

**GLOBAL ENVIRONMENT FACILITY
UNITED NATIONS DEVELOPMENT PROGRAMME
SECRETARIAT OF THE PACIFIC REGIONAL ENVIRONMENT PROGRAMME**

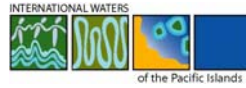
THE INTERNATIONAL WATERS PROJECT
IMPLEMENTING THE STRATEGIC ACTION PROGRAMME (SAP) FOR THE
INTERNATIONAL WATERS OF THE PACIFIC SMALL ISLAND DEVELOPING STATES

**FOURTH MULTIPARTITE REVIEW
[Apia, Samoa]
11-12 August 2005**

**Sixth National Coordinator's Meeting
4-6 July 2005**

Agenda Item 6

**Working Paper 6c
Terminal Evaluation**



CALL FOR EXPRESIONS OF INTEREST
DRAFT (6 June 2005)
To Undertake
A
Terminal Evaluation of the UNDP/GEF's
International Waters Project
that is implementing the
Strategic Action Programme for the International Waters of the
Pacific Small Island Developing States
RAS/98/G32

I. Introduction:

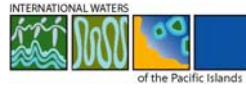
The International Waters Project (IWP) that is implementing the Strategic Action Programme (SAP) for the International Waters of the Pacific Small Island Developing States was originally a 5-year initiative of 14 independent Pacific Island States¹. It is implemented by the United Nations Development Programme (UNDP) and executed by the Secretariat of the Pacific Regional Environment Programme (SPREP). The Project Document was signed by UNDP and SPREP in February 2000. Actual execution did not commence until July 2000 when the Programme was activated at SPREP. Delayed implementation resulted in approval to extend the timeframe for the GEF/SAP to seven years with a new scheduled completion date of December 2006.

The IWP is designed to support actions to address the root causes of degradation of the international waters of the Pacific Islands region. The Project supported actions carried out under the auspices of two complementary, linked consultative programs: Integrated Coastal and Watershed Management (ICWM) and Oceanic Fisheries Management (OFM). This Terminal Evaluation (TE) is confined to the ICWM component of the Project. It is being commissioned by UNDP/GEF (the Implementing Agency) and SPREP (the Executing Agency).

The ICWM Component of the Project was designed to “address root causes of the degradation of international waters in coastal regions”. It was to do this through “improved integrated coastal and watershed management”. This was to be achieved through action at the community level to address priority environmental concerns within participating countries relating to:

- marine and freshwater quality;
- habitat and community modification and degradation; and
- unsustainable use of living marine resources.

¹ The 14 Pacific Island States that qualify for GEF support are: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.



To address these concerns the ICWM component of the Project was designed to focus on the underlying economic and social factors affecting resource use. It was to support pilot or demonstration projects and activities in each participating country. Drawing on natural resource economics and social science (particularly community participation and anthropological issues), the coastal component was designed to work with communities to identify why actions are occurring that harm environmental quality. Recognizing that environmental threats cannot be addressed through community-level action alone the Project also sort to engage district and national level administrations to pilot activity relating to policy, legislation and institutional arrangements. At all levels the Project was to partner local stakeholders in an effort to address the root cause(s) of environmental concerns. Community participation at all stages in the project cycle was a central element of pilot activity.

Together with relevant scientific information, the ICWM Component was designed to develop an integrated approach to solving environmental problems. Pilot action was to strengthen capacity and provide lessons for best practice and appropriate methodologies for sustainable resource management and conservation. To support this the Project required a strong communications element. Communication was to feature significantly in publicizing to other development/environmental agencies the outcomes of the pilot action and the lessons learnt in the component overall.

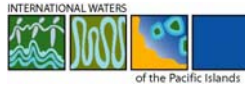
The Project was designed to promote partnerships with other development assistance agencies who were/are active in the region. The objective in this respect is to plan and coordinate regional and national development assistance for international waters to address imminent threats and their root causes more effectively. The Project was designed to provide a framework for overall national and regional planning and assistance for the management of international waters and provide a catalyst for leveraging the participation of other donors in Project-related activities at the regional or national level.

A Project Coordination Unit (PCU) based at SPREP administered the Project.

II. Objective and Purpose of the Terminal Evaluation

Guidelines for the TE of UNDP/GEF projects are available at: http://www.undp.org/gef/undp-gef_publications/undp-gef_publications.html

The Monitoring and Evaluation (M&E) policy at the project level in UNDP/GEF has four objectives: i) to monitor and evaluate results and impacts; ii) to provide a basis for decision making on necessary amendments and improvements; iii) to promote accountability for resource use; and iii) to document, provide feedback on, and disseminate lessons learned. A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project – e.g. periodic monitoring of indicators -, or as specific time-bound exercises such as mid-term reviews, audit reports and independent evaluations.



In accordance with UNDP/GEF M&E policies and procedures, all regular and medium-size projects supported by the GEF should undergo a final evaluation upon completion of implementation². In addition to providing an independent in-depth review of implementation progress, this type of Evaluation is responsive to GEF Council decisions on transparency and better access of information during implementation.

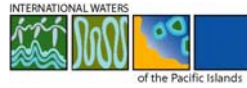
The overall objective of this TE is to review progress towards the project's objectives and outcomes, assess the efficiency and cost-effectiveness of how the project has moved towards its objectives and outcomes, identify strengths and weaknesses in project design and implementation, and provide recommendations on design modifications that could have increased the likelihood of success, and on specific actions that might be taken into consideration in designing future projects of a related nature.

In pursuit of the overall objectives, the following key issues will be addressed during the TE of the ICWM Component of the IWP³:

- Assess the extent to which the ICWM Component achieved the IWP's regional and global environmental objectives as described in GEF operational focal areas 8 and 9;
- Assess the effectiveness with which the IWP addressed the root causes and imminent threats identified by the SAP as giving rise to the concern about the degradation of water quality, degradation of associated critical habitats and the unsustainable use of coastal resources in the Pacific Islands region;
- Assess the extent to which the planned objectives and outputs of the IWP were achieved;
- Describe the IWP's adaptive management processes – how did project activities change in response to new conditions encountered during implementation, and were the changes appropriate?
- Review the clarity of roles and responsibilities of the various institutional arrangements for IWP implementation and the level of coordination between relevant players;
- Review any partnership arrangements with other stakeholders and comment on their strengths and weaknesses;
- Assess the level of public involvement in the IWP and recommend whether public involvement was appropriate to the goals of the Project;

² The TE for this Project is scheduled 6 to 9 months prior to its formal conclusion. This has been done so that the Evaluators have access to all those that who been involved in its implementation.

³ Further guidance concerning the scope, objectives and format for Tes for UNDP/GEF projects is available at: http://www.undp.org/gef/undp-gef_publications/undp-gef_publications.html particularly Annexes VII and VIII.

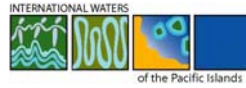


- Describe and assess efforts of UNDP and SPREP in support of the implementation of the ICWM Component of the IWP;
- Review and evaluate the extent to which IWP impacts have reached the intended beneficiaries;
- Assess the likelihood of continuation and sustainability of project outcomes and benefits after completion of the ICWM Component of the IWP;
- Describe key factors that will require attention in order to improve prospects for sustainability of IWP outcomes and the potential for replication of the approach;
- Assess whether the Logical Framework approach and performance indicators have been used as effective IWP management tools;
- Review the implementation of the IWP's monitoring and evaluation plans;
- Review the knowledge management processes of the Project, including the use of IW:LEARN;
- Describe the main lessons that have emerged in terms of:
 - country ownership/drivenness;
 - regional cooperation and inter-governmental cooperation;
 - stakeholder participation;
 - adaptive management processes;
 - efforts to secure sustainability; and
 - the role of M&E in project implementation.
- In describing all lessons learned, an explicit distinction needs to be made between those lessons applicable only to this Project, and lessons that may be of value more broadly, including to other, similar projects in the UNDP/GEF pipeline and portfolio.

The Report of the TE will be a stand-alone document, not exceeding 50 pages, that substantiates its recommendations and conclusions.

The Report will be targeted at meeting the Evaluation needs of all key stakeholders (GEF, UNDP, other GEF implementing agencies, SPREP and stakeholders in Participating Countries).

III. Scope



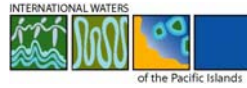
Three main ICWM Component IWP elements to be evaluated include Delivery, Implementation and Finances. Each component will be evaluated using three criteria: effectiveness, efficiency and timeliness.

Project Delivery

The TE will assess to what extent the IWP has achieved its immediate objectives? It will also identify what outputs have been produced and how they have enabled the SAP to achieve its objectives?

The section will include an assessment of the following priority areas:

1. Institutional arrangements
 - Strategic planning, preparatory work and implementation strategies,
 - Consultative processes,
 - Technical support,
 - Capacity building initiatives,
 - Project outputs,
 - Assumptions and risks, and
 - Project-related complementary activities.
2. Outcomes:
 - Efficiency of IWP activities,
 - Progress in the achievement of immediate objectives (level of indicator achievements when available), and
 - Quality of IWP activities
3. Partnerships
 - Assessment of regional collaboration between governments, intergovernmental and non-governmental organizations,
 - Assessment of national-level involvement and perceptions
 - Assessment of local partnerships, and
 - Involvement of other stakeholders
4. Risk Management:
 - Were problems/ constraints, which impacted on the successful delivery of the IWP identified at project design?
 - Were there new threats/risks to project success that emerged during project implementation?
 - Were both kinds of risk appropriately dealt with?
 - Are they likely to be repeated in future phases?
5. Monitoring and evaluation:

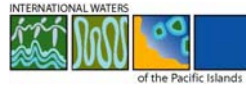


- Assess the extent, appropriateness and effectiveness of adaptive management in project implementation
- Has there been a monitoring and evaluation framework for the IWP?
- Is the reporting framework effective/appropriate?
- Has M&E been used as a management tool in directing project implementation in a timely manner?
- Is this framework suitable for replication/ continuation for any future Project support?

Project Implementation

Review the IWP's management structure and implementation arrangements at all levels, in order to provide an opinion on its efficiency and cost-effectiveness. This includes:

1. Processes and administration:
 - Project-related administration procedures,
 - Milestones;
 - Key decisions and outputs;
 - Major Project implementation documents prepared with an indication of how the documents and reports have been useful, and
 - Processes to support national components of the Project.
2. Project oversight:
 - GEF
 - UNDP
 - SPREP
 - Participating country mechanisms
3. Project execution:
 - SPREP as the Executing Agency (under the UNDP National Execution (NEX) modality)
 - The PCU
 - National functions.
4. Project implementation:
 - UNDP as the Implementing Agency
5. Comparative assessment
 - Compare the IWP's overview (GEF/UNDP), execution (SPREP) and implementation (PCU, National Lead Agencies, National Coordinators, etc) elements of the Project with similar regional natural resource management programmes in the Pacific and elsewhere. Provide an opinion on the appropriateness and relevance of the structure and recommend alternatives (if required) for future consideration.



Project Finances

How well and cost-effective did financial arrangements of the IWP worked? This section will focus on the following three priority areas:

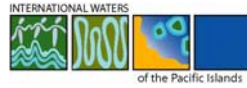
1. Project disbursements. Specifically:
 - Provide an overview of actual spending vs. budget expectations
 - With appropriate explanation and background provide a breakdown of the ratio of funds spent “directly” in-country against total funds spent
 - With appropriate explanation and background provide a breakdown of the ratio of funds spent “indirectly” in-country (i.e. external consultants and regional training) against total funds spent, and
 - Critically analyse disbursements to determine if funds have been applied effectively and efficiently.
2. Budget procedures
 - Did the Project Document provide enough guidance on how to allocate the budget?
 - Review of audits and any issues raised in audits; and subsequent adjustments to accommodate audit recommendations;
 - Review the changes to fund allocations as a result of budget revisions and provide an opinion on the appropriateness and relevance of such revisions, taking into account the increased duration of the IWP.
3. Coordinating mechanisms
 - Evaluate appropriateness and efficiency of coordinating mechanisms between national agencies, SPREP (including internal coordination), UNDP and the GEF.
 - Does the IWP approach represent an effective means of achieving the objective of the ICWM Component of the IWP? How can the approach be improved?

IV. Methodology

The TE will be undertaken through a combination of processes including desk research, visits to selected participating countries, questionnaires and interviews - involving all stakeholders, including (but not restricted to): UNDP (Apia), GEF, SPREP, participating Governments, National NGOs, communities, resource users and local governments.

The methodology for the study is envisaged to cover the following areas:

- Desk study review of all relevant IWP documentation;
- Apia-based consultations with UNDP, SPREP and the PCU;
- Visits to as many participating countries as feasible within budgetary and timeframe constraints, and



- Possible participation in the final Multipartite Review of the Project tentatively scheduled for August 2006.

V. Products

The main product of the Evaluation will be:

- A Terminal Evaluation Report based on the general format outline at Annex 1.

Terminal Evaluation Report:

The Terminal Evaluation report will include: i) an Executive Summary of the findings and conclusions in relation to the issues to be addressed identified under sections II and III of this TOR; ii) assessment of gaps and/or additional measures needed that might justify future GEF investment in the Pacific Islands region, iii) guidance for future investments (mechanisms, scale, themes, location, etc), and iv) a summary of lessons learned from the Project.

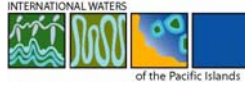
The Evaluation Report will be written in the format outlined in Annex 1. It will be submitted to UNDP and SPREP by 31st August 2006. The final report will be formally presented to the 2006 Annual Meeting of SPREP in September 2006. It will also be forwarded to the GEF for review and extraction of broadly applicable lessons by the Independent M&E Unit.

The reviewers will provide UNDP and SPREP with an electronic copy of the final reports at the time of their submission.

Reviewer Attributes:

Team Leader and UNDP/GEF M&E Specialist:

- Academic and/or professional background in institutional aspects of ICWM. A minimum of 15 years relevant experience;
- An understanding of GEF principles and expected impacts in terms of global benefits;
- Detailed knowledge of the international sustainable development agenda, with particular emphasis on regional priorities of the Pacific SIDS. Knowledge of Pacific regional and participating country national institutions, structures, processes, priorities and operations;
- Experience in the monitoring and evaluation of technical assistance projects, preferably with UNDP or other United Nations development agencies and major donors;
- Experience in the monitoring and evaluation of GEF-funded international waters and/or biodiversity conservation projects;
- Demonstrated experience in institutional analysis;
- Excellent English writing and communication skills. Demonstrated ability to assess complex situations in order to succinctly and clearly distill critical issues and draw forward looking conclusions;



- Experience leading multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations;
- Proven capacity in working across the levels of institutions from policy, to legislation, regulation, and organisations;
- An ability to assess institutional capacity and incentives, and
- Excellent facilitation skills

Resource Specialist

- Academic and professional background in community-based resource management and conservation with demonstrated practical experience in participatory processes and socio-economics – preferably in Pacific Island environments;
- An understanding of GEF principles and expected impacts in terms of global benefits;
- A minimum of 15 years relevant work experience;
- Experience in implementation or evaluation of technical assistance projects;
- an understanding of UNDP and SPREP activities and operational procedures in the Pacific Islands region;
- Skills and experience in ICWM-related processes and projects;
- Excellent English writing and communication skills, and
- Excellent facilitation skills

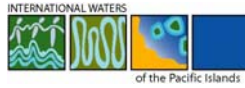
Communication Specialist

- Academic and professional background in resource management and conservation, community-based communications and social marketing;
- An understanding of GEF principles and expected impacts in terms of global benefits;
- A minimum of 15 years relevant work experience;
- Experience in implementation or evaluation of technical assistance projects;
- an understanding of UNDP and SPREP activities and operational procedures in the Pacific Islands region;
- Skills and experience in ICWM-related processes and projects;
- Excellent English writing and communication skills, and
- Excellent facilitation skills

At least one of the Reviewers will be a Pacific Island national.

VI. Tentative Schedule

| | |
|------------------|-----------------------------------|
| January 2006 | Calls for Expressions of Interest |
| February 28 2006 | Expressions of Interest close |
| April 1 2006 | Selection of Reviewers |
| May 1 2006 | Reviewers commence the Evaluation |



August 31 2006
September 2006

Final Report submitted to UNDP and SPREP
Annual Meeting of SPREP Members

V. Report Submission

The report will be submitted simultaneously to:

Ms Joyce Yu,
Resident Representative,
UNDP,
Private Mail Bag,
Apia,
Samoa
(to the attention of Ms Easter Galuvao easter.galuvao@undp.org).

AND

Mr Asterio Takesy,
Director,
Secretariat of the Pacific Regional Environment Programme,
PO Box 240
Apia
Samoa
(to the attention of Mr Andrew Wright Project Manager, IWP)

Contact to Express Interest

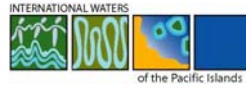
Expressions of interest should be sent to –

Ms Easter Galuvao
UNDP Country Office
Apia
SAMOA

Email: easter.galuvao@undp.org
Fax: +685-23555

Additional Information

Additional information about the project is available at <http://www.sprep.org/iwp> .



Annex I

EVALUATION REPORT: SAMPLE OUTLINE

(Minimum GEF requirements¹ are underlined)

Executive summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

Introduction

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

The project(s) and its development context

- Project start and its duration
- Problems that the project seek to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

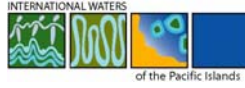
Findings and Conclusions

- Project formulation
- Implementation
- Stakeholder participation
- Replication approach
- Cost-effectiveness
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Indicators

- Implementation
- Delivery
- Financial Management
- Monitoring and evaluation
- Execution and implementation modalities
- Management by the UNDP country office and other partners
- Coordination and operational issues

- Results
- Attainment of objectives
- Sustainability

¹ Please refer to GEF guidelines for explanation of Terminology



- Contribution to upgrading skills of the national staff

Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation for consideration in future projects
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

Lessons learned

- Best and worst practices in addressing issues relating to relevance, performance and success

Annexes

- TOR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Questionnaire used and summary of results