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External Evaluation
of the Environment and Development in
Coastal Regions and Small Islands (CSI) Platform

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February 2002

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1   Executive summary

1] The intersectoral endeavour on 'Environment and Development in Coastal Regions and in Small Islands' (CSI) was established by UNESCO General Conference at its 28th session end 1995 in response to the recommendations of key United Nations meetings including the Conference on Environment and Development (Rio 1992), the Global Conference on Sustainable Development of Small Island Developing States (Barbados 1994) and the Conference on Human Settlements (Istanbul 1996). The establishment of CSI as an intersectoral 'platform' was based on the assumption that coastal region and small island environment and development issues require an integrated and interdisciplinary approach for their resolution, that UNESCO had the right mix of competencies to develop such approaches and that mutual benefits and efficiencies could be derived from bringing together UNESCO Sectors.

2] The CSI endeavour therefore was an opportunity to develop an integrated coastal management approach as well as an avenue for piloting intersectorality within UNESCO. These two interlinked aspects of CSI each posed significant challenges in their own right. This duality of CSI is reflected in the Terms of Reference for the evaluation and in this report.

Approach to the evaluation

3] The evaluation was undertaken by a team of three experts, Ms Dominique Benzaken (Australia), Dr Magnus Ngoile (Tanzania) and Professor Arno Schmid (Germany). Collectively, the evaluation team combined expertise in the social sciences, marine sciences and ecology, integrated coastal and natural resource management, and cultural and landscape planning. The evaluation was undertaken in accordance with UNESCO guidelines for programme evaluation. The evaluation consisted of a desk review of CSI documentation, semi-structured discussions with UNESCO staff at Headquarters and in selected Field Offices, visits to selected Field Projects and discussions with local stakeholders and a small pilot survey of recipients of the Internet-based Wise Practices Forum. The information was analysed and interpreted based on the Terms of Reference schedule of questions.

The CSI approach

4] Since the inception of CSI, its objectives and activities have closely followed the mandate and programme of action of governing bodies and in particular those of Rio and Barbados and Barbados +5. CSI has taken a thematic approach to address priority issues of coastal regions and small islands focusing on geography and key themes for action. As we approach the key milestones of Rio +10 (2002) and Barbados +10 (2004), CSI will have a critical role to play, both in evaluation and the determination of future directions.

5] Over the last five years, CSI has developed and implemented an integrated interdisciplinary model for developing, elaborating and testing Wise Coastal Practices using three interactive modalities: Field Projects, University Chairs and an Internet-based Wise Coastal Practices Forum.

- Field Projects and supporting University Chairs have provided the critical building blocks for the elaboration of Wise Coastal Practices, being the drivers for action and ultimately the measure of their effectiveness. The 23 Field Projects address the diversity of coastal issues and are grouped in key coastal and small island regions. There is an issue as to how many Field Projects are required to develop and test the model.

- University Chairs have provided technical and interdisciplinary support to Field Projects and the training ground for future coastal managers. However, only three

University Chairs have been established to date with varying success. An additional six are being established as well as a regional university network (UNITWIN).

- The Internet-based Wise Coastal Practices Forum has emerged as a critical implementation strategy of the CSI platform and has provided the crucial link between locally based experiences and a wider audience and in particular managers of coastal regions and small islands. The Forum currently has some 350 contributors and covers a wide range of topics, and is received by some 7,000 recipients. Through the Forum, Wise Coastal Practices characteristics have been developed which are now used to assess and refocus Field Projects, thus providing a feedback mechanism and an evaluation tool. Access to Internet, however, is limiting the penetration of the Forum in many small island states and coastal regions. CSI face-to-face regional meetings have therefore been critical for sharing experiences and elaborating and implementing wise coastal practices.

6] Although the evaluation team visited only a small number of Field Projects, UNESCO University Chairs and UNESCO Field Offices, and participated in two regional fora, evidence shows that there was overall support for the CSI approach. Factors contributing to this support included the provision of alternative livelihoods, training opportunities, technical support through University Chairs, participation of local institutions in project design and implementation and avenues for regional networking. CSI's facilitation role in bringing partners and accessing resources, providing avenues for inter- and intra-regional fora and building capacity was seen as critical by those beneficiaries. The adoption of wise coastal practices beyond the pilot stage however requires resources, which are beyond the mandate and capacity of UNESCO, to develop the institutional capacity of the Member States.

7] Finally CSI has devoted significant effort to the documenting of its activities through its website and publications and has to be commended for the quality and diversity of its products.

8] The evaluation team found that, based on its review of the CSI platform design, outcomes and impacts on intended beneficiaries, CSI has been remarkably successful towards the achievement of its stated objective. It is the view of the evaluation team that the design of the CSI platform is an elegant and innovative approach, which could be transferred to a range of environments and situations.

Effectiveness and efficiency

9] CSI has put in place effective processes and networks for consultation to support its planning and programming processes. The CSI network of staff at Headquarters and in Field Offices, Project Leaders and University Chairs have been a key group in shaping the CSI Wise Coastal Practices model and the strategic direction of CSI activities.

10] CSI has placed significant effort on developing a flexible and responsive mode of operation, which has been well supported by those involved. In particular CSI has developed strong links with Field Offices and successfully capitalised on the UNESCO decentralised administrative arrangements to support its planning and programme delivery. This approach has allowed CSI to respond effectively to local needs and emerging issues and to maximise opportunities as they presented themselves.

11] CSI has successfully incorporated into its programme of activities key issues identified at local and global levels in particular the role of local indigenous knowledge and the voice of civil society in a global context. Those issues have led to two projects funded through the UNESCO-wide cross-cutting programme to start in 2002-03.

12] CSI contribution to the preparation of the UNESCO Medium-Term Strategy (1996-2001) (C/4) and Programme and Budget Biennia (C/5) during that period has been the main focus and the primary outputs of CSI planning and programming activities. These strategic documents however are not meant to include the level of specificity required for the implementation of individual programmes and should be complemented by detailed programme plans. The availability of a CSI programme plan, compiled from the extensive preparatory work undertaken by CSI for the preparation of the C/4 and C/5 documents, would have facilitated and enhanced the evaluation. The evaluation team found that the CSI work plan, which was prepared in anticipation of the 1998-99 Programming and Budget Biennium, was most useful and could provide, with adjustments, a good template for the development of a CSI programme plan. The evaluation team recommends at paragraph 32 that such a plan is prepared for the Medium term Strategy (2002-2007).

13] Overall, CSI funds have been allocated primarily to activities in Member States (Field Projects and University Chairs) and decentralised to Field Offices, while funding for networking and communication activities, including the Internet-based Wise Coastal Practices Forum, have been mostly managed from Paris Headquarters. From the information provided, however, it was difficult to assess with accuracy patterns of resource allocation to specified activities between 1996 and 2001. A key strategy of the CSI approach has been to actively pursue the engagement of UNESCO Sectors as well as extra-budgetary funds to support and enhance Field Project activities, beyond the initial CSI seed funding.

14] Analysis of the CSI total budget between 1996-2001 showed an overall decline in regular funds accompanied by a reduction in the amount of decentralised funds (Table 1, Appendix 1). The reduction in decentralised funds is as much a result of the decline in regular funds as it is a reflection of CSI changing priorities and role of Headquarters (e.g. the Internet-based Wise Coastal Practices Forum). The extent of decentralization was found comparable to that of the Science Sector Divisions. The reduction in regular funds has not been compensated by an increase in extra-budgetary funds, which has remained more or less constant over the evaluation period. A summary of CSI budget between 1996 and 2003 is at Table 1 (Appendix 1).

15] Under these circumstances, it will be critical for CSI to increase its effort in attracting extra-budgetary funds to support its in-country activities over the long term. CSI will need to strengthen its strategy over the next 6 years and focus the priority outcomes and actions to ensure its investment is well targeted.

16] A UNESCO-wide strategic approach to activities in coastal regions and small islands is also required to better define UNESCO priority outcomes and to direct sectoral and intersectoral activities (including CSI). Such a process could be initiated by the College of ADGs in the context of the cross-cutting programme.

17] CSI management systems, in line with UNESCO-wide systems, have been designed to report on input not on specified outcomes. As a result, they could not provide management information (e.g. expenditure information) at the level of detail and form that would allow for a substantiated analysis of the effectiveness and efficiency of resource use for specified outputs, let alone outcomes, over the evaluation period. The UNESCO-wide proposed shift to outcome-based management and the reform on decentralization should provide the framework and impetus to address these issues. Developing accountable and transparent mechanisms will be a challenge, which will require specialist expertise and resources not currently identified.

18] CSI personnel at Headquarters and in Field Offices were found to be very dedicated and hard working; however, the refocusing of CSI activities as well as new activities over the

evaluation period has put a strain on human resources. CSI human resources need to be reviewed to ensure CSI programme demands are met and that staff is able to be effective, productive and appropriately rewarded.

Adding value to UNESCO Sectors' programme delivery

19] Over the last 5 years, CSI has significantly contributed to the development and testing of integrated management practices and has provided UNESCO Sectors with a valuable resource and an avenue for collaborative activities that they may not have had otherwise. As to be expected, all Sectors were found to have activities in coastal regions and small islands. However, few were aimed at integrated management and of an interdisciplinary nature. Given the small number of CSI Field Projects and the current engagement of the various Sectors in those projects, the opportunity for overlap and duplication with other Sectors was not found significant. The main features of CSI value adding to UNESCO standard program delivery are described in Table 2 (Appendix 1).

20] There is however an issue as to where the leadership for the coastal regions and small islands agenda should be. The development of a UNESCO strategic approach for coastal regions and small islands, as mentioned previously, should provide a mechanism to address this issue.

Focus on intersectorality

21] UNESCO experience with intersectorality has been difficult and has not as yet been able to significantly change the way it does business, despite numerous attempts over the last ten years. The coordination of major events across Sectors has been the most successful modality to date, but these are not truly intersectoral activities. While, to our knowledge, none of the earlier intersectoral projects were formally evaluated, they were an important input in the deliberations and the report of the 2000 Working Group on Intersectorality. The Working Group, which was set up by the Director General as part of his UNESCO reform process, identified a number of impediments to effective intersectoral collaborations and possible strategies to overcome them. The findings of the report have been used to evaluate CSI performance as an intersectoral endeavour.

22] CSI has been successful in developing strategies to promote intersectorality within UNESCO at Headquarters and in Field Offices. These include building effective networks, fostering an enabling environment and establishing sound principles of engagement for Sectors (e.g. brain sharing, cost sharing and credit sharing) as well as a strong focus on joint problem solving. However, significant structural and administrative impediments remained which have limited the extent to which CSI could pursue its intersectoral mandate. The current hierarchical organization of Sectors, supported by inter-governmental bodies, is probably the single most limiting factor for successful intersectoral activities. Another important limiting factor for CSI has been the lack of clear status within the organizational structure.

23] The recently established UNESCO-wide cross-cutting programme is the first serious attempt to address those structural and administrative impediments. It is notable that CSI has performed well under this new programme. The success of the programme in fostering intersectoral collaborations will have to be carefully monitored and should be evaluated at the end of 2003.

Replicability and sustainability

Lessons learnt for future intersectoral activities

24] The CSI Platform as a result of its mandate, structure and mode of operation has provided a flexible mechanism for integration of Sectors' activities in coastal regions and small islands. CSI has defined a niche for UNESCO as a provider of expertise in integrated coastal management practices based on an interdisciplinary approach to problem solving and tested strategies for intersectoral collaborations.

25] These strategies can be replicated to a suite of issues, environments and circumstances, as they are essentially process based. An important lesson to draw from the CSI experience is that collaborations are about people working together. However, unless there is a supporting organizational environment, those cannot be sustained in the long term. Organizational change requires strong leadership and incentives to change. The cross-cutting programme is a significant first step in that direction.

Integration of CSI activities in Member States

26] Through its activities in Member States, CSI has been able to focus government attention on significant coastal issues, facilitate a broader debate, bring together stakeholders and attract funding toward the integration of Field activities and Wise Coastal Practices into mainstream management systems (some Field Projects have entered this stage). This success however builds on and is dependent upon UNESCO regional structures, such as Field Offices and National Commissions. Success has been most evident where UNESCO had receptive and adequately resourced Field Offices and a supportive National Commission. The reform on decentralization should provide the impetus for better integration of activities at regional level.

27] The issue of adoption and implementation of sustainable coastal management strategies remains a vexed issue, which requires attention in its own right and is beyond the scope and capacity of CSI and possibly UNESCO. There is however an opportunity for UNESCO and CSI to facilitate the development of regional strategies for implementation, building on its existing networks and UNESCO Field Offices. Greater collaborations with United Nations and bilateral funding agencies at a regional level are a critical, yet relatively unexplored, element of implementation of regional strategies.

Spread and use of CSI

28] CSI has communicated about its activities widely and extensively through the website, the Internet-based Wise Coastal Practices Forum, its publications and its presence in member countries. The effectiveness of those communication activities however needs to be evaluated in terms of target audiences, media and messages to identify the best mix of products to achieve the required impacts. An evaluation of communication activities will provide the basis for developing a communication strategy.

Potential for attracting extra-budgetary funds

29] CSI has attracted significant extra-budgetary funds for a number of its projects, however CSI efforts have been primarily directed at drawing in other UNESCO Sectors and has not focused as strongly as it should have on generating extra-budgetary funds. Extra-budgetary funds and associated funds are critical to the long-term adoption of wise coastal management practices, given that UNESCO can only provide seed funding. The potential to attract extra-budgetary funds is significant at the regional level and should be formalised in regional strategies. This is critical in the context of the overall decline in regular funds.

Future directions, opportunities and risks

30] Opportunities (and risks) for CSI and more broadly for UNESCO in the coming 6 years include:

1. Increasing UNESCO's profile in coastal regions and small islands through refining the CSI Wise Coastal Practices model, encouraging its adoption through regional strategies and progressing the UNESCO key priority issues such as indigenous knowledge and civil society. The main risks to CSI are that it may not have sufficient resources and capacity (in particular human resources) to establish the effective mechanisms for regional delivery (including attracting extra-budgetary funds); that it is spreading its resources too thin; that it runs the risk being opportunistic rather than strategic; and that effective adoption of wise coastal management practices is largely outside CSI control.

2. Providing a better 'service' to Sectors' programme delivery in integrated coastal management approaches and an avenue for on-the-ground testing through Field Projects. The difficulty of engaging sectors effectively has been discussed and options to address them proposed. The main risks to CSI are its unclear status within the organization and the lack of UNESCO-wide strategic outcomes for coastal regions and small islands to guide both sectoral and intersectoral activities. Both of those are beyond CSI direct control.

3. Developing a new area of competency in integrated management science, through replicating the CSI model to other domains and issues and developing and testing a tool kit of wise practices for managers; and developing a standard setting and monitoring capacity for the implementation of wise practices. Those opportunities are well within the UNESCO mandate. The main risks are that this is beyond the mandate of CSI, and that it may duplicate existing UN programmes. This opportunity would have to be investigated.

2   Recommendations

31] In relation to CSI design, approach and implementation strategies, the evaluation team recommends that CSI:

1. Develops a set of criteria to select future field-based Projects, consistent with CSI strategic directions;

2. Develops an 'exit' strategy to be incorporated into the design of Field Projects, to ensure that CSI remains focused on the development of a tool kit of Wise Coastal Practices for managers, rather than on their long-term adoption (which can be supported through funding by donor agencies);

3. Develop/apply standard guidelines for Field project design to ensure consistency of requirements and facilitate project management, reporting and evaluation;

4. Considers, in view of the issues raised by the UNESCO review of University Chairs and the experience of CSI, alternative mechanisms to University Chairs, recognising that those alternatives would require funding;

5. Further refine the Wise Coastal Practices characteristics as an evaluation tool for Field Projects, with particular attention to the development of clearly defined sustainability indicators, taking advantage of the large body of work already available, and adopt their use in Field Projects design and evaluation.

6. Considers the possibility of developing Wise Coastal Practices standards, guidelines and procedures and possibly an accreditation mechanism, which could be adopted widely, and lead to global monitoring and reporting on their adoption.

7. Develops regional strategies to promote long term adoption of Wise Coastal Practices in Member States, building on CSI's own regional capacity, strengthening relationships with existing regional networks of agencies with a similar mandate and supported by an appropriate mechanism to attract donor funding. Donor funding should be directed at developing in country long-term institutional capacity.

8. Considers the establishment of linked regional wise practice fora under a regional university twinning network to ensure that regional issues are discussed and lessons learnt and applied locally and that the Forum remains relevant to its intended beneficiaries. The Asia-Pacific UNITWIN network may provide an opportunity to pilot a decentralised regional forum. CSI should also ensure that its face-to-face regional meetings are maintained, as they provide the main avenue for sharing experiences in remote, isolated communities with no Internet facilities.

9. Undertakes, in view of the results of the pilot survey of impacts of the Internet-based Wise Coastal Practices on its intended beneficiaries, a full survey to improve understanding of its target audience and needs, having regard to the fact that there are at least two types of recipients, those who use the Forum as a information tool and those who use the Forum as an interactive tool (e.g. contributors).

10. Evaluate the effectiveness of its current communication activities with the view of developing a communication strategy. Such evaluation will assist CSI in reallocating its resources to the most effective mix of communication activities and products and in improving the design of its communication management tools (e.g. publications database). In particular, opportunities for collaborations with, and outsourcing to, UNESCO Bureau of Public Information should be investigated.

11. Tasks the recently appointed Communication Officer with the responsibility for developing and implementing the CSI communication strategy.

32] In relation to CSI planning and programming processes and management systems, the evaluation team recommends that CSI:

1. Compiles a strategic plan, building on the consultative process to date, to translate the strategic directions of the Medium-Term Strategy (31/C4) into CSI specific objectives, strategies and outcomes for the life of the 2002-07 Medium-Term Strategy. Such a plan will:
- Provide greater visibility and identity to the CSI Platform within UNESCO and with its stakeholders;
- Provide a mechanism to maintain coherence and coordination as the scope of CSI programme of activities expand;
- Guide and justify future resource allocations;
- Clarify roles and responsibilities of the various partners, including other Sectors;
- Form the basis of detailed biennial and annual work programmes, and staff performance plans;
- Facilitate programme/project management; and
- Provide an effective framework for future monitoring and evaluation, and ensure a transparent and accountable process.

- 2. Develops a clearly articulated monitoring and evaluation strategy linked to the strategic plan objectives and outcomes and reflected in the biennia work plans including outcome-based performance measures and an internal annual review process as a basis for future planning. Such a strategy will bring together a number of existing CSI processes under an effective evaluation framework.

  3. The UNESCO Internal Oversight Service, who has responsibility for monitoring and evaluation, should provide adequate training and support to staff in the design of a monitoring and evaluation strategy, to ensure consistency with UNESCO-wide requirements.

33] The evaluation team recommends that in developing a CSI programme management system:

  1. Attention be given to the integration of a monitoring and evaluation framework including clearly defined and measurable objectives and performance indicators.

  2. Information on financial and in-kind contributions from all partners on Field Projects and key related activities, the Internet-based Wise Coastal Practices Forum, publications and the website are accurately reflected in budget and expenditure information for each biennium and is easily accessible for evaluation and future planning purposes.

  3. It may be necessary for CSI to buy in expertise to design its programme management system and to train dedicated staff in the use of appropriate software (e.g. programme administrator). Responsibility for maintaining management systems should be clearly defined.

34] In relation to financial and human resources, the evaluation team recommends that CSI:

  1. In view of the decline in regular funds, develops a strategy for attracting extra-budgetary funds as a critical factor to ensure long-term adoption of Wise Coastal Practices beyond the Field Project stage and that such as strategy be developed at a regional level;

  2. Assess the full impact of the cross-cutting projects LINKS and SIV '04 on existing CSI activities, and identify and seek to obtain the necessary resources to support these significant and high-profile UNESCO activities;

  3. Assess staffing needs with the view to ensure that adequate staffing arrangements are in place;

  4. Identify training needs through performance appraisal and ensure that training opportunities are provided;

  5. Seek commitment from management to improve working environment.

35] In relation to intersectorality and the future of CSI as an intersectoral platform for human development in coastal regions and small islands, the evaluation team recommends that UNESCO:

  1. Build on the lessons learnt from the CSI Platform in pursuing its intersectoral agenda.

  2. Ensure that the status of the CSI Platform as an intersectoral endeavour is formalised in ways that maintains its autonomy and secures its long-term future and

that options be investigated in the context of the newly established cross-cutting programme.

3. Review the cross-cutting programme at the end of 2003, to assess how well it has promoted intersectorality.

36] Given the range of activities and critical importance of the coastal regions and small islands across all Sectors, the evaluation team recommends that UNESCO:

1. Undertake a review of Sectors' activities in coastal regions and smalls islands to assess progress against the island agenda developed for the Barbados conference (1994), in preparation for Rio +10 and Barbados +10 and to assist in the development of a UNESCO response and framework for action.

2. Initiate strategic planning for coastal regions and small islands under the leadership of the College of ADGs to provide an integrated framework and clear roles and responsibilities for intersectoral and sectoral activities and programmes.

3. Considers the potential of developing capacity in 'integrated management science' as a new area of competency, which could be applied across a range of domains. This may require additional expertise currently not available in UNESCO such as economics.

4. Tasks CSI with the responsibility of providing support and coordination of those activities.

3 Terms of reference

Background

37] Some 3.2 billion people live on or within 60 kms of a coastline. By 2025 this number is expected to increase to 6.3 billion or 75% of the global population.

The great wealth of coastal areas fishing, tourism, trade and other resources, contains the seeds of its own destruction.[1] Coastal managers in developing as well as developed countries are faced with a challenge of managing conflicts over coastal resource use and values. Four out of each five UNESCO Member States is a coastal nation (80%); one out of every five a Small Island Developing State (20%).

38] While there is a wide acceptance among scientists and managers for an integrated management approach which takes account a range of values and seeks to balance development needs, the livelihood of local populations and conservation, the development and implementation of successful coastal management practices which achieve multiple benefits have proven to be quite difficult.

39] The intersectoral and interdisciplinary platform for 'Environment and Development in Coastal Regions and in Small Islands (CSI) was established by UNESCO in 1996,[2] in recognition of the significant contribution UNESCO could make to the development and implementation of effective integrated coastal management practices because of its unique mix of competencies in the area of a science, culture, communication and education.

40] The CSI Platform was initiated in order to contribute to environmentally sustainable, socially equitable, culturally respectful and economically viable development in coastal regions and in small islands. Since its establishment, CSI has promoted collaborative work among the five Programme Sectors of UNESCO (Natural Sciences, Culture, Social & Human Sciences, Communication & Information, and Education). CSI has adopted three complementary and mutually reinforcing modalities:

- Field-based Field Projects that provide a framework for collaborative action on the ground.

- UNESCO Chairs and UNITWIN arrangements, which support and enhance the field project activities through training, capacity building and awareness raising.

- A multi-lingual Internet-based forum on 'Wise Coastal Practices for Sustainable Human Development'.

41] Today 23 field projects are in operation worldwide. Three University Chairs have been formally established, and others are being set into place. The Internet-based Wise Coastal Practices Forum, which now includes some 7,000 participants from worldwide, and covers a

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[1] Dutton I. 2001. Coast to Coast. How universal are "best practices" for coastal management – and best for whom? A global Internet forum provides some answers, UNESCO Sources 131:pp 10-11.

[2] Resolution 2.1.2 (D) of the 28th Session of the General Conference November 1995. " under the project on 'Environment and development in coastal regions and in small islands', to design methodological approaches to integrated planning and management of coastal regions and small islands, and provide guidance for improving policy and management of resources; to support interdisciplinary training and capacity-building;"

wide range of discussion topics, has developed a series of 52 example Wise Coastal Practices which guide sustainable human development action on the ground.

Purpose/objectives/scope of evaluation

42] The external evaluation of UNESCO's 'Environment and Development in Coastal Regions and Small Islands' endeavour, implemented on the CSI Platform with partners in and outside UNESCO, was foreseen within the biennial evaluation plan approved by the General Conference for 2000-2001 (30C/5).

43] The overall focus of the evaluation, as indicated in the 30C/5, is:

- Taking stock of results with emphasis on the added value of intersectoral and interdisciplinary action;
- Examining the experiences gained in the implementation of Field Projects, the creation of UNESCO Chairs, and in the development and dissemination of innovative experiences such as the Internet-based discussion forum;
- Assessing CSI's sustainability, as well as the replicability of its intersectoral approach.

44] In addition to assessing the results of activities against the backdrop of the mandates given by UNESCO's governing bodies over the three biennia concerned (1996-2001), the evaluation will also examine the extent to which the intersectoral character of UNESCO action has been enhanced, in the context of follow-up to the UN Conference on Environment and Development (Rio de Janeiro, 1992), the Global Conference on Sustainable Development of Small Island Developing States (Barbados, 1994), the UN Conference on Human Settlements (Istanbul, 1996), and other major international action plans.

45] Detailed key questions had been formulated for the evaluation. A copy of the full terms of Reference is at Appendix 2.

4   Methodology

Review team

46] The review team included Ms Dominique Benzaken (Australia), Dr Magnus Ngoile (Tanzania) and Prof Arno Schmid (Germany). Collectively the evaluation team has a range of skills and experiences in the area of social sciences, indigenous resource management, marine sciences and ecology, cultural and landscape planning, integrated coastal and marine park management in their respective countries and regions and at international level.

Review process

47] During the pre-evaluation stage (February to April 2001), a pre-evaluation study was undertaken by an outside consultant. It was made available to the evaluation team during its visit in Paris (30 April to 6 May 2001). The terms of reference for the evaluation were further discussed with the team at two tele-conferences in February and April 2001. Two lots of documentation were received by the three external evaluators during that period.

48] The evaluation stage started with a week at UNESCO Headquarters in Paris (30 April to 6 May 2001), during which CSI had arranged a schedule of meetings with UNESCO Staff in all five Programme Sectors, Bureau of Strategic Planning and Office of the Director General.

49] A member of CSI staff, Ms Claire Green, was appointed liaison officer to the evaluation team for that week and afterwards until the end of the evaluation.

50] During that week, the team finalised the terms of reference, developed an evaluation framework, prepared a workplan and ensured that all necessary documentation was available. The team also consulted CSI files and databases, the Internet-based Wise Coastal Practices Forum, the web site as well as project videos. An outline for the report was completed by the end of that week and a schedule of field site visits was negotiated with CSI. Site visits took place between May and mid-July 2001.

51] Three additional tele-conferences were organised for the evaluation team to review among themselves drafts of the report (3rd week of June 2nd week of July and 1st week of September).

52] The draft final report was submitted to UNESCO on 27 September 2001.

Approach to the evaluation

53] The evaluation was undertaken in accordance with UNESCO guidelines for programme evaluation.[3] The evaluation consisted of four complementary activities:

- A desk-top study of the CSI website and other relevant documentation provided by CSI Unit in Paris;
- A series of semi-structured interviews and group discussions with UNESCO Staff both at Headquarters, and with selected UNESCO Field Office staff;
- A visit to selected Field Projects and University Chairs and interviews with relevant partners and stakeholders; and
- The execution of a small random survey of the Wise Coastal Practices Forum participants.

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[3] UNESCO 1994. Evaluation for programme activities at UNESCO. A reference manual BPE/CEU UNESCO Paris.

54] The evaluation team felt that in order to get a view of the programme and its achievements, it would be essential to include site visits. Sites visited were treated as case studies and a mechanism to gauge the effectiveness of the CSI approach on the ground. A small sample of sites were selected on the basis that they should:

- combine as many aspects of the CSI programme (e.g. University Chairs/Field Projects, linkages to a UNESCO Field Office);
- involve a range of other UNESCO programmes and other partners (local institutions, United Nations family);
- be as representative as possible of the range of CSI projects and activities and their geographical distribution; and
- be within cost and other logistic constraints.

55] Locations visited by the evaluation team members included:

- The UNESCO Jakarta Field Office, the Jakarta Bay Field Project, Indonesia; The Ulugan Bay Field Project, Palawan, Philippines; The University of the Philippines UNESCO Chair, the Asia-Pacific UNITWIN project, Manila, Philippines (Dominique Benzaken);

- The Maputaland Field Project, Republic of South Africa and the UNESCO Chair at Eduardo Mondlane University, Maputo Mozambique (Magnus Ngoile);

- The Small Historical Coastal Cities Regional Network meeting in Saida, Lebanon (Arno Schmid); and

- The Small Islands Inter/Intra Regional Network meeting (Dominica) and the Coast and Beach Stability in the Carribbeans Project (COSALC), Dominica (Dominique Benzaken).

56] Results from the four activities were compiled and analysed according to the Terms of Reference schedule of questions. A series of recommendations were developed based on this analysis and taking into account the broader UNESCO institutional framework.

Limitations of the approach

57] Given the amount of time available to the evaluation team in Paris, it was not possible to follow up with those who could not attend scheduled meetings. For example, the evaluation team did not meet representatives of the Intergovernmental Oceanographic Commission programme and the Communication Sector.

58] It was also not possible to get a systematic and in-depth assessment of the impacts of the CSI Platform on the local communities. The professional judgment of the evaluators at meetings with the community during site visits was therefore validated by the local knowledge of the project leader/programme specialist as a proxy measure of satisfaction.

59] While it was possible to assess the inputs and outputs of the CSI Platform over the evaluation period (1996 to 2001), it was more difficult to assess its outcomes, one of the reason being that by their nature, sustainability outcomes are long term and therefore beyond the timeframe of the evaluation. A qualitative assessment of what they may be was obtained indirectly through discussions with project leaders and stakeholders as well as programme specialists in Field Offices and at Headquarters.

Table 1 – CSI budget summary between 1996-2003:Regular funds, decentralised funds, Extra Budgetary funds

BIENNIUM	1996-1997	1998-1999	2000-2001	2002-2003
Relevant Document	28C/5 appr.	29C/5 appr.	30C/5 appr.	31C/5 draft
Regular Budget	$ 1,747,000	$ 1,791,000	$ 1,388,400	$ 1,046,700
Thereof: HQ	$ 817,000	$ 1,046,000	$ 816,400	$ 675,100
Thereof: Field Offices	$ 930,000	$ 745,000	$ 572,000	$ 371,600
Extra-Budgetary Res.	$ 1,850,000	$ 2,500,000	$ 2,470,000	$ 2,100,000
Staff Costs	$ n/a	$ n/a	$ 1,852,900	$ 1,215,500
Indirect Prog. Costs	$ n/a	$ n/a	$ 186,900	$ 16,400

Note:Associated funds are reflected in the UNESCO accounting system

Table 2 - CSI value adding to UNESCO standard programme delivery: Main features

Features	UNESCO Sectors' Standard practices	CSI platform value added
Governance	Intergovernmental governing body in some case with a statutory basis (eg WHC, IOC) with secretariat in UNESCO and representatives in members states (Membership can be different from General Conference and can lead to conflict in governance)	No intermediate governing structures, instead an informal, networked, interdisciplinary network in HQ and UNESCO Field Offices and direct responsibility to General Conference and Executive Board (Small size and absence of formal structure is as much a strength as it is a weakness)
Mandate	Global, sector based with multiple themes and foci Knowledge oriented objectives	Spatially targeted, intersectoral, with one major theme (sustainable development), Knowledge sharing and integrated management science-oriented objectives
Priority setting	Sector based planning process, consultative; Governing bodies set priorities and directions for programmes within global framework	Decentralised planning process, participatory, CSI network set priorities and directions for activities within global framework
Mode of operation –	Focus on knowledge building and integration, networks of expertise, incremental, information rich, technology intensive, Formalised, planned, long term	Focus on problem solving at the grass-roots level, social technologies, practical integrated outcomes using existing knowledge Experimental, responsive, flexible
Implementation strategies	Investigation of technologies for the identification, protection and monitoring of global resources and assets (natural and cultural) for informed decision making, using national and international expert networks and partners Weak link to policy	Development and implementation of tools for diagnosis, integrated management responses and appropriate technologies for sustainable living, using UNESCO sector competencies and in collaboration with local and national partners Strong link to policy
Activities	Large global thematic programs, long term, some intersectoral activities (Science education), University Chairs, partnerships with research institutions and other international programs (UN and NGOs) Technology transfer and capacity building, education, knowledge dissemination through international thematic networks, meetings publications and website primarily.	An integrated system of small relatively short-term intersectoral pilot projects (all sectors), regional networks, University Chairs, and internet based forum on integrated management solutions Capacity building and institutional development, education, information dissemination through internet based forum, meetings, publications, website, and regional networks
Resources	Large human resource infrastructure (HQ/Field Office) Financial resources limiting	Small decentralised network of CSI specialists (HQ/Field Office) and consultants (remote) Human resource limiting

External Evaluation

Environment and Development in Coastal Regions and in Small Islands

Terms of Reference

(1) Introduction

The intersectoral and interdisciplinary platform for 'Environment and Development in Coastal Regions and in Small Islands (CSI)' was initiated in 1996 to contribute to environmentally sustainable, socially equitable, culturally respectful and economically viable development in coastal regions and in small islands. It has successfully promoted collaborative work among the five Programme Sectors (Natural Sciences, Culture, Social & Human Sciences, Communication & Information, and Education). CSI has adopted three complementary and mutually reinforcing modalities:

> (1) Field-based Field projects that provide a framework for collaborative action on the ground.

> (2) UNESCO Chairs and UNITWIN arrangements, which support and enhance the field project activities through training, capacity building and awareness raising.

> (3) A multi-lingual internet-based forum on 'Wise Coastal Practices for Sustainable Human Development'.

Today 23 field projects are in operation worldwide. Three university chairs have been formally established, and others are being set into place. The internet-based discussion forum, which now includes some 4,500 participants from around the world representing a wide range of domains, has developed a series of 52 example wise practices that guide sustainable development action on the ground.

Through continuing interactions between field projects, university chairs and the internet-based discussion forum, the CSI initiative will continue to develop a set of tested wise practices addressing priority coastal concerns. These wise practices will provide guidance as to 'what can best be done under prevailing circumstances'. They will also contribute to the improvement of (a) interaction between local-global levels, (b) harmonisation between top-down and bottom-up approaches, (c) collaboration among stakeholders, and (d) complementarity between societal sectors.

(2) Purpose/objectives/scope of evaluation

The external evaluation of UNESCO's 'Environment and Development in Coastal Regions and Small Islands' endeavour, implemented on the CSI Platform with partners in and outside UNESCO, is foreseen within the biennial evaluation plan approved by the General Conference for 2000-2001 (30C/5).

The overall focus of the evaluation, as indicated in the 30C/5, will be:

- Taking stock of results with emphasis on the added value of intersectoral and interdisciplinary action;
- Examining the experiences gained in the implementation of Field projects and the creation of UNESCO Chairs, and in the development and dissemination of innovative experiences such as the internet-based discussion forum;
- Assessing CSI's sustainability, as well as the replicability of its intersectoral approach.

In addition to assessing the results of activities against the backdrop of the mandates given by UNESCO's governing bodies over the three biennia concerned (1996-2001), the evaluation will also examine the extent to which the intersectoral character of UNESCO action has been enhanced, in the context of follow-up to the UN Conference on Environment and Development (Rio de Janeiro, 1992), the Global Conference on Sustainable Development of Small Island Developing States (Barbados, 1994), the UN Conference on Human Settlements (Istanbul, 1996), and other major international action plans.

3. Key evaluation questions/issues

Key questions and issues to be addressed during the evaluation are listed below, taking into account the focal areas identified in the 30 C/5.

3.1. Taking stock of results

3.1.1. Review the conformity of CSI with the mandate given by the governing bodies, the clarity and achievability of objectives and expected outcomes, the overall approach that has been adopted, and its continued relevance to specified and emerging needs.[4]

3.1.2. Review the design, methodology, implementation strategies and practical outcomes – giving examples of their use by and impacts on specified beneficiaries – of Field projects; Field project-university chair coupling and the internet-based discussion forum.

3.1.3. Assess the extent to which desired outcomes were achieved in terms of the relationship between inputs, activities and outputs, and whether this relationship is clear, logical and commensurate, given the resources available (human, scientific, regular programme funds, extrabudgetary funds).

3.1.4. Examine the efficiency of management processes and governance to achieved outcomes, and the use of these available resources, including decentralization to UNESCO field offices.

3.1.5. Assess the costs and benefits derived from intra- and inter-regional networking among Field projects, and via the internet-based discussion forum.

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[4] The recommendations from the UN Conference on Environment and Development (Rio 1992), the Global Conference on Sustainable Development of Small Island Developing States (Barbados, 1994), the UN Conference on Human Settlements (Istanbul, 1996), and other major international meetings.

3.1.6. Assess CSI's capacity to detect emerging problems and trends, and the flexibility of its responses.

3.1.7. Specify the comparative advantage and added value of CSI, and indicate, if relevant, cases of overlaps.

3.2. Focus on intersectorality

3.2.1. Against the backdrop of standard practice in UNESCO programmes and in Member States, assess CSI's ability to catalyse and enhance intersectoral collaboration, both within the Organisation, as well as with outside counterparts e.g. local authorities, local and national non-governmental organisations, different stakeholder groups, experts from a range of disciplines, etc.

3.2.2. Analyse how the organisational and institutional environment of UNESCO and outside partners has facilitated or hampered CSI's ability to achieve intersectorality, including administrative arrangements, financial conditions, and incentives/ disincentives for individuals to engage in intersectoral work.

3.3. Replicability and sustainability

3.3.1. Identify significant lessons to be drawn from the CSI experience that will contribute to the successful establishment of other intersectoral endeavours.

3.3.2. Assess the extent to which CSI's results are integrated in action by its partners at local and national levels

3.3.3. Assess the spread and use of the CSI results regionally and internationally

3.3.4. Assess the CSI potential to attract extra-budgetary resources

3.3.5. Assess major opportunities and risks for the CSI endeavour

Based on their findings, the evaluators are requested to make recommendations regarding possible adjustments in the CSI overall design, specific objectives and expected results for the benefit of specified target groups, as well as to suggest measures to further improve the CSI performance during the next biennial programme (2002-03) and medium-term strategy (2002-07) periods.

(4) Evaluation process

- Visit to selected field projects, interviews with project leaders, local stakeholder groups, UNESCO National Commissions, Field Office colleagues;
- Interviews (teleconference, e-mail etc.) with partners in other field projects and colleagues in other Field Offices;
- Interviews with Paris-based colleagues in the Natural Science and other UNESCO Programme Sectors;
- Discussions with CSI staff and consultants;
- Browsing and scanning of website information;
- Consultation of publication series.

(5) Evaluation team: schedules and logistics

- Preparatory work: March-April: conference calls; web scanning; reading key documents, pre-evaluation study.
- Core evaluation period: 30 April to mid-June 2001 with <u>first visit</u> by external evaluators to Paris from 30 April to 4 May and <u>concluding visit</u> by Chairperson or whole team from 18 June.
- Field project visits in connection with the first visit to Paris and/or thereafter.

(6) Reporting and dissemination

- Timing for submission: end June 2001
- Language: English (UNESCO will translate report into French and English, and executive summary also into Arabic, Chinese and Russian).
- Report format: digital and hard copy.

  The report will be presented to the Director General of UNESCO who will decide on the appropriate follow-up action.