UNDP
Evaluation Office

Roman mosaic

SUSTAINABLE MANAGEMENT OF THE SHARED LIVING MARINE RESOURCES OF THE CARIBBEAN LARGE MARINE ECOSYSTEM (CLME) AND ADJACENT REGIONS

TERMINAL EVALUATION

July 18th, 2013

ANDREA MERLA - via di Porta Perlici 6, ASSISI 06081 ITALY telephone: +39 349 2990036 •
merla.andrea@gmail.com

CONTENTS

PROJECT IDENTIFICATION TABLE

Title of UNDP supported GEF financed project	Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions
UNDP and GEF project ID#s	UNDP PIMS ID: 2193 GEF Project ID: 1032
Evaluation time frame and date of evaluation report	April 1st, 2013 – May 31st, 2013 TE report issued on May 31st 2013
Region and countries included in the project	Latin America and the Caribbean: Antigua and Barbuda, Bahamas, Barbados, Belize, Brazil, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, *France* (*French Guiana, Guadeloupe, Martinique, St. Barthelemy, St. Martin*), Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, *The Netherlands* (*Aruba, Bonaire, Curacao, Saba, St. Eustatius, St. Maarten*), Trinidad and Tobago, *United Kingdom* (*Anguilla, Bermuda, British Virgin Islands, Cayman Islands, Montserrat, Turks and Caicos Islands*), *United States of America* (*Puerto Rico, US Virgin Islands*), Venezuela.
GEF Strategic Program	Water body-based Operational Program (OP8): Large Marine Ecosystem Component Strategic Priority 2
Implementing partner and other implementing partners	Implementing Agency: UNDP Executing Agency: UNOPS Cooperating Agency: IOC UNESCO
Evaluator	Andrea Merla

ACKNOWLEDGEMENTS

The Author wishes to take the opportunity of the submission of the Terminal Evaluation report to thank Ms. Katrin Lichtenberg and Ms. Kirsten Moeller Helsgaun of UNOPS, the staff of the of the CLME PCU, Mr. Patrick Debels, Ms. Laverne Walker and Mr. Gabriel Garcia Gomez, for their kindness and support during his visit to Cartagena, and all the persons interviewed for their effective cooperation, and enthusiasm in the project.

A particular thanks goes to Cesar Toro (IOCARIBE), Robin Mahon (CERMES), Tarub Bahri (FAO), and to the PCU for the extensive comments on the first draft of the Terminal Evaluation.

EXECUTIVE SUMMARY

Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions				
Project Goal	Sustainable provision of goods and services by the shared living marine resources in the Wider Caribbean Region through robust cooperative governance			
Countries:	Antigua and Barbuda, Bahamas, Barbados, Belize, Brazil, Colombia, Costa Rica, Dominica, Dominican Republic, Guatemala, Grenada, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, and Trinidad and Tobago			
GEF project ID:	1032	Financing GEF	At endorsement: 7,008,116	At completion: 7,008,116
UNDP Project ID:	00060566	Co-financing	47,591,111	
Executing Agencies	UNOPS	UNESCO IOC, UNEP, FAO		
Focal Area:	International Waters			
FA Objectives (OP/SP):	OP8/SP1 (GEF4)			
GEF CEO Endorsement	April 11, 2008	Planned duration:	48 months	64 months
First disbursement	August 1st 2008			
Date Project manager Hired	May 1st, 2009			
Intended closing date:	May 2013	Actual or Expected closing date: August 2013		
Mid-term review.	February 2012	Terminal Evaluation (actual date):	May 2013	
Date of last Steering Committee meeting:	March 2013			

Project Summary Table

Project Description and Evaluation Findings

The *Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions Project* addresses a critical and challenging environmental issue, the sustainability of living marine resources, and does so in a particularly complex transboundary and institutional setting including 23 GEF eligible participating countries, 2 supporting countries (Cuba and Venezuela) and the USA as important collaborator, and a number of regional and sub-regional bodies with jurisdiction and at times overlapping mandates on living marine resources, fisheries, the environment. The relevance of the project is undisputed, given the almost total dependency of many of the smaller countries and of most coastal communities on healthy coastal and marine ecosystems (tourism and fishing). The challenges relate to human induced alterations of coral reefs and other habitats, and to systematic over-exploitation of fisheries, a number of which are already cited as collapsed.

Project design

The project objective was to contribute to the "*Sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an ecosystem-based management approach that will meet the WSSD target for sustainable fisheries*". In other words, the project's aim was to foster the implementation of EBM/EAF within a broader view of conjunctive environmental and fisheries governance. The project adopts the hard, long but possibly only way to sustainable fisheries through the implementation of policy, legal and institutional reforms and capacity building both at the national and at the regional, transboundary levels. Project design follows the GEF IW recommended methodological approach for foundational projects, based on the TDA-SAP process, complemented by pilot on the ground demonstrations of remedial practices. While building on this solid framework, this evaluation has identified major design pitfalls, such as lack of clear expected outcomes, confusion in terminology among outcomes, outputs and activities, questionable allocation of resources, and most of all the adoption – at the Project Document level - of the necessarily generic transboundary issues (overfishing, pollution and habitat loss) that GIWA attributed to the CLME and its coastal areas, thus pre-determining the conclusions of the full scale TDA process to be carried out during project implementation, and somehow preventing the local scientific community from producing a more targeted and compelling case for concrete immediate actions to complement the long term management approach, as the near collapse conditions of many of the Caribbean fisheries seemed to require.

The TDA Process

The PDF-B management chose to complete, instead of a single LME wide TDA, three separate TDAs, addressing different geographic contexts (Insular Caribbean, Guyana Brazil Shelf, and Central and South America). This initial and, in the opinion of the evaluator, unfortunate decision was justified by "…the CLME's size, complex mosaic of EEZs and diverse ecosystems". By sub-dividing the LME into supposedly more manageable sub-systems meant the loss of the holistic approach at the basis of the LME concept, and hindered the unraveling of the transboundary linkages between the two LMEs object of the project: the CLME *s.s.*, and the NBSLME (North Brazil Shelf LME), which were at the basis of the decision to address both marine ecosystems as part of a single project. This initial fragmentation – not reflected in the PD which foresees instead just one general TDA - was again adopted in the early stages of project implementation, when three TDAs, this time focused not on geography but on "fisheries ecosystems" were executed, accompanied by a Governance TDA and a "regional TDA" presenting a summary of the four TDAs (or 7, if one considers the PDF-B ones, thus bringing the total to 8 TDAs). Likely due to the complexity and fragmentation of this approach, the TDA process, while consolidating a wealth of scientific and background information, did not result in very clear, compelling conclusions on the major transboundary concerns requiring urgent, specific concrete and targeted actions.

The SAP process

The number of littoral countries (a GEF record), the size and complexity of the two merged LMEs, the many regional and sub-regional bodies, and the time lost during the first half of the project, explain the somewhat "preliminary" nature of the SAP. It represents however a significant and needed step forward towards improved coordination among the many actors involved in fisheries and environmental management in the CLME, and towards a comprehensive environmental and living marine resources governance system in the Caribbean. The SAP is well conceived, and responds to the needs perceived by the countries of the region. The TDAs do not seem to have played a decisive role in guiding the identification of specific priority actions, rather representing a comprehensive set of background documents. The Pilot Projects and Case Studies appear instead to have had a strong influence on the SAP process. The SAP is now in the process of being formally endorsed at ministerial level by the littoral countries. Eighteen countries have already endorsed the SAP at the time this report is being finalized, only a few days after the beginning of the endorsement process. All stakeholders interviewed by the evaluator were strongly supportive of the SAP and of its implementation. In several countries, among them Colombia, the SAP will likely be endorsed by all ministries involved.

Catalytic Impacts

By blending foundational work with a number of well-selected pilots and case studies, the project has in part overcome shortcomings in design and in the conduct of the TDA process, feeding new information and insights into the SAP process, and catalyzing significant impacts and achievements, in particular:

- The two key sub-regional treaties: *The Memorandum of Understanding and Cooperation between OSPESCA and the Central American Commission for Environment and Development (CCAD),* bringing together for the first time fisheries management and environment protection, and t*he Joint Action Plan between OSPESCA and CRFM*, the first agreement among fisheries management bodies encompassing large proportion of the countries participating in this project.
- The *Flying fish Management Plan* done under the Flying fish Case Study, the first approved and agreed upon management plan covering the full range of fisheries in the entire Caribbean.

Implementation issues

Surprisingly, the setting up and operation of the PCU has been possibly the main challenge faced by the project. The first PRC was hired only in May 2009, one year after project effectiveness, but during the period May 2009 - August 2011, the position was vacant for extended periods due to the resignations of two RPCs and difficulties in identifying adequate substitute candidates (in April 2011 also the second RPC resigned, without leaving handover instructions, and was ad interim substituted by the SPO who resigned shortly afterwards, in August 2011, meaning all original technical staff of the PCU had resigned at that moment, with the only exception of the Office Manager). At this point the project was at risk. The reasons for all this are not clear to the evaluator. The impacts on the project of this instability, as they appear from project records, are quite visible in terms of loss of coherence in management directions, delays in delivery of products, and of disbursements. During this difficult period, the effective back up support provided by UNDP, UNESCO IOC and UNOPS was critical for the continuation of the project. In August 2011 the present RPC took over the task. Thanks to his vision and to the dedication of the newly re-organized PCU staff (the new highly skilled SPO accepted a local contract, since PCU funding was becoming scarce), and to the never failing, sustained commitment to the project of the countries and partners, the project regained momentum and clear direction. It appears from interviews and from project records that partners and NFPs were fully supporting the new dynamic PCU, to the point of returning some unspent funds to the PCU to ensure its continuing operation during the no-cost extension period. During the last 21 months, the project was able to deliver on almost all expected outputs, and to strengthen the CLME partnership of

agencies, organizations, countries and the PCU, and its commitment to the objectives of the project and to the health of the Wider Caribbean. Yet again, this is another demonstration of the fundamental role of effective project management and coordination in ensuring project success.

Summary of Findings

Expected conditions at the end of the project	Baseline Indicator	At project completion
Agreement on and understanding of the transboundary problems of the CLME as they relate to management of living marine resources	Preliminary agreement on transboundary issues reached during the project preparation phase.	Countries and project partners confirmed their agreement on the transboundary issues identified during the project preparation phase. Additional knowledge gathered as part of the Case Studies, Pilot Projects and the various TDAs prepared by the project, increased the understanding of the functioning of the fisheries ecosystems.
Regional and sub-regional governance framework(s) incorporating the key policy cycle components (decision making; implementation; review and evaluation; data and information; analysis and advice) are established and operational by end of project	Discussion as well as stakeholders involvement on LMR issues occurs sporadically, and in an unstructured way. Regional and sub-regional LMR governance frameworks are not articulated	Substantial advances on the definition of and agreement on an overall governance framework that would include consideration of both environment and fisheries issues have been achieved as part of the SAP preparation process and the execution of pilots and case studies. This effort has catalyzed in Central America a key intergovernmental agreement between OSPESCA (fisheries) and CCAD (environment).
Decision support framework(s) agreed and applied for key transboundary fisheries and the CLME ecosystem	Non existent	As an example of the achievements of the project in this field, in particular thanks to the very successful Case Study on the flyingfish fishery, the project catalyzed the agreement of East Caribbean countries on the Flyingfish Management Plan, the first of its kind in the region.
Regional planning framework (SAP) to address transboundary issues as they relate to LMR developed	Non existent	The SAP was developed trough a participatory approach and reflects the orientations of the countries and of the regional stakeholders and organizations. The SAP includes 6 groups of

		Strategic Actions, totaling 72, falling under three categories: Governance/Institutional Frameworks; Capacity Building; Implementation in the field/Investments. The implementation of each group of strategic actions will be led by a grouping of partner organization (UNEP, IOC UNESCO, FAO WECAFC, CRFM, OSPESCA etc.). The SAP focuses on enhancing ecosystem-based governance for reef, sea grass, mangroves and coastal lagoons management; implementing ecosystem approach for pelagic fisheries; applying EBM/EAF to shrimp and ground fish fisheries in the NBSLME; and combating the widespread illegal, unreported and unregulated fishing.

Evaluation Rating Table

Monitoring and Evaluation	S
UNDP and Implementing Partner implementation / execution	S
Overall Results	S
Relevance	HS
Effectiveness and Efficiency	MS
Sustainability	MU

Conclusions and Recommendations

Based on the ratings assigned to the various project components and activities, and on the considerations made on key contributions and main problematic areas, the evaluator has concluded that the project deserves an overall **Satisfactory** rating.

The evaluator wishes to submit two main recommendations that might be relevant for project completion, and for future SAP implementation.

1. As part of the project's sustainability strategy, the consolidation of the project experience in the form of a conclusive report, prepared by those that led and participated to the project (IAs, EAs, PCU, SC), including its technical, financial and management aspects, would help both countries and regional institutions to take stock of the CLME project legacy. Such consolidation of project experience would also greatly benefit the GEF IW Focal Area, in its continuing effort to enhance portfolio learning, and global dissemination of the experiences of projects. Consideration should be given to ensuring that the experience of this very successful GEF project be fully captured in a consolidated final project report.

2. The project could have benefited from the involvement and support of development financial institutions, such as the World Bank, IADB and the Caribbean Development Bank, and the private sector. The lack of involvement of these key stakeholders seems due to the absence of related activities, outputs and resources in the Project Document. The evaluator believes that without direct involvement of development investors and of the fishing and tourism industries the project goal might be unattainable. It is strongly recommended that in future SAP implementation, priority attention be given to the establishment of mechanisms for consultation with, and involvement of development banks and donors, and of the private sector.

ACRONYMS AND ABBREVIATIONS

CANARI	Caribbean Natural Resources Institute
CARICOM	Caribbean Community and Common Market
CCAD	Central American Commission for Environment and Development
CEP	Caribbean Environment Programme (UNEP)
CERMES	Centre for Resource Management and Environmental Studies
CFMC	Caribbean Fisheries Management Council
CITES	Convention on the International Trade of Endangered Species
CLME	Caribbean Large Marine Ecosystem
CLME$^+$	Caribbean and North Brazil Shelf Large Marine Ecosystems
CRFM	Caribbean Regional Fisheries Mechanism
DSS	Decision Support System
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem-based Management
EcoQO	Ecosystem Quality Objective (CLME SAP)
FAO-	Food and Agricultural Organisation of the United Nations –
WECAFC	Western Central Atlantic Fisheries Commission
GEF	Global Environment Facility
GIWA	Global International Waters Assessment
ICCAT	International Commission for the Conservation of the Atlantic Tuna
ICM	Integrated Coastal Management
IOC	Intergovernmental Oceanographic Commission of UNESCO
IOCARIBE	UNESCO Sub-commission for the Caribbean Sea and Adjacent Regions

IUU	Illegal, Unreported and Unregulated fishing
LME	Large Marine Ecosystem
LMR	Living Marine Resources (CLME Project)
M&E	Monitoring and Evaluation
MPA	Marine Protected Area
NAP	National Action Plan
NBSLME	North Brazil Shelf Large Marine Ecosystem
NGO	Non-Governmental Organisation
OECS	Organisation of Eastern Caribbean States
OSPESCA	Central America Fisheries and Aquaculture Organisation
REMP	Regional Environmental/Ecosystem Monitoring Programme
RFMO	Regional Fisheries Management Organisation
SAP	Strategic Action Programme (CLME Project)
SBO	Societal Benefits Objective (CLME SAP)
SD	Strategic Direction (CLME SAP)
TDA	Transboundary Diagnostic Analysis
UN	United Nations
UNCLOS	United Nations Convention on the Law of the Sea
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP CAR/RCU	UNEP Caribbean Regional Coordination Unit
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNOPS	United Nations Office for Project Services
UWI	University of the West Indies

WCR	Wider Caribbean Region

1. INTRODUCTION

1.1 Purpose f the Evaluation

In line with the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects, and the Guidelines for GEF Agencies in Conducting Terminal Evaluations, the terminal evaluation of the Project "*Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions* " is undertaken at the end of the project to assess project performance (in terms of relevance, effectiveness, efficiency, sustainability and impact), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNDP, the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

- Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?

- Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?

- Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?

1.2 Scope and Methodology

The terminal evaluation of the Project "Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions" was conducted during the period April – May 2013 by Andrea Merla under the overall responsibility and management of the UNDP Evaluation Office (New York). The field visit was carried out between May 6th and May 12th 2013.

The in-depth evaluation used a participatory approach whereby key stakeholders – the PCU, EAs and IAs staff, were kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods were used to determine project achievements against the expected outputs, outcomes and impacts.

It has to be noted that the terminal evaluation took place before project closure, foreseen for August 2013, upon request of the project. This fact has placed on the evaluator the extra burden of having to operate in the absence of well-consolidated summary project documentation, specially, but not limited to financial information.

The findings of the evaluation are based on the following:

A **desk review** of project documentation, including:

1. Relevant background documentation, inter alia UNDP and GEF policies, strategies and programs pertaining to international waters; various reports and TDAs prepared during PDF-B phase;
2. Project design documents;
3. Annual Work Plans and Budgets or equivalent;
   Project reports such as progress reports from executing partners;
4. Steering Committee meeting minutes; PAG and Steering Committee and workshop reports;
5. Annual Project Implementation Reviews and relevant correspondence; demonstration projects terminal reports;
6. The Mid-term Evaluation report and its rubrics;
7. Documentation related to project outputs such as: documentary, website, newsletters, articles, brochures, technical bulletins, training manuals, community-based resource assessment toolkit, legislative toolkit, demonstration project case studies and experience notes.

Interviews with:

1. Project management and execution support;
2. UNDP GEF IW Team Leader (New York);
3. Execution partners and other relevant partners;
4. National Focal Points;
5. Relevant staff of GEF Secretariat;

During the interviews, questions naturally varied according to the interlocutor. In general terms they revolved around three main topics: (i) relationships and synergies between the regional activities and Component 1 (demonstrations); (ii) sustainability mechanisms; (iii) catalytic impacts attributable to the project.

Field visit

The evaluator visited the project PCU in Cartagena, Colombia, from May 6th to May 12th, 2013.

1.3 Project Description and Development Context

The Region

The project area covers the Caribbean Sea LME and the adjacent parts of the Atlantic: the North Brazil Shelf LME. The Caribbean Sea includes many islands, including the Leeward and Windward Islands situated on its eastern boundary, Cuba, Hispaniola, Puerto Rico, Jamaica and the Cayman Islands. There is little seasonal variation in surface water temperatures. Temperatures range from 25.5 degrees Celsius in the winter to 28 degrees Celsius in the summer.

The adjacent region of the North Brazil Shelf Large Marine Ecosystem is characterized by its tropical climate. It extends in the Atlantic Ocean from the boundary with the Car-

ibbean Sea to the Paraiba River estuary in Brazil. The LME owes its unity to the North Brazil Current, which flows parallel to Brazil's coast and is an extension of the South Equatorial Current coming from the East. The LME is characterized by a wide shelf, and features macro-tides and up-wellings along the shelf edge. It has moderately diverse food webs and high production due in part to the high levels of nutrients coming from the Amazon and Tocantins rivers, as well as from the smaller rivers of the Amapa and western Para coastal plains.

The Caribbean Sea averages depths of 2 200 m, with the deepest part, known as the Cayman trench, plunging to 7 100 m. The Caribbean Current transports water northwestwards through the Caribbean Sea and into the Gulf of Mexico, via the Yucatan Channel. Its source is the equatorial Atlantic Ocean via the North Equatorial, North Brazil, and Guyana currents. Water flows into the Caribbean Sea mostly through the Grenada, Saint Vincent, and Saint Lucia passages in the southeast continuing westward as the Caribbean Current – the main surface circulation in the Caribbean Sea.

In the Caribbean Sea region, mangrove, sea-grasses and coral reefs are closely associated; they exist in a dynamic equilibrium influenced by coastal activities. Three main rock types dominate the coastline; limestone, igneous rock and beach rock. In addition there are unconsolidated deposits such as beaches, alluvial fans, alluvial plains and dunes.

The marine and coastal systems of the region support a complex interaction of distinct ecosystems, with an enormous biodiversity, and are among the most productive in the world. Several of the world's largest and most productive estuaries (Amazon and Orinoco) are found in the region. The coast of Belize has the second largest barrier reef in the world extending some 250 kilometers and covering approximately 22,800 km2. The region's coastal zone is significant, encompassing entire countries for many of the island nations.

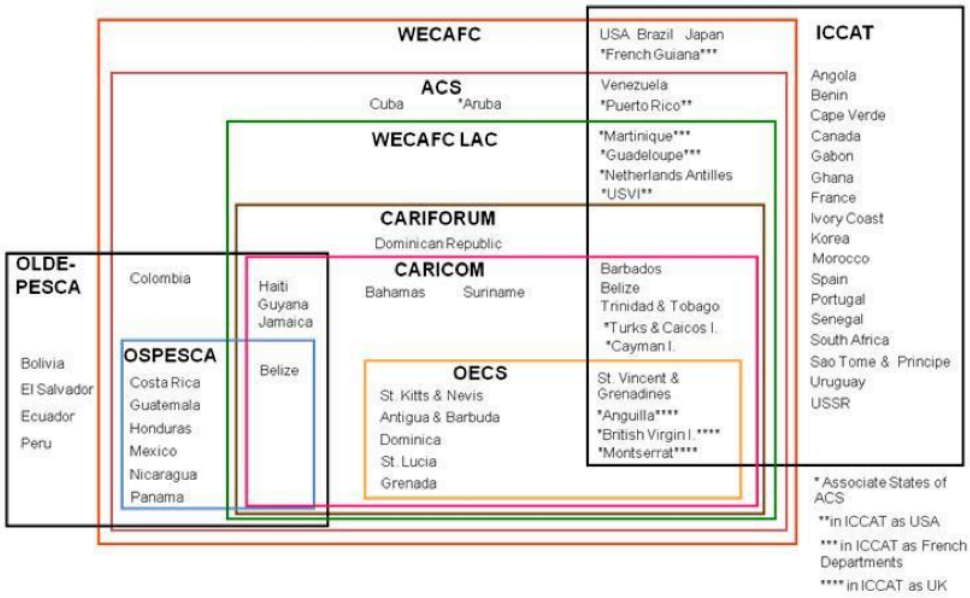
There is considerable spatial and seasonal heterogeneity in productivity throughout the region. Areas of high productivity include the plumes of continental rivers, localized upwelling areas and near shore habitats (e.g., reefs, mangrove stands and sea grass beds). The trophic connection between these productive areas and other, less productive systems (e.g., offshore planktonic or pelagic systems), is poorly understood for this region. Likewise, food chain linkages between resources with differing scales of distribution and migration, such as flying fish and large pelagics, both of which are exploited, are not considered in management, but may be critical to preventing the stock depletion that has occurred in many other systems where the requirements and or impacts of predators have not been considered in the exploitation of prey species.

Problems that the Project sought to address

This highly productive marine ecosystem is however under threat, and many of its living marine resources are in crisis. Most of the fishery resources are coastal and are intensively exploited by large numbers of small-scale fishers. Offshore commercial fisheries and IUU fishing are also major concerns. The majority of the human population in the Caribbean region lives in coastal communities and there is high dependence on living marine resources for employment and food. There is also high demand for seafood in the tourism industry, a mainstay of the economy in many of the region's countries. Some species, such as lobster and conch are in high demand for export. These pressures, compounded by the fact that these resources are often shared among countries thus requiring coordinated international management and corrective action, have led to *widespread over-exploitation of these resources, and in numerous cases to the collapse of entire fisheries*, a situation that must be reversed in accordance with the targets identified at the WSSD. This progressive depletion has recently led to increased dependence and fishing pressure on further offshore resources, which are already considered to be fully or overexploited.

The transboundary nature of many living marine resources of the Caribbean LME will necessarily require cooperation at various geopolitical scales. On the other hand the existing institutional, legal and policy frameworks or mechanisms for managing shared living marine resources across the region have failed to reverse degradation trends, and appear to be hindered by lack of capacity and political commitment at the national level, and of information particularly with relation to the transboundary distribution, dispersals and migrations of these organisms. The inadequacy of existing management mechanisms, and the lack of knowledge have been considered by CLME project designers as the major barriers to the implementation of effective sustainable ecosystem based management of these shared marine resources. The project rationale is based on the assumption that, in spite of intense international cooperation and the quite numerous regional agreements and organizations, the political commitment and the technical and institutional capacity that are required to give effect to the variety of agreements and commitments are a severe constraint for most of the countries in the region.

Project designers and beneficiary countries deemed the many fragmented regional institutional arrangements and the level of understanding of ecosystem functioning inadequate for a Caribbean-wide integrated management framework of living marine resources.



Complexity of fisheries governance in the Wider Caribbean

Immediate and Development Objectives

Based on the above design assumptions, the UNDP /GEF Project "CLME+" overall goal is to reach the:

"Sustainable provision of good and services by the living marine resources in the Wider Caribbean Region through robust cooperative governance",

Its main, and very ambitious objective is the establishment of:

"Sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an ecosystem-based management approach that will meet the WSSD target for sustainable fisheries".

The specific objectives of the project are:

- To identify, analyze and agree upon major transboundary issues, root causes and actions required to achieve sustainable management of the shared living marine resources in the Caribbean Sea LME;
- To improve the shared knowledge base so that sustainable use and management of transboundary living marine resources will be possible;
- To implement legal, policy and institutional reforms regionally and nationally to achieve sustainable transboundary living marine resource management;
- To develop an institutional and procedural approach to LME level monitoring, evaluation and reporting for management decision-making.

Project Start and Duration

The project became effective in August 2008. Start of the CLME project activities was on May 1st 2009[1] and represented the culmination of over a decade of preparatory work.

The project is expected to end with a considerable delay with respect to initial expectations. This delay is largely justified by the organizational difficulties encountered in the first phase of project execution.

Baseline Indicators and Expected Results

Purpose (Objective): Sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an ecosystem-based management approach that will meet the WSSD target for sustainable fisheries	
Indicator of expected conditions at the end of the project	Baseline Indicator
Agreement on and understanding of the transboundary problems of the CLME as they relate to management of living marine resources	Preliminary agreement on transboundary issues reached during the project preparation phase.
Regional and sub-regional governance framework(s) incorporating the key policy cycle components (decision making; implementation; review and evaluation; data and information; analysis and advice) are established and operational by	Discussion as well as stakeholders involvement on LMR issues occurs sporadically, and in an unstructured way. Regional and sub-regional LMR governance frameworks for fisheries and coastal resources are fragmented.

[1] The CEO endorsement occurred in April 11, 2008, and the first disbursement was made in August 2008. On May 1, 2009 the PCU became operational.

end of project.	
Decision support framework(s) agreed and applied for key transboundary fisheries and the CLME ecosystem.	Non existent
Regional planning framework (SAP) to address transboundary issues as they relate to LMR developed	Fragmented

Baseline Indicators and Expected Results

The table above shows in a synthetic way the initial situation vs. the expectations at project completion, as captured by the set of logframe general indicators. It has to be noted that during the preparation phase of the project an extensive information gathering work was carried out, including the elaboration of a preliminary TDA, that resulted in the identification of three priority transboundary problems: (1) unsustainable exploitation of fish and other living marine resources; (2) habitat degradation and community modification; and (3) pollution, the same ones that GIWA attributed to the Caribbean Sea Region.

Main Stakeholders

Thorough stakeholders analyses were carried out during the preparation phase of the project separately for Insular Caribbean, Central and South America, and the Guianas-Brazil Shelf. The results reflect the complexity of the interests and responsibilities involved in living marine resources management in this wide region encompassing 25 GEF client countries, 4 non-beneficiary countries and a large number of regional and sub regional organizations and frameworks. The main stakeholders resulting from the analysis for the Insular Caribbean, the most complex of the three sub-systems, are reported in the following table.

Stage of governance cycle	National	Sub-regional	Regional
Decision-making	Government, Commissions, Ad hoc Committees, Environmental Management Authorities	OECS	Regional conventions (Cartagena)

Analysis & advice	Government, Academic and research institutions, Advisory commissions, Ad hoc committees, Expert groups	CARICOM, CRFM, OECS	Regional conventions, regional bodies (CFMC, WECAFC, CEHI, ACS), UN regional bodies (UNEP CAR/RCU), Expert working groups (lobster, conch), Regional NGOs (e.g. CANARI, CCA)
Implementation	Government	OECS	At national level by Government
Review & evaluation	Government, Academic and research institutions, Advisory commissions, Expert groups	CARICOM, CRFM, OECS	Regional conventions, Regional bodies (CFMC, IOCARIBE, WECAFC), UN regional bodies (UNEP CAR/RCU), Expert groups (lobster, conch), Regional NGOs (e.g. CANARI, CCA)
Data & Information	Government, Academic and research institutions, Civil society	CARICOM, CRFM, OECS	Regional conventions, regional bodies (e.g. CRFM, CARICOM, OECS, WECAFC), UN regional bodies, Expert groups (lobster, conch), Regional NGOs (e.g. CANARI, CCA)

Stakeholders in the Insular Caribbean

As seen in the table above, the main users of the living marine resources of the Insular Caribbean (fisheries sector, tourism, etc.) are generally not involved in any phase of the policy cycle. At the national level, there is minimal stakeholder participation in decision-making, national legislation/regulation changes, and evaluating compliance with agreed regulations.

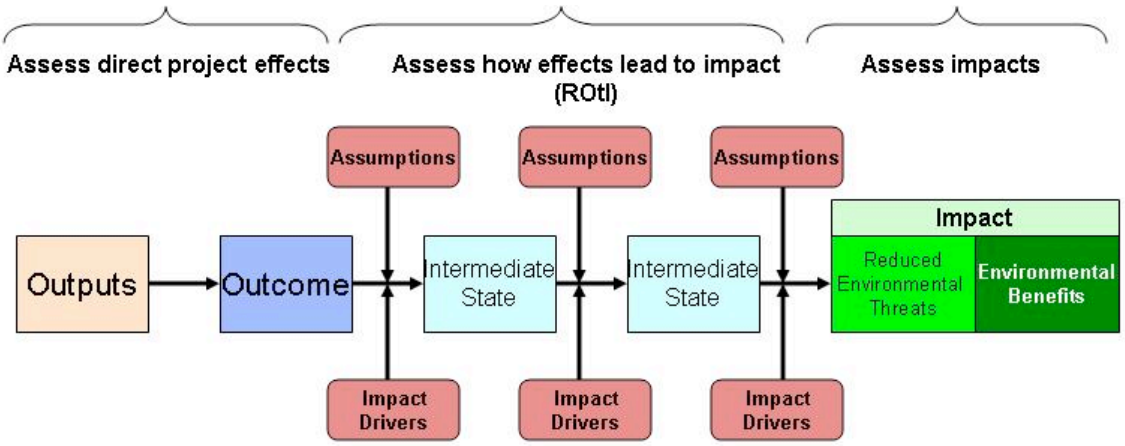
2. FINDINGS: PROJECT DESIGN

2.1 Analysis of Project Logic - *Application of the theory of change to project design: from outcomes to impact*

The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)[2] – see diagram below - and has three distinct stages:

a. Identifying the project's intended impacts
b. Review of the project's logical framework
c. Analysis of the project's *[initially assumed]* outcomes-impact pathways, and intermediate states.

An application of this methodology based exclusively on the Project Document will be presented in this section.



The CLME Project Document presents a somewhat unsatisfactory definition of the outcomes that the project is expected to produce. In fact, the outcomes listed in the section Projects Outputs/Activities, at page 40 of the Project Document, correspond in reality to the main outputs of the project, rather than to the outcomes, defined as changes that the outputs are expected to determine in the environmental conditions of the LME and its living resources. They are:

[2] GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook.

1) Analysis of transboundary issues and problems relating to the management of LMR and identification of needed actions.
2) SAP development and identification of legal, policy and institutional reforms and investments for shared LMR management.
3) Targeted projects demonstrating the strengthening of the policy cycle and early SAP implementation.

For the purposes of this evaluation, the author has hence formulated the following general "expected outcome", valid for the project as a whole, based on the contents of the Project Document, in particular the definitions at paragraphs 136 – 138:

The identification and testing of, and commitment to policy, legal and institutional reforms aimed at introducing an ecosystem based approach to transboundary LMR management in the CLME and NBSLME at both national and regional levels, enable the implementation of an overall strategy for the sustainable management and protection of the living marine resources of the CLME and NBSLME.

The table below captures the understanding reached by the evaluator of the project design logic, and introduces a newly defined overall project outcome, without which the ROtI could not have been made.

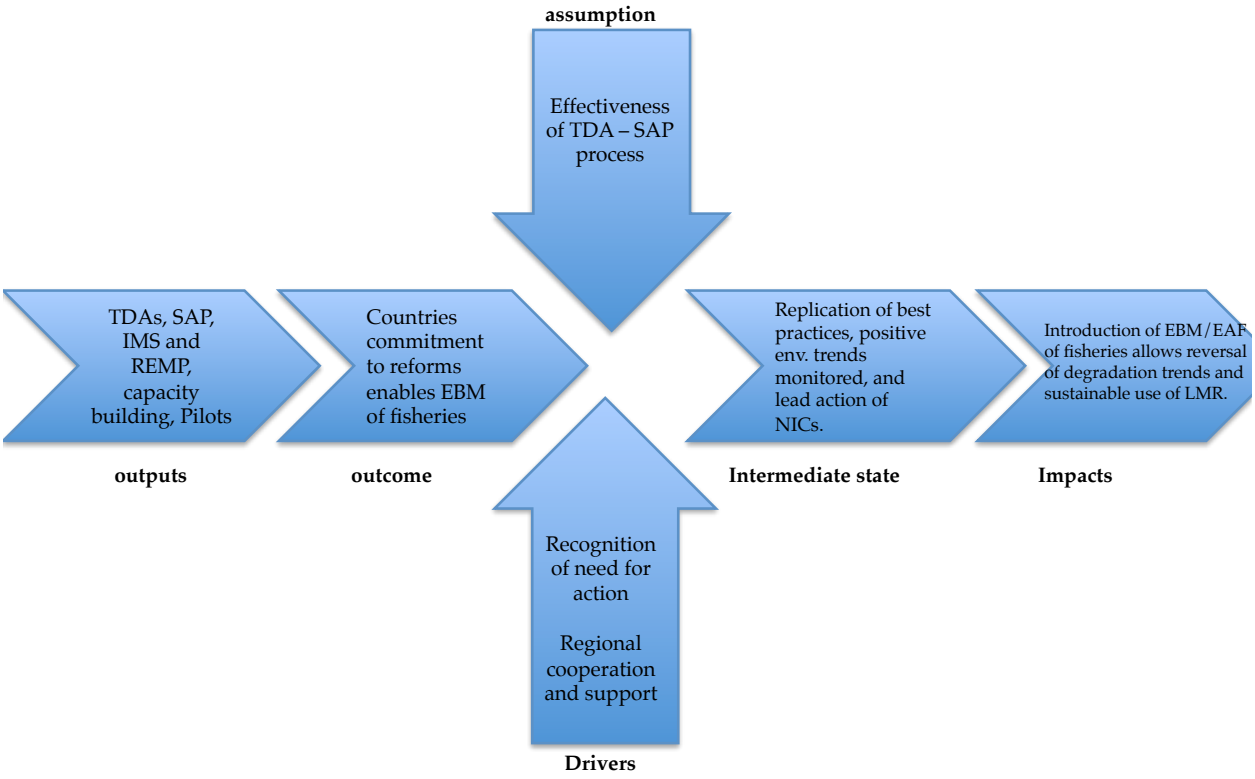
Project objective: *Sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an ecosystem-based management approach that will meet the WSSD target for sustainable fisheries.*					
Outputs	**Outcome**	**Assumptions and Drivers**	**Intermediate state**	**Impacts**	
				Reduced environmental threats	Environmental benefits
(i) Analysis of transboundary issues and problems relating to the management of LMR and identification of needed actions. (ii) SAP development and identification	The identification and pilot testing of, and commitment to policy, legal and institutional reforms aimed at introducing an ecosystem based approach to transboundary LMR management in the CLME and NBSLME at both national and regional levels, enable the	*Assumption*: The application of the GEF IW recommended enabling process of joint science based fact finding (TDA) and agreement on priority corrective measures (SAP) will trigger countries commitment to policy, legal and institutional	Replication of best practices piloted by the project. Monitoring data produced by countries show positive trends fostering full SAP	Mitigation of stress in critical fisheries (spiny lobster, reef. large pelagics, etc.). Full SAP imple-	Sound management and protection of globally significant living resources of the Caribbean and North

of legal, policy and institutional reforms and investments for shared LMR management. (iii) Targeted projects demonstrating the strengthening of the policy cycle and early SAP implementation.	implementation of an overall strategy (SAP) for the sustainable management and protection of the living marine resources of the CLME and NBSLME.	reforms introducing ecosystem based management of LMR implementation region-wide. *Drivers:* Shared recognition of need to manage and protect the living marine resources of the region. Regional cooperation providing incentives and support structure.	implementation. National Interministerial Committees take up responsibility for SAP implementation.	mentation reverses degradation trends and enhances sustainability of key fisheries. CLME+ countries better prepared to face threats from global changes.	Brazil Shelf LMEs, foster environmentally sustainable development.

Review from Outcomes to Impacts

The project design assumes that the expected outcome, i.e.: the achieved commitment to the implementation of ecosystem based fisheries management - at national level within a coherent regional framework, and the achievement in the long term of the intended impacts will result from essentially three parallel actions[3] or outputs: a science based jointly prepared TDA identifying the main transboundary concerns of the LMEs, their causes, including root causes, and possible remedial actions; the agreement on a Strategic Action Program and on its implementation at the national and regional level; Pilot demonstrations of the effectiveness of SAP implementation in key transboundary fisheries. Project design is based on the assumption of the effectiveness of the TDA-SAP process, and that the recognition of the need to change unsustainable fishing practices and behaviors is a major driver of action, together with the support provided by regional bodies and cooperation. Should the assumption be proven valid, these drivers will take the countries to an "intermediate state", where best practices are being broadly replicated, and positive results from monitoring foster SAP implementation. It is expected that reforms allowing the adoption of EBM principles will reverse degradation, and accrue global environmental benefits.

[3] Effective project management (outcome/output 4) is not considered here, as it is an obvious prerequisite for success of every project.



The figure above schematically represents the design logic of the project, as it emerges from the application of the ROtI / Theory of Change[4] to the design of the project as a whole. The same exercise could be made for each component and each pilot demonstration, or for that matter for every activity of the project.

2.2 Analysis of Design Elements *(Project Logical Framework)*

[4] The Review of Outcomes to Impacts, based on the ToC, seems to assume that outputs will necessarily lead to outcomes, which may not always be the case. In our case for example, while the effectiveness of EBM in achieving impacts is hardly questionable, the transition from outputs to outcomes (SAP implementation) appears instead to be the critical step.

Project Document Elements	Evaluation Comments
Indicators	Overall the logical framework provides useful information, including elements needed for developing the ToC. Indicators reflect however shortcomings in the formulation of outcomes (that appear to be lists of outputs rather than outcomes), do not apply to objectives but rather to activities, and are seldom SMART, including qualitative judgments (see in particular Outcome 3).
Assumptions and Risks	As identified in the PD, the most critical risk for the long-term success of the Project will ultimately rest on the political willingness of the participating countries and the many CLME organizations to work together under a single ecosystem based fisheries and shared living marine resources management and governance framework, and to enact reforms, and cooperate and sustain the Project's outputs well after its completion. The whole project design revolves around raising awareness and commitment of project countries. The PD captures the nature of the key assumption: that countries will commit to the necessary policy reforms and legislative amendments required to strengthen and enhance governance of LMR in the CLME. The project will create an enabling environment for this to happen; the actual implementation of related reforms is beyond its control.
Lessons Incorporated	Project design does not explicitly incorporate lessons learned in other similar GEF projects or other programs in the region.
Planned Stakeholders Participation	The Project foresees the establishment of a "regional forum at which a wide range of stakeholders can express their views regarding fisheries management and be heard by the key decision makers". This forum is called STAG: Stakeholders Advisory Group. No further details are provided on its specific functions and expected role and impacts.
Replication Approach	Project Document states that the "..proposed project has the potential to provide lessons that can be adapted to other regions of the world, particularly those where transboundary resources are exploited by small-scale fisheries". No particular replication strategy is however described,

	other than participation to IW LEARN activities and production of Experience Notes.
UNDP Comparative Advantage	UNDP was considered uniquely positioned to support the project through its robust network of country offices, as well as its extensive UNDP experience in GEF LME projects. UNDP served as IA for more LME projects than any other agency, nine to date including PEMSEA which encompasses 5 LMEs; these LME projects have delivered 5 ministerially endorsed SAPs or equivalent to date.
Linkages with other relevant interventions	Despite explicit mention in the PDF-B document, no specific activity was foreseen, nor resources allocated to link with the many other ongoing relevant projects, such as IWCAM, the Gulf of Honduras, and others outside the region (e.g.: Benguela Current).
Management Arrangements	Design included a Project Coordination Unit (PCU), to be located in the offices of IOCARIBE of IOC (UNESCO) in Cartagena, Colombia, staffed by an internationally recruited Chief Technical Advisor (CTA), a senior project officer and two regionally recruited technical support staff. The resources allocated for the PCU seem however not adequate to sustain the PCU, as designed, throughout the duration of the project.

2.3 Main comments on Project Design

Project design follows the well established and field tested methodology recommended by the GEF IW focal area for "foundational" projects, i.e.: projects aiming at setting the necessary knowledge base and cooperative environment for facilitating action on agreed upon priority transboundary concerns. It revolves around three "standard" components focused on: (i) science based joint fact finding (TDA); (ii) achieving agreement on priority actions including policy, legal and institutional reforms; (iii) pilot on the ground demonstrations, aimed at strengthening country commitment to action and testing solutions. While building on this solid design framework, the adopted project design however shows major pitfalls.

Fragmentation into multiple diagnostic analyses

The PDF-B management chose to complete, instead of a single CLME+ wide TDA, three separate TDAs, addressing different geographic contexts (Insular Caribbean, Guyana Brazil Shelf, and Central and South America). This initial and, in the opinion of the evaluator, unfortunate decision was justified by "…the CLME's size, complex mosaic of EEZs and diverse ecosystems". By sub-dividing the CLME+ into supposedly more manageable sub-systems meant the loss of the holistic approach at the basis of the LME concept, and hindered the unraveling of the transboundary linkages between the two LMEs object of the project: the CLME *s.s.*, and the NBSLME (North Brazil Shelf LME), which were at the basis of the decision to address both marine ecosystems as part of a single project. This initial fragmentation – not reflected in the PD which foresees instead just one general TDA - was again adopted in the early stages of project implementation, when three TDAs, this time focused not on geography but on "fisheries ecosystems" were executed, accompanied by a Governance TDA and a "regional TDA" presenting a summary of the four TDAs (or 7, if one considers the PDF-B ones, thus bringing the total to 8 TDAs).

Identification of key transboundary issues of concern

Purpose of a TDA is to facilitate, through a process of mutual recognition of scientific facts and building of trust, the agreement of littoral countries on the key transboundary issues requiring joint mitigation action. In the case of the CLME, while the PDF-B proposal focused the preliminary TDA to be carried out during project preparation on a correctly identified typology of transboundary LMR management issues that might have affected the CLME (migratory resources; resources with transboundary distribution of adults; resources with transboundary larval dispersal; dispersal of pathogens, pollutants and alien species; resources with transboundary trophic linkages), the actual conclusions of the preliminary TDAs (PDF-B) recommended to adopt the rather generic list of issues that GIWA listed for the CLME (valid for most LMEs as well):

- Unsustainable exploitation of fish and other living resources;
- Habitat and community modification;
- Pollution

The adoption – at the Project Document level - of such generic transboundary issues has had significant implications during project implementation.

Largely because of this, the science community - national, regional and global - has not taken advantage of the opportunity offered by the TDA process to make a compelling case for the need to complement the long term approach of governance and institutional

reforms with immediate concrete and targeted actions to reverse the alarming degradation trends characterizing fisheries and habitats in the project area.

3. FINDINGS: PROJECT IMPLEMENTATION

3.1 Adaptive management *(changes to the project design and project outputs during implementation)*

The only major change in project design and expected outputs has been the restructuring of the TDA component, from the single LME wide TDA foreseen in the Project Document, to four separate TDAs dealing with Reef Fishery Ecosystem, Pelagic Fisheries Ecosystem, Shelf Fishery Ecosystem, and Governance. In addition, a summary TDA was also produced, for a total of five separate TDAs. The TDA Technical Task Team, and the Stakeholders Advisory Group called for this major change in 2010. The evaluator has not found any written documentation explaining the rationale for this change, or defining the scope and nature of "Fisheries Ecosystems". It seems that the main motives were the perceived need for a major focus on fisheries management and overall governance aspects, and the preference for more manageable sub-systems. It is the evaluator opinion that this choice, that contradicts the holistic nature of the LME concept, might not have been for the better.

3.2 Partnership arrangements *(with relevant stakeholders involved in the country/region)*

Partnerships have been the strength of this project, even during the difficult first two years. National Focal Points in countries, and regional and sub-regional relevant organizations, governmental and non-governmental, were all involved and fully committed to the project objectives (see for example Decision IX of the 15th Intergovernmental Meeting of UNEP CEP, and UNESCO IOC XXVI Assembly Resolution XXVI.2). The effort of the project was to transform this ad hoc "project" partnership into a new regional partnership between the fisheries and the environmental communities, giving strength and content to the movement towards ecosystem approach to fisheries considered essential for the sustainability of LMRs and livelihoods. The *Memorandum of Understanding and Cooperation between OSPESCA and the Central American Commission for Environment and Development (CCAD)*, is key in this respect, and represents one of the catalytic impacts achieved by the project.

3.3 Project Finance

The Project is being completed within the initial GEF budget of US $ 7,008,116.

A reporting system on co-financing was in place at the PCU, and the evaluator was able to obtain information updated to May 2013. This information, together with the original expectations, is presented in the tables below.

It can be noted that not all countries reported on their in kind contributions, while instead all partners did so and fulfilled their obligations to the project. The lack of reporting from a number of countries should not be interpreted however as a lack of actual in kind contributions. Evidence suggests that all countries did participate to the project activities and contributed with staff time, information and other means.

Name of co-financier (source)	*Classification*	*Type*	*Amount ($)*	*%**
Bahamas	Natl'l Gov't	In-kind	3,465,000	7.28%
Barbados	Natl'l Govt	In-kind	tbd	
Belize	Natl'l Gov't	In-kind	223,800	0.47%
Brazil	Natl'l Gov't	In-kind	2,500,000	5.25%
Colombia	Natl'l Gov't	In-kind	1,660,980	3.49%
DR	Natl'l Gov't	In-kind	252,000	0.53%
Grenada	Natl'l Gov't	In-kind	554,300	1.16%
Guatemala	Natl'l Gov't	In-kind	44,800	0.09%
Haiti	Natl'l Gov't	In-kind	50,000	0.11%
Honduras	Natl'l Gov't	In-kind	33,600	0.07%
Jamaica	Natl'l Gov't	In-kind	349,800	0.74%
Mexico	Natl'l Gov't	In-kind	110,000	0.23%
Panama	Natl'l Gov't	In-kind	3,268,000	6.87%
St. Lucia	Natl'l Gov't	In-kind	381,000	0.80%
Suriname	Natl'l Gov't	In-kind	208,000	0.44%
US NOAA	Government Agency	In-kind	22,600,000	47.49%
Cropper Foundation	NGO	In-kind	1,258,026	2.64%
TNC	NGO	In-kind	1,077,000	2.26%
CoML	NGO	In-kind	2,425,000	5.10%
CRFM	Beneficiary	In-kind	2,829,000	5.94%
OLDEPESCA, OSPESCA	Beneficiaries	In-kind	332600	0.70%
FAO	Multilat Agency	In-kind	1,336,000	2.81%
IOCARIBE	Multilat Agency	In-kind	830,000	1.74%
UNEP	Multilat Agency	In-kind	500,000	1.05%
UNDP	Multilat Agency	In-kind	686,205	1.44%
University of WI (CERMES)	NGO	In-kind	480,000	1.01%
University of Miami, Rosentiel School	NGO	In-kind	136,000	0.29%
PDF-B			213,000	
Total Co-financing			**47,804,111**	100%

Co-financing – Project document

		Agency/ Country	Initial co-financing committed	Co-financing 'spent till April 2013	% of committed cofin materialized by April 2013	Leveraged Resources	Total confinacing contribution ending April 2013
		TOTAL	**47,591,111**	**31,128,057**	**65**	**7,925,140**	**38,299,837**
AGENCIES	1	CERMES	480,000	429,250	89		429,250
	2	CRFM	2,829,000	2,829,000	100	7,292,583	10,121,583
	3	FAO	1,336,000	1,336,000	100	0	1,336,000
	4	UNEP	500,000	500,000	100	31,329	531,329
	5	UNESCO-IOC	830,000	753,360	91		
	6	OSPESCA	300,000	300,000	100	18,740	318,740
	7	NOAA	22,600,000	22,600,000	100	0	22,600,000
	8	Cropper Foundation	1,258,026				
	9	TNC	1,077,000				
	10	CoML	2,425,000				
	11	OLDEPESCA	32,600				
	12	Univ of Miami	136,000				
	13						
	14						
	15	UNDP	686,205		0		
COUNTRIES	1	Antigua & Barbuda	0		0		
	2	Bahamas	3,465,000		0		
	3	Barbados	0		0		
	4	Brazil	2,500,000		0		
	5	Belize	223,800	223,800	100	50,000	273,800
	6	Colombia	1,660,980	1,660,980	100	472,894	2,133,874
	7	Costa Rica	0		0		
	8	Dominica	0		0		
	9	Dominican Republic	252,000		0		
	10	Grenada	554,300		0		
	11	Guatemala	44,800		0		
	12	Guyana	0		0		
	13	Haiti	50,000		0		
	14	Honduras	33,600		0		
	15	Jamaica	349,800		0		
	16	Mexico	110,000		0		
	17	Nicaragua	0		0		
	18	Panama	3,268,000		0		
	19	St. Kitts & Nevis	0		0		
	20	St. Lucia	381,000	287,667	76		287,667
	21	St. Vincent & Grenadines	0		0		
	22	Suriname	208,000	208,000	100	8,920	216,920
	23	Trinidad & Tobago	0	0	0	50,674	50,674
	24	*Cuba**	0		0		
	25	*Venezuela**	0		0		
		Dutch Territories	0		0		
		French Territories	0		0		
		UK Territories	0		0		
			30,916,980	30,696,257	99.3		

Co-financing – Reported to PCU by May 2013

3.4 Monitoring and Evaluation

The project adopted standard monitoring and evaluation modalities, in accordance with UNDP and GEF procedures, including annual reporting (APR/PIR/RT), SC meetings, Quarterly reports, reports of technical meetings (TTT, PAG, PoP, STAG), Mid-term Evaluation.

The evaluator was able to access all the records, and found them in most cases complete and informative, even those referring to the difficult early phase.

The MTE was concluded in February 2012. Several of the conclusions coincided with conclusions and recommendations of the 3rd SC meeting (November 2012) and were adopted by the PCU.

RATING: Satisfactory

3.5 UNDP and Implementing Partners implementation / execution (*) coordination, and operational issues

The supervision provided by UNDP seemed adequate. Though late in getting off the ground, once the PCU became operational in 2009 UNDP and Implementing and Cooperating Partners (IOC – UNESCO IOCARIBE, UNOPS) provided continued support, made easier by the fact that given the number of related initiatives in which they participated and the other opportunities to discuss various aspects of the program, a forum for discussion or opportunity to thrash out issues seemed always readily available.

The presence of both the IA and EAs on the PSC together with participating member states and partners served to add a significant degree of legitimacy to the decision coming out of that body.

As proven by email exchanges among agencies, project records, and of the interviews with PCU and IA staff, the supervisory role of UNDP was critical during the early phases of the project when facing difficulties and project start up; later it essentially focused on SC activities and the oversight of periodic project reporting (PIRs, and IW reporting template). Quality of PIRs has been generally good.

Once the initial delays and start up problems were overcome, and the present PCU established, executing partners responded with renewed commitment, and the timely delivery of quality products improved.

The evaluator deliberately avoided assessing the performance of each executing partner, preferring to analyze the design, performance, outputs and impacts of the project as a whole. It is apparent that the findings of the evaluation reflect the effectiveness of the contributions of all partners involved in project execution[5].

RATING: Satisfactory

[5] For reference to these contributions see 4.2

4. FINDINGS: PROJECT RESULTS

4.1 Overall Results *(Attainment of Objectives)*

Purpose (Objective): Sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an ecosystem-based management approach that will meet the WSSD target for sustainable fisheries		
Expected conditions at the end of the project	Baseline Indicator	At project completion
Agreement on and understanding of the transboundary problems of the CLME as they relate to management of living marine resources	Preliminary agreement on transboundary issues reached during the project preparation phase.	Countries and project partners confirmed their agreement on the transboundary issues identified during the project preparation phase. Additional knowledge gathered as part of the Case Studies, Pilot Projects and the various TDAs prepared by the project, increased the understanding of the functioning of the fisheries ecosystems.
Regional and sub-regional governance framework(s) incorporating the key policy cycle components (decision making; implementation; review and evaluation; data and information; analysis and advice) are established and operational by end of project	Discussion as well as stakeholders involvement on LMR issues occurs sporadically, and in an unstructured way. Regional and sub-regional LMR governance frameworks are not articulated	Substantial advances on the definition of and agreement on an overall governance framework that would include consideration of both environment and fisheries issues have been achieved as part of the SAP preparation process and the execution of pilots and case studies. This effort has catalyzed in Central America a key intergovernmental agreement between OSPESCA (fisheries) and CCAD (environment), and between CRFM and OSPESCA.
Decision support framework(s) agreed and applied for key transboundary fisheries and the CLME ecosystem	Non existent	As an example of the achievements of the project in this field, in particular thanks to the very successful Case Study on the flyingfish fishery, the project catalyzed the agreement of East Caribbean coun-

		tries on the Flyingfish Management Plan, the first of its kind in the region.
Regional planning framework (SAP) to address transboundary issues as they relate to LMR developed	Non existent	The SAP was developed trough a participatory approach and reflects the orientations of the countries and of the regional stakeholders and organizations. The SAP includes 6 groups of Strategic Actions, totaling 72, falling under three categories: Governance/Institutional Frameworks; Capacity Building; Implementation in the field/Investments. The implementation of each group of strategic actions will be led by a grouping of partner organization (UNEP, IOC UNESCO, FAO WECAFC, CRFM, OSPESCA etc.). The SAP focuses on enhancing governance for reef, sea grass, mangroves and coastal lagoons management; implementing ecosystem approach for pelagic fisheries; applying EBM/EAF to shrimp and ground fish fisheries in the NBSLME; and combating the widespread illegal, unreported and unregulated fishing.

RATING: Satisfactory

4.2 Achievements of Outputs and Activities

The following table presents the comments of the evaluator for each outcome-output-activity of the project, as they appear in the Project Document. It has to be noted again

that the Project Document shows an erroneous use of these terms, whereby Outcome equals Output, and Output equals Activity. As a result, the project has no clear expected outcomes, and a relatively limited number of outputs (3). In addition, there is little coherence between the Logical Framework indicators, and the description of outcomes and outputs contained in the main body of the Project Document.

Outcomes=Outputs	Outputs=Activities	Evaluator comments
1. Analysis of Transboundary Issues relating to the management of LMR and Identification of Needed Actions	1.1 Revise and update the TDA.	In early 2010, the TDA technical task team, and the STAG *"determined that the best way to update the TDA* (the three TDAs developed during the PDF-B on a geographical basis) *was on a fisheries related ecosystem basis"* plus one on Governance issues. Three specific, but lacking geographical resolution, ecosystems (shelf, pelagic, and reef), were agreed upon, and the decision was confirmed by the 2nd SCM as the focus of the revised TDA. The conduction of the TDAs was entrusted to international consultants. Results were reported for comments to the SC, but were not considered negotiable. In the TDAs, the consultants analyze the impacts of the three preselected key transboundary issues on each of the three vaguely defined "fishery ecosystems". Results are summarized in a Regional TDA. The various TDA documents resulting from this approach (8, if one includes those developed during the PDF-B), while of high scientific quality and full of relevant information, tend to be generic, fragmented and repetitive. The conclusions lack attempts to identify hot spots and prioritize needs for action, and fail to discriminate transboundary from national responsibilities. It is the opinion of the evaluator that this lengthy and complicated TDA process, has not brought about the intended results, and has failed to make a compelling case for urgent, targeted remedial actions on specific transboundary issues of concern (e.g.: fisheries close to collapse, etc.). The lack of a participatory,

		joint fact finding process has resulted in limited country ownership. Moreover, the rationale for including the NBSLME seems to have been lost, since this LME has been treated as a separate system (shelf), and its highly relevant interlinkages with the CLME have not been adequately analyzed (e.g.: the impacts, both beneficial and harmful, of the Orinoco plume on the CLME reefs and pelagics). This notwithstanding, all countries and main stakeholders coincide on the need for implementing coordinated ecosystem based management approaches to fisheries, and for addressing the three main issues of concern: overfishing, pollution and habitat loss.
	1.2 TDA gap filling activities.	The TDAs identify a number of scientific information gaps, involving key aspects for stock assessment and management (sustainable fishing levels, criteria for establishing MPAs, response to global climate change, etc.). A certain level of gap filling was achieved with success through a series of case studies, and of the pilot projects (see Outcome 3). These case studies were: • Eastern Caribbean Flying-fish Fishery (CRFM) • Shared Stocks of the Shrimp and Ground-fish fishery of the Guianas – Brazil Shelf (FAO) • Large Pelagic fishery (CRFM) • Governance arrangements for marine ecosystems of the Wider Caribbean region (CERMES) All these case studies, started with some delay, were being successfully completed by the time of the TE. They included on the ground actions and involved local stakeholders, setting the stage in some cases for effective improvements

		in fisheries management. In the case of the Guianas - Brazil Shelf for example, dialogue was fostered between conservation NGOs and the fishery administration of Surinam during the national consultation, which proved constructive; agreement was reached in Trinidad on trawling closure periods and a number of preferred options for alternatives to support and utilize fishermen during the closure periods were identified (they included amongst others clean up of lost/abandoned fishing gears, use of fishing vessels in control and surveillance, and data collection). The Flying fish Management Plan done under the Flying fish Case Study, is the first approved and agreed upon management plan for any fishery in the entire Caribbean. The case studies raised expectations among littoral countries stakeholders of continuing support beyond project completion. They were proven quite useful in feeding relevant proposals for action into the SAP process. They did not however provide inputs to the TDA process, as initially planned, due to delays in execution.
	1.3 Development of Information Management System (IOC UNESCO)	The IMS and associated Regional Ecosystem Monitoring Program REMP – implemented as case studies - in spite of long initial delays, are now being finalized. At the time of this evaluation it was however impossible to verify its functionality. Prior to moving to SAP implementation, the IMS-REMP should be thoroughly evaluated.
2. SAP Development and identification of reforms and investments for management of shared living re-	2.1 Strategic Action Program (SAP) developed.	The SAP was developed trough a participatory approach and reflects the orientations of the countries and of the regional stakeholders and organizations. It is based on a common Vision, and on three ecosystem specific quality objectives (EcoQOs) essential for the achievement of

sources		an overall Societal Benefits Objective. To achieve these objectives, the SAP follows two Strategic Directions aimed at bringing together environment protection and sustainable fisheries management within a consolidated governance framework. The SAP includes 6 groups of Strategic Actions, totaling 72, falling under three categories: Governance/Institutional Frameworks; Capacity Building; Implementation in the field/Investments. The implementation of each group of strategic actions will be led by a partner organization (UNEP, IOC UNESCO, FAO WECAFC, CRFM, OSPESCA etc.). The SAP focuses on enhancing governance for reef, sea grass, mangroves and coastal lagoons management; implementing ecosystem approach for pelagic fisheries; applying EBM/EAF to shrimp and ground fish fisheries in the NBSLME; and combating the widespread illegal, unreported and unregulated fishing. The number of littoral countries (a GEF record), the size and complexity of the two merged LMEs, the many regional and sub-regional bodies, and the time lost during the first half of the project, explain the somewhat "preliminary" nature of the SAP. It represents however a significant and needed step forward towards improved coordination among the many actors involved in fisheries and environmental management in the CLME, and towards a comprehensive environmental and natural resources governance system in the Caribbean. The SAP is well conceived, and responds to the needs perceived by the countries of the region. The TDAs do not seem to have played a decisive role in guiding the identification of priority actions, rather representing a comprehensive set of background documents. The Pilot Projects and Case Studies appear instead to have had a strong influence on the SAP process. The SAP is now in the process of being formally endorsed at ministerial level by the littoral

		countries. Four countries had already endorsed the SAP at the time of the evaluator's field visit, only a few days after the beginning of the endorsement process. All stakeholders interviewed by the evaluator were strongly supportive of the SAP and of its implementation. In several countries, among them Colombia, the SAP will likely be endorsed by all ministries involved.
	2.2 Management and Governance Framework for LMR of the CLME improved.	[*This statement appears to be indicating an expected outcome rather than an output or activity*]. It is in fact likely that governance of LMR will substantially improve if and when the SAP will be implemented.
	2.3 CLME Monitoring, Evaluation and Reporting Framework established.	As part of the SAP implementation, a set of ad hoc Process, Stress Reduction, and Environmental Status Indicators will be developed for periodic monitoring (see 1.3 REMP). The three GEF IW recommended categories of indicators would be complemented by Socio-economic Indicators, as well as by indicators related to the architecture and performance of governance arrangements and networks. The baseline situation and targets will be established for each indicator at the start of SAP implementation. It is the evaluator opinion that more could have been done in terms of defining baseline conditions, targets and indicators as part of the present project. This shortcoming reflects the lack of clear objectives in the TDA development process, and the delays in the early phases of project implementation.
	2.4 Project information system established and maintained.	[*Repetition of 1.3*]

	2.5 Steering Committee, Stakeholder Advisory Group and Partners of the Project meetings held.	[*Better listed under Project Management*]. All these activities were performed according to plan, and recorded.
3. Targeted projects aimed at strengthening the policy cycle and early implementation of the SAP	3.1 Pilot Project on Spiny Lobster Fishery (OSPESCA)	When adult, the spiny lobster lives in well-identified coastal areas. At the larval planktonic stage however, it drifts with the currents from Brazil up to the Bahamas. This species may hence be considered as highly transboundary. The growing fishing pressure, reaching beyond sustainable levels, is threatening this highly valuable resource. The Pilot, completed at the time of the TE (no final report yet), experimented harmonized measures in the Central American Caribbean such as the three regional fishing prohibitions in March 2010, 2011 and 2012. It is expected that other countries of the Wider Caribbean will join in this effort to regulate and decrease the pressure on the spiny lobster. The Pilot, as well as the CLME project as a whole, was instrumental in catalyzing two key sub-regional treaties: 1. *The Memorandum of Understanding and Cooperation between OSPESCA and the Central American Commission for Environment and Development (CCAD)*, bringing together for the first time fisheries management and environment protection. 2. *The Joint Action Plan between OSPESCA and CRFM*, the first agreement among fisheries management bodies encompassing the entire Caribbean.
	3.2 Pilot Project on Reef fisheries and biodiversity (UNEP CEP)	The Pilot consisted in four activities aimed at promoting ecosystem based reef management approaches in different locations and addressing biodiversity hot spots and protected areas

		in the Caribbean: 1. Coastal and Marine Environmental Management and Protection in Caracol Bay, Haiti (fringing reefs, mangroves) 2. Management and Conservation of Reef Biodiversity and Reef Fisheries in Pedro Bank, Jamaica (reefs, queen conch). This brought amongst others to the establishment of the San Pedro Cays Fish Sanctuary and no-take areas. 3. Conservation, Fisheries Management Practices and MPA Implementation Strategies in the Monte Cristi National Park, Dominican Republic (reefs, coastal lagoons, mangrove swamps) 4. Strengthening Ecosystem Based Management in the Seaflower Marine Protected Area, San Andres Archipelago, Colombia (reefs, erosion control, queen conch). At the time of the TE, the activities of the Pilot were about to conclude, but an overall report on the results achieved was not yet available. Interviews with NFPs and executing partners confirmed the importance and significance of the effort within the Caribbean context, and the many good practices successfully tested. A particular mention deserves the pilot in the Monte Cristi area, initially supposed to join efforts in a transboundary setting with the Caracol site in Haiti. Problems beyond the project control hindered cooperation between the two sites, but both pilots were eventually completed. In Monte Cristi dialogue with the fisher folks was for the first time tested, and successfully so. A master management plan for this threatened coastal habitat was defined and adopted.
4. Cost-Effective Project Management Arrangements	4.1. Establishment of regional Project Coordination Unit -	Surprisingly, the setting up and operation of the PCU has been possibly the main challenge faced by the project. The first PRC was hired

Provided for	Appointment of Chief Technical Advisor and regional technical experts	only in May 2009, one year after project effectiveness, but during the period May 2009 - August 2011, the position was vacant for extended periods due to the resignations of two RPCs and difficulties in identifying adequate substitute candidates (In April 2011 also the second RPC resigned, without leaving handover instructions, and was ad interim substituted by the SPO who resigned shortly afterwards, in August 2011, together with the remaining technical staff of the PCU). The reasons for all this are not clear to the evaluator. In any case the impacts on the project of this instability, as they appear from project records, are quite visible in terms of loss of coherence in management directions, delays in delivery of products, and of disbursements. In August 2011, when the present RPC took over the task, the project was at risk. At this point, thanks to the dedication of the RPC and of the newly re-organized PCU staff (the new highly skilled SPO accepted a local contract, since PCU funding was becoming scarce), and to the never failing, sustained commitment to the project of the countries and partners, the project regained momentum and clear direction. It clearly appears from interviews and from project records that partners and NFPs were fully supporting the new dynamic PCU, to the point of returning some unspent funds to the PCU to ensure its continuing operation during the no-cost extension period. During the last 21 months, the project was able to deliver on almost all expected outputs, and to strengthen the CLME partnership of agencies, organizations, countries and the PCU, and its commitment to the objectives of the project and to the health of the Wider Caribbean. Yet again, this is another demonstration of the fundamental role of effective project manage-

		ment and coordination in ensuring project success.
	4.2. Cost-effective project delivery	Notwithstanding the many challenges faced by the project, including the instability of the PCU, the project was able to deliver most of the expected products within budget, and to catalyze additional actions from partners and countries.

4.3 Relevance

The Project objectives are well in line with regional priorities, and with GEF and UNDP strategies. All project stakeholders and executing partners in the region were fully convinced of the fundamental relevance for the future sustainability of the LMRs of the CLME+, and of the services they provide, of the approach to governance that the project has been promoting.

RATING: Highly Satisfactory

4.4 Effectiveness and Efficiency

In spite of initial difficulties in PCU set up, and of the delays that followed, the execution of the project, including the Pilots and Case Studies, appears to have been cost-effective. The project as a whole was conducted within budget thanks to the adaptive management exercised by the various PCUs, and in particular of the present one. The long delay in project completion is largely due the initial one-year delay in establishing the first PCU.

RATING: Marginally Satisfactory

4.5 Country/Region Ownership

Throughout the life of the project the major stakeholders (country government representatives, regional and sub-regional organizations and bodies) were able to effectively demonstrate their overall ownership of the project, through their involvement on the PSC and STAG. All partners complied with their co-financing commitments. A number

of countries and several sub-regional organizations took action on project recommendations, and entered into important agreements in line with the ecosystem approach to fisheries.

4.6 Sustainability

Sustainability of the regional reform facilitation mechanisms put in place by the project will be partly ensured by the fact that the promotion of EBM/EAF has been mainstreamed in the action of a number of project partners (CRFM, OSPESCA, etc.). While this is partly attributable to the project, and a necessary pre-condition for the sustainability of its results, it is the opinion of the evaluator that without dedicated financial resources, and the continuing coordination effort among the many entities developed by the PCU, the momentum toward reforms might in part be lost after the project completion. The SAP, if endorsed by a critical number of countries, represents a necessary first step that will need further support to bring about its fruits in terms of sustainability, of both the governance framework and of the fisheries ecosystems. Lack of systematic attempts to involve the development investment community or the private sector may also somehow affect overall sustainability. At the country level, the evaluation findings indicate that countries seem posed to maintain their commitment to EBM/EAF beyond the project, and move on to policy and other reforms.

RATING: Marginally Unlikely

4.7 Impacts

See sections on *Overall Results* and on *Achievements of Outputs and Activities* above.

4.8 Summary of Ratings

Monitoring and Evaluation	S
UNDP and Implementing Partner implementation / execution	S
Overall Results	S
Relevance	HS
Effectiveness and Efficiency	MS

Sustainability	MU

5. CONCLUSIONS AND RECOMMENDATIONS

Based on the ratings assigned to the various project components and activities, and on the considerations made on key contributions and main problematic areas, the evaluator has concluded that the project deserves an overall **Satisfactory** rating.

The evaluator wishes to submit two main recommendations that might be relevant for project completion, and for future SAP implementation.

1. As part of the project's sustainability strategy, the consolidation of the project experience – including case studies and pilot demonstrations - in the form of a conclusive report, prepared by those that led and participated to the project (IAs, EAs, PCU, SC), including its technical, financial and management aspects, would help countries and regional institutions to take stock of the CLME project legacy. Such consolidation of project experience could also greatly benefit the GEF IW Focal Area, in its continuing effort to enhance portfolio learning, and global dissemination of the experiences of projects. Consideration should be given to ensuring that the experience of this successful GEF project be fully captured in a consolidated final project report.

2. The project could have benefited from the involvement and support of development financial institutions, such as the World Bank, IADB and the Caribbean Development Bank, and of the private sector. The lack of involvement of these key stakeholders seems due to the absence of related activities, outputs and resources in the Project Document. The evaluator believes that without direct involvement of development investors and of the fishing and tourism industries the project goal might be unattainable. It is strongly recommended that in future SAP implementation, priority attention be given to the establishment of mechanisms for consultation with, and involvement of development banks and donors, and of the private sector.

Lessons Learned

The CLME Project has confirmed what is already to be considered a patrimony of the GEF IW experience in foundational projects, the decisive role in project success of four key elements:

1. Project management. All projects require strong technical leadership and full time commitment at the level of the PCU. The CLME project is a case in point, exemplary in this respect.
2. Adaptive management. The present PCU was remarkable in its ability to implement adaptive management through effective interactions with other management bodies such as the Steering Committee, and advisory groups and panels, and the

client countries. Without this capacity to re-structure the project and adjust it to emerging situations, the project would have failed.

3. Blending of foundational work and on the ground pilot work. This project design feature is proving an indispensable complement of the TDA – SAP process, by providing for experimentation of possible mitigation measures, filling of information gaps, consolidating country involvement, ownership and commitment, fostering synergies among partner agencies, catalyzing actions and impacts. The CLME project was able to overcome serious implementation problems thanks also to the commitment of countries and partners, and to the positive impacts generated by these project activities.
4. Partnerships. Rarely GEF IW projects act in a vacuum, but on the contrary they usually intervene in contexts which may at times be complex, made of pre-existing experiences and scientific knowledge, ongoing work, regional bodies and initiatives, existing plans, treaties and binding and non binding international laws and practices. Projects need hence to become *partners in development*, fully coherent with the context, and adhering to regional traditions, consolidated experience and modus operandi. The CLME project, during its second half, was able to achieve this level of partnership with all relevant actors, to the benefit of overall project results and their future sustainability.

ANNEX 1

List of Persons Interviewed

CLME+ PCU:	Patrick Debels, Project Regional Coordinator
	Laverne Walker, Senior Project Officer
	Gabriel Garcia Gomez, Office Manager
UNDP Regional Office, Panama	Josè Vicente Troya, Regional Technical Advisor
UNDP New York	Andrew Hudson, Principal Technical Advisor
UNOPS	Katrin Lichtenberg
UNESCO IOC, Cartagena Office	Cesar Toro, Executive Secretary
UNEP CEP	Alessandra Vanzella-Khouri, Program Officer
FAO WECAFC	Tarub Bahri; FAO Rome;
OSPESCA	Mario Gonzalez, Regional Director
CRFM (CARICOM countries)	Milton Haughton, Regional Director CRFM
CERMES	Robin Mahon
Barbados	Dr. Lorna Innis, CLME NFP
Brazil	Sergio Macedo Gomez de Mattos, CLME NFP
Colombia	Elizabeth Taylor, CLME NFP Ministry of Environment and Sustainable Development
	Ana Maria Gonzalez, CLME Liaison Person,
Dominican Republic	Ydalia Acevedo, Vice-Minister, Ministry of Environment, CLME NFP
Mexico	Antonio Diaz de Leon, CLME NFP, Director of SEMARNAT
United States	Bonnie Ponwith, NOAA and NFP

Evaluative Criteria Questions	Indicators	Sources	Methodology
- Is the project relevant to the GEF IW strategic priorities and how does support the GEF IW focal area?	Very Relevant	• Council approval of PIF, and CEO endorsement of PD	•
-How does the project support the environment and sustainable development objectives of the CLME participating countries? -What was the level of stakeholder participation in project design? -What was the level of stakeholder ownership in implementation? -Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	Through the TDA - SAP process HIGH HIGH Project is mainly regionally focused	• PD PDF-B program SC meetings, STAG meetings, Interviews	•
-Is the length of the project sufficient to achieve project outcomes?	Outcomes not defined in PD. Project produced all expected outputs	Project records and documents	•
-Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	YES	See above	•
-Has the project been effective in achieving its expected outcomes? Answer the question for all the outcomes.	Outcomes not defined in PD. Project produced all expected outputs, and achieved catalytic impacts	See above	•

-What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project?	Stakeholder Involvement NO	See above	•
-What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?	Identify clear outcomes; not include pre-selected main transboundary concerns for the CLME; allocate more funds for the PCU; include involvement of IFIs and private sector.		•
-Was adaptive management used or needed to ensure efficient resource use? -Did the project logical framework and work plans and any changes made to them use as management tools during implementation? -Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? -Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? -Was project implementation as cost effective as originally proposed (planned vs. actual) -Did the leveraging of funds (cofinancing) happen as planned? -Was results-based management used during project implementation?	YES, particularly to sustain PCU during no cost extensions NO YES YES YES YES YES		1.

-To what extent partnerships/linkages between institutions/ organizations were encouraged and supported?	HIGH	•	•
-What was the level of efficiency of cooperation and collaboration arrangements?	HIGH		
-Which methods were successful or not and why?	Effective Networking, successful		

ANNEX 2 – Evaluation Questions

ANNEX 3 – Documents reviewed

PDF-B Proposal, and Project Brief

CLME Project Document (ProDoc)

Transboundary Diagnostic Analyses (8)

Draft Strategic Action Programme

All Documents from Steering Committee Meetings

All Quarterly Reports and Annual PIRs

Mid-Term Review

Advance report of Case Studies, and Pilot Demonstrations

Project website containing/linking to deliverables from Pilot Projects and Case Studies