

# Final Evaluation Report

Project: Bridging SIDS capacity gaps in the implementation of the 2030 Agenda, with a focus on SDG 14 (1819B)

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## Acronyms

CROP	Caribbean Regional Oceanscape Project
CSO	Civil Society Organization
DPIDG	Division for Public Institutions and Digital Government
DSD	Department of Sustainable Development (Saint Lucia)
DSDG	Division for Sustainable Development Goals
ECROP	Eastern Caribbean Regional Ocean Policy
EMCD	Environmental Management and Conservation Division
GoJ	Government of Jamaica
ICE	Interim Coordinating Entity
IIE	Interim Implementation Entity
ISA	International Seabed Authority
MDAs	Ministries Departments and Agencies
MFAFT	Ministry of Foreign Affairs and Foreign Trade
MSP	Marine Spatial Planning
NEPA	National Environmental and Planning Agency
NCO CZM	National Council on Ocean and Coastal Zone Management
NOCZM	National Ocean and Coastal Zone Management
NOGC	National Ocean Governance Council
NOP	National Ocean Policy
NGO	Non-governmental Organisation
OCZM	Ocean and Coastal Zone Management
OECS	Organisation of Eastern Caribbean States
P-SIDS	Pacific Small Island Developing States
PIOJ	Planning Institute of Jamaica
PMRF	Performance Monitoring and Reporting Framework
PSO	Private Sector Organisation
SAMOA (Pathway)	Small Island Developing States Accelerated Modalities of Action
SAP	Strategic Action Plan
SDED	Sustainable Development and Environment Division (Saint Lucia)
SDGs	Sustainable Development Goals
SIDS	Small Island Developing States
SPC	The Pacific Community
UN	United Nations
UNCLOS	United Nations Convention on the Law of the Sea
UN-DESA	United Nations Department of Economics and Social Affairs
UNGA	UN General Assembly
UNRCO	United Nations Resident Coordinator Office

## Executive Summary

1. To build capacity for the achievement of Goal 14 of the Sustainable Development Goals (SDGs) the Small Island Developing States (SIDS) Unit of the United Nations Department of Economics and Social Affairs (UN-DESA) initiated a project titled, *“Bridging capacity gaps in the implementation of the 2030 Agenda, with particular focus on SDG 14.”*
2. The project ran from September 2018 thru June 2022, with six participating countries – Jamaica, Saint Lucia, Cook Island, Kiribati, Nauru, and Tonga – and with a UN Development Account budget of USD \$600,000. The project was divided into two components: Caribbean SIDS and Pacific SIDS (Abyssal Initiative). The Caribbean SIDS component included two distinct segments (Jamaica and Saint Lucia) and the Pacific SIDS component was homogenous among its four countries;
3. The Jamaica segment of the project’s Caribbean component yielded the following primary outputs:
  - i. Baseline Assessment Report: Strengthening National Ocean Sector Policies in Jamaica,
  - ii. Monitoring and Evaluation Framework for the Jamaica OCZM Authority ,
  - iii. Stakeholder consultations, and
  - iv. Policy Brief: Phase III Consultation on Institutional Arrangements for the Revision and Updating of OCZM Policy.
4. The primary outputs from the Saint Lucia segment of the project are as follows:
  - i. Review and Strengthening of Policy, Legislative and Institutional Capacity to Support Ocean Governance and Delivery of the National Ocean Policy Across all Sectors in Saint Lucia (Baseline report),
  - ii. Monitoring and Evaluation Framework,
  - iii. Infographics for public awareness campaign, and
  - iv. National training course (Blue Economy).
5. The primary outputs from the Pacific component of the project are as follows:
  - i. National and regional capacity building workshops (government officials),
  - ii. Guidelines for negotiations and contractual dealings with sponsored entities, and
  - iii. Roles and responsibilities of states sponsoring activities in the area (Toolkit).
6. In keeping with UN requirements a terminal project evaluation is required for the project. The methodology used for this evaluation includes interviews, desk reviews of relevant documents and questionnaires. Regrettably some of the persons contacted did not respond to emails, or reneged on their commitments to be interviewed. Few persons answered the questionnaire (four stakeholders from each of the two regions responded to the questionnaires). On the other hand, those stakeholders who agreed to be interviewed provided excellent information and context for the project.
7. The COVID-19 pandemic greatly impacted the execution of the project. The project, however, was able to move a significant amount of activity to the online space. As such, some workshops and meetings were moved online. This move was not without its own challenges, online meetings do

not allow for sufficient interaction between participants, are susceptible to internet disruptions, and often compete with other national duties and priorities for the participant’s attention.

8. This final evaluation uses six evaluative criteria: coherence, effectiveness, efficiency, impact, relevance, and sustainability. Of these six criteria the TOR explicitly requires four - effectiveness, efficiency, relevance, and sustainability. Each criterion is scored based on a simple four level scale: excellent, good, fair, and poor. While the project served two regions, as the Caribbean SIDS component comprised of two distinct segments three evaluations are done in keeping with these three distinct parts of the project.
9. The following present a snapshot of the evaluations given under the six evaluative criteria and four ranks (poor, fair, good, and excellent).

Table 0-1: Evaluation Summary

	Jamaica	Saint Lucia	Pacific SIDS
<b>Coherence</b>	Fair	Fair	Fair
<b>Effectiveness</b>	Good	Good	Good
<b>Efficiency</b>	Good	Fair	Good
<b>Impact</b>	Good	Fair	Good
<b>Relevance</b>	Excellent	Excellent	Excellent
<b>Sustainability</b>	Good	Fair	Good

10. The following are the primary recommendations arrived at by the consultant or suggested by stakeholders during the process of conducting the final evaluation:

General Recommendations (For UNDESA Project Managers and Project Design Phase)

- a. Determine country human resource capacity when determining project activities.
- b. Identify human resource needs for project sustainability.
- c. Identify the suite of financial solutions for supporting the advancement of the Blue Economy and the sustainable management of ocean and coastal zones.
- d. Obtain feedback from stakeholders throughout the life of the project, this does not rule out the need for stakeholders to be interviewed for the final evaluation but can make the final evaluation process more efficient.

Region or Country Specific Recommendations (For Action by National Entities)

- e. Create various committees (subsets) from the large membership of Jamaica’s NCOZM. This is likely to improve the participation of the myriad members on the council.
- f. Create an electronic database to improve the efficiency of monitoring and evaluation activities aligned to OCZM. (Jamaica and Saint Lucia)
- g. Identify the urgent human resource needs necessary for the effective and sustainable implementation of national policies on the Blue Economy and OCZM. (Jamaica and Saint Lucia)

- h. Create a “bridge” among the stakeholders of the islands of the Pacific for greater synergies and project sustainability as regards capacity building and increasing awareness on the myriad issues of deep-sea mining.
- i. Create videos to supplement manuals. (Pacific)

## 1. Introduction

Table 1-1: Project Snapshot

<b>Project Code and Title</b>	1819B: Bridging capacity gaps in the implementation of the 2030 Agenda, with a particular focus on SDG 14
<b>Project Period</b>	September 2018 – June 2022
<b>Budget</b>	USD \$600,000
<b>Target Countries</b>	Caribbean Islands: Jamaica, Saint Lucia Pacific Islands: Cook Islands, Nauru, Kiribati, Tonga
<b>Executing Entity</b>	SIDS Unit, Division for Sustainable Development (UN-DESA)
<b>Co-operating entities within the UN system</b>	International Seabed Authority, United Nations Development Programme, UN Environment

11. The United Nations has designated the decade 2021-2030 as the ‘Decade of Ocean Science for Sustainable Development.’ Incidentally, the end of the decade coincides with the culmination of Agenda 2030. It is within this context that the project - **“Bridging SIDS capacity gaps in the implementation of the 2030 Agenda, with a focus on SDG 14”** - is of critical importance to the six countries within which the project was implemented.
12. The SIDS Unit, UN-DESA was tasked with executing the project. The SIDS unit is mandated through resolutions adopted by the UN General Assembly (UNGA) to provide the following:
  - a. A broad range of support both to intergovernmental processes related to the Samoa Pathway, the Barbados Programme of Action for the Sustainable Development of Small Island Developing States, and the Mauritius Strategy for the further Implementation of the Barbados Programme of Action, as well as capacity building support and technical advisory services related to their implementation.
  - b. System-wide coordination and dissemination of information on activities in support of SIDS.
13. Given its mandate, UN-DESA assists SIDS to implement the Samoa Pathway and Agenda 2030 *inter alia* through Development Account projects.
14. The project was implemented in the Caribbean SIDS (Jamaica and St. Lucia) and in the Pacific SIDS (Cook Island, Kiribati, Nauru, and the Kingdom of Tonga). Due to circumstances beyond the control

of UN-DESA, St. Kitts Nevis, which was initially identified for inclusion in the project, was unable to participate. The budget was initially allocated equally between the two regions. Towards the end of the project some funds were reallocated from the Caribbean to the Pacific region.

Table 1-2: Country/Regional/Sectoral Analysis

Country/Region/Sector	Status of Affairs	Realistic Outcomes
Caribbean Component	<p>1) Limited capacity for scientific approaches to development planning and for the development of appropriate ocean governance policies</p> <p>2) Limited capacity and resources to collect, manage, analyse, and report on data and for monitoring and evaluation</p>	<p>1) Improved and/or updated national policies governing ocean and coastal zone resources in Jamaica, and Saint Lucia. Policies will include suitable monitoring and evaluation frameworks.</p> <p>2) Strengthened capacity for evidence-based decision-making and effective monitoring and evaluation</p>
Pacific Component	<p>1) Limited capacity to implement efficiently and fully DSM-related legal requirements (national and international)</p> <p>2) Limited capacity to participate actively in international DSM-related decision-making processes</p> <p>3) Limited capacity to participate actively in activities undertaken in the Area including in MSR programmes</p>	<p>1) Improved national capacity to implement relevant DSM-related legal requirements (application process, compliance monitoring...)</p> <p>2) Increased participation of P-SIDS in international decision-making processes</p> <p>3) Improved capacity of P-SIDS to participate in activities undertaken in the Area including through the establishment of a regional DSM Training Centre.</p>

15. The countries in the project cover a spectrum of SIDS in terms of physical size, population, income, and level of development. See

16.

17. Table A-0-5 thru Table A-0-10 for a few key indicators of each country in the project.

18. The Caribbean component (**component 1**) of the project provided support in the following areas:

- a. Update their respective relevant national policy frameworks for ocean and coastal management.
- b. Build the capacity of these countries to perform evidence-based policy planning, monitoring and evaluation.
- c. Strengthen national institutions for ocean and coastal zone management



19. The **Jamaica segment** of the project supported the efforts of the Government of Jamaica (GoJ) to create a coherent Ocean and Coastal Zone Management (OCZM) policy and an enabling framework which simultaneously allows for effective management of the coastal zone and development of the Blue Economy.
20. In **Saint Lucia**, the project reviewed and strengthened the policy, legislative and institutional capacity to support ocean governance and delivery of the National Ocean Policy (NOP) across all sectors..
21. The Pacific Small Island Developing States (P-SIDS) component (**component 2**) of the project was done in collaboration with the International Seabed Authority (ISA). Among the P-SIDS, capacity challenges exist in the following areas:
  - a. Limited capacity to implement efficiently and fully DSM-related legal requirements (national and international).
  - b. Limited capacity to participate actively in international DSM-related decision-making processes.
  - c. Limited capacity to participate actively in marine scientific research programmes.

Given these challenges the P-SIDS aspect of the project sought to build government capacity across the four project countries. This allows each country to better understand and by extension comply with national, regional, and international legal obligations and to effectively make decisions on issues related to the sustainable management of deep-seabed resources. Naturally, SIDS are characteristically ill prepared and lack the resources necessary to share in this “common heritage of mankind.” It is within this context that the Pacific Component of the project was initiated.

22. A key initiative of the P-SIDS component is the **Abyssal Initiative for Blue Growth** which was initiated by the International Seabed Authority (ISA) and UN-DESA in January 2019. The initiative was officially announced at the 2017 UN Ocean Conference with a commitment to strengthen the capacity of P-SIDS to benefit, in a sustainable way, from the resources of the deep-sea.
23. The Abyssal Initiative has two objectives: 1) ensuring that the Sponsoring States are sufficiently equipped to meet their national and international obligations, and 2) ensuring that the necessary institutional structures and mechanisms are in place.
24. The following sections include a description of the methodology, findings and evaluations, and conclusions and recommendations.

## 2. Methodology

25. This project evaluation uses the six evaluation criteria as specified in the TOR and in keeping with the criteria of the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD). The six criteria are as follows: coherence, efficiency, effectiveness, impact, relevance, and sustainability. Of these six criteria the TOR specifically singles out the following four criteria and their attendant questions:

- a. Effectiveness:
  - i. Did the project achieve its planned objectives and its expected results?
  - ii. What is the likelihood of the full achievement of the project's outcomes?
  - iii. Did the project strengthen the capacities of target countries?
- b. Efficiency:
  - i. How efficient was the project in achieving its expected accomplishment?
  - ii. What factors or barriers, if any, prevented smooth implementation of the project?
  - iii. What factors account for the successful achievement or non-achievement of expected accomplishments?
  - iv. To what extent has DESA delivered its planned activities according to the set timelines? How efficiently did the project overcome operational challenges such as COVID-19?
  - v. To what extent have the project's governance and management structures and processes enabled, or hindered, the delivery of its activities?
- c. Relevance:
  - i. To what extent did the project respond to national development priorities, including changes over time?
  - ii. To what extent were the objectives and design of the project still relevant given any changing circumstances during the project period?
- d. Sustainability:
  - i. To what extent are the project's results sustainable?
  - ii. What are the conditions or factors that can enhance or undermine the positive outcomes and benefits of the project?

26. The other evaluative criteria focus on but are not limited to the following questions:

- a. Coherence:
  - i. How well does the project complement relevant UN executed domestic/regional projects?
  - ii. How well was the project coordinated with relevant UN executed domestic/regional projects?
- b. Impact:
  - i. How impactful were the activities of the project in meeting the intended goals?
  - ii. To what degree has the project helped to achieve the objectives of Agenda 2030/SAMOA Pathway?

27. A simple scale will be used for each evaluative criterion:

- i. Excellent: perfect alignment/all aspects related to the criteria met,
- ii. Good: majority of criteria met/ presence of minor challenges,
- iii. Fair: needs further work/presence of significant challenges, and
- iv. Poor: no achievement/no alignment/absence of strategies.

28. The following activities were carried out:

- a. UN-DESA Meetings: As a first step a meeting was held with the UN-DESA (SIDS Unit). At this meeting an overview of the project was given and expectations for the final evaluation of the project discussed.
- b. Desk review: The desk review of pertinent documents was done on a continuous basis. These documents include reports provided by UN-DESA and stakeholders. Additional documents were sourced by the consultant as deemed necessary. The desk review was grounded within the framework of the six evaluative criteria - coherence, effectiveness, efficiency, impact, relevance, and sustainability.
- c. Interviews and questionnaires: Three primary activities were used to evaluate the project: online interviews, online questionnaires, and desk review of documents. Each of these activities has benefits and costs but when combined the overall method of evaluation is enhanced. The core evaluative questions outlined in the TOR guided the questions on the questionnaire and the interviews.

The questionnaires and the interviews were broadly similar but with important benefits and costs. The questionnaires provided an opportunity for stakeholders to provide anonymous feedback; anonymity allows for respondents to be candid in their responses. The results from these questionnaires were easily compiled, as each respondent answered a standard set of questions and, in some cases, provided rankings on a Likert scale. At the same time anonymity meant that there is no way of ensuring that all identified stakeholders answered the questionnaires.

While the questionnaires provided opportunities for respondents to give general comments, they did not allow for the flexibility that interviews provide. Two sets of questionnaires were distributed: one for the Caribbean countries (Jamaica and St. Lucia) and one for the Pacific countries (Cook Islands, Kiribati, Nauru, Tonga).

The list of respondents (stakeholders) was provided to the consultant by UN-DESA (SIDS Unit). Respondents were provided with a link to answer the online questionnaire. These same respondents were interviewed, and each interview was recorded. The interviews lasted for about 45-60 minutes. The questions can be found in the appendix of this document.

Regrettably, some stakeholders did not respond to emails. Mass emails were first sent out and based on the poor response, individual stakeholders were then directly contacted, and the response rate improved, but there were still some stakeholders who reneged on their commitments to provide an interview.

### 3. Findings & Evaluation

29. This section evaluates the project outcomes for Jamaica, Saint Lucia, and the Pacific SIDS. The evaluation is supported with background information and relevant findings obtained during the evaluation process. Tables containing the six evaluative criteria are provided in each of the three cases. Comments in response to the two questionnaires are provided in Box 1 thru Box 4, while the results of the rankings provided by respondents to the evaluative criteria are provided in charts located in the

### 30. Appendix.

31. The following is a summary of the achievements of the project as presented in the various national reports:

- a. **Monitoring & Evaluation frameworks established for the Jamaica and Saint Lucia National Ocean Policies** which will allow these countries to effectively measure progress and assess gaps as these countries implement their policies.
- b. **National Work Programmes** developed for the Saint Lucia Coastal Zone unit which dovetails into their National Ocean Policy and will better support the staff in the unit being able to implement monitor and review work in accordance with the National Ocean Policy.
- c. **Governing Bodies trained in Monitoring and Evaluation Framework** in Jamaica and Saint Lucia. In Jamaica this is the National Council for Ocean and Coastal Zone Management and in Saint Lucia this is the National Ocean Council.
- d. **Comprehensive Overview of the policies, laws, regulations and institutional arrangements** that currently exist or are being contemplated to address Saint Lucia's transition to a Blue Economy and the creation of an integrated framework for the sustainable development of the country's ocean resources.
- e. The Cook Island Seabed Mineral Authority in October 2020 launched the **National Licensing Process for Seabed Mineral Exploration Activities**.
- f. In November 2020, the draft **Cook Islands Environment (Seabed Minerals Activities) Regulations 2020** was released for national and stakeholders' consultations.
- g. **Draft National Training Course on the Blue Economy designed for Ministry officials who will be responsible for implementing the Saint Lucia National Ocean Policy**. The course includes of mixture of online and in person delivery formats.
- h. **Government Officials Trained In a regional Training and Capacity Building Workshop on "Environmental management and monitoring"**. The workshop trained officials from 5 Pacific SIDS in understanding of the pre-requisite conditions to be met to ensure sound and stringent environmental management and monitoring of deep-seabed related activities and in ascertaining their critical capacity development needs of in relation to their environmental management and monitoring obligations.
- i. **Guidance Manuals Developed** on (i) obligations and responsibilities of sponsoring states (specifically for developing States) who are, or desire to sponsor activities in the Area; and (ii) negotiations and contractual dealings with sponsoring Entities
- j. **Roadmap developed for the preparation of a long-term communications programme on the Blue Economy** and the importance of the Saint Lucia national ocean policy to the sustainable development of Saint Lucia.
- k. **Institutional options developed for improved implementation of Jamaica's National Ocean Policy**. Three institutional options have been developed and assessed.

32. The total budget allocated to the project was US \$600,000. As of November 10, 2019, total expenditure amounted to US \$216,000 or 36 per cent of the total budget. As of December 11, 2020, total expenditure was US \$259,013.58 or 43 per cent of the total budget. This small change in the implementation rate is indicative of the severe disruption brought on by the COVID-19 pandemic. The final budgetary report shows a total expenditure of US \$414,257.71 or 69 per cent of the total budget, however there was a revision of the actual allocation down from US \$600,000 to US \$562,000, therefore the implementation rate would have been slightly higher amounting to 73.7 per cent instead of 69 per cent.
33. There were two major expenditure categories. Approximately 50 per cent of total expenditure was related to the costs of hiring consultants and experts. With 37 per cent spent on workshops or study tours. Of note, the government of Norway has provided a grant to ISA of US \$287,430.53 to support the continuation of the P-SIDS *Abysal Initiative* beyond the life of the project being evaluated here.
34. The UN-DESA SIDS unit Annual Progress Reports provide status reports on the indicators and activities as outlined in the project proposal. However, perhaps more details could have been provided in these documents. For example, one critical aspect of the Jamaica segment of the project is the dividing of the project into four phases, the fourth phase is incomplete, and is expected to be financed through possible future interventions in the country, but this information is not explicitly stated in the Annual Progress Report (2021). The policy brief document on the Jamaica aspect of the project provides details on the phases of this segment of the project. Details on the status of the various activities from the Annual Project Report (2021) can be found in the appendix.

## 3.1 Caribbean Component

### 3.1.1 Jamaica Segment

35. Jamaica's NCOCZM Policy and Action Plan was established in 1998 and its Secretariat was housed within the Ministry of Foreign Affairs and Foreign Trade (MFAFT). Twenty-nine government agencies have responsibilities for, or interests in, the use or management of the resources of the ocean and coastal zone resources; of these 29 agencies 17 were members of the NCOCZM.
36. The NCOCZM Policy and Action Plan consists of:
  - i. 5 policy goals
  - ii. 20 policy strategies
  - iii. 200 actions
  - iv. 47 desired outcomes
37. The NOCZM Policy and Action Plan requires that NGOs, tertiary institutions, other organisations and 48 ministries, departments, and agencies (MDAs) of government, implement the NOCZM Policy AND Action Plan. Of these, 48 MDAs 27 were members of the NOCZM. The relatively large size of the NCOCZM precluded the participation of all members of the council in project meetings.
38. The six MDAs which are central to the review and rationalisation of the NOCZM Policy are: the National Environment and Planning Agency; the Ministry of Foreign Affairs and Foreign Trade; the National Fisheries Authority; the Forestry Department; the Maritime Authority of Jamaica; and the Port Authority.
39. In July of 2002 the OCZM Policy was successfully tabled in House of Representatives and the Senate. A Five-year Action Plan (roadmap) was devised to implement the policy. The roadmap included strengthening of the NCOCZM, obtaining financial and technical resources to support the secretariat and the implementation of the OCZM Policy and the consolidation of the legal, administrative and enforcement frameworks necessary for an effective OCZM. Unfortunately, due to a lack of government capacity and priority there was no significant movement as regards the OCZM Policy and the concomitant frameworks. For example, the impact of the global financial crisis (2007-2009) and the national debt crisis and foreign exchange crisis would have greatly occupied the attention of the government to the detriment of many other projects which needed government support.
40. The Jamaican project consisted of four phases. Of the four phases only the first three were completed during the life of the project. Information on the phases is contained in Table 3-1.
41. According to one interviewee, the staff of UN-DESA were patient and flexible as regards the execution of the project. This was of tremendous help given the resource deficiencies of government agencies, in addition to the massive disruption brought on by the COVID-19 pandemic. For example, the additional time given allowed for greater interaction with government stakeholders and to obtain documents such as minutes of meetings of the NCOCZM. The process was extremely time consuming but ultimately rewarding as regards the remainder of the project.

42. While the UN-DESA team had extensive consultations with the Government of Jamaica and other stakeholders to determine the best way forward as regards the types of activities for the project, the budgetary constraints of Development Account projects ruled out some potential activities. For example, marine spatial planning (MSP) was requested by the Jamaican stakeholders but the cost of such an exercise is beyond the budget not only of Jamaica's allocation, but also for the entire project budget.
43. The stakeholder consultations in phase three revealed that the initial efforts which resulted in the 2002 NOCZM Policy was carried out in "textbook" fashion as government was clearly committed and resources were available. However, the implementation aspect of the 2002 NOCZM Policy was poor; perhaps pressing national economic issues and changes in political administration contributed to the lack of implementation. Significant effort is therefore needed to ensure that this time the roadmap is better executed. To this end, it is felt that support from the broader donor committee is needed for example from the UNRCO.
44. Naturally, there is considerable overlap between the NOCZM Policy and the Blue Economy agenda of the GoJ, however, there is a concern that the two agendas could come into conflict with each other. Indeed, managing of the ocean and coastal zone will require restricting some blue economy activities. Resolving these potential conflicts is an area for future investigation.
45. There is a deep-seated lack of interest in the private sector as regards OCZM even in instances where the environment has a direct bearing on the product produced by a private sector entity.
46. Jamaica, like the rest of the Caribbean, has a healthy participation of women in various activities and sectors. In fact, women were more likely to attend meetings. Therefore, if there are any gender considerations it will have to be about the lack of interest from menfolk. Traditionally, the role of women in the fishing industry has been relegated to such activities as cleaning and selling of fish. A woman going out to fish is regarded as bad luck. While these traditional roles remain, it is not uncommon for women to invest in fishing equipment.



Table 3-1: Phases of Jamaica Project

Phases	Description	Output
Phase 1	Baseline assessment of OCZM policy and sector	Road Map Recommendations
Phase 2	Implementation of roadmap: M&E framework and review and rationalisation of policy, legislation, and institutional arrangements	M&E framework Options for coordinating entity and implementing entity
Phase 3	Implementation of roadmap: selection of coordinating entity and implementing entity options	Designation of national coordinating and implementing organisations
Phase 4	Reviewing and updating of OCZM policy Drafting and promulgation of OCZM legislation	Coherent enabling framework for effective OCZM

***Baseline Assessment Report (Assessment of Jamaica’s OCZM Policy and Sector)***

47. The report had two objectives: 1) provide a baseline assessment of Jamaica’s NOCZM Policy and the capacity to deliver on said policy; and 2) based on the baseline assessment identify the needs and potential interventions to move the agenda forward. Further, the project provided recommendations and guidelines for the strengthening of the NOCZM Policy and the Sector.

48. A critical and worrying comment in the report spoke to the lack of progress as regards the 2002 OCZM Five-Year Action Plan.

“[S]eventeen years after the approval of the national OCZM Policy, the Council and its Secretariat continue to operate under the limiting constraints that were characterised in the Issues Identification phase as being inimical to the successful implementation of the OCZM Policy.”

This observation profoundly impacted how the consultant went about his assessment and recommendations and rightly so.

49. Utilizing various methods, such as interviews, surveys, and a workshop, the consultant sought the input of relevant OCZM stakeholders; their input informed the recommendations for advancing the implementation of the OCZM policy.

50. The methodology utilized a five-step governance baseline assessment methodology:

- i. Identification of Issues
- ii. Plan Preparation
- iii. Formal Approval and Funding
- iv. Implementation
- v. Self-Assessment and External Evaluation

51. The review of the NOCZM Policy was done within the context of the five goals of the policy:
- i. Promotion of Sustainable Development
  - ii. Conservation of Ocean and Coastal Resources and Ecosystems
  - iii. Baseline Data Collection and Research
  - iv. Utilizing the Role of Science and Traditional Ecological Knowledge for Integrated Coastal Area Management
  - v. Providing the Conditions of Governance Required for Effective Integrated Coastal Area Management.
52. It is often said that in jurisdictions such as Jamaica there is an adequate supply of documents with excellent recommendations across various sectors. The report, quite rightly, identifies the **Mattis-Davis and Edwards 2015 Paper** as a key document whose recommendations consistently aligned with those recommendations obtained from stakeholders who provided information to the consultant.
53. The recommendations of the baseline report can be summarised under the following themes:
- i. Legislations and Governance Arrangements – Council
  - ii. Legislations and Governance Arrangements – Secretariat
  - iii. Branding and Positioning
  - iv. NCOCZM Operation and Function
  - v. OCZM Policy Implementation
  - vi. OCZM Data Management and Availability

Of the six themes it is the legislation and governance arrangements of the council which require the most intervention. This is reasonable and understandable as it is the NCOCZM whose mandate it is to ensure the timely and effective implementation of the NOCZM Policy. Further, focusing on strengthening the NCOCZM aligns well with the primary agenda of the UN-DESA project - Bridging SIDS capacity gaps in the implementation of the 2030 Agenda, with a focus on SDG 14 (1819B).

54. The consultant did an excellent job in keeping with the TOR and skilfully explored the pertinent issues which would have stymied progress in carrying out the mandate of the NCOCZM. The recommendations are adequate in keeping with the findings. However, while a lack of human resources is noted as a critical hindrance, it would have been useful for details to be provided as regards the specific skills needed. This information could have been obtained during the consultations with various stakeholders. Having identified the requisite human resource skills needed for the long-term success of initiatives related to the NOCZM Policy, projects could be undertaken to facilitate training either locally or abroad.

Table 3-2: Key Publication Outputs (Jamaica Segment)

<b>Date</b>	<b>Title</b>	<b>Consultant</b>
<b>Jan. 2020</b>	Baseline Assessment Report: Strengthening National Ocean Sector Policies in Jamaica	Leslie Walling and Associates
<b>Feb. 2021</b>	Monitoring & Evaluation Framework for the Jamaica Ocean and Coastal Zone Management Policy	Karlene Russell
<b>Sep. 2021</b>	Review and Rationalisation of Policy, Legislative and Institutional Capacity to Support Ocean Governance and Delivery of the National Ocean Policy in Jamaica	Leslie Walling and Associates
<b>Aug. 2021</b>	Policy Brief: Phase III Consultations on Institutional Arrangements for the Revision and Updating of OCZM Policy	UN-DESA and Leslie Walling

***Monitoring & Evaluation Framework for the Jamaica Ocean and Coastal Zone Management Policy***

55. The monitoring and evaluation (M&E) framework was developed so as to assist the NOCZM in the implementation of the NOCZM Policy and Action Plan and to track and report on expected outcomes.

56. There are five medium-term outcome areas:

- i. Integrated planning approach, incorporating conservation and economic considerations, utilised for the ocean and coastal zone ‘Development Space.’
- ii. Improved health of coastal and marine resources.
- iii. Broadened application of technology to support sustainable management of the marine environment.
- iv. Financial sustainability to support coastal and marine management programmes.
- v. Strengthened legislative and policy framework for integrated coastal zone management.

57. The M&E framework recognizes the new issues which have gained prominence since the creation of the NOCZM Policy in 2002. These new issues are:

- i. The Blue Economy
- ii. Solid Waste Management
- iii. Oil and Gas Industry

58. The M&E framework was developed using a retrospective approach given that the NOCZM Policy and Action Plan was developed about two decades prior to this project. Through iterative exercises involving several key stakeholders to ascertain what is important going forward. Additionally, the recent focus on the Blue Economy creates new areas for policy and by extension M&E consideration.

59. The M&E framework is grounded in an appropriate logic model which graphically illustrates the causal relationships and the changes and results to be derived from the implementation of the NOCZM Policy and Action Plan. The logic model is separated into two broad areas: implementation and results. The logic model as presented is clear and concise.

60. The Performance Monitoring and Reporting Framework (PMRF) provides a comprehensive matrix of performance indicators, baseline data, targets, data sources and means of verification, monitoring frequency and responsible/source agencies.
61. One highly commendable aspect of the PMRF is that it includes an indicator on the amount of technical and managerial personnel trained at key institutions each year. This is highly commendable as resolving the perennial issue of human resource constraints is necessary for the sustainable and effective implementation of the NOCZM Policy and Action Plan.
62. The indicators were selected based on a thorough consideration of what is possible given the availability of resources, including finance and human resources. This seems to suggest that there could very well be other indicators which could be added but for which the current institutional infrastructure does not make possible. These indicators could have been added as a wish list of things to aspire to.

### ***Review and Rationalisation of Policy, Legislative and Institutional Capacity***

63. The report is one of the outputs of the approved action plan resulting from the Baseline Assessment Report. The objectives of the report are to:
  - i. “review and rationalize existing policy, legal and institutional frameworks in support of ocean governance, coastal zone management and related fields in Jamaica, considering also, the relationship between the National Council for Ocean and Coastal Zone Management (NCOZM), and other relevant councils”
  - ii. “make strategic recommendations for the upgrade/strengthening/implementation of new and existing legislative instruments and/or frameworks and/or development of new legislative instruments.”
64. The report proposes three institutional options:
  - i. Establish coastal zone management implementation unit within the MFAFT, under the guidance and coordination of the NCOZM which is hosted by the MFAFT.
  - ii. Establish the implementing entity within the National Environmental and Planning Agency (NEPA) – this agency is best suited to so do as it has the experience and capability. The entity would be placed within the Environmental Management and Conservation Division (EMCD) of NEPA.
  - iii. Establish the implementing unit within the EMCD, however, unlike the second option, this option requires that the unit be a sub-division within the EMCD or a branch of the Conservation and Protection sub-division.
65. The report proposes that consultations on the proposed institutional options are presented to the relevant stakeholders. Further, it is recognized that additional options, far superior to those identified here, might be proposed during the consultations with the stakeholders. It was a sound move for these additional options to be given careful considerations going forward.

### *Consultations on Institutional Arrangements for the Revision and Updating of OCZM Policy (Phase III)*

66. This document (policy brief) reports on the outcome of the consultations into the determination of prospective candidate for two entities: a NOCZM interim implementation entity (IIE) and a NOCZM interim coordinating entity (ICE). The selection of these entities is critical to the advancement of the NOCZM policy and the enabling framework.
67. The consultations were conducted by Ms Verbruggen of UN-DESA and the Project Consultant. The stakeholders represented in those consultations include MFAFT, NCOCZM, NEPA, PIOJ, NGOs, civil society, and private sector organisations. From all indications this process of consultation was highly productive.
68. The policy brief did not explicitly single out any specific IIE, ICE and advisory bodies to carry through with the implementation of the NOCZM. While this is not a point of contention perhaps instead of specifying five options perhaps it would have sufficed to simply identify the various institutional options for each of the three bodies, this would allow for a wider array of options for consideration. For example, none of the scenarios consider the PIOJ as an option for the interim advisory body. Surely, every institution identified by stakeholders should be part of the process, it is simply a matter of placing them into the position for which their resources are best used.
69. One of the more encouraging aspects of the Jamaica segment is concerned with **cooperation between two divisions of UN-DESA**: the Division for Public Institutions and Digital Government (DPIDG) and the Division for Sustainable Development Goals (DSDG) whose SIDS Unit is the executing entity for this project (1819B). Ms Veronique Verbruggen of DPIDG was brought in for phase three of the Jamaica segment of the project. The idea was for Ms Verbruggen to contribute to issues relevant to the institutional arrangements for the NOCZM policy; this area, according to the baseline study, was of critical importance to the success of the project. .
70. s Verbruggen's broad expertise was effectively utilized in collaboration with Ms Anya Thomas of the SIDS Unit and Dr Leslie Walling, consultant on the Jamaica segment of the project.

Table 3-3: Proposed Institutional Options for the Coordination and Implementation of the Phase IV Project for the Revision and Updating of the National OCZM Policy and Enabling Framework.

Option Number	Stakeholder Recommendations		Interim Coordinating Entity (ICE)	Interim Implementing Entity (IIE)	Interim Advisory Entity
	NCOCZM	NGO-CSO-PSO			
<b>1</b>	✓		NCOCZM/ MFAFT	MEGJC	None
<b>2</b>	✓	✓	MEGJC	MEGJC (Line Agency)	NCOCZM-Sub-committee
<b>3</b>	✓	✓	MEGJC	NEPA	NCOCZM-Sub-committee
<b>4</b>		✓	PIOJ	NEPA	NCOCZM Planning Committee
<b>5</b>		✓	PIOJ	NEPA	NCOCZM Planning Committee,  Vision 2030 Natural Resources and Environmental Management & the Hazard Risk Reduction and Climate Change Task Forces.

Source: Policy Brief (Consultations on Institutional Arrangements for the Revision and Updating of OCZM Policy)

71. Ms Verbruggen was brought in towards the end of the project which would have impacted the efficiency of her contribution, additionally she would have already had other tasks for which adjustments had to be made. Her earlier inclusion would have been preferred. Additionally, she played more of a supportive role and depended on the SIDs unit to interface with the government; while this was not a major hindrance to the project it reduced the efficient execution of the project.

72. Ownership by government was initially slow and hampered further by a government reshuffling exercise. It is quite evident that greater collaboration with the UNRCO in Jamaica would have made for a smoother transition and better understanding of the changes within the GoJ and its impact on the project.

73. It was found that there was common interest between UN-DESA and the UNRCO. The UNRCO was willing to provide funding and the new Senior economist at the UNRCO had knowledge of the Blue Economy having gained extensive experience from other jurisdictions. If this was known earlier in the project the expertise of the Senior economist at the UNRCO could have been included in phase three of the project.

74. In phase three it was found necessary to expand the consultation process beyond the MFAFT to include stakeholders across the spectrum of the Government of Jamaica such as the Planning Institute of Jamaica (PIOJ). This approach proved fruitful and could be beneficial as regards ensuring there is greater commitment and progress going forward. Put differently, by including more government sector stakeholders increased the level of stakeholder “buy-in” therefore increasing the chances of the renewed policy being implemented in a timely manner. This strategy is significant given the stalled action plan of the 2002 NCOCZM policy.

75. According to one interviewee the collaboration with the consultant, Dr Walling, went extremely well. It was felt that he had an excellent grasp of the subject and ensured that all stakeholders were

provided with sufficient information to better understand and appreciate the myriad issues relating to ocean and coastal zone management.

76. A key constraint in dealing with the Government of Jamaica (GoJ), for example the Ministry of Foreign Affairs and Foreign Trade (MFAFT), was the significant levels of understaffing and lack of skills necessary to provide the project with the necessary support. As an example, the GoJ did not have the capacity to efficiently execute the organisation of the consultations.
77. Consultations with NGOs, civil society groupings and the MFAFT during phase three of the project was highly productive. The NGOs and civil society organisations were keenly aware of the issues having been integrally involved for years in the process of developing a NOCZM policy for Jamaica.
78. The collaboration between the two UN-DESA divisions was excellent as it paved the way for similar interactions in the future, where the expertise of multiple divisions can be utilised, and synergies created instead of piecemeal efforts, wastage, and duplication of efforts.

Table 3-4: Evaluation for Jamaica

Evaluative Criteria	Evaluation
Effectiveness	<p data-bbox="461 363 1390 569"> <b>Good</b>            Planned objectives were partially achieved as evidenced by the fact that only three of the four phases have been completed. Considering the short period of the project, limited funds, and the COVID-19 pandemic, the shortcomings as regards achieving the objectives and expected results are acceptable. To be sure, dealing with institutional issues, as phase four seeks to do, is arguably harder to do relative to the outcomes specified under the first three phases.         </p> <p data-bbox="461 594 1398 762">           The capacity of the country has increased and significantly so given the work of the consultants. To be sure, the outcomes provided by the consultant provide a base from which future work will benefit. Put differently, this project has done much heavy lifting to bring the Jamaican situation up to a level which was sorely needed.         </p> <p data-bbox="461 787 1398 953">           Incompleteness aside, there is a high chance that the expected outcomes of the project will be achieved soon given that there is a large groundswell of support for Blue Economy initiatives across UN agencies operating in Jamaica. That Jamaica houses the headquarters of the ISA also adds to the surety that future support will be forthcoming.         </p>
Efficiency	<p data-bbox="461 978 1398 1129"> <b>Good</b>            In normal circumstances projects are often subjected to delays, undoubtedly, the COVID-19 pandemic would have disrupted the smooth execution of the project. However, notwithstanding this disruption, the project proceeded.         </p> <p data-bbox="461 1155 1382 1213">           The UN-DESA team were commended for being flexible in the execution of the various tasks.         </p>
Coherence	<p data-bbox="461 1291 1398 1570"> <b>Fair</b>            In terms of the collaboration with the local UN agencies in Jamaica there was little direct coordination of note as regards executing the project. Additionally, newer members of staff of the UNRCO were unaware of the project, this was concerning as there is a fourth phase which will have to be completed. However, while there was limited local coordination the project is highly aligned to the agenda of other UN agencies and especially so as the project is undergirded by SDG goal 14, a goal which is of critical importance to Jamaica, an island, which depends heavily on its marine resources.         </p> <p data-bbox="461 1596 1398 1730">           To its credit, UN-DESA was able to use the expertise of Ms Veronique Verbruggen from DPIDG. While it was difficult to organise, the collaboration was extremely fruitful and is an example of the synergies which can be obtained through collaboration across UN agencies.         </p>



<b>Evaluative Criteria</b>	<b>Evaluation</b>
Impact	<p><b>Good</b></p> <p>Notwithstanding the fact that only three of the four phases were completed, the project did creditably well in terms of impact. To be sure, the work of the consultants has improved the situation to the point that future efforts will have a solid base upon which to build. This is necessarily a good thing.</p>
Relevance	<p><b>Excellent</b></p> <p>The project, without question, is highly relevant to all stakeholders. No concern has been raised as regards inconsistencies with the project and national priorities.</p>
Sustainability	<p><b>Good</b></p> <p>The sustainability of projects in developing countries such as Jamaica depend heavily on external funding. To be sure, fiscal space is often insufficient to even carry out the provision of basic public goods. Given the increasing importance of the Blue Economy on the global development agenda and given Jamaica’s relatively high international profile among developing economies Jamaica is well positioned to attract external funding.</p> <p>As an example, it has been proposed that Jamaica will be part of the phase two of the <i>Abyssal Initiative</i>.</p>

### 3.1.2 Saint Lucia Segment

79. In keeping with the Caribbean Regional Oceanscape Project (CROP) of the Organisation of Eastern Caribbean States (OECS), a National Ocean Policy (NOP) inclusive of a Strategic Action Plan was created for Saint Lucia. The NOP creates a framework for the integrated planning and management of activities in Saint Lucia’s marine space for the period 2020 thru 2035.
80. According to the OECS, the Caribbean Blue Economy generates approximately US \$5 billion in seafood, US \$39.9 billion in oil and gas, and US \$57 billion in tourism annually. To place these numbers into context, Saint Lucia’s GDP in 2021 was US \$1.76 Billion.
81. It is within the context of the above information that the UN-DESA project and its concomitant activities were implemented. The project was comprised of four primary activities: a baseline assessment; a monitoring and evaluation framework; infographics and animations; and capacity building workshops. From all indications the services provided by the consultants and resource persons were of a high standard and were well received by the Department for Sustainable Development (DSD).

Table 3-5: Key Publication/Media Outputs (Saint Lucia Segment)

Date	Title	Consultant
Oct. 2020	Review and Strengthening of Policy, Legislative and Institutional Capacity to Support Ocean Governance and Delivery of the National Ocean Policy Across all Sectors in Saint Lucia (Baseline Report)	David A. Simmons
Dec. 2020	Monitoring and Evaluation Framework	Merline Hemmings-Reid
2021	Creation of Infographics	Nu Visual Media Inc.

82. Ocean governance training support was the most impactful project activity, and highlighted knowledge gaps, especially as regards the range of legal issues to be considered. Training sessions included, NGOs, constituency councils, and Ocean Governance Council members. As regards gender considerations, women were well represented to the point where there was a greater participation of women than men in the training workshops. Additionally, the key resource persons in various government departments are disproportionately women. The over representation of women is a common feature of Caribbean society. Therefore, as regards gender considerations every effort should be made to encourage more male participation across the board.

83. There was no strong private sector presence in the project thereby affecting the sustainability of future activities. It should be noted that the private sector is more involved with the Maritime Unit as regards shipping activities.

84. CARICOM (CRFM) provides a fair amount of collaboration across the Caribbean. CLME lots of activities have been done under this agency. CARICOM tends to be medium term projects, lots of activities at regional level but not highly visible, lots of time spent on assessment and policy creation, but true impact is not realized as initiatives do not trickle down

85. Manpower constraints do not allow for effective execution of tasks. Regional consultants are often heavily occupied, and, in those cases where they can offer their services, it is difficult to get their full attention given competing interests. There is also a timing issue with regards to length of project activities and availability of consultants.

86. Legislation has been developed but not easily advanced at the national level e.g. the Attorney General's chambers takes a considerable amount of time to thoroughly examine new legislation. Constraints could exist when local legal training is insufficient for specific areas, and this reduces efficiency. Assigning of legal officer from the start of a project when external legal experts are sourced will be beneficial on various levels such as reducing the time it takes for the Attorney General chambers to examine proposed legislation in addition to building local legal capacity.

87. The Eastern Caribbean Regional Ocean Policy (ECROP) recommended greater collaboration with our universities beyond things like environmental studies and place greater focus on areas such as legal training.

### ***Baseline Report Saint Lucia***

88. The Baseline report provided a comprehensive review of the policy, legal and institutional arrangements for ocean and coastal zone governance in Saint Lucia. It is apropos to note that an offer was made by UN-DESA for further support based on the baseline assessment, but the Government of Saint Lucia was not in a state of readiness to benefit from said support.

89. The Baseline report was blunt in its assessment of Saint Lucia's policy, legal and institutional framework for ocean governance: policy incoherence, weak enforcement of legislation, legislative, gaps and inadequate institutional mechanisms.

90. The Baseline report noted that Saint Lucia has a very extensive policy landscape. Further the combination of the NOP and the SDGs – Goal 14 in particular – is excellent as regards creating an integrated framework for the sustainable management of ocean and coastal zone resources and for identifying new and emerging opportunities in the so-called Blue Economy. In particular, a policy framework which promotes and creates opportunities for private sector involvement in the Blue Economy is needed. The intention was for the Baseline report to be followed up with a subsequent report which would go into greater detail as regards specific policy recommendations.

91. As regards institutional arrangements the Baseline report notes that current institutional framework is insufficient to accomplish the range of tasks as outlined in the NOP therefore requiring a different organizational model. Currently, ocean governance concerns fall within the ambit of SDED; this is in addition to the five other programme activities which constitute the mandate of the SDED.

92. The report commends the establishment of the National Ocean Governance Council (NOGC) as a necessary step towards creating a cross-sectoral framework for guiding and monitoring the implementation of the NOP, however much more human resource input will be needed to address the broader mandate of the NOP and the Strategic Action Programme. Greater details on the specific human resource needs were to be explored in a subsequent publication.

### ***Monitoring & Evaluation Framework for Saint Lucia National Ocean Plan and its Strategic Action Plan***

93. The M&E framework for Saint Lucia was created to ensure the adequate monitoring and evaluation of ocean governance in Saint Lucia and is aligned to Saint Lucia's National Ocean Policy (NOP) and the concomitant Strategic Action Plan (SAP). The M&E framework uses the conceptual approach

of Results-Based Management, the Logic Model and Performance Monitoring Framework (PMF). The report was detailed and comprehensive in its coverage.

94. The M&E framework will assess the progress made as regards the delivery of the strategic actions of the NOP especially as it relates to the sustainable management of Saint Lucia's coastal and marine resources thereby maximising the benefits of the Blue Economy, mitigate against the effects of climate change, protect, and restore the environment, while safeguarding the island's natural and cultural heritage for present and future generations.
95. The M&E framework contains eight intermediate outcomes:
  - i. Access and rights to utilize marine resources are secured
  - ii. Saint Lucia is able to monitor, control and respond to human activity within its coastal and marine area and the region
  - iii. Ecosystem integrity is maintained and improved
  - iv. Sustainable socio-economic development is facilitated/achieved
  - v. Coastal and marine spatial planning and integrated management of marine and coastal resources adopted
  - vi. Ocean stewardship, awareness, participation, and well-being increased
  - vii. Resilience is strengthened to reduce the risks of climate related hazards
  - viii. Decision making is informed by the best available evidence

### ***Blue Economy Infographics & Animations***

96. To build awareness among the people of Saint Lucia, Nu Visual Media Inc. (Barbados), was hired by UN-DESA. The firm created infographic and animation content illustrating the importance of the Blue Economy to the sustainable development of Saint Lucia and the need for the protection of marine and ocean space inclusive of the life in said spaces. The firm was not responsible for the dissemination of content.
97. From all indications Nu Visual Media Inc. were professional in the execution of their duties however, maximum benefit of their expertise was not derived as the SDED is understaffed. To be specific, because of the lack of the requisite staff, and given the several competing tasks, many of which are likely to be viewed as more important than a media campaign, a clear strategic media or marketing plan was not in place prior to the hiring of the media company.
98. In addition to the infographics Nu Visual Media Inc. recommended the creation of logo to entrench the idea of the Blue Economy in the minds of all Saint Lucians, and to contribute to the sustainability of future efforts to promote the Blue Economy and the management of the marine and ocean space.

Table 3-6: Evaluation for Saint Lucia

<b>Evaluative Criteria</b>	<b>Evaluation</b>
Effectiveness	<p><b>Good</b></p> <p>Considering the disruptions of the COVID-19 pandemic, the perennial issue of limited institutional capacity of SIDS the project achieved an acceptable level of the planned objectives and expected results.</p> <p>Country capacity was strengthened, ocean governance training, for example, was well received by the Saint Lucian stakeholders.</p>
Efficiency	<p><b>Fair</b></p> <p>Barriers to the smooth implementation of the project are primarily a result of limited domestic human resource and financial capacity. Therefore, while from all indications the consultants provided excellent services their work could have been executed much more efficiently if the Government of Saint Lucia was in a position to provide the requisite support.</p> <p>Considering the lack of capacity within the context of the Government of Saint Lucia expectations as regards project efficiency must be tempered.</p>
Coherence	<p><b>Fair</b></p> <p>There was no direct collaboration with other UN agencies on the project, however, it is quite evident as in the case of the UNRCO (Jamaica) that Blue Economy initiatives are high on the agenda of regional UN agencies.</p>
Impact	<p><b>Fair</b></p> <p>Ocean governance training was perhaps the most impactful activity. Gaps were discovered and areas for future work were determined. In other areas, such as the building of public awareness, there is no clear indicator as regards the impact of the campaign.</p>
Relevance	<p><b>Excellent</b></p> <p>The project was highly relevant especially as it allows Saint Lucia to achieve the CROP agenda through strengthening ocean governance capacity and marine spatial planning.</p>
Sustainability	<p><b>Fair</b></p> <p>A characteristic feature of SIDS is the perennial lack of resources, especially human and financial resources. As such project sustainability is generally a concern. In the case of the current project the fact that the topic is growing in importance means that institutions, within and without the UN system, are likely to engage in activities to build on the achievements of the project.</p> <p>However, based on the feedback from stakeholders there are concerns as regards the level of effort that the government can commit to future initiatives.</p>

Box 1: Comments on the six evaluative criteria (Caribbean SIDS)

Provide a brief comment on the **effectiveness** of the project.

- Provided technical support for assessment of executing agencies, awareness building and M&E framework setting.
- Identifying or defining policy and regulatory instruments while extremely useful, are limited in their ability to strengthen capacity. Unless the recommendations are acted upon, very little is achieved.

Provide a brief comment on the **efficiency** of the project's activities.

- Allowed agency to have flexibility and ownership of implementation.
- The project came up with good possibilities for governance and management.
- The target country was not adequately prepared, either before or since the project, to benefit from the policy or regulatory recommendations made. More could have been achieved if more senior personnel had been engaged and committed to achieving the intended objectives

Provide a brief comment on the **coherence** of the project's activities.

- Low, because unclear on what other UN agencies UNDESA might have involved for this initiative.
- While institutional strengthening and capacity building are requirements for developing the Blue Economy initiative, it lacked a regional end goal or agenda, unlike, e.g., the region's Climate Change agenda.

Provide a brief comment on the **relevance** of the activities of the project.

- Activities were consistent with aspects of the NOGC TORs.
- The project outcomes filled a void, particularly in identifying the regulatory gaps to be addressed and capacity constraints. Failure to address the shortcomings identified will place limits on achieving the intended goals of the project.

Provide a brief comment on the **impact** of the activities of the project.

- Some aspects required to achieve SDG 14 were explored.
- Policy and legislative changes are hardly ever realised after a six-month project. Those things take time. That said, there was little to suggest any immediate uptake of the recommendations.

Provide a brief comment on the **sustainability** of the activities of the project.

- Concerns on sustaining website without support from other agencies. Other aspects are to be built on like continued use of awareness material, use of M&E framework.
- Sustainability regarding policy and legislative changes is difficult to measure, particularly in the short term.

## Box 2: Other Comments (Caribbean SIDS)

What are the positives of the virtual sessions?

- Allowed for maximization of time and discussion in order to not lose out on participation for different sessions
- Saved on the cost of travel
- More persons could attend

What are the negatives, if any, of the virtual sessions?

- Stakeholders were already overwhelmed by virtual meetings
- Key stakeholders don't show up or contribute very little to the discussion when they do attend.

In your view what is the most impactful activity of the project? Briefly explain.

- Awareness. the design allowed for easy understanding by a range of stakeholders
- Raising awareness of the importance of ocean resources and the significant contribution of ecosystem services to the development of the blue economy.

What activities would you add to the project?

- Where recommendations were provided for example in the institutional, policy assessment, a matchmaking component to help country source from suitable funding entities further support for implementation of selected recommendations.
- Support for projects linked closely to achieving some of the recommendations regarding policy and regulatory changes.

Is there an activity in the region or internationally that would have enhanced the project? Explain.

- Yes; UNEP conducted a series of virtual webinars during the heights of covid, this activity could have benefited from this by sharing aspects of the training programme especially on the legislative areas
- It could have been directly linked to the OECS Eastern Caribbean Oceanscape Project as well as other initiatives such as the linkages with other regional and global marine pollution initiatives.

Identify three project contributions made towards the achievement of Agenda 2030.

- Response 1
  - o M&E framework provided a performance measurement tool
  - o Outreach material for OG built awareness
  - o OG Training programme allowed for cross-fertilization of ideas from various agencies
- Response 2
  - o It laid the foundation for achieving Goal 14 - to conserve and sustainably use the oceans, seas and marine resources for Sustainable Development.
  - o It drew attention to other SDGs, particularly Goal 8 - Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.
  - o It also prompted awareness of other regional and global initiatives aimed at harnessing the economic benefits of developing ocean resources and other initiatives to combat the increasing threat of marine pollution.

## 3.2 Pacific SIDS Component

Table 3-7: Key Publications (Pacific SIDS)

Date	Title
October 2021	Roles and responsibilities of states sponsoring activities in the area (toolkit).
October 2021	Guidelines for negotiations and contractual dealings with sponsored entities.

97. As has been noted already, the Abyssal Initiative was a collaborative effort between the SIDS Unit, UN-DESA and the ISA. The agreement between the UN and ISA allowed for Development Account funds to be used by the ISA to organize activities within the *Abyssal Initiative*. The *Abyssal Initiative* is about 90 per cent complete.

98. The four countries - Cook Islands, Kiribati, Nauru and Tonga – were selected for the project because they were the first developing countries to embark on the process to become Sponsoring States of entities seeking to exploit the resources of the deep sea in “The Area.” As Sponsoring States, they would have received contractual approval from the ISA.

99. Activities under the projects include:

1. Regional workshops.
2. Four different national workshops.
3. Attendance at ISA meetings (Kingston, Jamaica)

100. There were significant challenges, finding accommodations and coordinating of timing with resource persons.

101. The first activity was a regional training workshop (Tonga, 2019) – reps from 14 developing countries in the Pacific attended. Outcome document of meeting set out very clearly regional perspective and priorities. See ISA side meeting in 2019. Following Tonga regional workshop follow up calls were held in Jamaica and the outcome conveyed to member states.

102. The first national workshop was held in Nauru followed by Kiribati. The President of Nauru opened workshop the Nauru national workshop underscoring the high level of importance placed on the project by the country’s leadership. Focused on marine scientific research. In Kiribati meeting focused on latest seabed mining technology; President and Minister of Fisheries were in attendance. The project was deeply affected by COVID-19 so meetings in Tonga and Cook Islands were done online.

103. The only activity to be done is the workshop in Tonga. .

104. Money from Caribbean component of the project was redirected to the Pacific component and used to produce two documents: “Guidelines for Negotiations and Contractual Dealings with



Sponsored Entities,” and a toolkit, *“Role and Responsibilities of States Sponsoring Activities in The Area.”*

105. Stakeholders in regional training included NGOs (environmentalists) along with ministries. Fully engaged meeting. National meeting in Nauru about 20 public officials. National meeting in Kiribati was healthy, but due to the subject of technology, there wasn’t much robust discussion. Stakeholders were amazed at the advancement of deep-sea mining technology.

106. Efforts are in train for the four sponsoring states to coordinate their efforts as a unit. Informal meetings are currently done. *Abyssal Initiative* phase two has been requested by the four Sponsoring States.

***Roles and responsibilities of states sponsoring activities in the area (toolkit).***

107. The toolkit is designed to provide Sponsoring States with “general guidance” as regards the implementation of obligations and commitments under Part XI of the UNCLOS. The toolkit is not meant to be a substitute for legal and technical advice.

108. The toolkit is quite comprehensive and deals with matters of law, the regulatory framework, institutional functions, the assessment of applications and applicants, and interactions with the ISA. It concludes with an elaborate checklist of the primary items for consideration by Sponsoring States.

109. As regards the evaluative criteria, the toolkit scores highly in terms of project sustainability, and relevance. However, the full impact of the toolkit cannot be ascertained at this time.

***Guidelines for negotiations and contractual dealings with sponsored entities.***

110. The guidelines provide advice for officials of current or potential Sponsoring States as regards negotiations and contractual dealings, with sponsored entities, for the sponsorship of exploration and economic activities in “The Area.”

111. The guidelines provide information for three primary phases: pre-negotiation, negotiation, and contractual dealings post sponsorship. Notwithstanding the nascent stage of DSM, perhaps the document could have been enhanced with short case studies on specific issues.

112. As regards the evaluative criteria, these guidelines score highly in terms of project sustainability, and relevance. However, the true impact of the guidelines will be determined in the future.

Table 3-8: Evaluation for Cook Islands, Kiribati, Nauru, and the Kingdom of Tonga

Evaluative Criteria	Evaluation
Effectiveness	<p><b>Good</b></p> <p>Stakeholders were generally pleased with the effectiveness of the project; however, it was not surprising that “endemic capacity issues” were cited as a major concern for the effectiveness of the project.</p>
Efficiency	<p><b>Good</b></p> <p>Due to the COVID-19 pandemic, training meetings were held virtually. On the one hand this reduced the costs associated with hosting meetings, on the other hand internet connectivity issues and the limitations of an online meeting undermined the efficient execution of the meetings.</p>
Coherence	<p><b>Fair</b></p> <p>Given that the project falls within SDG 14 there is natural coherence within the broad agenda of the UN system. More specifically, the ISA – a key partner with UN-DESA on the Pacific component of the project – is a related organization of the UN. Beyond these considerations there is no direct coherence between the agenda of the project and the work of other UN agencies in the Pacific region.</p> <p>Outside of the UN system one respondent lamented the lack of coordination with regional bodies like The Pacific Community (SPC).</p>
Impact	<p><b>Good</b></p> <p>Based on the information received from stakeholders, project activities were moderately impactful. Stakeholders were able to share ideas, but the feedback also suggests that more initiatives are needed to continuously build capacity.</p> <p>According to the project’s Annual Progress Report (2021) approximately 80 per cent of workshop participants indicated their awareness and understanding of the issues involved in sustainably managing DSM were significantly improved.</p>
Relevance	<p><b>Excellent</b></p> <p>The “two-year rule” means that in July 2023 the ISA should finalize and adopt regulations concerned with deep seabed mining. This “two-year rule” was triggered by Nauru. With this development in mind, this project provided capacity building initiatives which are necessary for ensuring that the P-SIDS are better aware of the issues and can manage deep seabed mining.</p>
Sustainability	<p><b>Good</b></p> <p>Given that the project is concerned with building capacity on deep sea mining for Sponsoring States the ISA has a vested interest in ensuring that the Pacific SIDS are supported with the necessary financial and human resources.</p> <p>There is a strong commitment between the UN-DESA and the ISA for a phase two of the <i>Abyssal Initiative</i>; the ISA has committed funds to this second phase.</p>

### Box 3: Comments on the six evaluative criteria (Pacific SIDS)

Provide a brief comment on the **effectiveness** of the project.

- It was very useful in bringing awareness to the Pacific on issues surrounding deep seabed mining.
- To some extent it was effective but for the most part, the endemic capacity issues which hinder implementation and progress of development work remain.
- More is needed to engage with PSIDS so that they are involved in the capacity building initiatives.
- Having the experts in the room and the opportunity for engagement was very effective.

Provide a brief comment on the **efficiency** of the project's activities.

- Very efficient.
- Again, it was efficient for some but not for all and not to the extent that was intended.
- Good mix of presentations and adequate time for messages to be delivered.

Provide a brief comment on the **coherence** of the project's activities.

- Coherent.
- Again, it was somewhat coherent in that it wasn't a complete failure, but it wasn't a raging success either.
- There should be more efforts to work with regional bodies like SPC.
- The workshop seemed to run smoothly from topic to topic. More focus on capacity building opportunities needed.

Provide a brief comment on the **relevance** of the activities of the project.

- The topics were targeted towards the needs of the PSIDS.
- Some were relevant, some weren't. There is definitely a lot more work to be done in the future.
- Discussions were helpful especially for myself being new to the sector at the time.

Provide a brief comment on the **impact** of the activities of the project.

- We left the project learning a bit more. However, some matters were not followed through.
- It has impacted a little in that most SIDS can definitely report some progress, but it hasn't brought about transformational change in SIDS as Agenda 2030 hopes to do.
- COVID made it hard to achieve the objectives of the project. PSIDS should have been more involved to ensure that the project met its objectives.
- Good opportunity for the four PSIDS involved in the area to come together and share ideas for the benefit of our countries.

Provide a brief comment on the **sustainability** of the activities of the project.

- Again, if there was a course of some sort. That would be more helpful compared to a workshop which occurs based on funding.
- For SIDS, it is hard to achieve sustainability when the drive is coming externally rather than internally.
- Great initiative that will continue to be supported by the PSIDS as we continue to engage in the sector.

#### Box 4: Other Comments (Pacific SIDS)

What are the positives of the virtual sessions?

- It allowed for the project to continue.
- Reduced mobilization costs.
- Made it possible to have sessions at all.
- More people are able to attend sessions.

What are the negatives, if any, of the virtual sessions?

- Difficult and connection problems.
- limited, removed and impersonal.
- Nowhere near as good as in-person. Limited the impact of training and capacity development.
- Unable to have one-on-one discussions.

In your view what is the most impactful activity of the project? Briefly explain.

- I have seen how people are more aware of DSM and the diverging views within the society surrounding this.
- Having the experts in the room and being able to engage directly

What activities would you add to the project?

- More involvement by PSIDs officials to ensure the project actually benefits PSIDs.
- Capacity building opportunities for PSIDs.

Identify three project contributions made towards the achievement of Agenda 2030.

- 1 Response
  - o Ensuring states are aware and uphold their obligations
  - o The education on MSR and its importance
  - o Accessibility to resources for PSIDs

## 4. Conclusions & Recommendations

113. **Determine country human resource capacity when determining project activities.** A perennial problem of government institutions in SIDS is the lack of human resources especially in high skilled areas. This is due either to a lack of available human resources or the lack of sufficient financial resources to hire the human resources required. Therefore, it is recommended that careful consideration be given as regards the human resource capacity of a country to execute various UN-DESA project activities. In the event where domestic capacity is insufficient, consideration should be given to fund the hiring of additional staff, and where this is not possible certain project activities should be replaced with more manageable activities. To be sure, it is better to shelve an activity than to do it badly.
114. **Identify human resource needs for project sustainability.** Aside from determining the capacity of human resource needs for executing UN-DESA project activities, projects should also determine the amount and type of specific skills needed to ensure that project outcomes are sustainable in the long run. As an example, the monitoring and evaluation frameworks done for this project could have provided information on the specific skills needed in various agencies.

**Create wholistic media and marketing campaigns.** A critical aspect of promoting the Blue Economy while managing marine and ocean resources in a sustainable way requires building public awareness. Media and marketing campaigns should span a wide range of activities including traditional media such as radio.

115. **Explore various project financing initiatives.** Funding of projects to increase the capacity of Caribbean SIDS to benefit in a sustainable way from the Blue Economy is of critical importance. To this end, and based on the recommendations of one interviewee, future projects must as a matter of urgency explore the range of possible financing initiatives.
116. **Collaborate with donor institutions.** The Caribbean Development Bank (CDB) and the Inter-American Development Bank (IDB) are financial institutions which are already committed to the development of the Blue Economy, it is therefore recommended that as far as possible careful attention be paid to their initiatives for funding various projects. In this way synergies can be created and perhaps more importantly the duplication of efforts can be minimized forthwith.
117. **Consider various means for funding.** While phase four of the Jamaican aspect of the project remains a key priority, there is an urgent need to consider the funding of initiatives critical to the project. Funding should be explored on multiple fronts. Grants from funding agencies are worthwhile and critical but a suite of financial instruments from which funding can be obtained, on a sustainable basis, should also be explored.
118. **Promote more inter-divisional collaboration.** While it was difficult to execute, the collaboration between the DSDG SIDS unit and DPIDG was fruitful. Indeed, the DSDG SIDS unit did not have the requisite expertise of the DPIDG and to seek an external consultant would have further diminished the already small budget. As it stands, the heads of various UN divisions have their own divisional goals and concomitant activities to execute requiring as many personnel as possible. Therefore, it

is understandable that sharing human resources with other units is a most difficult endeavour unless a proper framework supporting the exploiting of synergies across divisions is created.

119. **Promote greater collaboration between UN agencies/divisions.** Greater collaboration between UN agencies/divisions, regionally and nationally, is of critical importance for the coherence, efficacy, efficiency, impact, relevance, and sustainability of future UN-DESA projects. Assuming that this is not already the case, various UN divisions operating in a particular region or country should be able to access a computerised list of past, current, and possible projects to be executed in that space. Divisions, especially their heads, should be incentivised to see out and collaborate with other divisions. Indeed, without a rewarding incentive structure, division heads and their staff will not be encouraged to work with other divisions and will remain insular seeking to maximize the range and quality of the projects in their respective divisions, deepening the atmosphere of competition instead of promoting cooperation.
120. **Create wholistic media and marketing campaigns.** A critical aspect of promoting the Blue Economy while managing marine and ocean resources in a sustainable way requires building public awareness. Media and marketing campaigns should span a wide range of activities including traditional media such as radio.
121. **Utilize government information agency in the execution of information campaigns.** Every effort should be made to utilize the capacity of government information agencies in any public awareness campaign. If a private firm needs to be hired for an information campaign that firm should work closely with the government information agency thereby creating beneficial synergies.

#### 4.1 Caribbean Component Recommendations

122. **Focus on the Caribbean shipping industry.** While management of ocean resources entails all the various activities in the space one stakeholder underscored the point that shipping (passenger, recreational and cargo) is and will remain the most important activity in the ocean space. Future projects could give particular focus to this sector.
123. **Create electronic databases for OCZM.** Data capture and reporting need to be more efficient and more frequent (M&E). An electronic database for OCZM could be a gamechanger as regards monitoring and evaluation. The processes of reporting, processing, dissemination, and collaboration would be made more efficient.

##### National Level Recommendation

124. **Create committees for the NCOZM (Jamaica).** While it is important that the NCOZM consists of a broad range of agencies (members), it is difficult for all agencies to meet regularly. It is therefore recommended that perhaps committees be created so that the agenda of the council can move forward more effectively and being more impactful in the process. For example, various committees or agencies could be assigned specific tasks for which they have greater insight and expertise. Therefore, a primary purpose of the council should be to ensure that different tasks are

done within a unifying framework, reducing the duplication of efforts, and sharing of scarce human and financial resources to ensure maximum impact. To aid in the process of identifying key groupings or committees the stakeholders mapping done in the third phase of the project would be useful.

## 4.2 Pacific SIDS Component Recommendations

125. **Include Jamaica in the next phase of the *Abyssal Initiative*.** It is recommended that Jamaica be included in the next phase of the *Abyssal Initiative*. Jamaica, houses the headquarters of the ISA and in 2019 the GoJ became a sponsoring state of deep-sea mining through its sponsorship of Blue Minerals Jamaica Ltd. With these antecedents, Jamaica is in a unique position to be at the forefront of sponsoring states which are also SIDs.
126. **Bridge the islands of the Pacific.** The islands of the Pacific need to be “bridged” – joined together in a way which supports continuous and sustainable collaboration - for the more efficient dissemination of resources and information geared towards engendering a greater understanding of the issues surrounding deep sea mining.
127. **Create videos to supplement manuals.** The creation of manuals was an excellent initiative of the Pacific component of the project. It is recommended that in addition to these manuals videos on specific issues could be created to complement the manuals. This approach could also save scarce funds and allow for greater project sustainability.
128. **Build public awareness.** As was the case in Saint Lucia perhaps a public awareness campaign would suffice for the Pacific. This campaign should utilize various media, traditional and new.

## Appendix

### Appendix I:

#### Interviews

Table A-0-1: List of persons interviewed

<b>Date/Time</b>	<b>Person</b>	<b>Title</b>	<b>Organisation</b>
9/8/2022	Leslie Walling	Consultant	Leslie Walling & Associates
10/8/2022	Ingrid Parchment	Executive Director	Caribbean Coastal Area Management Foundation
10/8/2022	Karlene Russell	Consultant	
11/8/2022	David Simmons	Consultant	Environment & Sustainable Development Consultants
17/8/2022	Rose Kautoke	Senior Crown Counsel	Attorney General's Office Tonga
22/8/2022	Andrea Donaldson	Senior Manager	National Environmental Planning Agency
23/8/2022	Branessa Tsiode	First Secretary	Permanent Mission of the Republic of Nauru to the United Nations
24/8/2022	Annette Rattigan-Leo	Chief Sustainable Development & Environment Officer	Sustainable Development and Environment Division (SDED) Department of Sustainable Development (DSD) Saint Lucia
1/9/2022	Damien Pinder	Director	Nu Visual Media Inc.
6/9/2022	Veronique Verbruggen	Senior Inter-Regional Advisor	Division for Public Institutions and Digital Government (DPIDG), UN-DESA
13/9/2022	Sai Navoti	Chief SIDS Unit	SIDS Unit, UN-DESA



## Appendix II:

### Questionnaire

Dear respondent,

I would be grateful if you could take a moment of your time to complete the following form. The questions will help in my evaluation of the UN DESA Project 1819B (Bridging SIDS capacity gaps in the implementation of the 2030 Agenda, with a focus on SDG 14). Your responses will be completely anonymous allowing for candid responses.

Thank you.

1. How effective were the activities of the project in achieving the stated objectives and results?
2. How effective was the project as regards strengthening the capacities of target countries?
3. Provide a brief comment on the effectiveness of the project.
4. How efficient was the project in achieving its expected results?
5. How efficient were the project's governance and management structures and processes?
6. Provide a brief comment on the efficiency of the project's activities.
7. How well does the project complement relevant UN executed domestic/regional projects?
8. How well was the project coordinated with relevant UN executed domestic/regional projects?
9. Provide a brief comment on the coherence of the project's activities.
10. How relevant were the activities of the project given the overarching goals of the project?
11. How relevant were the activities of the project to the achievement of national development priorities?
12. How relevant did the project's activities remain to any changing circumstances during the project period?
13. Provide a brief comment on the relevance of the activities of the project.
14. How impactful were the activities of the project in meeting the intended goals?
15. To what degree has the project helped to achieve the objectives of Agenda 2030?
16. Provide a brief comment on the impact of the activities of the project.
17. How sustainable are the project's results?
18. Provide a brief comment on the sustainability of the activities of the project.
19. How disruptive was the novel coronavirus pandemic to the execution of project activities?
20. What are the positives of the virtual sessions?
21. What are the negatives, if any, of the virtual sessions?
22. In your view what is the most impactful activity of the project? Briefly explain.

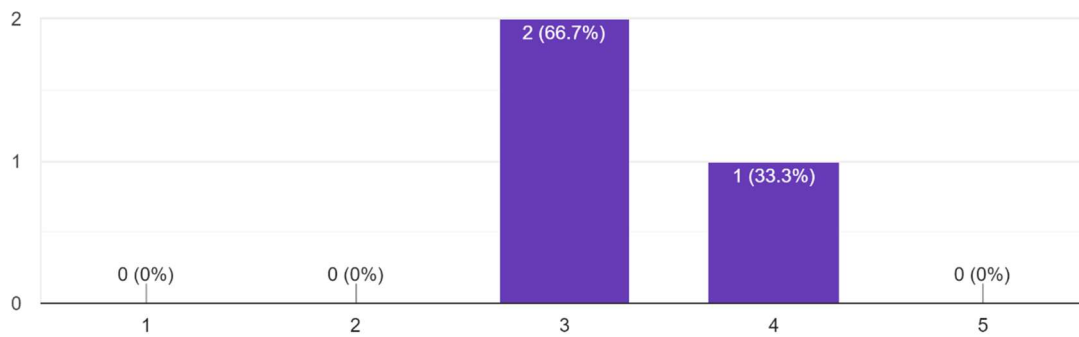
23. What activities would you add to the project?
24. Is there an activity in the region or internationally that would have enhanced the project? Explain.
25. Identify three project contributions made towards the achievement of Agenda 2030.
26. How has the project promoted gender and human rights?
27. Kindly provide any additional comments you wish to make.

Appendix III:

Caribbean SIDS Questionnaire Responses

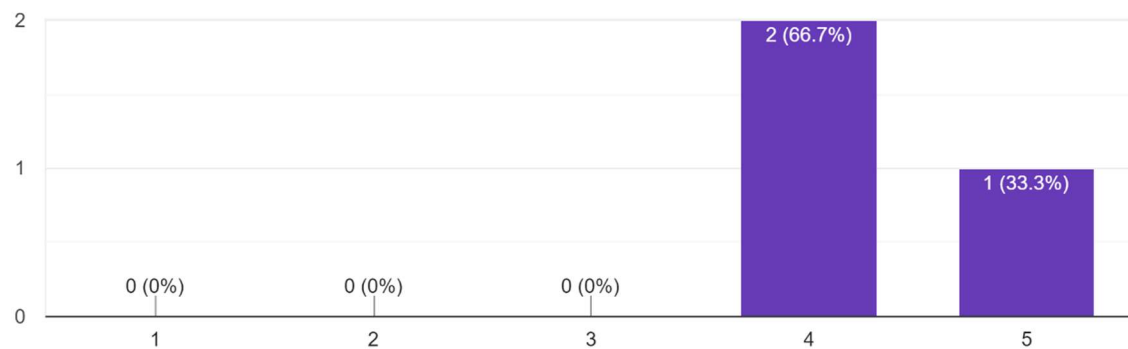
How effective was the project as regards strengthening the capacities of target countries?

3 responses



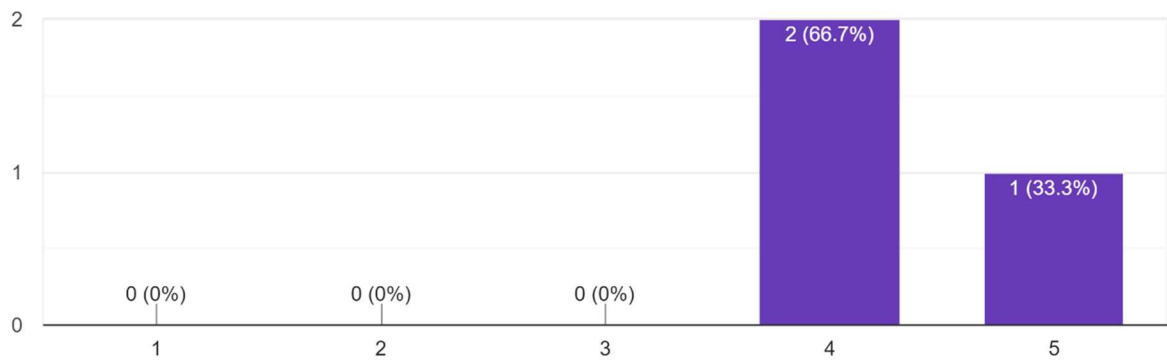
How effective were the activities of the project in achieving the stated objectives and results?

3 responses



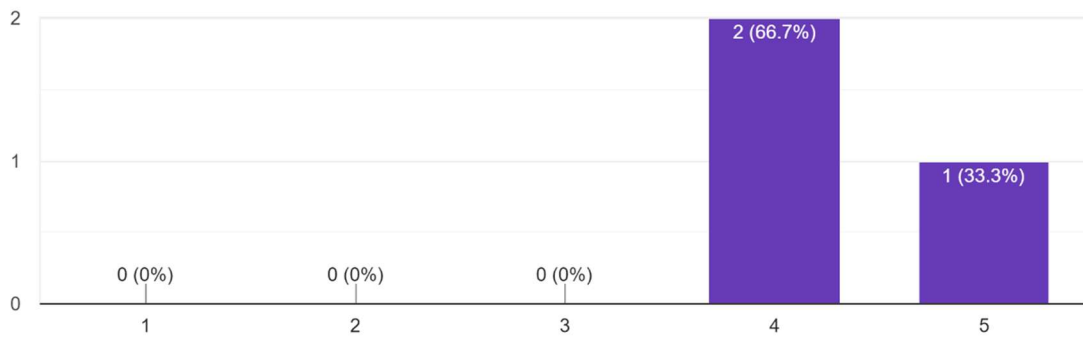
How efficient was the project in achieving its expected results?

3 responses



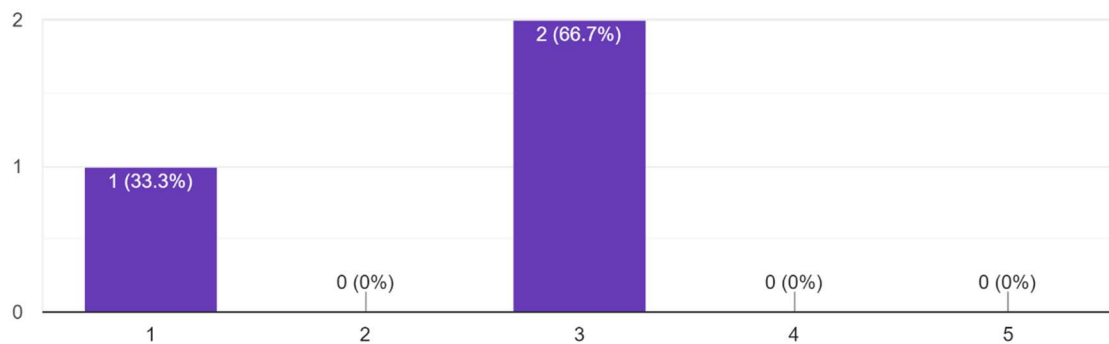
How efficient were the project's governance and management structures and processes?

3 responses



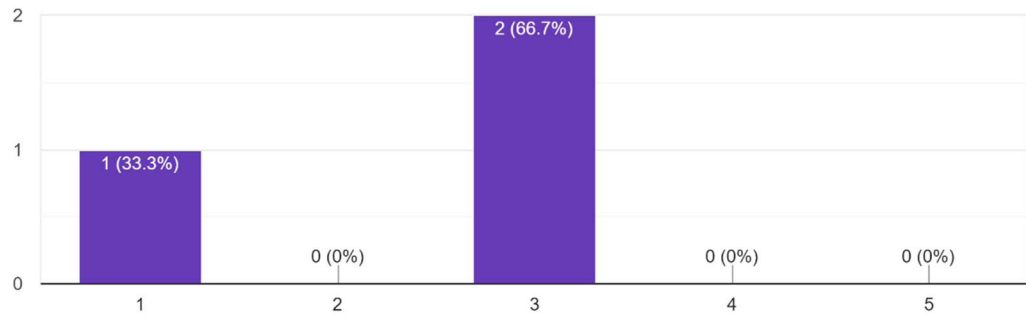
How well was the project coordinated with relevant UN executed domestic/regional projects?

3 responses



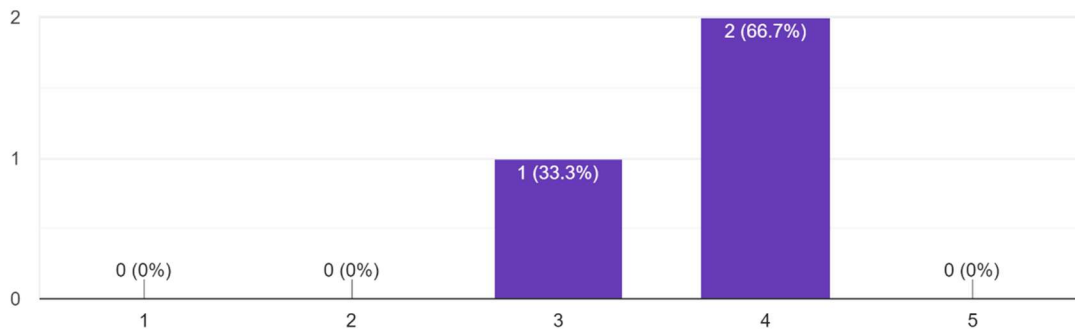
How well was the project coordinated with relevant UN executed domestic/regional projects?

3 responses



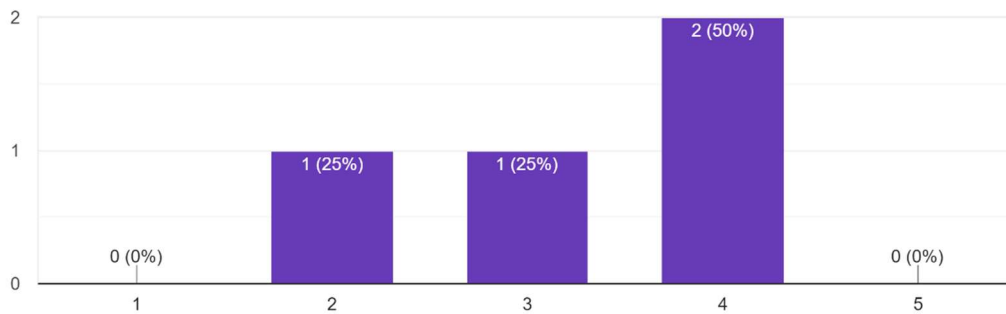
How impactful were the activities of the project in meeting the intended goals?

3 responses



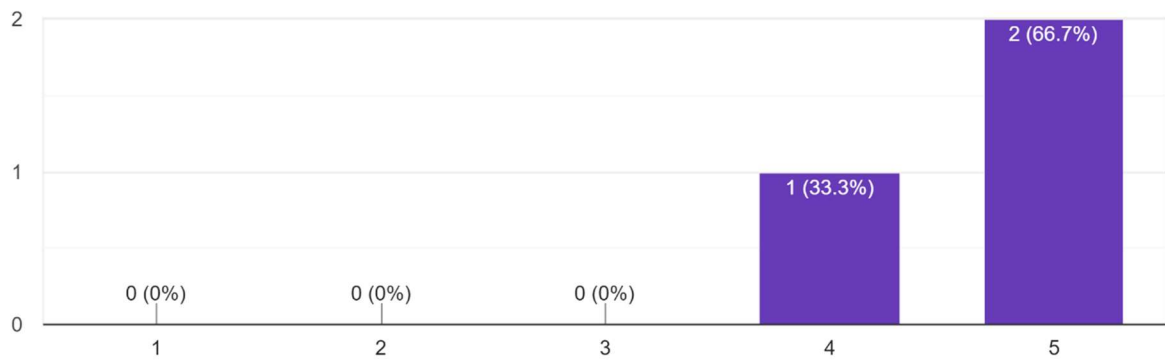
To what degree has the project helped to achieve the objectives of Agenda 2030?

4 responses



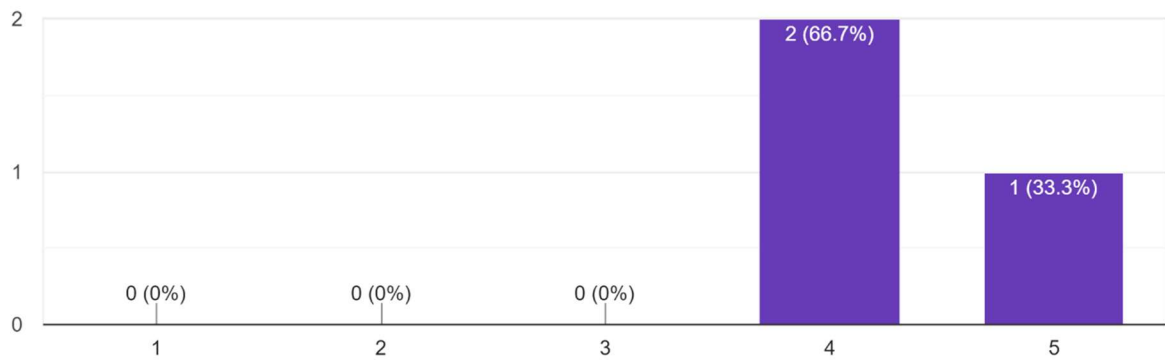
How relevant were the activities of the project given the overarching goals of the project?

3 responses



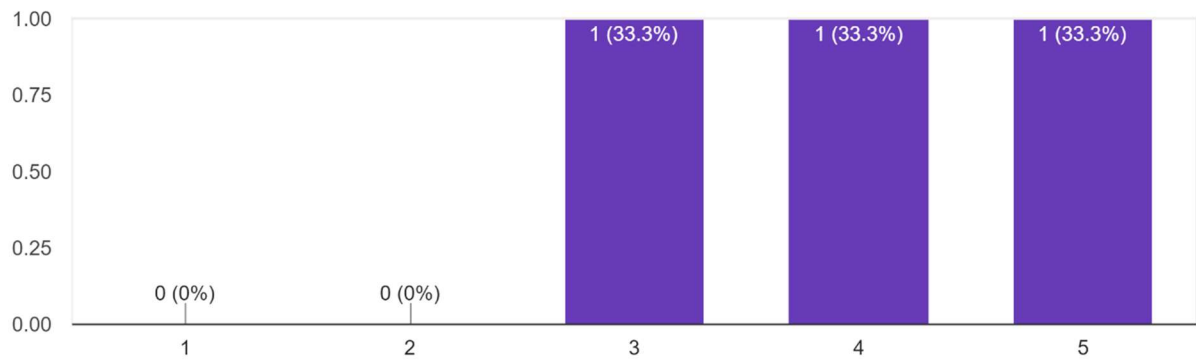
How relevant were the activities of the project to the achievement of national development priorities?

3 responses



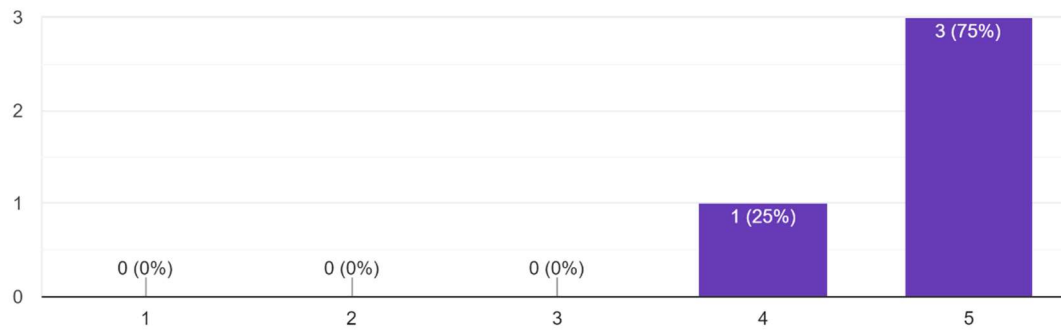
### How sustainable are the project's results?

3 responses



### How disruptive was the novel coronavirus pandemic to the execution of project activities?

4 responses

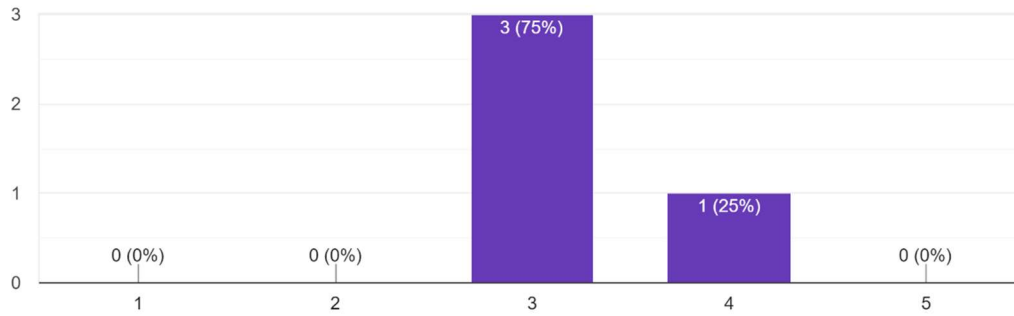


Appendix IV:

### Pacific SIDS Questionnaire Responses

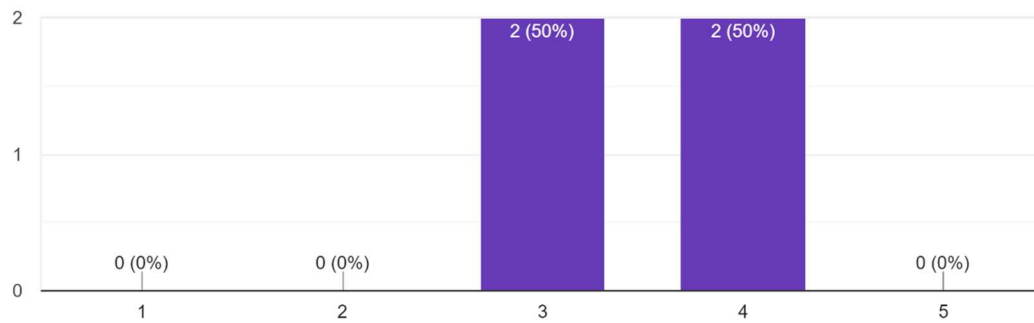
How effective were the activities of the project in achieving the stated objectives and results?

4 responses



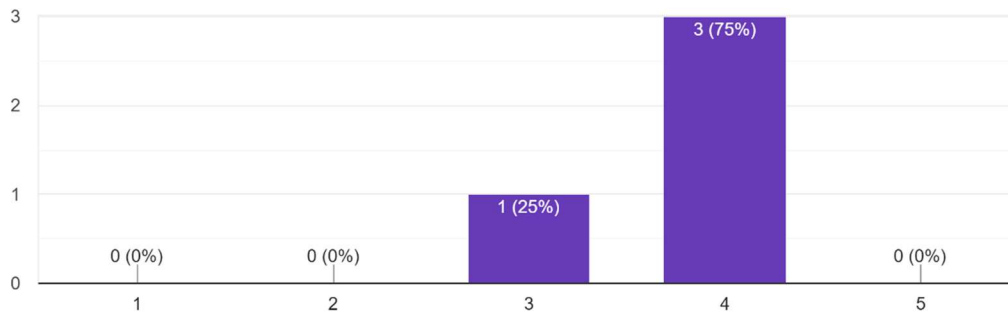
How effective was the project as regards strengthening the capacities of target countries?

4 responses



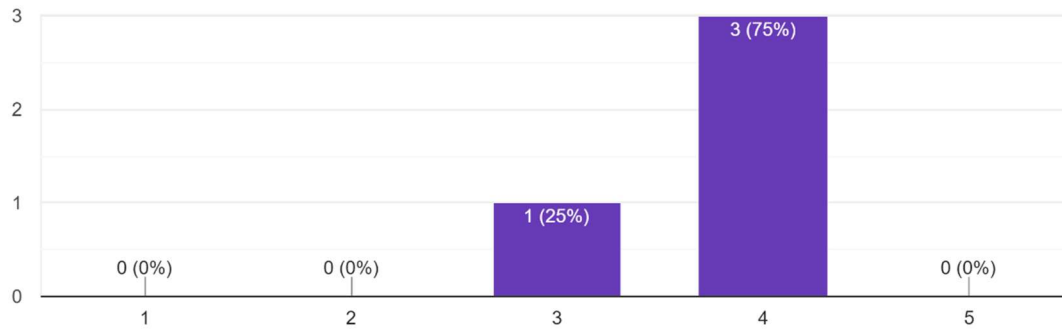
How efficient was the project in achieving its expected results?

4 responses



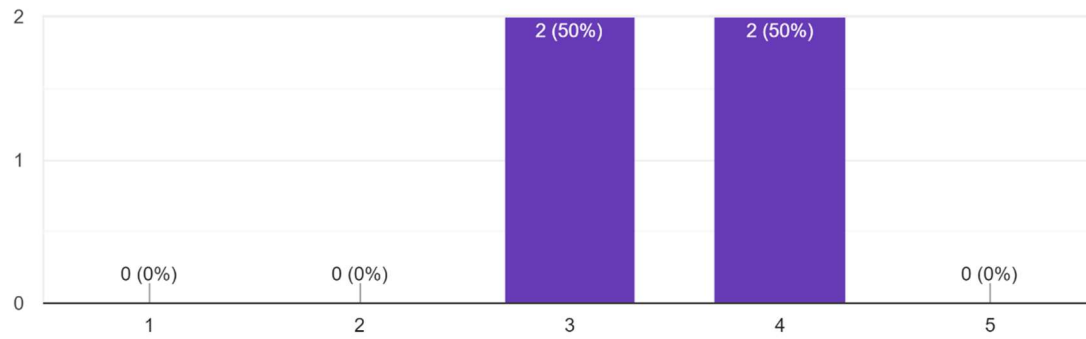
How efficient were the project's governance and management structures and processes?

4 responses



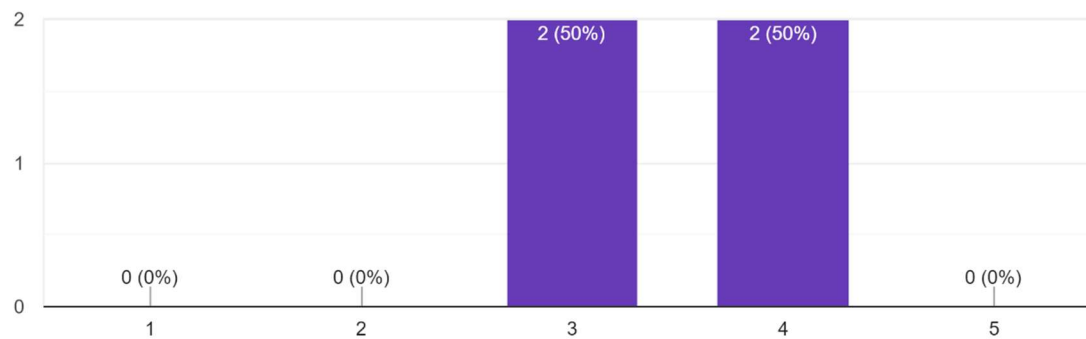
How well does the project complement relevant UN executed domestic/regional projects?

4 responses



How well was the project coordinated with relevant UN executed domestic/regional projects?

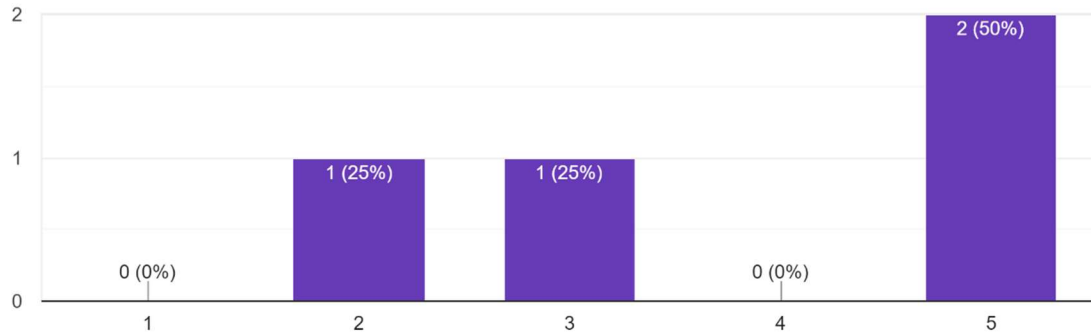
4 responses





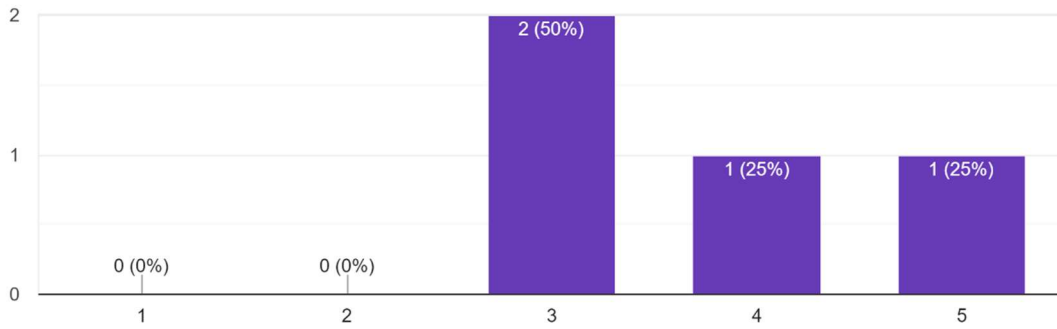
How relevant were the activities of the project to the achievement of national development priorities?

4 responses



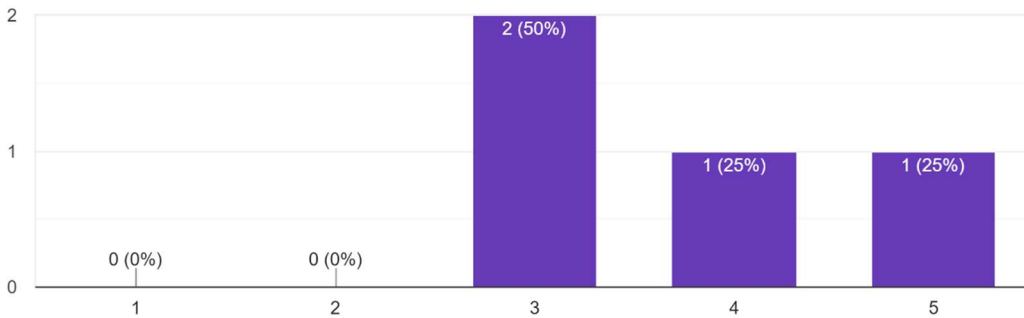
How relevant did the project's activities remain to any changing circumstances during the project period?

4 responses



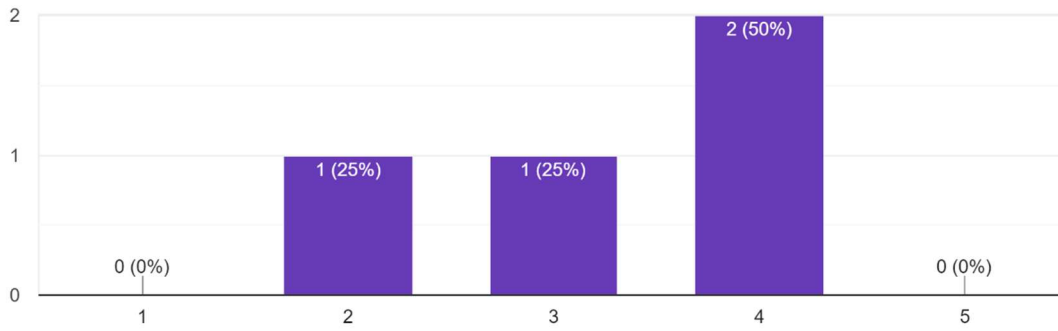
How relevant were the activities of the project given the overarching goals of the project?

4 responses



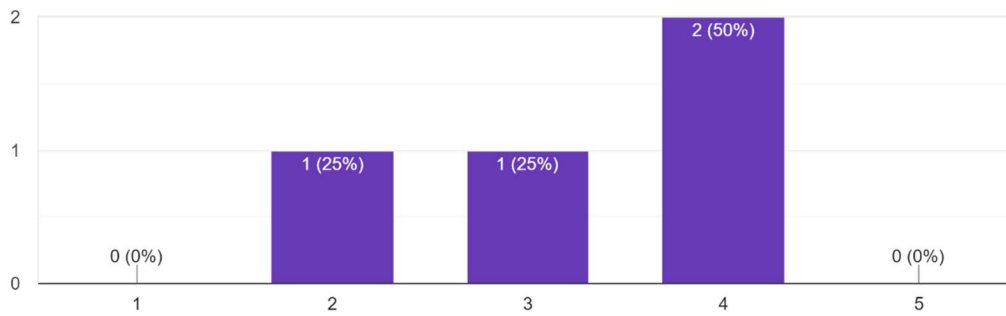
How impactful were the activities of the project in meeting the intended goals?

4 responses



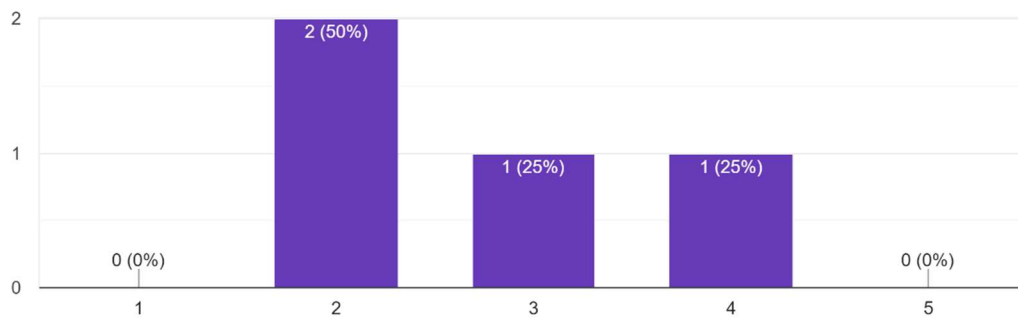
To what degree has the project helped to achieve the objectives of Agenda 2030?

4 responses



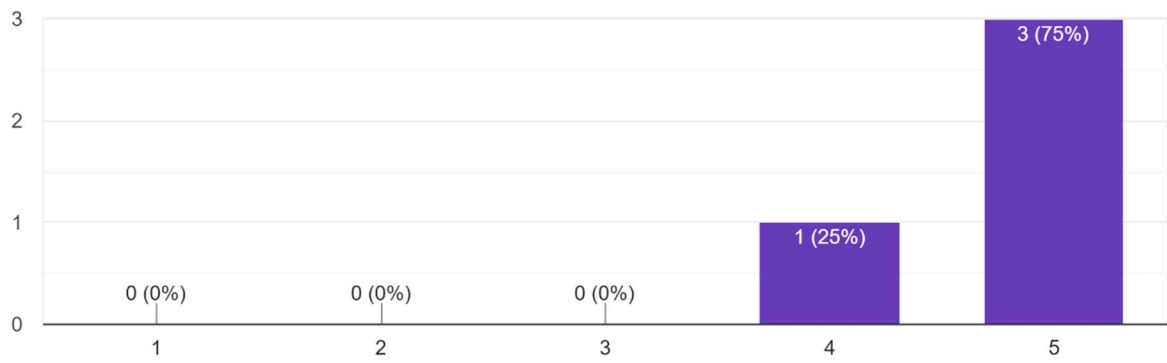
How sustainable are the project's results?

4 responses



### How disruptive was the novel coronavirus pandemic to the execution of project activities?

4 responses



## Annual Progress Report: Activities, Indicators and Challenges

Table A-0-2: Table – Review of Performance Indicators (Annual Progress Report - 2021)

Outcome	Indicator of achievement at the start of the project (T0)	Indicator of achievement at the time period when the project is being reviewed (T1)	Comments
OC1 Participating Caribbean SIDS have capacity to update and implement policy, legal and planning frameworks to effectively manage their ocean resources	<i>IA1.1: at least 2 of the target countries have developed draft, updated legal or policy and planning frameworks governing oceans</i>	<i>100% – achieved</i>	<i>Completed for Jamaica and Saint Lucia</i>
	<i>IA1.2 At least 2 countries have developed and validated an action plan to address capacity needs to implement their marine policy and planning frameworks</i>	<i>100% Achieved</i>	In 2022 the project will continue to deliver targeted support to Jamaica and Saint Lucia to address some of the recommendations identified in their action plans
EA2 Strengthened knowledge and capacity of participating Pacific countries to operate legal and regulatory frameworks for deep sea mining (DSM) in line with the international seabed regime and 2030 Agenda	<i>IA2.1: At least 3 Pacific countries have drafted regulatory frameworks for DSM</i>	<i>100% Achieved</i>	<i>All project countries now have regulatory frameworks either in draft or have promulgated legislation. In 2022 the project will continue to deliver support to strengthen capacity for implementation</i>
	<i>IA2.2: 80% of workshop participants indicate the project workshops and activities have increased their awareness and understanding of the issues involved to manage DSM in an economically, socially, and environmentally responsible manner</i>	<i>100% Achieved</i>	<i>PSIDS continue to indicate that the workshops have helped to significantly enhance capacity to better manage their DSM issues and associated obligations</i>

Table A-0-3: Review of Activities and status (Annual Progress Report - 2021)

Activities	Activity status	Comment
<p><b>A1.1</b> Capacity needs assessment in each Caribbean target country, on an as needed basis, on implementation of their marine policy and planning frameworks, including baseline assessments for the necessary marine-related data to facilitate monitoring and evaluation of relevant frameworks.</p>	<p><input type="checkbox"/> Cancelled  <input type="checkbox"/> Delayed  <input type="checkbox"/> Not yet started  <input type="checkbox"/> In progress  <input checked="" type="checkbox"/> Completed</p>	<p>This Activity has been completed for Jamaica and Saint Lucia. Work was halted in Saint Kitts Nevis and remaining resources redeployed towards supporting Jamaica and Saint Lucia.</p>
<p><b>A1.2</b> Technical assistance in collaboration with partner organizations, DESA and national/regional consultants to update national ocean strategies, including for the development of CMSP, on an as needed basis. This will include the development of appropriate draft road maps for implementation, related monitoring and evaluation frameworks using existing tools. A range of existing guidelines and/or models can be used to deliver capacity building training (e.g., OECS guidelines on CMSP).</p>	<p><input type="checkbox"/> Cancelled  <input type="checkbox"/> Delayed  <input type="checkbox"/> Not yet started  <input checked="" type="checkbox"/> In progress  <input type="checkbox"/> Completed</p>	<p>New Activities taken on board in 2021 are ongoing. These include development of a training module and a communications programme in Saint Lucia, model legislation for DSM and capacity support for institutional strengthening in Jamaica</p>
<p><b>A1.3</b> National multi-stakeholder consultations in each country to review and validate the draft policies, plans, and agree on a road map for next steps.</p>	<p><input type="checkbox"/> Cancelled  <input type="checkbox"/> Delayed  <input type="checkbox"/> Not yet started  <input type="checkbox"/> In progress  <input checked="" type="checkbox"/> Completed</p>	<p>Completed in Jamaica. Not required for Saint Kitts Nevis and Saint Lucia remaining resources will be reassigned from this activity to support the requests in A1.2 and A1.4</p>
<p><b>A1.4</b> One regional training workshop on different aspects related to the development and implementation of marine policies and CMSP in the Caribbean. The workshop would share outcomes and lessons from the target countries. The workshop would apply existing training materials, and if necessary, could propose revisions to guidelines and tools applied for national capacity development work under the project. Finally, the workshop would present the work of different partners able to support Caribbean countries to further develop and implement their ocean policies, planning and M&amp;E frameworks after the end of the project.</p>	<p><input checked="" type="checkbox"/> Cancelled  <input type="checkbox"/> Delayed  <input type="checkbox"/> Not yet started  <input type="checkbox"/> In progress  <input type="checkbox"/> Completed</p>	<p>Resources were redeployed to support national workshops in Saint Lucia and Jamaica and consultancies under A1.2. The National workshops will be organized in 2022 and consultancies are all in progress, with one more to be recruited in Q1 of 2022</p>
<p><b>A2.1</b> One regional training workshop on DSM legal and regulatory frameworks in the target countries. At the regional workshop the countries would present their progress and challenges in adopting legal frameworks and putting them into operation and identify priorities for capacity development support. The</p>	<p><input type="checkbox"/> Cancelled  <input type="checkbox"/> Delayed  <input type="checkbox"/> Not yet started  <input type="checkbox"/> In progress  <input checked="" type="checkbox"/> Completed</p>	<p>The Pacific SIDS Training and Capacity Building Workshop was held in Nuku'alofa, Tonga from 12 -14 February 2019.</p>

<p><i>workshop would present and train participants in different aspects of DSM regimes, including licensing, environmental safeguards, and financial frameworks, and present the work of different partners able to support different aspects of this work (including regional approaches). Finally, the workshop would consider how to ensure DSM activities can best contribute to achievement of the 2030 Agenda and Samoa Pathway in the region.</i></p>		
<p><b>A2.2</b> <i>Dedicated capacity development support to each country to strengthen legal and regulatory regimes for DSM. Among other possible options, this support may be provided by ISA through an implementing partner agreement based on ISA’s existing technical expertise on this subject. Other partners and national/regional consultants could be engaged if needed.</i></p>	<p> <input type="checkbox"/> <i>Cancelled</i>  <input type="checkbox"/> <i>Delayed</i>  <input type="checkbox"/> <i>Not yet started</i>  <input type="checkbox"/> <i>In progress</i>  <input checked="" type="checkbox"/> <i>Completed</i> </p>	<p><i>The ISA continued to provide technical support to the 4 PSIDS Sponsoring States throughout 2021. A training workshop was held in the Cook Island in July 2021 in further capacity support was delivered to participating countries to gain better understanding of the pre-requisite conditions to be met to ensure a sound and stringent environmental management and monitoring of deep-seabed related activities</i></p>
<p><b>A2.3</b> <i>National multi-stakeholder workshops in each Pacific target country to review and validate national laws, regulations, licensing and/or benefit-sharing regimes generated under the project, as well as road maps to continue the work following the end of the project.</i></p>	<p> <input type="checkbox"/> <i>Cancelled</i>  <input type="checkbox"/> <i>Delayed</i>  <input type="checkbox"/> <i>Not yet started</i>  <input checked="" type="checkbox"/> <i>In progress</i>  <input type="checkbox"/> <i>Completed</i> </p>	<p><i>virtual national technical webinars to validate national laws, regulations, licensing and/or benefit-sharing regimes in Tonga is outstanding.</i></p>
<p><b>A2.4</b> <i>Side event organized at an international conference to present outcomes of the project, review how marine policy and planning frameworks including DSM can best contribute to national implementation of the 2030 Agenda and Samoa Pathway, and identify next steps including regional and South-South cooperation initiatives.</i></p>	<p> <input type="checkbox"/> <i>Cancelled</i>  <input type="checkbox"/> <i>Delayed</i>  <input checked="" type="checkbox"/> <i>Not yet started</i>  <input type="checkbox"/> <i>In progress</i>  <input type="checkbox"/> <i>Completed</i> </p>	<p><i>To be held possibly at the UN Ocean Conference Virtual modalities will considered if necessary</i></p>

Table A-0-4: Challenges and actions (Annual Progress Report 2021)

Description of challenge	Action(s) taken to solve the issue, if any
<p><i>As the Caribbean struggles to recover from the COVID Pandemic the project still struggles with delays in securing appointments with key government officials, the holding of national virtual workshops, reviewing and commenting on Consultant’s reports, delayed delivery from consultants etc.</i></p>	<ul style="list-style-type: none"> <li>• <i>More intense follow up with countries and Consultants to stay on target</i></li> </ul>
<p><i>Restrictions in holding in person workshops due to the global COVID-19 pandemic continued in 2021 continuing to highlight some of the inherent challenges of organizing “virtual” capacity building activities in the Pacific region. This includes organizing a 3 days virtual technical workshops that involves the participation of government officials from 4 countries spread across the Pacific Ocean, covering both the north and southern hemisphere and securing the services of international expert speakers residing around the globe, spanning different time zones is logistically challenging.</i></p>	<ul style="list-style-type: none"> <li>• <i>National workshops originally scheduled for Tonga will be held in the 1st half of 2022 either in person or virtually (the impact of the natural disaster that hit Tonga in January 2022 cannot yet be assessed)</i></li> </ul>

Appendix VI:

Table A-0-5: Key Indicators Jamaica

Indicators	Details
Area	10,831 km <sup>2</sup> (Land)
	160 km <sup>2</sup> (Water)
	1,022 km <sup>2</sup> (Coastline)
Population	2,8181,596 (2022)
Gross Domestic Product (Current)	\$13.64 (Billion USD (2021))
Income Per Capita	\$4,586.7 (Current USD (2021))
Human Development Index (Rank)	0.734 (101) (2020 HDR)

Table A-0-6: Key Indicators St. Lucia

Indicators	Details
Area	606 km <sup>2</sup> (Land)
	10 km <sup>2</sup> (Water)
	158 km <sup>2</sup> (Coastline)
Population	167,122 (2022)
Gross Domestic Product (Current)	1.76 (Billion USD 2021))
Income Per Capita	\$9,571 (Current USD (2021))
Human Development Index (Rank)	0.759 (86) (2020 HDR)

Table A-0-7: Key Indicators: Cook Islands

Indicators	Details
Area	236 km <sup>2</sup> (Land)
	0 km <sup>2</sup> (Water)
	120 km <sup>2</sup> (Coastline)
Population	8,128 (2022)
Gross Domestic Product	384 (Million USD (2020))
Income Per Capita	\$21,884 (Current USD (2020))
Human Development Index (Rank)	Not Available



Table A-0-8: Key Indicators: Kiribati

Indicators	Details
Land Area	811 km <sup>2</sup> (Land)
	0 km <sup>2</sup> (Water)
	1,143 km <sup>2</sup> (Coastline)
Population	114,189 (2022)
Gross Domestic Product (Current)	180.9 (Million USD (2020))
Income Per Capita	\$1,514.6 (Current USD (2020))
Human Development Index (Rank)	0.630 (134) (2020 HDR)

Table A-0-9: Key Indicators: Nauru

Indicators	Details
Area	21 km <sup>2</sup> (Land)
	0 km <sup>2</sup> (Water)
	30 km <sup>2</sup> (Coastline)
Population	9,811 (2022)
Gross Domestic Product (Current)	133.2 (Million USD (2021))
Income Per Capita	\$12,252.3 (Current USD (2021))
Human Development Index (Rank)	Not Available

Table A-0-10: Key Indicators: Tonga

Indicators	Details
Area	717 km <sup>2</sup> (Land)
	30 km <sup>2</sup> (Water)
	419 km <sup>2</sup> (Coastline)
Population	105,517 (2022)
Gross Domestic Product (Current)	488.8 (Million USD (2020))
Income Per Capita	\$4,624.8 (Current USD (2020))
Human Development Index (Rank)	0.725 (104) (2020 HDR)

## Terms of Reference

### TERMS OF REFERENCE

#### EVALUATION CONSULTANT

SIDS Unit  
Division for Sustainable Development Goals  
Department of Economic and Social Affairs (UN-DESA)

#### 1. BACKGROUND

Oceans and seas are critical assets to Small Island Developing States (SIDS), providing countless benefits in the form of food, employment, foreign exchange, culture and recreation. Through evidence-based policy interventions, these assets can also make significantly enhanced and sustained contributions to their economic growth, welfare and prosperity. Pursuing such strategies can also provide SIDS with a basis for pursuing a low-carbon and resource-efficient pathways to economic growth and development and boost national policy coherence.

In an effort to assist SIDS to address some of these challenges, the SIDS Unit of the Division for Sustainable Development Goals, has received a small grant from the UN Development Account (11th Tranche) to support 2 Caribbean SIDS (Jamaica and Saint Lucia) and 4 Pacific SIDS (Cook Islands, Kiribati, Nauru, Tonga) to strengthen their capacities to develop and implement appropriate enabling legal, institutional and policy frameworks to grow sustainable ocean-based economies and to derive economic benefits from harnessing the productive potential of their ocean spaces. This will be achieved through interventions designed to strengthen policies, legal and institutional frameworks and technical capacities for effective decision making and implementation of planned priorities at national and/or regional levels as they relate to SDG 14.

The SIDS Unit is, at this time, seeking the services of an Evaluation Consultant to provide an independent evaluation of the project.

#### 2. OBJECTIVES OF THE ASSIGNMENT

The objectives of this exercise are to:

- i) review the efficiency, effectiveness, relevance, impact and sustainability of the project implementation in response to the particular needs of the project participating countries and, more particularly, document the results the project attained in relation to its overall objectives and expected results as defined in the project document. The process should identify best

- practices and lessons learnt from project implementation, as well as sustainability and the potential for replication in other countries. The lessons learnt and good practices in actual project implementation will in turn be used as tools for future planning and implementation of similar projects.
- ii) serve as a platform for reflection; to gain insights and understanding from project experiences so as to be able to conceptualize experiences within the context of one's specific direction or work experience;
  - iii) To acquire a realistic and valid basis for inferences and decisions necessary for the programming of future action and/or recommendations;
  - iv) To examine the Programme's complementarity and coordination with other relevant UN system interventions in country, or within the sub region under the criterion of coherence, which was newly added to the list of evaluation criteria by the Development Assistance Committee (DAC) of the Organisation of Economic Cooperation and Development (OECD) in December 2019.
  - v) To Examine the extent to which gender and human rights perspectives have been addressed during the course of the project, in accordance with several General Assembly resolutions, including 53/120 (para 3), 60/1 (paras 59) and 60/251 (para 3), which promote the mainstreaming of gender and human rights perspectives in the design, monitoring and evaluation of all UN policies and programmes.

The evaluation could focus on, but is not limited to, the following evaluative criteria and questions<sup>1</sup>:

**Effectiveness:**

- i. Did the project achieve its planned objectives and its expected results?
- ii. What is the likelihood of the full achievement of the project's outcomes?
- iii. Did the project strengthen the capacities of target countries?

**Efficiency:**

- i. How efficient was the project in achieving its expected accomplishment?
- ii. What factors or barriers, if any, prevented smooth implementation of the project?
- iii. What factors account for the successful achievement or non-achievement of expected accomplishments?
- iv. To what extent has DESA delivered its planned activities according to the set timelines? How efficiently did the project overcome operational challenges such as COVID-19?
- v. To what extent have the project's governance and management structures and processes enabled, or hindered, the delivery of its activities?

**Relevance:**

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<sup>1</sup> The following are the evaluation questions that have been identified at this stage of the evaluation. The evaluator should identify which questions will be reviewed in the inception report. The questions below will be assessed considering the objective, indicators of achievement, planned activities and outputs as set forth in the project document

- i. To what extent did the project respond to national development priorities, including changes over time?
- ii. To what extent were the objectives and design of the project still relevant given any changing circumstances during the project period?

**Sustainability:**

- i. To what extent are the project's results sustainable?
- ii. What are the conditions or factors that can enhance or undermine the positive outcomes and benefits of the project?

### **3. WORK ASSIGNMENT**

This Evaluation will be conducted as an independent exercise, based on documentation related to the project, online communication including interviews and e-mails with key individuals from the U.N. implementing organizations, from the beneficiary countries and project stakeholders. The above-mentioned persons are expected to provide information, opinions and assessments to the consultant (henceforth, the "Evaluator"), upon his request.

The evaluation consultant will assess the results of the Development Account project and identify the factors that affected DESA contribution and performance including inter alia strengths and weakness; threats and opportunities; highlight lessons learnt from decisions, strategies and approaches undertaken during project implementation; and provide strategic recommendations for fine tuning the institutional strategy for the implementation of future projects.

#### 3.1 Scope of work

The scope of work covers the full project implementation timeframe from September 2018 until June 2022 with a geographic coverage of six target countries: two in the Caribbean (Jamaica and Saint Lucia) and four in the Pacific region (Cook Islands, Kiribati, Nauru, Tonga).

#### 3.2 Methodology

Methodology of assessment may include, but is not limited to the following:

- Desktop/Literature review of relevant project documents, substantive materials and guidelines.
- Consultations with relevant national authorities, relevant UN system entities from the project countries, stakeholders, consultants, and training participants as required. The Evaluator shall determine whether to seek additional information and opinions from other persons connected to the implementation of the project.

The methodology should provide robust evidence to support analysis that responds to the evaluation questions. It should also provide the framework for analysis (e.g., using theory of change), define the

indicators and data to be used for assessment (in relation to the criteria), the data collection and processing methods, and analytical tools (e.g., statistical analysis). Special attention should be paid to the inclusion of the gender and human rights dimensions in the evaluation design.

### 3.3 Tasks

- i. Desktop/Literature review of all relevant project documents;
- ii. Consultations with the wide range of stakeholders will remain of key relevance for this Task
- iii. Drafting of detailed analysis and recommendations and preparing inception report, stakeholder consultations reports, and final reports.
- iv. Development of full methodology and analytical framework for evaluation;
- v. Development of data collection instruments (e.g., survey questionnaire, interview schedule for national counterparts, consultants, training participants; etc.);
- vi. Virtual interviews with key informants at country level;

## 4. ETHICS

Evaluation will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. Evaluators should demonstrate independence, impartiality, credibility, honesty, integrity and accountability to avoid any bias in their evaluation.

In the design and implementation of the evaluation, due consideration shall also be given to procedures to safeguard the rights and confidentiality of information providers; measures to ensure compliance with legal codes governing areas such as intellectual property rights, and provisions to collect and report data; provisions to store and maintain security of collected information; and protocols to ensure anonymity and confidentiality.

## 5. DURATION OF CONTRACT, OUTPUTS, DELIVERY DATES AND PAYMENT SCHEDULE

The duration of the consultancy will be for 11 weeks, commencing on 4 July 2022 and ending on 12 September 2022. Payment will be initiated upon acceptance and certification of the deliverables listed below by the project Manager. The Consultant’s fee will be commensurate with experience.

Key milestones and deliverables	Target due dates	Payment Schedule
1. Inception Report outlining the methodology to the consultancy and schedule for completing the activities.	1 week post contract signing	10%
2. Preliminary results of Stakeholder Consultations and interview		10%
3. Draft Evaluation Report (Template Provided)	5 weeks post contract signing	30%

4. Final Evaluation report (Template provided)	11 weeks post contract	50%
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## 6. DUTY STATION OR LOCATION OF ASSIGNMENT

The Consultant will be home based and is expected to provide own office space and equipment. No overseas travel is expected. The consultant must also be available for discussion/assessment with supervisors on work progress and review via online meetings.

## 7. PERFORMANCE INDICATORS

All outputs must be delivered in English (British Standard), in Word and PDF format. The performance of the consultant(s) will be measured by the following indicators:

- Timeliness of submissions and compliance with the ToR;
- Quality of analysis, recommendations/conclusions in the report: The analysis and the recommendations contained in the report should be of high quality, relevant, specific, simple and practical;
- Readability of material: The report should be written in clear and concise language;
- Receptive/responsive to feedback: The feedback to be provided by the UNDESA to the initial draft report shall be analyzed and reflected in the final version.

## 8. QUALIFICATIONS OF THE CONSULTANT

The Consultant is expected to possess the following qualifications/experience:

- At Least a master's degree in project management, monitoring and evaluation, impact evaluation, economics, business administration, social sciences, public administration, or other relevant discipline;
- At least 5 years' experience, at the national level or regional level involved in monitoring and evaluation of projects or programmes. Experience in a small island developing state is an asset;
- Experience with a broad range of donor evaluation standards and requirements (e.g., UN, EU etc) will be a distinct asset;
- Experience working with a wide range of stakeholders, including *inter alia* government officials, and community groups;
- Proven competency in production of analytical reports and in quantitative and qualitative research methods, particularly self-administered surveys, document analysis, and informal and semi-structured interviews is required;
- Fluency in oral and written English is required.
- Experience in designing methodologies as well as tools and strategies for data collection, monitoring and planning at the national level will be an asset;

## 9. SUPERVISOR/PROJECT MANAGER AND REPORTING ARRANGEMENTS

The Person in charge of this project to whom the consultant should communicate outputs and submit reports for final clearance is:

Mr. Armin Plum  
Senior Programme Management Officer  
Division for Sustainable Development Goals  
Department of Economic and Social Affairs  
United Nations  
Email: [pluma@un.org](mailto:pluma@un.org)