



United Nations Environment Programme



Terminal Evaluation of UNEP/GEF Project (GF/1040-06-01 [4905]) “Knowledgebase for Lessons Learned and Best Practice in the Management of Coral Reefs” GEF Id 2856

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Cover Photos (clockwise from top left):

Anthias spp. schooling over healthy reef in Puerto Galera, Oriental Mindoro, Philippines

Octopus (*Octopus* sp.) off Ticao Island, Masbate, Philippines

Clownfish (*Amphiprion percula*) in Busuanga, Palawan, Philippines

Lionfish (*Pterois* sp.) on the reef at Puerto Galera, Oriental Mindoro, Philippines

(all photos by James T. Berdach)

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1 Executive Summary

1.1 Introduction

1. This TERMINAL EVALUATION (TE) report presents an analysis of the performance, outputs, outcomes, and impacts of the Project, “Knowledgebase for Lessons Learned and Best Practice in the Management of Coral Reefs.” The project received funding from the Global Environment Facility (GEF), and had as the GEF Agencies the United Nations Environment Programme (UNEP) in collaboration with the United Nations Development Programme (UNDP) and the World Bank. The WorldFish Center served as the Executing Agency. The project had a total budget of US\$1,889,000, with a GEF allocation of US\$940,000, and a co-financing contribution of US\$949,000 from the WorldFish Center, ICRAN, and other collaborating NGOs.

2. The project sought to formalize the experiences, outcomes and lessons learned from previous GEF projects, as well as major non-GEF initiatives involving coral reefs and associated ecosystems, and translate these lessons and experiences into best practices and information materials for distribution and use in future project design and development.

1.2 Scope, Objectives and Methods

1.2.1 Scope and Objectives

3. The objective of this TE is to examine the extent and magnitude of any project impacts to date, and to determine the likelihood of future impacts. The evaluation also assesses project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation focuses on the following main questions:

- **How successful has the project been in identifying, analyzing and translating lessons into good practice and information resources and in the dissemination of information globally for use in future project development?**
- **Has the capacity of multilateral country institutions to develop and implement effective and efficient coral reef projects been enhanced?**
- **Has a virtual peer network of coral reef management professionals and stakeholders been established, and is it used actively?**

1.2.2 Methods

4. This TE was conducted as an in-depth analysis using a participatory mixed-methods approach, including (i) a desk review of comprehensive project documents; and (ii) interviews with project management and technical support personnel; intended users for the project outputs and other stakeholders involved with the project; and relevant staff in UNEP/GEF.

5. The completed evaluation activities have included: (i) a comprehensive review of project documents for the desk study; (ii) discussions with the UNEP Evaluation Office (Nairobi) to clarify the purposes and methodology for the study; and (iii) communications with the UNEP project Task Manager, and the Project Manager from WorldFish Center. In addition, questionnaires were sent to over seventy persons who were recorded as having prior knowledge of or exposure to the project. Response rates to the questionnaires were quite low. Nonetheless, several key issues were identified in the survey responses, and further helpful information was obtained in the course of several other personal interviews with coral reef management practitioners and project

designers. The survey and interview processes formed an important complement to the desk study and provided validation of the observations made based on the desk study.

1.3 Results of the Terminal Evaluation

6. Based on the work that was undertaken, key results and findings of the TE are as follows:

(i) Formalizing the experiences, outputs, and lessons learned from GEF- and non-GEF projects for coral reef management, and translating them into best practices and information resources, is an important undertaking that can add significant value to past investments in this area. However, it is difficult to achieve the desired results and impacts, especially on a global scale, within short timeframes.

(ii) Inconsistencies in the statement of the project's goal, objectives, and outcomes in different sections of the Project Document, particularly in the Logical Framework, complicated the verification and measurement of the level of achievement of these targets. These inconsistencies and anomalies in the framework of the project are presented in greater detail in the main TE report.

(iii) Overall, the project was rated **Moderately Satisfactory (MS)**.

7. The breakdown of evaluation findings according to the prescribed evaluation parameters was as follows:

- a) **Attainment of Objectives and Planned Results:** While project objectives and outcomes were generally achieved, it is not yet possible to provide a conclusive statement about the project's impacts. There are still key requirements like socio-political support and local funding, enabling mechanisms, and institutional structures that need to be met. While foundations are laid out to meet these requirements, there is still no solid assurance that these assumptions can be met because they are generally beyond the control of the project.
- b) **Sustainability:** Project sustainability was considered **Moderately Likely (ML)**. Much-needed financial support is available (through international sources) to continue the dissemination of project results, and institutional structures are in place to sustain the projects achievements, but other dimensions of sustainability (i.e., socio-political support and availability of counterpart local funding) are deficient.
- c) **Achievement of Outputs and Activities:** A **Satisfactory (S)** rating was given for this criterion. The targets outputs and activities were generally achieved and delivered within the expected timeframe. A network of coral reef professionals was established (with membership higher than the target). Toolkits, checklists, guidelines and other information materials produced by the project are continuously being disseminated, although trials are limited to few sites only.
- d) **Catalytic Role and Replication:** The project was successful in producing the target outputs (policy briefs, toolkit and checklist) that are expected to provide tools in charting the proper (if not new) directions and strategies for existing coral reef management projects. However, in large part these outputs are devoid of practical prescriptions or "easy-to-apply" methodologies. They are merely "motherhood statements" of points to consider in implementing coral reef projects. Except for some trials and pilot-testing, there are no clear reports to prove that these outputs were able to introduce change or craft new management schemes or direction in implementing coral reef projects.

The Project's Terminal Report claimed that trial implementation (replication) of the project's lessons learned and best practices was undertaken in selected ICRAN sites and in GEF and non-GEF projects. Foremost of these was the USAID-funded FISH project in the Philippines, which involved training of stakeholders (at national, provincial, municipal and barangay

[village] level), local fishers, tourism operators, etc. In addition to the FISH project, implementation and dissemination of project outputs were achieved through training sessions, dissemination of project products through workshops, Coral-L list server and websites. While intentions were signified and commitments given by several institutions and funding agencies to utilize the project's outputs in future design and implementation of coral reef projects, no specific report is available stating whether these commitments were fulfilled or not, and whether the lessons learned and best practices were actually applied and resulted in positive impacts on coral reef protection and conservation. Thus the project was considered **Moderately Satisfactory (MS)** in achieving a catalytic role and replication.

- e) **Stakeholder Participation / Public Awareness:** The mechanisms (website, network, publications, workshops, meeting, for a, etc.) for making the public aware of the project outputs were appropriate and successfully put in place. Results of surveys show a generally positive response toward the project's outputs. However, the problem lies in convincing a good number of partners to try and apply the project's outputs. This criterion was rated as **Moderately Satisfactory (MS)**.
- f) **Country Ownership / Driven-ness:** It is not possible to conclusively say that the project made a significant contribution toward strengthening country-level efforts to sustainably manage coral reef areas, due to the relatively few countries that utilized and pilot-tested the project's outputs. However through the project's training and awareness-raising activities, it is assumed that at least some strengthening was achieved. This criterion is given a **Moderately Satisfactory (MS)** rating.
- g) **Preparation and Readiness:** Delays were encountered in project implementation, and it was necessary to make revisions and adjustments in the work and financial plan. There were some deficiencies in project management early in the project that were later corrected. Also, it seems that no clear provision was made for counterpart support at the local level. These factors affected the preparedness and readiness of the project, resulting in a rating of **Moderately Unsatisfactory (MU)** being given for this criterion.
- h) **Monitoring and Evaluation (M&E):** It is stated in the project documents that, by design, the M&E system for this project is not typical. Nonetheless, regular monitoring of project implementation was undertaken, utilizing the OVIs in the logical framework as a basis. Focus of the M&E was at the outcome and activity levels. The M&E plan was assessed to be vague; the Key Performance Indicators (KPIs) assigned for each outcome were very broad, and different from the Objectively Verifiable Indicators (OVIs). In implementing the M&E plan, the KPIs were not utilized. No Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) was completed. In addition, there was no risk mitigation plan implemented. Finally, while funds were set aside for evaluation (e.g., including allocations for a Midterm Review and Midterm Evaluation), funds were not used for this purpose until the very end of the project (for the Terminal Evaluation). Contradictory reports are found in the project files concerning budget allotment for expenses associated with various data collection activities. The rating given for M&E is **Moderately Unsatisfactory (MU)**.
- i) **Implementation Approach:** Activities were successfully completed on time, and the project proved to be resilient in making necessary adjustments to cope with unexpected setbacks. A **Satisfactory (S)** rating is given for this criterion.
- j) **Financial Planning:** The project was able to procure cofinancing from the United States National Oceanic and Atmospheric Administration (NOAA) and project partners in the Philippines. Additional in-kind contributions from the International Coral Reef Assistance Network (ICRAN) provided further leveraging. However, disbursement reports were inadequate. This element is given an overall rating of **Moderately Satisfactory (MS)**.

- k) **UNEP Supervision and Backstopping:** Supervision from UNEP helped to ensure effective management and implementation. This element is rated **Satisfactory (S)**.

1.4 Lessons learned

- a) While websites provide a convenient means for disseminating information, they are a passive tool, and need to be backed up by more active efforts to develop greater visibility and “name recognition” among stakeholders. This could include awareness campaigns, workshops and seminars. Such supporting efforts will help to promote greater sustainability and effectiveness of project products.
- b) Many of the outputs or outcomes were stated in generic terms. Instead, the target outcome and desired impacts should have been designed and defined to be (i) achievable within a reasonable and specified timeframe (for example, within five years of project completion); (ii) measurable; and (preferably) (iii) quantifiable. Thus, the criteria or indicators for measuring impacts should be clearly expounded in the project document. These criteria and indicators must be consistent throughout the document, and between the document itself and the project logical framework.
- c) While people can be made aware of a particular coral reef management strategy, it does not necessarily follow that awareness alone will automatically lead them to utilize it in practice. The diffusion and uptake of knowledge takes time. This process is promoted by reinforcement and repetition, which was somewhat lacking in the project. Also, criteria for identifying those coral reef management initiatives that demonstrated “uptake” and application of the project’s lessons, toolkits and other outputs, should have been applied at the early stage of project implementation. This would have facilitated faster verification of project results and impacts.
- d) While it is acknowledged that there are no “project sites” *per se*, to better validate project evaluation findings, funds should have been allocated to conduct visits and interviews during the terminal evaluation, to sites where the project’s products were actually applied. Such site visits and more in-depth interviews could identify results achieved on the ground; better inform the process of impact evaluation; and expose project weaknesses. This could contribute significantly to improvements in the planning and design of future projects.

1.5 Recommendations

- a) In order to adequately determine the impacts of the project, GEF should consider an extension or sequel project. This project would in theory track trends relating to the changes or improvements in the design, implementation, and management of coral reef and related projects.
- b) The formatting of knowledge products needs to be optimized so that information can be accessed in the most efficient and time-saving manner possible. Also, knowledge products need to be supported by the inclusion of guidelines on how to best use and apply them. It is hoped that WorldFish and other custodians of the knowledgebase products could make such improvements in the future.
- c) Counterpart support (whether through cash or in-kind contributions) should be made a mandatory feature for partnership agreements where building the capacity of local partners is a major objective. GEF should consider requiring this type of support in projects, especially at the local level, since it serves to solidify commitments and participation.

2 Introduction and Background

1. This report presents the TERMINAL EVALUATION (TE) of the Project, “Knowledgebase for Lessons Learned and Best Practice in the Management of Coral Reefs.”¹ The project received funding from the Global Environment Facility (GEF), and had as the GEF Agencies the United Nations Environment Programme (UNEP), in collaboration with the United Nations Development Programme (UNDP) and the World Bank. The WorldFish Center served as the Executing Agency. The project had a total budget of US\$1,889,000, with a GEF allocation of US\$940,000, and a co-financing contribution of US\$949,000 from the WorldFish Center, ICRAN, and other collaborating NGOs.

2. The project (sometimes referred to in this document as the “GEF Knowledgebase-LL Project”) sought to formalize the experiences, outcomes and lessons learned from previous GEF projects, as well as major non-GEF initiatives involving coral reefs and associated ecosystems, and translate these lessons and experiences into best practices and information materials for distribution and use in future project design and development. The project was also expected to help GEF fulfil its mandate to identify best practices and areas in need of improvement, in supporting biodiversity conservation and in achieving a markedly improved return on investment for future projects involving coral reefs and associated ecosystems.

3. Under the GEF’s Biodiversity focal area, the project addressed GEF-3 Strategic Priority 4, “Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues.” The project also had links to the International Waters focal area (especially Strategic Priority IW-2, Targeted Learning) as well as to the Climate Change focal area. Best practices developed by the project with respect to coral reef management are also expected to contribute in advancing GEF-3 Strategic Priorities 1 and 2, i.e., Catalyzing Sustainability of Protected Areas and Mainstreaming Biodiversity in Production Landscapes and Sectors, respectively.

4. The project was implemented over three (3) years, covering the period 01 February 2006 to 31 January 2009.

5. The overall goal of the project was to develop an: “enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently.”

6. Additional outcomes expected from the project were:

- Improved knowledge for the GEF, based on its project portfolio of lessons learned (e.g. successes and failures), to significantly improve its project granting under the above focal areas and strategic priorities for this ecosystem; and
- A virtual peer network of coral reef management professionals and stakeholders that will facilitate the dissemination of information, sharing of experiences and initiation of physical exchanges of personnel and resources between projects.

¹ Project Number UNEP GF/1040-06-01 (4905)

3 Scope, Objectives, and Methods

3.1 Scope and Objectives

7. The objective of this TE was to examine the extent and magnitude of the project's impacts to-date, and to determine the likelihood of future impacts. The TE assessed project performance, implementation of planned project activities, and planned outputs, against actual results.

8. The TE focused on the following questions:

- **How successful has the project been in identifying, analyzing and translating lessons learned into good practices and information resources and in the dissemination of information globally for use in future project development?**
- **Has the capacity of multilateral country institutions to develop and implement effective and efficient coral reef projects been enhanced?**
- **Has a virtual peer network of coral reef management professionals and stakeholders been established, and is it used actively?**

9. The Key Evaluation Principle applied in evaluating the outcomes and impacts of the project was anchored on two simple questions: ***“what happened?”*** and ***“what would have happened anyway?”*** These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project.

10. The performance of the project was rated using the scale below:²

- HS = Highly Satisfactory
- S = Satisfactory
- MS = Moderately Satisfactory
- MU = Moderately Unsatisfactory
- U = Unsatisfactory
- HU = Highly Unsatisfactory

11. In particular, the TE was anchored on assessment of the following eleven evaluation criteria:

- a) Attainment of Objectives and Planned Results
- b) Sustainability
- c) Achievement of Outcomes and Activities
- d) Catalytic Role and Replication
- e) Stakeholder Participation / Public Awareness
- f) Country ownership / Driven-ness
- g) Preparation and Readiness
- h) Assessment Monitoring and Evaluation Systems

² Note: For the sustainability criterion, a slightly different scale was used: L=Likely; ML=Moderately Likely; MU=Moderately Unlikely; U=Unlikely.

- i) Implementation Approach
- j) Financial Planning
- k) UNEP Supervision and Backstopping

12. From this evaluation, lessons and insights on project implementation were drawn. The TE concludes with a list of recommendations on how to encourage wider application and use of project results in order to improve performance in current and future projects on coral reef management and related ecosystems.

3.2 Methods of Evaluation

13. This TE was undertaken over the period from December 2009 to June 2010, and performed by an international consultant team whose fields of expertise include coastal and natural resources management, biodiversity conservation, project management, and monitoring and evaluation. The Terms of Reference for the evaluation are presented in Annex 1. The qualifications of the evaluation team are presented in Annex 2.³

14. The TE employed two main methodologies:

- A comprehensive desk review of project documents was undertaken that includes: (a) project outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence; (b) notes from the Steering Group meetings; (c) other project-related material produced by the project staff or partners; and (d) relevant material published on the project website: (<http://gefll.reefbase.org>). A list of key documents reviewed is presented in Annex 3.
- Survey questionnaires were prepared and sent to stakeholders who, for logistical reasons, could not participate directly in interviews. The questionnaires were also useful for guiding an interview process with key stakeholders. Interviews were conducted (by phone or in person) with key project staff, GEF personnel who were involved in the planning, implementation, monitoring and evaluation of the project, and with coral reef management practitioners involved with both GEF- and non-GEF-supported coral reef management projects. The interview and questionnaire process was a very important complement to the desk study, and helped to validate conclusions based on review of project documents, thus strengthening the overall analysis.

15. While typically, as part of an evaluation such as this, site visits would be undertaken in order to further verify and validate the findings of a desk study of documents and from interviews, no budget was provided as part of this evaluation to undertake site visits to observe the actual application of project tools in action, or to discuss the use of the project's toolkits with managers on-site.

3.3 Interview and Questionnaire Results

16. Two short questionnaires were prepared, for circulation to various stakeholders. The questionnaires were used to solicit responses to specific questions regarding the accomplishments of the project, and at the same time, served as a guide for the interview process. The questionnaires are presented in Annex 4.

³The evaluation was carried out by Mr. James T. Berdach and Dr. Lope A. Calanog. Their CVs are presented in Annex 2.

17. Questionnaires were sent to over 70 prospective respondents. The response rate was quite low: only 10 respondents returned questionnaires. Several personal interviews were also conducted, either by telephone or in person. The complete list of persons contacted, showing those solicited for their responses to surveys; those returning completed questionnaires; and those interviewed, is presented in Annex 5. Key findings that have come to light as a result of the surveys and interviews have been incorporated into this evaluation.

4 Project Design, Performance and Impact

4.1 Background on Project Design

18. The project primarily aimed to assist developing countries to promote and enhance the conservation and sustainable use of coral reefs and their related ecosystems. A review of the common factors contributing to the successes, failures and lost opportunities offered by these projects had never been carried out, despite the many important achievements and positive outcomes from previous coral reef-related projects. Usually, key results or outcomes of these projects had not been adequately disseminated beyond their local or regional settings, despite their global relevance.

19. Given this background, the project was implemented principally to:

- a) assist the GEF with the generation of knowledge through analysis and synthesis, replication and dissemination of lessons learned and good practices; and
- b) share the GEF's specific knowledge with other multilateral institutions and NGOs to further the goals of Biodiversity Protection.

20. The project's activities were grouped into four components:

Component 1: Knowledge Theme Classification and Categories

- Develop and standardize methods for collection and analysis
- Identify and communicate with key individuals from selected projects
- Confer with Steering Committee to adopt analytical method

Components 2: Information gathering: Inventory of all GEF and Selected External Projects

- Assemble an inventory of coral reef projects
- Collect and review external assessments of previous projects
- Review ongoing initiatives
- Construct and maintain Knowledge Base

Component 3: Analysis and Synthesis

- Conduct comprehensive analysis of all projects selected
- Develop tools and best practices guidelines from the analysis
- Prepare a report incorporating all findings from the analysis

Component 4: Dissemination of Findings

- Formalize the establishment of manager's learning network
- Develop and implement combination of strategic dissemination mechanisms
- Conduct peer-to-peer, cross-site learning exchanges
- Train trainers at selected ICRAN sites

- Promote new strategies and policies within management agencies

21. In carrying out activities aimed at these goals and objectives, a review was conducted of all GEF-funded and selected key non-GEF-funded projects related to coral reefs and associated tropical marine ecosystems. The review was to result in the preparation of a knowledgebase. However, review of the GEF projects indicated that only 28 projects had sufficiently focused on tropical coastal ecosystems. They were either completed or far enough along to have gathered lessons learned information, or had sufficient available documentation. Many of the others were too recent to have useful information, while several others had been cancelled due to implementation problems.

22. To gather more information, 50 non-GEF funded projects were selected for further consideration based on a variety of criteria. Of these, 25 projects were found to have gathered sufficient information on lessons learned to warrant their inclusion in the knowledgebase. In addition, where available, primary literature sources were reviewed. Site visits were also conducted to several major project sites in the Coral Triangle region of Southeast Asia, and in the Caribbean. Personal interviews of 31 project personnel were conducted. This was particularly important for validation and verification purposes, since project evaluation reports were generally plagued by poor reporting of lessons learned.

23. Consultants were hired to review projects and gather information for each of the major project regions: Western Indian Ocean, Asia-Pacific, and Latin America and the Caribbean. Information was also gathered and disseminated via meetings and workshops (10 in the Asia-Pacific region, 2 in the USA, 6 in the Caribbean and 2 in South Asia).

24. The findings were collated by knowledge theme or category, and generic or globally relevant lessons and recommendations were formed for each knowledge theme. The knowledge themes used to categorize the project's results were:

- (i) Project design
- (ii) Project management
- (iii) Community participation
- (iv) Partnerships and linkages
- (v) Policy, legislation and enforcement
- (vi) Ecosystem-based management
- (vii) Coral reef monitoring and evaluation
- (viii) Capacity, education and knowledge management

25. The project also catalyzed the establishment of a virtual peer network of managers and other agencies and individuals working towards sustainable use and management of coral reefs. Through this network, and using the findings from various analyses, the project hoped to facilitate the identification, development and adoption of good practices in reef management; avoid the repetition of previous mistakes; and identify solutions to management problems which arose in specific locations and in relation to combinations of issues.

26. Through the project, all the knowledge and information generated was compiled in a database that was made available online, together with the manager's toolkit, at (<http://gefll.reefbase.org>). Interactive CDs were also distributed together with publications of lessons learned, best practices, and flyers and checklists related to coral reef management. Workshops, fora, and consultation meetings were held where results and outputs/outcomes of the projects were presented. Some of the best practices were pilot-tested in GEF, ICRAN and non-GEF project sites. Surveys and interviews were undertaken by the project to get feedback from users and adopters of knowledgebase and toolkits.

4.2 Evaluation of Project Design, Performance, and Impact

27. The findings of this TE are presented in two categories: (a) Project Design; and (b) Project Performance and Impact. The former identifies some design inconsistencies that contributed to difficulties in meeting some of the targeted outcomes and expectations. The latter, on the other hand, presents a more detailed assessment of the project's accomplishments using the evaluation criteria prescribed by GEF/UNEP.

4.2.1 Project Design

28. The design of the project shows several weaknesses that also affected the ease of the evaluation process. These issues are discussed here.

Overly-Ambitious Outcomes and Indicators

29. The intention of the project was to formalize the experiences, outputs, and lessons learned from GEF- and non-GEF projects for coral reef management, to translate them into best practices and information resources, and to make them more accessible to project developers and managers, for the purpose of improving management of existing coral reef projects, as well as the design and formulation of such projects in the future. As such, the project was an important undertaking that could add significant value to past investments in this area. However, the rationale and the main goal behind the formulation and design of the project, particularly the target outcomes (and expected impacts), were too ambitious, and most likely could not be realized within the 3-year period of project implementation.

30. In the reporting documents that were reviewed, especially in the UNEP GEF Project Implementation Report (PIR) for FY 2009, it was noted that the design of the project was overly ambitious, in part because of the unrealistic expectations of the GEF Secretariat, UNEP, and even the WorldFish Center itself. Even if the project's target outputs were satisfactorily met, this would not guarantee a corresponding achievement of the project's target impacts.

31. One such target was to assist developing countries to improve their capacity for better conservation and sustainable use of coral reefs, through the use and adoption of the project's outputs (toolkits and checklists, publications, website, network, etc.). While in and of itself this is a reasonable objective, an outright enhancement of country capacity within the life of the project is a formidable task, and perhaps unrealistic as a target. Capability-building of country institutions, multilateral agencies, and local NGOs takes time; since the project's outputs, which in this case are the main tool for the intended capacitation, become available only towards the terminal year of the project, this objective is indeed almost impossible to attain until well beyond the end of the project implementation period.

32. This TE is also in agreement with the assessment, mentioned in the 2008 PIR (but downplayed in the final report) that a number of the Objectively Verifiable Indicators (OVIs) are overly optimistic, and cannot be met within the lifetime of the project, to wit:

- a) demonstratively enhanced capability within country institutions, multilateral institutions and NGOs to use information generated from the review and consultations⁴;

⁴ It is reported that this OVI was attained by saying that "...73% of the survey respondents were familiar with the toolkit (CD, etc.)." However, mere familiarity does not warrant or guarantee enhancement of capacity. Thus, accomplishments cited to substantiate achievement of this OVI are mismatched. Besides, the accomplishment was based on survey results which still need to be verified for authenticity and validity.

- b) a demonstrable improvement in the evaluated performance of at least 50% of GEF coral reef projects started after completion of this project⁵; and
- c) good practices guidelines developed by this project are evident and in use by 50% of the project partners and by at least 3 other projects.

It is important to note that these OVIs can only be measured and attained several years after the application of the project's results or outputs.

33. These OVIs should have been stated instead in terms that would have been more achievable and measurable in the short term, for example, OVI (a) could be restated as "...provided tools needed for enabling country institutions, multilateral institutions and NGOs to use information generated from the review and consultations..." "Providing tools" is a more realistic and attainable target, than "enhancing capability."

34. One potential remedy for this shortcoming would be to extend the project or have a sequel project that could be implemented for 3 to 5 years, to promote and keep track of the changes and/or improvement in the design, implementation, and management of coral reef projects. This possibility was mentioned as a recommendation in the UNEP GEF Project Implementation Report (PIR) for FY 2009 and in the Project's Terminal Report.⁶ However, in doing so the, criteria or indicators for measuring impacts should be clearly indicated in the project design.

Inconsistencies in Statement of Project Goal, Objectives and Outcomes

35. There are major inconsistencies as to what exactly are the project goal, objectives, and outcomes, as presented in the Project Document, its Logical Framework, the Project Implementation Reports (PIR), and the Project Terminal Report logframe. For instance, in the summary section of the Project Document, the project's goal is stated as:

Enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently.

36. However, crosschecking this with the one in the Logical Framework, a different statement of goal is found, i.e.,

Assist developing countries to promote and enhance the conservation and sustainable use of coral reefs and their related ecosystems.

37. In the Project Implementation Reports (PIR), the above two goal statements were combined as project objective(s) or global environmental objective(s).

38. Further, in the PIR, particularly in the matrix of progress towards achieving project objectives, the second goal (assist developing countries to promote....) is treated as one of the three (3) objectives of the project. The other two objectives found in the matrix are

⁵ For this OVI, the 2008 PIR states, "This is not a realistic OVI, as the time frame for mid-term evaluations of projects starting now is many years past the end of this project."

⁶ The 2009 PIR reported that.... "A small-scale survey at 9 MPA sites within the FISH project, Philippines reveal that 100% of respondents indicated that they learned useful information that increased their capacity to manage coral reef MPAs..." However, the PIR later seems to withdraw this emphatic positive assessment by saying "... Ideally, this Lessons Learned project should be extended another 3 to 5 years to track the progress of implementing lessons learned and good practices in projects that are presently in their initial phases."

Assist the GEF with the generation of knowledge through analysis and synthesis, replication and dissemination of lessons and good practices.

Share the GEF's specific knowledge with other multilateral institutions and NGOs to further the goals of Biodiversity Protection.

39. The Project Document also lists five specific objectives, as follows:

-To review completed GEF coral reef-related projects and selected major non-GEF projects and summarize their principal outcomes, successes, failures and lost opportunities.

-To carry out a critical analysis of the projects in order to derive lessons learned, key factors for success, root causes of failures and identify ways to capture lost opportunities.

-To develop good practices guidelines, toolkits and information resources for use by other projects in developing and implementing their activities.

-To widely disseminate the above findings in print and electronic form, and through targeted learning workshops, exchanges, training programs and the establishment of a coral reefs learning and exchange peer network.

-To compile a knowledgebase of coral reef-related projects which provide easy access to the above outputs, as well as primary resource material such as reports, presentations, contacts and images.

40. However, these specific objectives were not clearly defined in the Logical Framework. It appears that these are not specific objectives, but rather **statements of activities**, as can be gleaned from the different activities and sub-activities presented in the Logical Framework. The same is true for project outcomes.

41. The project document is especially confusing. Discussed here are “additional outcomes”, “broad outcomes”, “specific outcomes” and “specific objectives” (which overlap with the outcomes). It is also unclear whether repeating the stated “overall goal” of the project (on page 3) as a “broad outcome” (on page 5) was intentional or an error.

42. Statements presented in the Project Document and in the Logical Framework show significant differences (Table 1).

Table 1. Comparison of Statements of Outcomes in Project Document and Logical Framework

| Project Document | Logical Framework |
|--|---|
| Enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently. | Produce a critical review & analysis of coral reef & associated ecosystem projects and summarize their principal outcomes in order to derive lessons learned, key factors for success, root causes of failures and identify ways to capture lost opportunities. |
| A virtual peer network of coral reef management professionals and stakeholders which will facilitate the dissemination of information, sharing of experiences and initiation of physical exchanges of personnel and resources between projects | A network of professionals, (particularly within developing countries) actively engaged in the sharing of lessons from past and ongoing coral reef projects |

| Project Document | Logical Framework |
|---|---|
| More effective and efficient management of coral reefs in areas supported by GEF projects, and elsewhere. | Increased awareness and implementation of good practices through dissemination of good practices guidelines, toolkits and information resources for use by other projects in developing countries and implementing activities and widely disseminate this information globally. |

43. Consistency in the content of the Project Document, and how key project design elements are expressed in the Logical Framework, is crucial to coming up with a consistent, workable project design, and subsequently, for the effective implementation of the project. Inconsistencies such as these also create great difficulties in the evaluation of the project. Perhaps it is partly for this reason, that the past project progress reports are more or less silent regarding achievement of objectives, and project impacts.

44. During the interview process, a discussion was held with the UNEP Task Manager concerning the inconsistencies in OVIs that had been found by the evaluation team. The Task Manager suggested that perhaps the inconsistencies noted were due to the fact that the Evaluation Team had not picked up intentional changes that had been made by the project managers (the Task Manager, the Project Manager, and the Steering Committee) in the indicators, as a means of “adaptive management” for the project. Further investigation of additional project documents provided by the Task Manager to the evaluation team, showed that the weaknesses and inconsistencies in the indicators had been recognized by the project management team, and there was indeed an intention to make changes in the indicators. However, these documents did not clearly show that the intended changes were carried out, thus this problem is seen to persist until the project terminal report. Further discussion and documentation of this important issue is provided in Annex 6.

4.3 Project Performance

4.3.1 Attainment of Objectives and Planned Results

45. In evaluating the achievement of objectives, it was necessary to examine the progress made toward accomplishment of the project’s higher-level purposes, namely, the goal, objectives, and outcomes. Because of inconsistencies in the project framework, as mentioned in Section 4.2.1, above, this exercise required a degree of flexibility in the interpretation of the underlying intent of the project designers.

a. Project Goal

46. The project’s stated goal is to develop an **“enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently.”** In essence, this could also be taken to mean assisting developing countries to promote and enhance the conservation and sustainable use of coral reefs and their related ecosystems in their respective areas of jurisdiction.

47. Through this goal, the capability within country institutions, multilateral institutions and NGOs to use the coral reef management information generated through the project’s review and consultative processes, and subsequent dissemination, is expected to be enhanced. As an OVI for this goal, it was stated that 60% of country institutions might be expected to show an increase

in their capacity to learn from previous experiences of other projects, and develop and implement coral reef projects which deliver key outcomes more effectively and efficiently.

48. To this end, the project's activities focused on: (i) expanding the network of reef managers and scientists who are involved in reviewing and implementing the results of the project; (ii) disseminating the project results or outputs via publications, presentations and workshops, (iii) further developing and refining the knowledgebase and manager's toolkit; and (iv) applying lessons learned in new and ongoing projects.

49. Along these lines, the project (a) completed the dissemination of project results through workshops, flyers and project briefs; (b) almost completed (80%) the dissemination of best practices via the internet and through workshops conducted in Maldives, Thailand, Indonesia, the Philippines, Jamaica, Bahamas, and Barbados; (c) started the implementation of best practices in the Philippines, and continued these activities until 2009 (under another grant); and (d) uploaded a more refined version of the knowledgebase and toolkit (90% refined and modified) to the project website (accordingly, only minor edits and data checking are required to complete the toolkit).

50. Because of external problems encountered during project implementation, some project activities were delayed. For instance, a regional workshop on implementation of lessons learned and good practices in South East Asian coral reef management, which was planned for December 2008 in Bangkok, Thailand, was cancelled because of the political turmoil and closure of its airports. This workshop instead took place in Manila, Philippines on 13 March, 2009. Similarly, workshops planned for 2008 in the Caribbean and South Asia were postponed in order to accommodate enough attendees. These workshops were held in March through May 2009.

51. While it might be construed that these delays had some effect on the achievement of the project goal, taking the longer view, these delays were only temporary, and the situation was eventually rectified. Overall, for this TE, a rating of **Moderately Satisfactory (MS)** is given for the attainment of the project's goal.

52. It is also important to mention that the results of the survey run by the project generally indicated positive feedback from the respondents. But the validity and reliability of this survey needs to be better ascertained.⁷

b. Project Objectives and Planned Results

53. The project's objectives and planned results are assessed below.

54. For Objective No. 1, ***“to assist the GEF with the generation of knowledge through analysis and synthesis, replication and dissemination of lessons learned and good***

⁷ Survey results were reported in a document that is part of the Coral Reef BP-LL Output folder provided to the consultant. The survey, which was uploaded to the project website, has 8 questions. It was administered to 300 respondents who had been the recipients of the project's toolkit/CD. However, only 67 of those solicited responded, and only 63 qualified for the analysis. This is only 21% of the total population (of 300), which is a relatively small number of samples to warrant a statistically acceptable analysis. It is difficult to make a conclusion that applies to the sample of 300 people, based only on the answers/opinions of 63 of them.

More than this, the questions are “closed-ended” in nature, meaning the possible answers are already given. Further, they are designed as “Likert Scale” questions/statements (i.e., answers in five scales... strongly agree to strongly disagree). One problem with this design is that there is a tendency for respondents to just say “strongly agree” as a conditioned response to all the questions. A better method would have been to state the questions positively or negatively, to ensure that the respondents actually thought about the answers that they would give. Also, if the questions had been made open-ended, this would have provided the respondents the opportunity to explain their answers. In view of the above, the validity and reliability of survey results is questionable. Hence, it is difficult to state with certainty that (as the questionnaire results seem to suggest at face value), the project results became useful and that its products increased the level of awareness of the respondents.

practices”, the intention was to provide an improved understanding of the successes and failures from past experiences that could be applied to existing and future projects, and to promote an improved capability of the GEF to formulate its future projects based on sound knowledge and experiences.

55. To meet this objective, the project completed the review of 115 (65 GEF and 50 non-GEF) coral reef-related projects, of which 53 underwent intensive review and examination. Results of the analysis were published as policy briefs and flyers, which were also made available online. These were also presented and discussed at over 20 meetings, workshops and fora worldwide.

56. The second objective was **“to share the GEF’s specific knowledge with other multilateral institutions and NGOs to further the goals of Biodiversity Protection.”** As a guide to attaining this objective, four (4) indicators were set: (a) 90% of all future GEF project briefs and other major project proposals to other donors using the knowledge from this project to develop their proposals; (b) a demonstrable improvement in the evaluated performance of at least 50% of GEF coral reef projects started after completion of the project;⁸ (c) a virtual peer network of coral reef management professionals and stakeholders which will facilitate the dissemination of information, sharing of experiences and initiation of physical exchanges of personnel and resources between projects; and (d) an active, sustained network that shares lessons based on sound analysis and clear dissemination mechanisms through online system.

57. The project includes a number of features that are intended to help to achieve the performance targets that are captured in the indicators. For the first indicator, meetings and discussions were held with personnel from several GEF-supported and non-GEF projects for coral reef and marine resources management. These included: COREMAP II, Coral Reef Targeted Research, Bay of Bengal Large Marine Ecosystem [LME] and GEF/ADB projects in the Coral Triangle Initiative (GEF-supported), and USAID-funded projects in the Coral Triangle Initiative (non-GEF) to generate interest in the utilization and application of lessons learned and toolkits in their management practices. The project helped prepare plans for implementation of some activities (e.g., testing methods and providing training in project monitoring) for the USAID Fisheries for Improved Sustainable Harvest (FISH) Project in Philippines, while the same was underway for Bay of Bengal LME project in Thailand, and for ICRAN demonstration sites in South Asia and the Caribbean.

58. With regard to the performance measure in the second indicator, the design of the manager’s toolkit and checklist to guide the implementation of coral reef and related projects were completed and made fully functional. These tools are continuously being edited and updated to make them more useful. They are accessible at the project website.

59. For the performance measure in the third indicator, the project has established a network of nearly 300 professionals on coral reef management and related fields. This network is continuously being expanded even beyond the life of the project. An e-mail list server was created but this was dropped in favor of the more efficient “Coral-L” managed by the US National Oceanic and Atmospheric Administration (NOAA), which has over 5,000 active members and so far, is the fastest way to reach many people involved in coral reef management and related projects.

60. Finally, for the performance measure in the fourth indicator, a stand-alone GEF Lessons Learned website was developed based on the ReefBase model. It currently contains lessons

⁸ Currently, there is no means to measure the impact of the project in bringing about such improved performance in future GEF projects. Attributing such improvements to the project assumes that the toolkits and knowledgebase products will be sustainably utilized. However, unless the use of knowledgebase tools were to be “mainstreamed” as part of GEF’s required process for coral reef management projects, such utilization would be difficult to track and measure. This subject is also raised in Section 4.3.11.

learned and best practices information from 53 reviewed projects. They are accessible at <http://gefll.reefbase.org>.

61. It must be mentioned that, the targets mentioned for the first two indicators may be quite difficult to quantify. This is due to lack of a reliable baseline and difficulties in ascertaining the level of utilization of GEF LL Knowledgebase products. Ultimately, only a qualitative measurement of the expected results may be possible.

62. Nonetheless, as stated above, there have been some demonstrable successes in attaining the project's stated objectives and planned results, and a rating of **Satisfactory (S)** is therefore given for this criterion.

c. Effectiveness, Relevance, and Efficiency

Effectiveness

63. While the stated OVIs for the project objective were met, it is still not certain whether this has resulted in achieving significant positive impacts. The project proponent admitted that measuring the social and ecological impacts of the project, particularly in implementing good practices, would require a significant additional investment of time and money. This could not be done during the 3-year life of the project. In the project reporting documents, it was suggested that a new project should be proposed for additional GEF funding, particularly in conjunction with the Coral Triangle Initiative and the Caribbean and Micronesian Challenge programs, in order to more accurately ascertain the impacts of the project. It is one of the conclusions of this TE that such an extension of the project, possibly through a second phase, should be considered, to allow more in-depth evaluation work to be conducted, and possibly, additional lessons to be derived that could be applied in other projects.

64. One other important observation regarding project results is that many of the Lessons Learned, Best Practices in the Management of Coral Reefs checklist and toolkit, and Recommendations are highly-generalized 'motherhood' statements that could have been formulated even without the benefit of conducting the project. Examples, selected randomly from the lessons learned project website (<http://gefll.reefbase.org>), include the following:

- "a pre-feasibility or feasibility study is necessary to come up with a workable project design"
- "implementation requires sound management and involvement of people and resources in order to complete work efficiently"
- "it is essential to establish an effective coordination mechanism including adequate management structures and operating systems"

65. These lessons are so broad as to be of little practical value. Also, the inclusion of so many lessons of questionable value and applicability makes the website more voluminous, but does not contribute to quality. This in turn makes it that much more difficult and time-consuming for users to navigate, search for, and extract the more important and helpful pieces of information on the site—certainly not the intention of the GEF Knowledgebase-LL project.

66. Making the concerned agencies and institutions aware of the project's outputs (in which the project was quite successful) is only the initial step in the knowledge diffusion and uptake process. A more important consideration when evaluating effectiveness, is determining whether or not stakeholders actually **applied** the knowledge tools being offered them. Thus, successfully motivating the stakeholders, especially project managers, to apply and utilize the products on offer, is a critical requirement that cannot be overlooked. Measurement of the "uptake" of project

lessons, toolkits, and other products is one of the difficult challenges in evaluating project effectiveness. As explained in other sections of this report, the overall indications are that the uptake and application of the project's products was fairly limited.

67. Key aspects relating to effectiveness are summarized as follows:

- (i) the direct impacts of implementing lessons learned and good practices cannot be measured within the lifetime of the project. The general impacts can realistically be felt only after years of application.
- (ii) The project design, particularly the goal and objectives, was overly ambitious because of the unrealistic expectations of the GEF, UNEP, and WorldFish Center.
- (iii) Even if outputs are satisfactorily met (targeted products disseminated), this does not ensure a corresponding realisation of project's impacts (uptake of the products to increase awareness and management effectiveness).

Taking these considerations into account, the rating applied for effectiveness is **Moderately Satisfactory (MS)**.

68. The "Review of Outcomes to Impacts" (RotI) methodology, presented in Annex 7, also contributed to the evaluation of project effectiveness. The intended impact or the global environmental benefit (GEB) is given a rating scale of BC and a corresponding adjectival rating of **Moderately Likely (ML)**, which substantiates the effectiveness rating of **MS**. This means that the project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after GEF funding. Similarly, the measures designed to move towards intermediate states have started, but have not produced significant results yet.

Relevance

69. Relevance is evaluated based on the consistency of the project with GEF's focal areas and operational program strategies. The Project supports the GEF Operational Program (OP) 2 on Coastal, Marine and Freshwater Ecosystems within the Biodiversity focal area, and closely links with the International Waters and Climate Change focal areas. The objective of OP2 is the conservation and sustainable use of the biological resources in coastal, marine and freshwater ecosystems, with special attention given to tropical island ecosystems. Coral reefs are a key ecosystem within this mandate of OP2, and within the marine realm generally serve as the richest repository of biodiversity. The objectives of this project are directly in line with Strategic Priority BD-4, Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues. The project provides the GEF with an in-depth understanding of its past projects, so that it may contribute to better designed and more effective implementation of future ones. Given the volume of GEF projects that have been processed over the last decade, it is knowledge of previous experiences that have the potential to serve as a strong foundation for improved biodiversity protection, and in communicating this knowledge to member countries. The project has demonstrated some success in addressing the barriers to knowledge access and transfer. Relevance for the GEF Knowledgebase-LL Project is rated **Satisfactory (S)**.

Efficiency

70. The evaluation of efficiency is based upon consideration of the cost-effectiveness of the project. Of the total project budget of US\$1,889,000, in the project document, the GEF allocation was US\$940,000, while an in-kind co-financing contribution of US\$949,000 from the WorldFish Center, ICRAN, and other collaborating NGOs was indicated. The project was able to leverage

additional funding from NOAA and project partners from the Philippines, and in fact, the actual reported co-financing of \$997,181, was higher than the original counterpart fund of \$949,000.00. Thus, more than half the value of the project was contributed by these other co-financing partners, representing significant leveraging of GEF funds.

71. It is clear that the involvement and participation of these other partners was the critical driving force in the implementation of the project, and without their participation, the project would not have moved forward. Thus it could be stated that the value of the in-kind contribution, as expressed in purely monetary terms, is quite conservative.

72. While project implementation was delayed (as discussed in Section 4.3.9, see below), it was ultimately possible to make up for time lost in the early stages, and this did not seem to have significant negative consequences for the overall cost-effectiveness of the project.

73. Because the project built upon and utilized pre-existing structures, most notably, the ReefBase website, it most certainly realized significant savings and efficiencies in start-up and implementation, both in terms of time and costs. For these reasons, the rating assigned for the efficiency of the project is **Satisfactory (S)**.

4.3.2 Sustainability

a. Financial

74. The dissemination of project outputs via the internet can be sustained with minimal funding. The reach and effectiveness of this dissemination can be enhanced through linkages with the websites of other partner agencies such as ICRAN, ICRI-Forum, IW:Learn, GEFWEB and FAO, where the project's outputs are also uploaded. Thus the project design incorporates a very cost-effective mechanism to maximize the dissemination of project outputs.⁹

75. Also, additional financial support for coral reef protection and management is potentially available from international organizations and multilateral agencies. For instance, the International Coral Reef Action Network (ICRAN), the project's main collaborator, is spearheading fund-raising efforts, in collaboration with the UN Foundation and other ICRAN partners. However, availability of funding from these sources to support the activities of the GEF Knowledgebase-LL project is not guaranteed, and will depend upon the internal priorities of those potential funding entities. These organizations have their own staff operational costs and so support of GEF Knowledgebase-LL activities may be accorded lower priority.¹⁰

76. Finally, one area of concern is the need to ensure that counterpart funds at the local/country level are made available to augment available funding support. The availability of secured counterpart funding would greatly strengthen overall sustainability. However, information on how this might be achieved is lacking in the project's design, and in the progress reports and terminal report. This concern raises some questions about project sustainability at the local level. Thus, a rating of **Moderately Likely (ML)** is assigned for the financial aspects of sustainability.

⁹ The finding presented here applies to sustainability in a limited sense—maintaining an internet-based knowledgebase beyond the life of the project. However, this does not mean that the availability of information over the web alone (a passive approach) is sufficient to promote the uptake needed to achieve the intended project impacts. Reinforcement through more active approaches is required to achieve this objective. This broader finding is discussed in other sections of this report, and is presented as one of the key lessons learned.

¹⁰ The unexpected withdrawal of the Tropical Marine Learning Partnership (TMLP) from the project provides a clear illustration that funding for coral reef management and related projects is not guaranteed.

b. Socio-Political

77. While there are strong advocacies from international environmental organizations to protect and conserve coral reefs, in many of the developing nations where coral reefs are under threat, there is no assurance that sufficient political will exists at the local/country level to complement advocacy by international NGOs and similar organizations. This requirement for complementation is crucial to ensure the sustainability of applying the project's toolkit and checklist, especially when the focus of local people's attention is on resource utilization and extraction. There is a strong need to strengthen the efforts in making communities and local officials fully aware of coral reef management. The project's outputs can play a key role in building this awareness and socio-political commitment.

78. The project's terminal report has limited information on the level of commitment among local communities and local governments to support the project's outputs. Hence, the rating of **Moderately Likely (ML)** is given for socio-political aspects of sustainability.

c. Institutional Framework and Governance

79. The project has built a website (<http://gefll.reefbase.org>) which serves as the main conduit for disseminating project outputs (management tools, publications, CDs, and other information materials). This site is integrated into an existing web-based knowledge system, on the ReefBase website. This is a great advantage in terms of information dissemination, as well as institutional sustainability, since ReefBase is a long-established site known to thousands of scientists, managers, students, teachers, divers, etc. worldwide, who use it on a regular basis.

80. The websites of other partner agencies are also utilized for dissemination of GEF-Knowledgebase-LL products. These include websites of ICRAN, ICRI-Forum, IW:Learn, GEFWEB and FAO as well as the Coral-L listserv of the US National Oceanic and Atmospheric Administration (NOAA) with over 5,000 active members, which facilitates online discussions among coral reef professionals.

81. By linking to these existing active networks, the likelihood that dissemination of the project's outputs will be sustainable, even after project completion, is greatly enhanced.

82. In addition, many developing countries already have legal and policy structures and institutions in place to promote more effective conservation and protection of marine and coastal ecosystems. While many of these institutions lack capacity and financial support, with proper strengthening, they could be tapped in testing and applying the project's outputs.

83. Finally, through its involvement, UNEP provides further institutional support for the sustainability of the project. UNEP already has an extensive network and linkages in place for dissemination and application of the project's outputs, i.e., toolkit and checklist on coral reef management. UNEP can easily build on its existing network, particularly its partnership with the International Coral Reef Initiative (ICRI) and the Regional Seas Programmes. UNEP also has a Coral Reef Unit that leads international efforts to save threatened coral reefs worldwide. It works actively with concerned international organizations to reverse coral reef degradation and also assists in soliciting international, national and local support for coral reef conservation and sustainable use. These institutional structures can help to sustain the project's efforts to share its outputs on a wider scale and create a level of improved capacitation at GEF, UNEP itself, and other coral reef funding and implementing institutions, as well as among local implementors of coral reef projects.

84. For these reasons, the institutional dimension is rated as **Likely (L)** for supporting the sustainability of the project's outputs.

85. Nonetheless, it should be mentioned here, that in the questionnaires, several respondents commented that, in order to ensure good sustainability, project lessons need to filter down and be applied at the 'grass-roots' level. While websites offer some benefits for information dissemination, there is a need to complement this with more real, people-to-people interactions and networking among practitioners, to more effectively exchange knowledge and sustain project benefits.

d. Environmental

86. The project is not anticipated to produce any adverse environmental impacts. On the contrary, by its nature, the project will enhance environmental sustainability, and this aspect is rated as **Likely (L)**.

4.3.3 Achievement of Outputs and Activities

87. As mentioned in the foregoing discussion, distinctions between project outcomes and outputs, as expressed in the project framework, are somewhat unclear. For this evaluation, it proved more useful to consider the statements of outcomes as a basis for evaluating the achievement of the project outputs.

a. Outcomes

Outcome 1: Produce a critical review & analysis of coral reef & associated ecosystem projects and summarize their principal outcomes in order to derive lessons learned, key factors for success, root causes of failures and identify ways to capture lost opportunities.

88. It was expected that, by the end of the project, there would be an improved understanding of the successes and failures from past experiences, which can be applied to present and future coral reef management projects through the project's critical review and data analysis processes.

89. Twenty eight (28) of 61 GEF projects, and 25 of 50 non-GEF projects (funded by International Coral Reef Action Network [ICRAN], The Nature Conservancy [TNC], World Wide Fund for Nature [WWF], Conservation International [CI], Wildlife Conservation Society [WCS], United States Agency for International Development [USAID], the [U.S.] National Oceanic and Atmospheric Administration [NOAA], International Coral Reef Conservation Program, Packard Foundation and MacArthur Foundation) or a total of 53 projects, were reviewed. This represented all projects that had sufficient information to warrant inclusion in the analysis, and synthesis of lessons learned and best practices on coral reef management.

90. It was planned that an additional 46 projects (21 GEF and 25 non-GEF) would be included in the analysis once sufficient information became available. The project implementers also committed to updating checklists and toolkits even beyond the life of the project, as long as sufficient data and information were made available.¹¹

91. The list of eleven (11) candidate categories prescribed in the Project Document to classify lessons learned and best practices was later revised, based on the discussions with the consultants. The resulting eight (8) new key themes are perceived to be more comprehensive and could better capture and synthesize the lessons learned and best practices on coral reef management. These new themes are as follows:

¹¹ It was not made clear who would be available to finish the analysis after project closure.

- a) Project design
- b) Project management
- c) Community participation
- d) Partnerships and linkages
- e) Policy, legislation and enforcement
- f) Ecosystem-based management
- g) Coral reef monitoring and evaluation
- h) Capacity, education and knowledge management

92. The lessons learned and best practices generated following the above themes were then presented and discussed in various workshops in Thailand, the Philippines, Indonesia, Barbados, Bahamas, Belize, and Spain.

93. While the conduct of critical reviews and analysis was accomplished, several obstacles were confronted in carrying out this activity. Foremost of these was the poor access to or lack of useful information from the on-going GEF projects. It was reported that only 15 out of 100 projects reviewed had available online final reports or publications. About 30% of projects were newly implemented and had limited documentation. This necessitated a change in the project strategy, which entailed greater reliance on direct interactions with project personnel, through site visits, consultations, e-mail, and telephone conversations.

94. Difficulties were also encountered in contacting personnel associated with GEF-funded coral reef projects. The required documents from these projects were eventually received from the Monitoring and Evaluation Offices of their respective implementing agencies. Site trips were made to several major projects in the Coral Triangle region of Southeast Asia and the Caribbean. A total of 31 project personnel were personally interviewed.

95. To further augment the review and analysis, at one point, the idea of using GEF/IW:LEARN indicators of management effectiveness was considered. But this turned out to be time-consuming and expensive. Instead, the project undertook an in-depth evaluation of management effectiveness for the USAID FISH project in the Philippines, which took only 18 months to complete and cost only \$65,000.00. Part of the funding requirement was obtained through a grant from NOAA, in the amount of \$54,000.

96. These discussions illustrate that the project exerted significant effort to ensure that the target outcomes were accomplished and delivered on time, despite the difficulties and obstacles that were encountered. The revision of the themes and categories to better capture the lessons learned and best practices, and validating them in several workshops, fora and conferences, further bears out that the project was committed to carrying out a thorough review and analysis of coral reef projects. The attempt to apply a quantitative approach to assessing management effectiveness, is also proof that applying a more scientifically-based assessment was important for this project, despite its higher cost and requirement for a larger time commitment. Hence, a rating of **Satisfactory (S)** is given for accomplishment of Outcome No. 1.

Outcome 2. A network of professionals, (particularly within developing countries) actively engaged in the sharing of lessons from past and ongoing coral reef projects.

97. The project was expected to (i) have at least 100 coral reef managers with registered access to the Network facilities on ReefBase; (ii) document at least three (3) cases where the managers concerned had applied new methods or approaches based on knowledge gained from

the project and accessed through the Network; and (iii) disseminate all the information materials it produced through the International Coral Reef Action Network (ICRAN) and its partners, in print and electronic form, and through targeted learning workshops, symposia, training programs, and establishment of coral reef learning and exchange peer networks.

98. As with Outcome No. 1, the project was able to meet this target satisfactorily. All target partnerships were forged, with ICRAN, IW: Learn, TNC, WWF, CI, and the Center for Resource Management and Environmental Studies (CERMES; Barbados). A network of nearly 300 professionals was established, three times the size of the targeted network.

99. With regard to the documentation of cases where project results were adopted, only subprojects of the USAID FISH program in the Philippines were found to have used the marine protected area (MPA) evaluation system. Discussion, however, was initiated with other potential project sites on how to incorporate the lessons learned and best practices into their management schemes. The Philippines Bureau of Fisheries and Aquatic Resources (BFAR) is now using the project information to update its MPA planning system.

100. There have been indications that, even though the project is completed, its outputs will still be applied at ICRAN demonstration sites in South Asia and the Caribbean, as well as in several projects under the GEF/ADB Coral Triangle Initiative. In addition, three (3) GEF projects (South China Seas Project, COREMAP II, Bay of Bengal LME) and 4 non-GEF projects (TNC, WWF, and WCS Indonesia Programs; USAID FISH Projects) have signified interest in applying the toolkit and checklist.

101. The partnership with ICRAN has also facilitated the dissemination of lessons learned. Through the services of a consultancy firm,¹² ICRAN has fast-tracked the dissemination of the project's outputs, and has applied them in the Caribbean region. The project's outputs have been presented in ICRAN-sponsored workshops in Barbados, Ecuador, India, Jamaica, Malaysia, Maldives, Tobago, and in meetings of the International Coral Reef Initiative (ICRI), and International Coral Reef Symposium (ICRS).

102. Despite efforts to persuade coral reef and MPA managers to utilize GEF Knowledgebase-LL project outputs, particularly the lessons learned and best practices toolkit and checklist, only the FISH projects in the Philippines have utilized such outputs. To date, according to the project reporting documents, other managers have only signified their intentions and commitments. This seems to indicate that the project fell short in being able to convince other coral reef managers and planners to make use of the toolkit, checklist, and other products. This was further manifested by the project's failure to meet the target of three (3) documented cases of applying the tools and products.

103. Overall, a rating of **Satisfactory (S)** is still given to this Outcome, since it is regarded that the targets under this outcome have been largely achieved (and in the case of the professional network, exceeded).

Outcome 3. Increased awareness and implementation of good practices through dissemination of good practices guidelines, toolkits and information resources for use by other projects in developing countries and implementing activities and widely disseminate this information globally.

104. With this Outcome, it was expected that at least 50% of the partners in the project would be persuaded to use the toolkit and checklist and three (3) other projects would try these instruments. Another indicator for this outcome required that the lessons learned and best

¹² Meridien Environmental Consulting

practices must be transformed into publications and made available on the project website, as well as on other websites of key partners.

105. Hundreds of copies of informational documents have been printed and distributed. These include summary briefs about lessons learned and best practices in coral reef management; a project flyer describing the toolkit and website; and a checklist-style guide to best practices in coral reef management. These were printed in English, Tagalog and Thai and are made available online and on interactive CD.

106. Dissemination of outputs started through the web (on the ReefBase and ICRAN websites) and via workshops. Four workshops/exchanges were held in the second half of 2008, i.e., at the 11th International Coral Reef Symposium in Ft. Lauderdale, USA; the 3rd CTI Coordination Committee Meeting in Manila, Philippines; the ASEAN Center for Biodiversity Experts Meeting on Marine Gap Analysis in Bali, Indonesia; and the Workshop on Strengthening Governance and Sustainability of Small-Scale Fisheries Management in the Philippines: an Ecosystem-Based Approach in Los Baños, Philippines. Other workshops were targeted in early 2009, but no reports regarding their status are available.

107. Assurances were given that the toolkit and checklist will be used, even beyond the project termination date, in several projects and management units, including COREMAP II (and likely COREMAP III), the Bay of Bengal LME Project, the FISH Project, various ICRAN projects, and by the national and local government units in the Philippines, including the Department of Science and Technology, the Department of Environment and Natural Resources, and the Bureau of Fisheries and Aquatic Resources. Projects within the Coral Triangle Initiative were also targeted for implementation of good practices.

108. Right now, the toolkit is being tested in several ICRAN project sites, 2 GEF project sites (COREMAP II, Bay of Bengal LME) and 4 non-GEF project sites (Palawan, Quezon, Bohol and Surigao del Sur, Philippines).

109. These accomplishments justify a rating of **Satisfactory (S)** for Outcome No. 3.

b. Activities

110. The project activities are measured by accomplishment of the following main results or outputs:

- Coral Reef Management Tools
- Lessons Learned and Best Practices in the Management of Coral Reefs (Policy Brief);
- Manager's Checklists of Best Practices in Coral Reef Management;
- Lessons Learned and Best Practices in the Management of Coral Reef MPAs (synthesis and recommendations for coral reef MPAs).
- Publications
- Lessons Learned and Best Practices in the Management of Coral Reefs (English, Tagalog, Thai)
- Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs (English, Tagalog, Thai)
- Best Practices Guidelines for the Management of Coral Reefs (English, Tagalog, Thai)
- GEF Lessons Learned Toolkit v. 2.0
- Lessons Learned and Best Practices for the Management of Coral Reef Marine Protected Areas
- A user-friendly web-based information system

111. All project tools and products are available online at the GEF Lessons Learned project website (<http://gefll.reefbase.org>). This is also accessible in the ICRAN, ICRI-Forum, IW:Learn, GEFWEB and FAO websites. This is also available on an interactive CD-ROM

112. A virtual peer network of coral reef management professionals and stakeholders was established. This comprises nearly 300 coral reef professionals (far surpassing the original target of 100 individuals). This is accessible through the Coral-L listserv run by the US National Oceanic and Atmospheric Administration (NOAA) which has over 5000 active members in the field of coral reef science and management.

113. Despite some delays in delivering these outputs, particularly on the dissemination of lessons learned, best practices and toolkits, a survey undertaken by the project (provide citation, date) revealed that 73% of the survey respondents were familiar with the toolkit and the interactive CD.

114. Also, about 97% of the respondents agreed that they had learned important information on coral reef management. Nearly half of them “strongly agreed” that the information learned from the GEF LL toolkit could be applied in their future coral reef management projects and almost all (96%) agreed that their understanding of past successes and failures had improved as a result of reading the GEF LL materials.

115. Roughly 75% of the respondents indicated that they had used the best practices in the GEF LL toolkit in recent project proposals, while 25% did not. All respondents also indicated that the best practices information from the toolkit will be used in future coral reef management activities. The majority of respondents (88%) indicated that the GEF LL network is one of the top 5 ways by which they exchange information on coral reef management.

116. In addition to this survey, a small-scale survey at 9 MPA sites within the FISH project, Philippines was likewise undertaken. All of the respondents indicated that they learned useful information from the best practices guidelines for management of coral reefs in Marine Protected Areas (MPAs), and that this increased their capacity to manage coral reef MPAs.

117. The project also reported that there are new GEF projects committed to applying the lessons learned and best practices. These include the COREMAP II and III, the Micronesia Challenge, the Bay of Bengal Large Marine Ecosystem Project, the UNDP project “Conserving Marine Biodiversity through Enhanced Marine Park Management and Inclusive Sustainable Island Development”, and several other projects under the GEF/ADB Coral Triangle Initiative.

118. The targets for the project’s outputs and activities were satisfactorily met, with substantial efforts exerted by the project implementers to achieve them. Hence, in this TE, a rating of **Satisfactory (S)** is given for achievement of project outputs.

4.3.4 Catalytic Role and Replication

119. The project was designed primarily to develop a toolkit and checklist of lessons learned and best practices to improve the implementation of on-going coral reef management and other related projects, and guide the development of future coral reef management projects. It was successful in producing the target outputs (policy briefs, toolkit and checklist) that are expected to provide tools in charting the proper (if not new) directions and strategies for existing coral reef management projects.

120. However, in large part these outputs are devoid of practical prescriptions or “easy-to-apply” methodologies. They are merely “motherhood statements” of points to consider in implementing coral reef projects. Except for some trials and pilot-testing, there are no clear

reports to prove that these outputs were able to introduce change or craft new management schemes or direction in implementing coral reef projects.

121. The Project's Terminal Report claimed that trial implementation of the project's lessons learned and best practices was undertaken in selected ICRAN sites and in GEF and non-GEF projects. Foremost of these was the USAID-funded FISH project in the Philippines, which involved training of stakeholders (at national, provincial, municipal and barangay [village] level), local fishers, tourism operators, etc. In addition to the FISH project, implementation and dissemination of project outputs were achieved through:

- conduct of training in good practices in Maldives and the Philippines
- dissemination of materials and toolkit to governments, NGOs and stakeholders through workshops, Coral-L list server and websites
- promotion of new strategies and policies within management agencies (through meetings/workshops with government agencies and advanced research institutions dealing with fisheries and coastal management). Examples of these agencies and institutions include:
 - Department of Environment and Natural Resources (DENR), Philippines
 - Bureau of Fisheries and Aquatic Resources (BFAR), Philippines
 - Department of Science and Technology (DOST), Philippines
 - Protected Areas and Wildlife Bureau (PAWB), Philippines
 - Southern Luzon State University, Philippines
 - University of the Philippines Marine Science Institute (UP-MSI)
 - Department of Marine Affairs and Fisheries, Indonesia
 - Department of National Parks, Plant and Wildlife Conservation, Thailand
 - Phuket Marine Biology Center, Thailand
 - Palau International Coral Reef Center
 - Department of Marine Resources, Federated States of Micronesia
 - College of Micronesia

122. As discussed earlier, there were intentions signified and commitments given by several institutions and funding agencies to utilize the project's outputs in future design and implementation of coral reef projects. Until now, however, no specific report is available whether these commitments were fulfilled or not, and whether the lessons learned and best practices were actually applied and resulted in positive impacts on coral reef protection and conservation.

123. Project information is deficient in the following areas: creating enabling mechanism, providing incentives, formulating policy framework, and capacity development, that are essentials in effective coral reef management. In view of this, the project is rated **Moderately Satisfactory (MS)** for this particular criterion.

4.3.5 Stakeholder Participation / Public Awareness

124. Substantial efforts were exerted in making the public aware of the project's outputs and in seeking their participation in undertaking the project's activities. Examples are found in the following:

- a user-friendly web-based information system created using ReefBase as model. Project's results are also made accessible in other websites, particularly of ICRAN's, ICRI-Forum's, IW:Learn's and FAO's. It is also important to note that all the lessons learned and

recommendations from the project report are searchable by knowledge theme, keyword, or by location through a web-based mapping system, ReefGIS;

- an interactive CD-ROM, where these lessons and best practices are also presented;
- an active network of managers, scientists and private sector reef users. This network utilizes the Coral-L listserv run by the US National Oceanic and Atmospheric Administration (NOAA) which has over 5,000 active members in the field of coral reef science and management;
- a number of publications produced that include a report on the major lessons learned; summary briefs outlining the main results of the analysis; and a checklist on lessons learned and best practices for each theme;
- workshops held at selected ICRAN sites in South Asia and the Caribbean, at the COREMAP Project in Indonesia, at selected sites in the South China Seas Project in Thailand, at sites in the USAID Fisheries Enhanced for Sustainable Harvest (FISH) project in the Philippines, and at project sites managed by local and national government units (LGUs and NGUs) in Quezon Province, Philippines. In addition, regional workshops were held in Central America and the Caribbean and in Southeast Asia and Micronesia;
- "collective learning activities" undertaken with the ICRAN-European Union (EU) South Asia Project where a number of workshops, including a "training of trainers" workshop in the Maldives, were held. Further workshops in the Caribbean were also held through a partnership between the WorldFish Center and the Center for Resource Management and Environmental Studies (CERMES) of the University of the West Indies Cave Hill Campus in Barbados;
- a number of regional and international fora, including the 3rd International Tropical Marine Environmental Management Symposium (ITMEMS; 2006), the 4th International Waters Conference (2007) and the 11th International Coral Reef Symposium (ICRS; 2008). In total, 20 workshops were held, surpassing the original goal of 10 workshops in 3 years.

125. Some of the shortcomings of the project in ensuring uptake of project lessons and recommendations have already been discussed (see the section on Effectiveness, above). Despite these shortcomings, with the many awareness programs that were introduced, the general public, especially the coral reef stakeholders, were provided ready access to the lessons learned and best practices generated by the project. Hence, this aspect is rated **Satisfactory (S)**.

4.3.6 Country Ownership / Driven-ness

126. The project failed to clearly show and discuss what mechanism will be used and applied to institute country ownership of project outputs. Hence, a rating of only **Moderately Satisfactory (MS)** was given here.

127. While it was claimed that "the application of key lessons will contribute significantly to improving the effectiveness of instruments, networks and national plans and programs" on coral reef management and related undertakings, the project's terminal report has limited data and information to substantiate this.

128. At the country level, ICRAN and its network were the primary avenues that were relied upon in disseminating the project's outputs at established coral reef management demonstration sites. It was mentioned that the project will also rely upon countries that are parties to various international environmental agreements and conventions where coral reef management and

protection is a priority. Nonetheless, there are no assurances that these countries will utilize the project's outputs.

129. The small number of countries that utilized and pilot-tested the project's outputs are not enough to conclusively state that the project made a significant contribution to a particular country's efforts in sustainable management of coral reef areas. Nonetheless, the project's outputs proved relevant to many developing countries that depend upon the continued health and functionality of coastal and marine ecosystems, especially those countries that are recipients of international support that would fund coral reef conservation efforts.

4.3.7 Preparation and Readiness

130. The project got off to a late start, as the funds were not made available until February 2006. Hence, forging of partnerships was adversely affected in terms of timing. Partnership development was further hampered by the withdrawal of the Tropical Marine Learning Partnership (TMLP) from the project. This was remedied by replacing TMLP with the ICRAN EU project. However, this was not accomplished on time because key ICRAN personnel were on extended leave and a Memorandum of Agreement (MOA) could not be signed at once.

131. Likewise, the recruitment and hiring of the Project Leader began only six months after project approval, i.e., on 19 June 2006. This too had serious implications for the start-up of the project.

132. The Project Leader began contacting project personnel and other coral reef managers in order to create a learning and exchange network of coral reef professionals, and to gather as much information as possible on lessons learned and best practices. Other measures were also instituted to address some of the delays. Three consultants (one each for the Africa, Asia, and Latin America-Caribbean [LAC] regions) were hired to fast-track the review of both GEF and non-GEF coral reef project portfolios.

133. As of 30 June 2007, the project was still about 6 months behind schedule. The Project Leader, through revision of the work plan and budget, and other proactive steps, made considerable progress towards reversing the earlier delays, and by 2009, the project was back on schedule.

134. In summary, although ultimately, implementation of project activities was concluded on schedule, the significant delays that plagued the project in the beginning indicate poor preparation and readiness. This was compounded by an apparent lack of planning for provision of counterpart support at the local level. Taking these factors into account, a rating of **Moderately Unsatisfactory (MU)** is given for this criterion.

4.3.8 Monitoring and Evaluation

135. In the description of M&E functions for this project, it is stated in the Medium-Size Project proposal to GEF that:

“...this project does not involve Monitoring and Evaluation in a typical sense. Rather, this proposed project provides a critical evaluation service to the GEF. However, various activities and aspects of this project should be monitored and evaluated for quality and performance to the extent that lessons learned are effectively translated and applied in the field, and that any networks and targeted learning exercises meet their stated objectives.”

136. Thus, despite the fact that the project possesses some unique features that distinguish it from typical coral reef management projects, regular monitoring of project implementation was called for, utilizing the OVIs in the logical framework as basis. Focus of the M&E was at the outcome and activity levels.

137. As required by UNEP, in assessing the M&E system, three factors were considered: (a) overall quality of the M&E plan; (b) the performance in the implementation of the M&E plan; and (c) whether appropriate budget was set aside for undertaking the M&E plan.

a. Design of the M&E Plan

138. In general, the M&E plan is vague. The Key Performance Indicators (KPIs) assigned for each outcome were very broad, and different from OVIs found in the project framework. Following the intent in the project proposal, the KPIs should be closely related to the OVIs and MOVs. For instance, for Outcome 1, the KPIs developed were: “(a) results presented in semi-annual reports to UNEP; (b) database complete; and (c) analysis report published.” In the logical framework, the OVI was “an improved understanding of the successes and failures from past experiences that can be applied to present and future projects.” While the MOVs present somewhat more quantifiable targets (e.g., number of sites in which lesson transfer has been documented, number of case studies published annually that outline improved management of coral reefs, and listing of new or modified coral reef-related policies) the correlation to the KPIs is still poor. With indicators that are imprecise, it is very difficult to conduct critical monitoring. The KPIs should have been more closely correlated to the OVIs/MOVs, and should have been stated in quantifiable terms, and with a fixed timeframe assigned for easier tracking of performance and results.¹³

139. The M&E plan was much clearer in assigning the distribution of functions and responsibilities of agencies involved in monitoring.

140. The overall quality of the M & E plan is given a rating of **Moderately Unsatisfactory (MU)**.

b. Implementation of the M&E Plan

141. The KPIs provided in the M&E plan were not adequately taken into account by the executing agency and other responsible agencies in undertaking the regular monitoring work specified. Nonetheless, some of the relevant OVIs in the logical framework were used in tracking the progress of project activities, and it was possible to fulfill the specified reporting requirements (financial, including on co-financing and auditing, and substantive reports) as indicated in annual PIRs and semi-annual progress reports for the project. However, no Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) was completed. In addition, there was no risk mitigation plan implemented. The performance in implementing the M&E plan is rated **Moderately Satisfactory (MS)**.

c. M&E Budget

142. Finally, on the third evaluation criterion for M&E, there was no specific budget allotted for the MTR and MTE, but funds were set aside for the Terminal Evaluation. Contradictory indications are found in the project files concerning budget allotments for expenses associated with various sorts of data collection activities, such as stakeholders' surveys, field surveys, steering committee meetings to assess project progress, peer review, etc. In the 2007 and 2008 PIRs, there is no indication that budget for these functions was allocated, but in the 2009 PIR, it is noted that money was made available. In view of the uncertainty (and potential inadequacy) of the budget allocations for M&E, this factor is given a rating of **Moderately Unsatisfactory (MU)**.

¹³ Refer to Annex 6 for further discussion concerning weaknesses and inconsistencies in the project OVIs.

143. Considering the forgoing information, the overall rating given for the M&E criterion is **Moderately Unsatisfactory (MU)**.

4.3.9 Implementation Approach

144. In general, the project implementation plan was followed. Except for the replacement of TMPL as a partner-cooperator due to problems in funding, most of the elements of the plan were carried out as prescribed. TMPL was replaced by ICRAN's EU-funded project "Long-term Management and Conservation of Marine and Coastal Resources in South Asia".

145. UNEP acted as the implementing agency for the project, and was responsible for overall supervision and ensuring consistency with GEF and UNEP policies and procedures. UNEP also provided guidance on establishing linkages with other related UNEP- and GEF-funded activities. UNEP had responsibility in reviewing and approving substantive technical reports produced by the project in accordance with its required outputs and schedule of activities. The UNEP Division of GEF Coordination (DGEF) on the other hand, was responsible for monitoring the progress of project activities and in clearing and transmitting financial and progress reports to the GEF.

146. The WorldFish Center served as the executing agency and was responsible for the implementation of the project in accordance with the objectives and activities outlined in the Project Document.

147. A Steering Committee (SC) guided the overall implementation of the project. The SC's membership was composed of representatives from the GEF, GEFSEC/Monitoring & Evaluation, GEF Scientific and Technical Advisory Panel (STAP), UNEP, IW:Learn, the GEF Coral Reef Targeted Research Project, the World Bank, Conservation International, TNC, WWF, and NOAA. The SC's main function was to provide guidance and advice to the Project Leader regarding the progress and direction of the project, and specifically, to ensure that the Project Leader performed as required for putting in place effective mechanisms to bring about the desired (and measurable) impacts.

148. As planned, the first year of the project involved the review of the project portfolio of all GEF projects involving coral reefs (and associated) resources. This was not immediately accomplished, since the project was hampered by serious delays. The project account was not set up until February 2006 and the Project Leader was not recruited until late June of 2006, with the first SC meeting held one month later. The project's real work started five (5) months behind schedule. The problem was further aggravated by the delays in forging partnerships and linkages with key implementation partners. Memoranda of Agreement (MOAs) took time to approve, causing an additional lag time in completing project deliverables.

149. While somewhat behind schedule, the project nonetheless proceeded according to the implementation plan. Relevant coral reef project documents were collected, reviewed and analyzed, although this too proved difficult, because a significant number of them were not available, incomplete or difficult to access.

150. In an effort to reverse the delays in the execution of the workplan that had occurred, three consultants were hired (one each for the Africa, Asia, and LAC regions) to review GEF and non-GEF coral reef project documents. The Project Leader also immediately began contacting project personnel and other coral reef managers to establish the foundation to develop a network of coral reef professionals. Work and financial plans were revised to align with the changes made in the project's implementation strategies. It is considered that these were only minor deviations from the original plans.

151. It was reported in the UNEP GEF PIR for FY 2009 that “... in late 2007 and through 2008, this project made excellent progress. The team of consultants hired to review the project portfolios completed their reviews in October 2007 and met in November 2007 at a synthesis workshop, where the key information from the regional reviews was synthesized into a report on lessons learned. At this workshop, the basic structures of the Lessons Learned and Best Practices Toolkit were designed”. These activities coincided well with the project’s second year implementation plan, which would involve refinement of specific lessons learned, recommendations in developing best practices and holding specific, targeted workshops needed to highlight the lessons learned and best practices developed.

152. During this period, the project also produced CD-based and web-based toolkits containing case studies, lessons learned and best practices on coral reef management. It also produced: (a) a project brief summarizing the lessons learned; (b) a project brief summarizing marine protected area management best practices; and (c) checklists of best practices for a range of coral reef management issues. These products were distributed at 13 conferences/workshops in 2008 and presented at another 13 workshops/symposia in 2008. The project also planned to create a network of only 100 coral reef professionals, but this has grown to over 300 members. Pilot tests of the use of the toolkit were (or are being) undertaken at various sites. All these outputs are very much within the scope of the project’s implementation plan.

153. Again, as planned, the final phase of the project implementation focused on dissemination, networking and replication of project results. In 2009, regional workshops were held in Central America and the Caribbean and in Southeast Asia and Micronesia. Trial implementation (replication) of this project’s recommendations and best practices was conducted at selected ICRAN sites and in selected GEF and non-GEF projects. This conforms with the project’s activities where tool kits and checklist are actively disseminated in Year 3.

154. The project also took advantage of conferences and symposia scheduled over the project life, particularly the 3rd quadrennial International Tropical Marine Ecosystems Management Symposium (ITMEMS3) to serve as venue for the exchange project’s information and lessons.

155. From the above assessment, it can be concluded that the project did not deviate dramatically from the implementation plan. It was only during the first year of implementation when revisions of project activities were undertaken to address earlier delays. Following this, implementation proceeded much more smoothly. The project was implemented following the four key components, and it generally adhered to its schedule of activities. Hence, a rating of **Satisfactory (S)** is given for this criterion.

4.3.10 Financial Planning

156. The project had support valued at US\$1,889,000, of which \$940,000 came from GEF and the remaining \$949,000 was contributed as an in-kind counterpart from the WorldFish Center and its partner NGOs.

157. The disbursements and actual expenditures, as reported in the PIRs, are presented in Table 2.

Table 2 Disbursement and Expenditures, GEF Knowledgebase LL Project

| As of 30 June of: | Amount disbursed (US ‘000, rounded) | Actual Expenditures Reported (US ‘000, rounded) | Actual Expenditures entered in IMIS (US ‘000, rounded) |
|-------------------|-------------------------------------|---|--|
| 2009 | 940 | 919 | 919 |
| 2008 | 580 | 160 | 434 |
| 2007 | 311 | 232 | 137 |

158. The final reported co-financing, at \$997,181, was higher than the original counterpart fund of \$949,000.00. It is also important to mention that the project was able to leverage additional funding from NOAA and project partners from the Philippines. Further details regarding project co-financing and expenditures are presented in Annex 8.

159. However, no disbursement report of the counterpart funding was presented, even though this was an in-kind contribution only. It would be useful to know the extent of utilization of co-financing, since this will help in future project fund allocation and management.

160. In the Project Document, the project indicative cost (or financing) was presented and summarized by project component, i.e., \$140,000.00 (or 7%) for Knowledge Theme Classification; \$570,000.00 (or 30%) for Information Gathering; \$575,000.00 (another 30%) for Analysis and Synthesis; and \$604,000.00 (or 32%) for Dissemination of Project Outputs or Findings.

161. However, the financial reports made available to the evaluation consultant did not include an accounting of expenses by project component. This made it difficult to assess the efficiency of use of the project's funds. As it is now, there is no basis in saying, for example, that the allotment given to the component on Knowledge Theme Classification was sufficient. The same is true for expenses incurred for other project components.

162. Also, the disbursement reports contained significant discrepancies in the expenses reported. In one document (Summary of Cash Advance to Executing Agency, Recorded Expenditures, Unspent Cash Advance and Undisbursed Budget), the recorded expenditure as of 04 February 2010 was only \$351,065.00, or 42.49% of the cash advance of \$846,000.00. On the other hand, in the UNEP GEF PIR for FY 2009, the reported actual project expenditure as of 30 June 2009 was \$919,187.25, or almost 98% of the GEF financing of \$940,000.00.

163. Despite these shortcomings, from the project documents, it is deduced that the financial plan was well-conceived, because it was revised only once. The revision, in the "Project Personnel" line item, was made to accommodate greater costs associated with additional time inputs by the Project Leader, needed to enable completion of project deliverables. The added cost was offset against savings realized through contracting of consultants at rates that were below the budget. The remaining project costs (for sub-contracts, training, equipment and premises, and miscellaneous expenses) were in-line with the original budget estimates.

164. Overall, financial planning was satisfactory, but because a detailed disbursement report is wanting, the rating given for this criterion is **Moderately Satisfactory (MS)**.

4.3.11 UNEP Supervision and Backstopping

165. UNEP, as the project's implementing agency, provided much-needed overall supervision and guidance, particularly on establishing linkages with other related UNEP- and GEF-funded activities. The active engagement of UNEP provided the needed impetus and guidance to help move the project forward. Because UNEP was able to provide strong guidance and support, the TE gives a rating of **Satisfactory (S)** for UNEP's supervision and backstopping.

166. Two other aspects relating to project oversight and management functions bear mention here. Firstly, in reviewing the project file, it was noted that only three meetings of the project steering committee (SC) were convened throughout the life of the project. The three meetings of the SC provided important guidance to the project implementers in addressing several critical issues: (i) addressing the delays faced by the project during the initial year of implementation,

particularly in selecting a replacement to the original project partner; (ii) fast-tracking the compilation of reports and relevant documents from on-going coral reef projects to facilitate review, analysis, and synthesis of lessons learned and best practices; (iii) reviewing the project's logical framework, including the OVIs, and the work and financial plan; (iv) effectively mainstreaming lessons learned and best practices; and (v) disseminating, adopting, and testing of project outputs in on-going and future coral reef projects. While the SC was effective in giving important management guidance, still, given the complexity and broad-reaching objectives of this project, it might have been desirable to have scheduled more frequent meetings of the steering committee to ensure optimal performance in project implementation.

167. Secondly, during interviews with project management personnel, it came out that GEF itself was not as engaged in the project as might have been hoped. Given the project objectives, and the possible implications for performance of the GEF portfolio within the coral reef sector, stronger engagement by GEF would have been expected and desired. The lack of engagement was reflected in low participation of GEF personnel in steering committee meetings. Also, project managers expressed their interest in having dialogue with GEF about specific ways to improve the sustainability, relevance, and utility of the project's outputs, by embedding them as a criterion in GEF's standard review processes for all projects related to coral reefs. For example, application of the toolkits and best practices could have been required for approval, monitoring, and evaluation of GEF-supported coral reef projects (much as the use of the tracking tools is now a requirement for GEF biodiversity projects). Although this option certainly seems worth further consideration, especially as a means to improve efficiency for future GEF projects, according to the project managers, GEF personnel did not express much interest in considering it.

4.4 Project Impact: Review of Outcomes to Impacts (ROtI) Analysis

168. In this evaluation of the GEF Knowledgebase-Lessons Learned project, it is accepted that the intended project impacts, or global environmental benefits (GEBs), could not be fully realized by the conclusion of project activities. Thus, rather than evaluating impacts directly, it is necessary to utilize a different, indirect approach to determine the likelihood of whether or not the intended impacts of the project may be achieved in the future. The "Review of Outcomes to Impacts" (ROtI) is an analytical method that has been developed for this purpose. This method relies on the identification of "intermediate states" that need to be achieved, and scaled up, to eventually lead to the attainment of intended impacts or GEBs. The degree to which such intermediate states have been achieved as a result of project interventions thus gives an indication of the likelihood that the project may contribute to promoting the desired impacts in the future.

169. The ROtI analysis for the project is presented in Annex 7. It was determined through this analysis that, based on the accomplishments of the project, it is **Moderately Likely** that the desired GEBs will be achieved.

5 Conclusions and Rating

5.1 General Conclusions and Rating

170. In general, project activities were completed successfully, and the objectives and outputs of the project were achieved. However, the project's goal to enhance the capability of GEF and country institutions to effectively access and apply past lessons, was not achieved. Overall, the project's design was sound, but in this TE, it is considered that the target impact was too ambitious. Likewise, the likelihood of attaining the desired impact could not be determined with any certainty, by the time of this TE. It will take a considerable additional amount of time (possibly, another 3 to 5 years or so) to be able to fully appreciate the project's impacts. The ability to

evaluate the likelihood of achieving desired project impacts is somewhat compromised by the fact that the project outputs were applied and tested in only a few cases.

171. Country ownership of project outcomes is key to successful coral reef management. While it could not be demonstrated that the project succeeded in enhancing the capability of GEF and country institutions to better design and implement coral reef management projects, it can at least be stated that the project was successful in laying the foundation for this to occur in the future.

172. Implementation of the project was hampered because of inconsistencies and differences in statements of goal, objectives, and outcomes found in the different sections of the Project Document, including its Logical Framework. Because of these inconsistencies, achieving the desired impacts of the project may also be more difficult. This failure could lead to a “cascade effect” whereby the ability of implementing institutions and agencies, including GEF, to design doable projects, may be adversely affected in the future.

173. The plausibility of survey results on the level of acceptance and perceptions of the utility of the project’s outputs is questionable, as the surveys were run by the project itself. The UNEP, being the implementing agency, could have commissioned the services of a third party institution or organization to run the survey, instead of leaving this to the executing agency itself. Conceding that the findings of the survey may still need further validation, the generally positive feedback provided by the respondents¹⁴ suggests that the project outputs (toolkit and checklist) may, after all, be useful. Some indicators imply that the desired impacts of the project could still be attained, assuming that some ongoing baseline support (e.g., continuing awareness training) could be provided for concerned country implementors and institutions.

The overall rating of the project is **Moderately Satisfactory (MS)**. The evaluator’s analysis is summarized in the overall ratings table below (Table 3).

Table 3 Overall Ratings Table

| Criterion | Evaluator’s Summary Comments | Evaluator’s Rating |
|---|--|--------------------|
| A. Attainment of project objectives and results (overall rating) Sub criteria (below) | | MS |
| A. 1. Effectiveness - overall likelihood of impact achievement (ROtl rating) | The direct impacts of implementing lessons learned and good practices cannot be measured within the lifetime of the project. The general impacts can realistically be felt only after years of application. The project design, particularly the goal and objectives, was overly ambitious because of the unrealistic expectations of the GEF, UNEP, and WorldFish Centre. Even if outputs are satisfactorily met, this, however, does not ensure a corresponding realisation of the project’s impacts. Post project analysis will still be necessary. | MS |
| A. 2. Relevance | The Project’s outputs (e.g., guides/toolkits, network of coral reef management professionals and stakeholders, etc.) support the GEF Focal Area on Biodiversity and closely link with International Waters and Climate Change. They also support the GEF Operational Program (OP) #2 on Coastal, Marine and Freshwater Ecosystems. | S |
| A. 3. Efficiency | Despite delay in the release of project fund, which resulted in the delayed implementation of he project (commenced only on February 2006), the project was able to catch up with its target outputs and used its allotted budget practically in accordance with its financial plan. Only a very insignificant revision of budget was made, which in totality, did not affect the project implementation. | S |

¹⁴ The fact that there were only 63 qualified respondents who participated in the survey (out of some 300 solicited) is one factor that raises questions about how the results of the survey should be interpreted.

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|---|--|--------------------|
| B. Sustainability of Project outcomes (overall rating) Sub criteria (below) | | ML |
| B. 1. Financial | There is no assurance that counterpart funds for this kind of undertaking at the local/country level will be available once the support of GEF and other fund sources ceased. The unexpected withdrawal of TMLP is a glaring example of this. So while international organizations are continuously seeking funding for coral reef projects, it does not mean that there will always money available at the local level. It must be noted that these organizations have their own staff and organization to run and chances are, a big portion of this solicited money may go to their operational costs. | ML |
| B. 2. Socio Political | While there are strong pressures and advocacies from international environmental organizations to protect and conserve coral reefs, there is no assurance, however, that counterpart local political will is present at the local/country level to support coral reef management. The project is silent on this matter and there is no clear basis to say that such socio-political commitment to implement is present among the local implementors and local government units. | ML |
| B. 3. Institutional framework and governance | With UNEP at the helm of project implementation, it will not be difficult to disseminate and apply the outputs (toolkit and checklist) of the project. UNEP can easily build on its partnership with the International Coral Reef Initiative (ICRI) and the Regional Seas Programmes. It is also important to note that UNEP has a Coral Reef Unit that leads international efforts to save threatened coral reefs globally. It works actively with concerned international organizations to reverse coral reef degradation and also assists in soliciting international, national and local support for coral reef conservation and sustainable use. | L |
| B. 4. Environmental | The project actions, in and of themselves do not have any direct environmental impacts. It is anticipated that, to the extent that these activities will encourage improved management of coral reefs, the overall environmental impacts of the project will be positive. | L |
| C. Catalytic Role | Only a few institutions and projects (in selected ICRAN sites and in GEF and non-GEF projects) tried implementing (replicating) the project's lessons learned and best practices on coral reef management. The project terminal report is replete with sufficient information on creating enabling mechanism, providing incentives (including local counterpart funding), formulating policy framework, and capacity development on coral reef management. | MS |
| D. Stakeholders involvement | The mechanisms (website, network, publications, workshops, meeting, for a, etc.) for making public aware of the project outputs were put in place. From the results of survey undertaken, there is a generally positive response towards the project's outputs. The problem though is how to convince a good number of partners to try and apply the project's outputs. | MS |
| E. Country ownership / drivenness | The project failed to clearly show and discuss what mechanism will be used and applied to institute country ownership of project outputs. | MS |
| F. Achievement of outputs and activities | The targets outputs and activities were generally achieved and delivered within the expected timeframe. The network of coral reef professional was established with membership higher than the target. The toolkits, checklist, guidelines and other information materials produced by the project are continuously being disseminated, although trial are limited to few sites only. | S |
| G. Preparation and readiness | There were delays encountered in project implementation. But because of the vigilant moves of the Project Leader (revision of work and financial plan, contacting project personnel, holding of meetings, workshops, review and analysis of projects' documents, etc.), the project was able to catch up with all its target outputs within the timeframe. | S |
| H. Implementation approach | No major revisions on nor deviation from the project's methodology was made. The project practically stuck to its implementation plan and | S |

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|--|--|--------------------|
| | delivered the outputs on time. | |
| I. Financial planning | The project was able to leverage additional funding from NOAA and project partners from the Philippines. The co-financing provided was even higher compared to the approved counterpart fund, which can be attributed to the additional in-kind contribution of ICRAN. Disbursement reports are generally insufficient. | MS |
| J. Monitoring and Evaluation (overall rating) Sub criteria (below) | | MU |
| J. 1. M&E Design | The M&E plan is vague. KPIs were very broad, and different from OVI's With indicators that are imprecise, it is very difficult to conduct critical monitoring. KPIs should have been more closely correlated to the OVI's/MOV's, and should have been stated in quantifiable terms, and with a fixed timeframe assigned | MU |
| J. 2. M&E Plan Implementation (use for adaptive management) | KPIs provided in the M&E plan were not adequately taken into account by the executing agency and other responsible agencies. Nonetheless, some of the relevant OVI's in the logical framework were used in tracking the progress of project activities, and it was possible to fulfill the specified reporting requirements (financial, including on co-financing and auditing, and substantive reports). No MTR or MTE was completed. | MS |
| J. 3. Budgeting and Funding for M&E activities | Money budgeted for M&E was not used to undertake an MTR or MTE, but only for the Terminal Evaluation. Contradictory indications are found in the project files concerning budget allotments for expenses associated with various sorts of data collection activities. | MU |
| K. UNEP Supervision and backstopping | UNEP provided the much needed overall supervision and guidance, particularly on establishing linkages with other related UNEP and GEF-funded activities. | S |

5.2 Answering Key Questions

174. Guidance is provided in the TOR (see Annex 1) concerning specific evaluation questions that need to be answered, in order to satisfy the fundamental objectives of this TE. This section provides answers to (i) the questions that are specified as the main focal points for this evaluation; and (ii) questions that are intended to explore the potential of the project to bring about beneficial impacts and tangible results.

5.2.1 Focused Evaluation Questions

175. In the TOR, three questions are presented as the main areas of focus for the evaluation. The first of these focused evaluation questions to be answered is, ***“How successful has the project been in identifying, analyzing and translating lessons learned into good practices and information resources and in the dissemination of information globally for use in future project development?”***

176. The project was relatively successful in identifying, analyzing and translating lessons into good practices and information resources (materials). It completed the review of 115 (65 GEF and 50 non-GEF) coral reef-related projects, of which 53 (28 GEF and 25 non-GEF) underwent intensive review and examination. The lessons generated from these reviews were translated into coral reef management tools (policy briefs, tool kits and manager's checklists) and publications (5 different sets of information materials of about 500 copies each) and CD-ROMs distributed worldwide.

177. The project was also successful in establishing the “avenues” whereby these information materials are disseminated globally, i.e.: (a) through the project's own website (<http://gefll.reefbase.org>); (b) through other existing websites of partner agencies (ICRAN, ICRI-

Forum, IW:Learn, GEFWEB and FAO); (c) presentations made in over 20 workshops, meetings and fora; and (d) through the Coral-L listserv of the US National Oceanic and Atmospheric Administration (NOAA) with over 5000 active members.

178. The next question posed is, ***“Has the capacity of multilateral country institutions to develop and implement effective and efficient coral reef projects been enhanced?”***

179. The project failed to make a conclusive statement relative to the enhancement of capacity of GEF and other multilateral country institutions to develop and implement effective and efficient coral reef projects. Although it was mentioned in the project reports (PIR and Terminal Reports) that awareness of and positive responses towards the tool kits and other information materials had been received, so far, it has been reported that the tool kits have only been tested in the USAID FISH projects in the Philippines. “Assurances, commitments and promises” (the wording of the reports) have been received from managers of other projects, to use the tools, but there are no clear indications how far these efforts have been taken to-date.

180. One reason why the project may not have been able to make any concrete statement on this is probably because this is one of the objectives (or outcomes) that is unrealistically set. So far, the activities undertaken by the project relative to this objective have only provide the mechanisms for enhancement. Knowing whether the capacity of the multilateral country institutions was actually strengthened or not will take more time and can only be ascertained quite some time after project completion.

181. It is important to note in this regard that making institutions aware is different from enhancing their capacity. This is one of the desired or intended impacts which the project, even at the onset, claimed that they could not fully deliver, stating that the project design (as translated into the OVIs) was overly ambitious.

182. The final focused evaluation question is, ***“Has a virtual peer network of coral reef management professionals and stakeholders been established, and is it used actively?”***

183. Initially, an effort was made to establish the project’s own network (e-mail list-server and web blog). However, this was dropped in favor of the more established Coral-L listserv of the US National Oceanic and Atmospheric Administration (NOAA) with over 5,000 active members. Since these coral reef professionals are already familiar with and actively utilize this network, the project management considered that establishing a separate new network would be redundant and unnecessary.

184. This turn of events in the evolution of the project seems to suggest that this third evaluation question actually became irrelevant, since a virtual peer network of coral reef managers already existed before the project was initiated, and there was no purpose in setting up another one.

5.2.2 Key Evaluation Principle

185. In addition to the three focused evaluation questions discussed above, there are also two simple, yet compelling questions that are asked as part of the “Key Evaluation Principle” described in the TOR, that are intended to explore the actual impact that the project has had, or that it may be likely to achieve in the future. The first question to be answered here is ***“what happened?”***, in other words, what were the various activities and outputs achieved by the project? The answer to this question is already found in detail, in response to the forgoing “focused evaluation questions”, and in other sections of this report. As indicated therein, many of the project achievements were positive and significant. But to complement this, the second

question, “*what would have happened anyway?*” (even without the project), also bears critical analysis. A number of points to be considered in this regard are as follows:

- As has been mentioned, the reliance of the project upon existing structures (e.g., use of ReefBase and other linked websites as the main means for disseminating project information) resulted in considerable efficiencies and cost savings. On the other hand, it is quite likely that the organizations that are maintaining these websites, with their considerable resources and wide audience, may already be effectively disseminating very similar tools and information, albeit in slightly different forms, as those being offered by the project.
- Similarly, even without the project, information about past GEF coral reef initiatives, and their accomplishments, could be accessed anyway through other existing servers including Yahoo!, Google, Wikipedia and other search engines.
- Third, the network or e-mail list server of coral reef professionals and stakeholders is already available through the NOAA and therefore, it was not surprising that the network developed by the project was dropped in favor of this already existing one.

186. The instances discussed above might be taken to suggest that, ultimately, the impact achieved “with project” may not be that different from a “without project” scenario. However, it can be seen that overall, the project’s products and outputs incrementally complement and strengthen the resources brought to bear by the above-mentioned institutions. Therefore, perhaps it is fair to say that while some of the achieved outcomes might have ‘happened anyway,’ the project helped to actualize these outcomes, and hasten their realization.

6 Lessons Learned

187. In designing similar projects in the future, the following lessons should be taken into consideration:

- a) **Building a sustainable project identity:** There was general consensus that the toolkits, best practices and other knowledge products developed by the project were helpful. However, in the course of discussions during the interviews, and from responses by stakeholders on the questionnaires, there was a sense that these products were more effectively disseminated through the project’s workshops, training seminars, and similar activities, rather than through placement of the products on the website. While there is certainly a place for using the internet as a vehicle for information dissemination (and to help promote long-term sustainability), placing information on the internet is a passive means of information dissemination; it is clear that it must be backed up by more active means, especially in the initial stages (while recognition is being built up). These active means include a strong campaign of awareness-raising, “branding,” and information dissemination through other, more personalized activities. These efforts must be continued long enough to ensure that “name recognition” of the project and its website are achieved, so that most people in the targeted field of knowledge know where to look online for important information. Continuing these support activities is also important for filling gaps, for example, reaching those who may not be able to readily access the information online.
- b) **Clear statement of goals, objectives, outcomes:** In this project, many of the outputs or outcomes were merely generic statements, to wit:

Produce a critical review & analysis of coral reef & associated ecosystem projects and summarize their principal outcomes in order to derive lessons learned, key factors for success, root causes of failures and identify ways to capture lost opportunities

A network of professionals, (particularly within developing countries) actively engaged in the sharing of lessons from past and ongoing coral reef projects

Increased awareness and implementation of good practices through dissemination of good practices guidelines, toolkits and information resources for use by other projects in developing countries and implementing activities and widely disseminate this information globally

Instead, the target outcome and desired impacts should have been designed and defined to be (i) achievable within a reasonable and specified timeframe (for example, within five years of project completion); (ii) measurable; and (preferably) (iii) quantifiable. Furthermore, outcomes should specify a change of behavior for a particular target group.

- c) **Indicators**: The criteria or indicators for measuring impacts and outcomes (including OVs, MOVs, and KPIs) should be clearly expounded in the project document. These criteria and indicators must be consistent throughout the document, and between the document itself and the project logical framework.

As one example, some of the project's OVs were overstated, and are not readily measurable. The OVI for the project goal, for instance, is more a paraphrasing of the goal itself. It states that there will be "demonstrably enhanced capability within country institutions...." Instead, it would be more appropriate that the OVs refer to more tangible indicators. In this case, the OVI might be restated as "...foundations or enabling mechanisms, such as awareness and training programs on coastal and coral reef management, are put in place to enhance capability within country institutions...."

- d) **Preparation**: The hiring of key project personnel, like the project leader/project manager, should have been done at an early stage, before the actual project implementation. This project suffered major delays because the project leader was hired 6 months after project launch. Similarly, MOAs with prospective partner institutions should have been forged immediately after the approval of the project to avoid delay.
- e) **Efficiency and Cost Savings**: Significant cost savings and efficiencies were achieved by having the project website embedded in the ReefBase online architecture, and linked to a number of other websites as well (e.g., ICRAN, ICRI-Forum, IW:Learn and FAO). The clearest benefit of these linkages is the much wider reach that is achieved through this expanded network. Further benefits derived through the ReefBase linkage include access to the database and GIS engine used by ReefBase. This design not only creates such efficiencies and cost savings, but also enhances sustainability and longevity of the product.

Similarly, the use of NOAA's e-mail list server, rather than creation of a new e-mail network to reach large numbers of project managers and others involved in coral reef projects, has achieved significant cost savings, greater reach and effectiveness, and more efficient use of resources.

- f) **Structure of the Product**: In the materials produced as part of the project, the case studies or the projects reviewed are presented by region, i.e., East Africa and Red Sea, Latin America and Caribbean, and Asia and Pacific; and further subdivided into GEF and non-GEF projects. To be more useful and relevant, these should have been presented according to the eight themes or issues outlined in the report. For instance, if one project manager would like to know the details about Partnership and Linkages (Issue No. 4), he/she can easily browse through the cases under this issue or theme.
- g) **Evaluating Uptake**: Key to determining the impact of the project is knowing the number of existing coral reef projects that adopted and utilized its products, and the extent to which use of the products influenced the overall direction and operations of those projects. Criteria for identifying those projects that demonstrated such "uptake" and application of results, should

have been generated at the early stage of project implementation. This would have facilitated faster verification of project results and impacts.

- h) **Diffusion and Uptake of Knowledge:** It does not necessarily follow that, once people are made aware of a particular coral reef management strategy, they will automatically utilize it in practice. The diffusion and uptake of knowledge follows a series of steps, which must take place in order for a high rate of acceptance and adoption to occur. The process of acceptance of new ideas, or innovations, includes at least five stages, and this same process may apply with regard to the adoption of the GEF LL tools. First, an individual **becomes aware** of the new idea, such as the toolkit or manager's checklist. He knows about their existence, but he lacks detailed knowledge. Second, through a process of exposure and persuasion, the individual **develops interest** to obtain more information (e.g., about the toolkit), i.e., wants to know what it is, how it works, and what its potentialities are. Third, the individual **evaluates** the idea or innovation (in this case, the toolkit). Fourth, if he thinks the idea or innovation would be beneficial for him, he **tries** it, but only on a limited scale. Fifth, if the trial produces positive results, then the individual **adopts** the idea or innovation, and incorporates it as part of standard practice.

While there was some success in exposing prospective users to the project products, it appears the actual application of the products was more limited. Encouraging the internalization of ideas or approaches often requires reinforcement and repeated exposure over time. In contrast, this project seemed to offer its tools and lessons on a "one-shot" basis--beneficiaries were not repeatedly targeted and encouraged to take up the various products, nor, it seems, were they checked later on to find out whether there were questions or concerns about how the tools could be best applied. It may be that the level of effort needed to adequately reinforce the adoption and application of the project's products, may have required greater resources than were available.

- i) To better validate project evaluation findings, funds should be allocated to conduct site visits and more detailed interviews during the TE. Site visits are especially useful in identifying results achieved on the ground, and could help to better inform the process of impact evaluation. Site visits and more in-depth interviews could also be more effective tools for exposing project weaknesses. This could contribute significantly to improvements in the planning and design of future projects.

7 Recommendations

188. Because this is a Terminal Evaluation, it is not intended that recommendations will be made here to improve the performance of this project, but rather, that targeted measures might be applied to strengthen the design or implementation of related projects in the future. In this light, the following recommendations are presented to the GEF and UNEP.

- (i) In order to adequately determine the impacts of the project, GEF should consider supporting an extension or sequel project. This project would in theory track trends relating to the changes or improvements in the design, implementation, and management of coral reef and related projects, and would attempt to relate how these changes might have been influenced by the outputs of the GEF-Knowledgebase LL project.
- (ii) To facilitate better appreciation of lessons learned, and to make recommendations more achievable and attainable, Worldfish and its partners should present these in a matrix where specific lessons or recommendations are matched with particular reef projects analyzed. The lessons and recommendations could be categorized by themes or issues. For instance, under the "Project Design" theme, lessons about the critical need for community-based participatory processes would be

substantiated by citation of specific case studies of projects that were reviewed and found to exemplify the lesson. For each case cited, links could be provided to enable interested readers and researchers to access more detailed project information.

- (iii) Further, it would be very useful if Worldfish and partners could support the lessons learned, best practices and recommendations by providing specific guides or guidelines on how to best apply them. For instance, how will co-management strategy be applied? What are the prerequisites? What are the step by step procedures? These are important details that could have significantly improved the usefulness of this knowledge product.
- (iv) Counterpart support (whether through cash or in-kind contributions) should be made a mandatory feature for partnership agreements for projects such as this, where building the capacity of local partners is a major objective. GEF should consider requiring this type of support in future projects, since it serves to solidify commitments and participation, and could even lead, eventually, to support for coral reef management and protection being included in annual budget allocations.

Annexes

Annex 1: TERMS OF REFERENCE

Annex 2: EXPERTISE OF THE EVALUATION TEAM

Annex 3: LIST OF DOCUMENTS

Annex 4: SURVEY QUESTIONNAIRES

Annex 5: LIST OF INTERVIEWEES AND SURVEY RESPONDENTS, AND EVALUATION TIMELINE

Annex 6: COMMENTS ON OVIs OF THE LOGICAL FRAMEWORK OF THE UNEP CORAL REEF KNOWLEDGEBASE LL PROJECT

Annex 7: PROJECT IMPACT PATHWAYS AND 'ROTI' ANALYSIS

Annex 8: SUMMARY CO-FINANCE INFORMATION AND A STATEMENT OF PROJECT EXPENDITURE BY ACTIVITY

Annex 1

TERMS OF REFERENCE

Terminal Evaluation of the UNEP GEF project GF/1040-06-01 (4905)

“Knowledgebase for Lesson Learned and Best Practice in the Management of Coral Reefs”

1. PROJECT BACKGROUND AND OVERVIEW

Project rationale

The project sought to formalize the experiences, outcomes and lessons learned from previous GEF projects, as well as major non-GEF initiatives involving coral reefs and associated ecosystems. The project aimed to comprehensively identify, analyze, and translate lessons into good practices and information resources, and then disseminated this information globally for use in future project design and development.

Based on its history of supporting coral reef biodiversity, management and sustainable development, this project helped the GEF fulfill a major mandate to identify what has worked and what could be improved upon in supporting biodiversity conservation. In combination with other GEF projects, this effort will help the GEF and other major non-GEF projects improve design of future projects involving coral reefs and associated ecosystems.

The objective was stated as:

“Enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently.”

The indicators given in the project document for this stated objective were:

- An improved knowledge for the GEF, based on its project portfolio of lessons learned (e.g. successes and failures), to significantly improve its project granting under the above focal areas for this ecosystem;
- A virtual peer network of coral reef management professionals and stakeholders that will facilitate the dissemination of information, sharing of experiences and initiation of physical exchanges of personnel and resources between projects.

Relevance to GEF Programmes

This project sought to address GEF-3 Strategic Priority 4, "Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues" by generation of knowledge through analysis and synthesis, replication and dissemination. The project was also relevant to Strategic Priority IW-2 within International Waters that addresses Targeted Learning. The project also sought to improve uptake of lessons, through use of strategic trials, to implement best practices, capacity building through a "train the trainers" approach and the development of tools to assist GEF member countries in the better design of projects. Best practices with respect to coral reef management specifically contributed to advancing GEF-3 Strategic Priorities 1 and 2,

Catalyzing Sustainability of Protected Areas and Mainstreaming Biodiversity in Production Landscapes and Sectors, respectively.

Executing Arrangements

UNEP acted as the implementing agency for this project in collaboration with the United Nations Development Programme (UNDP) and the World Bank. The executing agency was the WorldFish Center (based in Penang, Malaysia; for Outcome 1, 2 and 3) on behalf of the International Coral Reef Action Network (ICRAN). Further informational input was received by ReefBase, ReefCheck, Tropical Marine Learning Partnership (TNC, WWF CI, WCS), WRI, the Global Coral Reef Monitoring Network (GCRMN) and ICRAN (ICU, SPREP, East Asian Seas, Caribbean, East Africa; for Outcome 2 and 3). The project was guided by a Steering Committee (SC), and comprised members from the GEF implementing agencies, project executing agencies, ICRAN and the other project partners.

Project Activities

The project comprised of activities grouped in four components.

Component 1: Knowledge Theme Classification and Categories

Development and standardization of methods for collection and analysis
 Identify and communicate with key individuals from selected projects
 Confer with Steering Committee to adopt analytical method.

Components 2: Information gathering: Inventory of all GEF and selected external

Inventory & collection of coral reef projects
 Collect & Review external assessments of previous projects
 Review of ongoing initiatives
 Knowledge Base construction and Maintenance

Component 3: Analysis and Synthesis

Comprehensive analysis of all projects selected
 Development of tools and best practice guidelines from the analysis
 Complete report incorporating all findings from the analysis

Component 4: Dissemination of Findings

Formal establishment of manager’s learning network
 Develop and implement combination of strategic dissemination mechanisms
 Conduct cross-side learning exchanges
 Training of trainers at selected ICRAN sites
 Promotion of new strategies and policies within management agencies

Budget

At project inception the following budget was prepared:

| | <u>GEF</u> | <u>Co-funding</u> |
|----------------------------------|----------------|-------------------|
| Project Development Fund Block A | 25,000 | |
| GEF Medium Size Grant | 940,000 | 949,000 |
| TOTAL (including Block A) | 965,000 | 1,889,000 |

Co-funding sources: Confirmed at inception (\$949,000)

WorldFish Center \$471,000 (In Kind), ICRAN \$78,000 (In kind), NGO’s (Tropical Marine Learning Partnership – TNC, WWF, CI, WCS) \$400,000 (In Kind)

TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

1. How successful has the project been in identifying, analyzing and translating lessons into good practice and information resources and in the dissemination of information globally for use in future project development?
2. Has the capacity of multilateral country institutions to develop and implement effective and efficient coral reef projects been enhanced?
3. Has a virtual peer network of coral reef management professionals and stakeholders been established, and is it used actively?

2. Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory mixed-methods approach, during which the UNEP/DGEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/DGEF on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/DGEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

1. A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the Steering Group meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) Relevant material published on the project web-site: <http://gefll.reefbase.org>).
2. Interviews with project management and technical support. Jamie Oliver (ex World Fish Center), Mark Tupper (WorldFish Center) Lee Mun Chea (WorldFish Center) , and members of Steering Committee (coordinates to be provided by Mark Tupper, WorldFish Center)
3. Interviews and telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. These could include staff associated with some or all of the following projects: COREMAP II and III, the Micronesia Challenge, the Bay of Bengal Large Marine Ecosystem Project, the UNDP project “Conserving Marine Biodiversity through

Enhanced Marine Park Management and Inclusive Sustainable Island Development”, and projects under the GEF/ADB Coral Triangle Initiative. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with an e-mail questionnaire, online survey, or other electronic communication.

4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with Biodiversity and links with International Waters and Climate Change-related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff, and specifically the GEFSEC Natural Resources Team and the Results Based Management and Knowledge Management Team and the GEF Evaluation Office Knowledge Management lead.

Key Evaluation principles.

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project’s performance should be assessed by considering the difference between the answers to two simple questions “*what happened?*” and “*what would have happened anyway?*”. These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

3. Project Ratings

The success of project implementation will be rated on a scale from ‘highly unsatisfactory’ to ‘highly satisfactory’. In particular the evaluation shall assess and rate the project with respect to the eleven categories defined below.

It should be noted that many of the evaluation parameters are interrelated. For example, the ‘achievement of objectives and planned results’ is closely linked to the issue of ‘sustainability’. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of ‘catalytic effects / replication’ and, often, ‘country ownership’ and ‘stakeholder participation’.

A. Attainment of objectives and planned results:

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

- *Effectiveness*: Evaluate the overall likelihood of impact achievement, taking into account the “achievement indicators”, the achievement of outcomes and the progress made towards impacts. UNEP’s Evaluation Office advocates the use of the Review of Outcomes to Impacts (ROtI) method (described in Annex 7) to establish this rating.

- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and significance of the contribution of the project outcomes to the organizations active in the design and implementation of coral reef management projects, such as Conservation International, The Nature Conservancy, USAID, UNDP and the wider portfolio of the GEF.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the project, to the project's achievements. Did the project build on earlier initiatives; did it make effective use of available scientific and / or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROTI method** described in Annex 7 will also assist in the evaluation of sustainability.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of project outcomes and onward progress towards impact? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes and eventual impact of the project dependent on continued financial support?
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?

- *Institutional framework and governance.* To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

C. Catalytic Role and Replication

The catalytic role of the GEF is embodied in its approach of supporting the creation an enabling environment, investing in activities which are innovative and show how new approaches and market changes can work, and supporting activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into are three broad categories of GEF activities: (1) “**foundational**” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means.

In this context the evaluation should assess the catalytic role played by this project by consideration of the following questions:

- **INCENTIVES:** To what extent have the project activities provided incentives (socio-economic / market based) to contribute to catalyzing changes in stakeholder behaviours?

- INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviors?
- POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from Government and / or other donors? (this is different from co-financing)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the project would not have achieved results)?

(Note: the ROtI analysis should contribute useful information to address these questions)

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If no effects are identified, the evaluation will describe the strategy / approach adopted by the project to promote replication effects.

D. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

E. Country ownership / driven-ness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. As a global project that addresses targeted learning with an important corporate issue for the GEFSEC (analysis of the historical portfolio), focal point endorsement is not applicable. However, it should be noted that this initiative has direct bearing on lessons that can be applied to over 90 developing countries with coral reefs and associated marine resources containing significant levels of biodiversity.

F. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the new network and if registered manager use it to exchange and share knowledge.
- Assess to what extent the good practice guidelines, toolkits and information produced have the weight of scientific authority/ credibility, and have been disseminated and used by other projects in developing countries.

G. Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

H. Assessment monitoring and evaluation systems.

The evaluation shall 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 Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in Annex 4). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

I. Implementation approach:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Assess the extent to which the project responded the mid term review / evaluation (if any).
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution

arrangements at all levels (1) policy decisions: Steering Group; (2) project management in each of the executing parties.

- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.
- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

The evaluator should use the following questions to help assess the M&E design aspects:

SMART-ness of Indicators

- Are there specific indicators in the log frame for each of the project objectives and outcomes?
- Are the indicators relevant to the objectives and outcomes?
- Are the indicators for the objectives and outcomes sufficient?
- Are the indicators quantifiable?

Adequacy of Baseline Information

- Is there baseline information?
- Has the methodology for the baseline data collection been explained?
- Is desired level of achievement for indicators based on a reasoned estimate of baseline?

Arrangements for Monitoring of Implementation

- Has a budget been allocated for M&E activities?
- Have the responsibility centers for M&E activities been clearly defined?
- Has the time frame for M&E activities been specified?

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?
- *M&E plan implementation.* A Terminal Evaluation should verify that:
 - an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar);
 - annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
 - that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
 - and that projects had an M&E system in place with proper training for parties responsible for M&E activities.

- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

J. Financial Planning

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

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP Fund Management Officer of the project (table attached in Annex 1 Co-financing and leveraged resources).

K. UNEP Supervision and Backstopping

The purpose of supervision is to work with the executing agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF including:

- (i) the adequacy of project supervision plans, inputs and processes;
- (ii) the emphasis given to outcome monitoring (results-based project management);
- (iii) the realism / candor of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (iv) the quality of documentation of project supervision activities; and
- (v) financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 6).

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

| | |
|----|-----------------------------|
| HS | = Highly Satisfactory |
| S | = Satisfactory |
| MS | = Moderately Satisfactory |
| MU | = Moderately Unsatisfactory |
| U | = Unsatisfactory |
| HU | = Highly Unsatisfactory |

4. Evaluation Report Format and Review Procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:

- Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

- viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference,
2. A list of interviewees, and evaluation timeline
3. A list of documents reviewed / consulted
4. Summary co-finance information and a statement of project expenditure by activity
5. Details of the project's 'impact pathways' and the 'ROTI' analysis
6. The expertise of the evaluation team (brief CV).

TE reports will also include any formal response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

5. Schedule of the Evaluation

The evaluator will submit a draft report on 14 February 2010 to UNEP/EO, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EO for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by 1 March 2010 after which, the consultant will submit the final report no later than 13 March 2010.

Annex 2

EXPERTISE OF THE EVALUATION TEAM

JAMES T. BERDACH
Principal Evaluator

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James T. Berdach, Principal of James T. Berdach Consulting Services, is an international consultant with over 20 years of experience in coastal and marine resources management; protected area planning and management; biodiversity conservation; integrated water resources management; environmental policy; ecotourism planning; environmental assessment; environmental awareness-raising; and climate change. Mr. Berdach has worked extensively on community-based resources management and environmental evaluation projects in countries throughout Asia and the Indo-Pacific region including, among others, Philippines, Indonesia, China, Vietnam, Malaysia, Sri Lanka, Maldives, Papua New Guinea, Solomon Islands, Fiji, Tuvalu, Federated States of Micronesia, Mariana Islands, and the United States. Mr. Berdach's applied technical knowledge is based on a strong foundation of academic training and field studies in the biological and botanical sciences. His extensive international experience has facilitated the accomplishment of challenging assignments within a variety of cultural settings, each with its own unique constraints and opportunities. Mr. Berdach has authored or contributed to dozens of technical reports and publications on topics in marine and coastal resources management, biodiversity conservation, and related disciplines.

Date of Birth: 22 September 1950

Citizenship: United States of America

Degrees:

M.S., Botany, 1976, University of Minnesota, St. Paul MN USA

B.A., General Science (Biology), 1972, University of Rochester, Rochester NY, USA

Other Academic Coursework:

Post-Graduate Coursework in Botany, 1982-1983, University of Hawaii, Honolulu HI, USA

Field Studies in Marine Biology, 1975, Friday Harbor Laboratories, University of Washington, WA, USA

Undergraduate Coursework in Biology 1971-1972, University of California, Santa Barbara CA, USA

Other Training:

United Nations Basic and Advanced Security in the Field, 2010, FAO, Manila

Global Environment Facility (GEF) Orientation Seminar, 2007, Asian Development Bank, Manila

Environmental and Social Safeguards Orientation Seminar, 2006, Asian Development Bank, Manila

Management Skills Training Workshops, 1997, Belt Collins Hawaii, Honolulu, HI USA

Cross-cultural Training, U.S. Peace Corps 1978, San Leonardo, Nueva Ecija, Philippines

Languages:

English (mother tongue); Tagalog (professional fluency); Cebuano (good speaking/comprehension); Spanish (good speaking/comprehension); German (good speaking/comprehension); Bahasa Indonesia (basic conversation)

Countries of Work Experience:

Philippines, Indonesia, China, Viet Nam, Malaysia, Japan, Sri Lanka, Maldives, British Indian Ocean Territory, Papua New Guinea, Solomon Islands, Fiji, Federated States of Micronesia, Tuvalu, Palau, Commonwealth of Northern Mariana Islands, Wake Island (U.S.), Guam (U.S. Territory), South Africa, United States

Clients and Project Funding Sources:

Asian Development Bank (ADB), Global Environment Facility (GEF), World Bank, International Fund for Agricultural Development (IFAD), United Nations Environment Programme (UNEP), Food and Agriculture Organization (FAO), United Nations Educational, Scientific, and Cultural Organization (UNESCO), United States Agency for International Development (USAID), non-government organizations (NGOs), foundations, and private sector.

LOPE A. CALANOG
Technical Assistant

Lope A. Calanog is an environment consultant/researcher who has extensive experience in managing environment and community-based natural resources related projects for more than 30 years in the Philippines. He has supervised and managed a research unit in the government tasked to formulate, implement, monitor and evaluate integrated research and development (R & D) programs on community/social forestry, tenurial arrangements, community-based natural resource management, agroforestry, and other natural resources-based livelihood projects. Foremost of the projects he handled was the "National Integrated Protected Areas Programme" (NIPAP), a European Union-assisted project implemented by the Philippine Department of Environment Natural Resources (DENR), where he served as the National Director for five years. For a brief period, he also directed the implementation of the World Bank-funded "Conservation of Priority Protected Areas Project", also by the DENR. He has worked with the Asian Development Bank for more than 5 years on an intermittent basis, as environment cum staff consultant and has coordinated the implementation of two environment-related projects in the Pacific Region under the Pacific Department of ADB. Currently, he is back with ADB as GEF Portfolio Management Officer.

He has published several articles on upland development, biodiversity conservation and protected area management. He has also presented several papers on various aspects of environmental management, both locally and abroad.

Aside from project management, he has also expertise in the following fields: Social Science Research and Development; Natural Resources Policy Research; Anthropology/Ancstral Domain Issues; Land Tenure; Institutional Analysis/Strengthening; Rapid Rural Appraisal/Participatory Resource Assessment; Community-Based Enterprise Development; Community Development/People Empowerment; Environmental Impact Assessment/ Social Impact Assessment; Environmental Extension; and Case Study Analysis.

Recently, he was the recipient of the 2009 Forests and Natural Resources Research Society of the Philippines, Inc. (FORESPI) Most Outstanding Scientist Award under the category of Socio-Economics and Policy Research in Forestry and Natural Resources.

Annex 3

LIST OF DOCUMENTS

1. Cash Statement Report. 2010. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
2. Co-Financing Report. 2009. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
3. GEF Evaluation Office. 2008. Guidelines for GEF Agencies in Conducting Terminal Evaluations. Evaluation Document No. 3. 2008. Source: <http://72.26.206.151/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf>
4. GEF Evaluation Office. 2009. Review of Outcomes to Impacts (ROtl)-Practitioners Handbook (Draft). GEF Evaluation Office with Conservation Development Centre. Source: <http://72.26.206.151/gef/search/node/Review%20of%20Outcomes%20to%20Impact%3A%20Practitioners%20Handbook>
5. GEF Evaluation Office. August, 2009. Towards Enhancing the Impacts of Environmental Projects: The ROtl Handbook. GEF Evaluation Office with Conservation Development Centre. Source: http://72.26.206.151/gef/sites/thegef.org/files/documents/Impact_Eval_Infodoc16.pdf
6. M. Tupper, J. Oliver, R. Kenchington, T. McClanahan, N. Muthiga, D. Gill, D. Burnham, S. Campbell, N. Andrew, R. Mahon, D. Walfoort. 2009. Annex 7: Lessons Learned. Terminal Report. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
7. Minutes, Steering Committee meetings. 2007-2008. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
8. Project Document. Knowledgebase for lessons learned and best practices in the management of coral reefs. United Nations Environment Programme in collaboration with UNDP and World Bank. 2005. Source: <http://www.gefonline.org/projectDetailsSQL.cfm?projID=2856>
9. Project Implementation Report (PIR). CY 2007; CY 2008; CY 2009. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
10. Semi-Annual Progress Reports. 2007-2009. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
11. Terminal Report. 2009. Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>

12. Terms of Reference for the Terminal Evaluation of the UNEP GEF Project GF/1040-06-01 (4905) "Knowledgebase for Lesson Learned and Best Practice in the Management of Coral Reefs". 2009. UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
13. User Survey-Knowledgebase for Lessons Learned and Best Practices in the Management of Coral Reefs. 2009. Part of the Coral Reef BP-LL Evaluation Documents provided by UNEP Evaluation and Oversight Unit (EOU) Office. Link: <http://www.unep.org/eou/>
14. Other websites visited:
 - <http://ambergriscaye.com/pages/town/meso.html>
 - <http://roo.undp.org/gef/shark/index.cfm>
 - <http://www.apfic.org/>
 - <http://www.cobsea.org/>
 - <http://www.coralreef.noaa.gov/outreach/links.html>
 - <http://www.coris.noaa.gov/>
 - <http://www.crisponline.net/>
 - <http://www.cti-secretariat.net/>
 - <http://www.icran.org/management-gef-lessonslearned.html>
 - <http://www.gefcoral.org/>
 - <http://www.nature.org/initiatives/protectedareas/features/art24943.html>
 - <http://www.palau.biodiv-chm.org/index.php?menuid=3600&lang=en&cl=blue>
 - <http://www.pemsea.org/>
 - <http://www.springer.com/life+sci/ecology/journal/338>
 - <http://www.unepscs.org/>

Annex 4

SURVEY QUESTIONNAIRES

Two short questionnaires were prepared for use in the evaluation. The questionnaires were slightly different, intended to survey two different sets of stakeholders. The first questionnaire was used to solicit responses from coral reef and MPA managers, researchers, and other potential users of the project's knowledge products. The second questionnaire was used to gather information from advisors and managers who were directly involved in the GEF LL-Knowledgebase project. Both forms contain specific questions regarding the accomplishments of the project. The questionnaires are presented here. Completed questionnaires have been turned over to UNEP as part of the documentation for the terminal evaluation.

(first questionnaire)

SURVEY QUESTIONNAIRE

For the Terminal Evaluation of GEF's "Knowledgebase for Lessons Learned and Best Practice in the Management of Coral Reefs" Project

General Instructions:

This survey is intended to provide information that will help to determine the impact of the GEF lessons learned knowledgebase and toolkits in reaching their target audience. It is hoped that the knowledgebase and toolkits will strengthen the effectiveness of coral reef management projects, and help to improve the management of coral reefs and marine protected areas.

Your responses to the set of questions below will help to determine whether the target objectives of the GEF LL project were attained and what courses of action are needed to improve similar endeavors in the future.

Thank you, and please be assured that your responses will be treated with utmost confidentiality.

I. Respondent Profile

1. Name: _____ (optional)
2. Age: _____
3. Gender: _____
4. Educational Attainment: _____

5. Field of Expertise: _____
6. Occupation/Profession: _____
7. Please provide your daytime telephone number(s) (for possible follow-up):
 phone number (with country code): _____
 best time to call: _____
 location/time zone: _____
8. Name(s) of coral reef management or related project(s) you are involved with:

9. Country(ies) in which you have carried out coral reef management work and related activities: _____
10. I am (check all those that apply):
 _____ a. a manager of a coral reef area or marine protected area
 _____ b. an administrator of a coral reef management project or program
 _____ c. a researcher/student/educator
 _____ d. affiliated with NGO engaged in coral reef conservation or management
 _____ e. government agency staff
 _____ f. other (please specify): _____

II. Awareness of / Perceptions About GEF LL Project

1. Prior to receiving this survey, were you aware of the GEF LL Project?
 _____ yes _____ no (Note: if your answer is 'no', you can still obtain information about the knowledgebase by visiting the website [<http://gefll.reefbase.org>], and then completing the survey).
2. Have you visited the GEF Lessons Learned website (<http://gefll.reefbase.org>) to browse information on coral reef management? _____ yes _____ no
 If yes, what information presented there, and what features of the website, did you find most useful?

3. I learned about the GEF LL project from (select those that apply):
 _____ a. the project's website
 _____ b. the project's trainings, workshops and similar undertakings
 _____ c. the project's network
 _____ d. the project's workshops, publications and information materials
 _____ e. a colleague
 _____ f. other (please specify): _____

4. If you have received the GEF Lessons Learned toolkit on CD or have acquired it through the web or from other sources, what can you say about its contents (check those that apply)?:

- _____ a. useful to my work
_____ b. useful, but can do without it
_____ c. not useful at all
_____ d. have not read the toolkit yet
_____ e. no intention of reading or using the toolkit

What are the reasons for your response (to #3) above?

5. Are communities, local government agencies, or other institutions in your area aware of and supportive of utilizing the GEF Lessons Learned knowledgebase and toolkits? What kind of support have they provided for initiatives under the project?
-

III. Utility of the GEF LL Toolkits and Checklists

1. Overall, do you find the GEF LL toolkits and checklists useful? (please select the best answer):

- _____ extremely useful
_____ very useful
_____ moderately useful
_____ not particularly useful
_____ not useful to me
_____ generally irrelevant for coral reef management work

If yes, in what way?

If no, why not?

2. I have learned important information which has improved my knowledge/understanding of coral reef management issues and practices (please select the best answer):

- _____ a. Strongly agree
_____ b. Agree
_____ c. Somewhat agree
_____ d. Somewhat disagree

- _____ e. Disagree
- _____ f. Strongly disagree

What is the nature of the important information that you have learned?

3. I will incorporate information learned from the toolkits and/or best practices into the design and implementation of coral reef management activities in the future (please select the best answer):

- _____ a. Strongly agree
- _____ b. Agree
- _____ c. Somewhat agree
- _____ d. Somewhat disagree
- _____ e. Disagree
- _____ f. Strongly disagree

Why or why not?

4. My understanding of successes and failures of past coral reef management projects has improved as a result of reviewing the GEF Lessons Learned Toolkit (please select the best answer):

- _____ a. Strongly agree
- _____ b. Agree
- _____ c. Somewhat agree
- _____ d. Somewhat disagree
- _____ e. Disagree
- _____ f. Strongly disagree

If yes, how has your knowledge been improved? _____

If no, why not? _____

6. The GEF Lessons Learned network is among the top 5 ways in which I exchange information with colleagues and other professionals about lessons learned and best practices in coral reef management (please select the best answer):

- _____ a. Strongly agree
- _____ b. Agree
- _____ c. Somewhat agree
- _____ d. Somewhat disagree

_____ e. Disagree

_____ f. Strongly disagree

Please comment further on the network: _____

IV. Suggestions and Recommendations

1. In general, what can you say about the GEF LL project's main outputs?

a. Toolkits, checklists and guidelines: _____

b. Website (please discuss special features of the website, e.g., ReefGIS, photo archive, etc.): _____

c. Network of coral reef professionals and weblog:

d. CD, publications and other information materials:

2. What suggestions and recommendations can you give to make this type of project become more useful in the future?

Thank you for your help and cooperation!

(second questionnaire)

Dear Steering Committee Members/GEF Personnel/Project Advisors:

The United Nations Environment Program (UNEP) has recently completed implementation of the Global Environment Facility (GEF)-funded project, "Knowledgebase for Lessons Learned and Good Practices in the Management of Coral Reefs." As part of GEF's monitoring and evaluation requirements, a terminal evaluation of the project is being conducted. In the evaluation process, it is important that persons acting in an advisory or supervisory capacity for the project are consulted, to elucidate issues relating to the project's implementation and management.

You are being requested to respond to the brief set of questions below concerning the project. In order to ensure that your inputs will be integrated into the evaluation analysis, kindly submit your responses by reply e-mail, at your earliest convenience.

Thank you very much for your cooperation and your participation in this consultation process, and I look forward to hearing from you.

1. Please describe your involvement in the project (capacity, duration, etc.).

2. Please identify any features which, in your opinion, constituted major strengths in project design.
3. Please identify any aspects which, in your opinion, constituted major weaknesses in project design.
4. Please identify any obstacles or problems that were encountered during the implementation of the project. Were these obstacles overcome, and if so, how? If not, why not?
5. In your opinion, was the project successful in meeting its targets? Please comment on whether or not the project has made a significant contribution or progress toward the goal of "enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently."
6. Based on your understanding of the knowledge products that have been prepared, and the manner in which they have been/are being disseminated, please comment on the sustainability of the project.
7. How was project performance monitored and evaluated? Were M&E functions adequate to guide and feedback into the project, to ensure that any needed adjustments were made in design or implementation, to improve overall performance, efficiency, and effectiveness?
8. Please comment on the performance of UNEP in carrying out supervision and backstopping functions.
9. Please provide further comments on any aspects of the project that are of concern or interest to you.

Please provide your daytime telephone number(s) (for possible follow-up):

phone number (with country code):

best time to call:

location/time zone:

Annex 5

LIST OF INTERVIEWEES AND SURVEY RESPONDENTS, AND EVALUATION TIMELINE

| First Name | Last Name | Country | Title | Affiliation | Email address | Comments | Date contacted | survey received | interview conducted |
|-------------------|------------------|----------------|-----------------------------------|--|--|--------------------------|-----------------------|------------------------|----------------------------|
| Abdul Manap | Abdullah | MALAYSIA | Marine Park Manager | Dept of Marine Parks Malaysia | | | 05/05/10 | | |
| Salha Hassan | Alban | MALAYSIA | Education Coordinator | KK Reef Watch & Reef Guardian | salha.alban@gmail.com | | 05/05/10 | | |
| Ludi | Apin | MALAYSIA | Marine Park Officer | Sabah Parks | apinludi@yahoo.com | | 05/05/10 | | |
| Nygiel | Armada | Philippines | Sr. Fisheries Spec. | FISH Project | nbarmada@mozcom.com | Referred by G. Silvestre | 5/11/10 | 5/21/10 | |
| Hyacinth | Armstrong | Trin & Tobago | Project Coordinator | Buccoo Reef Trust | h.armstrong@buccooreef.org | | 05/05/10 | | |
| Kim | Baldwin | | Director | MarSIS Project | baldwin.kimberly@gmail.com | | 05/05/10 | | |
| Luz | Basquiñas | Philippines | | WWF-Philippines | lbaskinas@wwf.org.ph | | 05/05/10 | | |
| Ahmed Faizal | bin Abdullah | MALAYSIA | Fisheries Assistant | Dept of Marine Parks Malaysia | ahmadfaizal@nre.gov.my | | 05/05/10 | | |
| Andrew | Bovarnick | United States | | UNDP | andrew.bovarnick@undp.org | Steering Committee | 05/05/10 | | |
| Angelique | Brathwaite | Barbados | Marine Biologist | Coastal Zone Management Unit | abrathwaite@coastal.gov.bb | | 05/05/10 | | |
| Georgina | Bustamante | | | | gbustamante@bellsouth.net | | 05/05/10 | | |
| Peter | Butcher | St. Lucia | Soufriere Marine Management Park | Chief Ranger | smma@candw.lc | | 05/05/10 | | |
| Lee Mun | Cheah | | | | L.Cheah@cqjar.org | WorldFish | 05/05/10 | | |
| Colleen | Corrigan | | Marine Learning Facilitator | The Nature Conservancy | Colleen.Corrigan@unep-wcmc.org | Steering Committee | 05/05/10 | | |
| Dr. Katherine | Courtney | United States | USAID CTI Project Officer | Tetra-Tech Hawaii | Kitty.Courtney@ttemi.com | | 05/05/10 | | |
| Agus | Dermawan | | Director of National Marine Parks | Ministry of Marine Affairs and Fisheries | agusder81@yahoo.com | Referred by E. Morales | 5/6/10 | | |

| First Name | Last Name | Country | Title | Affiliation | Email address | Comments | Date contacted | survey received | interview conducted |
|-------------|-----------|-----------------|--|---|--|----------------------------------|----------------|-----------------|---------------------|
| Marilou | Drilon | Philippines | CTI-SEA Project Officer | Asian Development Bank | mldrilon@adb.org | | 05/05/10 | | |
| Alicia | Eck | Belize | Manager, Bacalar Chico Mar. Res. & Nat. Park | Belize Fisheries Department | bacalarchicomr@gmail.com | | 05/05/10 | | |
| Benjie | Francisco | | | | bentot_crm@yahoo.com | Referred by M. Tupper; in person | 05/05/10 | | 5/11/10 |
| Angel Luis | Franco | Rep. Dominicana | Enc. Operaciones | Reef Check D.R. | afranco@reefcheckdr.org | | 05/05/10 | | |
| Sarah | George | Saint Lucia | Deputy Chief Fisheries Officer | Department of Fisheries | deptfish@maff.egov.lc | | | 05/05/10 | |
| Dr. Edgardo | Gomez | Philippines | Professor | UP-MSI | edgomezph@yahoo.com | | 05/05/10 | | |
| Sean | Green | Jamaica | Senior Environmental Officer | NEPA | sgreen@nepa.gov.jm | | 05/05/10 | | |
| Stuart | Green | Philippines | Consultant, MPA Networks in the Coral Triangle | | stuartjames.green@gmail.com | In person | 02/25/10 | 03/10/10 | 03/15/10 |
| Charles | Greenwald | Indonesia | Consultant | WB/COREMAP II | cfgindo@attglobal.net | | 05/05/10 | | |
| Kapelton | Hall | Jamaica | Conservation Officer | NEPA | khall@nepa.gov.jm | | 05/05/10 | | |
| Mervin | Hastings | BVI | Marine Biologist | Conservation & Fisheries Dept | mervin_hastings@hotmail.com | | 05/05/10 | | |
| Dr. Marea | Hatzios | | Senior Coastal & Marine Specialist | The World Bank | Mhatziolos@worldbank.org | Steering Committee | 05/05/10 | | |
| Marlon | Hibbert | Turks | | Dept. Of Environ & Coastal Turks and Caicos | marthabrae1@gmail.com | | 05/05/10 | | |
| Nina | Ho | MALAYSIA | Marine Biologist | WWF | nho@wwf.org.my | | 05/05/10 | | |
| Dr. Gregor | Hodgson | United States | Executive Director | ReefCheck | gregorh@reefcheck.org | | 05/05/10 | | |
| Paul | Holthus | United States | USAID CTI Project Officer | Tetra-Tech Hawaii | paul.holthus@ttemi.com | | 05/05/10 | | |
| Vineeta | Hoon | India | Director | CARESS | vineetahoon@gmail.com | | 05/05/10 | | |
| Anthony | Hooten | | Environment Services | | ajh@environmentservices.com | Steering Committee | 05/05/10 | | |

| First Name | Last Name | Country | Title | Affiliation | Email address | Comments | Date contacted | survey received | interview conducted |
|------------------|----------------|---------------|--|---------------------------------------|--|-----------------------------------|----------------|-----------------|---------------------|
| Mohamed | Irushad | Maldives | Research Asst. | MRC | irushad@erc.gov.mv | | 05/05/10 | | |
| Mohammad Zahirul | Islam | Bangladesh | Director | Marinelife Alliance | marinelife_al@yahoo.com | | 05/05/10 | | |
| Jamaluddin | Jompa | | Exec. Dir. | COREMAP | jjompa@indosat.net.id | Referred by E. Morales | 5/6/10 | | |
| Dr. Leah Bunce | Karrer | | Senior Director, Marine Management Area Science Program | Conservation International | lkarrer@conservation.org | Steering Committee | 05/05/10 | | |
| Graeme | Kelleher | | | | g.kelleher@qbrmpa.gov.au | | 05/05/10 | | |
| Daniel | Lee | MALAYSIA | Programme Manager | Reef Check Malaysia | daniel@reefcheck.org.my | | 05/05/10 | | |
| Jeffrey | Low | SINGAPORE | Senior Biodiversity Officer | National Parks Board | jeffrey_low@nparks.gov.sg ; | | 05/05/10 | | |
| Joana | Madeira | Costa Rica | Coordinadora de Programa Regional del Caribe Sur de Costa Rica | WIDECAST América Latina | carey.cahuita@gmail.com | | 05/05/10 | | |
| Upali | Mallikarachchi | Sri Lanka | Chairman | MCRCF | mcrcef@yahoo.com | | 05/05/10 | | |
| Kristin | McLaughlin | United States | GEF Liaison Ofcr | UNEP | kristin.mclaughlin@unep.org | Task Officer-individual; by phone | 05/05/10 | | 5/20/10 |
| John | McManus | | | | jmcmamus@rsmas.miami.edu | | 05/05/10 | | |
| Michelle | McNaught | Jamaica | Technical Services Cordinator | Jamaica Coral Reef monitoring Network | ellehcim81@yahoo.com | | 05/05/10 | | |
| Daniel | Medar | St. Lucia | Fisheries Asst. | Dept of Fisheries | deptfish@slumaffe.org | | 05/05/10 | | |
| Maxine | Monsanto | Belize | Environmental Technician | Department of the Environment | envirodept@btl.net , scigirlmm@gmail.com | | 05/05/10 | 5/18/10 | |
| Emong | Morales | Indonesia | Project Team Leader | ADB/COREMAP II | emongmorales@gmail.com | | 05/05/10 | | |
| Jessica | Muñoz | Philippines | | BFAR | trisha975@yahoo.com ; tel. 473-5561; 09175276524 | | 05/05/10 | | |
| Kate | Newman | | Director, East & Southern Africa | WWF-US | kate.newman@wwfus.org | Steering Committee | 05/05/10 | | |

| First Name | Last Name | Country | Title | Affiliation | Email address | Comments | Date contacted | survey received | interview conducted |
|------------------|-----------|-------------|---|--|--|--------------------|----------------|-----------------|---------------------|
| Lionel | Ng | SINGAPORE | Research Assistant | National University of Singapore | u0402359@alumni.nus.edu.sg | | 05/05/10 | | |
| Jamie | Oliver | Australia | | | J.Oliver@aims.gov.au | worldFish | 05/05/10 | | |
| Arthur | Paterson | | | NOAA | Arthur.E.Paterson@noaa.gov | Steering Committee | 05/05/10 | | |
| Anthony | Richards | Jamaica | Dive Supervisor | Jamaica Defence Force | | | 05/05/10 | | |
| Mario E. Salazar | Rodríguez | Guatemala | Encargado de Investigación Marino Costera | Fundación para la Conserv. del M. A. y Rec. Nat. Mario Dary Rivera | marioesalazarr@yahoo.com, marioesalazarr@gmail.com | | 05/05/10 | | |
| Naneng | Setiasih | Indonesia | Director | Reef Check Indonesia | nsetiasih@reefcheck.or.id | | 05/05/10 | 5/19/10 | |
| Gerry | Silvestre | Philippines | Chief of Party | USAID FISH | gtsilvestre@yahoo.com ; 636-0052/3 | individual | 05/05/10 | | |
| Dr. Dann | Sklarew | | Director & Chief Technical Advisor | GEF IWLEARN | dsklarew@gmu.edu | Steering Committee | 05/05/10 | 5/18/10 | |
| Hugh | Small | Jamaica | Scientific Officer | Center for Marine Sciences | hugh.small@uwimona.edu | | 05/05/10 | | |
| Nipat | Somkleeb | THAILAND | UNEP Site Mgr | Ramkhamhaeng University | somkleebn@hotmail.com | | 05/05/10 | | |
| Se | Songploy | THAILAND | Researcher | Ramkhamhaeng University | sesongploy@yahoo.com | | 05/05/10 | | |
| Petchrung (Aey) | Sukpong | THAILAND | Project Officer | IUCN | petchrung@iucnt.org | | 05/05/10 | 5/19/10 | |
| Levarado | Talbot | Turks | Conservation Officer | Natural Resources Environment and Coastal Resources, Fisheries/parks | marinesolutions-@hotmail.com | | 05/05/10 | | |
| Doug | Taylor | | STAP | | douglas.taylor@unep.org | Steering Committee | 05/05/10 | | |
| Nishan | Thoufeeq | Maldives | Research Officer | MRC | nishey85@gmail.com | | 05/05/10 | | |
| Ian | Timothy | Barbados | Field Inspector | Coastal Zone Management Unit | itimothy@coastal.gov.bb | | 05/05/10 | | |
| Camilo | Trench | Jamaica | Scientific Officer | Center for Marine Sciences | camilo.trench@uwimona.edu.jm | | 05/05/10 | | |

| First Name | Last Name | Country | Title | Affiliation | Email address | Comments | Date contacted | survey received | interview conducted |
|-------------------------|---------------|-------------|-----------------------|----------------------------------|--|-------------------------------------|----------------|-----------------|---------------------|
| Mark | Tupper | Philippines | | | M.Tupper@CGIAR.ORG ; marktupper64@yahoo.com | Project Leader-individual; by phone | 05/05/10 | 5/25/10 | 5/27/10 |
| Voranop | Viyakarn | THAILAND | Ass't Prof. | Chulalongkorn University | vvoranop@chula.ac.th | | 05/05/10 | 5/18/10 | |
| Paul | Vrontamitis | | Fin Mgmt Ofcr | GEF | paul.vrontamitis@unep.org | GEF | 05/05/10 | | |
| Alan | White | | | The Nature Conservancy | alan_white@tnc.org | | 05/05/10 | 05/07/10 | |
| Suchai | Worachananant | THAILAND | Phd | Kasetsart University | suchai.yo@gmail.com | | 05/05/10 | | |
| Kai | Wulf | St. Lucia | General Manager | Soufriere Marine Management Park | kai@pitons.net | | 05/05/10 | | |
| Hussein | Zahir | Maldives | Senior Reef Ecologist | MRC | husseinbe@hotmail.com | | 05/05/10 | | |
| Others Contacted | | | | | | | | | |
| Niggebrugge | Julia | Kenya | Evaluation Office | UNEP | Julia.Niggebrugge@unep.org | By phone | 2/1/10 | | |
| Spilsbury | Michael | Kenya | Evaluation Office | UNEP | Michael.Spilsbury@unep.org | By phone | 2/1/10 | | |

EVALUATION TIMELINE

1. 12/14/09-Contract Start Date
2. 2/27/10-First Draft Terminal Evaluation Report (TER) Submitted
3. 6/21/10-Final Draft TER Submitted
4. 8/13/10-Reviewer Comments Received
5. 8/16/10-Final TER Submitted

Annex 6

COMMENTS ON OVIs OF THE LOGICAL FRAMEWORK OF THE UNEP CORAL REEF KNOWLEDGEBASE LL PROJECT

1. All in all, there were 33 OVIs in the logical framework of the project document formulated to verify/assess/measure the results/attainment of the Goal, Objectives, Outcomes, and Activities of the project. However, in the final report, one was added under Activity 1.1, i.e., ***Incorporation of any new insights or methods for coral reef management arising from GEF Coral Reefs Targeted Research project***. How this particular OVI was added, and the reasons behind the addition, were not explained in any of the documents reviewed, particularly in the minutes of the Steering Committee (SC) meetings.
2. The SC held only three (3) meetings throughout the entire duration of the project: first on March 27, 2007 at the IUCN Conference Room in Washington DC; then January 18, 2008 at the UN Info Center, also in Washington DC; and finally on October 27, 2008 at the RONA Conference Room, UNEP, again in Washington DC.
3. During the second SC meeting, the members agreed to review the project's logframe and OVIs, and assigned the work to the WorldFish project manager and UNEP's task officer for the project. In the minutes of the SC meetings, no mention was made whether the revision of the logframe and OVIs was successfully undertaken or not. There was only one comment (very brief) regarding the need to translate the OVIs into measurable terms. Other than this, no further elaboration was uncovered.
4. In evaluation documents reviewed, one document on review of the OVIs was found. This is undated and has no author; an annotated version of this document is attached here as Attachment "A". Presumably, this document was produced by project managers sometime during the third quarter of 2008, as the date of the electronic file indicates October 22, 2008.
5. Review of the document, particularly concerning the OVIs, provides the following findings:
 - Of the 34 OVIs, ten (10) were found questionable, and specific comments/suggestions were made on how to improve/revise these to better suit the project's intent.
 - There were recommendations given to revise the OVIs. However, as far as could be ascertained in the review of documents provided for this terminal evaluation, these recommendations were not followed, since the OVIs reflected in the terminal project report are the same OVIs shown in the project proposal document. It must be noted that the recommendations for changes were given in October of 2008, and the project ended only a short while later, in January 2009. Nonetheless, there is no evidence in the final project document that the recommended adjustments were made.
 - Other specific comments made in the cited document concerning the OVIs were as follows:

- ✓ OVI's are not measurable; or personnel don't know how to measure them
 - ✓ OVI's are stated qualitatively; hence difficult to measure; suggested to translate them into more qualitative/measurable terms
 - ✓ An unrealistic timeframe was set to meet/realize the OVI's
 - ✓ OVI's can only be realized only after several years of project implementation
 - ✓ Some OVI's are already unnecessary in view of developments in the project
 - ✓ Some OVI's need to be reworded
6. In light of the above considerations, it is clear that the project managers themselves recognized weaknesses in the project's OVI's. While the managers may have taken some steps to address these weaknesses, from the evidence at hand, it appears that these issues persisted. Thus it is not surprising that some problems were encountered, especially in the monitoring of the project results.

GEF Lessons Learned – Objectively Verifiable Indicators¹

1. Objectives Level

Overall Project Goal

- Demonstrably enhanced capability within country institutions, multilateral institutions and NGOs to use information generated from the review and consultations. *How can this be measured?*² *Demonstrated use of the information we can measure, but capacity to use the information is more related to manpower, management capacity, finances, etc. which are not enhanced by this project. How can we re-word this?*
- 60% of country institutions indicate an increase in their capacity to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes more effectively and efficiently. *Again, should this read “increased knowledge of lessons and best practices derived from other projects”? I’m not sure how this project increases “capacity to learn”. For both these overall project goals, we need some simple survey questions to determine the level of uptake of our products/outputs, e.g. “Your institution has learned important information which will be incorporated into your design/implementation of coral reef management or project management plans” Answer could be true/false or multiple choice “strongly agree, agree, somewhat agree, somewhat disagree”, etc. This really relies on the products and final report having been in circulation for a while (several years), as there is no way to know if the projects using our recommendations will be successful or not until their completion.*³

Objective 1: Generation of Knowledge

- An improved (i.e. more clearly quantified & described) understanding of the successes and failures from past experiences that can be applied to present and future projects; improved capability of the GEF to base future projects on sound knowledge and experience. *We certainly have an improved understanding of the successes and failures from past experiences – that is the point of the review and analysis. But is there a way to quantitatively and objectively measure improved understanding? This might be a simple yes/no answer on a survey, e.g. “Has your understanding of successes and failures of past coral reef mgmt projects improved since reading the GEF LL report?”*⁴

Objective 2: Knowledge Sharing

- 90% of all future GEF project briefs and other major project proposals to other donors will use the knowledge from this project to develop their proposals. *This should be 100% for GEF project briefs as they have a mandate to use this info, as demonstrated in the CTI PIFs. But what about non-GEF projects? Many will use the same best practices without having extracted them from*

¹ Footnotes to this document, inserted by the evaluators, summarize the concerns raised regarding the project OVIs. The document is undated, with author unnamed. Based on the date on the electronic file, it must have been accomplished on Oct. 22, 2008. During the second Steering Committee (SC) meeting, held on Jan. 18, 2008, the members agreed that a review of the project framework and OVIs should be conducted. It was already recognized at this time that some improvements / revisions on some of the OVIs were needed.

² Question 1. The OVI was viewed immeasurable. Need to be reworded.

³ Question 2. It was recommended that the OVI be reworded.

⁴ Question 3. Again, the issue of how to measure the OVI was raised.

GEF LL. Again, this could be a yes/no answer in a survey (Have you implemented best practices or used lessons learned from this project when developing recent proposals?)⁵

- A demonstrable improvement in the evaluated performance of at least 50% of GEF coral reef projects started after completion of this project. Impossible to know until many years after the end of this project, as TERs of new projects that could use the products of GEF LL would not be available for 5-10 years after of GEF LL completion. **Recommend deleting this OVI.**⁶
- A virtual peer network of coral reef mgmt professionals and stakeholders which will facilitate the dissemination of information, sharing of experiences and initiation of physical exchanges of personnel and resources between projects. Fine as is – actual indicator is number of network members. Target was set as 100).
- An active, sustained network that shares lessons based on sound analysis; clear dissemination mechanisms defined and operating (i.e. on-line Knowledge base of lessons and good practice). This could work as-is – could be number of information exchanges occurring by workshop, listserv, blog, etc.)

2. Outcomes Level

Outcome 1: Critical Review and Analysis

- An improved understanding of the successes and failures from past experiences that can be applied to present and future projects. (See objective 1 above)⁷

Outcome 2: Network of Professionals Actively Engaged In Sharing Lessons

- At least 100 managers registered and using the network facilities on ReefBase. Fine as is – we have surpassed this target already.
- At least 3 documented cases where the managers have adopted new methods or approaches base on knowledge gained or exchanged through the network. This works as an indicator but the time frame is unrealistic⁸as uptake and implementation by other projects is not likely to occur until some time after this project is completed. We have one documented case in the FISH project, and ICRRAN may be able to supply more through their South Asia project. South China Seas project is also interested but I doubt any real uptake or policy changes will occur until late 2009 or 2010.
- 100% of the material produced by the project is disseminated through the International Coral Reef Action Network and its partners, in print and electronic form, and through targeted learning workshops, symposia, exchanges, training programs and the establishment of a coral reefs learning and exchange peer network. This works fine as an indicator and the target is being met.

⁵ Question 4. Same as above

⁶ Question 5. Recommended that the OVI be deleted

⁷ Question 6. Same as above

⁸ Question 7. Unrealistic timeframe to meet the OVI

Outcome 3: Increased Awareness and Implementation of Good Practices

- Good practice guidelines, toolkits and relevant information are published in print and available on the Internet within a virtual network, and on key international websites. *Fine as is – completed.*
- Good practice guidelines developed by this project are evident and in use by 50% of the project partners and by at least 3 other projects. *See outcome 2 above,⁹ it will take several years for 50% of the project partners to implement information/practices of this project. Even if new project proposals being written as this project ends, and the outputs of this project incorporated, it will take time for those projects to be funded and to get underway. We could use a survey question(s) about the likelihood of GEF LL outputs being incorporated in partner's future activities.*

3. Activities Level

Activity 1.1: Perform a Critical Review of the GEF Coral Reef Portfolio.

- Critical Review of the Portfolio is completed, published and discussed at length with Project Partners. *Fine as is, completed except for publishing report in primary literature (but may be accepted already by project end).*
- 90% of project partners accept the majority of the recommended practices outlined in the report. *Fine, but we need to establish what the majority is – 60% of recommended practices, or do we need a clearly majority (like 75%)?*
- Inventory and collection of all relevant projects completed and archived in central location. *Fine as is – completed.*
- Incorporation of any new insights or methods for coral reef management arising from the GEF Coral Reefs Targeted Research project. *There is little from CRTR that could be directly implemented in coral reef mgmt, except for restoration guide (already incorporated).*
- Classification of Key Knowledge Themes and Categories completed. *Fine as is – completed.*
- Review of project portfolio is completed, key people contacted to discuss various aspects of selected project execution, and detailed report produced and disseminated. *Fine as is.*
- Meetings with project participants held. Discussions of the portfolio review presented at key international for a (e.g. ITMEMS 3) and workshops. *Fine as is.*
- Key individuals identified and contacted. *Fine as is.*
- Written report completed and disseminated in hard copy, through websites and at selected ICRAN and partner sites, through the established Network, at key meetings, symposia and electronically. Endorsement of report by all key participants. *Fine as is.*
- Establishment of a Reef Managers email/discussion forum involving all partners and with at least 20 posts per month. *Fine as an indicator, but I think now unnecessary.¹⁰ When this proposal was written, Coral-L was being used primarily for questions of coral biology, mainly taxonomy, disease and bleaching physiology. Since then the membership has tripled and the list has a strong representation by coral reef managers. Most of the topics raised by the GEF LL review are regularly discussed on Coral-L, and another, separate coral reef managers list seems redundant.*
- Establishment and at least 10 examples of meetings/communication of a bona-fide network of practitioners (internal and external to this project) willing to receive and use information generated by this project. *Fine as is – we have passed that benchmark long ago.*
- Demonstrated liaison with other projects, such as IW:LEARN and the UNDP Shark Site in seeking the similar GEF objectives of information sharing and learning. *Fine – we have strong*

⁹OVI cannot be attained within the life of the project

¹⁰Unnecessary OVI given developments in the project.

ties with IW:Learn and ICRAN, and are linked to TNC's Reef Resilience site. The SHARK site is unused to the point of being non-functional.

- Partners/participants in the project rank the network as one of the top 5 means of exchanging information and experiences and learning about best practices. Fine – this is a survey question for network members – ask them to list their top 5 sites for coral reef management best practice info.

Activity 2.1: ICRAN Coordinates the Establishment of a Network of Practitioners through Meetings, Web Sites and Electronic Discussions.

- Network of practitioners established with members active in meetings and discussions. Fine as is – see Nic Barnard's list of meetings where GEF LL info was/will be disseminated (plus I have many to add).
- Information from the project is being used to assist the TMLP or key International NGOs. Groups are active in project review and application of findings. The TMLP disbanded and later reformed as the MPA Network Learning Group. They are interested in our findings, but not sure how to measure this as an OVI.¹¹

Activity 3.1: Production and Dissemination of the Collection of Relevant Guidelines and Toolkits.

- Guidelines & Toolkits developed and disseminated in hard copy, through websites and at selected ICRAN and partner sites, through the established Network, at key meetings, symposia and electronically. Fine as is – provide number of meetings, websites, hard copies distributed, etc.
- 100% of partners/collaborators indicated awareness of recommendations and best practices from this project, and 70% indicate that they are, or plan to undertake trial implementation of the recommendations. Fine as is – this can be covered by a few simple survey questions.
- Production of an annotated list of existing initiatives. Fine as is.
- 100% of partners and collaborators receive products. Fine as is provided we specify who the partners and collaborators are so that we can send them the products.
- Number of workshops and learning exchanges at designated demonstration and target sites addressing lessons learned and demonstrating toolkits developed from this project. Fine as is.
- At least 4 sites actively trialing best practices and other project recommendations following workshops and learning exchanges. Before we said 3 projects. Here it is 4 sites. We have already passed 4 sites if you consider different sites in one project to be separate.

¹¹ OVI difficult to measure.

Annex 7

PROJECT IMPACT PATHWAYS AND 'ROTI' ANALYSIS

The main goal of the project is to have an

“enhanced capacity within country institutions to learn from previous experiences of other projects and develop and implement coral reef projects which deliver key outcomes effectively and efficiently.”

This is expected to lead to

“an improved management of existing coral reef projects, as well as the design and implementation of similar projects in the future, thus contributing in the protection and conservation of marine biodiversity”,

which can also be interpreted as the project's Global Environmental Benefit (GEB), or the desired impact.

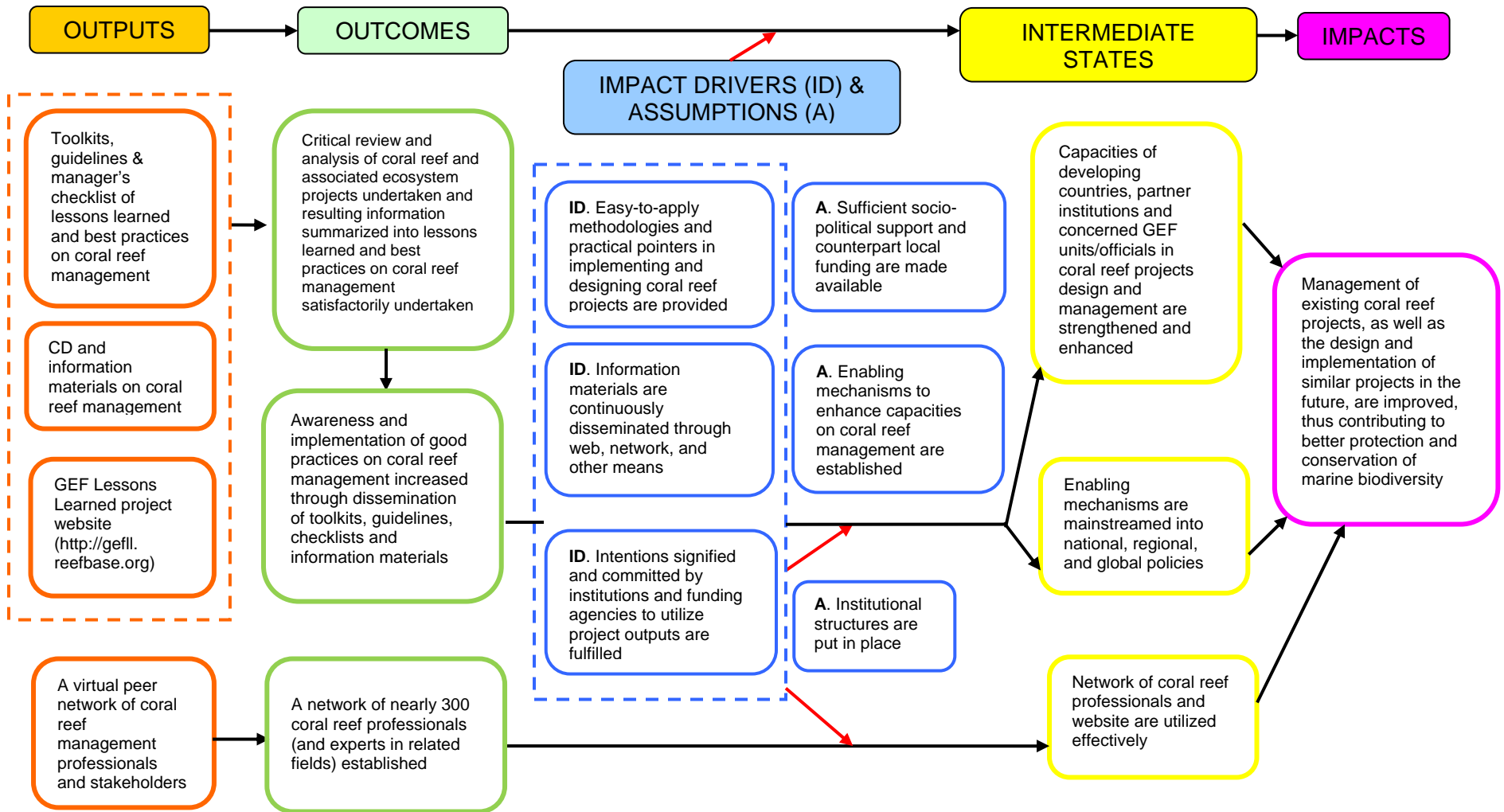
As illustrated in Figure 7.1, three conditions or intermediate states need to be achieved to lead to scaling up, and eventually, to the attainment of intended impacts or the GEB. These are: (a) capacities of developing countries, partner institutions and agencies involved in coral reef project design and management are strengthened and enhanced; (b) enabling mechanisms are mainstreamed into national, regional, and global policies; and (c) the network of coral reef professionals and website are utilized effectively.

These intermediate states are drawn from the project's outcomes, which resulted from the project's outputs and the corresponding critical review and analysis of coral reef and associated ecosystem projects, which are later summarized into lessons learned and best practices on coral reef management. The project's outcomes are: (a) increase in the awareness and implementation of good practices on coral reef management through dissemination of toolkits, guidelines, checklists and information materials; and (b) establishment of a network of nearly 300 professionals in coral reef management and related fields. The project's outputs are extensively discussed and presented in various sections of this TER.

In order to establish the intermediate states and to ultimately attain the desired project impacts, barriers need to be overcome through impact drivers (ID). Likewise, assumptions (A), which are beyond the control of the project, need to be addressed. For this project, the identified IDs are:

- i. easy-to-apply methodologies and practical pointers in implementing and designing coral reef projects are provided;
- ii. information materials are continuously disseminated through web, network, and other means; and
- iii. intentions signified and committed by institutions and funding agencies to utilize project outputs are fulfilled.

Figure 7.1 Schematic diagram for the “Review of Outcomes to Impacts” (ROtI) Analysis



The assumptions (A), on the other hand, are:

- i. sufficient socio-political support and counterpart local funding are made available;
- ii. enabling mechanisms to enhance capacities on coral reef management are established; and
- iii. institutional structures are put in place.

Rating the results of ROTI

Table 5.1 shows that the attainment of the intended impact or the global environmental benefit (GEB) is given a rating scale of BC and a corresponding adjectival rating of **Moderately Likely (ML)**. This means that the project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after GEF funding. Similarly, the measures designed to move towards intermediate states have started, but have not produced significant results yet.

There are still key requirements like socio-political support and local funding, enabling mechanisms, and institutional structures that need to be met. While foundations are laid out to meet these requirements, there is still no 100% assurance that these assumptions can be met because they are generally beyond the control of the project. The fulfillment of counterpart agencies' and partner institutions' commitments to put them in place is crucial and could spell the difference between failure or success in attaining the intended project impact.

While the project outcomes were partly delivered, there is no specific mechanism provided (or mentioned in the project documents) to ensure that the results of the project will become sustainable. It must be emphasized that local funding and socio-political support are essential to ensure that the results of the project will continue to be applied after the life of the project. Building of an on-line presence through the project website can contribute to sustainability, but this needs to be backed up by other actions (e.g., activities that will contribute to name recognition and "branding" of the project) that were initiated to some degree, but which need to be carried further.

Measures to establish the intermediate states and to achieve the intended impact are already set in place. There are already commitments given by partner agencies and funding institutions. However, impact drivers must still be realized and assumptions addressed, to contribute to the attainment of the project's ultimate GEB, which is the protection and conservation of coral reefs in particular, and marine biodiversity in general.

Table 5.1 Results rating sheet for the UNEP/GEF Project (GF/1040-06-01 [4905])

| | | Rating (D-A) | | Rating (D-A) | | Rating (+) | Overall |
|---|---|--------------|--|--------------|---|------------|---------|
| Outputs | Outcomes | B | Intermediate States | C | Desired Impacts (GEB) | BC | ML |
| Toolkits, guidelines & manager's checklist of lessons learned and best practices on coral reef management CD and information materials on coral reef | Critical review and analysis of coral reef and associated ecosystem projects undertaken and resulting information summarized into | B | Capacities of developing countries, partner institutions and concerned GEF units/officials in coral reef | C | An improved management of existing coral reef projects, as well as the design and implementation of similar projects in | BC | |

| | | Rating (D-A) | | Rating (D-A) | | Rating (+) | Overall |
|---|---|--------------|---|--------------|--|------------|---------|
| management | lessons learned and best practices on coral reef management undertaken | | projects design and management are strengthened and enhanced | | the future, thus contributing in the protection and conservation of marine biodiversity | | |
| GEF Lessons Learned project website (http://gefll.reefbase.org) | Awareness and implementation of good practices on coral reef management through dissemination of toolkits, guidelines, checklists and information materials increased | B | Enabling mechanisms are mainstreamed into national, regional, and global policies | C | | BC | |
| A virtual peer network of coral reef management professionals and stakeholders | Awareness and implementation of good practices on coral reef management through dissemination of toolkits, guidelines, checklists and information materials increased | B | Network of coral reef professionals and websites are utilized effectively | C | | BC | |
| | Justification for score: Outcomes were generally delivered, however, the attainment of the desired impact cannot be ascertained due to some barriers that still need to be overcome and addressed like availability of socio-political support and local funding, setting up of enabling mechanisms, and putting up of institutional structures. | | Justification for score: Measures to establish the intermediate states and achieve the desired impact are already laid down. There are already commitments given by partner agencies and funding institutions. However, impact drivers must still be set in place and assumptions addressed. | | Justification for score: While the intermediate states necessary to attain the intended impacts and GEB are laid out, still some key requirements like socio-political support and local funding, enabling mechanisms, and institutional structures are beyond the control of the project. There is no 100% assurance that these assumptions can be met, hence the rating of Moderately Likely (ML) is given. | | |

Annex 8

**SUMMARY CO-FINANCE INFORMATION AND
A STATEMENT OF PROJECT EXPENDITURE BY ACTIVITY**

The GEF grant for this project totaled \$25,000 for the preparatory PDF grant of which \$16,451.29 was spent and \$940,000 for the project of which \$934,187 was expended

| | | 2006 | 2007 | 2008 | 2009 | Total | |
|-----------|--|--|-------------------|-------------------|------------------|-------------------|--|
| | UNEP BUDGET LINE/OBJECT OF EXPENDITURE | Actual | Actual | Actual | Actual | US\$ | |
| 10 | PROJECT PERSONNEL / COMPONENT | | | | | | |
| | 1100 | Project Personnel w/m | | | | | |
| | 1101 | 23,379.00 | 81,947.69 | 82,742.40 | 7,974.00 | 196,043.09 | |
| | 1102 | 21,588.00 | 37,544.48 | 4,156.45 | 33,030.00 | 96,318.93 | |
| | 1103 | 6,667.00 | 16,301.42 | 14,027.88 | 1,741.03 | 38,737.33 | |
| | 1104 | 4,858.00 | 11,546.52 | 9,490.02 | 1,546.14 | 27,440.68 | |
| | 1105 | 3,341.00 | 1,330.44 | - | 936.30 | 5,607.74 | |
| | 1150 | 1,994.00 | 941.25 | 11,199.96 | 936.30 | 15,071.51 | |
| | 1151 | 1,170.00 | 6,958.46 | 4,280.89 | 868.33 | 13,277.68 | |
| | 1199 | 62,997.00 | 156,570.26 | 125,897.60 | 47,032.10 | 392,496.96 | |
| | 1200 | Consultants w/m | | | | | |
| | 1201 | - | 42,997.88 | 101,512.97 | 2,000.00 | 146,510.85 | |
| | 1299 | - | 42,997.88 | 101,512.97 | 2,000.00 | 146,510.85 | |
| | 1600 | Travel on official business (above staff) | | | | | |
| | 1601 | 559.00 | 33,302.32 | 31,985.99 | 962.54 | 66,809.85 | |
| | 1699 | 559.00 | 33,302.32 | 31,985.99 | 962.54 | 66,809.85 | |
| | 1999 | 63,556.00 | 232,870.46 | 259,396.56 | 49,994.64 | 605,817.66 | |

| | | | 2006 | 2007 | 2008 | 2009 | Total |
|-----------|---|--|---------------|------------------|-------------------|------------------|-------------------|
| | | UNEP BUDGET LINE/OBJECT OF EXPENDITURE | Actual | Actual | Actual | Actual | US\$ |
| 20 | SUB-CONTRACT COMPONENT | | | | | | |
| | 2200 | Sub-contracts(MoU's/LA's for non-profit supporting organizations) | | | | | |
| | 2201 | ICRAN ICU | - | - | 29,100.00 | 900.00 | 30,000.00 |
| | 2202 | Learning Network - Activities | - | - | 100,000.00 | - | 100,000.00 |
| | 2299 | Total | - | - | 129,100.00 | 900.00 | 130,000.00 |
| | 2999 | Component Total | - | - | 129,100.00 | 900.00 | 130,000.00 |
| 30 | TRAINING COMPONENT | | | | | | |
| | 3200 | Group training (study tours, field trips, workshops, seminars, etc)(give title) | | | | | |
| | 3201 | Workshops | 830.00 | 27,314.92 | 67,757.34 | 23,108.97 | 119,011.23 |
| | 3299 | Total | 830.00 | 27,314.92 | 67,757.34 | 23,108.97 | 119,011.23 |
| | 3300 | Meetings/conferences(give title) | | | | | |
| | 3301 | Steering Committee Meetings | - | - | 3,677.91 | | 3,677.91 |
| | 3399 | Total | - | - | 3,677.91 | - | 3,677.91 |
| | 3999 | Component Total | 830.00 | 27,314.92 | 71,435.25 | 23,108.97 | 122,689.14 |
| 40 | EQUIPMENT & PREMISES COMPONENT | | | | | | |
| | 4100 | Expendable equipment (items under (\$1,500 each, for example) | | | | | |
| | 4101 | Office supplies | 64.00 | 587.91 | 2,358.61 | 12.39 | 3,022.91 |
| | 4102 | Library acquisitions | - | - | 140.08 | | 140.08 |

| | | | 2006 | 2007 | 2008 | 2009 | Total |
|-----------|--------------------------------|---|-----------------|------------------|------------------|------------------|------------------|
| | | UNEP BUDGET LINE/OBJECT OF EXPENDITURE | Actual | Actual | Actual | Actual | US\$ |
| | 4103 | Computer Software | 1,391.00 | 2,252.17 | 8,940.66 | 908.77 | 13,492.60 |
| | 4104 | Consumables | 43.00 | 1,677.38 | 1,766.50 | 124.50 | 3,611.38 |
| | 4199 | Total | 1,498.00 | 4,517.46 | 13,205.85 | 1,045.66 | 20,266.97 |
| | 4200 | Non-expendable equipment (computers, office equip, etc) | | | | | |
| | 4201 | Computer Hardware | 7,451.00 | 8,208.23 | - | - | 15,659.23 |
| | 4299 | Total | 7,451.00 | 8,208.23 | - | - | 15,659.23 |
| | | | | | | | |
| | 4999 | Component Total | 8,949.00 | 12,725.69 | 13,205.85 | 1,045.66 | 35,926.20 |
| 50 | MISCELLANEOUS COMPONENT | | | | | | |
| | 5200 | Reporting costs(publications, maps, newsletters, printing, etc) | | | | | |
| | 5201 | Publications | 32.00 | 57.64 | 10,623.36 | 2,172.85 | 12,885.85 |
| | 5299 | Total | 32.00 | 57.64 | 10,623.36 | 2,172.85 | 12,885.85 |
| | 5300 | Sundry(communications, postage, freight, clearance charges, etc) | | | | | |
| | 5301 | Communications | 1,200.00 | 3,529.24 | 6,522.44 | 118.72 | 11,370.40 |
| | 5399 | Total | 1,200.00 | 3,529.24 | 6,522.44 | 118.72 | 11,370.40 |
| | 5500 | Evaluation(consultants fees/travel/ DSA, admin support, etc.internal projects) | | | | | |
| | 5501 | Monitoring & Evaluation | - | - | 498.00 | 15,000.00 | 15,498.00 |
| | 5599 | Total | - | - | 498.00 | 15,000.00 | 15,498.00 |
| | | | | | | | |
| | 5999 | Component Total | 1,232.00 | 3,586.88 | 17,643.80 | 17,291.57 | 39,754.25 |
| | | | | | | | |

| | | | 2006 | 2007 | 2008 | 2009 | Total |
|--|------------------------|--|------------------|-------------------|-------------------|------------------|-------------------|
| | | UNEP BUDGET LINE/OBJECT OF EXPENDITURE | Actual | Actual | Actual | Actual | US\$ |
| | GRAND TOTAL | | 74,567.00 | 276,497.95 | 490,781.46 | 92,340.84 | 934,187.25 |
| | Previous Budget | | 231,734.00 | 358,602.00 | 349,664.00 | - | 940,000.00 |