

**FINAL INTERNAL REVIEW**

**“SUSTAINABLE MARINE BIODIVERSITY CONSERVATION:  
LINKING TOURISM TO MARINE AND COASTAL  
PROTECTED AREAS”**

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## 2 Acronyms and Abbreviations

AMIPETAB (Acronym in Spanish)	Bocas del Toro Association of Small Tourism Businesses
ANAM (Acronym in Spanish)	National Environmental Authority of Panama
BMZ	German Federal Ministry for Economic Cooperation and Development
CDA	Coastal Development Authority
COBRA	Conservation of Biodiversity Resource Areas
CORE	Conservation of Resources through Enterprise
FD	Belize Fisheries Department
GOs	government organizations
HCMR	Hol Chan Marine Reserve
IBNMP	Isla Bastimento National Marine Park
ICAM	Integrated Coastal Area Management
IPAT (Acronym in Spanish)	Panama Tourism Institute
IUCN-EARO	IUCN Eastern Africa Regional Office
IUCN-HQ	IUCN Headquarters in Switzerland
IUCN-ORMA	IUCN Regional Office for Mesoamerica
KMNP	Kisite National Marine Park
KWS	Kenya Wildlife Services
LFA	Logical Framework Analysis
MMRP	Mpunguti National Marine Reserve
MPAs	marine protected areas
NGOs	non-governmental organizations
PROMAR (Acronym in Spanish)	Foundation for Protection of the Sea
USAID	United States Agency for International Development
WCPA	World Commission on Protected Areas

## Final Internal Review

**Project:** *Sustainable Marine Biodiversity Conservation: Linking Tourism to Marine and Coastal Protected Areas*

### 3 Executive Summary

**Title:** "Sustainable Marine Biodiversity Conservation: Linking Tourism to Marine and Coastal Protected Areas"

**Evaluation Team:** internal and external

**Year:** 2002

**Project Objectives:**

The goal of the overall project was to: *"Contribute towards ecologically and economically sustainable marine and coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas."*

The four objectives designed to achieve this goal were to:

1. *Assess the role of selected local communities in coastal tourism and marine protected areas (MPAs)*
2. *Assess the links, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs*
3. *Design and implement appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism and MPA development with the participation of local communities*
4. *Facilitate sharing of experiences obtained during project implementation between the two regions involved –Eastern Africa and Central America- and derive lessons learned with global applications*

**IUCN specialization area:** Protected Areas

**Geographical area:** Belize, Panama and Kenya

**Donors:** BMZ- German Federal Ministry for Economic Co-operation and Development

**Overall project cost:** US\$ 602,141 over four years

**Type of evaluation:** Final Internal Review

**Evaluation objectives:**

The internal review of the BMZ project is a self-assessment of the achievements, impacts, and lessons learned during project implementation.

The specific aims of the evaluation are to:

- Assess the effectiveness, efficiency and timeliness of project implementation
- Evaluate the impact of project activities and related outputs, including their contribution to the overall goal of the project
- Determine the project's relevance in relation to the needs of the stakeholders and environment

- Assess the long-term sustainability of the actions initiated
- Identify lessons learned with respect to the project's strategic approach (the processes and mechanisms chosen to achieve the objectives)

### **Methodology:**

- A desk review of the project document, work plans and progress reports and other relevant documentation to review and assess achievements thus far, and performance regarding work plans, in particular
- Consultation of project partners, staff and key stakeholders through interviews, meetings and questionnaires, where appropriate

There two project components (Central America and Eastern Africa) were evaluated separately, using identical methodology to identify the same elements and answer the same questions, and then consolidated.

### **Findings:**

- 1) The most important contribution of this evaluation lies in the identification and analysis of lessons learned and conclusions and recommendations regarding the project design and operating structure. Planning, approaches, operational arrangements (management, M&E) and financial administration were analyzed for elements important to IUCN with respect to inter-regional initiatives in partnership with local NGOs and GOs and the development of demonstration experiences.
- 2) Although this document also refers to lessons learned of a thematic nature, particularly those associated with links between tourism, marine protected areas and community participation, this is not an innovative contribution since outputs to identify such experiences and lessons were included in the project itself: regional workshops, the inter-regional workshop and the final project report.
- 3) The project presented weaknesses in planning, and neither the articulation between different levels (project document and demonstration areas) nor the scope of objectives were clear. As a result, the project focused more on outputs at the level of the demonstration areas than at the policy or institutional level that would have made it possible to validate strategies and mechanisms for an "integrated approach in developing coastal tourism and marine protected areas" with potential global application.
- 4) Project initiatives tended to respond to needs and problems in the demonstration areas using local capacity. To varying degrees of success, the three areas supported local processes already underway and were thus perceived as highly relevant by partner organizations and local groups.
- 5) It was pointed out that the lack of an "exit strategy" was a weakness in project design and, as a consequence, the project "*just closed*." Consequently, since then there has been little or no follow-up or any consideration of future options.

### **Recommendations:**

- 1) It is suggested that planning for projects under IUCN responsibility involve a monitoring and evaluation (M&E) system with the minimum standards of quality established by the IUCN Global M&E Initiative.
- 2) Although the project achieved outputs and outcomes in themes of interest to the IUCN, one cannot say that outputs and outcomes at a higher level of MPA biodiversity conservation were achieved. Processes were experimental and therefore valuable, but the experience obtained should be examined more closely at both the procedural and

demonstrative level in order to obtain globally applicable experiences contributing to IUCN's higher objectives.

- 3) Project procedures should include requirements for ongoing documentation of all management and technical decisions in order to prevent the loss of institutional memory during staff changes.
- 4) The purpose of undertaking inter-regional projects should be reviewed to assess their usefulness and relevance.
- 5) It is important that IUCN explicitly define what determines the demonstrative character of an initiative and act accordingly, clearly defining elements to be validated so that the exchange of experiences in the demonstration areas can lead to the identification of replicable elements under particular conditions.
- 6) It is important to define strategies ensuring the continuity of project outputs and outcomes.
- 7) During interviews it was repeatedly suggested that an analysis be made of the cost-benefit relation of economic investment in the inception and planning phase versus investment in activities and products at the demonstration areas.

## 4 Background

The project entitled, “Sustainable Marine Biodiversity Conservation: Linking Tourism to Marine and Coastal Protected Areas” was sponsored and supported by the World Conservation Union (IUCN) and financed by the German Federal Ministry for Economic Co-operation and Development (BMZ).

IUCN has been working on diverse world conservation issues for 49 years. One of its main concerns is protecting biodiversity in marine environments, supporting marine protected areas and developing conservation programs.

The goal of the project is to “Contribute toward ecologically and economically sustained marine and coastal biodiversity conservation through the integration of coastal community livelihoods, development of coastal tourism and marine protected areas.”

This review was commissioned by the IUCN Regional Office for Mesoamerica (IUCN-ORMA) as an internal self-assessment of achievements, impacts and lessons learned during project implementation. The terms of reference for the review for both the Kenyan and Central American components are included in this report as Annex 1. The evaluation was included in the project document and funded by BMZ.

The framework for this evaluation is IUCN’s policy on evaluation, which has two main purposes:

- a) **Learning and Improvement:** The IUCN Evaluation Policy indicates that evaluations are to be used as part of the *learning* environment for IUCN and its members. It involves the creation of an environment that engages staff and their partners in creative ways to learn how to improve IUCN’s work. In this context, evaluations are instruments for making IUCN’s projects, programs and organizational units more effective through the provision of useful feedback and a commitment to act on that feedback. Evaluations thus offer a means of understanding why or why not IUCN activities succeed. Furthermore, as learning tools evaluations add to IUCN’s body of knowledge with respect to best practices in evaluation and conservation.
- b) **Accountability:** Second, evaluations are part of IUCN’s overall *accountability* system. IUCN is answerable to its members, partners and donors in determining whether its policies, programs, projects, and operations are working well and showing that its resources are used in a responsible way. The evaluation process, together with the required documentation accompanying each evaluation, holds IUCN staff and contracted implementing partners responsible for their performance.

## 5 Project Context

The tropical seas and their respective coastal zones contain extensive marine biodiversity in their main habitats, including coastal forests, mangroves, intertidal flats, reefs and sandbanks. Some of these habitats contain a high density and diversity of marine organisms, including some species on the way to extinction, such as turtles, whales coelenterates, dugongs and others (IUCN Marine and Coastal Programme, Project Proposal, s.f: 4.)

Coastal systems provide food, income and other services, as well as contributing to the regulation of world climate change, the food chain and biological productivity. Marine and

coastal resources have begun to play an important role in the coastal and island economies of developing countries, mainly in terms of the tourism industry.

Establishing marine and coastal protected areas has been an important strategy to conserve marine biodiversity, particularly when these areas are designed and managed with community participation and linked to sustainable economic opportunities, as tourism can be when managed appropriately. The guidelines for development of sustainable tourism have been established in the Manila Declaration on World Tourism, the Acapulco Document on World Tourism and the Tourism Bill of Rights and Tourist Code (IUCN, 1998:1).

However, in many coastal zones resources and biological diversity are being destroyed, with growing threats of habitat destruction, pollution of water due to unplanned activities and direct overexploitation of resources among the most common.

The majority of underdeveloped countries do not have effective regulations and/or resources for environmental protection, so economic gain has become the driving force in coastal development. Another large problem is that, although many marine protected areas are connected with tourism activities, these activities almost always occur independently and practically exclude coastal communities.

This panorama makes urgent the “need to ensure the economic sustainability of marine biodiversity conservation through the integration of coastal tourism and marine protected areas,” with the participation of local communities (IUCN, 1998:1.)

Many of these characteristics of tropical seas and coastal zones are present in Central America and Eastern Africa, which thus represent areas of interest within the framework of this project. The coastal zones of countries in the two regions also offer many similarities: growing development of coastal tourism, large communities whose livelihood depends on the coasts and numerous marine protected areas managed with varying degrees of success.

## **5.1 Socioeconomic and environmental context of the demonstration areas**

As explained in section 6, project development centered on three demonstration areas: Hol Chan Marine Reserve in Belize, Isla Bastimentos National Marine Park (IBNMP) in Bocas del Toro, Panama, and Kisite Marine National Park-Mpunguti Marine National Reserve complex (KMNP/MMNR), in Kenya.

***Hol Chan Marine Reserve (HCMR)*** was established in 1987 to promote the sustainable use of the Belizean coral reef with an emphasis on preservation. HCMR is located in Ambergris Caye, the major island and the northernmost section of the barrier reef. It is located four miles south of San Pedro Town, a business center and the only community established on the island, one of the most important tourist destinations in Belize.

Fishing used to be one of the main sources of income for the local population, but in the 1980s the effects of over-fishing began to be apparent and tourism became the main source of income in the island's economy. To meet the demands of an expanding tourism industry, coastal development for residential and commercial purposes increased on the island.

Mangrove swamps dominate the island but there are some zones with coastal forest. HCMR is divided in four zones: Zone A includes the barrier reef (the back reef, reef crest and fore reef), Zone B is composed of sea grass, Zone C is the mangrove area where there are seven islands, and Zone D, annexed in September 1999, is popularly known as Shark and Ray Alley.



The main risks facing the reserve are mangrove deforestation and habitat alteration in the populated zones adjacent to the reserve, unsuitable management of solid waste generated by a growing population, decline in the island's fishing industry and enormous increase in visitation to Hol Chan since it was made a marine protected area.

**Isla Bastimentos National Marine Park (IBNMP)** was established on September 2, 1988 and extends over 133.6 km<sup>2</sup>, approximately 13% terrestrial and the rest marine.

The park is divided into four sectors sheltering different types of ecosystems and species:

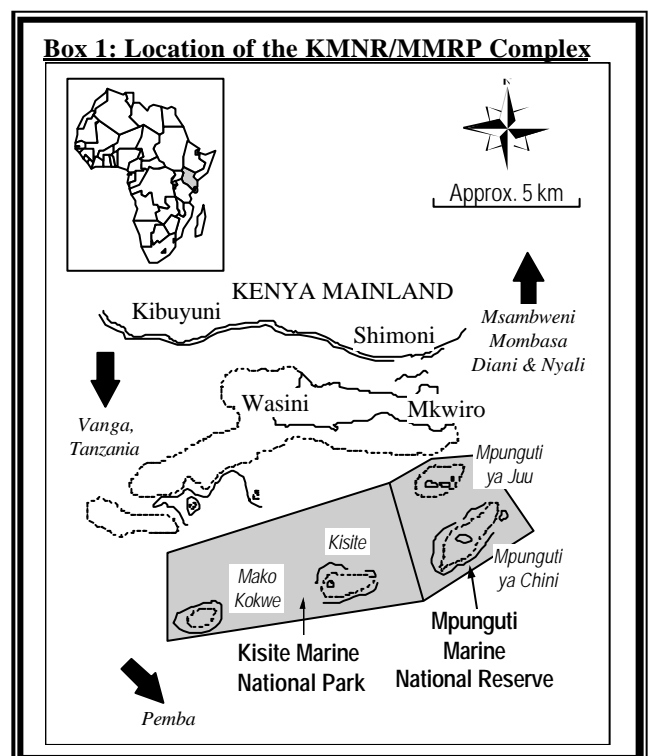
- *Forests and wetlands*, located in the interior of Isla Bastimentos in a sector running from Playa Larga to the south part of the island, and where there is an extensive variety of plants, trees and animal species such as the Agouti iguana, poisonous dart frog and several species of birds.
- *Mangroves and sea grasses*. On the far southern part of the island there are mangroves that form quays where lakes arise. Here many commercial and ecologically important species grow, feed and shelter. Near the mangroves there are sea grass beds, equally important for the development of marine life.
- *Sea turtle nesting areas*. At least three species of sea turtles- the hawksbill, leatherback and green turtle- nest along the beaches of Isla Bastimentos and the Zapatillas Cayes, and loggerhead turtles also sporadically appear in the region. All of these species are in danger of extinction, meaning that their nesting area must be protected.
- *Coral reefs*, located mainly around the Zapatillas Keys, Playa Larga and Isla Bastimentos. Predominant corals are the rocky type, although more fragile varieties such as lettuce leaf and fire coral can be found at the crests.

Various indigenous communities live in the buffer area of the park and depend on local resources for their livelihood. The major risks to IBNMP are the destruction of the ecosystems protected there and the extinction of its marine and terrestrial resources, which would diminish the richness of the region and food possibilities for surrounding communities. Tourism in the park has concentrated mostly in the Zapatillas Keys, placing greater pressure on the sector.

**The Kisite Marine National Park (KMNP)** The Kisite Marine National Park was first created in 1973, and its boundaries were later revised and shifted outwards in 1976. In 1978 Mpunguti was made a national marine reserve following local disputes over the loss of fishing grounds caused by the establishment of the national park.

The primary local users of the MPA and its surrounds are the residents of the Shimoni (on the mainland) and Wasini (encompassing Wasini Island) sub-locations. In both sub-locations, basic social infrastructure such as health, education and water facilities are poorly developed. However, transportation and communications are good, at least during the dry weather.

Few income and employment generating opportunities are available in the Shimoni-Wasini area. Very limited subsistence agriculture is carried out in small garden plots and a minority of households maintains smallstock and poultry.



Fishing forms the basis of local livelihoods, (mainly carried out at a small scale using traditional fishing gear and methods), and the KMNP/MMNR complex is one of the most productive fishing grounds in the Kwale District.

The complex is also an important tourist destination and is dominated by a relatively small number of operators, who are Shimoni-based. The complex ranks high in profitability among Kenya's national parks, but local benefits from tourist-related income and employment are minimal and there is often conflict between the privately owned tourist industries and local communities (L. Emerton & Y. Tessema, 2001.)

## 6 Project Description

Given the context described above, IUCN recognized the urgent need for activities aimed at ensuring the sustainable conservation of marine biodiversity in ecological and economic terms. As a contribution, the IUCN Marine and Coastal Programme, with support from the German Federal Ministry for Economic Co-operation and Development (BMZ), agreed to develop the project "Sustainable Conservation of Marine Biodiversity: Linking Tourism to Marine and Coastal Protected Areas."

The project GOAL was defined as the following:

*"Contribute towards ecologically and economically sustainable marine and coastal biodiversity conservation through the integration of coastal community livelihoods, development of coastal tourism and marine protected areas."*

The PROJECT OBJECTIVES were to:

- *Assess the role of selected local communities in coastal tourism and MPAs*
- *Assess the linkage, including impacts, between coastal ecosystems important for integrated development of tourism and MPAs*
- *Design and implement appropriate strategies and guidelines for the conservation of biological diversity by demonstrating activities that link marine/coastal tourism and MPA development with the participation of local communities*
- *Facilitate sharing of experiences obtained during project implementation between the two regions involved –Eastern Africa and Central America- and derive lessons learned with global applications.*

The BENEFITS this project was expected to generate were:

- Marine and coastal protected areas, at the national level, whose management will be sustained by revenue and services supported by site-specific tourism and community participation
- Increased MPA management capacity in the countries where demonstration activities take place
- Enhanced national inter-sectoral linkage and ecosystem-wide development and conservation
- Strengthening of regional and international cooperation and networks for conservation of marine biodiversity
- Greater South–South collaboration in the sharing of experiences through exchange of information and expertise

Certain OUTPUTS were also defined in the project document (p. 10), but the way some of these were written was confusing and the scope of some products was overestimated. The

products were redrafted, although the meaning originally intended was not changed, as the following:

- Assessing and monitoring of tourism impacts on MPAs
- Tourism and MPAs integrated
- Management plans for demonstration sites developed or improved
- Policy guidelines promulgated
- Personnel trained in managing MPAs and coastal tourism using an integrated approach
- Community participation increased
- Involvement of local communities in tourism and MPA activities
- Research capacity and scientific information increased
- Awareness increased through the dissemination of educational material
- Regional and inter-regional workshops held
- Package of practical and replicable global experiences drawn from the demonstration sites

No complete logical framework analysis was carried out for the project as a whole, and the elements listed above were used as a base for its implementation. The implications of this situation are presented in section 10.1.1.

Originally only two demonstration areas were to be selected, but three sites were chosen as a result of the inception missions and workshops in each region, two for the Central American region and one for Eastern Africa. The reason two sites were selected in Central America was to have one with very little tourism development and one that was highly developed in the same region in order to obtain more elements for feedback within and between regions. Criteria used for selecting demonstration areas in each region are presented in Annex 2.

Selection of the demonstration areas took place after the inception missions in Central America and Eastern Africa in 1997. These missions were followed by regional workshops held in 1998 to obtain an overall vision of the situation of tourism and environment in the coastal zones of these regions. As a result of the workshops selection criteria were defined and the following demonstration areas were chosen:

- In Central America:
  - Hol Chan Marine Reserve, in Belize, where tourism is highly developed
  - Isla Bastimentos National Marine Park, in Panama, where tourism development is now emerging
- In Eastern Africa:
  - Kisite Marine National Park (KMNP) and the adjacent Mpunguti National Marine Reserve (MMNR) on the Kenyan coast. At the time it was selected, the KMNP/MMNR had a number of characteristics that not only made it a suitable project site but were also fundamental during the development of project objectives and results (for details on these characteristics see Annex 3.)

Each demonstration area employed logical framework analysis as a planning tool and as a foundation for designing work plans with those involved. The quality of the logical frameworks varied and they did not always serve as a guide for implementing activities. Details concerning each case are provided in section 10.1.1.

The project had four phases:

- *Pre-planning Phase*: inception mission and revision of the project document
- *Planning Phase*: regional workshops, demonstration site identification mission and specific site LFA workshops
- *Implementing Phase*: Exchange of MOUs, establishment of management teams, Implementation of specific site activities and research and monitoring
- *Monitoring, Assessment and Evaluation Phase*: Internal monitoring and reporting of specific site activities, inter-regional workshop and external overall project evaluation

During project execution various adjustments to planning guidelines were presented to the donor in progress reports. More details are provided in section 10.1.1.

## **7 Purpose, Scope and Limitations of the Evaluation**

The primary purpose of the review is to utilize the findings as part of the learning environment for IUCN and its partners. In this context, the analysis of activities, approaches, and structures initiated or supported by the project is intended to serve as a useful feedback mechanism to strengthen future project implementation and ways of working.

The specific aims of the evaluation are to:

1. Assess the effectiveness, efficiency and timeliness of project implementation
2. Evaluate the impact of project activities and related outputs, including their contribution to the overall goal of the project
3. Determine the relevance of the project in relation to the needs of the stakeholders and environment
4. Assess the long-term sustainability of the actions initiated
5. Identify lessons learned about the project's strategic approach (processes and mechanisms chosen to achieve project objectives)

### *Scope of the evaluation:*

The review mission took place from February 18 to March 8, during which time relevant documentation was reviewed and project partners and key stakeholders were interviewed. Specific issues and key questions were formulated using the review matrix (section 8) as a guide, and using project planning tools as a referent.

The evaluation was carried out along regional lines. The Central American component, managed by the IUCN Regional Office for Mesoamerica (ORMA), was evaluated by Natalia Ortiz, a consultant specializing in M&E, and the Kenya component, managed by IUCN Eastern Africa Regional Office (EARO) was performed by Mine Pabari, Planning and M&E Official at IUCN-EARO. Natalia Ortiz was in charge of consolidating the two components.

### *Limitations of the evaluation:*

- Project planning did not define the scope of the objectives by means of indicators or some other tool that could serve as the basis for evaluating their achievement. This is why only demonstration area outputs and outcomes were assessed, along with their contribution to the theme of each project objective.
- The depth of the evaluation as a whole is limited because of: a) weak planning (see section 10.1.1); b) regional components were carried out separately, with little communication in general and little articulation with the project document; c) each

component was evaluated by a different evaluator, and even though methodological elements were determined together this was not possible in drafting the final report.

- The time allotted for field visits to the demonstration areas was short (2-3 days), due to the lack of financial resources. This limited possibilities for interviewing more stakeholders and it was necessary to sacrifice more detailed analysis of alternative opinions.
- The absence of a systematic monitoring system for the project made it difficult to gather “data” more objectively supporting the findings of the evaluation.
- Due to the limited financial resources, time allocated for field visits and interviews with stakeholders was short (2-3 days) so interviews with beneficiaries were limited and not representative. For this reason the analysis may reflect the biases of those interviewed.
- Due to changes in the organization and of the people in charge of project coordination in IUCN, no written information could be found on the phase carried out in 1997.
- Due to the project and evaluation characteristics described earlier, it was not possible to combine different sources and methodologies for information gathering to complement the review of documentation and interviews.

## 8 Evaluation Elements and Questions

The evaluation elements and questions were defined in participatory form by the project coordinators at EARO and ORMA and the evaluating team. The chart below synthesizes elements and questions orienting the evaluation:

ISSUE	QUESTION	DATA SOURCES
<b>EFFECTIVENESS</b>	<ul style="list-style-type: none"> <li>◆ Were the outputs generated as expected (in quality and time)?</li> <li>◆ To what extent were the outputs (planned &amp; unplanned) used to bring about the desired outcomes and objectives? Why or why not?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ project document</li> <li>Ⓢ project reports</li> <li>Ⓢ partners &amp; beneficiaries reports</li> </ul>
		<ul style="list-style-type: none"> <li>Ⓢ project staff</li> <li>Ⓢ partners</li> <li>Ⓢ key stakeholder groups</li> </ul>
<b>EFFICIENCY</b>	<ul style="list-style-type: none"> <li>◆ Were the resources efficiently managed and utilized? <ul style="list-style-type: none"> <li>◆ Finances – procedures (reporting and budgeting)</li> <li>◆ Assets - use</li> </ul> </li> <li>◆ Were there any unforeseen problems? How well were they dealt with?</li> <li>◆ Do the quality and quantity of results achieved justify the resources used to achieve the objectives?</li> <li>◆ Are there more cost-effective methods to achieve project objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ project document</li> <li>Ⓢ project reports</li> </ul>
		<ul style="list-style-type: none"> <li>Ⓢ project staff</li> <li>Ⓢ partners</li> </ul>
<b>RELEVANCE</b>	<ul style="list-style-type: none"> <li>◆ Establish whether or not the project design and approach were relevant in addressing the identified needs, issues and challenges faced by the people and environment.</li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ Situation Analysis Study (initial and updates)</li> <li>Ⓢ Project Document</li> <li>Ⓢ IUCN Intersessional Programme</li> </ul>

	<ul style="list-style-type: none"> <li>◆ To what extent does the project contribute to overall IUCN Key Results and strategies?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ Project Staff</li> <li>Ⓢ IUCN Staff</li> <li>Ⓢ Partner Organisations</li> <li>Ⓢ Key Stakeholder Groups</li> </ul>
<b>IMPACT</b>	<ul style="list-style-type: none"> <li>◆ What are the changes in conditions (+ or -) resulting from the project?</li> <li>A) On people: <ul style="list-style-type: none"> <li>◆ Income</li> <li>◆ Equity</li> <li>◆ Participation in decision making processes</li> </ul> </li> <li>B) On Environment: <ul style="list-style-type: none"> <li>◆ Species and Ecosystem Health?</li> </ul> </li> <li>◆ Were there any unintended positive or negative impacts arising from particular outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ Project Reports</li> <li>Ⓢ Partners &amp; Beneficiaries Reports</li> </ul>
		<ul style="list-style-type: none"> <li>Ⓢ Project Staff</li> <li>Ⓢ IUCN Staff</li> <li>Ⓢ Partner Organisations</li> <li>Ⓢ Beneficiaries</li> </ul>
<b>SUSTAINABILITY</b>	<ul style="list-style-type: none"> <li>◆ Is the enabling environment within which the project operates supportive to its continuity?</li> <li>◆ Was the approach used likely to ensure a continued benefit and/or use of the outputs and outcomes after the end of the project? Why/ Why not? <ul style="list-style-type: none"> <li>◆ Established structures, mechanisms, financial resources, materials,</li> <li>◆ Levels of stakeholder participation;</li> <li>◆ Levels of partners &amp; stakeholder engagement;</li> <li>◆ Financial viability</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ Project Document</li> <li>Ⓢ Project Reports</li> <li>Ⓢ Partners and Beneficiaries Reports</li> <li>Ⓢ</li> </ul>
		<ul style="list-style-type: none"> <li>Ⓢ Project Staff</li> <li>Ⓢ IUCN Staff</li> <li>Ⓢ Partners</li> <li>Ⓢ Key Stakeholder Groups</li> </ul>
<b>LESSONS LEARNED</b>	<ul style="list-style-type: none"> <li>◆ Lessons learned regarding the project's structure: <ul style="list-style-type: none"> <li>◆ Management structures (human resources, financial management etc)?</li> <li>◆ Decision-making structures?</li> <li>◆ Processes used for monitoring, reporting and assessment?</li> </ul> </li> <li>◆ Lessons learned regarding the project's strategic approach: <ul style="list-style-type: none"> <li>◆ Stakeholder involvement?</li> <li>◆ Partnerships formed?</li> <li>◆ Operational strategies used in implementation?</li> </ul> </li> <li>◆ Lessons learned regarding the initial assumptions and hypothesis made during project design: <ul style="list-style-type: none"> <li>◆ Added value of tourism for livelihoods and PAs (ecosystem health)</li> <li>◆ Comanagement</li> </ul> </li> <li>◆ If another project were to be designed, what would be done differently? Likewise, what would be done differently regarding conservation of MPAs and the livelihoods of the surrounding communities?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓢ Project Reports</li> </ul>
		<ul style="list-style-type: none"> <li>Ⓢ project staff</li> <li>Ⓢ partners</li> <li>Ⓢ key stakeholder groups</li> <li>Ⓢ IUCN staff</li> </ul>

## 9 Concepts and Methodology

### Concepts

*Evaluation:* Process of constructing judgements about a given situation or process. The evaluation is not objective, but rather represents the vision of the evaluators and the people interviewed during the evaluation process. This means that even when faced with the same objective and documented facts, different people may evaluate the situation in different ways.

*Project Evaluation:* Assesses a project's contribution to solving the targeted conservation development problem

*Internal project evaluation:* Evaluative process promoted by the organization implementing the project (IUCN) to promote learning and obtain elements for replicating the experiences obtained.

*Outputs:* Goods, services and milestones generated by the project. In the demonstration areas, the outputs were called "results." These are referred to as outputs throughout the document.

*Outcomes:* Changes in the behavior of institutions, groups or individuals generated by the project. Outcomes almost always represent stakeholders' use of project-generated goods, services or milestones

*Impact:* Changes in people's well being and in ecosystem conditions at a particular site. The changes that can be attributed to project actions represent what we call *the direct project impact*.

### Methodology

As the foundation for initiating work, elements and questions were defined to guide the evaluation (see section 8.) The evaluating team was supported in this by Alejandro Imbach, Advisor to the IUCN Global Initiative, and the final version was checked with the team in charge of the project: Rocío Cordoba, Coordinator of the Wetlands and Coastal Zones area, and Francisco Pizarro, project coordinator at ORMA; and Sue Wells, project coordinator at EARO (see section 8.)

The second step was to relate the objectives and outputs planned in the project document, and then relate these to the outputs defined for each of the demonstration areas. This exercise was performed with the project teams at ORMA and EARO and was useful in determining the outputs' contribution to project objectives (see section 10.2.1.)

Project achievements were analyzed in terms of the outputs, their use by or influence on stakeholders (outcomes) and their sustainability. This analysis was made in matrix form for the demonstration areas in Central America and in narrative form for the demonstration area in Kenya (annexes 4 and 5, respectively.)

The following mechanisms were used to gather information:

- A desk review of the project document, work plans, progress reports and other relevant documentation to review and assess achievements thus far, and the performance of work plans in particular (see Annex 9, list of documents reviewed)

- Short, 2-3 day visits to the demonstration sites to gather data through observation and semi-structured interviews with key people connected with the project. Three persons at ORMA were interviewed regarding the Central American demonstration areas. Persons interviewed in Belize included one person at the Fisheries Department, two members of the implementing organization and two members of beneficiary groups. At the Panama area, three members of executing organizations and one community leader were interviewed. In Kenya four persons at EARO, 5 from partner organizations and six representatives of local beneficiary organizations were interviewed (see Annex 6, list of persons interviewed.)
- Interviews with persons in charge of coordinating the project in Central America and Kenya (see Annex 6, list of persons interviewed)

Interviews were based on a list of open-ended questions for the group selected (Annex 7.)

The information compiled was useful for analyzing achievements, impacts and lessons learned and as inputs to formulate comments and observations.

## **10 Evaluation Results**

This section contains a consolidation of the main findings from the evaluation of the two project components. This consolidation was made by using the report on the Central American component and incorporating elements of the Eastern Africa-Kenya report. The complete report on evaluation findings for the Eastern Africa component is provided in Annex 8.

Evaluation findings were organized in four general categories with information on different evaluation elements and questions: 1) project design and operational structure; 2) project achievements; 3) long-term considerations and 4) lessons learned.

In each of these, findings pertinent to the overall project are presented first, followed by information on each demonstration area. Wherever feasible a joint vision of the demonstration areas in Central America is presented.

### **10.1 Project design and operational structure**

#### **10.1.1 Project planning**

Following is a synthesis of the planning tools used for the project, the design process, characteristics, changes, utility and limitations.

##### **10.1.1.1. Project as a whole**

Although the project document involved some planning elements (goal, objectives and outputs), the project as a whole did not have a complete planning tool on which to base implementation, monitoring and evaluation. At no time were any adjustments made to articulate existing planning elements (goal, objectives, outputs and activities), no explicit indicators were constructed to define the scope of objectives, and underlying assumptions were not defined regarding external factors that might represent a risk to achieving objectives and/or phases of the objective.



This deficiency led to:

- Little clear articulation between project objectives and outputs
- Little explicitness, and at times little clarity, in the articulation between elements of project planning and planning for the demonstration areas
- The lack of tools for systematic monitoring and better-quality evaluations

As will be described farther on (section 10.2.1), the weak connection between the different components and levels of planning led to a greater concentration of activities and investment in certain project objectives and partial neglect of others.

Another consequence was that those involved in general coordination and management of the project and demonstration areas had different interpretations of the scope of project objectives. This was exacerbated by changes in the organization and of the personnel in charge of project management. (More information on this factor is provided in section 10.1.3.1.)

#### **10.1.1.2. Planning process in the Central American demonstration areas**

In November and December of 1998 planning workshops were held in the respective demonstration areas of HCMR and IBNMP to identify the main problems in linking tourism to marine protected areas and community development. Logical framework analysis was used as the planning methodology in both workshops and different sectors were invited to participate, including nongovernmental organizations, government agencies, local communities, the tourism sector and other interested parties.

The workshops fulfilled their objective of identifying problems with respect to the project objectives and logical frameworks were designed for each. In the case of HCMR, objectives, outputs, activities, performance indicators, verifiers and assumptions were defined. In Bocas del Toro, objectives, expected outcomes, activities and assumptions were determined.

However, in both cases the logical frameworks were too ambitious in relation to the scope of the project, resources and time available. The advisory committees created for each demonstration area (see section 10.1.3) thus prioritized the most important products and results in accordance with the regional situation and designed work plans for 1999. These plans were approved by IUCN-ORMA and were established as the plans guiding activity implementation in the demonstration areas. Both work plans included results, activities performance indicators, verifiers, a timetable and the assignment of organizations responsible for each result. For purposes of evaluation and to harmonize project planning language, throughout the document “results” are called “outputs” since they correspond to goods, services or milestones expected to be generated.

The work plans were very useful for ORMA’s project management, budget allocations, clear assignment of responsibilities among the implementing organizations and verification of outputs—in other words, to define who would use the outputs generated and for what purpose, and/or what behaviors would be expected to be influenced because of them. This meant that the integration of products toward more synergetic and sustainable processes over time would depend on the solidity of the advisory committees in each area and on the leadership of the executing organizations (see sections 10.1.3, 10.2.1 and 10.3.2.) The work plans did not take planning elements in the project document into consideration, however, although thematic coherency was maintained with its general proposals.

### 10.1.1.3 Planning process in the Kenya demonstration area

A logical framework analysis was carried out at the regional workshop, providing a framework for assessing project progress. Using an issue-based approach (see following section), two key objectives aimed at addressing specific issues at the site were identified. These were:

- i) Understanding of KMNP goals, functions, benefits and management partnership opportunities achieved through improved communication between KWS and stakeholders; and
- ii) Approaches and mechanisms for partnership developed through participation of all stakeholders, field-tested and refined

Due to delays in implementation and the need to further simplify the project plans and relate them to the overall project objectives; a revised logic frame was developed for the year 2000 during a joint planning session between KWS and IUCN and the objectives were revised as follows:

- i) Partnership activities developed that benefit all stakeholders; and
- ii) Lessons learned from experiences at Kisite identified and disseminated

#### *Key Issues:*

At the onset, it is important to point out that the project plan for the Eastern Africa component was never directly related to that of the overall project. It is therefore extremely difficult to relate the component project Logic frames with those of the overall project.

The design of the project was influenced greatly by external factors described in Annex 3. Although those responsible for designing the project seem to have had a fairly in-depth understanding of those factors, the fact that there was little investment (in terms of time for consultations and background research) in the planning processes was said to have contributed to many of the challenges faced later during implementation. As one respondent put it:

*"The project was well designed intuitively, not practically."*

As was pointed out by one of the respondents, initial design was based heavily on the assumption that there would be continued support from KWS for the strategies and management approaches proposed by the project. In 1999, with a change in directorship there was also a major change in KWS policies (from decentralization of management to a more central approach) which meant that the key ideas developed could no longer be implemented. This demanded a major shift in the direction of the project, including a change in the focus of activities and a transfer of some of the funds for use at another site, the Diani National Marine Reserve.

Additionally, with the exception of the initial draft project LFA developed during the regional workshop, both versions of the project implementation plans were developed through working sessions involving only KWS and IUCN-EARO. Consultation with the wider stakeholder group was carried out mainly through a series of meetings and other forms of interactions with the park warden and assessments later on during project implementation.

## 10.1.2 Project approaches

### ***Overall project:***

To address the proposed challenges, the project adopted and promoted an 'Integrated Management Approach', which seeks to "improve the quality of life of human communities who depend on coastal resources while maintaining the biological diversity and productivity of coastal ecosystems" (GESAMP 1996, in: IUCN-Marine and Coastal Programme, Project Proposal, undated: 5). This approach was the conceptual basis for all activities carried out in the project.

### ***In Central America:***

According to the project coordinator in Central America and some of those interviewed, the main approaches adopted by the project were:

- i. Establishment of **cooperation agreements with national environmental authorities** responsible for administering coastal protected areas to obtain their backing and involve them in developing outputs in the demonstration areas
- ii. **Multisectoral participation** in regional appraisal, selection and planning for demonstration areas
- iii. **Participation of local communities** in regional appraisal, selection and planning for demonstration areas
- iv. **Use of local capacity and human resources** to develop products and activities in the demonstration areas
- v. **Support for or complementing of local processes** as priority elements in developing demonstration experiences

The approaches adopted by the project in Central America were appropriate for activities and outputs. However, although environmental and tourism authorities in Belize and Panama gave their endorsement it was not possible to involve these institutions in developing demonstration experiences. The outputs and responsibilities assumed by the Panamanian Tourism Institute and Belize Fisheries Department according to work plans were not met, and as a consequence were carried out by consultants assigned by ORMA in association with the advisory committees.

The use of local human resources was very valuable for building the capacity of implementing organizations in project themes. In addition, outputs aimed at supporting and/or complementing ongoing local processes were achieved with better quality and punctuality than the others.

### ***In Kenya:***

The regional workshop identified clearly two approaches to partnership that had showed some success in the region: *total delegation of management responsibilities to a second party*, and *collaborative management with communities taking the lead role*. The workshop recommended three approaches as appropriate models for the project that were seen to be key to developing effective stakeholder participation and partnerships for the management of the KMNP/MMNR complex:

- i. **Interactive participation** in which people participate in joint analysis, development of action plans, and formation of local institutions. Participation is seen as a right, not merely as a means to achieve project goals. The process involves participatory methods that yield the perspectives of different community groups, structured learning processes and problem solving approaches. It was recommended that interactive participation would provide a useful entry point for management partnerships in the KMNP/MMNR complex.
- ii. **Issue-based management approach** to establishing partnerships. In this approach, relevant partners are identified and invited to participate in the resolution of specific management issues, where these have been identified.
- iii. **Regular communication leading to understanding** (rather than for informing or consultation)

### 10.1.3 Operational arrangements

#### 10.1.3.1 General management, monitoring and assessment

This section describes how the project and demonstration areas were managed, what structures were defined and/or created for decision-making, how funds were administered, implementation strategies, capacities available to the project at the level of the executing organizations and forms of monitoring and evaluation.

##### 10.1.3.1.1. Overall project management, monitoring and assessment

The project started as an initiative of IUCN's former Global Marine Programme, which was dismantled in 1998. It was originally decided that the IUCN Mesoamerican office would assume implementation of the project. However, subsequent changes resulted in co-implementation by the IUCN-EARO and ORMA regional offices, with technical support from IUCN specialist commissions (IUCN, undated: Draft Document: 7). It was pointed out during the review that this process was not carried out effectively. No agreement was ever signed between EARO and ORMA, and it was unclear who was responsible for what.

Financial responsibility for the project, coordination of joint activities between the regional components and consolidation of yearly technical and financial reports was the responsibility of the Wetlands, Water and Coastal Zones Area of IUCN Mesoamerica.

Relations with global programs at the IUCN site in Switzerland (IUCN-HQ) was limited to annual technical and financial reports remitted to the donor through Sebastián Winkler. Neither the donor nor IUCN-HQ ever provided any positive or negative observations regarding project reports or execution.

During the planning process and implementation of the demonstration experiences there was almost no communication or exchange between the regions other than the technical and financial reports EARO sent to ORMA, and as related to ORMA's annual task of compiling these documents. The first real exchange between the regions took place at the inter-regional workshop in the last phase of the project, and project decisions were made independently in each region.

There was no entity or system to monitor the overall project, only unsystematic processes at the level of the demonstration areas that essentially constituted a review of progress toward outputs so that executing organizations could receive disbursements. Likewise, assessment

mechanisms were based on the compilation and exchange of experiences through regional and inter-regional workshops and this internal evaluation.

### 10.1.3.1.2 Management, monitoring and assessment in Central American demonstration sites

**Project management at ORMA** was assigned to the Wetlands, Water and Coastal Zones Area for Mesoamerica, and at the beginning of the project (1997) coordination was under Nestor J. Windevolhel Lora, Area Coordinator. After restructuring in ORMA, coordination of this thematic area passed to Rocío Córdoba, who made Francisco Pizarro the project coordinator (1998). These last two people did not participate in project design or in the phase before its inception.

**The decision-making bodies in the demonstration areas** were the advisory committees, comprised of different sectors and members representing the community. These were defined in the regional workshops in participatory form, and their functions were to 1) define work plans based on the logical frameworks and assign responsibilities to the implementing organizations; 2) serve as the coordinating entity for the organizations implementing outputs and 3) ensure good performance with respect to products.

The HCMR advisory committee consisted of representatives from the reserve, the tourism and hotel sector, local government and local NGOs. Initial planning and assignment of responsibilities was adequate, but thereafter the committee ceased to operate. Its other functions were assumed by HCMR staff, the project's main beneficiary in the zone.

In IBNMP, the advisory committee was selected from the members of the Consultative Council for Bocas del Toro (29 persons), an entity formed by the PROARCAS/Costas project for participatory design of the local management plan. The nine-person committee consisted of representatives from the Tourism Association, three local NGOs, the indigenous communities and the executing organizations. The committee performed its functions excellently and served as a body for dissemination, discussion and feedback on project activities through the Consultative Council, thus enhancing local participation and learning.

The **implementation strategy for the work plans** was determined through the establishment of partnerships with local organizations and through consultants, as indicated in the table 1 below.

**Table 1. Output Responsibilities**

<b>Executing Agent</b>	<b>Output Responsibility</b>
PROMAR	<ul style="list-style-type: none"> <li>• Environmental education program established (Panama)</li> <li>• Training and technical assistance on tourism and protected areas for a group from a pilot community</li> </ul>
AMIPETAB	<ul style="list-style-type: none"> <li>• Support for ANAM in the creation of new trails</li> </ul>
CARIBARO	<ul style="list-style-type: none"> <li>• Inter-institutional coordination in tourism and environment</li> </ul>
Panamanian Tourism Institute	<ul style="list-style-type: none"> <li>• Proposal. "Participatory plan for tourism development in Bocas del Toro"</li> </ul>
Consultant	<ul style="list-style-type: none"> <li>• Economic assessment of tourism sustainability in Bocas del Toro</li> </ul>

Executing Agent	Output Responsibility
Green Reef	<ul style="list-style-type: none"> <li>• Environmental education program (Belize)</li> </ul>
Fisheries Department in association with the HCMR team	<ul style="list-style-type: none"> <li>• Updated management plan for HCMR</li> </ul>
Project committee and HCMR team	<ul style="list-style-type: none"> <li>• Approval of the existing proposal for an extension of HCMR supported by the project</li> </ul>
Green Reef	<ul style="list-style-type: none"> <li>• Sources of contamination of HCMR qualitatively identified</li> </ul>
Consultant	<ul style="list-style-type: none"> <li>• Economic assessment of tourism sustainability in HCMR</li> </ul>
Consultant	<ul style="list-style-type: none"> <li>• Staff of HCMR trained</li> </ul>

The purpose of involving local NGOs and GOs in developing products was to make use of local capacity, strengthen organizations through their implementation of the project and increase commitment and ownership of the proposed initiatives for continuity in the future.

It can be said that the strategy was partially effective, although in many cases implementation was too slow due to local dynamics and because some of the outputs required more time than planned. The **capacities of the executing NGOs** were adequate and were strengthened through the project. The assigned outputs were completed except in the case of CARIBARO in Bocas del Toro, which did not carry out its work as expected (see section 10.2.1 and Annex 4.) As a consequence, the partnership agreement was cancelled with the endorsement of the advisory committee.

**GO capacity** for meeting commitments were not adequate since they did not have the human resources and time required. In the case of the Fisheries Department, it was decided to hire a consultant, and in Panama, IPAT's work was assumed by the advisory committee and carried out by local NGOs with the participation of local communities.

The **capacity of the consultants hired** was adequate and tasks were carried out satisfactorily. However, this procedure did not contribute to local capacity building and in some cases was not effective in terms of ownership by local people (see 10.2.1 and Annex 4).

No **monitoring system** was established for the project. Supervision was performed through visits to the field (approximately four per year), participation in some of the activities, review of technical and financial reports as the basis for disbursements, visits and participation in different meetings and events in the demonstration areas.

#### 10.1.3.1.3 Management, monitoring and assessment in Kenyan demonstration sites

The Marine & Coastal Coordinator was in charge of **project management** in IUCN-EARO. He was absent for health reasons in the first part of 1999, and subsequently left IUCN. The new coordinator did not take up the post until the fourth quarter, and in the interim the project was coordinated by the Coordinator of the Environmental Economics Programme. The change in personnel resulted in delays in project coordination, initially specific roles and responsibilities were not clearly defined and it was unclear who was to assume responsibility for the project.

Additionally, 3 different program officers were assigned to the project during the entire period. From interviews, it appears that the transition from one program officer to the next was not effectively carried out, and that this eventually contributed to confusion over the project budget, discussed in greater detail in section 10.1.3.1.2.

Following the regional workshop, several meetings were held with the KWS coastal region office to discuss **project implementation strategies**. A technical Project Steering Committee was formed, consisting of the Regional Assistant Director for the Coast Region (Kenya), the Regional Partnership Coordinator of the USAID/KWS Monitoring and Evaluation Technical Adviser, and a representative from IUCN-EARO. It was initially intended that the Steering Committee would act as the **decision-making body**, monitor and assess project performance and provide technical guidance.

For reasons that could not be established<sup>1</sup>, the Steering Committee never met and responsibility for project was undertaken by a "core group" consisting of representatives from KWS and IUCN (interviews). These were the Regional Biodiversity Coordinator from KWS<sup>2</sup>; the Warden of the KMNP/MMRP complex, KWS; the Marine & Coastal Coordinator, IUCN; the Focal Programme Officer, IUCN; and later on, the Coast Projects Officer, IUCN.

An implementation agreement was signed between IUCN-EARO and KWS in August 1998 charging KWS with responsibility for "a series of issue-based management activities listed in the logical framework and its related work plan." IUCN-EARO was responsible for technical back up to KWS and reviewing technical and financial progress and final reports.

The "core group" communicated using e-mail and the telephone and met on a regular basis<sup>3</sup> to review project progress and make decisions about management and implementation of the work plan. Due to various problems at the onset, meetings were initially held fairly frequently and included meetings with directors at KWS Headquarters to resolve matters that arose.

Quarterly and annual technical progress reports were submitted by KWS and reviewed and approved by the EARO Marine & Coastal Coordinator. Satisfactory and timely completion of tasks and approval of reports by IUCN-EARO were a prerequisite for the disbursement of funds.

A draft **monitoring and evaluation framework** was also developed to supervise compliance and impact. The framework was developed "based on the LFA and annual work plan to streamline monitoring and assessment of activities and save time on administrative routines and disbursement of funds" (Annual Progress Report, 1998). Respondents confirmed that the framework was utilized during progress review meetings (generally held on a semi-annual basis) up until the year 2000, when the LFA was revised. The monitoring and evaluation schedule was subsequently simplified, also due to the "realization that the park staff involved did not have sufficient expertise for implementing a complex process" (EARO-Final Report, 2001).

*Key issues with respect to **project partners' capacities**:*

Initially KWS did not have sufficient human resource capacity to carry out project activities. Focal staff at KWS were extremely busy with other responsibilities and did not have enough time for the implementation of activities (according to one of the respondents, this was

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<sup>1</sup> None of the respondents interviewed knew who was supposed to be on the Steering Committee, and in some cases did not even recall that there was to be a Steering Committee

<sup>2</sup> Responsibility for the project in KWS was delegated to its Regional Biodiversity Coordinator by the KWS Regional Assistant Director for the Coast Region (Kenya.)

<sup>3</sup> Meetings were generally held semi-annually in order to prepare the progress report for the donor, but also on an ad-hoc basis when the need arose.

perceived as a lack of commitment.) Implementation was further delayed by the KMNP Warden's three-month leave of absence in the fourth quarter of 1999.

*Key issues with respect to management:*

It was reported that initially progress was extremely slow, and during 1998 and the first half of 1999 expenditure was minimal (see explanations above.) There were problems with the quality and punctuality of reports from KWS, resulting in a continuous need for close monitoring and follow-up by IUCN.

A series of meetings were held between the partners to discuss the various problems in the two institutions and consequent delays in implementation. To partially address the need for better implementation capacity, it was agreed that a full-time person would be recruited to follow up on day-to-day activities. In early 2000, a "Coast Projects Officer" was hired to work with KWS and ICAM to facilitate the activities of the BMZ project, as well as the Diani-Chale project<sup>4</sup>. Given the previously low levels of expenditure, it was further agreed that part of the funds to pay the salary of the Projects Officer would be covered by the amount due to KWS for implementation of project activities. According to all the respondents interviewed, this decision facilitated implementation considerably and ensured timely communication on the progress of field activities to the IUCN regional office.

#### **10.1.3.1.2. Financial management**

***Overall project:***

IUCN-ORMA was in charge of the project's financial management. Twice a year it received financial reports from IUCN-EARO and an annual report was sent to the donor.

In 1999 the budget was restructured and subsequently approved by the donor.

The project was scheduled to terminate in December 2000, but due to the slow execution in the demonstration areas (explained earlier), a first extension was requested until July 2001 and a second until March 2002, both approved by the donor. While the extensions provided the time executing organizations needed to finalize outputs, for IUCN the extra year and a half meant greater administration, personnel and communications costs than originally planned. Although IUCN-ORMA has not calculated these amounts exactly, they clearly represent overexpenditures.

***Financial management in Central America***

For financial management in Central America's demonstration areas, the budget was allocated and disbursed according to outputs included in the work plans. Each output was the responsibility of a specific implementing organization or consultant. Disbursements were made against a review of technical reports on progress toward each output and on the basis of financial reports.

In Belize, the HCMR administration was in charge of managing and distributing funds to the organizations responsible according to the work plan and presenting financial reports to ORMA.

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<sup>4</sup> Another IUCN-EARO project being implemented in collaboration with KWS and CDA



In Panama the advisory committee suggested that the funds be managed by an external organization rather than the State, so they were administered by an IUCN partner in Panama that transferred funds to the executing organizations and made disbursements against the financial reports they presented as outputs were developed. Review of technical reports on progress toward outputs was always the responsibility of IUCN-ORMA.

### ***Financial management in Kenya***

In addition to technical reports, quarterly financial reports were submitted to IUCN-EARO on a quarterly basis. The reports were then reviewed by the EARO Programme Officer and the Finance Department.

Financial reports were utilized to list the project expenditures according to budgetary components on a quarterly basis, reconcile outstanding advances and foreign exchange loss/gain during the quarter and request for a quarterly advance of funds.

In addition to the lack of implementation capacity within KWS, it was pointed out that there was no "mobilization" period to establish key management and reporting systems. KWS staff were never informed or trained in the specific financial reporting systems required by IUCN and utilized their own institutional formats. Respondents at both KWS and IUCN felt that the lack of investment in project management systems at the onset resulted in an excessive investment of time and resources in project management later on.

Additionally, the change in focal Programme Officers in EARO was not carried out effectively, leading to a misunderstanding regarding the project budget. It was understood by one of the Programme Officers that the project had been allocated an additional Sfr. 30,000. This was reported to Finance, which created new budget lines and distributed the additional SFr. 30,000, which was spent in accordance with the revised budget. However, there is no official (internal or external) communication regarding the additional funds and no institutional memory to trace the origins of the idea. As a result, the Kenyan component was overdrawn by a total of SFr. 30,541.V, which was covered by the IUCN-ORMA component.

## **10.2 Project achievements**

### **10.2.1 Effectiveness and efficiency**

As indicated in section 10.1.1, the way project objectives were stated was confusing and they were too broad, as was their connection to outputs at the level of both the project and the demonstration areas. The scope of the objectives was not defined explicitly during the project. No indicators were established, and the many changes in project coordination and lack of communication between the regions caused the various successors to interpret objectives in their own way. Judging progress toward objectives is practically impossible without such referents or at least a common understanding of their scope.

Evaluation of efficiency and effectiveness was thus based on an analysis of how progress toward the achievement of the different outputs planned for each demonstration area contributed to the thematic line and planning of each objective. For this purpose, a table is provided below relating project objectives with project outputs and then to demonstration area outputs (Table 2.) It should be noted that this exercise of analyzing the explicit relationship between different levels of planning was carried out with the project coordinators in each region.

Additionally, the second table synthesizes the contributions of demonstration area outputs to project outputs and objectives (Table 3). Details on the achievement of outputs and outcomes obtained in the demonstration areas are presented in Annexes 4 and 5. Finally, a section of comments is provided at the end of the document.

## 10.3 Long-Term Considerations

### 10.3.1 Relevance

Although the project obtained outputs and outcomes in themes of interest to IUCN, it cannot be said that these outputs and outcomes achieved a great deal with relation to conservation of biodiversity in MPAs. The processes undertaken were experimental and, as such, valuable, but a more in-depth analysis is needed of the experience obtained at the procedural as well as demonstrative level in order to identify globally applicable experiences contributing to the higher objectives of IUCN.

The project focused on initiatives consonant with the needs and problems of the demonstration areas, and on making use of local capacity. The three areas supported local processes already underway with varying degrees of success, and partner organizations and local groups thus perceived them as being highly relevant.

### 10.3.2. Impact

In general terms, impact refers to changes in the wellbeing of people and in the condition of ecosystems in a given place. Generally these are long-term changes not exclusively attributable to a single project but rather to a set of projects, stakeholder actions and situational variables.

The impact attributable to a specific project, generally known as the “direct impact,” occurs within the project time period and corresponds to concrete changes in particular facets of people’s wellbeing or changes that can be detected in the condition of ecosystems over a longer period. In the case of this project, these changes should be framed within the general goal of the project:

*“Contribute towards ecologically and economically sustainable marine & coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas.”*

Within this definition, the project generated several *direct* impacts in the demonstration areas. Although they differ and reach a different level in each one, certain generalized impacts can be identified.

Those interviewed pointed out the following changes related to the wellbeing of people and groups involved:

- Executing and local organizations strengthened their capacity to implement initiatives linking tourism and MPAs, thanks to their participation in the project.
- The staff of protected areas strengthened their capacity for sustainably linking ecotourism activities and management of the areas at low cost. HCMR and KMNP/MMNR have trained personnel and experiences to continue advancing in this direction.

- The awareness of governmental and nongovernmental organizations increased with respect to the importance of participation by local groups and representativeness in decision-making about linkage between tourism development and MPAs. This is illustrated in the transformation of the IBMNP Consultative Council into the “Alliance for the Sustainable Development of Bocas del Toro” and in the permanent processes of dialogue established in KMNP/MMNNP.
- Change of mentality in local communities about natural resources and the importance of MPAs as a means of conserving them. This change took place with the recognition of alternatives for natural resource management in the protected area or adjacent zones, such as ecotourism or associated microenterprises offering complementary livelihood opportunities for local groups. Examples of this are the design and management of trails by indigenous communities and development of infrastructure to attend tourists in BNMP indigenous communities; the boardwalk project of the Wisini Village women’s group and the interest of Mkwiro village women in seaweed farming; and the boat operators who raised the quality and safety of their service while increasing their level of income.
- Local groups’ better understanding of the importance of the MPAs and greater ownership of MPA objectives. The MPAs are now beginning to be seen as allies.
- HCMR income was substantially increased thanks to the hike in entrance fees suggested by the project.
- Women’s greater participation in ecotourism activities. In IBNMP women have been the focal point with respect to indigenous communities’ linkage with tourism and in creating the necessary spaces for linking and/or complementing the already existing activities of other community members. The same is true of the Wisini and Mkwiro women.
- Increased earnings from the boardwalk, represented in increased distribution of income from the business and from investment in communal items.
- Improved relations between KWS and the local communities
- Establishment of structure and spaces for dialogue and negotiation among stakeholder groups with conflicting interests about resource use. In HCMR, zoning of the reserve for different uses has helped reduce such conflicts, while in KNMP/MMNNP ongoing dialogue between local and outside boat operators has lowered the level of conflict and clarified management rules.

Elements that could create “changes” in the condition of ecosystems in the longer term include the following:

- Construction of trails in zones adjacent to IBNMP, which are expected to reduce pressure on the area around the park’s only trail
- Extension of HCMR and its new zoning in the management plan, which should reduce conflicts over park use and alleviate pressure on certain specific areas of the reef

Due to project characteristics extensively described throughout the document—particularly the relatively short period of direct implementation and the limited resources available for this phase once they were divided among the three demonstration areas—it is impossible to talk about impacts at a higher level than those described above, which are closely associated with outcomes obtained on the basis of the outputs carried out.

### 10.3.3. Sustainability of outputs and outcomes

The sustainability or perdurability of the outputs and outcomes vary in each of the demonstration areas. In IBNMP, organizational structures at the level of GOs, NGOs and grassroots organizations were established and strengthened to provide continuity for the different processes undertaken. This is exemplified by the legal formation of the Alliance for the Sustainable Development of Bocas del Toro, an entity representing local interests that hopes to be recognized as the formal spokesperson in decision-making about area conservation and development. Another illustration is the strengthening of the group of women artisans and the initiative of forming a community organization to manage the ecotourism project in Popa 2.

Participation by NGOs and local groups was very high and their ownership of products was good. Local communities now see a long-term opportunity in ecotourism and in the park's existence. This is demonstrated by the projects formulated and promoted jointly through community participation and the Mesoamerican Biological Corridor for trail construction, basic infrastructure for attending tourists in three indigenous communities, and other complementary elements such as communal farms, handicrafts, etc. These projects are currently being implemented.

No new structures were built in HCMR, but the visitor center was remodeled and its trust fund was strengthened by updating the management plan, making it possible for the reserve to raise and manage its own funds in pursuit of financial self-sustainability. Although the participation of local groups and their level of project ownership was minimal, the HCMR administration has designed and jointly promoted a project with the OAK Foundation to complete the pollution studies in quantitative terms, in order to promote greater awareness and more suitable regulations in this area. To date the OAK Foundation has approved 50% of the funds and the remaining funds are being sought. The reserve administration also designed other initiatives resulting from the project's activities, such as a reef monitoring program, a proposal to promote environmental education in the zone and the creation of a small fund to maintain park launches and marine equipment. Funding to implement the first and last of these has already been received.

In KNMP/MNNP, women's groups and relations and partnerships between stakeholders were strengthened to ensure that the businesses and agreements forged through the project can maintain a certain continuity. However, there is a recognition that these organizations need more training and organizational capacity-building, since they are young groups with little experience. To somewhat offset this situation, the KSW Wetlands Programme and IUCN-EARO signed an agreement to extend support for the organizational development of the Washini women's group. It was pointed out that the lack of an "exit strategy" was a weakness in project design and as a consequence, the project "*just closed*". Consequently, there has been little or no follow up since closure, nor any consideration of options for the future.

In some ways this last point applies to the entire project. No "exit strategy" was contemplated, so integration of outputs and outcomes toward more synergetic and sustainable processes over time depended on the solidity of the advisory committees in each demonstration area and on the leadership of the implementing organizations, more than on a strategy previously established by the project.

## 10.4 Lessons Learned

This section presents lessons learned throughout the project. A summary will be provided of lessons derived first from the inter-regional workshop, and then from interviews during the evaluation process.

### ***Synthesis of lessons learned as derived from the inter-regional workshop:***

#### **◆ *MPA and Tourism Management Plans***

- ⇒ Management plans should be updated periodically to keep them consonant with changes in tourism and development
- ⇒ Tourism management plans should be linked with MPA management plans, be clearly oriented toward the distribution of benefits and take studies on carrying capacity into consideration.
- ⇒ It is important to promote studies appraising economic, social and environmental elements of tourism, and that these be used to establish structures that supervise and control impacts from tourism.
- ⇒ Involving the different stakeholders in the design of management plans and tourism development plans is essential for their application and viability

#### **◆ *Tourism and economic issues connected with MPAs***

- ⇒ Before establishing fees, studies should be made taking into account the economic factors that can affect management of MPAs.
- ⇒ The promotion and generation of strategies for equitable distribution of the costs and benefits of MPA conservation is fundamental to obtain the support of the different local stakeholders
- ⇒ Co-management of the marine protected areas by local stakeholders can reduce operational costs and raise people's income level

#### **◆ *Environmental education***

- ⇒ Teaching methods should be adapted to the different interests and comprehension levels, using the native language if possible
- ⇒ Processes of community environmental education and training should be associated with some type of incentive, whether economic, recreational, or established as something obligatory, such as a requisite for beneficiary groups in obtaining something. Education alone is generally not enough to engage the adult population.

#### **◆ *Training***

- ⇒ The lack of continuity and follow up on training processes for beneficiary groups—such as not planning complementary processes where groups can apply the knowledge acquired—leads to loss of credibility and loss of interest in the process. Intensive training is not as effective as ongoing training processes unless there are practical activities where beneficiaries can apply what they have learned.

#### **• *Community participation***

- ⇒ Communities should benefit economically from protected marine areas; otherwise they will not give their support to the reserve. As such, the government should make greater efforts to involve communities in the development of MPAs.

### ***Lessons learned as compiled from interviews during the evaluation process:***

- ***Project planning***

⇒ Tools for project planning, monitoring and evaluation should be used for management, coordination and as a basis for decision-making in order to make steady progress toward the objectives proposed. This is particularly true in cases where different stakeholders are involved and planning and implementation can tend to fragment.

⇒ Involving the different stakeholders in planning, decision-making and developing outputs ensures higher levels of ownership and of possibilities for success.

- ***Project approaches***

⇒ The project demonstrated that the Integrated Management Approach is much more effective in areas with poor communities who depend on natural resources for their livelihoods (i.e., IBNMP and KMNP/MMNP). These communities show greater interest and willingness to participate in activities enabling them to increase their income and are more receptive to issues concerning conservation of the resources on which they depend. In areas such as HCMR, where the nearby population is not poor and is engaged in a particular economic dynamic it is more difficult to involve the community in activities other than the ones they already carry out and in conservation. To obtain this involvement it is necessary to generate incentives that are advantageous in comparison to the current activities of these groups. Otherwise, it would appear that in this type of community initiatives aimed at regulating resource use works better, requiring another form of participation dynamic to incorporate the interests of locals.

⇒ Ecotourism should complement the livelihood activities of local communities, not replace them. This is mainly due to the variability of the sector and the need to maintain activities that reinforce the cultural identity of these groups.

- ◆ ***Project operational arrangements***

⇒ While working on the basis of local capacity can delay the project in some ways, it was essential for ensuring the participation, ownership and continuity of outputs and outcomes. However, it was emphasized that selection of partner organizations for project implementation should be based on more extensive knowledge of their capacity and integration with the local situation. It was also suggested that the assumptions behind the selection be monitored throughout the project so that corrective measures can be taken in time.

⇒ The strategy of strengthening local processes already underway, used in IBNMP, proved highly effective and efficient. This type of initiative adds credibility to those processes, reaffirming their feasibility, energizing them and increasing their visibility.

⇒ The system of working with local advisory committees with the participation of civil society in order to make decisions provides transparency and enhances knowledge and integration for implementers.

- ◆ ***Participation***

⇒ The Central American experience demonstrated the virtues of having different organizations participate in developing outputs in demonstration areas. In cases where

there was good leadership capacity and a tradition of organization, this dynamic promoted synergy and communication among local groups and the organizations acting in the zone. However, managing a project with this structure requires IUCN monitoring and technical assistance to ensure success.

- ⇒ Opening spaces for stakeholders' participation in planning processes should not mean losing the balance between project objectives and local conditions and needs.
- ⇒ To define suitable strategies for obtaining local groups' participation in and ownership of the initiatives proposed it is necessary to take into consideration the socioeconomic level of the groups involved, cultural issues, their organizational tradition and the generation of incentives that make participation attractive.

## **11. Conclusions and Recommendations**

### **Planning, M&E:**

- ⇒ Project planning was quite weak. There was no explicit connection between the planning elements used in the project document (objectives and outputs) and planning in demonstration areas did not use project planning as a referent. As a result, the project focused more on specific outputs in the field than on testing strategies and mechanisms for an "integrated approach in developing coastal tourism and marine protected areas" at policy and institutional levels.
- ⇒ It is suggested that projects under IUCN responsibility involve a planning system associated with an M&E system with the minimum standards of quality established by the IUCN Global M&E Initiative. Use of these tools can substantially improve project management and thus possibilities for better-quality outcomes and impacts with greater relevance. These tools would also facilitate project evaluation, making it possible to go beyond the opinion of people interviewed and base findings on more representative information and data.

### **Management Structures**

- ⇒ Failure to establish management structures and procedures prior to implementation of activities resulted in an excessive investment of Secretariat time to follow up on project management issues in the Eastern Africa Component. It was recommended that at the onset, monitoring and reporting procedures should be established, and agreed upon by both partners. Additionally, it may be necessary to invest in the capacity of project partners to effectively follow the procedures agreed upon.
- ⇒ Those interviewed felt it would be a good idea for the IUCN to look for ways of ensuring more and closer technical assistance for initiatives in demonstration areas. This would guarantee greater coherence and better results in the outputs.
- ⇒ The changes in the entities and people in charge of managing and coordinating the project in IUCN and the weak project planning meant that each new person interpreted the project in his or her own way, and consequently efforts in support of the objectives were dispersed. It was further recommended that procedures at all times include requirements for documenting all management and technical decisions made to reduce the loss of institutional memory during staff changes.

## **Project approaches**

- ⇒ It is important that future IUCN initiatives clearly define not only the purpose of the integrated management approach (seek to “improve the quality of life of human communities who depend on coastal resources while maintaining the biological diversity and productivity of coastal ecosystems”), but also explicitly define the characteristics and components indicating approximation. This will provide validation and demonstration elements, and not just action-generating concepts reflecting local processes.

## **Structure of the project and demonstrative character**

- ⇒ It is suggested that the purpose of undertaking inter-regional projects be reviewed and that their usefulness and relevance be assessed. In this project the inter-regional character was not operational except for the exchange of information at one particular event whose cost-benefit relation was not considered worthwhile by stakeholders. The purpose initially stated was the possibility of demonstration experiences from which lessons could be learned and a global model could be extracted and applied with respect to integrating tourism and MPA management with community participation under an integrated management approach. The assumptions implicit in this strategy were not made explicit or assessed during the project, and the end of obtaining lessons and models for global application was not achieved from three demonstration sites.
- ⇒ It is important that IUCN explicitly define what determines the demonstrative character of an initiative and then act accordingly, clearly defining what elements are to be validated so that exchange of experiences can lead to the identification of replicable aspects under particular conditions.

## **Project strategies**

- ⇒ A recurring suggestion was the importance of defining strategies ensuring continuity of the outputs and outcomes obtained in the projects. Some of the alternatives offered by partner organizations were: greater support for processes undertaken in terms of funding, agreements and political support; involvement in the initiatives; the creation and/or strengthening of entities and processes guaranteeing the durability of the initiatives undertaken.

## **Financial management**

- ⇒ Another suggestion that came up during the interviews was to analyze the cost-benefit relation of funds invested in the insertion and planning phase versus funds invested in carrying out activities and developing products in the demonstration areas.



## 12. Tables

**Table 2. Relation between different levels of project planning: How the different levels of outputs contribute to project objectives**

<b>GOAL</b>				
<b>Contribute towards ecologically and economically sustained marine and coastal biodiversity conservation through integration of coastal community livelihoods and the development of coastal tourism and marine protected areas</b>				
<b>PROJECT OBJECTIVES</b>	<b>PROJECT OUTPUTS</b>	<b>HCMR OUTPUTS</b>	<b>IBMNP OUTPUTS</b>	<b>KMNP/MMNR</b>
1. Assess the role of selected local communities in coastal tourism and MPAs	<ul style="list-style-type: none"> <li>➤ Community participation increased</li> <li>➤ Involvement of local communities in tourism and MPAs activities</li> </ul>	<ul style="list-style-type: none"> <li>➤ Environmental education and training (also contributes to objective 3)</li> </ul>	<ul style="list-style-type: none"> <li>➤ Environmental education (also contributes to objective 3)</li> <li>➤ Training and technical assistance on tourism and protected areas for a pilot community group (also contributes to objective 3)</li> <li>➤ Support for ANAM to create new trails (also contributes to objective 3)</li> </ul>	<ul style="list-style-type: none"> <li>➤ Economic Analysis of the KMNP/MMNR complex conducted and a report on "Financing the Management of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya, through Partnership with Stakeholders" prepared</li> <li>➤ Meetings held to facilitate dialogue and reduce conflict between different stakeholder groups</li> <li>➤ Microenterprise needs assessment conducted and a report on "Enterprise Viability and Needs Assessment of Enterprises in and around Kisite-Mpunguti Marine Protected areas complex" prepared</li> </ul>
2. Assess the linkages, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs	<ul style="list-style-type: none"> <li>➤ Assessing and monitoring tourism impacts in MPAs</li> <li>➤ Research capacity and scientific information increased</li> </ul>	<ul style="list-style-type: none"> <li>➤ Economic Evaluation of the tourism of Hol Chan Marine Reserve</li> <li>➤ HCMR pollution sources qualitatively identified</li> </ul>	<ul style="list-style-type: none"> <li>➤ Economic evaluation of the tourism sustainability of Bocas del Toro</li> </ul>	<ul style="list-style-type: none"> <li>➤ NONE</li> </ul>
3. Design and implement appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism	<ul style="list-style-type: none"> <li>➤ Tourism and MPAs integrated</li> <li>➤ Policy and guidelines issued</li> <li>➤ Personnel trained in managing MPAs and coastal tourism using an</li> </ul>	<ul style="list-style-type: none"> <li>➤ Environmental education and training program</li> <li>➤ Hol Chan Marine Reserve Management Plan updated</li> <li>➤ Approval of the current HCMR extension proposal</li> </ul>	<ul style="list-style-type: none"> <li>➤ Environmental education program</li> <li>➤ Proposal for a participatory tourism development plan in Bocas del Toro</li> <li>➤ Training and technical assistance</li> </ul>	<ul style="list-style-type: none"> <li>➤ Technical assistance and support provided for the boardwalk construction project of the Wasini women's group</li> <li>➤ Training provided for the Wasini and Mkwiro women's groups</li> <li>➤ Study tour to Tanga to enhance capacity</li> </ul>

and MPA development with the participation of local communities	<ul style="list-style-type: none"> <li>➤ integrative approach (Trained personnel in managing MPAs and coastal tourism using an integrative approach)</li> <li>➤ Awareness increased through the dissemination of educational material (Awareness and educational material)</li> </ul>	<ul style="list-style-type: none"> <li>➤ supported by the project</li> <li>➤ HCMR staff trained</li> </ul>	<ul style="list-style-type: none"> <li>➤ on tourism and protected areas for a pilot community group</li> <li>➤ Identification of sites of tourism interest in Bocas del Toro (cancelled because such a study already existed)</li> <li>➤ Support for ANAM to create new trails</li> <li>➤ Inter-institutional coordination for tourism/environment matters</li> </ul>	<ul style="list-style-type: none"> <li>➤ of the Mkwiro women's group to establish a seaweed farming project</li> <li>➤ Code of conduct developed for the Private Boat Operators Association</li> <li>➤ Monitoring of fish catch conducted and results discussed with the fishing community to raise awareness of the benefits from the KMNP/MMNR complex</li> <li>➤ Brochure on KMNP/MMNR developed as an educational and awareness-raising tool</li> </ul>
4. Facilitate the sharing of experiences gained during the implementation of the project between the two regions (Eastern Africa and Central America) and derive lessons learned that have global application	<ul style="list-style-type: none"> <li>➤ Regional and interregional workshop developed</li> <li>➤ Package of practical and replicable global experiences drawn from demonstration sites</li> </ul>	<ul style="list-style-type: none"> <li>➤ Inter-regional workshop</li> <li>➤ Twenty seven key participants</li> <li>➤ Participation in the regional workshop to share HCMR and IBNMP experiences</li> </ul>	<ul style="list-style-type: none"> <li>➤ Regional workshop on tourism and MPAs. Exchange of experiences between HCMR-IBNMP</li> <li>➤ Report on the proceedings of the regional workshop, "Analysis of tourism and MPAs in Central America"</li> </ul>	<ul style="list-style-type: none"> <li>➤ Report on an MPA management model using Kisite as a pilot site published ("Economic Constraints to the Management of Marine Protected Areas: the Case of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya")</li> <li>➤ Annotated reference list compiled and distributed</li> <li>➤ Inter-regional workshop held and attended by 4 participants from Eastern Africa</li> </ul>

**Table 3. General analysis of demonstration area outputs to project outputs and objectives**

PROJECT OBJECTIVES	PROJECT OUTPUTS	PROJECT OBJECTIVES AND OUTPUTS ACHIEVEMENT LEVEL
Assess the role of selected local communities in coastal tourism and MPAs	<ul style="list-style-type: none"> <li>➤ Assessing and monitoring of tourism impacts in MPAs</li> <li>➤ Community participation increased</li> <li>➤ Local communities involved in tourism and MPAs activities</li> </ul>	<p>In the workshops held after the project's inception phase an important vision was constructed of the relation between tourism and coastal and marine areas in Kenya and Central America. This analysis made it possible to identify common problems and select three demonstration sites according to previously defined criteria.</p> <p>Different products and activities (see previous table and annexes 4 and 5) were developed in each demonstration site to promote the integration of local communities in coastal tourism and comanagement of protected areas. Those of greatest importance were:</p> <ul style="list-style-type: none"> <li>- Environmental education and training processes carried out in the three demonstration areas</li> <li>- Assessment of the viability of the microenterprises in KMNP/MMNR and of elements to take into account for their self-sustainability. While no very innovative concepts were generated, local ideas on this theme were gathered and information of much interest to locals was compiled in a document.</li> <li>-The strengthening and growth of the Wasini women's group (Kenya), the group's strong sense of ownership, considerable increase in the distribution of earnings from the boardwalk and greater awareness and interest in conserving the mangrove</li> <li>-Construction and management of trails and basic infrastructure for bringing tourists into indigenous communities outside IBNMP, reducing pressure on the park and increasing community participation in a process led by women</li> </ul>

		<p>-Strengthening of local organizations in IBNMP and KMNP/MMNR to develop activities associated with natural resources and protected areas</p> <p>-Impact on gender relations in both the indigenous communities of IBNMP and the Wasini and Mkwiro villages. Women's involvement in productive activities in these communities will clearly be greater, although the precise impact on gender relations will only be known in the long term.</p> <p>(For details see the previous table and annexes 4 and 5.)</p> <p>Transformation of the advisory committee for the Panama demonstration area into the Alliance for the Sustainable Development of Bocas del Toro. This alliance is formed of representatives from GOs, NGOs, indigenous communities and different sectors with interests in the region. At the time of the evaluation the Alliance was in the process of securing its legal identity and designating members of the directors council. Its goal is to represent local interests and be recognized as spokesman for the different processes of development and/or conservation desired in the zone.</p> <p>The establishment of a space for dialogue and negotiation of conflicts among different stakeholder groups (KSW and local communities, small and large tourism operators, etc.) in KMNP, a practice that has already helped substantially to reduce local conflict.</p> <p>Outputs related to other objectives also contributed to this objective, such as the economic assessment of tourism sustainability in IBNP and HCMR, involving important analyses of local community interaction with tourism (see annexes 4 and 5); increased capacity of the Popa 2 women's group (IBNMP) for tourism management and visitor attention in their communities; the Wasini women's increased administrative capacity to manage the boardwalk; the different study tours carried out with communities near IBNMP and the visit to Tanzania by the Wasini women's group.</p> <p>Based on experiences in the three demonstration areas, respondents said a mechanism was needed to continue promoting environmental education and training for local communities in elements important for the management of microenterprise and tourism in general. More important themes included marketing, access to land and land tenure, and administrative and organizational capacities. Some efforts are advancing in IBNMP and KMNP to provide continuity for these processes. (For more details on the activities see annexes 4 and 5 and section 10.3.3).</p>
<p>Assess the linkages, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs</p>	<ul style="list-style-type: none"> <li>➤ Assessing and monitoring tourism impacts in MPAs</li> <li>➤ Research capacity and scientific information increased</li> </ul>	<p>Various activities and outputs contributed to this objective. Although no appraisal of discrete ecosystems was made in either region, activities and studies contributed information associated with the theme.</p> <p>The weakest area of the project concerned this objective. According to those interviewed, NGOs and local communities at the demonstration sites are saturated with studies and investigations unlikely to result in benefits at the local level, so no activity was conducted by the Eastern Africa component in relation to this objective, and very little by the Central American component.</p> <p>Activities and outputs directly contributing to this objective:</p> <ul style="list-style-type: none"> <li>-The economic assessments of tourism sustainability in IBNMP and HCMR (See annexes 4 and 5.)</li> </ul> <p>Other outputs indirectly contributing to this objective:</p> <ul style="list-style-type: none"> <li>-The HCMR Management Plan, describing the main ecosystems and their current or potential linkage with tourism. Guidelines were also established for managing tourism.</li> <li>-Trail construction and management by local communities adjacent to IBNMP also involved a description of ecosystems associated with the trails and potential community use for ecotourism</li> <li>-Qualitative identification of pollution sources in HCMR, also containing descriptive elements on how inadequate management of waste and sewage in the island's tourist zones is causing increased pollution that could jeopardize ecosystems if not controlled.</li> </ul>

		<p>-Identification at the appraisal level of linkage between the ecosystems of interest, tourism and protected areas at the regional workshops on Sustainable Conservation of Marine Biodiversity (see annexes 4 and 5.)</p> <p>It should be noted that no funds were available for the type of scientific research that generally is quite costly, which is why the investigation of pollution in HCMR was qualitative only. The proposal for a quantitative analysis was designed during the project and is being negotiated (see section 10.3.3).</p>
<p>Design and implement appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism and MPA development with the participation of local communities</p>	<ul style="list-style-type: none"> <li>➤ Tourism and MPAs integrated (management plans for sites demonstrating sustainable financing and local community support for conservation)</li> <li>➤ Policy, guidelines promulgated</li> <li>➤ Personnel trained in managing MPAs and coastal tourism using an integrative approach (Trained personnel in managing MPAs and coastal tourism using an integrative approach)</li> <li>➤ Awareness increased, from the dissemination of educational material (Awareness and educational material)</li> </ul>	<p>This objective was the target of the greatest number of efforts in all demonstration areas throughout the duration of the project (inception, planning and implementation).</p> <p>Different initiatives aimed at obtaining experiences to identify strategies and guidelines for explicitly linking coastal and marine tourism and MPAs.</p> <p>Major outputs in this respect included:</p> <ul style="list-style-type: none"> <li>-HCMR extension and management plan. Tourism is a central component of the plan, which incorporates a financing system heavily dependent on visitor admission fees. The plan also sets up zoning for different types of ecosystem use in the reserve and explicitly provides for users (diving guides, sport fishing, researchers, etc.) and a suitable framework to reduce use conflicts.</li> <li>-The proposal, "Participatory Plan for Tourism Development in Bocas del Toro" was very interesting, since it demonstrates that local stakeholders can be empowered to be heard and to participate in decision making in a process of development that truly represents the diverse groups involved.</li> <li>-Discussion and negotiation of conflicts between local and outside boat operators bringing tourists to KMNP show how conflict can be reduced among natural resource users. While it did not solve all of the existing problems, participatory drafting of a code of conduct contributed important elements regarding mechanisms that will gradually help improve the quality and safety of local services.</li> <li>-Efforts in Bocas del Toro to promote "inter-institutional coordination in the area of tourism and environment" contributed an important experience, showing how difficult it is for outputs to prosper and be appropriated when they are not developed in participatory form with interested groups.</li> <li>-Participation by local groups in monitoring fish and reefs in HCMR and monitoring fish catch landed at Mkwiro village (January 2000 to June 2001), helped communities better understand the importance of marine reserve objectives and the benefits such reserves can provide</li> </ul> <p>-Other important outputs included those aimed at comanagement and development of microenterprises in both IBNMP and KMNP/MMNR (trail construction and management and tourism infrastructure in indigenous communities and the boardwalk.) The procedures used to ensure community participation and ownership in the experience of comanagement and microenterprise were of special interest: identify appropriate economic incentives, involve different members of the community (women and men), carry out a joint process of appraisal and planning and build local capacity to implement initiatives.</p> <p>-The project designed various guides and tools for environmental education and training in themes linking tourism and the MPAs, carried out through environmental education programs in Belize and Bocas del Toro. These brought together different stakeholders and themes of interest to increase participants' understanding of natural resources associated with the reserves, provide and explain the use of tools to promote ownership of reserve objectives and enhance awareness of the economic opportunities represented by the reserves in terms of ecotourism. These same outputs also contributed to building reserve staff capacity to perform their functions and promote more and better participatory linkage between ecotourism activities in and near the area.</p> <p>-Processes to involve local communities in MPA-related ecotourism activities incorporated environmental education, training, tourism promotion and marketing (promotional brochures in the three demonstration areas and educational posters in IBNMP</p>

		<p>and HCMR)</p> <p>For more details on these outputs see annexes 4 and 5.</p> <p>-In all of the outputs above, there was a notable change in communities' attitude toward the marine protected areas and a better understanding of its objectives and current and potential benefits for local groups.</p>
<p>Facilitate the sharing of experiences gained during the implementation of the project between the two regions (Eastern Africa and Central America) and derive lessons learned that have global application</p>	<ul style="list-style-type: none"> <li>➤ Regional and interregional workshop developed</li> <li>➤ Package of practical and replicable global experiences drawn from demonstration sites</li> </ul>	<p>An inter-regional workshop to exchange experiences was planned, with the following objectives:</p> <ul style="list-style-type: none"> <li>-Gather and synthesize knowledge based on lessons learned in the two regions</li> <li>-Identify milestones or innovative ideas about tourism and MPAs derived from experiences in the demonstration areas</li> <li>-Prepare an action plan for the second phase of the project</li> <li>-Extract globally applicable guidelines on tourism in MPAs for integration in global policies and technical materials</li> </ul> <p>In preparation for the regional workshop, a prior workshop held in Central America to exchange experiences in IBNMP and HCMR was attended by representatives of the implementing organizations. Those interviewed indicated that the workshop was very useful since participants identified many common problems and found similarities in tourism at the demonstration areas. Time was provide to exchange visions and alternatives that others apply in similar situations. Themes of most interest during the exchange were management plans and local community involvement in tourism and MPA -related activities.</p> <p>In Eastern Africa a report was published on a MPA management model using Kisite as a pilot case, entitled "Economic Constraints to the Management of Marine Protected Areas: the Case of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya". A list of reference materials on Kenya's south coast was also compiled and distributed with the dual purpose of serving local institutions and preparing for the inter-regional workshop.</p> <p>The three-day inter-regional workshop was held in June 2001 in Belize. Twenty-seven people attended, including representatives of the implementing organizations in the three demonstration sites, IUCN members in charge of project coordination and management, special guests with experience in Tanzania, Mexico and Panama, and consultant responsible for some of the outputs.</p> <p>The workshop was divided in three parts:</p> <ol style="list-style-type: none"> <li>a. Presentation of experiences concerning central project themes (Management of MPAs, Tourism and Economic Aspects, Communities and MPAs and Education and Training)</li> <li>b. Group work to identify common elements, connections with other initiatives, lessons learned and potential needs in these thematic areas</li> <li>c. Definition of an action plan for a second phase of the project, potential projects and conclusions and recommendations</li> </ol> <p>Those interviewed said that the workshop was interesting at the informational level and with respect to the exchange of experiences, but that this part was limited by the lack of additional "experts" in pertinent themes.</p> <p>For Central American participants, the inter-regional workshop was not as PRODUCTIVE AS THE PREVIOUS ONE. While the three demonstration areas have similar difficulties in integrating communities, tourism and protected areas and in sharing the costs resource management and conservation, the situation and problems of the Kenyan demonstration area were quite different from its counterparts in Central America. Those interviewed recognized that the workshop was important in terms of information and knowledge, but not in terms of applicability. There was not enough time to fully define and analyze the lessons learned and this part was consequently very superficial.</p> <p>It was not possible to extract guidelines for global application, given that three such particular cases were not sufficient for achieving this. The conclusions discussed at the workshop arising from this point were:</p> <ol style="list-style-type: none"> <li>a. To develop globally useful guidelines other demonstration experiences are required in addition to those at the project sites.</li> <li>b. Use existing material, adapt it and/or adopt what is necessary.</li> </ol>

		<p>c. Guidelines can include best practices. d. Examine the possibilities of the guidelines leading up to certification based on environmental quality standards.</p> <p>In addition, potential actions and projects were identified, as well as conclusions and recommendations and some of the next steps to be taken. The most important of these were:</p> <ul style="list-style-type: none"><li>-Prepare proposals for the projects identified</li><li>-Promote the presentation of project experiences at the World Parks Congress in 2002</li><li>-Prepare case studies for the 2002 International Year of Ecotourism, showing how local communities can benefit ecotourism and protected areas at the same time</li></ul> <p>However, no clear decisions were made on how to follow up on these initiatives after the workshop, nor was any mechanism established for incorporating lessons learned in any of the institutions involved.</p>
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## 13. Annexes List

- Annex 1:** Term of Reference
- Annex 2:** Criteria for Selection of Demonstration area
- Annex 3:** Key Issues at the Time of Project Design and Development in Kisite Marine National Park (KMNP) and the Adjacent Mpunguti National Marine Reserve (MNMR) on the Kenyan Coast
- Annex 4:** Effectiveness & Efficiency Analysis: Central American Component
- Annex 5:** Effectiveness & Efficiency Analysis: Eastern Africa Component
- Annex 6:** List of Persons Interviewed
- Annex 7:** Interview Guide
- Annex 8:** Internal Review: Eastern Africa Component
- Annex 9:** List of Documents Reviewed

# ANNEX 1

## TERMS OF REFERENCE

### INTERNAL EVALUATION SUSTAINABLE MARINE BIODIVERSITY CONSERVATION: LINKING TOURISM TO MARINE AND COASTAL PROTECTED AREAS

#### TERMS OF REFERENCE FOR THE CENTRAL AMERICAN COMPONENT

##### EVALUATION OBJECTIVE:

IUCN has reflected internally on the performance, impact, sustainability and articulation of this project to Union programs in order to comply with contractual obligations regarding the project and record the experience obtained.

##### EXPECTED OUTPUTS:

A document no longer than 50 pages answering the questions in the evaluation matrix, below.

##### DRAFT PROJECT EVALUATION MATRIX

ISSUE	SUBISSUE	QUESTIONS
1. Effectiveness		<ul style="list-style-type: none"><li>➤ Were the Outputs generated as expected in quality and time?</li><li>➤ Were the Activities carried out timely and following the Project strategies? (i.e. in a participatory way, involving members and partners, or any other explicit Project Strategy)</li></ul>
2. Efficiency		<ul style="list-style-type: none"><li>➤ Could have the Project achieved the same results using different or less resources? Could have the Project have achieved more or better results with the resources it had?</li></ul>
3. Impact	Relevance	<ul style="list-style-type: none"><li>➤ In relation with the Project context (external situation), where the issues addressed by the Project the most important? What were the alternatives? What were the criteria used to decide about the issues to be addressed by the Project?</li></ul>
	Scope	<ul style="list-style-type: none"><li>➤ Who changed as a result of the Project activities (both people and organizations)?</li><li>➤ What were the changes at both levels?</li></ul>
	Perdurability	<ul style="list-style-type: none"><li>➤ What mechanisms were left in place to ensure the continuity of the Project results?</li><li>➤ Has the Project left functioning funding mechanisms to ensure that continuity?</li></ul>



4. Linkages	Within IUCN	➤ How well articulated are the products and outcomes of the Project with IUCN Regional Thematic/National Programmes, Component Programmes (Regional and Global) and Global IUCN Programme?
	External	➤ Which organizations received the products of the Project as inputs for their work? How were communicated the products and outcomes of the Project?
5. Lessons learned		➤ Was the Project strategic approach (processes and mechanisms chosen to achieve the Project objectives) the most adequate in relation to the Project context and objectives? ➤ Were the Project management strategies the most appropriated in terms of: <ul style="list-style-type: none"> <li>○ decision making system</li> <li>○ Project management (human resources, financial management, etc)</li> <li>○ monitoring and reporting</li> <li>○ evaluation (external and self-assessment)</li> <li>○ stakeholder participation</li> </ul>

**DATA SOURCES PER ISSUE:**

ISSUE	SUBISSUE	DATA SOURCES
1. Effectiveness		➤ Project Document ➤ Project Reports ➤ Partners and Beneficiaries Reports ➤ Project staff
2. Efficiency		➤ Project Document and Reports ➤ Project staff
3. Impact	Relevance	➤ Situation Analysis Study (initial and updates) ➤ Project staff ➤ IUCN staff ➤ Partner organizations staff ➤ Beneficiaries
	Scope	➤ Project Reports ➤ Project staff ➤ IUCN staff ➤ Partner organizations staff ➤ Beneficiaries
	Perdurability	➤ Project staff ➤ IUCN staff ➤ Partner organizations staff ➤ Beneficiaries
4. Linkages	Within IUCN	➤ Project staff ➤ IUCN staff
	External	➤ Partner organizations staff
5. Lessons learned		➤ Project staff ➤ Partners and Beneficiaries staff

**ACTIVITIES:**

1. Review documentation
2. Design evaluation instruments
3. Interview IUCN staff
4. Make field visits (interviews, meetings)
5. Analyze information
6. Report

**INFORMATION GATHERING METHODOLOGY:**

- Review of documentation: Project documents, project reports, reports on pilot project activities, workshop proceedings
- Interviews and surveys of IUCN staff and local implementing organizations
- Workshops and interviews with beneficiaries and local organizations
- Field visits

**TIMETABLE AND CONSULTANT DAYS:**

The evaluation will take place from February 8 to March 8. The final report will be e-mailed to Rocío Córdoba ([rocio.cordoba@orma.iucn.org](mailto:rocio.cordoba@orma.iucn.org)) at IUCN-ORMA by March 8, 2002 at the latest.

<b>ACTIVITY</b>	<b># DAYS</b>	<b>WHEN?</b>	<b>WHO?</b>	<b>CONSULTANT FEES</b>	<b>CONSULTANT TIME INVESTED</b>
<b>Review of documentation</b>	3	February 10-12	Natalia Ortiz	US\$750	3 days
<b>Design of evaluation instruments</b>	3	February 14-16	Natalia Ortiz	US\$750	3 days
<b>Interviews with IUCN staff (ORMA – Rocío, Enrique, Francisco; HQ – Sebastian Winckler)</b>	1	February 19 (The interview with Sebastián will be in Switzerland between the 10 <sup>th</sup> and 12 <sup>th</sup> )	Natalia Ortiz	US\$250	1 day
<b>Field visits (Belize – Bocas del Toro, 20-27, includes one night layover in San José before departure to Bocas)</b>	8	20 to 23 Belize  24-27 Bocas	Natalia Ortiz  Natalia Ortiz	US\$2000	8 days
<b>Processing of information and report for the Mesoamerican region</b>	3	March 1-4,5	Natalia Ortiz	US\$750	3 days
<b>Compilation of the Kenya report</b>	2	March 6-7	Natalia Ortiz	US\$500	2 days
<b>TOTAL</b>	<b>21 working days</b>	<b>February 10 to March 8</b>	<b>Natalia Ortiz</b>	<b>US\$5000</b>	<b>20 consultant days</b>

## **TRAVEL EXPENSES:**

Travel expenses, transportation, lodging and meals will be covered by the evaluation.

## **TOTAL APPROXIMATE COST OF CONSULTING:**

**Fees US\$ 5000**

**Transport US\$ 1124**

**Travel expenses US\$ 884**

**Exit tax US\$135**

**TOTAL US\$ 7143**

# **Terms of Reference Eastern Africa Component**

## **BACKGROUND**

This project was part of the regional collaboration between the IUCN Eastern Africa Regional Office (IUCN-EARO) and the IUCN Regional Office for Mesoamerica (IUCN-ORMA). The goal of the overall project was to:

*Contribute towards ecologically and economically sustained marine and coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas.*

The four objectives, designed to meet the above goal, were:

- 1. The role of selected local communities in coastal tourism and Marine Protected Areas (MPAs) assessed;*
- 2. The linkages, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs assessed;*
- 3. Appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism and MPA development with the participation of local communities designed and implemented*
- 4. Experiences gained during the implementation of the project shared with those working in Central America (IUCN-ORMA) and lessons learned derived that have global application*

The Eastern African component of the project (hereafter referred to as the BMZ project) was initiated in May 1998 with a regional workshop aimed at sharing experiences and examining the opportunities for MPA management partnerships with the tourism sector and with local communities. At the workshop, Kisite Marine National Park and Mpunguti Marine National Reserve (KMNP/MMNR), two adjacent MPAs on Kenya's south coast were identified as an appropriate demonstration site for Eastern Africa to test the ideas and approaches that had been identified. IUCN-EARO therefore collaborated with the Kenya Wildlife Service (KWS), the body mandated with the management of MPAs in Kenya, in the execution of this project.

## **PURPOSE OF EVALUATIONS WITHIN IUCN**

Specifically there are two purposes of evaluations within IUCN.

### **a) Learning and Improvement:**

The IUCN Evaluation Policy indicates that evaluations are to be used as part of the *learning* environment for IUCN and its members. It involves the creation of an environment that engages staff and their partners in creative ways to learn how to improve IUCN's work. In this context, evaluations are instruments for making IUCN's projects, programmes and organizational units more effective through the provision of useful feedback and a commitment to act on that feedback. By doing so, evaluations are a way to understand why IUCN activities succeed or not. Furthermore, as learning tools, evaluations add to IUCN's body of knowledge with respect to best practices in evaluation and conservation.

### **b) Accountability:**

Second, evaluations are part of IUCN's overall *accountability* system. IUCN is answerable to its members, partners and donors for determining whether IUCN's policies, programmes, projects, and operations are working well, and showing that its resources are used in a responsible way. The evaluation process, together with the required documentation that accompanies each evaluation, holds IUCN staff and contracted implementing partners responsible for their performance.

## **SPECIFIC AIMS OF THE BMZ PROJECT INTERNAL REVIEW**

The internal review of the BMZ project will be a self-assessment of project achievements, impacts, and lessons learned during project implementation. The review should also aim at assisting partners to assess sustainability of all activities, approaches, and structures initiated or supported by the project

The specific aims of the evaluation are to:

1. Assess the effectiveness and efficiency and timeliness of the project implementation.
2. Evaluate the impact of the project activities and related outputs including their contribution to the overall goal of the project.
3. Determine the relevance of the project in relation to the needs of the stakeholders and environment.
4. Assess long term sustainability of the actions initiated
5. Identify lessons learned about the projects strategic approach (processes and mechanisms chosen to achieve the Project objectives)

## **SCOPE OF THE EVALUATION:**

The matrix below is intended as a guide for the development of specific issues and key questions to be addressed by the review. These are to be discussed and further developed in consultation with counterparts assessing the Mesoamerican project components prior to the review.

ISSUE	QUESTION	DATA SOURCES
<b>EFFECTIVENESS</b>	<ul style="list-style-type: none"> <li>◆ What outputs were achieved? To what extent did they contribute to the Overall Objective?</li> <li>◆ Was the project approach and structure effective in delivering the desired outputs?</li> <li>◆ Were the activities implemented in accordance with the Project Document and work plans? If not, why?</li> <li>◆ Did the partner organizations work together effectively? Was the partnership effective in achieving the desired outputs?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Document</li> <li>® Project Reports</li> <li>® Partners &amp; Beneficiaries Reports</li> <li>® Project Staff</li> </ul>
<b>EFFICIENCY</b>	<ul style="list-style-type: none"> <li>◆ Were the resources used in an optimal manner, and funds spent in accordance with work plans and using the right procedures?</li> <li>◆ Were there any unforeseen problems, how well were they dealt with?</li> <li>◆ Were the capacities of the project partners adequate?</li> <li>◆ Was there an effective process built in to the project management structure for project self-monitoring and assessment as part of team meetings, reporting and reflection?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Document</li> <li>® Project Reports</li> <li>® Project Staff</li> </ul>
<b>RELEVANCE</b>	<ul style="list-style-type: none"> <li>◆ Outline the context within which the project was designed</li> <li>◆ Establish whether or not the project design and approach was relevant in addressing the identified needs, issues and challenges facing people, and the environment</li> <li>◆ What have been the roles of the donor, IUCN, project partners, and project staff and were they appropriate?</li> <li>◆ To what extent does the project contribute to the strategic policies and programmes of IUCN and that of the project partners including the project donor?</li> </ul>	<ul style="list-style-type: none"> <li>® Situation Analysis Study (initial and updates)</li> <li>® Project Staff</li> <li>® IUCN Staff</li> <li>® Partner Organizations</li> <li>® Beneficiaries</li> </ul>
<b>IMPACT</b>	<ul style="list-style-type: none"> <li>◆ Did the project bring about desired changes in the behavior of people and institutions?</li> <li>◆ Were there any unintended positive or negative impacts arising from particular outcomes?</li> <li>◆ Longer-term changes – Have these changes resulted in an improvement in the lives of people and a more efficient use of resources upon which they depend?</li> <li>◆ What could have been the likely situation (of the environment and its management) without the project?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Staff</li> <li>® IUCN Staff</li> <li>® Partner Organizations</li> <li>® Beneficiaries</li> </ul>
<b>SUSTAINABILITY</b>	<ul style="list-style-type: none"> <li>◆ Was the approach used likely to ensure a continued benefit from the project (i.e. the contribution to the project overall goal and objective) after the end of the project?</li> <li>◆ Were all key stakeholders sufficiently involved? Were their expectations met and were they satisfied with their level of participation?</li> <li>◆ Do partners have the capacity to continue to implement all initiated activities? Are they able to raise adequate material and financial resources?</li> <li>◆ Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and positive impact?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Document</li> <li>® Project Reports</li> <li>® Partners and Beneficiaries Reports</li> <li>® Project Staff</li> <li>® IUCN Staff</li> <li>® Partner Organizations</li> <li>® Beneficiaries</li> </ul>

<b>LESSONS LEARNED</b>	◆ Were lessons learned and experiences gained shared with Project partners and the wider stakeholder group (including those at the global level)?	® Project Staff ® Partners and Beneficiaries Staff ® IUCN Staff ® Project Reports
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## METHODOLOGY

The contractee should develop the methodology in consultation with counterparts assessing the Mesoamerican project components and with IUCN-EARO and IUCN-ORMA, to include (and expand on) the set of key questions to address effectiveness, efficiency, relevance, impact and sustainability. The methodology should show the links between data collected and recommendations proposed so that the logic is clear and transparent.

At minimum, this will involve:

1. A desk review of Project Document, work plans and progress reports, other relevant documentation to review and assess achievements so far and especially performance of work plans.
2. Consulting with project partners, staff and key stakeholders through interviews, meetings and administering questionnaires, where appropriate.

The project will provide transport, organize meetings with stakeholders and generally be available as required for discussions and supply of information during the review. Full access will be allowed to project's documents and information sources.

## EVALUATION TEAM COMPOSITION

Given that this is an internal assessment, the review team will be composed of the EARO Regional Planning, Monitoring & Evaluation Officer, who will work in consultation with counterparts assessing the Mesoamerican project components, and the staff responsible for the project in ORMA.

## REPORTING

The team will discuss its interim findings with relevant partners and the draft report shall be prepared in sufficient copies and on a diskette for submission to IUCN-ORMA, IUCN-EARO and KWS.

## **OUTPUTS**

In light of the information collected on the performance of the project and assessment made on its implications, a report will be produced on:

◆ **Project progress to cover, among others:**

1. An assessment of the performance of the project based on the project work plans and expected results.
2. Identification of key issues and lessons learned in implementing the project

## TIME SCHEDULE

The suggested timetable is as follows:

14 <sup>th</sup> - 16 <sup>th</sup> Feb	Consultations with IUCN-ORMA review consultants; review of project documentation and preparation of assessment tools
20 <sup>th</sup> Feb	Interviews with IUCN-EARO Staff
25 <sup>th</sup> - 27 <sup>th</sup> Feb	Field Interviews with Project Partners and Stakeholder Groups
28 <sup>th</sup> - 29 <sup>th</sup> Feb	Data analysis and Report writing at IUCN-EARO, Nairobi
4 <sup>th</sup> March	Submission of draft report to IUCN-ORMA

## BUDGET

<b>Description</b>	<b>Amount (US\$)</b>
IUCN-EARO Staff Time (7 Days)	2100
Transport Costs	600
Photocopying/Communication Costs	300
<b>TOTAL</b>	<b>300</b>



## ANNEX 2. Criteria for Selection of Demonstration Areas

The area selected in Central America should meet as many as possible of the following criteria:

- Location and accessibility
  - Basic infrastructure in harmony with the environment
  - High diversity of ecosystems and species, including coral reefs
  - Genetic interconnection (biological corridor)
  - High potential for valuation of biological and cultural possibilities; high ethnic diversity, use of local resources
  - Long-term cost-environment ratio
  - Unplanned development
  - Existence of cross-sectoral policies or programs
  - Existence of tourism based on protected areas
  - Knowledge base regarding local resources
  - Areas with few options for economic development
  - Possibilities of external/internal funding
  - Site with high multiplier potential
  - Evident interest on the part of nearby communities, involvement of local human resources in the initiative
  - Low level of resource intervention
- (IUCN,1998:86)

- The area selected in Eastern Africa should meet the following criteria:
  - A long history of effective management
  - Considerable tourism use and value
  - Discrete coastal communities whose livelihoods are directly linked to the MPA
  - High biodiversity value

### ANNEX 3.

#### KEY ISSUES AT THE TIME OF PROJECT DESIGN AND DEVELOPMENT IN KISITE MARINE NATIONAL PARK (KMNP) AND THE ADJACENT MPUNGUTI NATIONAL MARINE RESERVE (MMNR) ON THE KENYAN COAST

At the time it was selected, the KMNP/MMNR had a number of characteristics that not only made it a suitable project site but were also fundamental during the development of project objectives and results. These included;

- o Although revenues generated from park entry fees were substantially higher than management expenditures, all revenues were (and still are) remitted to Central KWS and the budget allocations returned to Shimoni were too low to manage the MPA complex effectively.
- o Local level support for the KMNP/MMNR complex was extremely low. In addition to the immediate loss of fishing income and employment, local gains in tourist related income and employment were minimal. The community members felt that they had been excluded from tourist operations, which they saw as being unfairly dominated by outsiders. This resulted in illegal and destructive utilisation of park resources and a high level of antipathy towards both KWS and private sector tour operators (L. Emerton & Y. Tessema, 2001).
- o There was minimal private sector responsibility for and engagement in park management. This was largely because tour operators felt that KWS provided few services or facilities in return for the entrance fee, and there were few incentives for this sector to work actively with KWS and integrate conservation concerns into the running of their enterprises (Project Final Report, 2001).
- o A critical problem identified early on was also the conflict between fishermen and KWS. This was said to have been to a certain extent due to the 'COBRA' Partnership Programme, which KWS operated in Kenyan protected areas from 1993-1998 with EU funding. The project involved the implementation of community development activities in villages around a protected area through the 'Wildlife for Development Fund' (WDF), in an effort to compensate them for economic losses resulting from the existence of the protected areas. However, when WDF was terminated in 1998, huge expectations had been raised by the project which were not fulfilled at the time the BMZ project was initiated<sup>1</sup> (Annual Progress Report, 1999).
- o The project was also launched at a time when the trends in the management of protected areas in Kenya were favourable to alternative management approaches such as collaborative management. KWS had recently gone through a restructuring process that led to a more regionalised and localised system of management. Of great importance was the fact that the project was designed

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<sup>1</sup> It was explained that a second phase to the COBRA project had been anticipated but never materialised. It was also explained that the failure to communicate the situation at hand had resulted in the loss of credibility in the eyes of the local communities.

through much discussion and with the support of the Director of KWS at that time (interview respondent).

**ANNEX 4. EFFECTIVENESS & EFFICIENCY ANALYSIS: CENTRAL AMERICAN COMPONENT**

<b>HOL CHAN MARINE RESERVE DEMONSTRATIVE SITE IN BELIZE</b>				
<b>OUTPUTS/ RESULTS</b>	<b>OUTPUT ACHIEVEMENT LEVEL</b>	<b>USERS OR STAKEHOLDERS INFLUENCED BY THE OUTPUTS</b>	<b>OUTCOMES (How stakeholders use the outputs or are influenced by them)</b>	<b>COMMENTS</b>
<b>1. Environmental Education and Training Program</b>	<p>The outputs were publications of manuals and implementation of the environmental education and training program.</p> <p>Four publications are in press at this moment of the evaluation. The topics of the publications represent a consolidation of the most important modules of the program, "Ecosystems and Biodiversity in HCMR," "Protected Areas in Belize and Hol Chan Marine Reserve and Issues in Creating and Maintaining a Reserve," "Negative Impacts of Habitat Destruction and Human Impact" and "Conservation Issues."</p> <p>According to those interviewed, the environmental education and training program had three main purposes:</p> <ol style="list-style-type: none"> <li>a. Promote a volunteer program with local high school students, medical students and foreign volunteers (Peace Corps) to support park activities, particularly monitoring and evaluation</li> <li>b. Improve HCMR staff capacity to carry out their functions</li> <li>c. Raise the awareness of tourist guides regarding park resources. It was not possible to work with the guides.</li> </ol> <p>The program had five components:</p> <ol style="list-style-type: none"> <li>1. Introductory course on identifying fish and coral in HCMR, with a 4-hour theoretical session and trip to the reserve for seven high school students. The purpose of the course was to familiarize volunteers with species found in the marine reserve.</li> <li>2. PADI diving certification. The 6-day course was given over three weekends and included theory and practice. Fourteen people participated: 10 high school students, 3 medical students and the science teacher at the local high school. The objective of the course was to train a group of volunteers to participate in monitoring of reefs and as recreational diving guides.</li> <li>3. Training as NAUI dive instructor for HCMR staff members, aimed particularly at the director and rangers. The course included 3 days on rescue, 3 days on nitrogen, 3 days preparation as an instructor and 13 days of training as an instructor. The purpose was to provide the reserve with capacity to train staff and other associated personnel, and thus reduce the costs of training staff to work in the marine reserve.</li> </ol>	<p>Selected high school students</p> <p>Medical students</p> <p>Peace Corps volunteers</p> <p>Staff members of HCMR and other protected areas (Bacalar Chico)</p>	<p>The education program was aimed at helping high school students to understand the importance of conservation efforts for the protected areas and related problems. However, it was not an effective mechanism for forming a group to support the work of the reserve. Respondents gave several reasons for this:</p> <ul style="list-style-type: none"> <li>-The students finished high school and left the island to study at the university.</li> <li>-The few who stayed are more interested in moneymaking activities than in volunteer work because of the high cost of living and competition in activities with economic potential.</li> </ul> <p>Volunteerism in San Pedro is more sustainable if it involves Peace Corps volunteers or retired foreigner residents willing to help out. The program included training for one Peace Corps volunteer currently carrying out activities on behalf of HCMR.</p> <p>In terms of staff from HCMR and other reserves, training improved their skills in interacting with tourists and improved performance in this area while carrying out their functions.</p> <p>It is expected that diving instructors will be available, as well as staff trained to provide training for park rangers, thus lowering training costs</p>	<p>The program was not carried out as planned in the HCMR Educational and Training Project Progress Report (Green Reef, 1999.)</p> <p>Respondents said this was mainly due to the lack of local interest and lack of incentives motivating the target group to get involved.</p> <p>It is noteworthy that tourist guides did not participate in any of the program activities. Initially they were supposed to become involved via obligatory courses for certification and refresher courses for tourist guides, organized by the Belize Tourist Board. Because of planning errors, however, no funding was available at the right moment and later on guides were unwilling to spend their free time in other training courses.</p> <p>No community volunteers were involved either, and the number of students participating was lower than expected.</p> <p>The program's effects were also limited in some ways. Volunteer groups were not selected well. Students did not make a commitment to the reserve, many left the island and the volunteer program did</p>

	<p>4. Training for rangers in order to improve customer service and public relations as important elements of HCMR sustainability. Six people participated: the HCMR manager, the Peace Corps volunteer, 2 HCMR rangers and two rangers from Bacalar Chico Park. (Three participants were also trained as tourist guides.) Training consisted of three modules:</p> <p>a. <i>Customer Service</i>: Two, 3-hour sessions with a practical emphasis  b. <i>Public Speaking</i>: Two, 2 ½ -hour practical sessions  c. <i>Training for trainers</i></p> <p>5. Preparation of the "Conservation Manual" and training for volunteers</p> <p>The objective of the manual was to provide tools to strengthen training for reserve volunteers.</p> <p>The manual consisted of six major themes or modules: the importance of biodiversity, general principles of marine ecosystems and environmental conservation, adverse impacts from habitat destruction and human impact, issues in local conservation, protected areas in Belize and in HCMR and elements for creating and maintaining a marine reserve.</p> <p>Nine people (6 high school students and 3 medical students) were trained during three afternoon sessions lasting an hour and 15 minutes each for readings and discussion on the six topics.</p>		<p>for staff connected with the protected marine areas in Belize and improving performance.</p>	<p>not prosper.</p>
<p><b>2. Economic assessment of tourism sustainability in HCMR</b></p>	<p>The output was translated into the document, "Assessment of Tourism Sustainability at the Hol Chan Marine Reserve and Rapid Economic Valuation of Environmental Services"</p> <p>In December 1999 a survey was made of 51 people, including specialists (to determine the importance of HCMR goods and services), tourists and residents to identify the area's services and attractions and apply the contingent valuation. Main findings were: a) the coral barrier reef is the main attraction for visiting San Pedro and generates the most benefits for the community, motivating residents to protect it; b) 75% of visitors would be willing to pay more to enter the reserve, meaning that the number of visitors could decline but income would rise.</p> <p>The study was complemented by a bibliographical review of HCMR, economic valuation of environmental quality, conservation and natural resources, contingent valuation, marine reserves and ecotourism</p>	<p>Fisheries Department  HCMR Management</p>	<p>Evaluation findings have been utilized by the HCMR administration to raise the park admission fee. This has translated into a substantial increase in income for the reserve, which will seek financial self-sustainability through the use of a trust fund.</p> <p>The study also raised the awareness of the Fisheries Department regarding the need for such analysis in establishing suitable fees and promotion of protected areas.</p>	<p>Although the assessment was made by consultants results were appropriated by the HCMR administration, mainly because the findings addressed the reserve's priorities.</p>
<p><b>3. HCMR Management Plan updated</b></p>	<p>The output is the document detailing the updated HCMR management plan, which has 14 sections and 4 appendices:</p> <p><u>Section 1</u> describes the need to protect the Hol Chan area as a reserve, its history and the legislative authority that governs it.  <u>Section 2</u> describes the regional setting and other general information on the area.  <u>Section 3</u>: information on the physical environment  <u>Section 4</u>: information on the biological environment  <u>Section 5</u>: socioeconomic information (types of fishing and tourism</p>	<p>Fisheries Department  HCMR Management</p>	<p>The HCMR Management Plan was approved by the Fisheries Department as a guiding document for sustainable use and management of marine resources in the area.</p> <p>Zoning will make it possible to maintain sections designated for strict protection while others are</p>	<p>The Belize protected areas system does not recognize management plans as legal documents, but as a guide for work. Respondents indicated that the work carried out led to a recognition that the plans should be legal documents to give the reserve regulatory</p>

	<p>activities in the reserve and education, research and monitoring programs)  <u>Section 6:</u> major limitations and potential management problems affecting efficient management of the reserve  <u>Section 7:</u> current boundaries and zoning plan, along with regulations for each zone  Section 8: program of laws and existing surveillance  <u>Sections 9 and 10:</u> programs for managing reserve resources  <u>Section 11:</u> management strategy to reduce reef damage  <u>Section 12:</u> current tourist and recreational activities  <u>Section 13:</u> administration and maintenance of the reserve  <u>Section 14:</u> proposed plan for financial self-sustainability</p> <p>The updated plan also contains appendices with the most innovative information included in the plan update: HCMR legislation; Board of Trustee Regulations; Fish in HCMR; Corals, Sponges, Plants and other invertebrates in HCMR.</p> <p>The plan prescribes a zoning scheme for protection of specific natural elements, maintenance of environmental services, tourism and fishing, and a self-sustainability plan that could provide capital and support reserve operating expenses.</p>		<p>more flexible, excluding destructive activities by encouraging others, such as sport fishing. This opens an opportunity for resolution of conflict among fishermen, conservationists and those using the area for recreational purposes.</p> <p>However, the plan was not formulated in participatory form, nor was there any special event to present it to the different stakeholders. Once finalized, it was sent to different organizations for their comments, but they did not respond. Those interviewed felt there was a lack of commitment in the organizations but also that more substantive lobbying and awareness raising was needed.</p>	<p>system more coverage. However, it was also recognized that the plans need to be updated continually.</p>
<p><b>4. Approval of the current proposal for extension of HCMR, supported by the project</b></p>	<p>The reserve was extended through "Statutory Instrument No. 101 of 1999." The extension was achieved as planned.</p> <p>Once the extension was approved, tourist guides and the community in general were invited to a public meeting to inform them of the extension and its implications in terms of their interaction with the reserve. The community was also informed through local media: Ambergris Today Newspaper, San Pedro Sun Newspaper, Advertisement Reef Radio, a commercial on Coral Cable Vision, San Pedro distributor.</p>	<p>Fisheries Department  HCMR  Reserve users</p>	<p>Extension of the reserve permitted better zoning in the updated management plan. Pressure on the area of interest was distributed and areas of strict conservation and certain forms of use were defined, thus benefiting the different users.</p>	<p>Initially the output was to be achieved through lobbying for the extension of the reserve with the Ministry in charge. However, due to errors in planning, the money became available when the resolution had already been issued, so was invested instead in a public relations meeting with the community regarding the extension.</p>
<p><b>5. Sources of contamination of HCMR qualitatively identified</b></p>	<p>The output was a document with the findings of the study.</p> <p>This was coordinated by the Peace Corps worker, assisted by 10 volunteer high school students and four medical students. A map of San Pedro Town was divided into four zones that were investigated and photographed. Seven categories of pollution were established: organic waste, metal, batteries, plastic/paper, petrochemicals, agrochemicals and wastewater.</p> <p>Findings:  <i>Zone 1</i> (Boca del Río to Tarpon Street) A great deal of batteries and plastic waste was found in the inland lagoon, as well as evidence of mangrove cutting and logging. There was little pollution in the beach zone, but it was discovered that mangrove had been cut and there were seawalls, several run-off pipes and a larger concentration of San Pedro tourist resorts. The two Texaco gas stations provided no information on how they got rid of used oil.</p>	<p>WASA (Water &amp; Sewage Authority):  San Pedro town dump  San Pedro Town Board (SPTB)  Ecological groups  Tourist sector  HCMR</p>	<p>The study was distributed to different San Pedro organizations (local authorities, NGOs, Fisheries Department, local and national media.) Around 50 people attended the presentation of the study and its main findings were published and televised in the country's major media.</p> <p>Based on the study, HCMR and the Fisheries Department understood the need for a more in-depth investigation through a quantitative evaluation. A proposal was drafted and presented to the OAK Foundation, which approved 50%. At</p>	

	<p><b>Zone 2</b> (Tarpon Street to Blake Street) The inland lagoon contains large quantities of metal and wood scraps. Few residences have their own septic systems. A substantial concentration of decaying material was noted along the shores of the lagoon. At the beach there was a high density of plastic and metal waste, including batteries and paint cans floating in the water. A gas station and several drainpipes are located in this zone.</p> <p><b>Zone 3</b> (Baker Street to the southern edge of Ambergris Caye) Piles of garbage can be observed at the inland lagoon along the road going from Sea Grape Drive to the San Pedro dump. The town dump is located within the mangrove barrier. Resorts located there use pesticides and fertilizers. The beach zone is not cleaned on a daily basis. There is no recycling system for garbage. Most of the homes have private septic systems.</p> <p><b>Zone 4</b> (Perimeter of San Pedro Town) Observation by boat. Mangrove cutting is extensive and wetlands are full of construction debris from new residential areas. Styrofoam and plastic in the mangroves. Water at the dock area is discolored, with floating refuse.</p> <p>Other information from interviews with the following:  <u>WASA (Water &amp; Sewage Authority)</u>: Only 30% of the sewage system is being used by residents, many of whom prefer to maintain their own private septic tanks. Many zones on the island have no sewage service. Wastewater is treated in facilitative ponds with no effluent since levels still stay low.  <u>San Pedro town dump</u>: Functioning for three years. 20 truckloads of garbage are deposited each week. The previous dump, used for 10 years, was turned into a residential area. It appears excavation took place below the water level, probably causing pollution of freatic water and possibly coastal water.  <u>San Pedro Town Board (SPTB)</u> reported that beaches are cleaned daily and that the board is also responsible for collaborating with the authorization process for dredging, fill and restoration of beaches. A critical area of sea grass has been lost in these processes, increasing turbidity and the accumulation of sediments. Along with town dredging, there are reports of illegal dredging in the area of Tres Cocos. The town is also responsible for constructing multiple piping along the beach to control run-off from heavy rains. The resulting effluent contains a large amount of sediments that can contain contaminants.</p> <p><u>Forestry Department</u>: In charge of controlling mangrove cutting.  <u>SAGA Society</u>: There is a large number of street cats and dogs that could contribute to pollution problems in San Pedro, scattering garbage and producing organic pollution.  <u>Hotel and resort owners</u>: some resorts use pesticides and/or fertilizers</p>		<p>the time of the evaluation support for the other 50% was being sought through the Mesoamerican Reef System Program.</p>	
<p><b>6. HCMR staff trained</b></p>	<p>A training workshop was held on proposal writing; methodology, results and annexes are included in the proceedings.</p> <p>The workshop was mainly aimed at the officials of marine protected areas</p>	<p>HCMR Fisheries Department Bacalar Chico</p>	<p>The workshop built capacity for writing proposals to raise funds for protected areas. Some of the proposals generated from the</p>	<p>The major beneficiary of the workshop has been HCMR, the only protected area with a trust fund, allowing it to raise</p>

	and other support organizations: 2 from Bacalar Chico NP/MR, 2 from the Fisheries Department, 1 from the Saga Society, 1 from HCMR, 1 from Green Reef, 1 from Caye Caulker FR/MR	NP/MR Saga Society Green Reef Caye Caulker FR/MR	workshops were the proposal for strengthening the reef monitoring program, environmental education in San Pedro and funds for maintenance of launches and marine equipment used HCMR. The first and third of these received funding.	cooperation funds. The NGO Green Reef also benefited greatly.
<b>UNPLANNED OUTPUTS</b>				
Improvement of the HCMR Visitors Center in San Pedro	The objective of this output was to find ways of integrating locals and tourists with the protected area through an improved visitor center. Talks and presentations of videos and other didactic materials were made available to local schools and the general public.  Improvements involved carpentry, paint, neon lights and brickwork. Brochures on the reserve were printed and 12 didactic posters were created for the center with funding from the Norwegian government.	HCMR	To date some educational videos have been shown, and student groups and tourists are attended, but no plan has been formalized regarding the center's functioning and visitor attention so that activities can be organized on a regular basis.  The appearance of the center and work facilities improved substantially with the remodeling.	

<b>ISLA BASTIMENTO NATIONAL MARINE PARK</b>				
<b>OUTPUTS/ RESULTS</b>	<b>OUTPUT ACHIEVEMENT LEVEL</b>	<b>USERS OR STAKEHOLDERS INFLUENCED BY THE OUTPUTS</b>	<b>OUTCOMES How do stakeholders use the outputs or are influenced by them?)</b>	<b>COMMENTS</b>
<b>1. Environmental education program established</b>	The purpose of investing in this output was to complement a PROARCAS/Costa-promoted environmental education program to help communities become better prepared for participating in the design of the park management plan. The investment of the BMZ-IUCN project was to incorporate the component of conservation and ecotourism and strengthen the program in general.  The main output was the compilation of the educational program, including materials, procedures, methodologies, etc., so that it could be used as a model in other communities.  The program was divided in six modules: Friends of Nature, Friends of the Mangrove, Friends of the Coral	The program focused on the adult population in 8 indigenous Ngobe communities near the marine park: Bahía Honda-33; Cayo Agua-36; Isla Tigre-37; Popa 1- 46; Popa 2 – 45; Quebrada Sal – 55; San Cristóbal – 66; Solarte – 38  Total number of people participating in the program: 356	A survey made before and after the environmental education program was carried out showed a change of perception and greater community openness regarding: -valuation of their local resources -tourism in their communities -possible adverse impacts of tourism on their culture -in general, the incorporation of ecotourism activities as a complement to their livelihoods  In addition, active participation of the communities was achieved in the formulation of the management plan for IBNMP and nearby areas. The plan is now being	The education program proved very effective. The perception of those interviewed was that a way should be found to install this type of program on a permanent basis. However, it was recognized that even with the existing material, resources are needed in order to pay for community promoters' educational work and for the long costly trips to communities.



	<p>Reef, Friends of Ecotourism, Friends of the Marine Park, and Management Plans. Each module involved different complementary components to reinforce central concepts: color booklets, slides and a video. Although not created by the project, the last two were very useful for strengthening the process.</p> <p>The outputs of the BMZ -IUCN project in the program included 2 posters ("Your Friend the Mangrove" and "Communities and Ecotourism"); 2 booklets created in association with PROARCAS/Costa ("Friends of the Mangrove," "Friends of Ecotourism"); design of the booklet, "Friends of Sea Turtles"; printing of 1000 copies of the seven different booklets and later 200 copies of the three booklets mentioned above; a set of slides for each module and the creation of 8 murals in communities to promote program materials and community activities.</p> <p>In addition, a group of three indigenous Ngobe promoters was formed for environmental education. A seminar was held for educators in the province on marine environmental education, with a refresher seminar for community leaders; radio announcements were aired to promote the program and an evaluation was made of program results.</p>		<p>discussed by pertinent authorities prior to approval.</p> <p>Group of three bilingual Ngobe teachers trained in disseminating the modules.</p>	
<p><b>2. Economic assessment of tourism sustainability in Bocas del Toro</b></p>	<p>The output was translated into the document, "Assessment of Tourism's Sustainability at the Hol Chan Marine Reserve and Rapid Economic Valuation of Environmental Services"</p> <p>43 individuals were interviewed in September 1999, including specialists (to determine the importance of the goods and services provided by IBNMP) and tourists and residents to identify area services and attractions through a contingent valuation. Main findings:</p> <p>31% of the tourists interviewed indicated that the reefs were the main tourist attraction in Bocas del Toro, while 12% mentioned the beaches. 39% think that, on the average, lodging prices are acceptable and quality is good.</p> <p>The local population said that tourism is the main benefit provided by IBNMP, with the local community as the primary beneficiary (development of services and employment) with biodiversity second due to the overall benefits. Suggestions by locals included expanding the area, sustainable growth of the hotel industry, lowering the entrance fee, training tourist guides and improving the conduct of tourists in IBNMP.</p>	<p>ANAM and IPAT</p>	<p>The assessment served as an objective confirmation of data, behaviors and elements associated with the reserve that were already known intuitively.</p> <p>It also contributed items of interest, such as evidence that reserve fees along with transportation costs are too high, especially when there are places with significant attractions that are closer and not as expensive for tourist to visit. It was also clear that park visitation could increase with good marketing, improvement of infrastructure and provision of services.</p>	<p>According to those interviewed, this evaluation was not a priority output within the local context. Tourism in Bocas del Toro is growing and is thus changing very rapidly, and its behavior is not very stable.</p> <p>However, it was considered that the output offers a tool that can be used as input for ANAM and IPAT in the near future in order to:</p> <ul style="list-style-type: none"> <li>-Improve park services</li> <li>-reassess resources</li> <li>-adjust entrance fees at given intervals</li> <li>-as a tool for management plans and action in the reserve</li> </ul>

	<p>The contingent valuation provided the following results: Admission fee: 60% would be willing to pay a higher amount to contribute to conservation of the protected area. Those responding negatively argued that the fees were very expensive and getting into the reserve even more so in relation to the quality of services offered in the park.</p>			
<p><b>3. Proposal, "Participatory plan for tourism development in Bocas del Toro"</b></p>	<p>Drafting of the document, "Basic Guidelines for Participatory Planning of Tourism Development in Bocas del Toro"</p> <p>This document originated as an initiative to promote dialogue and participatory coordination between civil society and government regarding tourism development in the area, and is divided into three general themes:</p> <p>a. Analysis of the situation from the perspective of local actors interested in sustainable tourism development in the zone; b. Analysis of megatrends, identification of strengths, opportunities, weaknesses and opportunities as key elements for defining strategies for different terms; and c. Definition of a future vision.</p> <p>For this output, different activities were developed and jointly funded by PROARCA/Costas and IUCN. Activities went well thanks to this synergy, such as the exchange of experiences in tourism development with civil society and other sectors in Costa Rica's southern Caribbean and a workshop with local stakeholders to define guidelines for sustainable tourism development with support from an outside consultant.</p>	<p>Representatives of local communities</p> <p>Bocas del Toro Consultative Council and local NGOs</p> <p>IPAT</p>	<p>Based on the activities carried out there was greater awareness and preparation of local communities to define the risks and benefits of tourism development. Greater motivation to strengthen their cultural identity and right to influence decisions and participate in the development of this important sector.</p> <p>This document has served as an ideological foundation for tourism development processes underway in Bocas del Toro. It was also used by the Consultative Council as input for the design of the IBNMP Management Plan. A work commission of the Bocas del Toro Consultative Council was formed to refine the proposal, negotiate with IPAT and follow up on the process.</p> <p>The results of this work were presented to IPAT but no agreement or progress was achieved toward eventual work on the proposal for its institutionalization. Local officials have not shown any interest in the topic.</p>	<p>Although it can be said that the output was achieved and general guidelines for sustainable tourism development are now available, this is a weak tool for influencing tourism policies. The document defines themes of interest and procedures that should be addressed, and forms working groups for this purpose, but the content still needs to evolve into concrete proposals that can be negotiated with the pertinent authorities. The working committee formed plans to develop a proposal and bring it directly to Panama as a proposal from civil society.</p>
<p><b>4. Training and technical assistance on tourism and protected areas for a group in a pilot community</b></p>	<p>The output was the participatory design of the "Profile for an ecotourism project in an indigenous Ngobe community neighboring IBMNP." The document contains the project description, infrastructure and organizational designs, photographs of different elements from the drafting of the profile and the construction budget.</p> <p>Another output was the proposal to carry out this profile, along with additional components: community farm and handicraft and cultural development.</p> <p>The objective was to design a model ecotourism project that could be replicated in other communities near the park in order to integrate them in regional ecotourism opportunities as a <i>complement</i> to livelihood activities. The objective was totally achieved and expectations were surpassed.</p>	<p>Popa 2 Ngobe community</p> <p>Committee of Women Artisans (consisting of ten women in the community)</p> <p>Other communities near IBNMP</p>	<p>The project proposal was presented and supported by the Mesoamerican Biological Corridor of the Panamanian Atlantic and the NATURA Foundation. Currently the project is in the implementation phase.</p> <p>The women's committee was strengthened by the project. Ecotourism offered a way for them to become more actively integrated in the process of local development and an opportunity for communal income.</p> <p>The ecotourism project became a model at the local level and is currently being replicated in different communities near the park.</p>	<p>Community participation in the entire process was essential for project ownership and viability.</p> <p>The model was adopted and is being replicated by another organization in different communities. However, those interviewed indicated that the model's formulation and implementation process was not respected, particularly in terms of training and participatory planning. This has generated certain adverse processes inside the communities, and there is a fear that in these new</p>

	<p>In developing the outputs, the emphasis was on women's participation. Due to its scenic attractions and cultural wealth, the Popa 2 community was selected from the six communities as a pilot case in designing the profile. The Committee of Women Artisans, a local organization, was chosen to lead the design of the proposal.</p> <p>During the process the women's organization was strengthened, and with support from IPAT, different community members were trained to design and implement the ecotourism project. Complementary to this process, a visit was made to the Embera-drua indigenous community in Río Chagres, Panama, where the community carries out an ecotourism project with the participation of its members. A visit was also made to the Metropolitan Nature Park and the Smithsonian's Marine Exhibits Center. After broadening the knowledge and capacity of community representatives, a workshop was held in the community to formulate the project, which was presented to the entire community.</p>	<p>IBNMP - ANAM</p>	<p>Ecotourism initiatives with the participation of local communities have been recognized as an alternative for reducing pressure on natural resources in the region.</p> <p>The initiative also helped communities to better understand the objectives of IBNMP, and thus increase respect and ownership by local communities.</p>	<p>communities the ecotourism process promoted is not being handled correctly.</p>
<p><b>5. Bocas del Toro tourist attraction identified</b> <b>6. Support for ANAM in the creation of new trails</b></p>	<p>This output was abandoned even before budgets were allocated in the work plans when it was discovered that IPAT had already identified tourist attractions in the zone. One output was the document, "Study of possibilities for the creation of new interpretative trails in communities neighboring IBNMP"</p> <p>The study document contains a description of the trails, budget, design and photos and an account of the activities carried out during the definition process.</p> <p>Initially five nearby communities were selected as possible sites for new trails, narrowed down to three on the basis of geographic, scenic and organizational viability. Two of the trails designed enter the park (Bahía Honda and Quebrada Sal) and one is located in adjacent zones (Popa 2.)</p> <p>The trails were designed with the participation of local communities, with different meetings held to identify the routes, infrastructure needs and interpretation elements, and to prepare a budget for trails and complementary educational campaigns and publicity. Communities were trained through the environmental education program and visits to tourist zones in the Embera community and along the Costa Rican Caribbean. The finished proposal was submitted to the communities for discussion and approval and a project was designed to request funding from the Mesoamerican Biological Corridor of the Panamanian</p>	<p>Communities of Bahía Honda, Quebrada Sal and Popa 2</p> <p>IBNMP</p> <p>ANAM - IPAT</p>	<p>Constructing trails offers an opportunity for communities to attract ecological tourism. The proposal also included construction of basic infrastructure (restaurant, lodging in some cases, and sanitary facilities), productive farms and other projects aimed at integrating different members of the community in ecotourism activities complementing productive and subsistence activities.</p> <p>It is anticipated that when the three additional trails begin to function pressure will be distributed away from the one trail existing in the park and from the park in general.</p> <p>ANAM and IPAT approved the trail construction proposal contained in the study, after which a project was designed and presented to the Mesoamerican Biological Corridor of the Panamanian Atlantic. The proposal was approved and is now being implemented.</p> <p>The initiative has generated important</p>	<p>The trail concept changed from interpretative trails for tourists to trails defined and managed by the local communities, providing a vehicle for them to reaffirm several aspects of their culture and find ways to complement their productive activities.</p> <p>This has enhanced receptivity to and local support for the objectives of the park.</p>

	Atlantic.		contributions to the process of drafting the IBNMP Management Plan, providing communities the possibility of creating and managing interpretative trails, some of which include zones inside the park.	
<b>7. Suitable inter-institutional coordination with respect to tourism and environment</b>	<p>The output was a document with an analysis of institutional competencies and a didactic guide on the different bureaucratic and institutional processes, incentives and legal requirements applicable to tourism investors in the province of Bocas del Toro, particularly zone 2, Bastimentos.</p> <p>In 1995 the national government issued a resolution (Cabinet Council Resolution 41 of February 13, 1995) declaring Zone 2-Bastimentos a tourism development area. This industry has been evolving but ignorance of relevant laws and other complementary regulations has caused difficulties for local, national and foreign investors when initiating or negotiating projects.</p> <p>The output was proposed as a way of solving this problem and to promote cross-sectoral coordination. Its development was basically a unilateral investigative process carried out by CARIBARO, a local NGO. The finished document was distributed to some governmental and nongovernment organizations.</p>	IPAT – ANAM – other GOs at the local level - NGOs – Consultative Council – tourism investors	<p>Although the document represented a good compilation of material and source of information on the topic, the output expected was not achieved.</p> <p>Those interviewed gave two reasons for this. First, the process of drafting the document was not participatory, losing the opportunity to open space for inter-institutional discussion on the theme. Second, the dissemination of the document was not conducive to promoting its ownership by interested stakeholders.</p>	<p>According to those interviewed, it was clear that compiling material and producing information alone does not generate processes of inter-institutional coordination required in this zone to facilitate tourism development in harmony with the environment.</p> <p>This issue continues showing itself to be a priority in the zone.</p>

## **ANNEX 5.**

### **EFFECTIVENESS & EFFICIENCY ANALYSIS: EASTERN AFRICA COMPONENT**

**NOTE: This annex is an extract of the Eastern Africa Component Evaluation Report**

#### **1.1. ACHIEVEMENTS OF THE PROJECT**

This section discusses the achievements of the project in terms of outputs (ie. tangible services provided and products produced) and their use (outcomes). With reference to each, a short narrative follows in which key issues arising, and the sustainability of the outputs and outcomes achieved are discussed.

As has been previously noted (see Section 2.1), the logical frameworks developed (1998 and 2000) for the East African component do not relate to that of the overall project. Therefore, planning and monitoring of project progress was carried out in relation to the component project Logical Framework, rather than that of the overall project. Consequently, this section reports on the findings of the review with reference to the East African component project objectives.

Although the objectives were revised in the year 2000, the project continued to use the 1998 logical framework as a monitoring tool for assessing progress. Therefore achievements have been reviewed and reported on (where possible) with reference to the "impact indicators" defined in the 1998 logical framework. Additionally, due to the delays in implementation, many of the outputs were achieved during the second "phase" (ie. from the year 2000 onwards). Outputs and their outcomes are therefore reported and discussed with reference to the "phase" in which they were achieved

#### **1.1.1 Phase I: Objective 1: Understanding of KMNP Goals, Functions, Benefits and Management Partnership Opportunities achieved through improved communication between KWS and stakeholders**

**Result 1.1:** Existing KWS (COBRA) obligations to fishers & small boat owners cleared and way opened for management partnerships.

##### **Impact Indicators:**

- o Past Problems resolved, trust rebuilt, & dialogue for partnerships begun before 09/98

**Outputs Achieved:** Following meetings with both KWS and representatives of the COBRA project, some of the outstanding obligations were met through straight cash payments by KWS. For those that could not be met directly, the Director of KWS visited the area and explained the reasons for the termination of the COBRA programme with community leaders.

**Outcomes & Discussion:** The meeting of some of the outstanding obligations and communicating the reasons for the termination of the COBRA programme was an important entry point to allow for a reestablishment of the relationship between KWS and the communities. Implementation of the BMZ project was highly dependent on the achievement of this result, and could not proceed otherwise.

**Result 1.2:** Existing KWS obligations to Wasini Women's Group cleared

**Impact Indicators:**

- o Boardwalk used by tourists & proceeds invested in village projects (late 1999)

**Outputs Planned and Achieved in Phase II:** Implementation was delayed due to the slow approval process of the construction by the Forest Department. Achievements have been discussed under Phase II, Objective I.

**Result 1.3:** KWS capacity to provide assistance to stakeholders assessed, prioritised, & communicated

**Impact Indicators:**

- o Clear understanding & agreement among stakeholders of KWS capabilities
- o Realistic requests for KWS assistance

**Outputs planned but not achieved:** KWS capacity to provide assistance to stakeholders assessed, prioritised, & communicated

For various reasons, including the delays in implementation and the subsequent need to prioritise activities, this output was not achieved. However, some of the sub-outputs (such as an assessment of options for improving the contribution of KWS to KMNP stakeholders) were achieved through XX. It was pointed out that this activity should have been carried out, as although there is a good relationship between communities and KWS, capacity for areas, such as project management and proposal writing and approval, within KWS need to be strengthened.

**Result 1.4:** Benefits of KMNP assessed, discussed with stakeholders & improved where possible

**Impact Indicators:**

- o Raised awareness/appreciation of KMNP benefits
- o Stakeholders participate in safeguarding benefits

**Outputs Achieved:** Economic Analysis of the KMNP/MMNR complex conducted and a report on "Financing the management of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya, through Partnership with Stakeholders" prepared and discussed with stakeholders.

**Outcomes & Discussion:** The report identified the important financial role that the complex plays in generating revenue for KWS, and recommended a management model based on partnership arrangements between stakeholders in the area. At the time the report was presented to KWS, the directorship and policies had changed and the recommendations could not be carried forward at the project site. However, the then new Director of KWS proposed that the model be tested at another site instead, the Diani National Marine Reserve and project funds were utilized to facilitate this. Additional funds were also secured from the McArthur Foundation and the Diani-Chale project is now being implemented by IUCN-EARO in collaboration with the ICAM Secretariat.

There were, however, conflicting views on the analysis itself. Some of the key stakeholders felt that the report was biased towards the local communities and the lack of benefits accrued to them from the park. It was pointed out that aspects such as the benefits arising from KWS and foreign investment from the larger boat operators were not factored in, and there was no comparison with what the situation may have been like had the park not been established. It

was further felt that the recommendations presented in the report were far too radical and would not have been accepted even prior to the change in Directorship and KWS policies<sup>1</sup>.

Conversely, the analysis was much appreciated by the park itself. Findings were utilized in the preparation of the management plan for the complex and used to highlight the discrepancies between the revenues generated and budget allocations. As a consequence, the Director of KWS visited the project site and allocations from the KWS HQ to the park were raised.

**Outputs Achieved:** A series of meetings<sup>2</sup> organised by the Kisite Warden and held between different stakeholder groups, and KWS, allowed for discussions regarding the roles and responsibilities of the different groups as well as the potential and realised benefits from coastal tourism and marine parks.

**Outcomes & Discussion:** The discussions contributed substantially to reducing the conflict between the different stakeholder groups (such as KWS and the local communities, the small and the large tour operators). They also served as an opening for continued dialogue (it was pointed out that the different groups had never met before), and the meetings continue to be convened by the Warden on a regular basis to resolve issues arising between the different groups<sup>3</sup>.

**Outputs Planned & Achieved in Phase II:** Monitoring Protocol developed for community-based monitoring of fishery data. This activity was carried under the Phase II Objectives.

**Outputs Planned but Not Achieved:** Synthesis of benefits of KMNP report

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<sup>1</sup> One respondent commented that given the fact that the size of the project site is small enough to be effectively managed, the recommendations would have been a definite success, and would have resulted in other parks demanding similar management structures. Autonomy of the parks was thought to be perceived as a threat to the KWS Headquarters, and in view of this, recommendations presented by the project were rejected.

<sup>2</sup> Examples of these meetings are; between local and non-local boat operators; with tour operators to discuss moorings; between the boat operators and the women group to discuss the mangrove boardwalk; and between KWS and the boat operators to discuss the ticket checking system

<sup>3</sup> It is important to note that much of the success and continuity of the outcomes are owed to the Warden, who invests much time and effort into ensuring that there is continued dialogue between the different groups (including KWS). It was emphasised that the Kisite Warden meets more regularly with stakeholder groups than any of the other Marine parks

### 1.1.2 **Phase I: Objective 2: Approaches & Mechanisms for Partnership developed through participation of all stakeholders, field tested & refined**

All results under this objective were redefined and outputs achieved through the Phase II Objectives, and are therefore reported on in Sections 2.4.3 and 2.4.4 below.

### 1.1.3 **Phase II: Objective 1: Partnership activities developed that benefit all stakeholders**

**Outputs Achieved<sup>4</sup>:** Micro Enterprise Needs Assessment conducted and a report on the "Enterprise Viability and Needs Assessment of Enterprises in and around Kisite-Mpunguti Marine Protected Areas complex" prepared. The needs assessment was carried out to assess the feasibility of the identified enterprises in the area and advise on these needs to ensure that they became self-sustaining.

Although the assessment provided a set of recommendations, which were later utilized in the community activities supported by the project; it was felt that the report provided little additional information and repeated what was already known. The activity was said not to be cost-effective and could have been carried out by the partners themselves.

**Result 1.1.** Wasini Community benefiting from income from mangrove boardwalk

#### **Impact Indicators:**

- o Boardwalk used by tourists & proceeds invested in village projects (late 1999)

**Outputs Achieved:** The boardwalk was constructed for the Wasini Womens Group with financial support from the KWS/Netherlands Wetland Programme. The BMZ project provided assistance in pursuing the process for obtaining authorisation from the Forest Department for the construction, developing a design and procedure for contracting the work and overseeing the process. Additionally, the management capacity of the Wasini Womens Group was enhanced through training in group dynamics and basic bookkeeping<sup>5</sup> by a consulting firm contracted by the project, and management guidelines developed by members of the group.

**Outcomes & Discussion:** The micro-enterprise activity has been highly successful to date. With the launch of the boardwalk, the group "underwent a rebirth and reconstituted itself through the assistance of the Park Warden" (PACT/Core, 2001). There is a strong sense of ownership for the boardwalk, and membership has risen from 36 in 1990 (which later went down to 6), to a total of 75 in the year 2002. A substantial amount of income has been generated from the boardwalk, and in February 2000, the group was able to share out dividends worth KSh. 3000/= (US\$ 40) to each of the 75 members. The income is utilized for a variety of needs, for which a certain percentage is allocated. This includes wages (3 group members have been employed for customer care and other administrative duties); necessary repairs; education for the children; tickets and stationary and a certain percentage set-aside for

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<sup>4</sup> This particular output contributed to Results 1.1; 1.2 and 1.3 below and is therefore reported here to avoid repetition.

<sup>5</sup> The need for training was identified through the micro-enterprise needs assessment



miscellaneous costs. The group is also highly aware of the need to conserve the mangrove forests and is making efforts to replant the area.

There were initial concerns regarding the land on which the boardwalk was built. However, the group has an authorization from the Forest Department for use of the land, and during the time of the review, they were preparing to get their annual license from the Department. Tenure does not seem to be an issue here, as the land being utilized is inter-tidal and therefore can only be managed as Trust Land by the County Council.

All respondents felt that the training had been extremely useful and was being utilized by the group in their day to day activities. However, it was also felt that given the fact that the group was very young and inexperienced, this in itself was insufficient to ensure long term sustainability of the enterprise. Soon after the project closed, PACT/Core, through discussions with both IUCN and the KWS Wetlands Programme, offered to extend the organizational development support to the group.

A major cause for concern regarding the sustainability of the enterprise is the groups marketing capacity. Currently the boardwalk is only being marketed with assistance from the Wasini Island Restaurant, who was initially approached by the group for assistance<sup>6</sup>, and this dependency may not be sustainable in the long term. The group had approached the Private Boat Operators Association (whose members are from the local communities) for assistance, but was refused on account that they were unwilling to pay the association a commission in return.<sup>7</sup>

There is a high level of awareness regarding the impacts from the enterprise on gender relations. Men within the village were consulted right at the onset, and have remained as "advisers" to the group (although there was some skepticism about this, as one respondent felt that it was merely to ensure that the money collected went to the household!).

**Result 1.2:** Mkwiro community benefiting from an alternative income generation activity  
**Impact Indicators:**

- o Stakeholder implementing & monitoring management activities for the benefit of both conservation and community livelihoods

**Outputs Achieved:** Based on the Mkwiro Women's Groups interest in seaweed farming, the project invested time and effort in researching the feasibility of the enterprise. Discussions were held with experts from within the region, and a representative of one of the major European seaweed importing enterprises. A pilot study was then initiated with funding from the KWS/Netherlands Wetlands Programme in collaboration with the Kenya Marine Fisheries and Research Institute.<sup>7</sup> community members were involved with the study at the time of the review, and attend to the trials on a daily basis.

**Outcomes & Discussion:** Preliminary results of the study are fairly positive, and the community members involved are extremely keen at the prospects<sup>8</sup>. However, there is some

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<sup>6</sup> The Restaurant is extremely supportive of the groups efforts, and meets frequently with them to discuss various issues. The Restaurant also hosted tour operators during the launch, (which provided the group with an opportunity to further market the boardwalk), and is looking into ways of increasing marketing opportunities in the future.

<sup>7</sup> There has been various other forms advertising of the boardwalk, such as a visit of Miss Tourism through the Kenya Tourism Board, and an article in a local environmental magazine, "EcoForum", in an edition sponsored by IUCN-EARO.

<sup>8</sup> Even after having been informed that the enterprise only begin to generate an income after 5 years, if it is successful

doubt over the feasibility of the activity. There is risk of predation by fish, and growth rates to date are insufficient, which may pose difficulties for the village to produce sufficient quantities to entice a buyer to the area. However, these are being looked into and experiments underway to increase the harvest.

**Outputs Achieved:** The Mkwiro Womens Group also participated in the training in group dynamics and basic bookkeeping. Additionally, 15 members participated in a study tour to the Tanga region in Tanzania where there is a lot of seaweed grown for the international market.

**Outcomes & Discussion:** There is no evident outcome of the training provided to the Mkwiro womens group, simply because there is no real opportunity for the group to practice the skills gained at this point in time. There were mixed reactions to the study tour to Tanga. Some felt they had learned a great deal, while others stated that they had not gained very much as they were unable to apply what they learnt.

**Result 1.3:** Boat Operators benefiting from tour guide activities

**Impact Indicators:**

- o Stakeholder implementing & monitoring management activities for the benefit of both conservation and community livelihoods

**Outputs Achieved:** Playing a primarily arbitrating role, KWS facilitated a meeting between local and non-local boat operators. The main purpose of this meeting was to discuss the perceived unfair competition between the local boat operators and non-local boat operators over tourist visitors to the marine park. During the meeting, it was agreed that the failure of local boat operators to comply with safety and licensing regulations was a contributing factor to the latter. Additionally, through discussions, it became evident that the local boat operators were of the understanding that KWS was going to provide financial assistance for licensing and insurance (an understanding that originated during the time of the COBRA project), and were waiting for them to do so. The meeting therefore also provided KWS further opportunity for clarifying their position and discussing the "way forward".

A Code of Conduct was also developed during the meeting, and the operators provided with guidance on how to upgrade and make their services more competitive through the installation of safety and life saving equipment.

**Outcomes & Discussion:** As with the study tour, there were mixed reactions regarding the meeting. Some respondents felt that it had been highly instrumental in demonstrating the value of dialogue and the need to work together as a group. However, it was also felt that the meeting had "*been badly managed and was highly political*", as local boat operators outnumbered non-local boat operators and decisions were made more "*in competition with the opposite group, rather than with regards to the issue itself*".

In spite of the conflicting views on the meeting, there is evidence of continued benefit as a result of the initial discussions;

Recognizing the fact that resolving conflict between these two groups will be an on-going process; the Warden continues to hold meetings of this nature on a monthly basis, bringing together different groups<sup>9</sup> to discuss specific issues as they arise. Local boat operators felt that as a result of this, there is a much-improved relationship between KWS and themselves, and

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<sup>9</sup> Prior to the review, two meetings had been held in 2002; i) one with the Kisite Private Boat Operators Association to discuss licensing and insurance's and ii) between all crew members, divers and KWS Rangers to "*bring together all the people who are out at sea all the time and forge a way forward in working relationship*" (managers were deliberately asked not to attend the meeting to allow the staff to be as candid as possible).

they are now able to work together and assist one another in the management of the park (for example, local boat operators report incidences of illegal fishing to KWS, and KWS ensures that the minimum charges for tours are adhered to).

The local boat operators also felt that the efforts to increase the safety standards of their boats had also paid off and they now have much more business than before. This has also been as a result of increased efforts in marketing. Whereas previously they would wait for visitors to come to Shimoni, they now market their tours in Mombasa, through beach boys and the Kisite Brochure which was also developed with the assistance of the BMZ project (see next section).<sup>10</sup>

It is important to point out that while there has definitely been an improvement in the relationship between the local boat operators and KWS, this has not been the case with the non-local boat operators. It was felt that there is now an *"un-level playing ground"*, where KWS enforces *"one law for the local and another for the non-local operators"*, further *"ostracizing foreign investors and causing a growing rift between them and the local communities"*. The Warden acknowledged the problem, and is making considerable attempts to resolve the continued conflict through encouraging continuous dialogue between the groups and ensuring that the Rangers adhere to the rules and regulations agreed upon.<sup>11</sup>

There were also conflicting views on the use of the Code of Conduct developed. While it was felt that there had been no change in the condition of the local boats, and those seen to be going into the park looked unseaworthy, it was also reported that considerable effort was being made by the local operators to secure licenses and insure their boats. However, this may have been more as a result of an accident that occurred off Wasini Island during which a local boat carrying tourists without insurance was seriously damaged. Following the accident, a meeting was held between KWS, licensing authorities and the local boat operators. Consequently, all vessels were inspected by the boat and now have either interim or full licenses.<sup>12</sup>

In spite of the conflicting views, it was pointed out that this is the second time a Code of Conduct has been developed, and it was felt that this was much more successful than the first. The reason given for this was that *"this time it was developed properly, in consultation with the boat operators themselves"*.

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<sup>10</sup> It was also reported that local boat operators are illicitly using brochures of the Wasini Island Restaurant to market their own tours - adding to the problem between the restaurant and the local tours.

<sup>11</sup> As many of the Rangers come from the area, this is not always an easy task.

<sup>12</sup> The incident was reported in the media, having come to the attention of the press by "a resident of Shimoni blaming the accident on the KWS for allowing unseaworthy and unlicensed vessels into the marine parks". (Nation, 3<sup>rd</sup> Jan, 2002). KWS retaliated by stating that "those who were complaining about the traditional boats were foreigners with big boats who wanted to take all the business at the expense of the locals". This exchange has further contributed toward the ongoing conflict between local and non-local boat operators; as well as between KWS and the non-local boat operators.

**Result 1.4:** Fisher community sees benefit from the park/reserve

**Impact Indicators:**

- o Raised awareness/appreciation of KMNP benefits
- o Stakeholders participate in safeguarding benefits

**Outputs Achieved:** Fish catches landed at Mkwiro village were monitored from January 2000 to June 2001. The data collected was presented at a workshop held with participants from three marine protected areas in Kenya, as well as fishermen representatives from Tanga, Tanzania. The main aim of the meeting was to exchange ideas on "the various practices of fishermen from the different areas represented" (Fishermen's Workshop Report, 2000).

**Outcomes & Discussion:** In addition to a recognition of the benefits provided for by the marine park, in terms of increased fish catches, it was felt that the meeting provided an important opportunity for the different groups to discuss and further appreciate their respective roles. This has been discussed in detail in the Final Report, and therefore will not be repeated here.

Although there was much enthusiasm for the monitoring exercise, there is currently no funding available for its continuation. The KWS officer responsible, however, reported that there were efforts being made to secure funding to continue the activity and replicate it in some of the other marine parks.

#### **1.1.4 Phase II: Objective 2: Lessons learned from experience at Kisite identified and disseminated**

**Result 2.1:** Report on management model for an MPA using Kisite as a pilot site published

**Impact Indicators:**

- o None Identified

**Outputs Achieved:** Report on Management Model for an MPA using Kisite as a Pilot Site published based on a revision of the report on the economic analysis of the KMMP/MMNR (Section 2.5.1, iv). The report was published with the title, "Economic Constraints to the Management of Marine Protected Areas: the case of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya".

**Outcomes & Discussion:** The report was widely distributed and is said to be appreciated greatly. However, it was not possible during the review to gain any information on specific outcomes of the report.

**Result 2.2:** Information on Kisite NMR collated and made available to all stakeholders

**Impact Indicators:**

- o None Identified

**Outputs Achieved:** A Brochure on KMNP/MMNR was developed as an education and awareness tool. The brochure is being used to promote the Wasini Women's Group mangrove boardwalk, as well as by the Private Boat Operators Association for their own marketing.

**Outcomes & Discussion:** Although both community groups say that the brochure has been extremely useful, it was felt that it was "*too general, covering almost everything*". There are discussions within the Wasini Womens Group underway to develop a brochure, which would cover the boardwalk in more detail, as well as cultural considerations of the Wasini village.

**Outputs Achieved:** Annotated Reference List Compiled & Distributed. The list provided references of materials related to the South Coast of Kenya and was distributed to relevant key institutions.

**Outcomes & Discussion:** There were doubts expressed regarding the utility of the reference list - mainly because it was felt that there is not a culture of using references and extensive background reading in this region.

#### 1.1.5 **Overall Objective 4: Experiences Gained during the implementation of the project shared with those working in Central America (IUCN-ORMA) and Lessons Learned that have Global Application Derived**

Although not defined in either of the component project logframes, an Interregional Workshop was held in June 2001 (IUCN-ORMA and IUCN-EARO) primarily to achieve the fourth overall objective. The meeting was also aimed at distilling globally applicable project results that could be integrated into on-going activities or used to develop further initiatives on sustainable marine biodiversity conservation.

Four participants from East Africa attended the workshop, including the Warden from the project site, and the two EARO focal persons responsible for the project, all of whom gave presentations. Overall, it was felt that the workshop was useful in terms of sharing experiences and as a learning exercise. However, it was felt that "the workshop suffered from the lack of participation by other experts in relevant fields", notably those from IUCN's Biodiversity and Economics Programme and from WCPA-Marine (which was said to be due to the late planning of the workshop and budgetary problems (Trip Report by Sue Wells, June 2001).

Ideas were identified for future work through workshop group discussions, however there were no clear decisions on how to take this forward. Additionally, there was no follow up after the workshop with participants from Eastern Africa on ways in which the lessons learnt could be carried forward to their own respective institutions.

## 2 Conclusions & Recommendations

### 2.1 HIGHER LEVEL OUTCOMES & IMPACTS

The capacity of this review to assess higher level outcomes and impacts was limited for several reasons, which included:

- i) Impact, in most cases, cannot be directly attributed to any single intervention, and consequently establishing a cause-effect relationship at a higher level tends to be impossibility. The BMZ project worked within an area where several interventions (past and ongoing) contribute to changes in the environment and people<sup>13</sup>. It would therefore be impossibility for this review to establish the changes brought about by the project alone; and
- ii) To effectively assess the performance of any intervention, project plans need to clearly define desired states at the onset. In the case of the BMZ project, overarching impact indicators are difficult to identify from the project plans. Additionally, the nature of the project was altered almost completely when there was a change in KWS directorship and policies, thereby making it difficult to utilize the initial project planning documents as performance measures.

Due to the above reasons, respondents were reluctant to comment on the impacts of the project (in terms of changes to the environment and the people), and focused mainly on changes brought about in the relationship between the different stakeholder;

#### **Forging Effective Partnerships with Stakeholders for Collaborative Management**

The project contributed considerably toward the change in relationship between KWS and the local communities. By encouraging dialogue between the two parties, and ensuring that previous issues arising from the COBRA project were discussed and resolved where possible; the project was instrumental in providing an opening for the establishment of a working relationship.

The establishment of effective partnerships between stakeholders, most especially in areas where multiple stakeholders have an interest in a common resource, is by no means an easy task and requires a long-term investment. This is recognized by the KMNP Warden, who continues to facilitate meetings between the different stakeholders, and between KWS and the stakeholders.

This seems to have contributed towards the effective management of the KMNP/MMNR complex. It was reported that whereas previously KWS played primarily a "policing" role, which requires a huge investment of resources, now there is a growing awareness of the benefits provided by the complex, and by working with KWS. Local communities now report incidences such as illegal fishing, and the under-pricing of boating tours to KWS, thereby assisting them in carrying out their management role.

However, the relationship between the local and non-local operators continues to be difficult. Non-local operators feel that they have not been involved as an equal stakeholder, and the project did not make any deliberate efforts to include them. Changes to the relationship will be largely dependent on the way in which KWS relates to the different stakeholders in the future, and in the

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<sup>13</sup> Additionally, the project was extremely small in terms of resources invested in comparison to some of the other interventions

present circumstances, this is largely dependent on the individual responsible for managing the complex as opposed to institutional policies.

## ANNEX 6: LIST OF PERSONS INTERVIEWED

### In Kisite Marine National Park & Mpunguti Marine National Reserve Demonstration Site

Name	Title	Organisation
Irene		PACT -Core
Ali Kaka	Director	EAWLS
Amina Abdalla	Projects Co-ordinator	IUCN-EARO
Sue Wells	Co-ordinator, Marine & Coastal Programme	IUCN-EARO
Edmund Barrow	Co-ordinator, Forest Conservation Programme	IUCN-EARO
Yemi Tessema	Former Programme Officer, EARO	IUCN-EARO
Sam Weru	Monitoring & Evaluation Specialist	KWS
Dr. N. Muthiga	Regional Biodiversity Co-ordinator	KWS
Janet Kaleha	Warden - Kisite National Park	KWS
	Representatives	Wasini Womens Group
	Representatives	Mwikiro Womens Group
Private Boat Operator's Association	Chairman	Private Boat Operators Association
	Representatives	Shimoni Fishermen's Group
Sally Mullens	Manager	Wasini Island Restaurant & Kisite Dhow Tours
	2 Members of Staff	Wasini Island Restaurant & Kisite Dhow Tours

### In Isla Bastimento National Marine Park & Hol Chan Marine Reserve Demonstration Sites.

Name	Title	Organisation
<b>Isla Bastimento National Marine Park Demonstration Site</b>		
Francisco Pizarro	Project Coordinator	ORMA
Rocío Córdoba	Wetlands and Coastal Zone Programme Coordinator	ORMA
Paola Gastesi	Wetlands Programme Assistant	ORMA
Rubén Navarro	Project Committee Member in Bocas del Toro, and AMIPETAB Director	Asociación AMIPETAB
Angel Gutiérrez	Project Committee Member in Bocas del Toro, and PROMAR Director	Fundación PROMAR
Eligio Binns	Project Committee Member in Bocas del Toro	PROARCAS/Costas
Rutilio Milton	Communal leader	Bahía Honda Community

Name	Title	Organisation
<b>Hol Chan Marine Reserve Demonstration Site</b>		
Mito Paz	Executive Director	Green Ref.
Miguel Alamilla	Manager	HCMR
James Azueta	Coordinator Ecosystem Management Unit	Fisheries Department
	1 Student	San Pedro High School



## ANNEX 7. INTERVIEW GUIDE

### PROJECT STRUCTURE & APPROACHES

For all of the questions below -

I. Reflect on the effectiveness & relevance of the following approaches used:

- Interactive Participation
- Issue Based Management
- Regular Communication leading to understanding

II. Highlight **Key Problems** encountered and **Solutions** used to address the problems.

A. How was the Project initially designed? How effective and relevant was the approach in addressing the identified needs, issues & challenges facing people & the environment?

- ∫ Selection of Project site?
- ∫ Selection of key partners?
- ∫ Selection of key stakeholders & beneficiaries?
- ∫ Development of the LFA and workplans?

B. What **Management Structures** were established and how effective were they? Why? Why not?

(capacities of project partners; availability of required resources etc.)

- o Project Management & Financial Management
- Partnership Agreements formed: roles & responsibilities
- Monitoring, Reporting & Assessment Procedures
  - o Decision Making Processes:
- Partnership Agreements formed
- Technical Steering Committee (How often did it meet? Quality of meetings & follow up on decisions made?)
- Other mechanisms for decision making? Who was involved?

C. In what form and how effective was the technical support that was provided to the project?

- ∫ Marine & Coastal Mgt
- ∫ Social Policy etc.

D. How has the project contributed to overall Key Results & Strategies of IUCN?

### PROJECT OUTPUTS & OUTCOMES

For each of the achieved outputs outlined below:

- Comment on whether or not you feel the outputs were generated as expected (in quality & time)
- Identify Key Outcomes (stating how they contributed to the overall objectives)
- Were there any unforeseen problems, and how well were they dealt with?
- Comment on the sustainability of the outputs & outcomes, reflecting on;
  - Established structures, mechanisms, financial resources, materials
  - Levels of stakeholder participation
  - Levels of partners & stakeholder engagement

## **IMPACTS OF THE PROJECT (CONTRIBUTIONS TO THE OVERALL GOAL)**

### **OVERALL GOAL -**

**"CONTRIBUTE TOWARDS ECOLOGICALLY AND ECONOMICALLY SUSTAINABLE MARINE & COASTAL BIODIVERSITY CONSERVATION THROUGH INTEGRATION OF COASTAL COMMUNITY LIVELIHOODS, DEVELOPMENT OF COASTAL TOURISM AND MARINE PROTECTED AREAS "**

Where possible, comment on the impacts (positive & negative) of the project on:

#### A) The People:

- Behavior - with regards to the natural resources
- Behavior - with regards to collaboration & relationships between stakeholder groups
- Participation in decision making processes
- Income
- Food Security
- Equity
- 

#### B) The Environment:

- Species & Ecosystem Health (tendencies and condition)

## **LESSONS LEARNED**

Were there any lessons learned regarding:

- i) Methods for forging effective partnerships with stakeholders for effective management
- ii) Co-Management of Protected Areas
- iii) Added value of tourism for livelihoods and PAs (ecosystem health)
- iv) If another project was to be designed - what should be done differently/the same for the conservation of MPAs and the livelihoods of surrounding communities ?

**ANNEX 8.**

**INTERNAL REVIEW: EASTERN AFRICA COMPONENT**

**SUSTAINABLE MARINE BIODIVERSITY CONSERVATION:  
LINKING TOURISM TO MARINE AND COASTAL  
PROTECTED AREAS**

**EASTERN AFRICA COMPONENT**

**MARCH 2002**

**MINE PABARI  
REGIONAL PLANNING, MONITORING & EVALUATION OFFICER  
IUCN EASTERN AFRICA REGIONAL OFFICE  
NAIROBI, KENYA**

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## Abbreviations

CDA	Coast Development Authority
COBRA	Conservation of Biodiverse Resource Areas
CORE	Conservation of Resources through Enterprise
ICAM	Integrated Coastal Area Management
IUCN-EARO	IUCN Eastern Africa Regional Office
IUCN-ORMA	IUCN Regional Office for Mesosamerica
KMNP	Kisite Marine National Park
KWS	Kenya Wildlife Services
LFA	Logical Framework Analysis
MMRP	Mpunguti Marine National Reserve
MPA	Marine Protected Areas
USAID	United States Agency for International Development
WCPA	World Commission Protected Areas

# 1 The Internal Review

## 1.1 INTRODUCTION

This review was commissioned by the IUCN Regional Office for Mesoamerica (IUCN-ORMA) as an internal self-assessment of project achievements, impacts and lessons learned during project implementation. The terms of reference for the review are included in this report as Annex 1.

The primary purpose of the review was to utilise the findings as part of the learning environment for IUCN and its partners. In this context, it is intended the analysis of the performance of the activities, approaches, and structures initiated or supported by the project should serve as a useful feedback mechanism to strengthen future project implementation and ways of working.

The review team was composed of the IUCN Eastern Africa Regional Office (IUCN-EARO) Regional Planning, Monitoring and Evaluation officer, working in consultation with counterparts assessing the Mesoamerican project components, and the staff responsible for the project in EARO and ORMA.

The methodology for the review (Section 1.1) was developed in consultation with counterparts assessing the Mesoamerica project components, and with staff responsible for the project in IUCN-EARO and KWS.

## 1.2 METHODOLOGY

The review mission took place from the 18<sup>th</sup> of February to the 1<sup>st</sup> of March, during which time relevant documentation was reviewed, and project partners and key stakeholders were interviewed (a list of persons interviewed is included in Annex 2). Key resource persons were selected with guidance from focal persons in IUCN-EARO and KWS, and through the review of project documentation.

Specific issues and key questions to be addressed were developed using the review matrix (Table One) as a guide, and with reference to the Logical Frameworks and Workplans of the component project. The Eastern Africa component project plans were never directly related to that of the overall project, and therefore the review was carried out with reference to the Eastern Africa component project specifically, as opposed to the overall project (this is discussed in further detail in later Sections).

Given the limitations of the review (Section 1.2), it was decided information gathering would be carried out using semi-structured interviews only. An interview guide was prepared (Annex 3) and utilised in full for project partners, and partially with other resource persons. One on one interviews were preferred, to allow for diversity of views to be expressed and any conflicting opinions to be understood. However, this was not always possible, and in some cases group discussions were conducted.

### **1.3 LIMITATIONS OF THE REVIEW**

The internal review was allocated a total of 7 days only - which included methodology development, as well as conducting the actual review itself. Consequently, it was not possible to carry out an in-depth analysis of project performance. The review matrix was designed with reference to the latter. Performance regarding activity implementation was not assessed, and instead the focus was maintained on outputs delivered and outcomes achieved.

The importance of combining multiple data sources and methods to overcome the bias from single informants, or methods and presenting data to substantiate findings of a review is recognised. However, due to the size of the project, there were very few resource persons sharing the same experiences and access to information. Consequently, it was not possible to present data, and review findings are reflected through narrative discussions, indicating conflicting views where they arose. Furthermore, the review has deliberately avoided drawing conclusions from the findings and recommendations independent of the resource persons. All findings presented herein were taken directly from the interviews and documents reviewed.

**Table One: Review Matrix**

ISSUE	QUESTION	DATA SOURCES
<b>EFFECTIVENESS</b>	<ul style="list-style-type: none"> <li>◆ To what extent did the outputs (planned &amp; unplanned) contribute to the Overall Objectives? Why? Why not?               <ul style="list-style-type: none"> <li>◆ Capacities of project partners</li> <li>◆ Availability &amp; use of resources</li> <li>◆</li> </ul> </li> <li>(develop matrix of planned objectives, outputs etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Ⓞ Project Document</li> <li>Ⓞ Project Reports</li> <li>Ⓞ Partners &amp; Beneficiaries Reports</li> <li>Ⓞ Project Staff</li> <li>Ⓞ Partners</li> <li>Ⓞ Key Stakeholder Groups</li> </ul>
<b>EFFICIENCY</b>	<ul style="list-style-type: none"> <li>◆ Were the resources efficiently managed and utilised?               <ul style="list-style-type: none"> <li>◆ Finances – procedures (reporting &amp; budgeting);</li> <li>◆ Assets - use</li> </ul> </li> <li>◆ Were the Outputs generated as expected (in quality and time)?</li> <li>◆ Were there any unforeseen problems, how well were they dealt with?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓞ Project Document</li> <li>Ⓞ Project Reports</li> <li>Ⓞ Project Staff</li> <li>Ⓞ Partners</li> </ul>
<b>RELEVANCE</b>	<ul style="list-style-type: none"> <li>◆ Establish whether or not the project design and approach was relevant in addressing the identified needs, issues and challenges facing people, and the environment?</li> <li>◆ To what extent does the project contribute to overall Key Results and strategies of IUCN?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓞ Situation Analysis Study (initial and updates)</li> <li>Ⓞ Project Document</li> <li>Ⓞ IUCN Intersessional Programme</li> <li>Ⓞ Project Staff</li> <li>Ⓞ IUCN Staff</li> <li>Ⓞ Partner Organisations</li> <li>Ⓞ Key Stakeholder Groups</li> </ul>
<b>IMPACT</b>	<ul style="list-style-type: none"> <li>◆ What impacts did the project have on;               <ul style="list-style-type: none"> <li>A) The people:                   <ul style="list-style-type: none"> <li>◆ Income</li> <li>◆ Equity</li> <li>◆ Participation in decision making processes</li> </ul> </li> <li>B) The Environment:                   <ul style="list-style-type: none"> <li>◆ Species and Ecosystem Health?</li> </ul> </li> </ul> </li> <li>◆ Were there any unintended positive or negative impacts arising from particular outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓞ Project Reports</li> <li>Ⓞ Partners &amp; Beneficiaries Reports</li> <li>Ⓞ Project Staff</li> <li>Ⓞ IUCN Staff</li> <li>Ⓞ Partner Organisations</li> <li>Ⓞ Beneficiaries</li> </ul>



ISSUE	QUESTION	DATA SOURCES
<b>SUSTAINABILITY</b>	<ul style="list-style-type: none"> <li>◆ Was the approach used likely to ensure a continued benefit and/or use of the outputs and outcomes after the end of the project? Why/ Why not?               <ul style="list-style-type: none"> <li>◆ Established structures, mechanisms, financial resources, materials,</li> <li>◆ Levels of stakeholder participation;</li> <li>◆ Levels of partners &amp; stakeholder engagement;</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Partners and Beneficiaries Reports</li> </ul> <hr/> <ul style="list-style-type: none"> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partners</li> <li>Ⓡ Key Stakeholder Groups</li> </ul>
<b>LESSONS LEARNED</b>	<ul style="list-style-type: none"> <li>◆ Lessons learnt regarding the project structure:               <ul style="list-style-type: none"> <li>◆ Management structures (human resources, financial management etc)?</li> <li>◆ Decision making structures?</li> <li>◆ Processes used for monitoring, reporting and assessment?</li> </ul> </li> <li>◆ Lessons learnt regarding project strategic approach:               <ul style="list-style-type: none"> <li>◆ Stakeholder involvement?</li> <li>◆ Partnerships formed?</li> <li>◆ Operational strategies used in implementation?</li> </ul> </li> <li>◆ Lessons learnt regarding the initial assumptions and hypothesis made during project design:               <ul style="list-style-type: none"> <li>◆ Added value of tourism for livelihoods and PAs (ecosystem health)</li> <li>◆ Co-management</li> </ul> </li> <li>◆ If another project was to be designed what would be done differently/the same for the conservation of MPAs and the livelihoods of the surrounding communities</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Reports</li> </ul> <hr/> <ul style="list-style-type: none"> <li>Ⓡ Project Staff</li> <li>Ⓡ Partners</li> <li>Ⓡ Key Stakeholder Groups</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ</li> </ul>

## 2 Project Context

### 2.1 INTRODUCTION

This project was part of the regional collaboration between the IUCN Eastern Africa Regional Office (IUCN-EARO) and the IUCN Regional Office for Mesoamerica (IUCN-ORMA). The goal of the overall project was to:

*"Contribute towards ecologically and economically sustainable marine and coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas."*

The project was originally designed to draw on direct regional experiences of partnerships for MPA management and test and refine these at an identified pilot site in order to meet key challenges facing the management of marine protected areas (MPAs) world-wide. These challenges were identified as being:

- i. How to forge effective partnerships with stakeholders for collaborative management; and
- ii. How to achieve financial self-sufficiency for these areas.

The primary focus of the project was to address and demonstrate the sustainability of marine biodiversity conservation by integrating livelihoods of coastal communities, development of coastal tourism and management of multiple use marine protected areas through a specific case study. The project was expected to produce strategies and guidelines for an integrated approach in developing coastal tourism and marine protected areas, with the participation of coastal communities and the private sector based on field experiences.

The decision to have the demonstration site in the two regions was based on the assumption that this would provide an opportunity for the experiences to feed into global policy. In addition to the differing cultural settings, it was felt that the two countries would be appropriate as they had certain similarities as they were both developing states which:

- o Are experiencing increased coastal tourism development;
- o Have large subsistence coastal communities; and
- o Have numerous existing and proposed MPAs managed at different levels of success.

The Eastern African component of the project (hereafter referred to as the BMZ project) was executed by IUCN-EARO in partnership with the Kenya Wildlife Service (KWS), the body mandated with the management of MPAs in Kenya.

Following an inception mission in 1997, a regional workshop was held in 1998 during which the Kisite Marine National Park (KMNP) and Mpunguti Marine National Reserve (MMNR) were identified as an appropriate demonstration site (R. Salm & Y. Tessema, 1998). The site was selected on the basis that it was the only one in the region that met the following criteria defined and agreed upon through discussions with KWS:

- o A long history of effective management;
- o Considerable tourism use and value;
- o Discrete coastal communities whose livelihoods are directly linked to the MPA; and
- o High biodiversity value

## 2.2 SOCIO-ECONOMIC & ENVIRONMENTAL CONTEXT

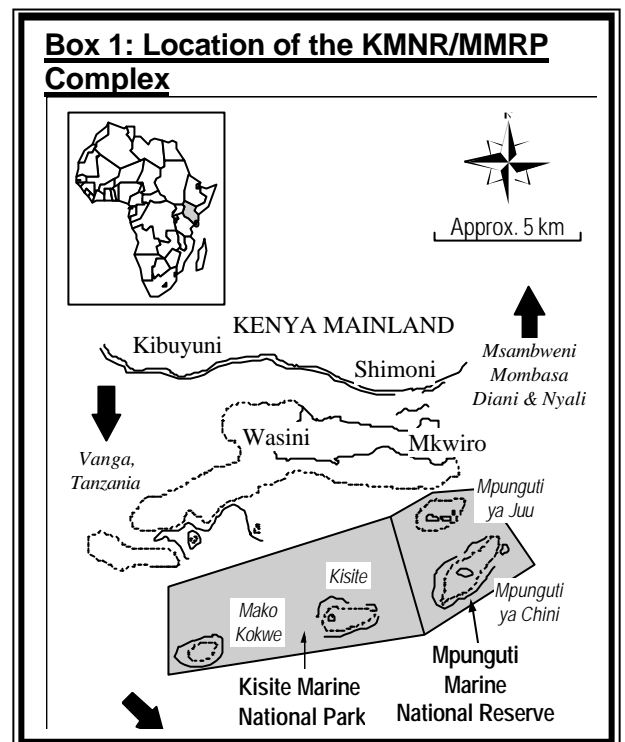
### 2.2.1 Overview

The Kisite Marine National Park was first created in 1973, and its boundaries later revised and shifted outwards in 1976. In 1978 Mpunguti was gazetted as a Marine National Reserve following local disputes over the loss of fishing grounds caused by the establishment of the strict National Park. (Box 1).

The primary local users of the MPA and its surrounds are the residents of the Shimoni (on the mainland) and Wasini (encompassing Wasini Island) Sub-Locations. In both sub-locations, basic social infrastructure such as health, education and water facilities are poorly developed. However, transport and communications are well provided for, at least during the dry weather.

Few income and employment generating opportunities are available in the Shimoni-Wasini area. Very limited subsistence agriculture is carried out in small garden plots and a minority of households keep smallstock and poultry. Fishing forms the basis of local livelihoods, (mainly carried out at an artisanal scale using traditional fishing gear and methods), and the KMNP/MMNR complex is one of the most productive fishing grounds in the Kwale District.

The complex is also an important tourist destination and is dominated by a relatively small number of operators, who are Shimoni-based. The complex ranks high in profitability among all of Kenya's National Parks, however, local gains in tourist-related income and employment are minimal and there is often conflict between the privately owned tourist industries and the local communities (L. Emerton & Y. Tessema, 2001).



Today the park is managed by the government Kenya Wildlife Service (KWS) through different conservation regimes. In KMNP no consumptive utilisation is allowed, while in MMNR fishing activities using traditional methods are permitted. Tourist diving and snorkelling activities take place in both KMNP and MMNR (L. Emerton & Y. Tessema, 2001).

Recently a five year management plan (1999/2000 - 2004/2005) was developed by KWS in collaboration with key stakeholders, including the local communities, through a consultative and participatory process. (Ref: Mgt. Plan) Within the management plan, the Mission of Kisite/Mpunguti Marine Park and Reserve is to “conserve unique flora and fauna and protect scenic islands as special habitats for endemic marine animals and breeding sites for migratory birds”.

The Goals are to:

- o enhance biodiversity conservation through participatory approaches;
- o provide suitable breeding and feeding habitats for marine organisms; and
- o promote sustainable nature tourism

## 2.2.2 Key Issues at the time of project development

At the time it was selected, the KMNP/MMNR had a number of characteristics that not only made it a suitable project site but were also fundamental during the development of project objectives and results. These included;

- o Although revenues generated from park entry fees were substantially higher than management expenditures, all revenues were (and still are) remitted to Central KWS and the budget allocations returned to Shimoni were too low to manage the MPA complex effectively.
- o Local level support for the KMNP/MMNR complex was extremely low. In addition to the immediate loss of fishing income and employment, local gains in tourist related income and employment were minimal. The community members felt that they had been excluded from tourist operations, which they saw as being unfairly dominated by outsiders. This resulted in illegal and destructive utilisation of park resources and a high level of antipathy towards both KWS and private sector tour operators (L. Emerton & Y. Tessema, 2001).
- o There was minimal private sector responsibility for and engagement in park management. This was largely because tour operators felt that KWS provided few services or facilities in return for the entrance fee, and there were few incentives for this sector to work actively with KWS and integrate conservation concerns into the running of their enterprises (Project Final Report, 2001).
- o A critical problem identified early on was also the conflict between fishermen and KWS. This was said to have been to a certain extent due to the 'COBRA' Partnership Programme, which KWS operated in Kenyan protected areas from 1993-1998 with EU funding. The project involved the implementation of community development activities in villages around a protected area through the 'Wildlife for Development Fund' (WDF), in an effort to compensate them for economic losses resulting from the existence of the protected areas. However, when WDF was terminated in 1998, huge expectations had been raised by the project which were not fulfilled at the time the BMZ project was initiated<sup>1</sup> (Annual Progress Report, 1999).
- o The project was also launched at a time when the trends in the management of protected areas in Kenya were favourable to alternative management approaches such as collaborative management. At that time, KWS had recently undergone a restructuring process that led to a more regionalised and localised system of management. Of great importance was the fact that the project was designed through much discussion and with the support of the Director of KWS at that time. This is discussed in further detail in Section 2.1.

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<sup>1</sup> It was explained that a second phase to the COBRA project had been anticipated but never materialised. It was also explained that the failure to communicate the situation at hand had resulted in the loss of credibility in the eyes of the local communities.

## 3 Review Findings

### 3.1 PROJECT DESIGN

A Logical Framework Analysis (LFA) was developed at the regional workshop, which provided a framework for assessing project progress. Using an issue-based approach (see following section), two key objectives aimed at addressing specific issues at the site were identified. These were:

- i) Understanding of KMNP goals, functions, benefits and management partnership opportunities achieved through improved communication between KWS and stakeholders; and
- ii) Approaches and mechanisms for partnership developed through participation of all stakeholders, field-tested and refined

Due to delays in implementation and the need to further simplify the project plans and relate them to the overall project objectives; a revised logframe was developed for the year 2000 during a joint planning session between KWS and IUCN and the objectives revised as being:

- i) Partnership activities developed that benefit all stakeholders; and
- ii) Lessons learned from experience at Kisite identified and disseminated

#### **Key Issues Arising**

At the onset, it is important to point out that the Eastern Africa component project plans were never directly related to that of the overall project. It is therefore extremely difficult to relate the component project Logframes with those of the overall project, and consequently the review was carried out with reference to the Eastern Africa component project specifically.

The design of the project was influenced greatly by external factors described in Section 1. Although those responsible for designing the project seem to have had a fairly in-depth understanding of those factors, the fact there was little investment (in terms of time invested for consultations and background research) into the planning processes was said to have contributed to many of the challenges faced later during implementation. As one respondent put it:

*"The project was well designed intuitively, not practically"*

As was pointed out by one of the respondents, initial design was based heavily on the assumption that there would be continued support from KWS for the strategies and management approaches proposed by the project. In 1999, with a change in directorship, there was a major shift in policies of KWS (from decentralisation of management to a more central approach) which meant that the key ideas developed could no longer be implemented. This necessitated a major shift in the direction of the project, including a change in the focus of activities and a transfer of some of the funds for use at another site, the Diani National Marine Reserve.

Additionally, with the exception of the initial draft project LFA developed during the regional workshop, both versions of the project implementation plans were developed through working sessions involving only KWS and IUCN-EARO. Consultation with the wider stakeholder group was carried out mainly through a series of meetings and other forms of interactions with the Park Warden and assessments later during the project implementation.

## 3.2 APPROACHES

The workshop identified clearly two approaches to partnership that had showed some success in the region: *total delegation of management responsibilities to a second party*, and *collaborative management with communities taking the lead role*. The workshop recommended three approaches as appropriate models for the project that were seen to be key to developing effective stakeholder participation and partnerships for the management of the KMNP/MMNR complex:

- i. **Interactive participation** where people participate in joint analysis, development of action plans, and formation of local institutions. Participation is seen as a right, not merely as a means to achieve project goals. The process involves participatory methods that yield the perspectives of different community groups, structured learning processes, and problem solving approaches. It was recommended that interactive participation would provide a useful entry point for management partnerships in the KMNP/MMNR complex;
- ii. **Issue-based management approach** to establishing partnerships. In this approach, relevant partners are identified and invited to participate in the resolution of specific management issues, where these have been identified; and
- iii. **Regular communication leading to understanding** (rather than for informing or consultation)

## 3.3 OPERATIONAL ARRANGEMENTS

### 3.3.1 General Management, Monitoring & Assessment

Following the regional workshop, several meetings were held with the Coast regional office of KWS to discuss strategies of project implementation. A technical Project Steering Committee was formed consisting of the Regional Assistant Director for Coast Region (Kenya), the Regional Partnership Co-ordinator the USAID/KWS Monitoring and Evaluation Technical Adviser, and a representative from IUCN EARO. It was initially intended that the Steering Committee would act as the decision making body, and monitor and assess project performance and provide technical guidance.

For reasons that could not be established<sup>2</sup>, the Steering Committee never met, and the responsibility for project was undertaken by a "core group" that consisted of representatives from KWS and IUCN (interviews). These were;

- o Regional Biodiversity Co-ordinator, KWS<sup>3</sup>;
- o Warden of the KMNP/MMRP complex, KWS;
- o Marine & Coastal Co-ordinator, IUCN;
- o Focal Programme Officer, IUCN; and later
- o Coast Projects Officer, IUCN

An implementation agreement was signed between IUCN EARO and KWS in August 1998. The agreement provided KWS with the responsibility for "a series of issue-based management activities listed in the logical framework and its related workplan". IUCN-EARO was responsible for technical back-up to KWS and reviewing technical and financial progress and final reports.

The "core group" communicated using eMail and the telephone and met on a regular basis<sup>4</sup> to review project progress, make both management decisions, as well as those pertaining to the workplan. Due

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<sup>2</sup> Contributing factors are discussed in the following section, however - none of the respondents interviewed knew who the Steering Committee was supposed to be composed of, and in some cases did not recall that there was to be a Steering Committee

<sup>3</sup> Responsibility for the project within KWS was delegated to the Regional Biodiversity Co-ordinator, KWS by the KWS Regional Assistant Director for Coast Region (Kenya).

to various problems at the onset, meetings were initially held fairly frequently and included meetings with Directors at the KWS Headquarters to resolve matters arising.

Quarterly technical progress reports, as well as annual reports were submitted by KWS and reviewed and approved by the EARO Marine & Coastal Co-ordinator. The satisfactory and timely completion of tasks and approval of reports by IUCN-EARO were a prerequisite for the disbursement of funds.

A draft monitoring and evaluation framework was also developed to monitor for both compliance and impact. The framework was developed "based on the LFA and annual workplan to streamline monitoring and assessment of activities and save time on administrative routines and disbursement of funds" (Annual Progress Report, 1998). Respondents confirmed that the framework was utilised during progress review meetings (generally held on a semi-annual basis) up until the year 2000 when the LFA was revised. The monitoring and evaluation schedule was subsequently simplified, also on the "realisation that the park staff involved did not have sufficient expertise for implementing a complex process" (Final Report, 2001).

### **Key Issues Arising**

It was reported that initially progress was extremely slow and during 1998 and the first half of 1999, expenditure was minimal. Additionally, initially there were problems with both the quality and the timing of reports coming from KWS, resulting in a continuous need for close monitoring and follow up by IUCN.

This sub-section discusses the factors contributing to this, and the solutions used to overcome the obstacles;

In 1998, the IUCN Global Marine Programme was disbanded and responsibility for the project was handed over to IUCN-ORMA. It was pointed out during the review that this was not carried out effectively. No agreement was ever signed between EARO and ORMA, and it was unclear who was responsible for what. Additionally, during the course of the project there was little/no communication between the two regional offices (it was said that language was a contributing factor to this). All reports to the Donor were sent through ORMA, and at no time during the project did EARO receive any feedback from the Donor.

IUCN-EARO's Marine & Coastal Co-ordinator was absent for health reasons in the first part of 1999, and subsequently left IUCN. The new co-ordinator did not take up the post until the fourth quarter, and in the interim the project was co-ordinated by the Co-ordinator of the Environmental Economics Programme. The change in personnel resulted in delays in project co-ordination, and initially specific roles and responsibilities were not clearly defined and it was unclear who was to assume responsibility for the project.

Additionally, 3 different Programme Officers were assigned to the project during the entire period. From the interviews, it appears that the hand over from one Programme Officer to the next was not effectively carried out, and this eventually contributed to a confusion over the project budget, which is discussed in more detail in Sub-section 2.3.2 below.

At KWS, initially, there was insufficient capacity in terms of human resources to carry out project activities. Focal staff at KWS were extremely busy with other responsibilities and did not have enough time for implementation activities (according to one of the respondents, this was seen to be an indication of a lack of commitment). Implementation was further delayed by a 3 month leave of absence by the KMNP Warden in the fourth Quarter of 1999.

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<sup>4</sup> Meetings were generally held semi-annually in order to prepare for the progress report to the donor, but also on an ad-hoc basis when the need arose.

A series of meetings were held between the partners to discuss the various problems arising from within the two institutions and the consequent delays in implementation. To partially address the need for enhanced implementation capacity, it was agreed a full time person to follow up on day to day activities would be recruited. In early 2000, a 'Coast Projects Officer' was recruited to work with KWS and ICAM to facilitate activities of the BMZ project, as well as the Diani-Chale project<sup>5</sup>. Taking into consideration the previously low levels of expenditure, it was further agreed that part of the funds to cover the costs of hiring the Projects Officer would be derived from the amount due to KWS to implement project activities. According to all the respondents interviewed, this decision enhanced the implementation of activities considerably and ensured timely communication on the progress of field activities with the IUCN regional office.

### **3.3.2 Financial Management**

In addition to technical reports, quarterly financial reports were submitted to IUCN-EARO on a quarterly basis. The reports were then reviewed by the EARO Programme Officer and the Finance Department.

Financial reports listed the disbursements incurred on the Project by budgetary component on a quarterly basis, reconcile outstanding advances and foreign exchange loss/gain during the quarter and to request for a quarterly advance of funds.

#### **Key Issues Arising**

In addition to the lack of implementation capacity within KWS, it was pointed out that there was no "mobilisation" period during which key management and reporting systems were established. KWS were never informed or trained in the specific financial reporting systems required by IUCN and utilised their own institutional formats. Respondents from both KWS and IUCN felt that the lack of investment in project management systems initially resulted in an excessive investment of time and resources in project management later.

Additionally, the change in focal Programme Officers in EARO was not carried out effectively, leading to a misunderstanding regarding the project budget. It was understood by one of the Programme Officers that the project had been allocated an additional Sfr. 30,000. This was reported to Finance who created new Budget Lines and distributed the additional SFr. 30,000, which was spent in accordance with the revised budget. However, there is no official (internal or external) communication regarding the additional funds, and no institutional memory to trace the origins of the idea. As a result of this, the project is now overdrawn by a total of SFr. 30,541.

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<sup>5</sup> Also an IUCN-EARO project, implemented in collaboration with KWS and CDA



### **3.4 ACHIEVEMENTS OF THE PROJECT**

This section discusses the achievements of the project in terms of outputs (ie. tangible services provided and products produced) and their use (outcomes). With reference to each, a short narrative follows in which key issues arising, and the sustainability of the outputs and outcomes achieved are discussed.

As has been previously noted (see Section 2.1), the logical frameworks developed (1998 and 2000) for the East African component do not relate to that of the overall project. Therefore, planning and monitoring of project progress was carried out in relation to the component project Logical Framework, rather than that of the overall project. Consequently, this section reports on the findings of the review with reference to the East African component project objectives.

Although the objectives were revised in the year 2000, the project continued to use the 1998 logical framework as a monitoring tool for assessing progress. Therefore achievements have been reviewed and reported on (where possible) with reference to the "impact indicators" defined in the 1998 logical framework. Additionally, due to the delays in implementation, many of the outputs were achieved during the second "phase" (ie. from the year 2000 onwards). Outputs and their outcomes are therefore reported and discussed with reference to the "phase" in which they were achieved

#### **3.4.1 Phase I: Objective 1: Understanding of KMNP Goals, Functions, Benefits and Management Partnership Opportunities achieved through improved communication between KWS and stakeholders**

**Result 1.1:** Existing KWS (COBRA) obligations to fishers & small boat owners cleared and way opened for management partnerships.

**Impact Indicators:**

- o Past Problems resolved, trust rebuilt, & dialogue for partnerships begun before 09/98

**Outputs Achieved:** Following meetings with both KWS and representatives of the COBRA project, some of the outstanding obligations were met through straight cash payments by KWS. For those that could not be met directly, the Director of KWS visited the area and explained the reasons for the termination of the COBRA programme with community leaders.

**Outcomes & Discussion:** The meeting of some of the outstanding obligations and communicating the reasons for the termination of the COBRA programme was an important entry point to allow for a reestablishment of the relationship between KWS and the communities. Implementation of the BMZ project was highly dependent on the achievement of this result, and could not proceed otherwise.

**Result 1.2:** Existing KWS obligations to Wasini Women's Group cleared

**Impact Indicators:**

- o Boardwalk used by tourists & proceeds invested in village projects (late 1999)

**Outputs Planned and Achieved in Phase II:** Implementation was delayed due to the slow approval process of the construction by the Forest Department. Achievements have been discussed under Phase II, Objective I.

**Result 1.3:** KWS capacity to provide assistance to stakeholders assessed, prioritised, & communicated

**Impact Indicators :**

- o Clear understanding & agreement among stakeholders of KWS capabilities
- o Realistic requests for KWS assistance

**Outputs planned but not achieved:** KWS capacity to provide assistance to stakeholders assessed, prioritised, & communicated

For various reasons, including the delays in implementation and the subsequent need to prioritise activities, this output was not achieved. However, some of the sub-outputs (such as an assessment of options for improving the contribution of KWS to KMNP stakeholders) were achieved through XX. It was pointed out that this activity should have been carried out, as although there is a good relationship between communities and KWS, capacity for areas, such as project management and proposal writing and approval, within KWS need to be strengthened.

**Result 1.4:** Benefits of KMNP assessed, discussed with stakeholders & improved where possible

**Impact Indicators:**

- o Raised awareness/appreciation of KMNP benefits
- o Stakeholders participate in safeguarding benefits

**Outputs Achieved:** Economic Analysis of the KMNP/MMNR complex conducted and a report on "Financing the management of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya, through Partnership with Stakeholders" prepared and discussed with stakeholders.

**Outcomes & Discussion:** The report identified the important financial role that the complex plays in generating revenue for KWS, and recommended a management model based on partnership arrangements between stakeholders in the area. At the time the report was presented to KWS, the directorship and policies had changed and the recommendations could not be carried forward at the project site. However, the then new Director of KWS proposed that the model be tested at another site instead, the Diani National Marine Reserve and project funds were utilized to facilitate this. Additional funds were also secured from the McArthur Foundation and the Diani-Chale project is now being implemented by IUCN-EARO in collaboration with the ICAM Secretariat.

There were, however, conflicting views on the analysis itself. Some of the key stakeholders felt that the report was biased towards the local communities and the lack of benefits accrued to them from the park. It was pointed out that aspects such as the benefits arising from KWS and foreign investment from the larger boat operators were not factored in, and there was no comparison with what the situation may have been like had the park not been established. It

was further felt that the recommendations presented in the report were far too radical and would not have been accepted even prior to the change in Directorship and KWS policies<sup>6</sup>.

Conversely, the analysis was much appreciated by the park itself. Findings were utilized in the preparation of the management plan for the complex and used to highlight the discrepancies between the revenues generated and budget allocations. As a consequence, the Director of KWS visited the project site and allocations from the KWS HQ to the park were raised.

**Outputs Achieved:** A series of meetings<sup>7</sup> organised by the Kisite Warden and held between different stakeholder groups, and KWS, allowed for discussions regarding the roles and responsibilities of the different groups as well as the potential and realised benefits from coastal tourism and marine parks.

**Outcomes & Discussion:** The discussions contributed substantially to reducing the conflict between the different stakeholder groups (such as KWS and the local communities, the small and the large tour operators). They also served as an opening for continued dialogue (it was pointed out that the different groups had never met before), and the meetings continue to be convened by the Warden on a regular basis to resolve issues arising between the different groups<sup>8</sup>.

**Outputs Planned & Achieved in Phase II:** Monitoring Protocol developed for community-based monitoring of fishery data. This activity was carried under the Phase II Objectives.

**Outputs Planned but Not Achieved:** Synthesis of benefits of KMNP report

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<sup>6</sup> One respondent commented that given the fact that the size of the project site is small enough to be effectively managed, the recommendations would have been a definite success, and would have resulted in other parks demanding similar management structures. Autonomy of the parks was thought to be perceived as a threat to the KWS Headquarters, and in view of this, recommendations presented by the project were rejected.

<sup>7</sup> Examples of these meetings are; between local and non-local boat operators; with tour operators to discuss moorings; between the boat operators and the women group to discuss the mangrove boardwalk; and between KWS and the boat operators to discuss the ticket checking system

<sup>8</sup> It is important to note that much of the success and continuity of the outcomes are owed to the Warden, who invests much time and effort into ensuring that there is continued dialogue between the different groups (including KWS). It was emphasised that the Kisite Warden meets more regularly with stakeholder groups than any of the other Marine parks

### **3.4.2 Phase I: Objective 2: Approaches & Mechanisms for Partnership developed through participation of all stakeholders, field tested & refined**

All results under this objective were redefined and outputs achieved through the Phase II Objectives, and are therefore reported on in Sections 2.4.3 and 2.4.4 below.

### **3.4.3 Phase II: Objective 1: Partnership activities developed that benefit all stakeholders**

**Outputs Achieved**<sup>9</sup>: Micro Enterprise Needs Assessment conducted and a report on the "Enterprise Viability and Needs Assessment of Enterprises in and around Kisite-Mpunguti Marine Protected Areas complex" prepared. The needs assessment was carried out to assess the feasibility of the identified enterprises in the area and advise on these needs to ensure that they became self-sustaining.

Although the assessment provided a set of recommendations, which were later utilized in the community activities supported by the project; it was felt that the report provided little additional information and repeated what was already known. The activity was said not to be cost-effective and could have been carried out by the partners themselves.

**Result 1.1.** Wasini Community benefiting from income from mangrove boardwalk

#### **Impact Indicators:**

- o Boardwalk used by tourists & proceeds invested in village projects (late 1999)

**Outputs Achieved:** The boardwalk was constructed for the Wasini Womens Group with financial support from the KWS/Netherlands Wetland Programme. The BMZ project provided assistance in pursuing the process for obtaining authorisation from the Forest Department for the construction, developing a design and procedure for contracting the work and overseeing the process. Additionally, the management capacity of the Wasini Womens Group was enhanced through training in group dynamics and basic bookkeeping<sup>10</sup> by a consulting firm contracted by the project, and management guidelines developed by members of the group.

**Outcomes & Discussion:** The micro-enterprise activity has been highly successful to date. With the launch of the boardwalk, the group "underwent a rebirth and reconstituted itself through the assistance of the Park Warden" (PACT/Core, 2001). There is a strong sense of ownership for the boardwalk, and membership has risen from 36 in 1990 (which later went down to 6), to a total of 75 in the year 2002. A substantial amount of income has been generated from the boardwalk, and in February 2000, the group was able to share out dividends worth KSh. 3000/= (US\$ 40) to each of the 75 members. The income is utilized for a variety of needs, for which a certain percentage is allocated. This includes wages (3 group members have been employed for customer care and other administrative duties); necessary repairs; education for the children; tickets and stationary and a certain percentage set-aside for

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<sup>9</sup> This particular output contributed to Results 1.1; 1.2 and 1.3 below and is therefore reported here to avoid repetition.

<sup>10</sup> The need for training was identified through the micro-enterprise needs assessment

miscellaneous costs. The group is also highly aware of the need to conserve the mangrove forests and is making efforts to replant the area.

There were initial concerns regarding the land on which the boardwalk was built. However, the group has an authorization from the Forest Department for use of the land, and during the time of the review, they were preparing to get their annual license from the Department. Tenure does not seem to be an issue here, as the land being utilized is inter-tidal and therefore can only be managed as Trust Land by the County Council.

All respondents felt that the training had been extremely useful and was being utilized by the group in their day to day activities. However, it was also felt that given the fact that the group was very young and inexperienced, this in itself was insufficient to ensure long term sustainability of the enterprise. Soon after the project closed, PACT/Core, through discussions with both IUCN and the KWS Wetlands Programme, offered to extend the organizational development support to the group.

A major cause for concern regarding the sustainability of the enterprise is the groups marketing capacity. Currently the boardwalk is only being marketed with assistance from the Wasini Island Restaurant, who was initially approached by the group for assistance<sup>11</sup>, and this dependency may not be sustainable in the long term. The group had approached the Private Boat Operators Association (whose members are from the local communities) for assistance, but was refused on account that they were unwilling to pay the association a commission in return.<sup>12</sup>

There is a high level of awareness regarding the impacts from the enterprise on gender relations. Men within the village were consulted right at the onset, and have remained as "advisers" to the group (although there was some skepticism about this, as one respondent felt that it was merely to ensure that the money collected went to the household!).

**Result 1.2:** Mkwiro community benefiting from an alternative income generation activity  
**Impact Indicators:**

- o Stakeholder implementing & monitoring management activities for the benefit of both conservation and community livelihoods

**Outputs Achieved:** Based on the Mkwiro Women's Groups interest in seaweed farming, the project invested time and effort in researching the feasibility of the enterprise. Discussions were held with experts from within the region, and a representative of one of the major European seaweed importing enterprises. A pilot study was then initiated with funding from the KWS/Netherlands Wetlands Programme in collaboration with the Kenya Marine Fisheries and Research Institute. 7 community members were involved with the study at the time of the review, and attend to the trials on a daily basis.

**Outcomes & Discussion:** Preliminary results of the study are fairly positive, and the community members involved are extremely keen at the prospects<sup>13</sup>. However, there is some

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<sup>11</sup> The Restaurant is extremely supportive of the groups efforts, and meets frequently with them to discuss various issues. The Restaurant also hosted tour operators during the launch, (which provided the group with an opportunity to further market the boardwalk), and is looking into ways of increasing marketing opportunities in the future.

<sup>12</sup> There has been various other forms advertising of the boardwalk, such as a visit of Miss Tourism through the Kenya Tourism Board, and an article in a local environmental magazine, "EcoForum", in an edition sponsored by IUCN-EARO.

<sup>13</sup> Even after having been informed that the enterprise only begin to generate an income after 5 years, if it is successful

doubt over the feasibility of the activity. There is risk of predation by fish, and growth rates to date are insufficient, which may pose difficulties for the village to produce sufficient quantities to entice a buyer to the area. However, these are being looked into and experiments underway to increase the harvest.

**Outputs Achieved:** The Mkwiro Womens Group also participated in the training in group dynamics and basic bookkeeping. Additionally, 15 members participated in a study tour to the Tanga region in Tanzania where there is a lot of seaweed grown for the international market.

**Outcomes & Discussion:** There is no evident outcome of the training provided to the Mkwiro womens group, simply because there is no real opportunity for the group to practice the skills gained at this point in time. There were mixed reactions to the study tour to Tanga. Some felt they had learned a great deal, while others stated that they had not gained very much as they were unable to apply what they learnt.

**Result 1.3:** Boat Operators benefiting from tour guide activities

**Impact Indicators:**

- o Stakeholder implementing & monitoring management activities for the benefit of both conservation and community livelihoods

**Outputs Achieved:** Playing a primarily arbitrating role, KWS facilitated a meeting between local and non-local boat operators. The main purpose of this meeting was to discuss the perceived unfair competition between the local boat operators and non-local boat operators over tourist visitors to the marine park. During the meeting, it was agreed that the failure of local boat operators to comply with safety and licensing regulations was a contributing factor to the latter. Additionally, through discussions, it became evident that the local boat operators were of the understanding that KWS was going to provide financial assistance for licensing and insurance (an understanding that originated during the time of the COBRA project), and were waiting for them to do so. The meeting therefore also provided KWS further opportunity for clarifying their position and discussing the "way forward".

A Code of Conduct was also developed during the meeting, and the operators provided with guidance on how to upgrade and make their services more competitive through the installation of safety and life saving equipment.

**Outcomes & Discussion:** As with the study tour, there were mixed reactions regarding the meeting. Some respondents felt that it had been highly instrumental in demonstrating the value of dialogue and the need to work together as a group. However, it was also felt that the meeting had "*been badly managed and was highly political*", as local boat operators outnumbered non-local boat operators and decisions were made more "*in competition with the opposite group, rather than with regards to the issue itself*".

In spite of the conflicting views on the meeting, there is evidence of continued benefit as a result of the initial discussions;

Recognizing the fact that resolving conflict between these two groups will be an on-going process; the Warden continues to hold meetings of this nature on a monthly basis, bringing together different groups<sup>14</sup> to discuss specific issues as they arise. Local boat operators felt that as a result of this, there is a much-improved relationship between KWS and themselves,

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<sup>14</sup> Prior to the review, two meetings had been held in 2002; i) one with the Kisite Private Boat Operators Association to discuss licensing and insurance's and ii) between all crew members, divers and KWS Rangers to "*bring together all the people who are out at sea all the time and forge a way forward in working relationship*" (managers were deliberately asked not to attend the meeting to allow the staff to be as candid as possible).

and they are now able to work together and assist one another in the management of the park (for example, local boat operators report incidences of illegal fishing to KWS, and KWS ensures that the minimum charges for tours are adhered to).

The local boat operators also felt that the efforts to increase the safety standards of their boats had also paid off and they now have much more business than before. This has also been as a result of increased efforts in marketing. Whereas previously they would wait for visitors to come to Shimoni, they now market their tours in Mombasa, through beach boys and the Kisite Brochure which was also developed with the assistance of the BMZ project (see next section).<sup>15</sup>

It is important to point out that while there has definitely been an improvement in the relationship between the local boat operators and KWS, this has not been the case with the non-local boat operators. It was felt that there is now an "*un-level playing ground*", where KWS enforces "*one law for the local and another for the non-local operators*", further "*ostracizing foreign investors and causing a growing rift between them and the local communities*". The Warden acknowledged the problem, and is making considerable attempts to resolve the continued conflict through encouraging continuous dialogue between the groups and ensuring that the Rangers adhere to the rules and regulations agreed upon.<sup>16</sup>

There were also conflicting views on the use of the Code of Conduct developed. While it was felt that there had been no change in the condition of the local boats, and those seen to be going into the park looked unseaworthy, it was also reported that considerable effort was being made by the local operators to secure licenses and insure their boats. However, this may have been more as a result of an accident that occurred off Wasini Island during which a local boat carrying tourists without insurance was seriously damaged. Following the accident, a meeting was held between KWS, licensing authorities and the local boat operators. Consequently, all vessels were inspected by the boat and now have either interim or full licenses.<sup>17</sup>

In spite of the conflicting views, it was pointed out that this is the second time a Code of Conduct has been developed, and it was felt that this was much more successful than the first. The reason given for this was that "*this time it was developed properly, in consultation with the boat operators themselves*".

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<sup>15</sup> It was also reported that local boat operators are illicitly using brochures of the Wasini Island Restaurant to market their own tours - adding to the problem between the restaurant and the local tours.

<sup>16</sup> As many of the Rangers come from the area, this is not always an easy task.

<sup>17</sup> The incident was reported in the media, having come to the attention of the press by "a resident of Shimoni blaming the accident on the KWS for allowing unseaworthy and unlicensed vessels into the marine parks". (Nation, 3<sup>rd</sup> Jan, 2002). KWS retaliated by stating that "those who were complaining about the traditional boats were foreigners with big boats who wanted to take all the business at the expense of the locals". This exchange has further contributed toward the ongoing conflict between local and non-local boat operators; as well as between KWS and the non-local boat operators.

**Result 1.4:** Fisher community sees benefit from the park/reserve

**Impact Indicators:**

- o Raised awareness/appreciation of KMNP benefits
- o Stakeholders participate in safeguarding benefits

**Outputs Achieved:** Fish catches landed at Mkwiro village were monitored from January 2000 to June 2001. The data collected was presented at a workshop held with participants from three marine protected areas in Kenya, as well as fishermen representatives from Tanga, Tanzania. The main aim of the meeting was to exchange ideas on "the various practices of fishermen from the different areas represented" (Fishermen's Workshop Report, 2000).

**Outcomes & Discussion:** In addition to a recognition of the benefits provided for by the marine park, in terms of increased fish catches, it was felt that the meeting provided an important opportunity for the different groups to discuss and further appreciate their respective roles. This has been discussed in detail in the Final Report, and therefore will not be repeated here.

Although there was much enthusiasm for the monitoring exercise, there is currently no funding available for its continuation. The KWS officer responsible, however, reported that there were efforts being made to secure funding to continue the activity and replicate it in some of the other marine parks.

#### **3.4.4 Phase II: Objective 2: Lessons learned from experience at Kisite identified and disseminated**

**Result 2.1:** Report on management model for an MPA using Kisite as a pilot site published

**Impact Indicators:**

- o None Identified

**Outputs Achieved:** Report on Management Model for an MPA using Kisite as a Pilot Site published based on a revision of the report on the economic analysis of the KMMP/MMNR (Section 2.5.1, iv). The report was published with the title, "Economic Constraints to the Management of Marine Protected Areas: the case of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya".

**Outcomes & Discussion:** The report was widely distributed and is said to be appreciated greatly. However, it was not possible during the review to gain any information on specific outcomes of the report.



**Result 2.2:** Information on Kisite NMR collated and made available to all stakeholders

**Impact Indicators:**

- o None Identified

**Outputs Achieved:** A Brochure on KMNP/MMNR was developed as an education and awareness tool. The brochure is being used to promote the Wasini Women's Group mangrove boardwalk, as well as by the Private Boat Operators Association for their own marketing.

**Outcomes & Discussion:** Although both community groups say that the brochure has been extremely useful, it was felt that it was "*too general, covering almost everything*". There are discussions within the Wasini Womens Group underway to develop a brochure, which would cover the boardwalk in more detail, as well as cultural considerations of the Wasini village.

**Outputs Achieved:** Annotated Reference List Compiled & Distributed. The list provided references of materials related to the South Coast of Kenya and was distributed to relevant key institutions.

**Outcomes & Discussion:** There were doubts expressed regarding the utility of the reference list - mainly because it was felt that there is not a culture of using references and extensive background reading in this region.

### **3.4.5 Overall Objective 4: Experiences Gained during the implementation of the project shared with those working in Central America (IUCN-ORMA) and Lessons Learned that have Global Application Derived**

Although not defined in either of the component project logframes, an Interregional Workshop was held in June 2001 (IUCN-ORMA and IUCN-EARO) primarily to achieve the fourth overall objective. The meeting was also aimed at distilling globally applicable project results that could be integrated into on-going activities or used to develop further initiatives on sustainable marine biodiversity conservation.

Four participants from East Africa attended the workshop, including the Warden from the project site, and the two EARO focal persons responsible for the project, all of whom gave presentations. Overall, it was felt that the workshop was useful in terms of sharing experiences and as a learning exercise. However, it was felt that "the workshop suffered from the lack of participation by other experts in relevant fields", notably those from IUCN's Biodiversity and Economics Programme and from WCPA-Marine (which was said to be due to the late planning of the workshop and budgetary problems (Trip Report by Sue Wells, June 2001).

Ideas were identified for future work through workshop group discussions, however there were no clear decisions on how to take this forward. Additionally, there was no follow up after the workshop with participants from Eastern Africa on ways in which the lessons learnt could be carried forward to their own respective institutions.

## 4 Conclusions & Recommendations

### 4.1 HIGHER LEVEL OUTCOMES & IMPACTS

The capacity of this review to assess higher level outcomes and impacts was limited for several reasons, which included:

- i) Impact, in most cases, cannot be directly attributed to any single intervention, and consequently establishing a cause-effect relationship at a higher level tends to be impossibility. The BMZ project worked within an area where several interventions (past and ongoing) contribute to changes in the environment and people<sup>18</sup>. It would therefore be impossibility for this review to establish the changes brought about by the project alone; and
- ii) To effectively assess the performance of any intervention, project plans need to clearly define desired states at the onset. In the case of the BMZ project, overarching impact indicators are difficult to identify from the project plans. Additionally, the nature of the project was altered almost completely when there was a change in KWS directorship and policies, thereby making it difficult to utilize the initial project planning documents as performance measures.

Due to the above reasons, respondents were reluctant to comment on the impacts of the project (in terms of changes to the environment and the people), and focused mainly on changes brought about in the relationship between the different stakeholder;

#### **Forging Effective Partnerships with Stakeholders for Collaborative Management**

The project contributed considerably toward the change in relationship between KWS and the local communities. By encouraging dialogue between the two parties, and ensuring that previous issues arising from the COBRA project were discussed and resolved where possible; the project was instrumental in providing an opening for the establishment of a working relationship.

The establishment of effective partnerships between stakeholders, most especially in areas where multiple stakeholders have an interest in a common resource, is by no means an easy task and requires a long-term investment. This is recognized by the KMNP Warden, who continues to facilitate meetings between the different stakeholders, and between KWS and the stakeholders.

This seems to have contributed towards the effective management of the KMNP/MMNR complex. It was reported that whereas previously KWS played primarily a "policing" role, which requires a huge investment of resources, now there is a growing awareness of the benefits provided by the complex, and by working with KWS. Local communities now report incidences such as illegal fishing, and the under-pricing of boating tours to KWS, thereby assisting them in carrying out their management role.

However, the relationship between the local and non-local operators continues to be difficult. Non-local operators feel that they have not been involved as an equal stakeholder, and the project did not make any deliberate efforts to include them. Changes to the relationship will be largely dependent on the way in which KWS relates to the different stakeholders in the future, and in the present circumstances, this is largely dependent on the individual responsible for managing the complex as opposed to institutional policies.

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<sup>18</sup> Additionally, the project was extremely small in terms of resources invested in comparison to some of the other interventions

## 4.2 REFLECTIONS & LESSONS LEARNT

This section provides a synthesis of some of the "lessons learnt" highlighted by respondents during the review.

### 4.2.1 Project Design

#### **Validating Assumptions:**

As has been previously discussed, the success of the project was highly dependent on the assumption that there would be continued support from KWS for the strategies and management approaches proposed. The changes in KWS directorship, and policies have been reported to be a primary reason for the shift of the project focus. This resulted in the project focusing more at the field level on specific activities, as opposed to policy and institutional levels testing strategies and mechanisms for an "integrated approach in developing coastal tourism and marine protected areas." It was pointed out by one of the respondents that that changes in KWS policies have not been uncommon in the past, and therefore should have been factored into project design.

Although many planning processes require the identification of key assumptions, the validity and implications are rarely questioned, or revisited during the course of the project. Additionally, there is often very little investment in background research and analysis of the assumptions on which projects are based. The case of the BMZ project highlights the need to investigate and have an in-depth understanding of the external factors that must exist for a project to succeed, and ensure that project design is based on valid assumptions of these factors.

#### **Building Long Term Sustainability into Project Design**

It was pointed out that the lack of an "exit strategy" was a weakness in project design and as a consequence, the project "*just closed*". Consequently, there has been little or no follow up since closure, nor any considerations of options for the future.

#### **Partnerships**

Although many of the respondents were happy with the partnership between KWS and IUCN, the limitations in the nature of the partnership were highlighted. During the BMZ project, IUCN relied completely on KWS to implement project activities, as well as, to a large extent, monitor and evaluate progress on the ground (this is linked to the following sub-section which discusses the need for field level representation). In effect, this created a high dependency for the success of the project on the partners capacity (and willingness) to ensure that the project was implemented in line with project plans and identified approaches (such as interactive participation). It was pointed out that in this case, "*we were lucky to have the Warden who was highly effective at establishing good relations with the communities*". Furthermore, it was emphasised that the assumption that partners share the IUCN principles and ways of working may not always be valid.

It was recommended that EARO looks at ways of working closer to and more directly with stakeholders on the ground. As well as continuing to recruit a Technical Adviser, it was recommended that the nature of partnership agreements<sup>19</sup> be thought through carefully and allow for EARO to play a more proactive role in actual project implementation and day to day decision making.

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<sup>19</sup> In this case the agreement provided full implementing responsibility to KWS, while IUCN assumed the responsibility for technical back-up and monitoring and approval of progress reports

## **4.2.2 Project Implementation**

### **Management Structures**

Failure to establish management structures and procedures prior to implementation of activities resulted in an excessive investment of Secretariat time to follow up on project management issues.

It was recommended that at the onset, monitoring and reporting procedures should be established, and agreed upon by both partners. Additionally, it may be necessary to invest in the capacity of project partners to effectively follow the procedures agreed upon. It was further recommended that procedures must at all times include requirements for documenting all management and technical decisions made to reduce the loss of institutional memory during staff changes.

### **Field level representation and support:**

The fact that the recruitment of the Coast Projects Officer greatly enhanced the implementation of activities was an important lesson regarding the need to have staff on the ground with TORs specific to project implementation. Prior to the recruitment, implementation was delayed considerably as focal staff within KWS were far too busy with other responsibilities. However, it was also felt that this was insufficient, as the Coast Projects Officer was based in Mombasa and as she had no transport available to her, she was unable to visit the project site as often as was required.

In addition to the benefits for implementation of activities, it is important that IUCN has a strong understanding of the issues on the ground and the communities with whom we work. Although field based staffs provide an important mechanism for the latter, it was also emphasised that it is not sufficient to rely completely on them to convey the information required for the effective provision of technical support.

# Annex 1: Terms of Reference

## BACKGROUND

This project was part of the regional collaboration between the IUCN Eastern Africa Regional Office (IUCN-EARO) and the IUCN Regional Office for Mesoamerica (IUCN-ORMA). The goal of the overall project was to:

*Contribute towards ecologically and economically sustained marine and coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas.*

The four objectives, designed to meet the above goal, were:

- 1. The role of selected local communities in coastal tourism and Marine Protected Areas (MPAs) assessed;*
- 2. The linkages, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs assessed;*
- 3. Appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism and MPA development with the participation of local communities designed and implemented*
- 4. Experiences gained during the implementation of the project shared with those working in Central America (IUCN-ORMA) and lessons learned derived that have global application*

The Eastern African component of the project (hereafter referred to as the BMZ project) was initiated in May 1998 with a regional workshop aimed at sharing experiences and examining the opportunities for MPA management partnerships with the tourism sector and with local communities. At the workshop, Kisite Marine National Park and Mpunguti Marine National Reserve (KMNP/MMNR), two adjacent MPAs on Kenya's south coast, were identified as an appropriate demonstration site for Eastern Africa to test the ideas and approaches that had been identified. IUCN-EARO therefore collaborated with the Kenya Wildlife Service (KWS), the body mandated with the management of MPAs in Kenya, in the execution of this project.

## PURPOSE OF EVALUATIONS WITHIN IUCN

Specifically there are two purposes of evaluations within IUCN.

### **a) Learning and Improvement:**

The IUCN Evaluation Policy indicates that evaluations are to be used as part of the *learning* environment for IUCN and its members. It involves the creation of an environment that engages staff and their partners in creative ways to learn how to improve IUCN's work. In this context, evaluations are instruments for making IUCN's projects, programmes and organisational units more effective through the provision of useful feedback and a commitment to act on that feedback. By doing so, evaluations are a way to understand why IUCN activities succeed or not. Furthermore, as learning tools, evaluations add to IUCN's body of knowledge with respect to best practices in evaluation and conservation.

### **b) Accountability:**

Second, evaluations are part of IUCN's overall *accountability* system. IUCN is answerable to its members, partners and donors for determining whether IUCN's policies, programmes, projects, and operations are working well, and showing that its resources are used in a responsible way. The evaluation process, together with the required documentation that accompanies each evaluation, holds IUCN staff and contracted implementing partners responsible for their performance.

## **SPECIFIC AIMS OF THE BMZ PROJECT INTERNAL REVIEW**

The internal review of the BMZ project will be a self assessment of project achievements, impacts, and lessons learned during project implementation. The review should also aim at assisting partners to assess sustainability of all activities, approaches, and structures initiated or supported by the project

The specific aims of the evaluation are to:

1. Assess the effectiveness and efficiency and timeliness of the project implementation.
2. Evaluate the impact of the project activities and related outputs including their contribution to the overall goal of the project.
3. Determine the relevance of the project in relation to the needs of the stakeholders and environment.
4. Assess long term sustainability of the actions initiated
5. Identify lessons learned about the projects strategic approach (processes and mechanisms chosen to achieve the Project objectives)

## **SCOPE OF THE EVALUATION:**

The matrix below is intended as a guide for the development of specific issues and key questions to be addressed by the review. These are to be discussed and further developed in consultation with counterparts assessing the Mesoamerican project components prior to the review.

ISSUE	QUESTION	DATA SOURCES
<b>EFFECTIVENESS</b>	<ul style="list-style-type: none"> <li>◆ What outputs were achieved? To what extent did they contribute to the Overall Objective?</li> <li>◆ Was the project approach and structure effective in delivering the desired outputs?</li> <li>◆ Were the activities implemented in accordance with the Project Document and work plans? If not, why?</li> <li>◆ Did the partner organisations work together effectively? Was the partnership effective in achieving the desired outputs?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Partners &amp; Beneficiaries Reports</li> <li>Ⓡ Project Staff</li> </ul>
<b>EFFICIENCY</b>	<ul style="list-style-type: none"> <li>◆ Were the resources used in an optimal manner, and funds spent in accordance with work plans and using the right procedures?</li> <li>◆ Were there any unforeseen problems, how well were they dealt with?</li> <li>◆ Were the capacities of the project partners adequate?</li> <li>◆ Was there an effective process built in to the project management structure for project self-monitoring and assessment as part of team meetings, reporting and reflection?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Project Staff</li> </ul>
<b>RELEVANCE</b>	<ul style="list-style-type: none"> <li>◆ Outline the context within which the project was designed</li> <li>◆ Establish whether or not the project design and approach was relevant in addressing the identified needs, issues and challenges facing people, and the environment</li> <li>◆ What have been the roles of the donor, IUCN, project partners, and project staff and were they appropriate?</li> <li>◆ To what extent does the project contribute to the strategic policies and programmes of IUCN and that of the project partners including the project donor?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Situation Analysis Study (initial and updates)</li> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partner Organizations</li> <li>Ⓡ Beneficiaries</li> </ul>
<b>IMPACT</b>	<ul style="list-style-type: none"> <li>◆ Did the project bring about desired changes in the behavior of people and institutions?</li> <li>◆ Were there any unintended positive or negative impacts arising from particular outcomes?</li> <li>◆ Longer-term changes – Have these changes resulted in an improvement in the lives of people and a more efficient use of resources upon which they depend?</li> <li>◆ What could have been the likely situation (of the environment and its management) without the project?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partner Organizations</li> <li>Ⓡ Beneficiaries</li> </ul>
<b>SUSTAINABILITY</b>	<ul style="list-style-type: none"> <li>◆ Was the approach used likely to ensure a continued benefit from the project (i.e. the contribution to the project overall goal and objective) after the end of the project?</li> <li>◆ Were all key stakeholders sufficiently involved? Were their expectations met and were they satisfied with their level of participation?</li> <li>◆ Do partners have the capacity to continue to implement all initiated activities? Are they able to raise adequate material and financial resources?</li> <li>◆ Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and positive impact?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Partners and Beneficiaries Reports</li> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partner Organizations</li> <li>Ⓡ Beneficiaries</li> </ul>
<b>LESSONS LEARNED</b>	<ul style="list-style-type: none"> <li>◆ Were lessons learned and experiences gained shared with Project partners and the wider stakeholder group (including those at the global level)?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Staff</li> <li>Ⓡ Partners and Beneficiaries Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Project Reports</li> </ul>

## **METHODOLOGY**

The contractee should develop the methodology in consultation with counterparts assessing the Mesoamerican project components and with IUCN-EARO and IUCN-ORMA, to include (and expand on) the set of key questions to address effectiveness, efficiency, relevance, impact and sustainability. The methodology should show the links between data collected and recommendations proposed so that the logic is clear and transparent.

At minimum, this will involve:

1. A desk review of Project Document, work plans and progress reports, other relevant documentation to review and assess achievements so far and especially performance of work plans.
2. Consulting with project partners, staff and key stakeholders through interviews, meetings and administering questionnaires, where appropriate.

The project will provide transport, organise meetings with stakeholders and generally be available as required for discussions and supply of information during the review. Full access will be allowed to project's documents and information sources.

## **EVALUATION TEAM COMPOSITION**

Given that this is an internal assessment, the review team will be composed of the EARO Regional Planning, Monitoring & Evaluation Officer, who will work in consultation with counterparts assessing the Mesoamerican project components, and the staff responsible for the project in ORMA.

## **REPORTING**

The team will discuss its interim findings with relevant partners and the draft report shall be prepared in sufficient copies and on a diskette for submission to IUCN-ORMA, IUCN-EARO and KWS.

## **OUTPUTS**

In light of the information collected on the performance of the project and assessment made on its implications, a report will be produced on:

### **◆ Project progress to cover, among others:**

1. An assessment of the performance of the project based on the project workplans and expected results.
2. Identification of key issues and lessons learned in implementing the project



## TIME SCHEDULE

The suggested timetable is as follows:

14 <sup>th</sup> - 16 <sup>th</sup> Feb	Consultations with IUCN-ORMA review consultants; review of project documentation and preparation of assessment tools
20 <sup>th</sup> Feb	Interviews with EARO IUCN Staff
25 <sup>th</sup> - 27 <sup>th</sup> Feb	Field Interviews with Project Partners and Stakeholder Groups
28 <sup>th</sup> - 29 <sup>th</sup> Feb	Data analysis and Report writing at IUCN-EARO, Nairobi
4 <sup>th</sup> March	Submission of draft report to IUCN-ORMA

## BUDGET

<b>4.3 DESCRIPTION</b>	<b>4.4 AMOUNT (US\$)</b>
IUCN-EARO Staff Time (7 Days)	2100
Transport Costs	600
Photocopying/Communication Costs	300
<b>TOTAL</b>	<b>300</b>

## Annexe 2: Persons Interviewed

Name	Title	Organisation
Irene		PACT-Core
Ali Kaka	Director	EAWLS
Amina Abdalla	Projects Co-ordinator	IUCN-EARO
Sue Wells	Co-ordinator, Marine & Coastal Programme	IUCN-EARO
Edmund Barrow	Co-ordinator, Forest Conservation Programme	IUCN-EARO
Yemi Tessema	Former Programme Officer, EARO	IUCN-EARO
Sam Weru	Monitoring & Evaluation Specialist	KWS
Dr. N. Muthiga	Regional Biodiversity Co-ordinator	KWS
Janet Kaleha	Warden - Kisite National Park	KWS
	Representatives	Wasini Womens Group
	Representatives	Mwikiro Womens Group
Private Boat Operator's Association	Chairman	Private Boat Operators Association
	Representatives	Shimoni Fishermen's Group
Sally Mullens	Manager	Wasini Island Restaurant & Kisite Dhow Tours
	2 Members of Staff	Wasini Island Restaurant & Kisite Dhow Tours

## Annex 3 - Interview Guide

### PROJECT STRUCTURE & APPROACHES

For all of the questions below -

I. Reflect on the effectiveness & relevance of the following approaches used:

- **Interactive Participation**
- **Issue Based Management**
- **Regular Communication leading to understanding**

II. Highlight **Key Problems** encountered and **Solutions** used to address the problems.

A. How was the Project initially designed? How effective and relevant was the approach in addressing the identified needs, issues & challenges facing people & the environment?

- ∫ Selection of Project site?
- ∫ Selection of key partners?
- ∫ Selection of key stakeholders & beneficiaries?
- ∫ Development of the LFA and workplans?

B. What **Management Structures** were established and how effective were they? Why? Why not? (capacities of project partners; availability of required resources etc.)

- o Project Management & Financial Management
  - Partnership Agreements formed: roles & responsibilities
  - Monitoring, Reporting & Assessment Procedures
- o Decision Making Processes:
  - Partnership Agreements formed
  - Technical Steering Committee (How often did it meet? Quality of meetings & follow up on decisions made?)
  - Other mechanisms for decision making? Who was involved?

C. In what form and how effective was the technical support that was provided to the project?

- ∫ Marine & Coastal Mgt
- ∫ Social Policy etc.

D. How has the project contributed to overall Key Results & Strategies of IUCN?

## PROJECT OUTPUTS & OUTCOMES

For each of the achieved outputs outlined below:

- Comment on whether or not you feel the outputs were generated as expected (in quality & time)
- Identify Key Outcomes (stating how they contributed to the overall objectives)
- Were there any unforeseen problems, and how well were they dealt with?
- Comment on the sustainability of the outputs & outcomes, reflecting on;
  - Established structures, mechanisms, financial resources, materials
  - Levels of stakeholder participation
  - Levels of partners & stakeholder engagement

∫ (August 2000) **Micro Enterprise Needs Assessment Report: "Enterprise Viability and Needs Assessment of Enterprises in and around Kisite-Mpunguti Marine Protected Areas complex"**

- Obj 1.: "To assess the feasibility of the identified enterprises in this area";
- Obj 2: "To assess and advise on the needs of the enterprises to ensure that they become self-sustaining and able to survive to deliver benefits to the local communities long after the parties providing the initial technical and possibly financial support have withdrawn"

∫ **Project Objective 1.3** - "KWS capacity to provide assistance to stakeholders assessed & communicated"

- (NOT ACHIEVED): KWS capacity to provide assistance to stakeholders assessed, prioritized and communicated; Capacity assessment; training in participatory processes; assessment of options for improving contribution of KWS to KMNP stakeholders; feasibility & means of establishing a KMNP conservation trust fund; discussion of findings in stakeholder forums

∫ **Project Objective 2.1** - "Stakeholder working effectively together & supportive of each others activities"

- Activities undertaken: Meetings between local & non-local boat operators facilitated by KWS
- Activities not undertaken: Evaluate & draw on the experience of Watamu MNP as possible means to help small boat owners

∫ **Project Objective 1.4** - "Benefits of KMNP assessed, discussed with stakeholders and improved where possible"

- o (March 1999) - "**Financing the Management of Kisite Marine National Park & Mpunguti Marine National Reserve through Partnership with Stakeholders" Report**
- Obj 1: To undertake an economic analysis of the KMNP/MMNR complex;
- To identify financing and partnership mechanisms; and
- Obj. 2: To build the capacity of KWS personnel to conduct this type of study in the future in other marine PAs
- o Stakeholder meetings to review & discuss findings of KMNP goals & objectives and means to improve these in exchange for mgt responsibilities

∫ **Project Objective: Ph. 2 (1.1)** - "Wasini community benefiting from income from mangrove boardwalk"

- o Construction of boardwalk
- o Training in group dynamics & basic bookkeeping
- o Development of Mgt. Guidelines

∫ **Project Objective: Ph. 2 (1.2)** - "Mkwiro community benefiting from an alternative income generation activity"

- Study tour to Tanga region
- Training on group organizations and bookkeeping & marketing
- Development of Management guidelines for seaweed farming project
- 5000 copies of Brochure to promote the Wasini Women's Group Mangrove Boardwalk through the local boat operators

∫ **Project Objective: Ph. 2 (1.3)** - "Boat operators benefiting from tour guide activities"

- Safety Procedures developed - Operators given guidance on how to upgrade and make their services more competitive
- Revised Boat Operators Code of Conduct
- Training of Boat Operators
- Use of Park Brochure

∫ **Project Objective: Ph. 2 (1.4)** - Fisher community sees benefit from the park/reserve

- Initiating a fishery monitoring prog. at Mkwiro fish landing site to demonstrate the impact of the MPA on fish stocks
- Collaborative workshop to provide a forum for the exchange of ideas between the fishermen regarding MPAs and their impacts on local communities

**"EXPERIENCES GAINED DURING THE IMPLEMENTATION OF THE PROJECT SHARED WITH THOSE WORKING IN CENTRAL AMERICA (IUCN-ORMA) AND LESSONS LEARNED THAT HAVE GLOBAL APPLICATION**

∫ (May 1998) Regional Gathering of MPA Managers

- Workshop report on the Regional Workshop on Marine Protected Areas, Tourism & Communities

∫ **Project Objective: Ph. 2 (2.1)** - "Report on management model for an MPA using Kisite as pilot site published"

- (May 2001) Report on "Economic Constraints to the Management of Marine PAs: the case of KMNP & MMNR, Kenya"

∫ **Project Objective: Ph. 2 (2.2)** - "Information on Kisite MNP collated and made available to stakeholders"

- Annotated reference list compiled & distributed
- Brochure on KMNP/MMNR developed as an education & awareness tool

∫ Final Workshop in Belize 2001

∫ (NOT ACHIEVED) Prepare & circulate semi-annual newsletter to EIO network

## **IMPACTS OF THE PROJECT (CONTRIBUTIONS TO THE OVERALL GOAL)**

### **OVERALL GOAL -**

**"CONTRIBUTE TOWARDS ECOLOGICALLY AND ECONOMICALLY SUSTAINABLE MARINE & COASTAL BIODIVERSITY CONSERVATION THROUGH INTEGRATION OF COASTAL COMMUNITY LIVELIHOODS , DEVELOPMENT OF COASTAL TOURISM AND MARINE PROTECTED AREAS "**

Where possible, comment on the impacts (positive & negative) of the project on:

#### **A) The People:**

- Behaviour - with regards to the natural resources
- Behaviour - with regards to collaboration & relationships between stakeholder groups
- Participation in decision making processes
- Income
- Food Security
- Equity
- 

#### **B) The Environment:**

- Species & Ecosystem Health

## **LESSONS LEARNED**

Were there any lessons learned regarding:

- i) Methods for forging effective partnerships with stakeholders for effective management
- ii) Co-Management of Protected Areas
- iii) Added value of tourism for livelihoods and PAs (ecosystem health)
- iv) If another project was to be designed - what should be done differently/the same for the conservation of MPAs and the livelihoods of surrounding communities ?

## **Annex 4: List of Documents Reviewed**

### **Project Progress Reports**

- o Second Progress Report (period ending June 1998), Rodney V. Salm
- o Annual Progress Report (period ending December 1998)
- o Annual Progress Report (January-December 1999)
- o Progress Report (January-June, 2000)
- o Progress Report (June-December 2000)
- o Final Project Report (November 1997 - June 2001)

### **Project Activity Reports**

- o Boat Operators Code of Conduct. Kisite Marine Park and Mpunguti Marine Reserve
- o Emerton, L. March 1999. Financing the Management of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya through Partnership with Stakeholders
- o Management Guidelines for the Wasini Women's Group Mangrove Boardwalk Project. March 2001
- o Management Guidelines for Mkwiro Women's Group Seaweed Farming Project, March 2001
- o Microfinance Capacity Building Division (MCBD). August 2000. Enterprise Viability and Needs Assessment of Enterprises in and around Kisite-Mpunguti Marine Protected Area Complex
- o Report on Training in Group Dynamics for the Wasini and Mkwiro Women's Groups. March 2001
- o Report on visit to Tanga Seaweed Farming Enterprises by Mkwiro Women's Group
- o Report on Fishermen's Workshop, December, 2000
- o Towards Sustainable Marine Biodiversity Conservation. Kenya's Kisite Marine National Park & Mpunguti Marine National Reserve (KMNP/MMNR) Brochure

### **Project Publications**

- o Salm, R.V. and Y.Tessema. (eds.). 1998. Partnership for Conservation: Report of the Regional Workshop on Marine Protected Areas, Tourism and Communities, Diani Beach, Kenya, 11-13 May, 1998. IUCN Eastern Africa Regional Office, Nairobi, Kenya. 109pp
- o Emerton, L. and Tessema, Y. 2001. Economic Constraints to the Management of Marine Protected Areas: the Case of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya. IUCN Eastern Africa Regional Office, Nairobi, Kenya Power & Lightning Co. Ltd Presentation of Eastern African Participants at the 2001 Belize Workshop

### **Reports from other Organisations**

- o PACT, Kenya. June 2001. Wasini Women Group Organisational Capacity Assessment (OCA)
- o Mwadzaya, H. et. al. 1995. Knowledge, Attitudes and Practices Assessment Concerning Community Conservation and Participatory Rural Appraisal in the Areas that Neighbour the Kisite Mpunguti Marine Park and Reserve. Report produced as part of the Conservation of Biodiverse Resource Areas (COBRA) Project

## ANNEX 9. List of Documents Reviewed

### Central American Component

#### Project Document:

- IUCN-Marine and Coastal Programme, Project Proposal: "Sustainable Marine Biodiversity Conservation: Linking Tourism to Marine and Coastal Protected Areas (MPAs)", Supported by: German Federal Ministry for Economic Co-operation and Development (BMZ).

#### Progress Reports:

- 1999. IUCN/Regional Office For Mesoamerica. Progress Report, Mesoamerica. Project For Sustainable Marine Biodiversity Conservation: Linking Tourism To Coastal Marine Protected Areas.
- 1999. IUCN. Informe Anual, Mesoamerica And Eastern Africa. Proyecto Conservación Sostenible De La Biodiversidad Marina: Vinculación Del Turismo A Las Areas Marino Costeras Protegidas.
- 1999. IUCN. Annual Report, Mesoamerica And Eastern Africa. Project For Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 1998. IUCN/Regional Office For Mesoamerica. Progress Report, Mesoamerica. Project For Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 2000 (period ending December). IUCN/Eastern Africa Regional Office. Annual Progress Report. Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 2000 (January – June). IUCN/Eastern Africa Regional Office. Progress Report. Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 1999 (January – December). IUCN/Eastern Africa Regional Office. Annual Progress Report. Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 1998 (period ending December). IUCN/Eastern Africa Regional Office. Annual Progress Report. Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 1998. IUCN/ Oficina Regional Mesoamérica. Annual Report, Mesoamerica And Eastern Africa. Project Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 1997 Nov – 2001 June. IUCN/Eastern Africa Regional Office. Final Project Report - Eastern African Component. Sustainable Marine Biodiversity Conservation: Linking Tourism To Marine and Coastal Protected Areas.
- 1998. IUCN/ Oficina Regional Mesoamérica. Reporte de Avance Periodo 1998, Mesoamérica. Proyecto Conservación Sostenible De La Biodiversidad Marina: Vinculación Del Turismo A Las Areas Protegidas Marino Costeras (AMP).

#### Project Outputs reports:

- Non year. Draft Document. ORMA/EARO. Taller Inter-Regional. Turismo - Áreas Protegidas Marino Costeras (APMC).
- Agosto, 2000. IUCN. Asociación Conservacionista CARIBARO. Seminario – Taller Fortalecimiento de la Coordinación Interinstitucional en Turismo y Ambiente. Bocas del Toro.
- November 1 de 1999. Green Reef. Progress Report. Hol Chan Marine Reserve Educational and Training project



- “Assessment of Tourism’s Sustainability at the Hol Chan Marine Reserve and Rapid Economic Valuation of Environmental Services” by: Jaime Echeverria Bonilla y Cynthia Cordoba Serrano
- Non year, Fundación PROMAR. “Perfil de un Proyecto de Ecoturismo en una comunidad indígena Ngobe, aledaña al Parque Nacional Marino Isla Bastimentos”.
- Non year, AMIPETAB, “Estudio de posibilidades para la creación de nuevos senderos interpretativos en las comunidades aledañas al Parque Nacional Marino Isla Bastimentos.”
- Non year, Fundación PROMAR. “Educación Ambiental en comunidades aledañas al Parque Nacional Marino Isla Bastimentos. Bocas del Toro, Panamá.
- Non year. Documento Borrador, Plan de Manejo de Hol Chan Marine Reserve, Belice.

#### **Project publications**

- 1998. UICN. Memorias del Taller sobre la Conservación de la Biodiversidad Marina. UICN/ORMA. Costa Rica.
- 2001. UICN-PROMAR. Cuaderno de Educación Ambiental: Amigos de las Tortugas Marinas. Panamá.
- 2001. UICN-PROMAR. Cuaderno de Educación Ambiental: Amigos del Manglar. PROMAR.
- 2001. UICN-PROMAR. Cuaderno de Educación Ambiental: Comunidades y Ecoturismo. PROMAR. Panamá.
- 2002. IUCN- HCMR. Hol Can Marine Reserve Management Plan.

## **List of Documents Reviewed**

### **Eastern Africa component**

#### **Project Progress Reports**

- Second Progress Report (period ending June 1998), Rodney V. Salm
- Annual Progress Report (period ending December 1998)
- Annual Progress Report (January-December 1999)
- Progress Report (January-June, 2000)
- Progress Report (June-December 2000)
- Final Project Report (November 1997 - June 2001)

#### **Project Activity Reports**

- Boat Operators Code of Conduct. Kisite Marine Park and Mpunguti Marine Reserve
- Emerton, L. March 1999. Financing the Management of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya through Partnership with Stakeholders
- Management Guidelines for the Wasini Women's Group Mangrove Boardwalk Project. March 2001
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- Report on Fishermen's Workshop, December, 2000
- Towards Sustainable Marine Biodiversity Conservation. Kenya's Kisite Marine National Park & Mpunguti Marine National Reserve (KMNP/MMNR) Brochure

#### **Project Publications**

- Salm, R.V. and Y.Tessema. (eds.). 1998. Partnership for Conservation: Report of the Regional Workshop on Marine Protected Areas, Tourism and Communities, Diani Beach, Kenya, 11-13 May, 1998. IUCN Eastern Africa Regional Office, Nairobi, Kenya. 109pp
- Emerton, L. and Tessema, Y. 2001. Economic Constraints to the Management of Marine Protected Areas: the Case of Kisite Marine National Park and Mpunguti Marine National Reserve, Kenya. IUCN Eastern Africa Regional Office, Nairobi, Kenya Power & Lightning Co. Ltd Presentation of Eastern African Participants at the 2001 Belize Workshop

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# Terms of Reference - KENYA

## BACKGROUND

This project was part of the regional collaboration between the IUCN Eastern Africa Regional Office (IUCN-EARO) and the IUCN Regional Office for Mesoamerica (IUCN-ORMA). The goal of the overall project was to:

*Contribute towards ecologically and economically sustained marine and coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas.*

The four objectives, designed to meet the above goal, were:

- 1. The role of selected local communities in coastal tourism and Marine Protected Areas (MPAs) assessed;*
- 2. The linkages, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs assessed;*
- 3. Appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism and MPA development with the participation of local communities designed and implemented*
- 4. Experiences gained during the implementation of the project shared with those working in Central America (IUCN-ORMA) and lessons learned derived that have global application*

The Eastern African component of the project (hereafter referred to as the BMZ project) was initiated in May 1998 with a regional workshop aimed at sharing experiences and examining the opportunities for MPA management partnerships with the tourism sector and with local communities. At the workshop, Kisite Marine National Park and Mpunguti Marine National Reserve (KMNP/MMNR), two adjacent MPAs on Kenya's south coast, were identified as an appropriate demonstration site for Eastern Africa to test the ideas and approaches that had been identified. IUCN-EARO therefore collaborated with the Kenya Wildlife Service (KWS), the body mandated with the management of MPAs in Kenya, in the execution of this project.

## PURPOSE OF EVALUATIONS WITHIN IUCN

Specifically there are two purposes of evaluations within IUCN.

### **a) Learning and Improvement:**

The IUCN Evaluation Policy indicates that evaluations are to be used as part of the *learning* environment for IUCN and its members. It involves the creation of an environment that engages staff and their partners in creative ways to learn how to improve IUCN's work. In this context, evaluations are instruments for making IUCN's projects, programmes and organisational units more effective through the provision of useful feedback and a commitment to act on that feedback. By doing so, evaluations are a way to understand why IUCN activities succeed or not. Furthermore, as learning tools, evaluations add to IUCN's body of knowledge with respect to best practices in evaluation and conservation.

### **b) Accountability:**

Second, evaluations are part of IUCN's overall *accountability* system. IUCN is answerable to its members, partners and donors for determining whether IUCN's policies, programmes, projects, and operations are working well, and showing that its resources are used in a responsible way. The evaluation process, together with the required documentation that accompanies each evaluation, holds IUCN staff and contracted implementing partners responsible for their performance.

## **SPECIFIC AIMS OF THE BMZ PROJECT INTERNAL REVIEW**

The internal review of the BMZ project will be a self assessment of project achievements, impacts, and lessons learned during project implementation. The review should also aim at assisting partners to assess sustainability of all activities, approaches, and structures initiated or supported by the project

The specific aims of the evaluation are to:

1. Assess the effectiveness, efficiency and timeliness of the project implementation.
2. Evaluate the impact of the project activities and related outputs including their contribution to the overall goal of the project.
3. Determine the relevance of the project in relation to the needs of the stakeholders and environment.
4. Assess long term sustainability of the actions initiated
5. Identify lessons learned about the projects strategic approach (processes and mechanisms chosen to achieve the Project objectives)

## **SCOPE OF THE EVALUATION:**

The matrix below is intended as a guide for the development of specific issues and key questions to be addressed by the review. These are to be discussed and further developed in consultation with counterparts assessing the Mesoamerican project components prior to the review.

ISSUE	QUESTION	DATA SOURCES
<b>EFFECTIVENESS</b>	<ul style="list-style-type: none"> <li>◆ What outputs were achieved? To what extent did they contribute to the Overall Objective?</li> <li>◆ Was the project approach and structure effective in delivering the desired outputs?</li> <li>◆ Were the activities implemented in accordance with the Project Document and work plans? If not, why?</li> <li>◆ Did the partner organisations work together effectively? Was the partnership effective in achieving the desired outputs?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Partners &amp; Beneficiaries Reports</li> <li>Ⓡ Project Staff</li> </ul>
<b>EFFICIENCY</b>	<ul style="list-style-type: none"> <li>◆ Were the resources used in an optimal manner, and funds spent in accordance with work plans and using the right procedures?</li> <li>◆ Were there any unforeseen problems, how well were they dealt with?</li> <li>◆ Were the capacities of the project partners adequate?</li> <li>◆ Was there an effective process built in to the project management structure for project self-monitoring and assessment as part of team meetings, reporting and reflection?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Project Staff</li> </ul>
<b>RELEVANCE</b>	<ul style="list-style-type: none"> <li>◆ Outline the context within which the project was designed</li> <li>◆ Establish whether or not the project design and approach was relevant in addressing the identified needs, issues and challenges facing people, and the environment</li> <li>◆ What have been the roles of the donor, IUCN, project partners, and project staff and were they appropriate?</li> <li>◆ To what extent does the project contribute to the strategic policies and programmes of IUCN and that of the project partners including the project donor?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Situation Analysis Study (initial and updates)</li> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partner Organizations</li> <li>Ⓡ Beneficiaries</li> </ul>
<b>IMPACT</b>	<ul style="list-style-type: none"> <li>◆ Did the project bring about desired changes in the behavior of people and institutions?</li> <li>◆ Were there any unintended positive or negative impacts arising from particular outcomes?</li> <li>◆ Longer-term changes – Have these changes resulted in an improvement in the lives of people and a more efficient use of resources upon which they depend?</li> <li>◆ What could have been the likely situation (of the environment and its management) without the project?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partner Organizations</li> <li>Ⓡ Beneficiaries</li> </ul>
<b>SUSTAINABILITY</b>  <b>LESSONS LEARNED</b>	<ul style="list-style-type: none"> <li>◆ Was the approach used likely to ensure a continued benefit from the project (i.e. the contribution to the project overall goal and objective) after the end of the project?</li> <li>◆ Were all key stakeholders sufficiently involved? Were their expectations met and were they satisfied with their level of participation?</li> <li>◆ Do partners have the capacity to continue to implement all initiated activities? Are they able to raise adequate material and financial resources?</li> <li>◆ Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and positive impact?</li> <li>◆ Were lessons learned and experiences gained shared with Project partners and the wider stakeholder group (including those at the global level)?</li> </ul>	<ul style="list-style-type: none"> <li>Ⓡ Project Document</li> <li>Ⓡ Project Reports</li> <li>Ⓡ Partners and Beneficiaries Reports</li> <li>Ⓡ Project Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Partner Organizations</li> <li>Ⓡ Beneficiaries</li> <li>Ⓡ Project Staff</li> <li>Ⓡ Partners and Beneficiaries Staff</li> <li>Ⓡ IUCN Staff</li> <li>Ⓡ Project Reports</li> </ul>

## **METHODOLOGY**

The contractee should develop the methodology in consultation with counterparts assessing the Mesoamerican project components and with IUCN-EARO and IUCN-ORMA, to include (and expand on) the set of key questions to address effectiveness, efficiency, relevance, impact and sustainability. The methodology should show the links between data collected and recommendations proposed so that the logic is clear and transparent.

At minimum, this will involve:

1. A desk review of Project Document, work plans and progress reports, other relevant documentation to review and assess achievements so far and especially performance of work plans.
2. Consulting with project partners, staff and key stakeholders through interviews, meetings and administering questionnaires, where appropriate.

The project will provide transport, organise meetings with stakeholders and generally be available as required for discussions and supply of information during the review. Full access will be allowed to project's documents and information sources.

## **EVALUATION TEAM COMPOSITION**

Given that this is an internal assessment, the review team will be composed of the EARO Regional Planning, Monitoring & Evaluation Officer, who will work in consultation with counterparts assessing the Mesoamerican project components, and the staff responsible for the project in ORMA.

## **REPORTING**

The team will discuss its interim findings with relevant partners and the draft report shall be prepared in sufficient copies and on a diskette for submission to IUCN-ORMA, IUCN-EARO and KWS.

## **OUTPUTS**

In light of the information collected on the performance of the project and assessment made on its implications, a report will be produced on:

- ◆ **Project progress to cover, among others:**

1. An assessment of the performance of the project based on the project workplans and expected results.
2. Identification of key issues and lessons learned in implementing the project

## TIME SCHEDULE

The suggested timetable is as follows:

14 <sup>th</sup> - 16 <sup>th</sup> Feb	Consultations with IUCN-ORMA review consultants; review of project documentation and preparation of assessment tools
20 <sup>th</sup> Feb	Interviews with EARO IUCN Staff
25 <sup>th</sup> - 27 <sup>th</sup> Feb	Field Interviews with Project Partners and Stakeholder Groups
28 <sup>th</sup> - 29 <sup>th</sup> Feb	Data analysis and Report writing at IUCN-EARO, Nairobi
4 <sup>th</sup> March	Submission of draft report to IUCN-ORMA

## BUDGET

1.1 DESCRIPTION	1.2 AMOUNT (US\$)
IUCN-EARO Staff Time (7 Days)	2100
Transport Costs	600
Photocopying/Communication Costs	300
<b>TOTAL</b>	<b>300</b>



# TERMINOS DE REFERENCIA

## INTERNAL EVALUATION SUSTAINABLE MARINE BIODIVERSITY CONSERVATION: LINKING TOURISM TO MARINE AND COASTAL PROTECTED AREAS

### TERMINOS DE REFERENCIA COMPONENTE CENTRO AMERICANO

#### OBJETIVO DE LA EVALUACION:

Se ha realizado una reflexión al interior de UICN sobre el desempeño, impacto, sostenibilidad y articulación de este proyecto a los programas de la Unión, que permite cumplir con las obligaciones contractuales del proyecto y registrar la experiencia obtenida.

#### PRODUCTOS ESPERADOS:

Realizar un documento de no mas de 50 hojas que responda las preguntas de la matriz de evaluación que se presenta a continuación:

#### DRAFT PROJECT EVALUATION MATRIX

ISSUE	SUBISSUE	QUESTIONS
1. Effectiveness		<ul style="list-style-type: none"><li>➤ Were the Outputs generated as expected in quality and time?</li><li>➤ Were the Activities carried out timely and following the Project strategies? (i.e. in a participatory way, involving members and partners, or any other explicit Project Strategy)</li></ul>
2. Efficiency		<ul style="list-style-type: none"><li>➤ Could have the Project achieved the same results using different or less resources? Could have the Project have achieved more or better results with the resources it had?</li></ul>
3. Impact	Relevance	<ul style="list-style-type: none"><li>➤ In relation with the Project context (external situation), where the issues addressed by the Project the most important? What were the alternatives? What were the criteria used to decide about the issues to be addressed by the Project?</li></ul>
	Scope	<ul style="list-style-type: none"><li>➤ Who changed as a result of the Project activities (both people and organizations)?</li><li>➤ What were the changes at both levels?</li></ul>
	Perdurability	<ul style="list-style-type: none"><li>➤ What mechanisms were left in place to ensure the continuity of the Project results?</li><li>➤ Has the Project left functioning funding mechanisms to ensure that continuity?</li></ul>
4. Linkages	Within IUCN	<ul style="list-style-type: none"><li>➤ How well articulated are the products and outcomes of the Project with IUCN</li></ul>

		Regional Thematic/National Programmes, Component Programmes (Regional and Global) and Global IUCN Programme?
	External	➤ Which organizations received the products of the Project as inputs for their work? How were communicated the products and outcomes of the Project?
5. Lessons learned		➤ Was the Project strategic approach (processes and mechanisms chosen to achieve the Project objectives) the most adequate in relation to the Project context and objectives? ➤ Were the Project management strategies the most appropriated in terms of: <ul style="list-style-type: none"> <li>○ decision making system</li> <li>○ Project management (human resources, financial management, etc)</li> <li>○ monitoring and reporting</li> <li>○ evaluation (external and self-assessment)</li> <li>○ stakeholders participation</li> </ul>

#### DATA SOURCES PER ISSUE:

ISSUE	SUBISSUE	DATA SOURCES
1. Effectiveness		➤ Project Document ➤ Project Reports ➤ Partners and Beneficiaries Reports ➤ Project staff
2. Efficiency		➤ Project Document and Reports ➤ Project staff
3. Impact	Relevance	➤ Situation Analysis Study (initial and updates) ➤ Project staff ➤ IUCN staff ➤ Partner organizations staff ➤ Beneficiaries
	Scope	➤ Project Reports ➤ Project staff ➤ IUCN staff ➤ Partner organizations staff ➤ Beneficiaries
	Perdurability	➤ Project staff ➤ IUCN staff ➤ Partner organizations staff ➤ Beneficiaries
4. Linkages	Within IUCN	➤ Project staff ➤ IUCN staff
	External	➤ Partner organizations staff
5. Lessons learned		➤ Project staff ➤ Partners and Beneficiaries staff

## ACTIVIDADES A REALIZAR:

1. Revisión de documentos
2. Diseño de Instrumentos Evaluación
3. Entrevistas con personal de UICN
4. Visitas de campo (Entrevistas, reuniones)
5. Análisis de información
6. Informe

## METODOLOGÍA PARA RECOLECCION DE INFORMACION:

- Revisión de documentos: Documentos de proyecto, informes de proyecto, informes de actividades en proyectos piloto, memorias de talleres
- Entrevistas y cuestionarios con personal de UICN y de organizaciones locales implementadoras
- Talleres y entrevistas con beneficiarios y organizaciones locales
- Visitas a campo

## CRONOGRAMA Y DIAS CONSULTOR::

La evaluación deberá realizarse entre el 8 de Febrero y el 8 de Marzo. El informe final deberá ser enviado a UICN ORMA a mas tardar el 8 de Marzo de 2002 por correo electrónico a Rocío Córdoba: [rocio.cordoba@orma.iucn.org](mailto:rocio.cordoba@orma.iucn.org)

ACTIVIDAD	# DIAS	CUANDO?	QUIENES?	HONORARIOS POR CONSULTOR	TIEMPO INVERTIDO CONSULTOR
Revisión de documentos	3	10 – 12 de Febrero	Natalia Ortiz	USD\$750	3 días
Diseño de herramientas de evaluación	3	14-16 de Febrero	Natalia Ortiz	USD\$750	3 días
Entrevistas con personal de UICN (ORMA – Rocío, Enrique, Francisco; HQ – Sebastian Winckler)	1	19 de Febrero (La entrevista con Sebastián se hará en Suiza entre el 10 y el 12)	Natalia Ortiz	USD\$250	1 día
Visitas de campo (Belice – Bocas del Toro, del 20 al 27, incluye la noche de pernoctación en San José para salida a Bocas)	8	20 al 23 Belice 24-27 Bocas	Natalia Ortiz Natalia Ortiz	USD\$2000	8 días
Procesamiento de información e Informe Región Meso América	3	1-4,5 de Marzo	Natalia Ortiz	USD\$750	3 días
Compilación informe Kenya	2	6-7 de Marzo	Natalia Ortiz	USD\$500	2 días
<b>TOTAL</b>	<b>21 días laborales</b>	<b>10 de Febrero al 8 de Marzo Nov-21 Dic.</b>	<b>Natalia Ortiz</b>	<b>USD\$5000</b>	<b>20 días consultor</b>

## **GASTOS DE VIAJE:**

Los gastos de viaje, transporte, hospedaje y alimentación local serán cubiertos por la evaluación.

## **COSTO TOTAL APROXIMADO DE LA CONSULTORIA:**

**Honorarios USD\$ 5000**

**Transporte USD\$ 1124**

**Viáticos USD\$ 884**

**Impuestos de salida USD\$135**

**TOTAL USD\$ 7143**

## **Terms of Reference Eastern Africa Component**

### **BACKGROUND**

This project was part of the regional collaboration between the IUCN Eastern Africa Regional Office (IUCN-EARO) and the IUCN Regional Office for Mesoamerica (IUCN-ORMA). The goal of the overall project was to:

*Contribute towards ecologically and economically sustained marine and coastal biodiversity conservation through integration of coastal community livelihoods, development of coastal tourism and marine protected areas.*

The four objectives, designed to meet the above goal, were:

- 1. The role of selected local communities in coastal tourism and Marine Protected Areas (MPAs) assessed;*
- 2. The linkages, including impacts, between coastal ecosystems (terrestrial, wetlands, marine) important for integrated development of tourism and MPAs assessed;*
- 3. Appropriate strategies and guidelines for the conservation of biological diversity through demonstration activities that link marine/coastal tourism and MPA development with the participation of local communities designed and implemented*
- 4. Experiences gained during the implementation of the project shared with those working in Central America (IUCN-ORMA) and lessons learned derived that have global application*

The Eastern African component of the project (hereafter referred to as the BMZ project) was initiated in May 1998 with a regional workshop aimed at sharing experiences and examining the opportunities for MPA management partnerships with the tourism sector and with local communities. At the workshop, Kisite Marine National Park and Mpunguti Marine National Reserve (KMNP/MMNR), two adjacent MPAs on Kenya's south coast, were identified as an appropriate demonstration site for Eastern Africa to test the ideas and approaches that had been identified. IUCN-EARO therefore collaborated with the Kenya Wildlife Service (KWS), the body mandated with the management of MPAs in Kenya, in the execution of this project.

## PURPOSE OF EVALUATIONS WITHIN IUCN

Specifically there are two purposes of evaluations within IUCN.

### a) Learning and Improvement:

The IUCN Evaluation Policy indicates that evaluations are to be used as part of the *learning* environment for IUCN and its members. It involves the creation of an environment that engages staff and their partners in creative ways to learn how to improve IUCN's work. In this context, evaluations are instruments for making IUCN's projects, programmes and organisational units more effective through the provision of useful feedback and a commitment to act on that feedback. By doing so, evaluations are a way to understand why IUCN activities succeed or not. Furthermore, as learning tools, evaluations add to IUCN's body of knowledge with respect to best practices in evaluation and conservation.

### b) Accountability:

Second, evaluations are part of IUCN's overall *accountability* system. IUCN is answerable to its members, partners and donors for determining whether IUCN's policies, programmes, projects, and operations are working well, and showing that its resources are used in a responsible way. The evaluation process, together with the required documentation that accompanies each evaluation, holds IUCN staff and contracted implementing partners responsible for their performance.

## SPECIFIC AIMS OF THE BMZ PROJECT INTERNAL REVIEW

The internal review of the BMZ project will be a self assessment of project achievements, impacts, and lessons learned during project implementation. The review should also aim at assisting partners to assess sustainability of all activities, approaches, and structures initiated or supported by the project

The specific aims of the evaluation are to:

1. Assess the effectiveness and efficiency and timeliness of the project implementation.
2. Evaluate the impact of the project activities and related outputs including their contribution to the overall goal of the project.
3. Determine the relevance of the project in relation to the needs of the stakeholders and environment.
4. Assess long term sustainability of the actions initiated
5. Identify lessons learned about the projects strategic approach (processes and mechanisms chosen to achieve the Project objectives)

## SCOPE OF THE EVALUATION:

The matrix below is intended as a guide for the development of specific issues and key questions to be addressed by the review. These are to be discussed and further developed in consultation with counterparts assessing the Mesoamerican project components prior to the review.

ISSUE	QUESTION	DATA SOURCES
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<b>EFFECTIVENESS</b>	<ul style="list-style-type: none"> <li>◆ What outputs were achieved? To what extent did they contribute to the Overall Objective?</li> <li>◆ Was the project approach and structure effective in delivering the desired outputs?</li> <li>◆ Were the activities implemented in accordance with the Project Document and work plans? If not, why?</li> <li>◆ Did the partner organisations work together effectively? Was the partnership effective in achieving the desired outputs?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Document</li> <li>® Project Reports</li> <li>® Partners &amp; Beneficiaries Reports</li> <li>® Project Staff</li> </ul>
<b>EFFICIENCY</b>	<ul style="list-style-type: none"> <li>◆ Were the resources used in an optimal manner, and funds spent in accordance with work plans and using the right procedures?</li> <li>◆ Were there any unforeseen problems, how well were they dealt with?</li> <li>◆ Were the capacities of the project partners adequate?</li> <li>◆ Was there an effective process built in to the project management structure for project self-monitoring and assessment as part of team meetings, reporting and reflection?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Document</li> <li>® Project Reports</li> <li>® Project Staff</li> </ul>
<b>RELEVANCE</b>	<ul style="list-style-type: none"> <li>◆ Outline the context within which the project was designed</li> <li>◆ Establish whether or not the project design and approach was relevant in addressing the identified needs, issues and challenges facing people, and the environment</li> <li>◆ What have been the roles of the donor, IUCN, project partners, and project staff and were they appropriate?</li> <li>◆ To what extent does the project contribute to the strategic policies and programmes of IUCN and that of the project partners including the project donor?</li> </ul>	<ul style="list-style-type: none"> <li>® Situation Analysis Study (initial and updates)</li> <li>® Project Staff</li> <li>® IUCN Staff</li> <li>® Partner Organizations</li> <li>® Beneficiaries</li> </ul>
<b>IMPACT</b>	<ul style="list-style-type: none"> <li>◆ Did the project bring about desired changes in the behavior of people and institutions?</li> <li>◆ Were there any unintended positive or negative impacts arising from particular outcomes?</li> <li>◆ Longer-term changes – Have these changes resulted in an improvement in the lives of people and a more efficient use of resources upon which they depend?</li> <li>◆ What could have been the likely situation (of the environment and its management) without the project?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Staff</li> <li>® IUCN Staff</li> <li>® Partner Organizations</li> <li>® Beneficiaries</li> </ul>
<b>SUSTAINABILITY</b>	<ul style="list-style-type: none"> <li>◆ Was the approach used likely to ensure a continued benefit from the project (i.e. the contribution to the project overall goal and objective) after the end of the project?</li> <li>◆ Were all key stakeholders sufficiently involved? Were their expectations met and were they satisfied with their level of participation?</li> <li>◆ Do partners have the capacity to continue to implement all initiated activities? Are they able to raise adequate material and financial resources?</li> <li>◆ Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and positive impact?</li> </ul>	<ul style="list-style-type: none"> <li>® Project Document</li> <li>® Project Reports</li> <li>® Partners and Beneficiaries Reports</li> <li>® Project Staff</li> <li>® IUCN Staff</li> <li>® Partner Organizations</li> <li>® Beneficiaries</li> </ul>

<b>LESSONS LEARNED</b>	◆ Were lessons learned and experiences gained shared with Project partners and the wider stakeholder group (including those at the global level)?	® Project Staff ® Partners and Beneficiaries Staff ® IUCN Staff ® Project Reports
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## METHODOLOGY

The contractee should develop the methodology in consultation with counterparts assessing the Mesoamerican project components and with IUCN-EARO and IUCN-ORMA, to include (and expand on) the set of key questions to address effectiveness, efficiency, relevance, impact and sustainability. The methodology should show the links between data collected and recommendations proposed so that the logic is clear and transparent.

At minimum, this will involve:

1. A desk review of Project Document, work plans and progress reports, other relevant documentation to review and assess achievements so far and especially performance of work plans.
2. Consulting with project partners, staff and key stakeholders through interviews, meetings and administering questionnaires, where appropriate.

The project will provide transport, organise meetings with stakeholders and generally be available as required for discussions and supply of information during the review. Full access will be allowed to project's documents and information sources.

## EVALUATION TEAM COMPOSITION

Given that this is an internal assessment, the review team will be composed of the EARO Regional Planning, Monitoring & Evaluation Officer, who will work in consultation with counterparts assessing the Mesoamerican project components, and the staff responsible for the project in ORMA.

## REPORTING

The team will discuss its interim findings with relevant partners and the draft report shall be prepared in sufficient copies and on a diskette for submission to IUCN-ORMA, IUCN-EARO and KWS.

## **OUTPUTS**

In light of the information collected on the performance of the project and assessment made on its implications, a report will be produced on:

◆ **Project progress to cover, among others:**

1. An assessment of the performance of the project based on the project workplans and expected results.
2. Identification of key issues and lessons learned in implementing the project



## TIME SCHEDULE

The suggested timetable is as follows:

14 <sup>th</sup> - 16 <sup>th</sup> Feb	Consultations with IUCN-ORMA review consultants; review of project documentation and preparation of assessment tools
20 <sup>th</sup> Feb	Interviews with EARO IUCN Staff
25 <sup>th</sup> - 27 <sup>th</sup> Feb	Field Interviews with Project Partners and Stakeholder Groups
28 <sup>th</sup> - 29 <sup>th</sup> Feb	Data analysis and Report writing at IUCN-EARO, Nairobi
4 <sup>th</sup> March	Submission of draft report to IUCN-ORMA

## BUDGET

<b>Description</b>	<b>Amount (US\$)</b>
IUCN-EARO Staff Time (7 Days)	2100
Transport Costs	600
Photocopying/Communication Costs	300
<b>TOTAL</b>	<b>300</b>