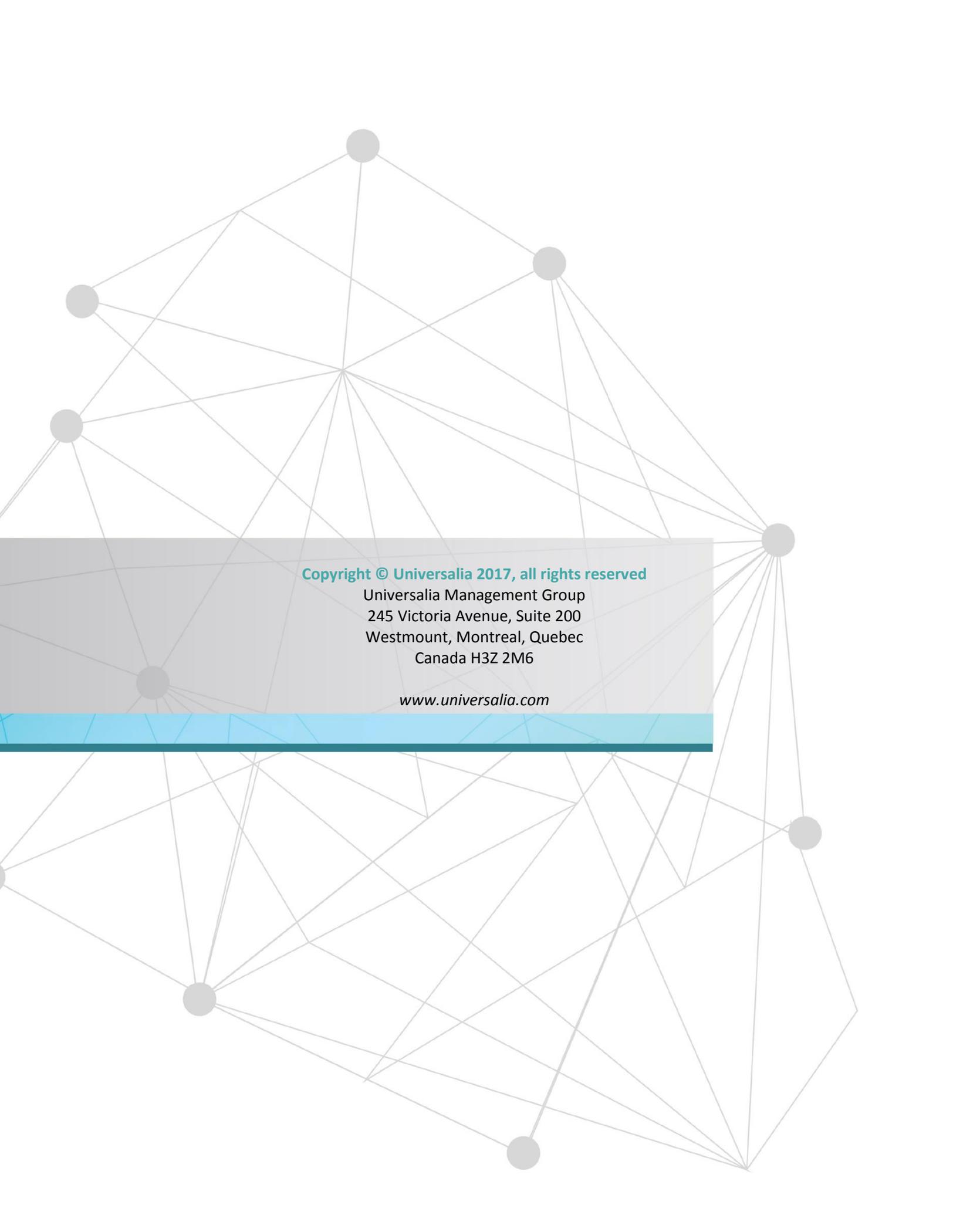


# Evaluation of the Efficiency and Effectiveness of the efforts to Expand the Socio-economic Potential of Cultural Heritage in the Caribbean – Phase II

REVISED FINAL REPORT | MAY 2017



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# Executive Summary

## INTRODUCTION

This document presents the Final Evaluation Report for the *Evaluation of the Efficiency and Effectiveness of the efforts to Expand the Socio-economic Potential of Cultural Heritage in the Caribbean (ESPECH) – Phase II*. The objective of the evaluation was: *To evaluate the efficiency, effectiveness and sustainability of the Cultural Heritage in the Caribbean – Phase II project*. The goal of the ESPECH project has been: *To contribute to expanding the socio-economic benefits of regional cultural heritage as valuable, non-renewable public resources through a new paradigm of public engagement*.

## EVALUATION METHODOLOGY

### Overview

The evaluation of ESPECH Phase II was participatory, and was supported by mixed methods and a utilisation-focused approach to data collection and analysis, and the synthesis of data analysis results. By using a participatory framework, data collection through analysis and reporting sought to engage all categories of key stakeholders who were involved in various stages of ESPECH – Phase II. In addition, the use of mixed methods tailored data collection and analysis to the types of data that were anticipated during the evaluation, specifically, quantitative and qualitative data.

This evaluation was conducted over five distinct, but overlapping phases: Phase 1 - Preparation; Phase 2- Data Collection; Phase 3 – Data Analysis and Synthesis; Phase 4 – Reporting; and Phase 5

– Assignment Management. In addition, all evaluation activity was guided by an evaluation framework approved by OAS/DPE, which outlined the main evaluation issues, key questions and sub-questions, measurable indicators, and means of verification.

**Data collection:** Data was collected from two sources: project stakeholders, through stakeholder consultations, and an in-depth desk review of relevant project documents. The main purpose of data collection activity was to contribute towards the establishment of credible and valid evidence on ESPECH II to support a contextual overview of the project, and the provision of responses to the main evaluation questions.

**Data analysis:** The analysis of data was aligned to the overall methodological approach, and complied with international evaluation standards (UNEG; OECD DAC). Data validity was ensured through cross-referencing and triangulation from multiple data sources.

**Limitations:** The evaluation was challenged by two limitations: i) the unavailability of four project stakeholders for consultations; and ii) inadequate access to relevant documents on project financial management for review. As mitigation measures, in-depth interviews were conducted with stakeholders who were available for consultation, as well as with additional relevant stakeholders who were sourced during interviews. In addition, an in-depth analysis of available financial documentation was conducted. This process was supported by stakeholder consultations that further explored the issue of project efficiency.

## MAIN FINDINGS

**Finding 1: The ESPECH Phase II project is strongly relevant to and aligned with OAS mandates.** ESPECH Phase II has demonstrated a strong level of relevance and alignment with OAS mandates, as demonstrated by the direct alignment between the project and OAS development pillar: *Fostering integral development and prosperity.*

**Finding 2: Overall, ESPECH Phase II has responded to the expressed needs of heritage sector professionals in the Caribbean for the development of the regional cultural heritage sector. However, the heritage sector was not included in most of the Member States' national priorities.** The design and implementation of Phase II of the project, with its composition of five core components of activity, responded to the expressed needs of key heritage stakeholders for the development of the sector. At the national level, however, there has been no clear link between project activities, with their focus on cultural heritage, and the national priorities of the 14 OAS Member States in the Caribbean that were engaged in ESPECH Phase II.

**Finding 3: In spite of a disbursement rate of 74% in the final six months of the project and the completion of several project activities, after two years of implementation the project has not yet achieved many of the expected outputs and outcomes of the logical framework matrix.** By August 2016, 74% of direct donor funding (USD \$1,417,505) had been disbursed for project implementation. All five project components have experienced delays to project implementation, however, ranging from slight to significant delays. As of November 2016, none of the activities of Components 1 to 4 had been fully completed. Activities of component 5 were completed in February 2017.

**Finding 4: The online portal for the Caribbean Heritage Network has been launched successfully. To-date however, this component of the project (Component 1) has not been fully operationalized as its activities are at a standstill.** Component 1 of ESPECH Phase II has involved the establishment of a Caribbean Heritage Network/ Institute to facilitate collaboration, networking and knowledge-exchange among cultural heritage professionals, artisans and interested persons within the region and beyond. As of February 2017, however, there was no evidence to confirm the completion of certain activities.

**Finding 5: The project has produced a draft version of the Annotated Guide (Component 2). This resource follows content specifications for the most part with the exception of a provision for financial incentive policies and laws.** The main objective of Component 2 involved the production of an Annotated Guide, following a review of existing legislation on heritage protection in the region, to support improved legislation for the protection of cultural heritage. As of February 2017, however, the final version of the Annotated Guide had not been completed, and did not yet include provisions for financial incentives, policies and laws as specified in its original design.

**Finding 6: The finalization and dissemination of the official Register Process (Component 3) has not been achieved, and has been considerably delayed as a result of internal issues at the level of the implementation partner.** The completion of Component 3 of the project, involving the development of a regional model for establishing national registers of heritage places has been significantly delayed. Progress reporting by the OAS<sup>1</sup>, and consultations held with the implementing agency and the external technical consultants, have indicated that internal problems at the St Christopher National Trust

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<sup>1</sup> Project Status Reports from the DPE (March 2016; June 2016)

(the implementing agency) have affected project implementation.

**Finding 7: The project has developed the endorsement criteria for engaging the public in sustainable heritage tourism (Component 4). It has yet to finalize the development of a list of heritage tourism products and services.** The Grenada National Trust has led the process of designing and implementing Component 4 of the project, entailing the development and piloting of a regional model for sustainable heritage tourism. Consultations with project stakeholders and the review of progress reporting have indicated that Component 4 is still a work in progress.

**Finding 8: The online courses in cultural heritage (Component 5)<sup>2</sup> were successfully launched after some delay. Yet, it is too early to assess the quality and effectiveness of course offerings.** As of February 2017, two online courses in cultural heritage have been offered by the Open Campus of the University of the West Indies, Cave Hill. Given that the courses have only been offered since February 2017, it is too early to acquire feedback on student experience.

**Finding 9: The project design was rightfully informed by lessons learned from ESPECH Phase I. Unfortunately, project implementation was affected by conceptual limitations and emergent factors that arose from the absence of an explicit Theory of Change.** Lessons learned from ESPECH Phase I informed the recommendations for Phase II. Of note, however, the project design was structured around an implicit Theory of Change, which did not provide details for an explicit and logical path towards results achievement.

**Finding 10: Although ESPECH Phase II has had minimal achievement of its anticipated results, adjustments to project design and management can potentially lead to socio-economic growth in**

**Member States. From a cost-benefit perspective, ESPECH Phase II has not attained the level of results achievement that was anticipated.** This outcome has emerged from the interplay of various factors, including limitations to project design, low quality at entry and internal dynamics at the level of project implementing agencies. Importantly, however, if a project of this nature had access to the resources and technical support that was required to bring it towards completion and successful results achievement, there are several important benefits that could materialise.

**Finding 11: Project design at the macro-level was based on four weak assumptions which have affected the timely implementation of the project.** First, the logical framework for the project was structured around strong assumptions of buy-in/ commitment from Member States, but cultural heritage is not automatically prioritised in the national strategic plans of Member States. Second, project design was also informed by the assumption that the implementing agencies had sufficient capacities to implement specific project components, however, there was a record of low achievement. Third, the assumption of the suitability of non-regional consultants reduced the potential for relationship-building between the project donor and regional stakeholders, and had implications for project budgets. Fourth, the assumption of resource adequacy did not take into consideration that the engagement of multiple stakeholders in a regional project requires additional resources than planned to cover all transaction costs.

**Finding 12: At the level of the project budget, a greater percentage of available funding was allocated towards the hiring of non-regional external consultants and project management support, at the expense of allocations for the implementation of project activities.** An analysis of the detailed project budget that was provided

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<sup>2</sup> Component 5: A Regional Directory and Curricular Enhancement of Heritage Education

for review was conducted based on the direct funding provided by the US Mission to the OAS (USD \$1,417,506). This figure excludes in-kind contributions from OAS and the University of West Indies (USD \$ 114,403), as well as Cost Contingency and Indirect Cost Recovery (USD \$42,425 and USD \$180,453, respectively). The design of the project disproportionately allocated project expenses to the hiring of non-regional external consultants, project management support, travel expenses and per diem, at the expense of the actual project implementation.

**Finding 13: While the use of standards for financial management varied across project components, data suggest that project funds were managed appropriately.** Based on a review of project documentation, the evaluation found no evidence that project funds were used inappropriately.

**Finding 14: The project was supported by a suitable project monitoring mechanism for tracking implementation progress. Nevertheless, its monitoring capacity has been weakened by gaps in project reporting on implementation activities and financial management.** Project reporting mechanisms for ESPECH Phase II have been suitable for monitoring implementation progress at the level of activities and outputs. In, general, however, there has been insufficient reporting in the areas of financial management; the incorporation of gender as a cross-cutting issue; and the means of verification for some project components, in particular, Components 2 and 5

**Finding 15: Notwithstanding the evidence of some alignment between project design and OAS gender priorities, there is no evidence of the systematic integration of gender (nor the need for it) during project design and implementation.** Project design for ESPECH Phase II was informed by intentions towards the integration of gender considerations. Evidence of the systematic integration of gender during the design and implementation of ESPECH Phase II was not confirmed by the analysis of evaluation

data collected through stakeholder consultations and document review. Moreover, there is a question around the rationale for the inclusion of gender considerations in a project such as this one.

**Finding 16: As a result of the lack of evidence on the project's achievement of its expected results, it is difficult for the evaluation to generate conclusive findings on results sustainability.** There is a lack of evidence or results achievement for the project. Given that results sustainability manifests as a continuation of project results upon the expiration of project funding, in the absence of evidence of results achievement it is difficult for the evaluation to assess the extent to which measures are in place to sustain project results.

## CONCLUSIONS, LESSONS LEARNED AND RECOMMENDATIONS

### Conclusions

ESPECH Phase II is at a critical stage. Project buy-in from the cultural heritage sector has contrasted with the absence of a clear alignment between project objectives and the national priorities of Member States. Project activities across the five project components are currently in various stages of implementation, and of significance, there is no evidence of results achievement by individual project components. Overall, the project has underperformed in the area of results, specifically, the delivery of its expected outputs and outcomes. As a direct result of the lack of results achievement, it is difficult to articulate next steps for the project, and in particular, results sustainability.

## Lessons Learned

1. **Country buy-in, through an identified alignment of project activities with national-level priority areas is required to inform project design and subsequent implementation.** In spite of the extensiveness of the needs assessment process, it is insufficient to seek endorsement at the sector-specific level only and forego initial collaboration with relevant government Ministries/ Departments.
2. **The internal capacity of implementation partners should be carefully weighed against the project scope, objectives and intended results prior to partner selection.** Insufficient resource and technical capacity at the level of implementing partner agencies can be detrimental to the project implementation and the achievement of expected results.

## Recommendations

**Recommendation 1: The OAS/DPE, in collaboration with the US Mission, should decide whether it will continue to invest resources in ESPECH Phase II to enable the project to achieve its target objectives as outlined in the logical framework matrix.**

In light of the combination of ‘work in progress’ at the level of the project components and the lack of results achievement at the macro-project-level, it is important for the OAS/ DPE and the US Mission to determine next steps in relation to resource investment (time; financial resources; human resources; technical support).

**Recommendation 2: If the project is to be continued, the OAS (Programme) should revise project design and update the budget (component by component).**

If a decision is taken at the level of the OAS to continue to invest resources in ESPECH Phase II, to bring the project to completion and results achievement, there will be a need to revise project design to allow for the incorporation of contextual realities at the country-level, as well as engage governments throughout the region to facilitate project ownership. Importantly, there will be an equivalent need for the budget to be revised, component by component, to ensure that sufficient funds are available for successful project implementation.

**Recommendation 3: The OAS should review (and improve) its approach to ensuring Quality at Entry and quality project management throughout the project cycle**

In the interest of enhancing project implementation for future phases of the ESPECH project, it is worthwhile for the OAS to review and improve its approach to ensuring quality at entry, and maintaining quality project management throughout the project cycle.



# Acronyms

DAC	Development Assistance Committee
DED	Culture and Tourism Section
DPE	Department of Planning and Evaluation
ESPECH	Expand the Socio-economic Potential of Cultural Heritage in the Caribbean
M&E	Monitoring and Evaluation
OAS	Organization of American States
OECD	Organization for Economic Co-Operation and Development
SEDI	Secretariat for Integral Development
ToR	Terms of Reference
UNEG	United Nations Evaluation Group



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# 1 Introduction

## 1.1 Overview

This document presents the Final Evaluation Report to the Department of Planning and Evaluation of the Organization of American States (OAS), for the *Evaluation of the Efficiency and Effectiveness of the efforts to Expand the Socio-economic Potential of Cultural Heritage in the Caribbean (ESPECH) – Phase II*. The objective of the evaluation was: *To evaluate the efficiency, effectiveness and sustainability of the Cultural Heritage in the Caribbean – Phase II project*. In accordance with the terms of reference (ToR) therefore, the evaluation scope focused on the extent to which the project has been able to deliver its main outputs, and outcomes (immediate and intermediate outcomes) by:

- i. Conducting a summative evaluation in order to identify the main achievements and results of the project;
- ii. Determining the relevance of the project vis à vis the OAS mandates and priorities in the countries benefited by the interventions;
- iii. Determining the efficiency and effectiveness of the project;
- iv. Critically analyzing the formulation, design, implementation and management of the project and make recommendations as needed;
- v. Assessing the institutional and financial sustainability of the interventions financed by the project;
- vi. Documenting lessons learned related to the formulation, design and implementation for future similar interventions;
- vii. Developing core course materials associated with the delivery of upgraded and new programmes/ courses; and
- viii. Assessing if and how the project addressed the cross-cutting issue of gender perspective and to what results

The Final Evaluation Report is organized as follows:

- Section 1 presents a brief overview of the assignment, including a description of ESPECH Phase II;
- Section 2 outlines the evaluation methodology;
- Section 3 identifies the main evaluation findings;
- Section 4 presents the conclusions, lessons learned and recommendations; and
- Appendices I – VII provide supportive documentation for the main report content.

While the evaluation has focused on the project implementation period, 2015 – 2017, project activities have continued beyond this point, to the extent that progress continues to be made towards results achievement. The cut-off point for data collection, however, was February 2017. Material produced after this timeframe has not been included in the analysis.

## 1.2 Project Background

The goal of the ESPECH project has been: *To contribute to expanding the socio-economic benefits of regional cultural heritage as valuable, non-renewable public resources through a new paradigm of public engagement.* Following its initiation by the former Office of Education and Culture of the OAS Secretariat for Integral Development (SEDI) in 2012, the project has been coordinated by the Culture and Tourism Section of the OAS (DED/SEDI/OAS). A first phase the project was implemented over the period 2012 – 2014, with the objective of identifying key regional stakeholders, to gain their input to inform an inter-sectoral strategy for promoting the protection and development of regional cultural heritage resources by: i) governmental institutions; ii) the private sector; and iii) civil society.

Following adjustments made in response to several challenges to Phase I of the project, a second phase commenced in 2015 with a budget of USD \$1.6 million. The purpose of Phase II of the ESPECH project involved strengthening the capacity of participating Caribbean countries in the preservation, development and use of cultural heritage resources with local community participation in four aspects:

- Legislation and fiscal policy;
- Monitoring, planning and evaluation;
- Sustainable tourism; and
- Education and professional development.

Phase II of the project (2015 - 2017) therefore focused on five components, as outlined in Exhibit 1.1.

**Exhibit 1.1 Components of ESPECH Phase II<sup>3</sup>**

COMPONENT		DESCRIPTION OF ACTIVITY
I.	Establishment of a Caribbean Heritage Network	<ul style="list-style-type: none"> <li>• To provide a way of communication through which professionals, communities and organizations will have a more official and permanent framework for mutual support and for sharing their particular skills and resources in complementary ways</li> </ul>
II.	A Regional Standard for Evaluating and Improving Protective Heritage Legislation and Related Financial Incentive Policies and Laws	<ul style="list-style-type: none"> <li>• To provide an instrument to improve the protective heritage legislation in all countries</li> </ul>
III.	A Regional Model for Establishing National Registers of Heritage Places	<ul style="list-style-type: none"> <li>• A process to be implemented through a host institution to test the register process in order to develop and improve registration and record-keeping in the entire region</li> </ul>

<sup>3</sup> Terms of reference

COMPONENT	DESCRIPTION OF ACTIVITY
IV. A Regional Model for Engaging the Public in Sustainable Heritage Tourism	<ul style="list-style-type: none"><li>• Utilizing methodologies successfully implemented in the environmental and geo-tourism fields, combined with mutual mentoring of young entrepreneurs and traditional practitioners, to offer sustainable economic and conservation benefits that can be shared among multiple stakeholders</li></ul>
V. A Regional Directory and Curricular Enhancement of Heritage Education	<ul style="list-style-type: none"><li>• To identify existing heritage programmes and courses in the region; evaluate the main gaps in curricula; and to demonstrate the process of developing online courses to fill curricular gaps in collaboration with a panel of regional academic advisors</li></ul>

# 2 Evaluation Methodology

## 2.1 Overview

The evaluation of ESPECH Phase II was participatory, and was supported by mixed methods and a utilisation-focused approach to data collection and analysis, and the synthesis of data analysis results. By using a participatory framework, data collection through analysis and reporting sought to engage all categories of key stakeholders who were involved in various stages of ESPECH – Phase II. In addition, the use of mixed methods tailored data collection and analysis to the types of data that were anticipated during the evaluation, specifically, quantitative and qualitative data.

This evaluation was conducted over five distinct, but overlapping phases: Phase 1 - Preparation; Phase 2- Data Collection; Phase 3 – Data Analysis and Synthesis; Phase 4 – Reporting; and Phase 5 – Assignment Management. In addition, all evaluation activity was guided by an evaluation framework approved by OAS/DPE, which outlined the main evaluation issues, key questions and sub-questions, measurable indicators, and means of verification. The evaluation matrix was conceptualised into seven core dimensions: i) relevance; ii) effectiveness; iii) efficiency; iv) sustainability; v) cross-cutting issues; vi) lessons learned; and vii) recommendations. Definitions for core dimensions i – iv and vi - vii were extracted from the *OECD-DAC Glossary of Key Terms in Evaluation and Results-based Management*, and a generic definition was developed for core dimension v, in terms of gender integration.

A detailed overview of the approved evaluation methodology is provided in Appendix III. The approach to data collection and analysis is presented below, followed by a discussion of the perceived limitations of the evaluation.

## 2.2 Data Collection and Analysis

### 2.2.1 Data Collection

Data was collected from two sources: project stakeholders, through stakeholder consultations, and an in-depth desk review of relevant project documents. The main purpose of data collection activity was to contribute towards the establishment of credible and valid evidence on ESPECH II to support a contextual overview of ESPECH Phase II, and the provision of responses to the main evaluation questions. A brief description of each data collection method is provided below.

**Stakeholder Consultations:** In total, consultations were held with 36 project stakeholders, through face-to-face consultations and consultations that were conducted by telephone/ Skype. The project stakeholders who were consulted were drawn from all five project components, as well as general areas of relevance to ESPECH Phase II that were not aligned to specific project components. Through the support of DPE, a list of key project stakeholders was compiled, inclusive of the email and telephone contacts of each stakeholder. Following their receipt of an introductory overview of the evaluation, key stakeholders were engaged in individual or small-group consultations

Consultations were held with stakeholders from all levels of project design and implementation, and were conducted as face-to-face interviews or interviews by telephone/ Skype. Stakeholder consultations were guided by an interview protocol, which was developed for each category of stakeholder, and was informed by the approved evaluation matrix, as included in the client-approved Inception Report and Work Plan. All data collection protocols that were used during consultations with project stakeholders are presented in Appendix V.

**Home-based Review of Documents:** A total of 86 documents that were relevant to the evaluation were subject to a home-based review. Copies of project documents that were relevant for the evaluation were requested from the DPE, and as required, during consultations with project stakeholders. Notes that were transcribed from stakeholder consultations were also be subject to an in-depth review. The document review was closely aligned to the key evaluation issues and questions that were outlined in the approved evaluation matrix. Of significance, document review included a review of the implicit project theory of change, to assess its technical and economic feasibility.

**Field missions:** In accordance with the evaluation ToR, and as discussed during the Start-up meeting, field missions were conducted to three OAS Member States in which project components were implemented (Barbados; Grenada; and St Kitts and Nevis). Data was collected by stakeholder consultation and document review during each field mission. The selection of countries for field missions was conducted in collaboration with the DPE, and was based on the following criteria:

- **Criterion 1:** Location of the headquarters/ coordinating body of the Caribbean Heritage Network (Component 1) – Barbados;
- **Criterion 2:** Country of focus for the Regional Model for establishing national registers of heritage places (Component 3) – St Kitts and Nevis; and
- **Criterion 3:** Country of focus for the Regional Model for Engaging the Public in Sustainable Heritage Tourism (Component 4) – Grenada.

Data collection engaged all Member States that were involved in the design and implementation stages of the project, including the Bahamas, which was involved in the implementation of Component 3 of the project. This approach was used to minimise the possibility of selection bias during data collection, as well as complement the use of field missions.

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### 2.2.2 Data Analysis

The analysis of data was aligned to the overall methodological approach, and complied with international evaluation standards (UNEG; OECD DAC). Data validity was ensured through cross-referencing and triangulation from multiple data sources. To purposefully influence the analytical process through triangulation and enhance the credibility of the evaluation findings, the following methods of analysis were used:

- **Descriptive analysis:** to understand the contexts in which ESPECH – Phase II was implemented, and to describe its project components. Descriptive analysis was used as a first step, before moving on to more interpretative approaches;
- **Content analysis:** of documents and notes arising from stakeholder consultations, to identify common trends, themes, and patterns for each of the key units of analysis. Content analysis was also used to flag diverging views and opposite trends, in which case further data collection might

have been needed. Emerging issues and trends constituted the raw material for crafting preliminary observations for subsequent refinement, to feed into the draft and final evaluation reports;

- **Quantitative analysis:** of quantitative data on use of resources during project design and implementation, and the achievement of quantitative targets; based on the availability of data for review and analysis, efforts were also made to conduct a cost-benefit analysis; and
- **Comparative analysis** to examine findings across different emergent themes and to identify best practices, innovative approaches, and lessons learned. Development of the narrative followed the emergent theoretical framework, with information being organized according to hypotheses generated, and data for each theme being linked in two ways (within each hypothesis, as well as across hypotheses). This type of analysis was used throughout the analytical process, to examine data generated by stakeholder consultations and document review.

Based on discussions held with DPE, an examination of the project design was incorporated into data analysis and results synthesis. This approach was used to identify the stronger elements of the ESPECH Phase II, as document aspects of the project design that may require strengthening during a future phase of programming. In order to enhance the data analysis process, preliminary evaluation findings were also shared with the DTE for review and a follow-up discussion. Feedback received was used to engage in further data collection, as required, as well as inform the production of the evaluation report.

## 2.3 Limitations

The evaluation was challenged by two limitations: i) the unavailability of four project stakeholders for consultations; and ii) inadequate access to relevant documents for review.

Out of a total of 30 projects stakeholders, who were identified in collaboration with DPE as being relevant to the evaluation, four stakeholders<sup>4</sup> (13% of all stakeholders identified) were unavailable for consultation. The main reason for stakeholder unavailability was a conflict of scheduling, arising from pre-arranged commitments of project stakeholders. As a mitigation measure to address this limitation, in-depth interviews were conducted with stakeholders who were available for consultation, as well as with additional relevant stakeholders who were sourced during interviews.

A gap in accessibility to relevant project documentation also similarly affected the capacity of the evaluation to assess project efficiency. It was particularly challenging to assess financial management across all five project components, through the insufficiency of financial reporting, including information on financial records, audits, verification and payment controls. Importantly, the evaluation has not concluded that the implementation partners lack internal capacity for financial management, but indicates rather, that inadequate documents were available for review to support in depth assessment, as well as the execution of a cost-benefit analysis. In order to mitigate this limitation, an in-depth analysis of available financial documentation was conducted. This process was supported by stakeholder consultations that further explored the issue of project efficiency.

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<sup>4</sup> Former Executive Director, St Christopher National Trust; Senior Cultural Policy Officer, Barbados Ministry of Culture, Sports and Youth; Owner/ Manager, Westerhall Estate Grenada; and Manager, Concepts Marketing/ Discover Grenada

# 3 Main Findings

## 3.1 Relevance

**Finding 1:** The ESPECH Phase II project is strongly relevant to and aligned with OAS mandates.

ESPECH Phase II has demonstrated a strong level of relevance and alignment with OAS mandates, as demonstrated by the direct alignment between the project and OAS development pillar: *Fostering integral development and prosperity*. The *OAS Charter* makes an explicit connection between development (social, economic and cultural development) and the importance of preserving and protecting cultural heritage. There is further emphasis on the need for OAS Member States to produce development plans that include a clause for the active encouragement of culture. The *2006-2009 OAS Strategic Plan for Partnership for Integral Development (2006 – 2009)* also described culture as a source of economic growth, and identified culture, as well as sustainable tourism development, as areas of focus for partnership-for-development activities.

**Finding 2:** Overall, ESPECH Phase II has responded to the expressed needs of heritage sector professionals in the Caribbean for the development of the regional cultural heritage sector. However, the heritage sector was not included in most of the Member States' national priorities.

Phase II of the ESPECH project (2015 – 2017) built on the main findings of a needs assessment of the cultural heritage sector in the Caribbean, as conducted over the period 2012 – 2014, the first phase of project activity. In this regard, the design and implementation of Phase II of the project, with its composition of five core components of activity, responded to the expressed needs of key heritage stakeholders for the development of the sector. To illustrate, during Phase I of the project, a survey targeting 449 heritage professionals, practitioners and interested persons, assessed the perception of needs by key stakeholders within the heritage sector, as well as their views on the state of tangible/intangible cultural and natural heritage protection and promotion in the region. The survey was administered to stakeholders from academia, government ministries, non-governmental organizations, and private/ for-profit agencies, and received a response rate of 47% (responses acquired from 210 stakeholders).

To ensure that ESPECH Phase II responded to clearly defined needs and priorities of the cultural heritage sector in the Caribbean, as identified in first instance by the results of the needs assessment survey, key stakeholders from across the region were engaged in an ongoing participatory and consultative process. A validation meeting that engaged 30 regional experts from the cultural heritage sector was therefore held in Barbados in May 2013. This meeting was facilitated by Coherit Associates LLC, the technical consultancy firm that was contracted by the OAS for the project, and was followed by additional consultations with participants, and an OAS Debrief Meeting in August 2013. Participants at the validation meeting identified four areas of focus/ issue groups as regional priority themes:

- i. Legal Administration of Heritage;
- ii. Heritage Planning and Development;
- iii. Transmission of Heritage Values; and
- iv. Formal Heritage Education.

Consultations held with key stakeholders in regional cultural heritage led to the creation of a list of 34 potential host institutions; 13 project topics under the four identified issue groups; and 84 potential members of the issue groups. The OAS Debrief Meeting further resulted in a refinement of the proposed recommendations and scope of work for the project, and the inclusion of the first model project.

Of interest, however, the evaluation has found that the cultural heritage sector is not always a priority in national sector plans in regional Member States. At the national level, there has been no clear link between project activities, with their focus on cultural heritage, and the national priorities of the 14 OAS Member States in the Caribbean that were engaged in ESPECH Phase II. Document review and consultations with stakeholders across sectors indicate a greater focus on the tourism sector, and less focus on the conservation of cultural heritage. This raises a question of whether ESPECH Phase II was, in effect, demand-driven and relevant at the national level. Evidence of greater focus on the tourism sector by Member States, as opposed to cultural heritage conservation, could also explain the lack of buy-in from Member States for the ESPECH project, as well as the limited success of the project in achieving its target results (see Finding 3). Overall, results achievement was affected by four contextual factors, which also contributed to delays in project implementation:

- i. Insufficient time for relationship building;
- ii. Very low project ownership by Member States;
- iii. Limited capacities in Member States for project implementation; and
- iv. Weak project design.

These four factors will be discussed in greater detail in Section 4.3 of the report, which pertains to Project Design.

## 3.2 Effectiveness

**Finding 3:** In spite of a disbursement rate of 74% in the final six months of the project and the completion of several project activities, after two years of implementation the project has not yet achieved many of the expected outputs and outcomes of the logical framework matrix.

As a follow-up to Phase I project activity (June 2012 – November 2013), ESPECH Phase II commenced in 2014 with the expectation that this second phase of project activity would be implemented over a two-year period (2014 – 2015). By August 2016, 74% of direct donor funding (USD \$1,417,505) had been disbursed for project implementation. All five project components have experienced delays to project

implementation, however, ranging from slight to significant delays. As of November 2016, none of the activities of Components 1 to 4 had been fully completed. Activities of component 5 were launched in February 2017.

Exhibit 4.1 provides an overview of the status of completion of the project component based on the conclusion of the activities associated with each component. The percentages that have been calculated to demonstrate rate of completion/ non-completion are based on the number of activities that were concluded.

### **Exhibit 3.1** *Status of Completion of Project Components<sup>5</sup>*

<b>Project Components</b>	<b>Completed/Not completed</b>
<b>Component 1:</b> Caribbean Heritage Network/Institute	Completed: 21/27 ( <b>78%</b> ) Not completed: 6/27 (22%)
<b>Component 2:</b> Annotated Guide	Completed: 1/8 (13%) Not completed: 7/8 ( <b>87%</b> )
<b>Component 3:</b> Register Process	Completed: 4/6 (67%) Not completed: 2/6 (33%)
<b>Component 4:</b> Heritage Tourism Endorsement Programme	Completed: 13/23 (56%) Not completed: 10/23 (43%)
<b>Component 5:</b> Online courses on Cultural Heritage	Completed: 22/29 (76%) Not completed: 7/29 (24%)
<b>Total planned activities: 93; Total activities completed: 61 (65%); Total activities not completed: 32 (35%)</b>	

By November 2016, 65% of the planned project activities had been completed and 35% had not yet been completed. At the level of the project components, the Caribbean Heritage Network/ Institute (Component 1) had achieved the most progress with the implementation of 78% of its activities. This figure contrasted sharply with the development of the Annotated Guide (Component 2), which had only completed 13% of its planned activities. In line with the contextual factors identified in Finding 2, the evaluation found that the limited completion of project components resulted from:

- i. An underestimation of the resource requirements for effective (and efficient) project implementation, with emphasis on non-financial resources, in particular the time required for human resource involvement in project activities; and
- ii. A lack of initial collaboration with Ministries that hold responsibility for culture, including cultural heritage, within Member States, to initiate buy-in from regional governments for the planning and implementation of project activities, as well as results achievement and sustainability.

<sup>5</sup> Percentages are based on the completion of project activities under each component

An overview of the extent to which project outputs and outcomes were achieved is presented in Exhibit 4.2. The evaluation has noted the progress made by the project to implement activities that fall under individual project outputs. By international evaluation standards, however, results achievement is measured by the extent to which the project has achieved three levels of results in the order of: Outputs (Level 1); Outcomes (Level 2); and Impact (Level 3), as articulated in the project results chain.<sup>6</sup> Within the context of ESPECH Phase II, the project results chain is depicted by the Logical Framework Matrix. Importantly, the achievement of project outputs or progress made towards output achievement cannot be used as a measure of overall results achievement. The evaluation has therefore noted that delays in the completion of project components, which arose from inadequate resources and a lack of initial collaboration with regional governments, contributed to limited evidence of outputs achievement. This has weakened the capacity of the evaluation to measure results at the level of outcomes and impact in line with the expected results of the Logical Framework Matrix.

### *Exhibit 3.2 Results Achievement - ESPECH Phase II*

<b>Achievement of Impact, Outcomes and Outputs</b>	
<b>Level 3: Impact</b>	<b>Achieved/Not Achieved</b>
1. Strengthened capacity of participating Caribbean countries in the preservation, development and use of Cultural Heritage resources with local community participation in the following aspects: legislation and fiscal policy, documentation, and evaluation of tangible and intangible cultural heritage, sustainable Tourism, and Education and professional development	Not achieved
<b>Level 2: Outcome indicators</b>	<b>Achieved/Not Achieved</b>
2. At least 2 participating countries begin the process of reviewing existing legislation or drafting new legislation for to the protection of Cultural Heritage by the end of the project execution period.	Not achieved
3. At least two countries begin the implementation of the model Heritage Register process by the end of the project execution period.	Not achieved
4. At least two countries (in addition to Grenada, host of the project component) begin the implementation of the model Heritage Tourism Endorsement Programme by the end of the Project execution period.	Not achieved
<b>Level 1: Outputs</b>	<b>Completed/Not completed<sup>7</sup></b>
1. A Caribbean Heritage Network/Institute established	Partially completed
2. An annotated guide developed to improve the protective heritage legislation of participating countries including the provision of fiscal incentives	Not completed
3. An official Register Process of historic places and cultural sites established in St. Kitts to serve as an adaptable framework to develop and improve registers in the entire Caribbean region.	Not completed

<sup>6</sup> OECD-DAC, 2014. Measuring and Managing Results in Development Co-operation. Paris: OECD.

<sup>7</sup> Informed by Coherit Progress Report, November 30<sup>th</sup>, 2016

4. A Sustainable Heritage Tourism Endorsement Programme designed and implemented to promote sustainable Heritage Tourism products and services.	Designed: Completed Implemented: Not completed
5. Online courses on Cultural Heritage designed and implemented	Designed: Completed Implemented: Completed

**Finding 4:** The online portal for the Caribbean Heritage Network has been launched successfully. To-date however, this component of the project (Component 1<sup>8</sup>) has not been fully operationalised as its activities are at a standstill.

Component 1 of ESPECH Phase II has involved the establishment of a Caribbean Heritage Network/ Institute to facilitate collaboration, networking and knowledge-exchange among cultural heritage professionals, artisans and interested persons within the region and beyond. The key elements of this process included the production of a governance document; registration of members; and the launching of an online platform. Overall approval for the network was granted by the Faculty Board at the University of West Indies (Cave Hill), and the structure of the network was firmly developed. Consultations with heritage stakeholders have also pointed to considerable enthusiasm for this initiative, given its potential to highlight existing work, resources and opportunities within the regional cultural heritage sector, and facilitate increased contact among stakeholders. In this regard, collaboration between the implementing partners for Components 1 and 5 of the project led to the advertising of the online courses in cultural heritage (Component 5) on the website of the Caribbean Heritage Network.

As of February 2017, however, there was no evidence to confirm the completion of certain activities, such as the establishment of the Circle of Ambassadors. Registration of members to the network is also slow, and there is limited exchange among network members. In addition, the implementation of Component 1 has been the responsibility of two persons, namely a Project Coordinator and a Research Assistant. At the time of data collection, the contract for the Research Assistant, who was in charge of administering the website, had expired, with no foreseeable extension of the position. In addition, the establishment and active functioning of the network has not been fully integrated into the university department and faculty in which it has been housed.

The potential benefit of the network to the sector, and the verbal enthusiasm for this facility notwithstanding the delay in stakeholder registration is slightly concerning. In order to generate the level of impact that is required by ESPECH Phase II, as well as contribute to results sustainability into the long-term, the effectiveness of the network is key. Of interest therefore, Ehrlichman and Wei-Skillern (2015)<sup>9</sup> advocate five steps that are recommended for establishing an effective impact network:

- i. Clarification of purpose: the reason for the existence of the network;
- ii. Convening of the right persons: membership that commits to getting the job done;
- iii. Cultivation of trust: sustained authentic relationships that contribute to impact;
- iv. Coordination of actions: pooling of resources and delegation of tasks; and

<sup>8</sup> Component 1: Establishment of a Caribbean Heritage Network

<sup>9</sup> Ehrlichman, D. and Wei-Skillern, J. (2015). Five Steps to Building an Effective Impact Network. *Stanford Social Innovation Review*.

- v. Collaboration that is generous: positive intent, frequent communication and the consistent sourcing of opportunities.

The Caribbean Heritage Network has made progress in this direction, but in the interest of achieving expected project objectives, and sustaining achieved results, further investment in an effective network is required.

**Finding 5: The project has produced a draft version of the Annotated Guide (Component 2)<sup>10</sup>. This resource follows content specifications for the most part with the exception of a provision for financial incentive policies and laws.**

The main objective of Component 2 involved the production of an Annotated Guide, following a review of existing legislation on heritage protection in the region, to support improved legislation for the protection of cultural heritage. A North-American team, comprising representatives from Coherit Associates LLC and contracted international project advisers, led the production of the guide, by developing a basic framework/table of contents for review by a team of regional advisers. As of February 2017, however, the final version of the Annotated Guide had not been completed. The initial deadline for the completion of Component 2 was December of 2015, however, the deadline was re-scheduled as a result of delayed implementation. A key reason for the delay was the fact that the development of the Annotated Guide was problematic. The process of developing the guide was strongly led by a North American sub-contractor, and as such there was insufficient adjustment for the legal context of the Caribbean region. In addition, insufficient time was spent on collaborative work between contractor and counterparts in the regions. As a result, there were substantive and numerous rounds of revision to the Annotated Guide at the regional level. In addition, the framework on which the guide was to be developed did not include elements for the provision of fiscal incentives. This is a noted omission, as the original design of Component 2 involved the production of a guide for heritage legislation and related financial incentive policies and laws. The latest project progress report that was submitted by Coherit Associates (December 2017) indicated that provisions for fiscal incentives would be included in the Guide by January 2017. As of February 2017, however, these provisions had not yet been included.

There is evidence that progress has been made towards the production of the first draft and the execution of related activities for Component 2. A draft version of the Annotated Guide was produced in August 2016, as a follow-up to the initiation of the activities scheduled for this project component, such as the establishment of a Regional Advisory Group, the execution of research on heritage law, and a comparative analysis of existing regional legislation on heritage protection. A checklist of all components required for ideal heritage legislation was also compiled. As indicated, however, the draft version of the Annotated Guide had not yet included provisions for financial incentives, policies and laws as specified in its original design.

Of significance, the production of the draft guide was conducted through a collaborative process that added value to the draft output. In particular, the regional advisors added contextual knowledge for the identification of appropriate solutions in the area of heritage protection. This raises a question of whether there should have been a reversal of roles for the production of the guide, where a more extensive draft framework could have been developed by regional consultants, with technical support being provided by

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<sup>10</sup> Component 2: A Regional Standard (Annotated Guide) for Evaluating and Improving Protective Heritage Legislation and related financial incentive policies and laws

an external, non-regional team. Included among the challenges to Component 2, as expressed by regional stakeholders, was the time that has been expended on conducting legal research and revising the framework that was produced. Specifically, the framework and examples used during the process were developed from the perspective of North American legislation, which is not particularly applicable to the regional heritage sector. In addition, as mentioned, insufficient collaboration occurred to allow for revisions that would have been contextually appropriate.

**Finding 6: The finalization and dissemination of the official Register Process (Component 3)<sup>11</sup> has not been achieved, and has been considerably delayed as a result of internal issues at the level of the implementation partner.**

The completion of Component 3 of the project, involving the development of a regional model for establishing national registers of heritage places has been significantly delayed. Progress reporting by the OAS<sup>12</sup>, and consultations held with the implementing agency and the external technical consultants, have indicated that internal problems at the St Christopher National Trust (the implementing agency) have affected project implementation. As a result, dissemination and use of a National Register Process across the region has not occurred. In addition, some of the original project activities were amended, as outlined below, to mitigate emergent problems within the implementing agency:

- Component activities have been changed to a “less complex strategy” for establishing a National Register;
- The monitoring missions that were originally budgeted for inclusion in component activities were changed to training workshops; and
- As the University of Leiden was not able to adapt the ARCHES software, to manage and present Register information for St. Kitts, this responsibility was given to Coherit Associates LLC

Following the adjustments, a training workshop for the benefit of the St Christopher National Trust, and observers from six participating OAS Member States in the region, was conducted in August 2016. A Memorandum of Understanding was also signed between the St Christopher National Trust and the OAS on January 8<sup>th</sup>, 2016, with the understanding that the deadline for completing this project component was extended to January 20<sup>th</sup>, 2017. This deadline was not met, and as of February 2017, the project component remained uncompleted. The St Christopher National Trust is a small non-governmental organization that was established by an Act of the National Assembly of St Kitts in 2009. Limited human resource capacity has contributed to the delays in activity completion.

**Finding 7: The project has developed the endorsement criteria for engaging the public in sustainable heritage tourism (Component 4)<sup>13</sup>. It has yet to finalize the development of a list of heritage tourism products and services.**

The Grenada National Trust has led the process of designing and implementing Component 4 of the project, entailing the development and piloting of a regional model for sustainable heritage tourism. This project component has demonstrated evidence of progress towards the achievement of its internal milestones, but

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<sup>11</sup> Component 3: A Regional Model for Establishing National Heritage Places

<sup>12</sup> Project Status Reports from the DPE (March 2016; June 2016)

<sup>13</sup> Component 4: A Regional Model for Engaging the Public in Sustainable Heritage Tourism

has also experienced delays in implementation. Consultations with project stakeholders and the review of progress reporting have indicated that Component 4 is still a work in progress. As an example, the timeline for the approval of Sustainable Heritage Endorsement Programme was scheduled for May 2016. As of February 2017, however, this activity had not been completed; although the development of criteria for endorsement had been completed, the development of a list of heritage tourism products was ongoing. The Endorsement Programme was scheduled to be presented at a public event in early 2017, with the support of the Grenada National Museum. As a result of staff changes at the Museum, however, the hosting of this event by the set timeline became impossible. Alternative arrangements were therefore being explored by the Grenada National Trust to facilitate the presentation.

Of interest, the Grenada National Trust has been proactive in its efforts to source seed capital to sustain the results that are generated through this project component. Stakeholders who were involved in project activities under Component 4 have indicated, however, that results achievement is contingent on endorsement of the project objective by regional governments and engagement with the private sector. The rationale for this suggestion draws on the need for official approval to legitimate project efforts, and facilitate access to private sector support.

**Finding 8: The online courses in cultural heritage (Component 5)<sup>14</sup> were successfully launched after some delay. Yet, it is too early to assess the quality and effectiveness of course offerings.**

Following the launch of the online course medium in February 2017, two online courses in cultural heritage have been offered by the Open Campus of the University of the West Indies, Cave Hill. These courses were preceded by a gap analysis, which was conducted by Coherit Associates, to identify the educational needs within the heritage sector and inform course design and implementation. Both courses have been offered with scholarship support for students from the OAS. As the courses have only been offered since February 2017, it is too early to acquire feedback on student experience.

In terms of preliminary observations, however, document review and consultations with stakeholders involved in this project component have indicated that course start-up faced several challenges. In particular, there was a delay in the finalization of the Memorandum of Understanding between the University and the OAS, while all legal documentation was reviewed by University Counsel. This delay contributed to a further delay in the launch of the courses. In addition, the sudden illness of the course developer/ course facilitator for one of the courses created a need for alternative arrangements to be made to complete the course content and facilitate course sessions. Of interest, the University was not involved in the initial selection of course personnel for reasons that have not been stated. Stakeholders based at the Open Campus have further indicated that its approach to course offerings does not permit an individual to function as both course developer and facilitator.

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<sup>14</sup> Component 5: A Regional Directory and Curricular Enhancement of Heritage Education

### 3.3 Project Design

**Finding 9:** The project design was rightfully informed by lessons learned from ESPECH Phase I. Unfortunately, project implementation was affected by conceptual limitations and emergent factors that arose from the absence of an explicit Theory of Change.

Lessons learned from ESPECH Phase I<sup>15</sup>(involve OAS national offices; provide sufficient time and human resources; and keep internal and external stakeholders updated on the project and its progress) informed the recommendations for Phase II. The primary recommendation was the need for extensive consultations with and frequent reporting to the main internal and external project stakeholders during project implementation. This approach was intended to ensure sufficient awareness of the project among its stakeholders, and contribute to results sustainability following the end of external funding.

Of note, however, the project design was structured around an implicit Theory of Change<sup>16</sup>, which did not provide details for an explicit and logical path towards results achievement. In evaluation theory, the results chain is indicative of the Theory of Change, which provides an explanation of how activities contribute to project outcomes and impacts.<sup>17</sup> Within the context of the current evaluation, an implicit theory of change was embedded in the logical framework matrix that was developed for ESPECH Phase II, identifying four levels of results i) project activities; ii) anticipated outputs denoted by the project components; iii) the project purpose; and iv) the overarching goal. Notably, each level that was identified was qualified by measurable indicators, which are aligned with the means through which achievement can be verified (means of verification). A series of assumptions was also incorporated into the logical framework matrix, as an indication of the conditions that should hold for the successful completion of project activities, and the attainment of outputs through outcomes and project impact (goal).<sup>18</sup>

The logical framework matrix for ESPECH Phase II, and by extension the implicit results chain for the project, did not provide a clearly articulated pathway for results achievement. Specifically, the assumptions that were aligned to project results did not account for the possibility of external influences, which can lead to unintended results that can potentially impede project implementation and the achievement of expected results. Included among possible external influences are emergent situations within contracted implementing partner agencies.

By design, the project results chain/ Theory of Change should present a model of an identified intervention as a contributing cause for results achievement. In essence, the results chain should:

- Identify supporting factors (assumptions) and confounding factors (risks);
- Ensure that intervention activities plus the assumptions (the Causal Package) are sufficient to bring about the intended impacts, that is, they are the conditions that are necessary for a given set of anticipated results to be achieved; and
- Explain how and why intended impacts are expected to occur (Mayne, 2017).

<sup>15</sup> Final Progress Report 2012-2014 - Cultural Heritage Project April 30 2014

<sup>16</sup> ANNEX I. Logical Framework Matrix, SID1403 - Cultural Heritage in the Caribbean- Phase II

<sup>17</sup> [www.betterevaluation.org](http://www.betterevaluation.org);

<sup>18</sup> Mayne, John (2017). Theory of Change Analysis: Working with Robust Theories of Change (unpublished).

These features were not identified in the project results chain for ESPECH Phase II. In particular, the core elements of the Theory of Change were based on weak assumptions that affected the capacity for the project to achieve its target results (see Finding 10).

**Finding 10: Project design at the macro-level was based on four weak assumptions which have affected the timely implementation of the project.**

At the macro-level, project design for ESPECH Phase II was based on four weak assumptions that affected the timely implementation of project activities. First, the logical framework for the project was structured around strong assumptions of buy-in/ commitment from Member States (country governments and implementing partner agencies) upon the expiration of project funding. It is worth noting, however, that the results chain for ESPECH Phase II did not qualify stakeholder buy-in, through the identification of direct benefit assumptions to heritage stakeholders (including implementing partners and external stakeholder agencies), in relation to their commitment to future project activities. In addition, at no time during the project design or implementation process were national governments engaged as implementation partners; instead, there was a tendency towards the engagement of non-governmental organizations, which are not responsible for national decision-making, with the result of low ownership of the project by Member States. As a result, it is difficult to establish a causal package within the current results chain for ESPECH Phase II. Further, as indicated in Finding 2, cultural heritage is not automatically prioritised in the national strategic plans of Member States. The assumption of buy-in is therefore weakened considerably on account of the reality of limited buy-in at the country level.

Second, project design was also informed by the assumption that the implementing agencies that expressed interest in the project would have sufficient capacities to implement specific project components. This assumption further inferred that the implementing agencies that were engaged in the project were the most appropriate ones to be selected. Given the delays to implementation, and the emergent issues that affected project components, there are questions around the suitability of the criteria that were used to select implementing agencies for ESPECH Phase II. While these criteria have not been made explicit, it is particularly noted that initial collaboration with government Ministries with responsibility for Culture/ Heritage did not occur. In addition, included among the implementing agencies that were responsible for project implementation were small non-governmental organizations with limited access to resources. The low record of results achievement across all five project components has indicated that Member States had very limited capacities for implementing the project.

Third, the selection of a contractor/ external technical consultancy firm that was based in North America led to additional concerns about project design. Questions on the implications for project design and implementation relate to the appropriateness of the choice of firm. This is especially pertinent to the process of relationship-building. On account of the contracting of a non-regional consultancy firm, comprising technical consultants who were not familiar with cultural heritage in a Caribbean context, time was required for regional project stakeholders/ implementing agencies to build a relationship with the external technical consultants. Insufficient familiarity with the regional contextual information implies that there would be a period of learning during which informational gaps could be addressed. The selection of non-regional consultants would have also reduced the potential for relationship-building between the project donor and regional stakeholders.

Fourth, the engagement of multiple stakeholders in a regional project requires additional resources than planned to cover all transaction costs. The extent to which project design was informed by this consideration is unclear. The weak design of the project has been reflected in low quality at entry, where

there was insufficient project appraisal to determine whether: ESPECH Phase II made sense; conversations with governments were required during the planning stages; more project funding should have been channeled towards country-specific capacity-building; and standards and examples applied to the design and implementation stages should have been informed by regional context.

### 3.4 Efficiency

**Finding 11: Although ESPECH Phase II has had minimal achievement of its anticipated results, adjustments to project design and management can potentially lead to socio-economic growth in Member States**

From a cost-benefit perspective, ESPECH Phase II has not attained the level of results achievement that was anticipated. This outcome has emerged from the interplay of various factors, including limitations to project design, low quality at entry and internal dynamics at the level of project implementing agencies. In the absence of project results, it is difficult to conduct a cost benefit analysis to outline the strengths of the project within the context of the cost of implementation. Importantly, however, if a project of this nature had access to the resources and technical support that was required to bring it towards completion and successful results achievement, there are several important benefits that could materialise. In particular, in spite of the implementation costs that are associated with all five project components, if prudently managed, ESPECH Phase II could generate the following:

- Creation of opportunities for employment in the areas of heritage preservation and tourism;
- Revenue for Member States arising from the cultural heritage tourism trade;
- Increased awareness of the need for preserving cultural heritage and greater access to the resources that are required to facilitate preservation;
- Greater opportunities for networking and knowledge-exchange among cultural heritage professionals, artisans and interested persons to enhance skills/ capacities; and
- Creation of synergies for increased levels of country-specific and regional-level cooperation in the area of cultural heritage.

It is to be noted therefore, that future phases of ESPECH Phase II have the potential to contribute to vibrant evolution across the regional cultural heritage sector, which in turn can create possibilities for socio-economic growth within Member States, as well as at the regional level. In particular, there is potential for Member States to benefit from increased revenue and employment creation through the medium of cultural heritage tourism.

**Finding 12:** At the level of the project budget, a greater percentage of available funding was allocated towards the hiring of non-regional external consultants and project management support, at the expense of allocations for the implementation of project activities.

An analysis of the detailed project budget<sup>19</sup> that was provided for review was conducted based on the direct funding provided by the US Mission to the OAS (USD \$1,417,506). This figure excludes in-kind contributions from OAS and the University of West Indies (USD \$ 114,403), as well as Cost Contingency and Indirect Cost Recovery (USD \$42,425 and USD \$180,453, respectively). In general, reports on the progress of project implementation indicate that budget disbursements have been underspent. From January 2015 to the end of August 2016, 74% or \$1,047,513 of available funding had been disbursed, ranging from 37% for Component 5 to 99% for Component 4.

The design of the project disproportionately allocated project expenses, however, to the hiring of non-regional external consultants, project management support, travel expenses and per diem, at the expense of the actual project implementation. Importantly, however, the issue being highlighted is not so much the hiring of non-regional consultants (as expertise can simply be a commodity that is hard to find in small countries), but rather, the allocation of funds for the project execution. A total of 70% of the available donor funding was budgeted for external consultants, project coordination, OAS staff, per diem and airfare, with only 30% allocated to project implementation.

In particular, costs for per diem and international air travel, appear to have been disproportionately high, with USD \$298,787 or 21% of the total budget allocated for this purpose. The project also included substantial costs for unspecified project management support, including OAS staff not budgeted as in-kind OAS contribution, constituting USD \$292,758 or 20% of the overall budget.

**Finding 13:** While the use of standards for financial management varied across project components, data suggest that project funds were managed appropriately.

Based on a review of project documentation, the evaluation found no evidence that project funds were used inappropriately. Reports on project finances were limited, however, as seen in the availability of only one Financial Statement for review for the period January 1 – April 30, 2016. Actual expenditures were not available for review for comparison with projected expenditures. RPPI reports for the period January 2015 – August 2016 indicated, however, that budget disbursements have generally been underspent. From January 2015 to the end of August 2016, 74% or USD \$1,047,513 of available funding had been disbursed, ranging from 37% for Component 5 to 99% for Component 4. For January to December 2015, out of USD \$850,094 made available by the US Mission, USD \$626,760 or 73.7% had been disbursed.

There were some possible discrepancies in the financial figures quoted within OAS-level progress reports. The Project Status Report from March 2016 stated that “according to the information provided for the period 1 July – 31 December 2015, expenditures for this period totaled USD \$298,973”. Based on the RPPI report for June - December 2015, the total amount of funds disbursed equaled USD \$79,043. If the disbursed amount referenced in the Project Status Report also included resources committed for the period (USD \$57,822), the disbursement would total USD \$136,865. Because of the lack of complete financial information, the evaluation was unable to assess if there was a discrepancy or if the two OAS progress reports referred to different financial figures: amount disbursed and amount spent.

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<sup>19</sup> SID1403 Budget

The use of financial controls varied by project component, four of which (Component 1; 3; 4 and 5) were based on Memoranda of Understandings with implementation partners. Each MOU included financial reporting requirements and clauses authorizing the OAS to withhold or suspend payments upon the non-approval of financial reports submitted by the implementation partners. There is no evidence of the withholding or suspension of payments by the OAS on account of the non-approval of financial reports by implementation partners. There are indications, however, that the financial reporting requirements for the project have not been followed, or have not been adequate to conduct proper financial control. The Project Status Reports<sup>20</sup> from the Department of Planning and Evaluation (DPE) of OAS state that “cumulative financial information starting from 1 January to 2015 should be provided, as well as updated financial information to facilitate future disbursements”.

**Finding 14: The project was supported by a suitable project monitoring mechanism for tracking implementation progress. Nevertheless, its monitoring capacity has been weakened by gaps in project reporting on implementation activities and financial management.**

Project reporting mechanisms for ESPECH Phase II have been suitable for monitoring implementation progress at the level of activities and outputs. Reporting mechanisms were established between the technical project consulting firm and the regional implementing partner agencies. Coherit Associates LL.C produced four progress reports, covering the period from January 2015 to the end of November 2016, which provide details of the implementation of activities for all 5 components. Reports on the progress of project implementation, which were submitted to the Department for Planning and Evaluation for review and comment,<sup>21</sup> were produced every six months (and of a shorter frequency in 2016). These reports provided an overview of the status of the project, including information on the implementation of project activities, the achievement of project outputs and resource disbursement per project component. The reports also provided limited information on the monitoring of outcome indicators.

Data generated from project monitoring were to be used to inform changes to selected project activities. For Component 3, for example, progress reports produced by Coherit Associates LL.C for the period August – November, 2016 recommended conducting additional capacity training for the staff at the St. Christopher National Trust, as well as considering changing the responsibility for implementing the component from the Trust to the Department of Culture. While the training of project personnel was incorporated into several project activities<sup>22</sup>, the evaluation did not find evidence of post-training assessments or confirmation of the transfer of responsibility for project implementation, as recommended.

In general, however, there has been insufficient reporting in the areas of financial management; the incorporation of gender as a cross-cutting issue; and the means of verification for some project components, in particular, Components 2 and 5, as documented in the OAS Project Status Report of June 2016. Project status reporting for March and June 2016 noted that project management should provide reports “with respect to identification and the participation of countries related to planned results at the level of outcomes”.<sup>23</sup> This observation is indicative of less than satisfactory monitoring of outcome-level results.

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<sup>20</sup> From March and June 2016

<sup>21</sup> RPPI - IPEP

<sup>22</sup> For example, activity 1.20; 3.1; 3.4; and 4.20

<sup>23</sup> OAS Project Status Report March and June 2016

### 3.5 Cross-cutting Issue - Gender

**Finding 15:** Notwithstanding the evidence of some alignment between project design and OAS gender priorities, there is no evidence of the systematic integration of gender (nor the need for it) during project design and implementation.

Project design for ESPECH Phase II was informed by intentions towards the integration of gender considerations. According to the project document, “considerations of gender equality and vulnerable populations in the representation of and access to historical and cultural resources” were to be integrated into potential pilot projects.<sup>24</sup> In addition, project design for Phase 1 of the project was informed by gender considerations during the execution of the needs assessment, and the selection of stakeholders from the cultural heritage sector for the 2013 regional meeting that was held in Barbados. Evidence of the systematic integration of gender during the design and implementation of ESPECH Phase II was not confirmed by the analysis of evaluation data collected through stakeholder consultations and document review. The logical framework matrix for the project did not include any indicators or results (at the level of outputs or outcomes) that were specific to the integration of gender in the cultural heritage sector. DPE Project Status Reports (March 2013; June 2013) further noted that the narrative of progress reporting lacked information on the incorporation of gender into project components. As a result, the reports emphasised the need for this information, along with the means of verification, where relevant.

There is evidence of a marginal alignment, however, between project activities and OAS gender priorities, with reference to gender priorities that have been identified by the *Inter-American Programme on Women’s Human Rights and Gender Equity and Equality Report* (2000). Gender parity was explicitly noted in the *Project Document* as an element that would be incorporated into the implementation of project activities. Notably, there has been evidence of gender-balanced decision-making and leadership (gender parity) across the project team, including the team of external technical consultants; issue groups developed for individual project components; regional expert groups and governance structures. At the level of project implementation, for example, gender parity was incorporated into the process of establishing the Governance body for the Caribbean Heritage Network (Component 1). With the exception of gender parity, however, there has been no indication that gender was a key consideration during project implementation. Moreover, there is a question around the rationale for the inclusion of gender considerations in a project such as this one. Essentially, the need for the integration of gender during the strengthening of country-capacity for cultural preservation is unclear.

### 3.6 Sustainability

**Finding 16:** As a result of the lack of evidence on the project’s achievement of its expected results, it is difficult for the evaluation to generate conclusive findings on results sustainability.

As indicated, there is a lack of evidence or results achievement for the project. Given that results sustainability manifests as a continuation of project results upon the expiration of project funding, in the

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<sup>24</sup> OAS Project Document: Section 1E: Special Considerations

absence of evidence of results achievement it is difficult for the evaluation to assess the extent to which measures are in place to sustain project results.

Nevertheless, the sustainability of project results into the long-term was incorporated into project design from inception. At the level of the OAS, the project design phase included extensive dialogue between the DPE and regional organizations, in particular the Caribbean Development Bank and the CARICOM Secretariat, 'to ensure that the Project and the importance of its sustainability are kept on the agendas of meetings of their relevant bodies'. In addition, the logical framework matrix for ESPECH Phase II contained a series of assumptions that were based on anticipated buy-in for the project from governments across regional OAS Member States. Specifically, the logical framework matrix was structured around the assumption that:

- i. Regional governments, communities and Heritage NGOs would continue to implement the models for capacity-building provided by the components of the project;
- ii. Regional governments would continue, after project completion, to take necessary steps to ensure the provision of effective legislation for the protection of heritage, including the provision of fiscal incentives; and
- iii. After project completion, regional governments and relevant governmental organizations would commit to providing resources, whether financial or human, to the implementation of the models provided by the project.

In spite of the role envisioned for regional governments in results sustainability, however, the evaluation has not found evidence to confirm that regional governments were involved in the project beyond the needs assessment that was conducted during Phase I. The commitment of regional government to results sustainability upon project completion is therefore highly questionable. There has been no evidence to confirm commitment from governments across the region. Of interest, however, stakeholder consultations at the level of the OAS and the implementing partner agencies have identified the need for government endorsement, as an impetus for project implementation, as well as results sustainability.

Importantly, there is limited evidence of sustainability planning and capacity for long-term results sustainability, at the level of the project components. Stakeholder consultations for Components 4 and 5, also revealed that the implementing partners have had initial thoughts on the sustaining the results of their respective project components. With the exception of Component 1, however, under which a Sustainability Plan was developed for a Caribbean Heritage Network/Institute, there is no indication that sustainability plans were developed by implementing partner agencies. Of note, the sustainability plan for the Caribbean Heritage Network/Institute was not available for review.

# 4 Conclusions, Lessons Learned and Recommendations

## 4.1 Conclusions

ESPECH Phase II is at a critical stage. Project buy-in from the cultural heritage sector has contrasted with the absence of a clear alignment between project objectives and the national priorities of Member States. Project activities across the five project components are currently in various stages of implementation, and of significance, there is no evidence of results achievement by individual project components. Overall, the project has underperformed in the area of results, specifically, the delivery of its expected outputs and outcomes. As a direct result of the lack of results achievement, it is difficult to articulate next steps for the project, and in particular, results sustainability.

To some degree, the status of project implementation, and by extension the status of results achievement, is understandable, given the challenges that have marred the project, namely: delays at start-up; general delays in implementation; and variations in the internal capacity of implementation partners. It is to be noted, however, that resource investment in ESPECH Phase II has not been matched by tangible results that indicate beneficial returns to the cultural heritage sector in the region. Even more so, there has been limited accountability/ justification for the disbursement of donor funding. Lessons learned from the project pertain to its overall design (see 4.2) and strongly suggest that there is need to revisit, and in essence invest further in project design at the macro- and micro-levels, in the event of a future phase of project activity.

## 4.2 Lessons Learned

There were two main lessons that emerged from the implementation of ESPECH Phase II. They were as follows:

1. **Country buy-in, through an identified alignment of project activities with national-level priority areas is required to inform project design and subsequent implementation.** In spite of the extensiveness of the needs assessment process, it is insufficient to seek endorsement at the sector-specific level only and forego initial collaboration with relevant government Ministries/ Departments.
2. **The internal capacity of implementation partners should be carefully weighed against the project scope, objectives and intended results prior to partner selection.** Insufficient resource and technical capacity at the level of implementing partner agencies can be detrimental to the project implementation and the achievement of expected results.

## 4.3 Recommendations

Based on the analysis of collected data, the strategic recommendation below is meant to inform next steps for project implementation, following the review of the main findings that have emerged from this evaluation.

**Recommendation 1: The OAS/DPE, in collaboration with the US Mission, should decide whether it will continue to invest resources in ESPECH Phase II to enable the project to achieve its target objectives as outlined in the logical framework matrix.**

Results achievement during the implementation of ESPECH Phase II has been challenged by several issues, such that the project has been unable to achieve target results that were established within its logical framework matrix. Challenges to the project have ranged from internal dynamics at the level of the implementing partner agencies, to design elements that have been ill-suited to result sustainability. The combined effect on the project has been delayed implementation across all five project components, and a lack of evidence to show achievement of outputs by individual project components, and the achievement of project outcomes. There is, nevertheless, evidence of ongoing implementation of activities by project components, including evidence of the successful completion of several activities.

In light of the combination of ‘work in progress’ at the level of the project components and the lack of results achievement at the macro-project-level, it is important for the OAS/ DPE and the US Mission to determine next steps in relation to resource investment (time; financial resources; human resources; technical support). Essentially, there is need for decision-making on the feasibility of further investment in ESPECH Phase II, in the interest of enabling the project to achieve expected results. At issue, on one hand is the question of whether results achievement is possible under the current project design, in particular, the choice of implementation partners, including their capacity to contribute towards results achievement, and their commitment/ buy-in to the same. On the other hand, there is a question of whether it is expedient for the project coordinating organization and the donor agency to terminate the project at this stage following the quantum of resources that have been invested in project design and implementation.

Importantly, if the OAS/ DPE, in collaboration with the US Mission, should decide to facilitate the achievement of expected results by ESPECH Phase II, through continued investment, there will be a critical need to address design issues that have contributed to the lack of results achievement. In particular, the issues to be addressed are:

- **Country buy-in:** As discussed, one of the challenges to the project, including the implementation of project components, was the limited alignment of the project with national priorities. In order to proceed towards results achievement, there is need for ownership/ buy in at the level of country governments, to ensure that the project is prioritised for implementation through its perceived benefit to country-level, as opposed sector-specific objectives.
- **Capacity of implementing partner agencies:** Differences in the status of completion of the project components have shown that there is variation in the internal capacities of the implementing partner agencies. There is need to consider whether these agencies require additional coaching/ technical support to enable results achievement, or whether there is need for extended partnerships (implementing partners working as combined units) or, in some instances, a change of implementing partner agency.

- **Resource investment:** Evaluation findings have provided evidence of underspend at the micro-level (project components) and the macro-level (overall project). If the project is to be supported towards results achievement, however, there is likely to be a need for an investment of additional resources, including time; financial resources; and technical/ coordinating support.

Overall, decision-making on further resource investment in the project is required.

**Recommendation 2: If the project is to be continued, the OAS (Programme) should revise project design and update the budget (component by component).**

If a decision is taken at the level of the OAS to continue to invest resources in ESPECH Phase II, to bring the project to completion and results achievement, there are specific actions that need to be taken. In particular, there will be a need to revise project design to allow for the incorporation of contextual realities at the country-level, as well as engage governments throughout the region to facilitate project ownership. Importantly, there will be an equivalent need for the budget to be revised, component by component, to ensure that sufficient funds are available for successful project implementation. The intention here would be to facilitate results achievement. In order to attain this objective, the OAS (Programme) would need to:

- i. Conduct a gap analysis to enable the project to achieve expected results;
- ii. Establish and invest in a realistic level of effort to achieve expected results (outputs and outcomes);
- iii. Establish a realistic timeline for the completion of project components

This approach can be used to inform decision-making, at the level of the OAS, on: whether all five project components should be continued or whether some should be dropped. It can further be used to identify which of the five components has the greatest likelihood of achieving its expected results.

**Recommendation 3: The OAS should review (and improve) its approach to ensuring Quality at Entry and quality project management throughout the project cycle**

In the interest of enhancing project implementation for future phases of the ESPECH project, it is worthwhile for the OAS to review and improve its approach to ensuring quality at entry, and maintaining quality project management throughout the project cycle. Included among the questions that need to be raised to facilitate these processes are the following:

- i. Is the project sufficiently demand-driven, with a focus on the extent to which national priorities have informed project design?
- ii. Has sufficient institutional analysis been conducted to support decision-making for proceeding with a project?
- iii. To what extent is the project logic model/ theory of change adequately robust?
- iv. Has there been a solid identification of participating Member States?
- v. Are the project components well-designed, and in particular, was a pilot included in any training design and were Member States sufficiently involved?

# Appendix I Terms of Reference

## Evaluation of the Efficiency and Effectiveness of the Efforts to Expand the Socio-economic Potential of Cultural Heritage in the Caribbean – Phase II

### I. BACKGROUND

1.1 At the request of the US Permanent Mission the Department of Planning and Evaluation (DPE) is coordinating an external assessment of the project “Expanding the Socio-Economic Potential of Cultural Heritage in the Caribbean – Phase II” (ESEPCH). This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programmes executed by the OAS. Such efforts, coordinated and supervised by the DPE, began over 5 years ago with the evaluation of initiatives financed by the Spanish Fund for OAS and has been extended to operations financed by other donors, such as Canada and the United States of America. These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and programme formulations and designs, and institutionalizing best practices in monitoring and evaluation within the Organization.

1.2 ESEPCH is a project that was initiated by the Secretariat for Integral Development (SEDI) through the former Office of Education and Culture. Presently the project is coordinated by the Culture and Tourism Section of the OAS (DED/SEDI/OAS).

#### **ESEPCH Phase I**

1.3 Since its inception the goal of the programme has been to contribute to expanding the socio-economic benefits of regional cultural heritage as valuable, non-renewable public resources through a new paradigm of public engagement. The objective of phase I (SID1213) was to identify key regional stakeholders and gain their input to inform an inter-sectoral strategy for promoting the protection and development of regional cultural heritage resources by governmental institutions, the private sector, and Civil Society.

1.4 Among the challenges faced in phase I the following can be mentioned: i) obstacles to region-wide communication and economic sustainability for cultural heritage protection; ii) a significant variation in the effectiveness of existing heritage legislation from country to country as a result of a disregard for the provisions of the law and/or the weaknesses of the legislation itself; iii) lack of financial incentives to encourage the private sector to invest in the protection of heritage resources; iv) the significant variation of the nature, quality and reach of the inventories of gazetted sites; v) lack of information regarding the process for nominating properties to the national list of protected sites; vi) lack of connection between the intangible attributes related to heritage places, including the cultural industries that they sustain; vii) the loss of local traditions and degradation of heritage resources as a result of the controversial and complex relationship between tourism and local culture; viii) the lack of regional awareness of existing offerings in heritage education or professional development as well as the full range of employment opportunities; and ix) significant gaps in existing education curricula.

## ESEPCH Phase II

1.5 These challenges prompted adjustments to the programme through a new operation - phase II. With a budget of over USD \$1.6 million, phase II of the programme aimed at strengthening the capacity of participating Caribbean countries in the preservation, development, and use of Cultural Heritage resources with local community participation in the following aspects: legislation and fiscal policy, monitoring, planning and evaluation, sustainable Tourism, and Education and professional development.

1.6 In phase II five components were considered:

- i) Establishment of a Caribbean Heritage Network: to provide a way of communication through which professionals, communities, and organizations will have a more official and permanent framework for mutual support and for sharing their particular skills and resources in complementary ways.
- ii) A Regional Standard for Evaluating and Improving Protective Heritage Legislation and Related Financial Incentive Policies and Laws: to provide an instrument to improve the protective heritage legislation in all countries.
- iii) A Regional Model for Establishing National Registers of Heritage Places: a process to be implemented through a host institution to test the register process in order to develop and improve registration and record keeping in the entire region.
- iv) A Regional Model for Engaging the Public in Sustainable Heritage Tourism: utilizing methodologies successfully implemented in the environmental and geotourism fields, combined with mutual mentoring of young entrepreneurs and traditional practitioners, to offer sustainable economic and conservation benefits that can be shared among multiple stakeholders
- v) A Regional Directory and Curricular Enhancement of Heritage Education: To identify existing heritage programmes and courses in the region; evaluate the main gaps in curricula; and to demonstrate the process of developing online courses to fill curricular gaps in collaboration with a panel of regional academic advisors.

## II. OBJECTIVE OF THE CONSULTANCY

2.1 The objective of the Consultancy is to evaluate the efficiency, effectiveness and sustainability of the Cultural Heritage in the Caribbean – Phase II project. The evaluation will specifically focus on the delivery of the main Outputs, and the Immediate and Intermediate Outcomes for the project.

### A. Scope of the evaluation.

2.2 To achieve the objective the Consultant shall:

- Conduct a summative evaluation in order to identify the main achievements and results of the project.
- Determine the relevance of the project vis-a-vis the OAS mandates and priorities in the countries benefited by the interventions.
- Determine the efficiency and effectiveness of the project.
- Critically analyze the formulation, design, implementation and management of the project and make recommendations as needed.

- Assess the institutional and financial sustainability of the interventions financed by the project.
- Document lessons learned related to the formulation, design, implementation, management and sustainability.
- Make recommendations, as appropriate, to improve the formulation, design and implementation for future similar interventions.
- Assess if and how the project addressed the crosscutting issue of gender perspective and to what results.

2.3 In addition to the above, the consultancy will make every attempt to answer the following performance questions:

- i) Was the project's implicit Theory of Change effective?
- ii) Were project's objectives achieved?
- iii) Were the outcome indicators the appropriate measurement of success?
- iv) Are project's achievements sustainable?
- v) Did the project team applied results based management principles from its inception to its conclusion?
- vi) Are the project's indicators S.M.A.R.T.?
- vii) Was the process for the selection of beneficiaries done based on a pre-established criterion? and was the criteria appropriate?
- viii) Were best practices taken into account during the design and applied during the implementation?
- ix) Were lessons learnt from phase I taken into account during the design and applied during the implementation of phase II?
- x) Did projects include specific requirements for conducting follow-up of training activities in order to measure: increased skills, awareness and abilities among recipients; and the strengthening of institutions where such individuals work, among others? – consider using the kirkpatrick methodology.
- xi) Was the monitoring mechanism used as an efficient and effective tool to follow-up on the progress of project's actions?

**B. Information sources.**

2.4 Among other sources the consultant will review the following:

- i) Progress implementation reports.
- ii) Completion reports.
- iii) Logical Framework Matrix.
- iv) Products derived from the implementation of the project and means of verification.
- v) Any other document deemed relevant for the completion of the work.

### C. Stakeholders.

2.5 Among other stakeholders the consultant will consider the following:

- i) Project Team.
- ii) Member countries.
- iii) Local and national counterparts.
- iv) University of West Indies, Cave Hill Campus in Barbados.
- v) University of the West Indies Open Campus with 16 centers throughout the region;
- vi) Saint Christopher National Trust of Saint Kitts and Nevis
- vii) Bahamas Antiquities Monuments and Museum Corporation (AMMC);
- viii) Grenada National Trust (GNT)
- ix) Donors.
- x) Department of Planning and Evaluation, OAS.
- xi) Beneficiaries, individual and member countries.

### III. ACTIVITIES

3.1 This consultancy will be coordinated and supervised by the Department of Planning and Evaluation (DPE).

3.2 The evaluation process will take a participatory approach and take account of the views of all key stakeholders. In general, the evaluation will be based on interviews, analysis of documents, field visits, use of relevant evaluation instruments (i.e. application of surveys, focus groups, etc.) and all available data sources, as required.

#### A. Phase I: Preparatory activities.

3.3 To achieve the objectives of the Terms of Reference, the consultancy shall carry out the following activities, without prejudice to other tasks that are necessary to complete the work:

- i) Conduct initial conference calls with key stakeholders and assess more accurately the scope of the work and request the necessary information to perform effectively. As a result, the consultancy will submit a work plan to the OAS, the work plan will include the description and chronology of the activities to be carried out, the reports to be submitted and the deliverables of the evaluation.
- ii) Develop an Evaluation Framework (EF) which will contribute to determine if the project was implemented efficiently and effectively and generated the expected results. The EF shall include the following sections among other:
  - (a) A description of the methodology or design of evaluation strategy, including the sampling framework to be used for the collection of data; and the evaluation matrix. The evaluation methodology must consider qualitative and quantitative measurements.
  - (b) Data collection protocols and analysis of information.
  - (c) Data collection instruments.

- (d) The identification and measurement of output and outcome indicators (initial, intermediate and final) to measure the project's efficiency and effectiveness, in addition to those previously identified during the design of the project, if any. Both groups of indicators are expected to include their definition and methodologies for the collection and calculation.
- (e) The instruments for the collection of information and related materials.
- (f) The work plan for the consultancy, including the collection, analysis and production of reports (see paragraph 3.3 (i));
- (g) A proposal of the table of contents of the final report, among others.

#### **B. Phase II: Collection and analysis of information, and Midterm Report.**

- iii) Review all the relevant documentation including those produced during the formulation and design of the project.
- iv) Conduct interviews and collect information from key stakeholders, including: Project Team (in Washington DC), US Mission officials; government officials, and direct and indirect beneficiaries, among other (see paragraph 2.5).
- v) Conduct interviews and focus groups to validate the implicit chain of results (Logic Model) for the project, by determining if it was adequate and valid for the expected and actual results.
- vi) Establish the project's efficiency and effectiveness, identifying lessons learned and making recommendations for future executions. This assessment should include a cost-benefit analysis of the project to determine the economic feasibility of the proposed model of intervention.
- vii) Assess the management of the project in the use of planning and implementation tools, such as annual operations plans, logical framework, and project monitoring reports among others.
- viii) Assess the technical and economic feasibility of the project, including the sustainability of its benefits.
- ix) Determine the relevance of the criteria used for the targeting of beneficiaries; including individuals and member countries benefiting from the project and make appropriate recommendations for similar projects in the future.
- x) Analyze how and if the project incorporated a gender perspective approach in the execution of its components, and if there were any such efforts, determine how consequential it was.
- xi) Measure the projects' performance in terms of efficiency and effectiveness. The consultancy shall review and suggest adjustments to the indicators identified in the Logical Framework. In addition, the consultancy shall identify, propose and measure indicators that were not considered in the design. The consultancy shall analyze the extent to which the expected results were achieved as well as identify unplanned results that may have occurred.
- xii) ***Conduct at least 3 missions to Member Countries*** as needed. The selection criteria for the countries to be visited will be determined during Phase I of this TOR in conjunction with the DPE and key stakeholders.<sup>25</sup>

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<sup>25</sup> If for some unforeseeable reason, after the contract has been signed, a mission cannot be executed, the total contract amount will be adjusted down to reflect the appropriate amount.

- xiii) Produce a midterm report describing the progress of the evaluation and the findings to date. The report will be accompanied by a Power Point presentation.
- xiv) Conduct **one mission to OAS headquarters** to present the midterm report.

#### C. Phase III: Presentation of final report.

- xv) Produce a final report analyzing and describing the execution, outputs and outcomes of the supported actions; lessons learned, recommendations and conclusions; a section for sustainability and beneficiaries, among others. The report will be accompanied by a Power Point presentation.
- xvi) Conduct **one mission to OAS headquarters** to present the final report.

### IV. PRODUCTS AND DELIVERABLES

4.1 The consultancy will produce and deliver the following documents taking into consideration each of the activities described in the above section:

- i) A detailed work plan and the evaluation Framework **within 15 days** of signing the contract.
- ii) A midterm report on the progress of the consultancy including, a revised Logical Framework, the theory of change and a Power Point to be presented in OAS headquarters on a previously agreed date.
- iii) Final Evaluation Report including a cost-benefit analysis, all products mentioned above and a Power Point Presentation to be presented in OAS headquarters on a previously agreed date.

### V. CONSULTANCY OBJECTIVES

5.1 **Type of consultancy:** Individual Consultant

5.2 **Duration:** approximately 5 months.

5.3 **Place of work:** Washington DC, Member Countries and consultant's place of residence.

5.4 **Qualifications:** The consultant must demonstrate a minimum 10 years of expertise in project evaluation. Experience in cultural heritage policies, institutional strengthening and/or community participation will be a plus. The consultant should also have attained a graduate degree in public policy, economics, management or related area; and experience working in Latin America and the Caribbean. In addition, the consultant should be proficient in the use of the English language, oral and written, Spanish will be welcomed. Experience working with an international organization in the Americas and in the evaluation of similar projects is a plus.

### VI. TIMEFRAME AND PAYMENT SCHEDULE

6.1 It is expected that the consultancy will require a total of 62 non-consecutive working days between November 2016 and July 2017.

6.2 The payment schedule is as follows:

- 15% Upon signing the contract.
- 20% Upon delivery of a detailed Work Plan and Evaluation Framework
- 30% Upon delivery of a midterm report accompanied by a Power Point presentation.
- 35% Upon delivery of the Final Evaluation Report accompanied by a Power Point presentation.

## VII. PROCUREMENT PROCESS

7.1 The contracting will follow the procurement processes outlined by OAS tender regulations, ensuring the application of competitiveness and transparency principles.

## Appendix II List of Documentation Reviewed

Short Reference	Reference
The Bahamas NDP Secretariat 2016	<b>The Bahamas National Development Plan Secretariat 2014.</b> <i>State of the Nation Diagnostic Overview and Data Report.</i> March 2016.
Barbados 2014	<b>Barbados Ministry of Tourism and International Transport 2014.</b> <i>Barbados Tourism Master Plan 2014 – 2023. Report IV: Our Visitors and the Barbados Visitor Economy.</i>
Barbados 2012	<b>Barbados Ministry of Finance and Economic Affairs 2012.</b> <i>Barbados Growth and Development Strategy 2013-2020.</i>
Browne and Hollingsworth 2015	<b>Browne, Sandra and Wendy Hollingsworth 2015.</b> <i>Draft Cultural Heritage Directory Structure.</i> The Caribbean Heritage Institute, 2015.
CARICOM 2014	<b>CARICOM 2014.</b> <i>Strategic plan for the Caribbean community. 2015 – 2019: Repositioning CARICOM.</i> July 3, 2014.
CARICOM 2001	<b>CARICOM 2001.</b> <i>Revised Treaty of Chaguaramas Establishing the Caribbean Community Including the CARICOM Single Market and Economy.</i> July 5, 2001.
CHI 2015a	<b>The Caribbean Heritage Institute 2015a.</b> <i>The Caribbean Heritage Institute – Brand Book.</i>
CHI 2015b	<b>The Caribbean Heritage Institute 2015b.</b> <i>The Caribbean Heritage Institute – Governance Document.</i> May 14, 2015.
CHI 2015c	<b>The Caribbean Heritage Institute 2015c.</b> <i>The Caribbean Heritage Institute – Fundraising Plan 2017-2021.</i> September 2015.
CHI 2015d	<b>The Caribbean Heritage Institute 2015d.</b> <i>The Caribbean Heritage Institute – Circle of Ambassadors Guidelines.</i>
CHI 2015e	<b>The Caribbean Heritage Institute 2015e.</b> <i>The Caribbean Heritage Institute – Marketing Strategies.</i>
CHI 2015f	<b>The Caribbean Heritage Institute 2015f.</b> <i>Report on CHI Proposal for UWI – Sabrina.</i> October 23, 2015.
Coherit 2016a	<b>Coherit Associates LLC. 2016a.</b> <i>ESEPCH II. Report of Activities 1 August – 30 November 2016.</i>
Coherit 2016b	<b>Coherit Associates LLC. 2016b.</b> <i>ESEPCH II. Report of Activities 5 January – 31 July 2016.</i>
Coherit 2016c	<b>Coherit Associates LLC. 2016c.</b> <i>ESEPCH II. Output 2 – Draft Legislative Guidelines.</i> 25 August, 2016.
Coherit 2016d	<b>Coherit Associates LLC. 2016d.</b> <i>ESEPCH II. Output 2 - Minutes from Barbados Workshop January 18-19.</i> January 2016.
Coherit 2016e	<b>Coherit Associates LLC. 2016e.</b> <i>ESEPCH II. Output 2 – Workshop Programme and Agenda.</i> January 8, 2016.
Coherit 2016f	<b>Coherit Associates LLC. 2016f.</b> <i>ESEPCH II. Output 3 – Heritage Inventory Training Workshop Programme and Agenda.</i> June 2016.

Short Reference	Reference
Coherit 2016g	<b>Coherit Associates LLC. 2016g.</b> <i>ESEPCH II. Output 3 – Guidelines for Completing St. Kitts National Register Of Historic Places Forms.</i>
Coherit 2016h	<b>Coherit Associates LLC. 2016h.</b> <i>ESEPCH II. Output 3 – Training Workshop August 17-19, 2016. Programme and Agenda.</i> August 2016.
Coherit 2016i	<b>Coherit Associates LLC. 2016i.</b> <i>ESEPCH II. Output 4 – Heritage Business Mentorship Workshop April 11 - 13, 2016. Programme and Agenda.</i>
Coherit 2015a	<b>Coherit Associates LLC. 2015a.</b> <i>ESEPCH II. Report of Activities 26 June 2015- 4 January 2016.</i> January 8, 2016.
Coherit 2015b	<b>Coherit Associates LLC. 2015b.</b> <i>ESEPCH II. Report of Activities 15 January 2015- 25 June 2015.</i> June 2015.
Coherit 2015c	<b>Coherit Associates LLC. 2015c.</b> <i>Meeting note. Workshop for officers of the Interim Advisory Board of the proposed Caribbean Heritage Institute (Project Component 1).</i> May 2015.
Coherit 2015d	<b>Coherit Associates LLC. 2015d.</b> <i>ESEPCH II. Output 3 – Workshop For The Community Involvement in the Commonwealth of the Bahamas Agenda and Programme.</i> July 2015.
Coherit 2015e	<b>Coherit Associates LLC. 2015e.</b> <i>ESEPCH II. Output 4 – Deliverable Guide 2.1. Evaluation of Heritage Tourism Opportunities and Challenges.</i>
Coherit 2015f	<b>Coherit Associates LLC. 2015f.</b> <i>ESEPCH II. Output 4 – Deliverable Guide 2.2. Elicitation of Community Heritage Values &amp; Place Perceptions.</i>
Coherit 2015g	<b>Coherit Associates LLC. 2015g.</b> <i>ESEPCH II. Output 4 – Results of Community Elicitations: Contemporary Heritage Values Of Grenadian Citizens.</i>
Coherit 2015h	<b>Coherit Associates LLC. 2015h.</b> <i>ESEPCH II. Output 4 – Sustainability Standard For GNT Endorsed Heritage Products, Services, And Places.</i> November 19, 2015.
Coherit 2015i	<b>Coherit Associates LLC. 2015i.</b> <i>ESEPCH II. Output 4 – Focus Group Facilitation Guide.</i> September 2015.
Coherit 2015j	<b>Coherit Associates LLC. 2015j.</b> <i>ESEPCH II. Output 4 – Heritage Sustainability Workshop October 15-17, 2015.</i>
Coherit 2013	<b>Coherit Associates LLC. 2013.</b> <i>ESEPCH I. Caribbean Heritage Survey Analysis: Regional Needs And Opportunities To Support Cultural Heritage Protection.</i> May 2013
De la Torre 2015a	<i>Areas of Knowledge for Heritage Work.</i> December 3, 2015.
De la Torre 2015b	<i>Output 5 – Assessment of Regional Curricular Gaps and Heritage Competences</i>
Grenada 2015	<b>Government of Grenada 2015.</b> <i>Grenada National Development Plan – Strategic Development Plan 2030.</i>
Grenada 2014	<b>Government of Grenada 2014.</b> <i>Grenada’s Growth and Poverty Reduction Strategy (GPRS), 2014-2018.</i> March 2014.
Grenada National Trust 2015a	<b>Grenada National Trust 2015a.</b> <i>Deliverable 2.1 Evaluation of Heritage Tourism Opportunities &amp; Challenges.</i>
Grenada National Trust 2015b	<b>Grenada National Trust 2015b.</b> <i>Endorsement Scorecard – General Criteria and Heritage Guide/Site Services.</i>

Short Reference	Reference
OECD 2016	<b>OECD 2016.</b> Official development assistance – definition and coverage. Web Pages. <a href="http://www.oecd.org/dac/stats/officialdevelopmentassistancedefinitionandcoverage.htm">http://www.oecd.org/dac/stats/officialdevelopmentassistancedefinitionandcoverage.htm</a> [Accessed January 2017]
OAS DPE 2016a	<b>The Organization of American States, Department of Planning and Evaluation 2016a.</b> <i>Project Status Report ESEPCH – Phase II SID1403</i> , for the period January to May 2016. June 2, 2016.
OAS DPE 2016b	<b>The Organization of American States, Department of Planning and Evaluation 2016b.</b> <i>Project Status Report ESEPCH – Phase II SID1403</i> , for the period June to December 2015. March 8, 2016.
OAS DPE 2016c	<b>The Organization of American States, Department of Planning and Evaluation 2016c.</b> <i>Report On Progress Of Project Implementation (RPPI): ESEPCH – Phase II SID1403</i> , for the period May to August 2016. August 2016
OAS DPE 2016d	<b>The Organization of American States, Department of Planning and Evaluation 2016d.</b> <i>Report On Progress Of Project Implementation (RPPI): ESEPCH – Phase II SID1403</i> , for the period January to May 2016. May 2016
OAS DPE 2016e	<b>The Organization of American States, Department of Planning and Evaluation 2016e.</b> <i>Report On Progress Of Project Implementation (RPPI): ESEPCH – Phase II SID1403</i> , for the period January to April 2016. April 2016.
OAS DPE 2016f	<b>The Organization of American States, Department of Planning and Evaluation 2016f.</b> <i>Report On Progress Of Project Implementation (RPPI): ESEPCH – Phase II SID1403</i> , for the period June to December 2015. April 7, 2016.
OAS DPE 2015	<b>OAS Department of Planning and Evaluation 2015.</b> <i>Report On Progress Of Project Implementation (RPPI): ESEPCH – Phase II SID1403</i> , for the period January to June 2015. November 1, 2015.
OAS 2016	<b>The Organization of American States 2016.</b> ESEPCH II. Financial Statement Certified: January 1 – April 30, 2016. April 2016.
OAS 2015a	<b>The Organization of American States 2015a.</b> SID1403 Project Document “ <i>Expanding the Socio-Economic Potential OF Cultural Heritage in The Caribbean Phase II: Implementation of project components</i> ”. June 8, 2015.
OAS 2015b	<b>The Organization of American States 2015b.</b> <i>SIDI1403 Budget</i> .
OAS 2015c	<b>The Organization of American States 2015c.</b> ESEPCH II. <i>Report for US Mission December</i> . December 9, 2015.
OAS 2014	<b>The Organization of American States 2014.</b> Final Project Report. “ <i>Expanding the socio-economic potential of Cultural Heritage in the Caribbean. Phase 1: Needs assessment and project selection</i> ”. May 2014.
OAS 2013	<b>The Organization of American States 2013.</b> Final Phase Project Report. “ <i>Expanding the socio-economic potential of Cultural Heritage in the Caribbean. Phase 1: Needs assessment and project selection</i> ”. September 4, 2013.
OAS 2012	<b>The Organization of American States 2012.</b> <i>Social Charter of the Americas</i> . June 4, 2012.
OAS 2006	<b>The Organization of American States 2006.</b> <i>Strategic Plan for Partnership for Integral Development 2006-2009</i> .

Short Reference	Reference
OAS 2001	<b>The Organization of American States 2001.</b> <i>Inter-American Democratic Charter.</i> September 11, 2001.
OAS 1948	<b>The Organization of American States 1948.</b> <i>Charter of the Organization of American States (A-41).</i> April 30, 1948.
OAS & UWI Open Campus 2016	<b>The Organization of American States and the University of West Indies - Open Campus 2016.</b> <i>Memorandum of Understanding.</i> August 2016.
OAS & SCNT 2016	<b>The Organization of American States and Saint Christopher National Trust (SCNT) 2016.</b> <i>Memorandum of Understanding.</i>
OAS & AMMC 2015	<b>The Organization of American States and the Antiquities, Monuments and Museum Corporation (AMMC) 2015.</b> <i>Memorandum of Understanding.</i> July 2015.
OAS & GNT 2015	<b>The Organization of American States and Grenada National Trust (GNT) 2015.</b> <i>Memorandum of Understanding.</i>
OAS & UWI Cave Hill 2015	<b>The Organization of American States and the University of West Indies- Cave Hill Campus 2015.</b> <i>Memorandum of Understanding.</i>
St. Kitts and Nevis 2002	<b>St. Kitts and Nevis Ministry of Tourism 2002.</b> <i>Strategic Plan for Tourism Development.</i> June 5, 2002.
UWI Cave Hill 2016	<b>University of the West Indies Cave Hill Campus 2016.</b> "RE: The Caribbean Heritage Network, the UWI", to Celia Toppin. March 3, 2016.
UWI Open Campus 2016a	<b>University of the West Indies Open Campus 2016a.</b> <i>Heritage Studies Courses.</i>
UWI Open Campus 2016b	<b>University of the West Indies Open Campus 2016b.</b> <i>New Taught Graduate Courses Proposal.</i> August 2016.

# Appendix III Approved Evaluation Methodology

## Overall Approach and Methods:

The evaluation of ESPECH Phase II was participatory, and was supported by mixed methods and a utilisation-focused approach to data collection and analysis, and the synthesis of data analysis results. By using a participatory framework, data collection through analysis and reporting sought to engage all categories of key stakeholders who were involved in various stages of ESPECH – Phase II. In addition, the use of mixed methods tailored data collection and analysis to the types of data that were anticipated during the evaluation, specifically, quantitative and qualitative data. A utilization-focused approach is linked to the participatory framework, as it aims to facilitate close collaboration with project stakeholders to ensure that the evaluation is useful to its intended users.

This evaluation was conducted over five distinct, but overlapping phases: Phase 1 - Preparation; Phase 2- Data Collection; Phase 3 – Data Analysis and Synthesis; Phase 4 – Reporting; and Phase 5 – Assignment Management. A brief description of each phase is provided in the sub-sections that follow.

### Phase 1: Preparation:

The preparation phase of the evaluation commenced with a field mission to OAS Headquarters, and a launch call, which were used to clarify client expectations for the evaluation; roles and responsibilities; reporting relationships; and logistical considerations. The proceeds of the meeting, along with a preliminary review of relevant background documents, were used to produce an Inception Report and Work Plan, which outlined the assignment methodology, including the evaluation framework, and identified data collection requirements for the evaluation. This report was submitted to the DPE for review. Feedback received from DPE was used to produce the final Inception Report and Work Plan<sup>26</sup>.

### Phase 2: Data Collection:

Data was collected from two sources: project stakeholders, through stakeholder consultations, and an in-depth desk review of relevant project documents. The main purpose of data collection activity was to contribute towards the establishment of credible and valid evidence on ESPECH II to support a contextual overview of ESPECH Phase II, and the provision of responses to the main evaluation questions. A brief description of each data collection method is provided below.

**Stakeholder Consultations:** Through the support of DPE, a list of key project stakeholders was compiled, inclusive of the email and telephone contacts of each stakeholder. Following their receipt of an introductory overview of the evaluation, key stakeholders were engaged in individual or small-group consultations. Consultations were held with stakeholders from all levels of project design and implementation, and were conducted as face-to-face interviews or interviews by telephone/ Skype. Stakeholder consultations were guided by an interview protocol, which was developed for each category of stakeholder, and was informed by the approved evaluation matrix, as included in the client-approved Inception Report and Work Plan.

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<sup>26</sup> The Inception Report and Work Plan is discussed further under the sub-Section: Reporting.

Appendix IV presents the data collection protocols that were used during the consultations with project stakeholders.

**Review of Documents:** Copies of project documents that were relevant for the evaluation were requested from the DPE, and as required, during consultations with project stakeholders. Notes that were transcribed from stakeholder consultations were also be subject to an in-depth review. The document review was closely aligned to the key evaluation issues and questions that were outlined in the approved evaluation matrix. Of significance, document review included a review of the implicit project theory of change, to assess its technical and economic feasibility.

**Field missions:** In accordance with the evaluation ToR, and as discussed during the Start-up meeting, three data collection field missions were conducted. Data was collected by stakeholder consultation and document review during field missions to three OAS member countries in which project components were implemented. The selection of countries for field missions was based on the following criteria:

- **Criterion 1:** Location of the headquarters/ coordinating body of the Caribbean Heritage Network (Component 1) – Barbados;
- **Criterion 2:** Country of focus for the Regional Model for establishing national registers of heritage places (Component 3) – St Kitts and Nevis; and
- **Criterion 3:** Country of focus for the Regional Model for Engaging the Public in Sustainable Heritage Tourism (Component 4) – Grenada

Data collection engaged all countries that were involved in the design and implementation stages of the project, including the Bahamas, which was involved in the implementation of Component 3 of the project. This approach was used to minimise the possibility of selection bias during data collection, as well as complement the field missions.

### **Phase 3: Data Analysis and Synthesis:**

The analysis of data was aligned to the overall methodological approach, and complied with international evaluation standards (UNEG; OECD DAC). Data validity was ensured through cross-referencing and triangulation from multiple data sources. In order to purposefully influence the analytical process through triangulation and enhance the credibility of the evaluation findings, the following methods of analysis were used:

- **Descriptive analysis:** to understand the contexts in which ESPECH – Phase II was implemented, and to describe its project components. Descriptive analysis was used as a first step, before moving on to more interpretative approaches;
- **Content analysis:** of documents and notes arising from stakeholder consultations, to identify common trends, themes, and patterns for each of the key units of analysis. Content analysis was also used to flag diverging views and opposite trends, in which case further data collection might have been needed. Emerging issues and trends constituted the raw material for crafting preliminary observations for subsequent refinement, to feed into the draft and final evaluation reports;
- **Quantitative analysis:** of quantitative data on use of resources during project design and implementation, and the achievement of quantitative targets; based on the availability of data for review and analysis, efforts were also made to conduct a cost-benefit analysis; and

- **Comparative analysis** to examine findings across different emergent themes and to identify best practices, innovative approaches, and lessons learned. Development of the narrative followed the emergent theoretical framework, with information being organized according to hypotheses generated, and data for each theme being linked in two ways (within each hypothesis, as well as across hypotheses). This type of analysis was used throughout the analytical process, to examine data generated by stakeholder consultations and document review.

In order to enhance the data analysis process, preliminary evaluation findings were shared with the DTE for review and a follow-up discussion. Feedback received was used to engage in further data collection, as required, as well as inform the production of the evaluation report.

#### **Phase 4: Reporting**

The reporting phase of the evaluation involved the production of a detailed Work Plan and Evaluation Framework; a PowerPoint presentation of preliminary findings; a Draft Evaluation Report; and a Final Evaluation Report accompanied by a PowerPoint presentation. These deliverables are briefly described below.

**Work Plan and Evaluation Framework:** An approved Inception Report and Work Plan, inclusive of a detailed Work Plan and an Evaluation Framework, was used as the client-approved guide for the evaluation. A draft Inception Report and Work Plan was submitted to the DPE for review, following the receipt of comments on which, the final Inception Report and Work Plan was produced. The Work Plan outlined the implementation schedule for all evaluation activities, and provided a comprehensive evaluation matrix comprising the key evaluation questions, indicators and means of verification (See Appendix IV). In addition, the Work Plan provided copies of all data collection instruments and listed the main deliverables of the evaluation, including a timeline for submission to DPE.

**PowerPoint Presentation of Preliminary Findings:** Preliminary evaluation findings that emerged during data collection were compiled into a PowerPoint presentation that was used to facilitate discussion with DPE. The PowerPoint document was shared with DPE by email to facilitate review and comment.

**Draft Evaluation Report:** Comments and recommendations arising from the discussion of preliminary findings were used to prepare a draft evaluation report. This report was submitted to DPE for review and comment. Feedback received from DPE on the draft evaluation report was used to inform the Final Evaluation Report.

**Final Evaluation Report and PowerPoint Presentation:** The Final Evaluation Report was accompanied by a summary PowerPoint presentation of the report. As applicable, the report was to include a cost-benefit analysis, the detailed Work Plan and Evaluation Framework, and the PowerPoint presentation of preliminary findings. The final evaluation report was to be presented in-person at the Headquarters of the OAS.

## Phase 5: Assignment Management

The management of the evaluation was aligned to international norms and standards for evaluation practice, as developed by UNEG, OECD-DAC and the Canadian Evaluation Society. Quality assurance was further ensured through the application of the Universalia Quality Assurance Policy, which outlines the standard phases of an evaluation mandate, associated evaluation activities, and the quality enhancement measures that are implemented in adherence to international evaluation standards. Emergent issues that might have affected the timing or quality of the evaluation were communicated to the DPE immediately.

### Evaluation Matrix

All evaluation activity was guided by an approved evaluation matrix, which outlined the main evaluation issues, key questions and sub-questions, measurable indicators, and means of verification. The evaluation matrix was conceptualised into seven core dimensions: i) relevance; ii) effectiveness; iii) efficiency; iv) sustainability; v) cross-cutting issues; vi) lessons learned; and vii) recommendations. Definitions for core dimensions i – iv and vi - vii were extracted from the *OECD-DAC Glossary of Key Terms in Evaluation and Results-based Management*. In addition, a generic definition was developed for core dimension v, in terms of gender integration. All definitions, as outlined below, were used to inform the development of the evaluation matrix.

### OECD-DAC Definitions

CORE EVALUATION DIMENSION		DEFINITION
i.	Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.
ii.	Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance
iii.	Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results
iv.	Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.
v.	Cross-cutting issue (Gender)	The integration of gender in project activities
vi.	Lessons learned	Generalizations based on evaluation experiences with projects, programmes, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.
vii.	Recommendations	Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions.

The evaluation matrix responded to the requirements of the ToR, and was informed by the examples of evaluation questions that it provided.

## Appendix IV Evaluation Matrix

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
1.0 Relevance	1.1 To what extent did ESPECH- Phase 2 align with OAS mandates and priorities in the project countries?	1.1.1 What evidence is there to show that project activities were in alignment with any (one or more) of the OAS pillars? <sup>27</sup>	<ul style="list-style-type: none"> <li>Evidence of alignment between project design and OAS purpose/ principles/ charter/ pillars</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>OAS strategic documents (OAS Charter and amendments)</li> <li>OAS website</li> <li>Consultations with:               <ul style="list-style-type: none"> <li>OAS staff</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
		1.1.2 Is there any evidence that the implementation of ESPECH-Phase 2 aligned with national priorities in the recipient countries?	<ul style="list-style-type: none"> <li>Evidence of alignment between project design and national priorities for culture/ heritage/ tourism</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Country-level strategic documents for the culture/ heritage/ tourism sectors</li> <li>Consultations with:               <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
2.0 Effectiveness	2.1 How successful was the project in establishing a Caribbean Heritage	2.1.1 Is there any evidence to demonstrate that a Caribbean Heritage	<ul style="list-style-type: none"> <li>Governance document for the Caribbean Heritage Network / Institute, including</li> </ul>	<ul style="list-style-type: none"> <li>Product of Component 1, including supporting documents (e.g.</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

<sup>27</sup> Defending Human Rights; Ensuring a multi-dimensional approach to security; Fostering integral development and Prosperity; Supporting Inter-American Legal Cooperation

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
	Education Network/ Institute? (Component 1)	Education Network/ Institute was established according to plans and schedule?	<p>projections for an Organizational and a Funding Plan approved by the University of the West Indies by the end of the second semester of project implementation</p> <ul style="list-style-type: none"> <li>• Number of members registered and participating on the online Caribbean Heritage Network by the end of project execution</li> <li>• Online Caribbean Heritage Network/ Institute launched by the end of the second semester of project implementation</li> <li>• Stakeholder perceptions</li> </ul>	<p>memorandum of understanding; website content)</p> <ul style="list-style-type: none"> <li>• Project document</li> <li>• Progress reporting and project updates</li> <li>• Launch documents</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	
	2.2 To what extent did the project successfully develop an annotated guide to improve the protective heritage legislation of participating countries, including the provision of fiscal incentives? (Component 2)	2.2.1 Has the annotated guide been developed according to plan and on schedule?	<ul style="list-style-type: none"> <li>• Evidence of the development of an annotated guide with two components: <ul style="list-style-type: none"> <li>– guidelines for standardizing and improving regional legislation for the protection of Cultural Heritage</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Product of Component 2, including supporting documents, as applicable</li> <li>• Record of dissemination</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<ul style="list-style-type: none"> <li>– guidelines for developing fiscal incentives to encourage investment in the protection of cultural heritage</li> <li>• Evidence of dissemination of annotated guide to all participating countries by end of 2015</li> <li>• Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul>	
		2.2.2 Does the annotated guide include the provision of fiscal incentives?	<ul style="list-style-type: none"> <li>• Evidence of the development of an annotated guide with two components:               <ul style="list-style-type: none"> <li>– guidelines for standardizing and improving regional legislation for the protection of Cultural Heritage</li> <li>– guidelines for developing fiscal incentives to encourage investment in the protection of cultural heritage</li> </ul> </li> <li>• Evidence of dissemination of annotated guide to all</li> </ul>	<ul style="list-style-type: none"> <li>• Product of Component 2, including supporting documents, as applicable</li> <li>• Record of dissemination</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<p>participating countries by end of 2015</p> <ul style="list-style-type: none"> <li>• Stakeholder perceptions</li> </ul>		
		2.2.3 Is the annotated guide used by stakeholders?	<ul style="list-style-type: none"> <li>• Evidence of the development of an annotated guide with two components: <ul style="list-style-type: none"> <li>– guidelines for standardizing and improving regional legislation for the protection of Cultural Heritage</li> <li>– guidelines for developing fiscal incentives to encourage investment in the protection of cultural heritage</li> </ul> </li> <li>• Evidence of dissemination of annotated guide to all participating countries by end of 2015</li> <li>• Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>• Product of Component 2, including supporting documents, as applicable</li> <li>• Record of dissemination</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>
	2.3 What evidence is there to show that the project established an official Register Process of historic places and cultural sites in	2.3.1 Has the Register process been developed?	<ul style="list-style-type: none"> <li>• Evidence of a model register process, including implementation guidelines, made</li> </ul>	<ul style="list-style-type: none"> <li>• Products of Component 3, including supporting documents, (e.g. guidelines)</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
	St Kitts, to serve as an adaptable framework to develop and improve registers in the entire Caribbean region? (Component 3)		<ul style="list-style-type: none"> <li>available to all participating countries by end of second semester of project execution</li> <li>Template for an official register process approved by the St Christopher National Trust of St Kitts and Nevis by second semester of project execution</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Record of dissemination</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	
		2.3.2 Are countries in the Caribbean region using the Register Process as a frame to develop their own register?	<ul style="list-style-type: none"> <li>Evidence of a model register process, including implementation guidelines, made available to all participating countries by end of second semester of project execution</li> <li>Template for an official register process approved by the St Christopher National Trust of St Kitts and Nevis by second semester of project execution</li> </ul>	<ul style="list-style-type: none"> <li>Products of Component 3, including supporting documents, (e.g. guidelines)</li> <li>Record of dissemination</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<ul style="list-style-type: none"> <li>Stakeholder perceptions</li> </ul>		
	2.4 To what extent did the project establish a regional model for engaging the public in sustainable heritage tourism, utilizing methodologies successfully implemented in the environmental and geo-tourism fields, combined with mutual mentoring of young entrepreneurs and traditional practitioners to offer sustainable economic and conservation benefits that can be shared among multiple stakeholder established? (Component 4)	2.4.1 Has the project developed a regional model for engaging the public in sustainable heritage tourism?	<ul style="list-style-type: none"> <li>Criteria for endorsement informed by local cultural values and place perceptions defined by the end of 2015</li> <li>Number of heritage tourism products and services submitted for endorsement by the end of project execution</li> <li>Sustainable heritage tourism endorsement programme approved by the Grenada National Trust and Heritage experts and made available to participating countries by May 2016</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Products of Component 4, including supporting documents, (e.g. needs assessment reports)</li> <li>Record of products submitted for endorsement</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
	2.5 How successful was ESPECH-Phase II in identifying and evaluating the main gaps in existing education curricular, and designing and implementing two online courses on Cultural Heritage? (Component 5)	2.5.1 Has the gap analysis been conducted?	<ul style="list-style-type: none"> <li>Implementation guide for the development of future online heritage courses developed</li> <li>Courses on Cultural Heritage and the development of its socio-economic potential designed by</li> </ul>	<ul style="list-style-type: none"> <li>Products of Component 5, including supporting documents, as applicable</li> <li>Records of completion/ dissemination</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<p>the UWI Open Campus to fill existing gaps in education curricular by end of the first semester of project implementation</p> <ul style="list-style-type: none"> <li>• Course on cultural heritage offered and scholarships made available by the UWI Open Campus by the end of project execution</li> <li>• Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	
		2.5.2 As a result of the gap analysis, has a (new) curriculum been developed?	<ul style="list-style-type: none"> <li>• Implementation guide for the development of future online heritage courses developed</li> <li>• Courses on Cultural Heritage and the development of its socio-economic potential designed by the UWI Open Campus to fill existing gaps in education curricular by end of the first semester of project implementation</li> <li>• Course on cultural heritage offered and scholarships made available by the UWI</li> </ul>	<ul style="list-style-type: none"> <li>• Products of Component 5, including supporting documents, as applicable</li> <li>• Records of completion/ dissemination</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<p>Open Campus by the end of project execution</p> <ul style="list-style-type: none"> <li>Stakeholder perceptions</li> </ul>		
		2.5.3 Are there online courses offered to the Caribbean region on Cultural Heritage?	<ul style="list-style-type: none"> <li>Implementation guide for the development of future online heritage courses developed</li> <li>Courses on Cultural Heritage and the development of its socio-economic potential designed by the UWI Open Campus to fill existing gaps in education curricular by end of the first semester of project implementation</li> <li>Course on cultural heritage offered and scholarships made available by the UWI Open Campus by the end of project execution</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Products of Component 5, including supporting documents, as applicable</li> <li>Records of completion/ dissemination</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
		2.5.4 Do participants appreciate the online courses?	<ul style="list-style-type: none"> <li>Implementation guide for the development of future online heritage courses developed</li> </ul>	<ul style="list-style-type: none"> <li>Products of Component 5, including supporting</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<ul style="list-style-type: none"> <li>• Courses on Cultural Heritage and the development of its socio-economic potential designed by the UWI Open Campus to fill existing gaps in education curricular by end of the first semester of project implementation</li> <li>• Course on cultural heritage offered and scholarships made available by the UWI Open Campus by the end of project execution</li> <li>• Stakeholder perceptions</li> </ul>	<p>documents, as applicable</p> <ul style="list-style-type: none"> <li>• Records of completion/ dissemination</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	
3.0 Efficiency	3.1 To what extent has project funding been managed efficiently?	3.1.1 Is there evidence to show that project allocations were managed using standard financial policies and procedures?	<ul style="list-style-type: none"> <li>• Evidence of financial management controls (budgeting, verification and payment controls, authorization, record-keeping, auditing, reporting etc.)</li> <li>• Evidence of achievement of financial milestones and/or objectives</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Progress reports</li> <li>• Project financial records</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
				<ul style="list-style-type: none"> <li>– Project implementing agencies</li> </ul>	
		3.1.2 Were funds allocated to recipient countries on-time?	<ul style="list-style-type: none"> <li>• Evidence of financial management controls (budgeting, verification and payment controls, authorization, record-keeping, auditing, reporting etc.)</li> <li>• Evidence of achievement of financial milestones and/or objectives</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Progress reports</li> <li>• Project financial records</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>
		3.1.3 How developed is financial management capacity within the regional implementing agencies to manage future project activities efficiently?	<ul style="list-style-type: none"> <li>• Evidence of implementation of approved strategic procedures for efficient financial management</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Progress reports</li> <li>• Project financial records</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
	3.2 How has the design of the project affected its capacity for results achievement?	3.2.1 Has resource allocation been adequate for supporting outcomes/ outputs achievement?	<ul style="list-style-type: none"> <li>• Adequacy of human/ financial/ physical resources for results achievement</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Progress reports</li> <li>• Project financial records</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>
		3.2.2 Did lessons learned from Phase I inform the design and implementation of Phase II?	<ul style="list-style-type: none"> <li>• Evidence of incorporation of lessons learned</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Phase I Evaluation report</li> <li>• Progress reports</li> <li>• Project completion report</li> <li>• Project financial records</li> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
				<ul style="list-style-type: none"> <li>– Project implementing agencies</li> </ul>	
		3.2.3 Were best practices applied to project design and implementation?	<ul style="list-style-type: none"> <li>• Evidence of use of best practices (e.g. monitoring mechanism; project auditing; theory of change; risk assessment and mitigation plan; etc.)</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Phase I Evaluation report</li> <li>• Progress reports</li> <li>• Project completion report</li> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>
		3.2.4 Was the project monitoring mechanism suitable (efficient and effective) to track progress?	<ul style="list-style-type: none"> <li>• Evidence of timely and reliable project monitoring reports</li> <li>• Evidence of use of monitoring data to inform subsequent phases of project implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports</li> <li>• Project completion report</li> <li>• Project monitoring mechanism</li> <li>• Financial management policy and controls (by implementing agency)</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
				<ul style="list-style-type: none"> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul>	
		3.2.5 Were appropriate criteria used to select implementation agencies?	<ul style="list-style-type: none"> <li>• Evidence of pre-selection implementation capacity assessment</li> <li>• Evidence of impartial selection</li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Project document</li> <li>• Implementation Capacity-assessment report</li> <li>• Progress reports</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>
		3.2.6 Did projects follow up on training by assessing skills/ awareness/ abilities/ institutional strengthening?	<ul style="list-style-type: none"> <li>• Evidence of post-training implementation capacity assessment of:               <ul style="list-style-type: none"> <li>– skills</li> <li>– awareness</li> <li>– abilities</li> <li>– institutional strength</li> </ul> </li> <li>• Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Project document</li> <li>• Capacity-assessment report (post-training)</li> <li>• Progress reports</li> <li>• Project completion report</li> <li>• Consultations with:               <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
	3.3 To what extent was the project's implicit Theory of Change (ToC) effective?	3.3.1 Does the ToC identify a logic flow between resources invested in the project, and expected results along the chain of outputs, outcomes and impacts?	<ul style="list-style-type: none"> <li>• Evidence of an outcomes framework comprising early, intermediate and long-term outcomes</li> <li>• Evidence of assumptions that connect the change pathway</li> <li>• Evidence of interventions needed for outcomes achievement</li> <li>• Evidence of SMART indicators</li> </ul>	<ul style="list-style-type: none"> <li>• Project document, including logical framework</li> <li>• Progress reporting</li> <li>• Project completion report</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> </ul> </li> <li>– Project implementing agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>
		3.3.2 Are assumptions for project success clearly identified?	<ul style="list-style-type: none"> <li>• Evidence of an outcomes framework comprising early, intermediate and long-term outcomes</li> <li>• Evidence of assumptions that connect the change pathway</li> <li>• Evidence of interventions needed for outcomes achievement</li> <li>• Evidence of SMART indicators</li> </ul>	<ul style="list-style-type: none"> <li>• Project document, including logical framework</li> <li>• Progress reporting</li> <li>• Project completion report</li> <li>• Consultations with: <ul style="list-style-type: none"> <li>– OAS staff</li> <li>– Donor</li> <li>– Project advisors</li> <li>– Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
		3.3.3 Does the ToC build on lessons learned from ESPECH Phase I?	<ul style="list-style-type: none"> <li>Evidence of an outcomes framework comprising early, intermediate and long-term outcomes</li> <li>Evidence of assumptions that connect the change pathway</li> <li>Evidence of interventions needed for outcomes achievement</li> <li>Evidence of SMART indicators</li> </ul>	<ul style="list-style-type: none"> <li>Project document, including logical framework</li> <li>Progress reporting</li> <li>Project completion report</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
4.0 Cross-cutting issues	4.1 To what extent did the project address the cross-cutting issue of gender?	4.1.1 How was gender integrated into project design and implementation?	<ul style="list-style-type: none"> <li>Evidence of project alignment with OAS gender priorities</li> <li>Evidence of project alignment with national priorities for gender integration</li> <li>Evidence of gender balanced decision-making and leadership</li> <li>Evidence that project outputs incorporated the needs of men and women</li> <li>Evidence of the development / implementation of a</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>OAS strategic priorities for gender integration</li> <li>Progress reports</li> <li>Project completion report</li> <li>Country-level strategic priorities for gender integration</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			<p>gender equality strategy/ plan based on contextual data and analysis at national/ regional level</p> <ul style="list-style-type: none"> <li>Evidence of the allocation of human and financial resources to gender integration at national/ regional level</li> <li>Perceptions of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Project implementing agencies</li> </ul>	
5.0 Sustainability	5.1 What is the likelihood for the sustainability of project results?	5.1.1 Will project outputs and outcomes be sustained once the OAS funding support ends?	<ul style="list-style-type: none"> <li>Evidence of sustainability planning by implementation agencies</li> <li>Evidence of available funding for future phases of project activity (from regional/ international sources)</li> <li>Evidence of available country-level funding for implementation of selected project components</li> <li>Evidence of alignment of project activities with national priorities</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> <li>Project completion report</li> <li>Sustainability plans</li> <li>National strategic documents for culture/ heritage/ tourism</li> <li>Regional curricular for heritage education</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
		5.1.2 What measures have project stakeholders put in place to sustain project results?	<ul style="list-style-type: none"> <li>Evidence of sustainability planning by implementation agencies</li> <li>Evidence of available funding for future phases of project activity (from regional/international sources)</li> <li>Evidence of available country-level funding for implementation of selected project components</li> <li>Evidence of alignment of project activities with national priorities</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> <li>Project completion report</li> <li>Sustainability plans</li> <li>National strategic documents for culture/ heritage/ tourism</li> <li>Regional curricular for heritage education</li> <li>Consultations with: <ul style="list-style-type: none"> <li>OAS staff</li> <li>Donor</li> <li>Project advisors</li> <li>Project implementing agencies</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
6.0 Lessons learned	6.1 To what extent has ESPECH - Phase II generated key lessons that can be used to inform a future phase of project activity?	6.1.1 What, if any, are the lessons learned from the establishment of a Caribbean Heritage Network?	<ul style="list-style-type: none"> <li>Lessons learned from network formulation</li> <li>Lessons learned for future enhancement/ management/ sustainability of regional heritage network</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Synthesis of results of data analysis</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
		6.1.2 What lessons, if any, have emerged from the development	<ul style="list-style-type: none"> <li>Lessons learned from formulation of standard</li> </ul>	<ul style="list-style-type: none"> <li>Synthesis of results of data analysis</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
		of a regional standard for evaluating and improving protective heritage legislation and related financial incentive policies and laws?	<ul style="list-style-type: none"> <li>Lessons learned for enhancing/ managing/ sustaining regional standard to evaluate and improve protective heritage legislation</li> <li>Lessons learned for enhancing/ managing/ sustaining regional standard to evaluate and improve financial incentive policies and laws</li> <li>Stakeholder perceptions</li> </ul>		<ul style="list-style-type: none"> <li>Stakeholder consultations</li> </ul>
		6.1.3 What are the key lessons, if any, emerging from the development of a regional model for establishing national registers of heritage places?	<ul style="list-style-type: none"> <li>Lessons learned from formulation of regional model</li> <li>Lessons learned for enhancing/ managing/ sustaining regional model for national registers of heritage places</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Synthesis of results of data analysis</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
		6.1.4 What, if any, are the lessons learned from the development of a regional model for engaging the public in sustainable heritage tourism?	<ul style="list-style-type: none"> <li>Lessons learned from formulation of regional model</li> <li>Lessons learned for enhancing/ managing/ sustaining regional model for public</li> </ul>	<ul style="list-style-type: none"> <li>Synthesis of results of data analysis</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>

EVALUATION ISSUES	KEY EVALUATION QUESTIONS	EXAMPLES OF SUB-QUESTIONS	INDICATORS	SOURCES OF DATA	MEANS OF VERIFICATION
			engagement in heritage tourism <ul style="list-style-type: none"> <li>Stakeholder perceptions</li> </ul>		
		6.1.5 Which key lessons, if any, have emerged from the regional directory and curricular enhancement of heritage education?	<ul style="list-style-type: none"> <li>Lessons learned from formulation of regional directory</li> <li>Lessons learned from curricular enhancement</li> <li>Lessons learned for Enhancing/ managing/ sustaining regional directory of heritage education</li> <li>Lessons learned for managing/ sustaining curricular enhancement of heritage education</li> <li>Stakeholder perceptions</li> </ul>	<ul style="list-style-type: none"> <li>Synthesis of results of data analysis</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Stakeholder consultations</li> </ul>
Recommendations	To be generated from the main evaluation findings				

# Appendix V Data Collection Instruments

## Project Advisers/ Implementing Agencies

### Introduction

At the request of the US Permanent Mission, the Department of Planning and Evaluation (DPE) OF THE Organization of American States is coordinating an external evaluation of the project *Expanding the Socio-Economic Potential of Cultural Heritage in the Caribbean – Phase II* (ESEPCH). This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programmes executed by the OAS. These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and programme formulations and designs, and institutionalizing best practices in monitoring and evaluation within the Organization.

ESEPCH is a project that was initiated by the Secretariat for Integral Development (SEDI) through the former Office of Education and Culture. Presently the project is coordinated by the Culture and Tourism Section of the OAS (DED/SEDI/OAS). The evaluation is designed to assess the five project components that were implemented during Phase II, with emphasis on relevance, effectiveness, efficiency, cross-cutting issues, sustainability and lessons learned. Individual responses acquired during the evaluation will be kept confidential and the final evaluation report will only share generalised findings and anonymous comments.

Before beginning, do you have any general questions about the evaluation?

### Background Information

- 1) Could you tell me your exact position? How long have you been in this position?
- 2) What are your current responsibilities?
- 3) What was your role in the ESPECH II project? In which project component were you involved?

#### Note to evaluator:

*Component 1:* Establishment of a Caribbean Heritage Network

*Component 2:* A Regional Standard for Evaluating and Improving Protective Heritage Legislation and related financial incentive policies and laws

*Component 3:* A Regional Model for Establishing National Registers of Heritage Places

*Component 4:* A Regional Model for Engaging the Public in Sustainable Heritage Tourism

*Component 5:* A Regional Directory and Curricular Enhancement of Heritage Education

## Major Questions:

### Relevance

- 4) In your opinion, did this project component align with national priorities? If so, can you provide examples of alignment? If not, can you provide a reason for your response?

### Effectiveness

#### *Component 1*

- 5) At which stage of implementation is the Caribbean Heritage Network? Has the Network been implemented according to plans and schedule? Can you provide a reason for your response?

#### *Component 2*

- 6) Was the Annotated Guide developed according to plan and schedule? Can you provide a reason for your response?
- 7) Does the Annotated Guide include guidelines for the provision of fiscal incentives?
- 8) Was the guide disseminated to all participating countries? If so, what was the timeframe for dissemination? If not, what were the challenges to dissemination?
- 9) In your opinion, is the guide being used by recipients? Can you provide a reason for your response?

#### *Component 3*

- 10) Can you confirm whether the Register Process was developed? What, if any, were the challenges experienced?
- 11) In your opinion, have other countries in the region been using the Register Process as a framework to develop their own registers? Can you explain your response?

#### *Component 4*

- 12) Has the project been successful in developing a regional model for engaging the public in sustainable heritage tourism? Can you provide a reason for your response?

#### *Component 5*

- 13) Was a gap analysis of existing heritage programmes and courses in the region conducted? If so, what were the main results of the analysis?
- 14) Was a new curriculum developed based on the results of the analysis? If so, can you describe the content of the new curriculum? Does the curriculum include online courses on Caribbean Heritage? Is it available across the region?
- 15) If online courses are being offered, what has been the feedback from students?

- 16) If the gap analysis was not conducted, what were the main challenges to the design and execution of the analysis?

### Efficiency

- 17) Was the project budget managed using standard financial policies and procedures? If so, can you provide examples of the policies/ procedures that were used? If not, can you describe how the budget was managed?
- 18) In your opinion were project funds allocated on time? Can you provide a reason for your response?
- 19) In terms of managing future project activities, do regional implementing agencies have the capacity for efficient financial management? Can you explain your response?
- 20) Have project activities been supported by adequate resources? Can you explain your response?
- 21) Were lessons learned from ESPECH-Phase I used to inform Phase II of the project? If so, can you provide examples to support your response? If not, why, in your opinion, were lessons learned not taken into account?
- 22) Can you provide any examples of best practices that were applied to project design or implementation?
- 23) What measures were put in place to track project progress? Were these measures appropriate? How, if at all, can they be strengthened in future project activities?
- 24) What were the main criteria used to select project implementation agencies? In your opinion, were these criteria appropriate?
- 25) To what extent did project follow up on training received? Was there any assessment of skills/ training/ abilities/ institutional strengthening?
- 26) In your opinion, does the project Theory of Change demonstrate a logical flow between resources and results?
- 27) Does the Theory of Change clearly identify the assumptions for project success?
- 28) How, if at all, has the project Theory of Change been informed by lessons learned from ESPECH Phase I?
- 29) In your opinion, how can the Theory of Change be strengthened?

### Cross-cutting Issues

- 30) How, if at all, was gender integrated into the design and implementation of project activities? Can you provide a reason for your response?

### Sustainability

- 31) Have any measures been put in place to ensure that project results are sustained into the medium to long-term? If so, can you provide examples of the measures that have been taken?
- 32) In your opinion, how likely is it for project results to be sustained after funding support from the OAS has ended? Can you provide a reason for your response?

### Lessons Learned

- 33) What, in your opinion, are the key lessons learned from the design and implementation of this project component?
- 34) Is there any additional information you would like to share, or do you have any further comments?

*Thank you for your time and co-operation*

## OAS Staff

### Introduction

At the request of the US Permanent Mission, the Department of Planning and Evaluation (DPE) OF THE Organization of American States is coordinating an external evaluation of the project *Expanding the Socio-Economic Potential of Cultural Heritage in the Caribbean – Phase II* (ESEPCH). This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programmes executed by the OAS. These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and programme formulations and designs, and institutionalizing best practices in monitoring and evaluation within the Organization.

ESEPCH is a project that was initiated by the Secretariat for Integral Development (SEDI) through the former Office of Education and Culture. Presently the project is coordinated by the Culture and Tourism Section of the OAS (DED/SEDI/OAS). The evaluation is designed to assess the five project components that were implemented during Phase II, with emphasis on relevance, effectiveness, efficiency, cross-cutting issues, sustainability and lessons learned. Individual responses acquired during the evaluation will be kept confidential and the final evaluation report will only share generalised findings and anonymous comments.

Before beginning, do you have any general questions about the evaluation?

### Background Information

- 1) Could you tell me your exact position? How long have you been in this position?
- 2) What are your current responsibilities?
- 3) What was your role in the ESPECH II project? In which project component were you involved?

#### Note to evaluator:

*Component 1:* Establishment of a Caribbean Heritage Network

*Component 2:* A Regional Standard for Evaluating and Improving Protective Heritage Legislation and related financial incentive policies and laws

*Component 3:* A Regional Model for Establishing National Registers of Heritage Places

*Component 4:* A Regional Model for Engaging the Public in Sustainable Heritage Tourism

*Component 5:* A Regional Directory and Curricular Enhancement of Heritage Education

### Major Questions:

#### Relevance

- 1) To what extent did the project align with OAS pillars? Can you provide examples of alignment?
- 2) In your opinion, did this project component align with national priorities? If so, can you provide examples of alignment? If not, can you provide a reason for your response?

## Effectiveness

### Component 1

- 3) At which stage of implementation is the Caribbean Heritage Network? Has the Network been implemented according to plans and schedule? Can you provide a reason for your response?

### Component 2

- 4) Was the Annotated Guide developed according to plan and schedule? Can you provide a reason for your response?
- 5) Does the Annotated Guide include guidelines for the provision of fiscal incentives?
- 6) Was the guide disseminated to all participating countries? If so, what was the timeframe for dissemination? If not, what were the challenges to dissemination?
- 7) In your opinion, is the guide being used by recipients? Can you provide a reason for your response?

### Component 3

- 8) Can you confirm whether the Register Process was developed? What, if any, were the challenges experienced?
- 9) In your opinion, have other countries in the region been using the Register Process as a framework to develop their own registers? Can you explain your response?

### Component 4

- 10) Has the project been successful in developing a regional model for engaging the public in sustainable heritage tourism? Can you provide a reason for your response?

### Component 5

- 11) Was a gap analysis of existing heritage programmes and courses in the region conducted? If so, what were the main results of the analysis?
- 12) Was a new curriculum developed based on the results of the analysis? If so, can you describe the content of the new curriculum? Does the curriculum include online courses on Caribbean Heritage? Is it available across the region?
- 13) If online courses are being offered, what has been the feedback from students?
- 14) If the gap analysis was not conducted, what were the main challenges to the design and execution of the analysis?

## Efficiency

- 15) Was the project budget managed using standard financial policies and procedures? If so, can you provide examples of the policies/ procedures that were used? If not, can you describe how the budget was managed?
- 16) In your opinion were project funds allocated on time? Can you provide a reason for your response?
- 17) In terms of managing future project activities, do regional implementing agencies have the capacity for efficient financial management? Can you explain your response?
- 18) Have project activities been supported by adequate resources? Can you explain your response?
- 19) Were lessons learned from ESPECH-Phase I used to inform Phase II of the project? If so, can you provide examples to support your response? If not, why, in your opinion, were lessons learned not taken into account?
- 20) Can you provide any examples of best practices that were applied to project design or implementation?
- 21) What measures were put in place to track project progress? Were these measures appropriate? How, if at all, can they be strengthened in future project activities?
- 22) What were the main criteria used to select project implementation agencies? In your opinion, were these criteria appropriate?
- 23) To what extent did projects follow up on training received? Was there any assessment of skills/ training/ abilities/ institutional strengthening?
- 24) In your opinion, does the project Theory of Change demonstrate a logical flow between resources and results?
- 25) Does the Theory of Change clearly identify the assumptions for project success?
- 26) How, if at all, has the project Theory of Change been informed by lessons learned from ESPECH Phase I?
- 27) In your opinion, how can the Theory of Change be strengthened?

## Cross-cutting Issues

- 28) How, if at all, was gender integrated into the design and implementation of project activities? Can you provide a reason for your response?

## Sustainability

- 29) Have any measures been put in place to ensure that project results are sustained into the medium to long-term? If so, can you provide examples of the measures that have been taken?

- 30) In your opinion, how likely is it for project results to be sustained after funding support from the OAS has ended? Can you provide a reason for your response?

### Lessons Learned

- 31) What, in your opinion, are the key lessons learned from the design and implementation of this project component?
- 32) Is there any additional information you would like to share, or do you have any further comments?

*Thank you for your time and co-operation*

## Donor Organization

### Introduction

At the request of the US Permanent Mission, the Department of Planning and Evaluation (DPE) OF THE Organization of American States is coordinating an external evaluation of the project *Expanding the Socio-Economic Potential of Cultural Heritage in the Caribbean – Phase II* (ESEPCH). This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programmes executed by the OAS. These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and programme formulations and designs, and institutionalizing best practices in monitoring and evaluation within the Organization.

ESEPCH is a project that was initiated by the Secretariat for Integral Development (SEDI) through the former Office of Education and Culture. Presently the project is coordinated by the Culture and Tourism Section of the OAS (DED/SEDI/OAS). The evaluation is designed to assess the five project components that were implemented during Phase II, with emphasis on relevance, effectiveness, efficiency, cross-cutting issues, sustainability and lessons learned. Individual responses acquired during the evaluation will be kept confidential and the final evaluation report will only share generalised findings and anonymous comments.

Before beginning, do you have any general questions about the evaluation?

### Background Information

- 1) Could you tell me your exact position? How long have you been in this position?
- 2) What are your current responsibilities? What was your role in the ESPECH II project?

#### Note to evaluator:

*Component 1: Establishment of a Caribbean Heritage Network*

*Component 2: A Regional Standard for Evaluating and Improving Protective Heritage Legislation and related financial incentive policies and laws*

*Component 3: A Regional Model for Establishing National Registers of Heritage Places*

*Component 4: A Regional Model for Engaging the Public in Sustainable Heritage Tourism*

*Component 5: A Regional Directory and Curricular Enhancement of Heritage Education*

### Major Questions:

- 1) What is your opinion on each of the following in relation to the design and implementation of ESPECH Phase II:
  - The relevance of the project
  - Project effectiveness
  - Evidence of project efficiency
  - Project value for money

- 2) What are your expectations of the evaluation?
- 3) In your opinion, what was the relevance of the project?
- 4) Would your organization fund this project again?
- 5) Is there any additional information you would like to share, or do you have any further comments?

***Thank you for your time and co-operation***

## Appendix VI Schedule of Field Missions

ACTIVITY	DATE
<b>Field Mission: Barbados</b>	February 1 – 3, 2017
<b>Field Mission: Grenada</b>	February 6 – 8, 2017
<b>Field Mission: St Kitts and Nevis</b>	February 9 – 10, 2017