark Griffith, Senior Programme Officer, ROLAC, UN Environment
- Leo Heileman, Regional Director and Representative, Regional Office for Latin America and Caribbean Office
- Kerricia Hobson, Project Manager, EBA Project, Grenada
- Evans Koech, Fund Management Unit, Ecosystems Division
- Richard Munang, Regional Climate Change Coordinator, ROA, UN Environment
- Takehiro Nakamura, Coordinator, Marine and Coastal Ecosystems Unit, Division of Environmental Policy Implementation
- Leyana Romain, Technical Officer, EBA Project, Grenada
- Jerker Tamelander, Head, Coral Reef Unit, UN Environment, Bangkok, Thailand
- Alessandra Vanzella-Khouri, former Programme Officer – SPAW, UN Environment Caribbean Regional Co-ordinating Unit (CAR/RCU), Caribbean Environment Programme
- Ole Vestergaard, Programme Officer, Marine & Coastal Ecosystems Branch, Ecosystem Division
- Benjamin Vel, Project Coordinator, EBA Project, Seychelles
- Dixon G Waruinge, Head, Secretariat for the Nairobi Convention, Division of Environmental Policy Implementation

Coral gardeners and community residents in Grand Anse, Grenada

- Ziggy Beggs, coral gardener
- Halim Brizan, community organiser, craftsman, vendor and member of Community Task Force
- Dave Theodore, coral gardener
- Willan Thomas, coral gardener
- Sadnar Woodroof, craftswoman, vendor and member of Community Task Force

Native Spirit Scuba, Grenada

- Adrian Blackman, Owner and MSDT/Instructor
- Rahel Blackman, Office Manager

Deefer Diving, Carriacou, Grenada and Caribbean Reef Buddy
- Katlynd Treiber-Vajda, Dive Instructor

Eco Dive, Grenada
- Christine Finney, Owner, Marine Biologist and President, Grenada Dive Association

ICCAS / GIZ / UNDP
- Martin Barriteau, Project Manager, ICCAS
- Dieter Rothenberger, Head of Grenadian-German Pilot Programme, ICCAS

St. George's University
- Clare E. Morrall, Director of the Marine Biology Programme, Department of Biology, Ecology & Conservation, School of Arts & Sciences
- Stephen Nimrod, Instructor in Marine Biology, Department of Life Sciences, School of Arts & Sciences

University of the West Indies
- Hazel Oxenford, Professor, Fisheries Biology and Management

CLEAR Caribbean
- Owen Day, Executive Director

World Conservation Monitoring Centre
- Valerie Kapos, Head of Programme, Climate Change & Biodiversity
- Will Simonson, Senior Programme Officer, Climate Change and Biodiversity

National Oceanographic and Atmospheric Administration (NOAA)
- Tom Moore, Program Manager, NOAA Restoration Center, Florida
- Tali Vardi, , ECS Federal for NOAA Fisheries

The Nature Conservancy
- Sherry Constantine, Programme Manager, Eastern Caribbean Programme
- Nealla Frederick, Conservation Planner, Eastern Caribbean Programme

World Wildlife Fund Netherlands
- Arjan de Groene, Advisor Oceans and Coasts Programme, and formerly General Manager, Green Islands Foundation, Seychelles

Independent experts
- Leon Charles, Grenada
- Michelle McNaught, Jamaica

ANNEX IV. REFERENCES

Documents consulted

Project document and related:

Project document, Building Capacity for Coastal Ecosystem-based Adaptation in SIDS, UN Environment-EC ENRTP 2014-16, March 2014

Report of the PRC, 19 December 2013

Project revision, 23 March 2016

Project implementation plan, budget and operational plan

Pilot project activities, Seychelles

Bijoux, Jude. no date. Science Plan, Implementation of Output 4 (demonstrate viability of coral reef restoration in Praslin Island)

Building Capacity for Coastal Ecosystem-based Adaptation in SIDS, Socio-Ecological Vulnerability Impact Assessment to Climate Change in the Republic of Seychelles

Pinchart, Jonathan. 2016. Building Capacity for Coastal Ecosystem-based Adaptation in SIDS, Sediment Modelling and Coastal Erosion on Praslin Island, Beach Monitoring Training Manual

Pinchart, Jonathan. 2016. Building Capacity for Coastal Ecosystem-based Adaptation in SIDS, Installation of Beach Profile Reference Marks on Praslin Island and Subsequent Beach Profiling activities

Pinchart, Jonathan. no date. Building Capacity for Coastal Ecosystem-based Adaptation in SIDS, Consultancy final report

Pinchart, Jonathan. no date. Building Capacity for Coastal Ecosystem-based Adaptation in SIDS, Beach Monitoring Training Report

Pilot project activities, Grenada

Day, Owen, Danika van Proosdij, Donovan Campbell, Simone Lee, Greg Baker and Joyce Thoma. no date. Assessing Climate Vulnerability in Grenada and Responding with Coastal Ecosystem-based Adaptation Action

The Nature Conservancy. 2015. Report on stakeholder expectations, potential areas for synergies, and possible roles/areas for engagement for Grande Anse and Carriacou

The Nature Conservancy. 2015. Methodology and Criteria for Assessing and Selecting Appropriate Nursery Sites

The Nature Conservancy. 2015. Field Report: Coral Nursery Location Site Assessments for Grenada and Carriacou

The Nature Conservancy. 2015. Nursery Management and Maintenance Schedule

The Nature Conservancy. 2015. Draft Nursery Designs & Coral Collection Methodology

The Nature Conservancy. 2016. Scoping Trip Report – Identification of Suitable Locations for Outplanting in Grand Anse and Carriacou

The Nature Conservancy. no date. Protocols to Manage Access and Threat Mitigation Strategies for Grenada Coral Restoration Sites

The Nature Conservancy. no date. Report of Genetic Analysis

The Nature Conservancy. no date. Reef Management and Maintenance Schedules (draft report)

The Nature Conservancy. no date. Identification of Sustainable Financing Strategies

The Nature Conservancy. no date. Business Plan for the Continuation of Restoration Work Incorporating Sustainable Livelihoods Activities

The Nature Conservancy. no date. Coral Restoration: Nursery Propagation and Population Enhancement. Methodology Manual

UN Environment. 2014. UN Environment Technical Workshop "Building Capacity for Coastal Ecosystem Based Adaptation in Small Island Developing States". Report on workshop.

Activity sheets, activity book, project briefs and news bulletins

Regional activities

UN Environment. 2016. Integrating Coastal EBA into Policy and Planning in African SIDS Workshop. Workshop report.

UN Environment. 2016. UN Environment-EC Caribbean Regional Workshop. Integrating Coastal Ecosystem Based Adaptation into Policy and Planning in the Caribbean

Global project outputs

Coastal Ecosystem-based Adaptation Decision Support Tool (DST). Supporting the selection, design, implementation, and evaluation of coastal EBA options

Munroe, R., Mant, R., Hicks, H., Kapos, V., Woroniecki, S., Soi, N., Crane, S., Vestergaard, O., and Kay, R. (2014) How can ecosystem-based adaptation to climate change be integrated into national adaptation planning? UN Environment, Nairobi, Kenya

Policy Brief: Integrating coastal Ecosystem-Based Adaptation into national plans and policies. Final - 30 June 2016

UN Environment. 2016. Options for Ecosystem-based Adaptation (EBA) in Coastal Environments: A Guide for environmental managers and planners. United Nations Environment Programme, Nairobi

UN Environment, strategies and policy documents

UNEP. 2014. Biennial programme of work for 2016–2017.

UNEP. 2015. Medium Term Strategy 2014 – 2017. United Nations Environment Programme, Nairobi, Kenya

UNEP. 2015. UNEP Policy Paper. Strengthened UNEP Strategic Regional Presence: Contributing to the Future We Want. (See also corresponding UNEP Operational Guidelines, 2016)

Documentation on EbA, including coral restoration

Edwards, Alasdair J. and Edgardo D. Gomez. 2007. Reef Restoration Concepts and Guidelines: making sensible management choices in the face of uncertainty. Coral Reef Targeted Research & Capacity Building for Management Programme: St Lucia, Australia

Edwards, Alasdair J., ed. 2010. Reef Rehabilitation Manual. Coral Reef Targeted Research & Capacity Building for Management Program: St Lucia, Australia

ICRI. 2005. ICRI Resolution on Artificial Coral Reef Restoration and Rehabilitation

This Resolution was tabled and discussed at the International Coral Reef Initiative General Meeting in Seychelles on Wednesday, 27 April 2005

Reid H, Seddon N, Barrow E, Hicks C, Hou-Jones X, Kapos V, Rizvi A R, Roe D, Wicander S. 2017. Ecosystem-based adaptation: question-based guidance for assessing effectiveness. IIED, London

Summary of Recommendations of the Workshop to Advance the Science and Practice of Caribbean Coral Restoration occurred November 15-17 2016 in Fort Lauderdale, Florida, USA

Context

Mycoo, Michelle and Donovan G. Michael. 2017. A Blue Urban Agenda: Adapting to Climate Change in the Coastal Cities of Caribbean and Pacific Small Island Developing States. Inter-American Development Bank, Washington, D.C.

Other documents and materials: miscellaneous data sheets, maps, survey instruments, workshop presentations, pictures, contracts and progress reports.

Websites consulted

http://web.unep.org/coastal-eba/

http://www.adaptation-undp.org/projects/undp-caribbean-sids

https://www.iied.org/ecosystem-based-approaches-climate-change-adaptation

www.fragmentsofhope.org

www.carmabi.org

www.coralrestoration.org

https://mote.org

www.giz.de/en/worldwide/27030.html

www.seychellesnewsagency.com

http://www.agrra.org/ and more specifically http://www.agrra.org/wp-content/uploads/2016/05/GRD-Report-Card_2016_WebLowRes.pdf

http://www.c-fish.org/ and in particular http://www.c-fish.org/beneficiaries/

http://www.endangeredspeciesinternational.org/coralreefs.html

http://climateandreefs.org/grenada/ (which also offers individual coral reef overviews for the other Caribbean SIDS)

http://coral.org/

http://www.reefbase.org/main.aspx and more specifically its global database regarding Grenada and the Seychelles

www.reefresilience.org and in particular www.reefresilience.org/category/news/

http://www.wri.org/publication/reefs-risk-revisited

ANNEX V. QUESTIONNAIRE FOR PARTICIPANTS IN REGIONAL TRAINING COURSES

This survey was created and accessible online in two versions, one for the African SIDS (see: https://www.surveymonkey.com/r/EBASIDSAfricaevaluation) and one for the Caribbean SIDS. The questions were identical, except for the question on the mini-EbA projects that was specific to the African SIDS.

==========

Dear colleague,

You participated in the workshop on "Integrating Coastal EBA into Policy and Planning in African SIDS" that was held in the Seychelles in June 2016.

UN Environment (UNEP) is currently conducting the terminal evaluation of the project of which this workshop was part, and we would be very grateful if you could give us your feedback on this activity.

Answering this questionnaire should not take you more than 10 minutes.

Please provide your response by Tuesday 21 March.

With many thanks in advance.

==========

How would you describe your role / position at the time of the workshop?

What was your country of residence / work at the time of the workshop?

==========

How would you rate the impact of the workshop, on scales of 1 (minimal) to 10 (tremendous):

I gained new information on coastal EBA

I acquired new skills in EBA

I was made aware of the value of EBA

I joined new networks

==========

Did the workshop have an impact on your work / institution? Yes / No. If yes, please describe briefly

==========

Mini-EbA projects were developed during the workshop. Do you know if the project developed by/for your country was actually implemented after the workshop? Yes / No / I don't know

==========

The workshop decided to set up an African SIDS forum on coastal EBA. Was that actually established? Yes / No / I don't know

If yes, have you participated and benefited in any way since the workshop?

Have you accessed the UNEP Coastal EBA Website (http://web.unep.org/coastal-eba) since the workshop? Yes / No / Can't remember

If yes, roughly how many times have you accessed the site: once – occasionally – often – regularly since the workshop

Since June 2016, have you used any of the knowledge products presented at the workshop? Yes / No / Can't remember. If yes, please describe briefly

==========

How would you describe the methodologies used in the delivery of the workshop? Participatory. Action-learning. Conventional training. Dynamic. Exciting. Boring. Other

Please rate the logistics of the workshop (travel and accommodation, if applicable, venue, meals, local transportation, etc.), on a scale of 1 (very poor) to 10 (excellent)?

Do you have other comments or observations to share about the workshop?

==========

Over the past two years, have you received any other support from UNEP and/or have you collaborated with UNEP in any way in the field of EbA?

If yes, please describe briefly, and indicate the extent to which the workshop contributed to that collaboration?

==========

Personal information (optional):

Name:

Institution:

email address:

A.	Project Context and Complexity		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating[52]: 4
1	Does the project face an unusually challenging operational environment that is likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	**NO**	There is however the interesting question of the legal mandate and management authority over the coastal zone, which needs to be explored in this evaluation	
		ii)Ongoing/high likelihood of natural disaster?	**YES**	In the regions served by this project, the probability of hurricanes in high	
		iii)Ongoing/ high likelihood of change in national government?	**NO**	Elections were held in Grenada in 2013 and constitutionally due within 5 years. Elections were held in the Seychelles (September 2016) and resulted in a change of government	
B.	**Project Preparation**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 4**
2	Does the project document entail a clear and adequate problem analysis?		**YES**	There is however one conceptual issue that the evaluation should look at: is it possible and effective, in small islands, to develop and implement approaches that are specific to the coastal zone, as opposed to considering the island ecosystem as a whole	
3	Does the project document entail a clear and adequate situation analysis?		**YES**	But it does not include a situation analysis for the specific sites – this is however understandable, as the project had to get started before project staff could be put in place and conduct the initial assessments	
4	Does the project document include a clear and adequate stakeholder analysis?		**YES**	Yes in relation to UNEP as well as regional and national institutions, but there is no analysis of stakeholders at the local level – again, see above, this is somewhat understandable, although it would have been useful at the stage of project design to identify some of the key differences in interests and strategies (e.g. between fishers and tourism businesses)	
5	*If yes to Q4:* Does the project document provide a description of stakeholder consultation during project design process? *(If yes, were any key groups overlooked: government, private sector, civil society and those*		**NO**		

[52] Rating system for quality of project design and revision
A number rating 1-6 is used for each section: 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 a weighted mean score of all rated quality criteria, see below. (For Project Context and Complexity, replace 'un/satisfactory' with 'un/likely'

	who will potentially be negatively affected)				
6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development?	i)Sustainable development in terms of integrated approach to human/natural systems	**YES**	The project document demonstrates a good understanding of the relationship between human and natural systems in the coastal zone of SIDS	
		ii)Gender	**NO**	There is mention of gender as something that the project will consider, but the proposal does not identify concerns, challenges or issues that the project would have to consider	
		iii)Indigenous peoples	**NO**	This is not relevant to the two main target countries, but it would have been useful if the project proposal had discussed any specific aspect of the relationship between indigenous peoples and coastal resources in SIDS	
C	**Strategic Relevance**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 4**
7	Is the project document clear in terms of its relevance to:	i) UNEP MTS, PoW and Sub-programme	**YES**	The project document provides a good description of the project's relevance	
		ii) Regional, Sub-regional and National environmental issues and needs?	**YES**	This strategic relevance is well articulated in the project document.	
		iii) The relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	**NA**		
		iv) Key SDG goals and targets	**NO**	It would indeed have been useful if the proposal could have shown how the project intended to contributed to the achievement of the relevant MDGs	
8	Does the project address key cross cutting issues?	i) South-South Cooperation *(where appropriate)*	**NO**	Some partnerships are mentioned, albeit vaguely, but the potential for South-South cooperation is not presented in the project document, both in terms of exchange of scientific expertise and in terms of	
		ii) Bali Strategic Plan	**NO**	A reference to the Strategic Plan would have been useful as the Plan is very relevant to the objectives and activities of this project	
D	**Intended Results and Causality**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 2**
9	Is there a clearly presented		**YES**	It is clearly presented, but incomplete	

	Theory of Change?			
10	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the lograme or the TOC?		**NO**	The ToC misses key elements, including its impact drivers and assumptions. Also, the project document describes a "three-level capacity approach", with activities and processes at local/national, regional and global levels, but it does not provide a clear description of the relationships between these three levels, of the manner in which work and outputs at one level will feed into the processes at another level, and how the sum of these efforts will produced desired outcomes and impacts
11	Are impact drivers and assumptions clearly described for each key causal pathway?		**NO**	See above
12	Are the roles of key actors and stakeholders clearly described for each key causal pathway?		**NO**	
13	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		**YES**	They are realistic because they are somewhat vague, e.g. it is realistic to expect "enhanced capacity and knowledge", and how did the project expect to measure this "enhancement"?
E	**Logical Framework and Monitoring**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)* **Section Rating: 3**
14	Does the logical framework	i)Capture the key elements of the Theory of Change/ intervention logic for the project?	**YES**	To the extent that the logframe captures the elements of the project document's ToC, but keeping in mind the weaknesses of the ToC mentioned above
		ii)Have 'SMART' indicators for outputs?	**YES**	The indicators at output level are 'SMART' and adequate
		ii)Have 'SMART' indicators for outcomes?	**NO**	The indicators at outcome level are inadequate, they would not allow for any measurement of outcome, in a sense they repeat the indicators at output level
15	Is there baseline information in relation to key performance indicators?		**NO**	The evaluation also has assess the extent to which baseline data related to the project sites / pilot countries was gathered, otherwise the measurement of impact on resilience building would not be possible
16	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		**YES**	
17	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?		**NO**	The monitoring plan is very weak and primarily concerned with reporting and monitoring of the delivery of outputs
18	Have responsibilities for monitoring activities been made clear?		**NO**	See above
19	Has a budget been allocated for monitoring project progress?		**NO**	
20	Is the workplan clear, adequate and realistic? *(eg. Adequate time between capacity building and take up etc)*		**YES**	
F	**Governance and Supervision Arrangements**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and* **Section Rating: 5**

			drivers, methods and approaches, key respondents etc)	
21	Is the project governance and supervision model comprehensive, clear and appropriate? *(Steering Committee, partner consultations etc.)*	**YES**		
22	Are roles and responsibilities within UNEP clearly defined?	**YES**	This project as designed required the involvement of several UNEP units at HQ and in the two regions. While the roles and responsibilities are clear, the relationships between these units and the manner in which these relations were expected to work should have been described. This is a question that the evaluation will examine	
G	**Partnerships**	**YES/NO**	**Comments/Implications for the evaluation design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)**	**Section Rating: 1**
23	Have the capacities of partners been adequately assessed?	**NO**	There is no evidence that this assessment has been done	
24	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	**NO**	A large number of potential partners are named, but without a specification of their roles and without an assessment of their capacity to play that role	
H	**Learning, Communication and Outreach**	**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 4**
25	Does the project have a clear and adequate knowledge management approach?	**NO**	There are several knowledge management activities and instruments mentioned in the project document, but the document lacks a description of a comprehensive approach that would contribute strategically and optimally to the delivery of the outcomes	
26	Has the project identified appropriate methods for communication with key stakeholders during the project life? If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?	**YES**	The document mentions existing networks and processes that would have been used in dissemination and communication	
27	Are plans in place for dissemination of results and lesson sharing at the end of the project? *If yes, do they build on an analysis of existing communication channels and networks?*	**YES**	Because dissemination of results is a key element of the project, it is expected to be *de facto* in place at the end of the project. The evaluation will assess the extent to which this was achieved	
I	**Financial Planning / Budgeting**	**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 5**
28	Are there any obvious deficiencies in the budgets / financial planning at design stage? *(coherence of the budget, do figures add up etc.)*	**NO**	This is however a very preliminary response based on the review of documents, and the adequacy of the budget and the financial planning will be assessed in the evaluation	
29	Is the resource mobilization strategy reasonable/realistic?	**YES**	The resource mobilization strategy was simple and realistic (except when dealing with sustainability)	

	(If it is over-ambitious it may undermine the delivery of the project outcomes or if under-ambitious may lead to repeated no cost extensions)			
J	**Efficiency**	**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 5**
30	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	**YES**	This will be verified during the evaluation	
31	Does the project design 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?	**YES**	It will however be necessary for the evaluation to assess the extent to which these pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects have been identified, mobilised and used in the specific	
32	Does the project document refer to any value for money strategies (ie increasing economy, efficiency and/or cost-effectiveness)?	**NO**		
33	Has the project been extended beyond its original end date? *(If yes, explore the reasons for delays and no-cost extensions during the evaluation)*	**NO**		
K	**Risk identification and Social Safeguards**	**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 2**
34	Are risks appropriately identified in both the ToC/logic framework and the risk table? *(If no, include key assumptions in reconstructed TOC)*	**NO and YES**	(It would be useful if this question was broken into two) The risks are not identified in the ToC and in the logframe, but the analysis in the risk table appears quite complete. The evaluation will test the assumptions implied in those risks, as presented in the reconstructed ToC	
35	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? *(consider unintended impacts)*	**NO**	The evaluation will explore the likelihood of these impacts, including any issue potentially associated with the translocation of genetic materials	
36	Does the project have adequate mechanisms to reduce its negative environmental foot-print? *(including in relation to project management)*	**NO**	During the field visit to Grenada, the evaluator will attempt to identify environmental impacts	
L	**Sustainability / Replication and Catalytic Effects**	**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 2**
37	Was there a credible sustainability strategy at design stage?	**NO**	The project document's very short section on sustainability strategy is weak and not convincing, especially for the activities at local and national	

			levels	
38	Does the project design include an appropriate exit strategy?	**NO**	This is not even considered in the project document	
39	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?	**YES**	Scaling-up and replication are at the core of project design, and were-meant to be achieved through the capacity-building activities and the dissemination of tools and knowledge products. The evaluation will assess the links between what was produced in the field and the contents of those products	
40	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?	**NO**	The evaluation will therefore examine the likelihood of sustainability	
M	**Identified Project Design Weaknesses/Gaps**	**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating: 4**
41	Were there any major issues not flagged by PRC?	**NO**	This response is based on the review of documents, and the evaluation may reveal issues that should have been flagged by the PRC	
42	What were the main issues raised by PRC that were not addressed?		The PRC noted that the project document was not sufficiently specific with respect to the approaches, frameworks and tools to be developed. This was a fair comment, which was not adequately addressed in the final version of the project document. The main weakness of the document – which was noted by the PRC – is its lack of specificity with respect to the tools and products to be generated The PRC also noted that some of the activities and methodologies envisaged in the project document were perhaps too ambitious (e.g. twinning, mentoring, policy guidance at regional level), and this is something that this evaluation will examine in some detail	

Financial management components	Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations	HS	Review of documents and interviews with Fund Manager and key personnel in partner governments
Contact/communication between the PM & Division Fund Managers	HS	Interviews with both parties
PM knowledge of the project financials	HS	Same as above
PM responsiveness to financial requests	HS	Interview with Fund Manager, Regional Offices and governments
PM responsiveness to addressing and resolving financial issues	HS	Same as above
Were the following documents provided to the evaluator:		
A. Crystal Report	N	But narrative reports from IMIS provided
B. All relevant project Legal agreements (SSFA, PCA, ICA) if requested	Y	
C. Associated Financial reports for legal agreements (where applicable)	NA	NA — No specific financial reports as all agreements internal with financial data entered in IMIS then UMOJA
D. Copies of any completed audits	NA	NA — No audits done
Availability of project legal agreements and financial reports	S	
Timeliness of project financial reports and audits	S	Interviews with Fund Manager and other personnel
Quality of project financial reports and audits	HS	Rating for reports, considering that NA for audits
PM knowledge of partner financial expenditure		Unable to assess
Overall rating	S	

Project Costs

Component as per budget	Estimated cost at design	Actual cost	Expenditure ratio (actual/planned)
Personnel	854,633	913,608	34.18/40.58
Sub-contracts	1,144,148	1,146,793	45.76/50.95
Training	78,012	---	3.12/0
Other	277,256	60,729	11.09/2.70
Sub-total	2,354,049	2,121,130	
Project support cost	145,951	129,393	5.85/5.75
Grand total	2,500,000	2,250,523	

Co-financing

See paragraph 64 in the body of this report for the information available on co-financing.

ANNEX VIII. BRIEF CV OF THE CONSULTANT

Yves Renard currently works as an independent consultant in sustainable development policy and participatory natural resource management (programme evaluation, policy analysis, facilitation of policy formulation and participatory training exercises, and review and development processes within organisations involved in resource management and sustainable development). He has a particular interest and extensive experience in linking natural resource governance, poverty reduction and social development, and in the design of institutions that foster participation and empowerment. Between 1992 and 2001, Yves Renard served as Executive Director of the Caribbean Natural Resources Institute (CANARI), a non-governmental organisation that works to foster the development and adoption of policies and programmes in support of increased participation and collaboration in natural resource management.

Since 2002, Yves Renard has been involved in a range of activities, including: the facilitation of poverty reduction, social policy, land policy and environmental policy processes in several Caribbean countries: scoping studies for programme design and investment strategies in the Caribbean and East Africa; the coordination of research projects on poverty and the environment, sustainable tourism and participatory governance; the conduct of several project evaluations at national and local levels (e.g. Botswana, Grenada, Guinea-Bissau, Mauritania, Rwanda, Saint Lucia) and the evaluation of regional programmes and institutions in Europe, West Africa and Oceania; and the design and conduct of training programmes, institutional audits and reviews on behalf of local, national and international organisations.

Yves Renard has served and continues to serve on the governing bodies of a number of international, national and community-based organisations. He has edited books and published guidelines, articles, papers and reports on natural resource management, sustainable development, culture, and community development.

ANNEX IX. QUALITY ASSESSMENT OF THE EVALUATION REPORT

All UN Environment 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)	Draft report: Executive summary was not provided for the zero draft. Final report: The Executive Summary lists the key findings as bullets, but could have benefitted from inclusion of a brief introduction to the project and a narrative-form of presentation.	N/A	MS
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: The context of the two project countries could be explained in more detail. The project description is well presented although more detail could be provided in regards project target groups and project financing section could focus more strongly on the plan instead of already presenting evaluation findings. Final report: The project context and description are well presented.	MS	HS
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: The report provides a well-reasoned and evidence-based assessment of project relevance. Final report: Same as above.	S	S
D. **Achievement of outputs**: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Achievement of outputs has been well discussed. Some restructuring of the section could be done. Final report: Achievement of outputs has been well discussed.	S	S
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: The ToC could more explicitly describe the progress from the pilot projects towards impact. Final report: Same as above.	MS	MS
F. **Effectiveness - Attainment of project objectives and results**: Does the report present a well-reasoned, complete and evidence-	Draft report: Effectiveness has been well discussed, but the section should be restructured. Some small clarifications are requested.	MS	S

	based assessment of the achievement of the relevant outcomes and project objectives?	Final report: Effectiveness has been well discussed.		
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: The section should be restructured according to the sub-criteria. Some clarifications under each of the sub-criteria are needed. Replication / catalytic role should be briefly discussed also. Final report: Sustainability and replication have been well discussed.	MS	S
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: Efficiency has been adequately discussed, but timeliness could be assessed in more detail. Final report: Efficiency has been adequately discussed.	MS	MS
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: The section should be restructured to more closely follow the ToR. Most of the required information is presented, but clarifications are required e.g. in regards M&E and Financial management. Final report: Factors affecting performance have been well discussed.	MS	S
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: The section could more clearly respond to the key evaluation questions presented in the ToR. However, in general the conclusions are well presented. Final report: Conclusions are written as an interesting narrative that highlights the main strengths and weaknesses of the project.	MS	S
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: In cases, recommendations are outside the scope of the project and not implementable. They should be formulated to be more specific. Final report: Recommendations are based on evaluation findings and specify actions necessary to correct existing conditions and operations.	MU	S
L.	**Quality and utility of the lessons**: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: The number of lessons could be reduced to only focus on the most important ones. In cases, important findings are coming out from the lessons that are not yet reflected in the main body of the report. Final report: Lessons are based on evaluation findings. In places, the prescriptive action could be more clearly presented.	MS	MS
Report structure quality criteria				
M.	**Structure and clarity of the report**: Does the report structure follow EOU guidelines? Are all	Draft report: The structure should more closely follow the EOU guidelines.	MS	HS

	requested Annexes included?	Final report: The report follows Evaluation Office guidelines.		
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: The evaluation methods and information sources have been adequately described. Final report: Same as above.	MS	MS
O.	**Quality of writing**: Was the report well written? (clear English language and grammar)	Draft report: The report was well written. Final report: Same as above.	S	S
P.	**Report formatting**: Does the report follow EOU guidelines using headings, numbered paragraphs etc.	Draft report: The report was well formatted. Final report: The formatting followed Evaluation Office guidelines.	S	HS
OVERALL REPORT QUALITY RATING			MS	S

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 EOU? Was inception report delivered and approved prior to commencing any travel?	Evaluation budget was agreed and approved by the Evaluation Office. Inception report was approved prior to travels.	HS
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?	The TE was initiated within the required period.	HS
S.	**Project's support:** Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	The evaluation experienced difficulties in receiving information, stakeholders being available for interviews and providing timely feedback on draft report. Good support was provided during the evaluation mission.	MU
T.	**Recommendations:** Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Implementation plan was prepared and recommendations were communicated to the project.	S
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 EOU complete an assessment of the quality of the final report?	Evaluation was peer reviewed and a quality assessment of draft and final report were completed.	HS
V.	**Transparency:** Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EOU? Were all comments to the draft	ToR and deliverables were provided to stakeholders for comments and all comments with evaluator's responses and revised drafts were provided to the project team and the commentators.	HS

	evaluation report sent directly to the EOU and did EOU share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?		
W.	**Participatory approach:** Was close communication to the EOU and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Communication was challenged in regards slow responses and unavailability of stakeholders. Findings, lessons and recommendations were provided but not actively discussed.	MS
X.	**Independence:** Was the final selection of the evaluator(s) made by EOU? Were possible conflicts of interest of the selected evaluator(s) appraised?	Selection of the evaluator was made by the Evaluation Office. There were no conflicts of interest.	HS
		OVERALL PROCESS RATING	S

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.