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IMPLEMENTATION COMPLETION REPORT

DEVELOPING COUNTRIES OF THE WIDER CARIBBEAN REGION

**THE WIDER CARIBBEAN INITIATIVE ON
SHIP-GENERATED WASTE (WCISW) PROJECT
(GET GRANT NUMBER TF028653)**

June 25, 1999

**Finance, Private Sector and Infrastructure
Country Management Unit 3
Latin America and Caribbean Region**

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CURRENCY EQUIVALENTS

Currency Unit = US\$

WEIGHTS AND MEASURES

Metric Units

FISCAL YEAR OF GRANT RECIPIENT

January 1 - December 31

ABBREVIATIONS AND ACRONYMS

DCWCR -	Developing Countries of the WCR (includes the following Caribbean countries with GDP per capita of less than US\$4,000 in 1989): Antigua & Barbuda; Belize; Colombia; Costa Rica; Cuba; Dominica; Dominican Republic; Grenada; Guatemala; Guyana; Haiti; Honduras; Jamaica; Mexico; Nicaragua; Panama; St. Kitts & Nevis; St. Lucia; St. Vincent & the Grenadines; Suriname; Trinidad & Tobago; Venezuela
ENV -	Environment Department
GEF -	Global Environment Facility
GET -	Global Environment Trust Fund
IMO -	International Maritime Organization
LIB -	Limited International Bidding
MARPOL 73/78 -	International Convention for the Prevention of Pollution from Ships 1973 as modified by the 1978 Protocol
MOE -	Ministry of the Environment
MOF -	Ministry of Finance
NGO -	Non Governmental Organization
OECS -	Organization of Eastern Caribbean States
PCU -	Project Coordination Unit
PPA -	Project Preparation Advance
SDR -	Special Drawing Rights
WCISW -	Wider Caribbean Initiative for Ship-generated Waste
WCR -	Wider Caribbean Region (includes the above DCWCR countries plus the following countries and territories: Aruba, Bahamas, Barbados, British Virgin Islands, French Antilles and Guyana, Netherlands Antilles, United States, United States Virgin Islands)

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THE WIDER CARIBBEAN INITIATIVE ON
SHIP-GENERATED WASTE (WCISW) PROJECT

(GET GRANT NUMBER TF028653)

Preface

This is the Implementation Completion Report (ICR) for the Wider Caribbean Initiative on Ship-generated Waste Project in the 22 developing countries of the Wider Caribbean Region for which Global Environment Trust Fund Grant Agreement GET, Grant Number TF028653 of August 1, 1994 in the amount of US\$ 5.5 million/SDR 3.9 million equivalent was approved on June 30, 1994 and made effective on September 1, 1994. The Bank was trustee and the International Maritime Organization (IMO) was the recipient and executing agency.

The Grant was closed on January 31, 1998, which was the original closing date. Final disbursement took place in May 1998, at which time a balance of US\$ 1.7 million was cancelled. There was no cofinancing, though six countries (Canada, Costa Rica, Mexico, Spain, Sweden and USA) provided experts for secondments during the project. The IMO provided funding through the Technical Cooperation Fund for national seminars and a legal expert during the project and for a workshop held after the project was closed.

The ICR was prepared by Messrs. Michel Audigé, AFTT2 and Alan Harding (consultant), with reference to a draft prepared by Mr. Usamah Dabbagh, Task Manager, LCSFP and reviewed by Mrs. Maria Donoso Clark, Ms. Christine Kimes and Mr. Usamah Dabbagh, also by Messrs. Carl Lundin ENV and Charles Di Leva, LEGEN. The grant recipient (IMO) provided comments that are included in summary form as an Appendix to the ICR.

Preparation of this ICR was begun during the Bank's final supervision mission in May 1997. It is based on material in the project file. The grant recipient contributed to preparation of the ICR by preparing its own ICR with summary. These documents were reviewed with senior IMO officers during a visit to London by the consultant in October 1998.

As the countries were not directly involved in the management of the project, but clearly remain the beneficiaries of it, the Bank invited the 22 countries to provide their feedback on a draft summary of the ICR in May 1999. The responses received (see Appendix), endorsed the ICR's summary findings.

IMPLEMENTATION COMPLETION REPORT
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EVALUATION SUMMARY

Introduction

(i) The Wider Caribbean initiative for Ship-generated Waste (WCISW) was innovative: it was the first time that the Bank had been directly concerned with the implementation of the International Convention for the Prevention of Pollution from Ships (MARPOL 73/78) and the first time that the Bank had worked with the International Maritime Organization, the UN agency responsible for promoting and monitoring MARPOL 73/78 implementation. It was also the first time that a single Bank project had involved all 22 developing countries of the Wider Caribbean Region. Under the project the sum of \$ 5.5 million was made available from the Global Environmental Trust Fund, with the Bank as GEF Implementing Agency and the International Maritime Organization (IMO) as Recipient and Executing Agency (ICR Part I, paragraphs 1 and 2).

Project Objectives

(ii) The objective of the project was to provide a regional strategy for the ratification of Annexes I, II and V of MARPOL 73/78 by the 22 DCWCR countries, by providing governments with (i) information on the legal, technical and institutional measures required and (ii) a forum for reaching a regional consensus on the actions to be taken. Training was envisaged to assist in the implementation of the strategy. Such ratification of MARPOL 73/78 by the 22 DCWCR countries would prohibit the discharge of oily, noxious liquids and garbage within the Caribbean with significant environmental benefits, including the protection of the environmental integrity of coastal and marine systems and a reduction in public health threats by the strengthening of national waste management systems throughout the Wider Caribbean Region (idem, paragraphs 3 and 4).

(iii) The Grant Agreement, between the Bank and IMO included Covenants related to procurements where Bank Guidelines were to be used "except as the Trustee shall otherwise agree", for the preparation of action plans every 9 months, for progress reports every three months and for the provision of periodic audit reports. The Grant was to cover a period of 3.5 years, unless extended by the Trustee.

(iv) The project objectives were timely and important in the positive environmental impact of a successful project. However, in the absence of a regional IMO office and

given that project included 22 countries, with two legal systems and four different languages, and without a common institution, the period allowed for completion of the project was optimistic and important elements of the project were not completed before the closing date. (*idem*, paragraphs 8, 12 and 19).

Implementation, Experience and Results

(v) The major achievement of the project is that there is now an acceptance by the DCWCR countries of the importance of a strategy for the implementation of MARPOL 73/78. The Project Document identified four monitoring indicators: (a) Actions in support of proper waste management, (b) Ratification of the MARPOL 73/78 Convention,¹ (c) Adoption of legislation in support of the MARPOL 73/78 Convention, and (d) Dissemination of Public Awareness Programs, with target numbers of countries for each. In each category, the target indicator was reached within the project period. For the principal indicator, ratification of the MARPOL 73/78 Convention, eight countries had ratified the Convention when the project was initiated, 6 more ratified the Convention during the period of the project and another is in process of ratification. There is no doubt that the project contributed to this important and satisfactory state of affairs (*idem*, paragraph 30).

(vi) The position is less satisfactory on the wider issues. What is still lacking is an agreed regional strategy and the internalization of the procedures necessary for long-term sustainability in the 22 countries, where technical and legal training is required, on the basis of a continuing effort in the countries (*idem*, paragraph 29 and 31). The Bank's OECS project, Solid and Ship-generated Waste Management, which was initiated drawing on the WCISW project, will make a valuable contribution in this respect for the six countries involved.

(vii) Actual expenditures under the project were less than estimated because of the incomplete items and about 30% of the project amount was cancelled. Slippage occurred in all components of the project, initially relatively minor, in the establishment of the Project Coordination Unit, then more substantial in the hiring of consultants for the Public Awareness Campaign and the Legal and Technical Consultants. Some studies had slippages of 30 months. As a consequence of these and other factors, the planned Workshops, where the results of the consultants' work was to be divulged to the countries, were delayed and the Final Workshop did not take place within the project (*idem*, paragraphs 10, 11 and 12).

(viii) The project would have experienced time over-runs under the best of circumstances for the reasons referred to above in paragraph (iv). On top of this, the inability of the Bank and IMO to establish a fluid long-term working relationship caused additional delay, due largely to differences in procedures. The Project Document

¹The MARPOL 73/78 Convention has a number of Annexes. For a country to be a Contracting Party to the Convention, it must ratify Annex I (oil) and Annex II (noxious liquids). Annex V which was an important element of the projects refers to garbage from ships. Other annexes in force or proposed refer to harmful substances in packaged form, sewage (normally covered under Port Regulations), emissions and noise pollution.

envisaged a “one on one” organization, with, as stated, “joint supervision” of project activities by Bank and IMO. The IMO proved unable or unwilling to complying with Bank procedures and to meet the agreed deadlines, set out in two Action Plans (1995 and 1997), and agreed with the Bank. IMO has its own way of working with responsibility effectively shared between different directorates and this caused problems when confronted with the task-oriented approach of the Bank. Unsatisfactory performance by the legal advisor was a further source of delay (*idem*, paragraphs 10, 18, and 25-27).

(ix) The decision of the Bank to close the project at the programmed date was made despite a Declaration prepared by participants at the 2nd Legal Workshop and subsequent requests for extension from several of the countries concerned (and IMO). The decision to close was based on the Bank’s judgement that this was a project where agreed deadlines (benchmarks) were not achieved and in the face of what was considered by the Bank to be the inability of IMO to follow agreed procedures and Action Plans. (*idem*, paragraphs 22, 23 and 28).

(x) The outcome of the project is difficult to assess. It was found to be positive, as reflected in the feedback from the countries, in that the implementation of MARPOL 73/78 has been advanced and key indicators, as defined in the project document, have been attained. However, a regional strategy was not developed and agreed among the 22 countries, and important elements including training were left incomplete when the project was closed. On balance, the outcome of the project is assessed as satisfactory (*idem* paragraphs 30 and 31).

Future Operation and Key Lessons Learned

(xi) The Project Document envisaged possible follow-on work, to consist of the identification of donors for investments in port reception facilities, waste management infrastructure and institutional training programs. Some of these aspects have been included in other Bank projects and others form part of the on-going activities by IMO towards the implementation of MARPOL 73/78; both efforts will contribute to the sustainability of project objectives (*idem*, paragraph 29).

(xii) Key lessons as learned from the WCISW project are:

- (a) a project involving 22 countries with four languages and two different legal systems is ambitious and the estimates made in the Project Document of the time required to reach consensus, especially on the need for new legislation, were not realistic. IMO had no regional office assigned to the project. A more thorough preparation with greater country involvement would have contributed to the timely implementation of the project. In these and other institutional aspects referred to below, quality at entry impacted negatively on project implementation;
- (b) respective responsibilities for supervision and procurement should have been better defined and agreed more precisely, prior to project signing, in order to prevent an unreasonable expenditure of energy on coordination during the execution of the project. A project with procurement issues should involve the

Bank's procurement advisors both at project definition and during project execution, even when relatively small sums are involved, in order to achieve a reasonable flexibility in project execution;

- (c) preparation would have been improved by more intensive involvement of the Bank's legal and environmental specialists. Similarly, a team approach should be adopted for project supervision;
- (d) the appointment of an external agency, IMO, as executing agency imposes a barrier between the Bank and the beneficiary countries. There was in fact no borrower (recipient) in the normal sense of the term. In these circumstances it is vitally important during supervision to establish an effective mechanism for feedback from the countries to the Bank, based on the acceptance and implementation of project results;
- (e) as no suitable institution existed which embraced all countries involved in the WCISW project, special attention should have been given to the involvement of suitable subregional organizations. This is especially relevant when there exist differences between project countries in language, legal traditions and other aspects that may impact project success. These aspects should have been addressed in the Project Document;
- (f) Action Plans were prepared and agreed with the recipient in the course of the project, though without a significant effect on project implementation. Where, as in this case, the project represents a new area of work for the Bank (and the first experience of Bank/IMO cooperation), a formal mid-term review should have been included in the Project Document;
- (g) the decision to close was based on the Bank's judgement that this was a project where agreed deadlines (benchmarks) were not achieved and in the face of what was considered by the Bank to be the inability of IMO to follow agreed procedures and Action. The decision to close the project on the originally programmed date did not reflect the wishes of its member countries in the Region at the time and has caused some delay in the implementation of MARPOL 73/78 in the DCWCR countries.
- (h) Action the Bank should continue to support the efforts of IMO and governments to implement and sustain MARPOL 73/78 in the WCR, using existing and planned projects (idem, paragraph 35).

Feedback received from beneficiary countries

(xiii) A draft Evaluation Summary of the ICR was sent to beneficiary countries for review by letter dated May 7, 1999. From the seven responses received (see appendix), it has been generally agreed that the proposed draft Executive Summary was complete and constituted a fair post-project evaluation (idem paragraph 36).

IMPLEMENTATION COMPLETION REPORT

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PART I - PROJECT IMPLEMENTATION ASSESSMENT

A. STATEMENT/EVALUATION OF PROJECT OBJECTIVES

1. The Caribbean Sea forms a circular and partially closed system so that floating garbage and other discharges from ships tend to accumulate on its beaches. This pollution has serious environmental consequences and results in economic loss, made worse by the dependence of the region on tourism. The position is critical on account of the increasing number of ships, including cruise liners, which operate in the region. In order to clean up and protect the Caribbean Sea, the Wider Caribbean Region was designated a "Special Area" under Annex V of the MARPOL 73/78 Convention, ratified in 1994. Under the terms of this Annex, ships are prohibited from discharging any waste materials into the sea, except for food waste (and then only when more than 12 nautical miles from land).

2. At the time of the project, only 6 of the 22 Developing Countries of the Wider Caribbean Region had ratified Annex V (with Annexes I and II) of the MARPOL Convention and a further 3 had ratified only Annexes I and II². A country that ratifies Annex V has to provide adequate port reception facilities for receiving ship-generated wastes, liquid and solid, and to implement national legislation, which will enable enforcement of the Convention in its waters. These requirements are demanding in terms of cost and their technical and legal/institutional implications, and the Project Document attributed the poor record of ratification for these DCWCR countries to these factors. The Wider Caribbean Initiative for Ship-generated Waste (WCISW) project was conceived in the Project Document as a contribution to a longer term process, which would address these issues and so contribute to the cleaning up of the Caribbean.

3. The objective of the Project was to provide the technical and legal components of a regional strategy for the ratification of MARPOL 73/78 by the 22 DCWCR countries, by providing governments with (i) information on the legal, technical and institutional measures required and (ii) a forum for reaching a regional consensus on the actions to be taken. The project consisted of technical assistance in legal and technical aspects of compliance with MARPOL 73/78, together with workshops, training and a technical awareness campaign and the briefing of potential donors. The International Maritime Organization (IMO) had participated in project formulation and was made executing

²Annexes I (oil) and II (noxious liquids) are mandatory so that a country which ratifies Annex V necessarily has to ratify Annexes I and II. A country may however ratify Annexes I and II without choosing to ratify Annex V.

Organization (IMO) had participated in project formulation and was made executing agency for the project. With successful completion of the first phase, the project document envisaged a possible second phase, which could consist of investments in port reception facilities, waste management infrastructure and institutional training programs.

4. The commitment of the 22 countries concerned to the objective of the project had been expressed through a Resolution agreed at a Workshop at IMO headquarters and chaired by the Bank, in 1993. Nevertheless, the internalization of this commitment by the governments concerned through the identification of the focal points was a lengthy process. The Bank rightly took the view that the countries had to advance in unison and this, and other factors discussed below, meant that the time required for the project, 3.5 years, was underestimated.

B. ACHIEVEMENT OF PROJECT OBJECTIVES AND COMPONENTS

5. There is now acceptance by the DCWCR countries of the importance of a strategy for the implementation of MARPOL 73/78, as shown by the agreement by 22 countries to participate in the proposed IMO Forum, to have been held in October 1998³. The governments concerned are now fully aware of the implications of the implementation of MARPOL 73/78 and, because of the project, have access to the information needed for implementation. However there is still no explicit Regional Action Plan, with legal and technical components, in part because of shortcomings in the work done during the project and in part because of the absence of a suitable regional organization. The formal training necessary for institution building and to support legal implementation has not taken place.

6. Full cost recovery for the collection, treatment and disposal of wastes under MARPOL, as envisaged in the Project Document, has not been achieved, for reasons discussed below (paragraph 15).

7. The project contributed to raising the level of awareness of MARPOL in the region and the Caribbean Sea is cleaner because of the project. Six additional DCWCR countries have ratified the convention and a seventh has the matter in hand, but more could have been accomplished, especially training aspects (see below, paragraphs 16 and 23).

C. MAJOR FACTORS AFFECTING THE PROJECT

8. The project included 22 countries, with two legal systems and four different languages and without a common institution. The largest project country was Mexico, with at the other end of the size spectrum, the smaller Caribbean islands. These factors slowed project implementation. A possible institution to act as focus for the project was UNEP, Jamaica, which had general responsibility for the Cartagena Convention⁴ but at

³The Forum, to have been held in Santo Domingo, was postponed because of Hurricane Georges. It was finally held in February 1999.

⁴The Convention for the Protection and Development of the Marine Environment in the Wider Caribbean Region, 1983, with subsequent protocols.

the time of project preparation, the UNEP requirement that the project be administered out of Nairobi was not accepted by the Bank. UNEP was also reluctant to accept Bank procurement procedures.

9. The Bank was trustee for the project and the IMO was recipient. The Project Document had envisaged joint supervision by the Bank and IMO of project activities but, as described below, the two institutions were unable to establish a satisfactory long-term working relationship. UNDP auditors provided quarterly audits of the PCU, with annual audits by the UK General Audit Office (GAO), who are auditors for IMO. The Bank requested an additional audit of PCU expenditure for locally hired consultants in September 1997, but this request was not followed up. The GAO final audit of the project finds its financial records to be satisfactory.

10. The project envisaged three key personnel, the Project Coordinator, the Legal Advisor and the Technical Advisor. The legal advisor, whose appointment was agreed by IMO and the Bank, though very well qualified, turned out not to be the person for the job. Replacement of the advisor was complicated by a number of factors and probably as much as six months was lost to the project. Despite the Bank's advice to the contrary, the advisor's contract was allowed to run its term, and supplemental resources were hired (financed by IMO) to complete the legal documentation. The Bank had wished to hire a firm to complete the work (and for IMO's legal department to take a stronger role at the outset of the project).

11. The procurement process was a source of continuing delay for the project, in particular for the important Public Awareness Campaign, where possibly as much as 9 months were lost and for the hiring of the legal consultant. Procurement issues are discussed below, under Bank Performance (paragraphs 20 and 26).

12. The project was closed before it was complete, with two Workshops, training and the Final Report still pending. An extension had been requested by country representatives present at the second Legal Workshop, supported by IMO, with follow-up letters from a number of countries. These requests had a sympathetic reception by the Bank but for reasons discussed below (paragraph 23), no extension past the original programmed date was finally approved. This reduced the project impact and has delayed fuller implementation of MARPOL 73/78 in the Region.

D. PROJECT SUSTAINABILITY

13. The project's prospects for sustainability are reasonable though these would have been improved by agreement on a regional strategy and, as noted above, by training. Sustainability of project objectives requires ratification of MARPOL 73/78 by the country concerned, and the provision of the appropriate legal and institutional framework for its application, on a sound technical and economic basis. The project has matched the monitoring targets of the Project Document though these are relatively modest, especially for the adoption of legislation in support of MARPOL 73/78, where the target was for adoption by just two countries (and two countries have in fact adopted legislation). The legal requirement is documented under the project⁵ but a continuing effort is necessary to get legislation in place in all the countries. This continuing effort depends on the efforts (and budget) of IMO, in the absence of a regional alternative.

14. Similar considerations refer to the allocation of institutional responsibility for MARPOL 73/78, which depends on the circumstances of each country, with a wide variety of solutions and the ever-present risk that a new government will change responsibility (and personnel). Responsibility in some countries is with the Ministry of Finance or the Ministry of Agriculture, so that special arrangements (and training) will be required in ship inspection procedures if enforcement is to be effective.

15. Cost recovery is an important element in sustainability. The concept of the project document is of a stand-alone charge for Annex V wastes, though this may not correspond to common commercial practice, in which these charges are often negotiated between the port authority and the cruise line operator within the overall per capita tariff. The port authority hires a contractor to do the work, so that the income from the charge made has to be sufficient to pay the contractor. The technical report gives a discussion of practice in the region (Vol. II, page 51, "Revenue Generation Alternatives").

16. The technical work for the preparation of the regional strategy and Action Plan for implementation was done by consultants who had been selected using agreed procedures. Their work was subject to some criticism, though never in fact revised, for reasons discussed below (paragraph 22) and IMO has produced a revised document, drawing on the consultant's work. This document, together with the reports of the Legal Workshops, provides a basis for the definition of a regional strategy.

E. BANK PERFORMANCE

17. Project identification was innovative and fully consistent with the increasing emphasis being given in the early 1990s to environmental protection in Bank projects. However the project represented a new area of work for the Bank and a number of the technical aspects of the Project Document are understandably imprecise. Thus the cost

⁵WCISW Report No.1 "Rationale for the Legal Framework to Ratify and Implement MARPOL 73/78", with Supplement entitled "Update on Existing Legislation in Countries of the WCR and their Compatibility with MARPOL 73/78", with subsequent related documents provide a sound basis for the legal aspects. As noted above, the Regional Action Plan based on an agreed strategy was not achieved.

estimates in the Project Document (Schedule A, table) show only five components,⁶ without any specific sum allocated to training activities, despite these being an integral part of the project. Two Action Plans for the project were prepared and agreed with IMO in 1995 and 1997, though without much effect on project implementation. A formal mid-term review should have been included in the project, as defined by the Project Document, to enable initial experience in its execution to be built on. In respect of the aspects of the Project Document mentioned above and agreements reached at negotiations with the Executing Agency, there is some doubt of the project's quality at entry.

18. A substantial supervision effort was provided by the Bank, including valuable support for the legal component from the Bank's legal department. Such legal input by the Bank was not explicitly envisaged in the Project Document and a team approach to supervision should have been envisaged from the start. The concept of joint supervision of the project, "by both IMO and the Bank" as stated in paragraph 6 of the Project Document did not contribute to clarification of the respective roles of the Bank as trustee and IMO as recipient, especially as the Organization Chart for the project shows World Bank (Supervision) above IMO (Supervision) (Project Document, page 35).

19. The Project Document correctly identified the project's main risks to be those "associated with the need for many countries to act in a coordinated manner and to enter into timely agreements among themselves on regional waste management policy and international waste management programs". Nevertheless, the Project Document does not discuss the need for involvement of the countries concerned, apart from showing two steering committees in the organization chart for the project, which were set up during project execution.

20. The Grant Agreement states that "Except as the Trustee shall otherwise agree, procurement of goods, works and consultants' services required for the Project shall be governed by the provisions of Schedule 3 to this Agreement", i.e., according to Bank Guidelines. The Bank as trustee did not otherwise agree and IMO continued to try to apply its own procedures (see below, paragraph 26). A greater degree of flexibility might have been shown by the Bank and IMO, based on advice from the Bank's procurement specialists, who were not significantly involved in the project. The emergence of these difficulties in coordination should have shown the need for a Mid-term review.

21. Legal and technical work was required in each of the 22 countries, as well as the overall legal and technical consultancy services. Individual consultants were hired for these in-country tasks and in all more than 60 consultants were hired, with consequential administrative load both for procurement, where the Bank insisted on the review and approval of individual terms of reference, for coordination of their work and for the evaluation of work done. The use of individual consultants rather than a much smaller number of firms, had been envisaged in the project Document as a way of increasing countries' experience and the Bank gave its agreement during supervision, though apparently with reservations.

⁶Technical Assistance, PCU, Administration and Supervision (IMO), Workshops and Public Awareness Program.

22. Consultants were hired to prepare a Regional Waste Management Strategy under what was the largest single contract of the project, contract value \$404,000. The consultants submitted their final report in two volumes dated April 28 and May 16, 1997. A preliminary review by the Bank detected certain weaknesses and instructions were given that comments should be obtained on the reports' recommendations from the 22 countries. This was a slow process and by the time of the Second Technical Workshop in September 1997, the IMO had taken the view that the consultants had complied with their terms of reference and were initiating payment procedures. Given the amount, disbursement would be made by the Bank. The Bank took the view that there should be no payment until assurances were received from participating countries "that the report provides them with a clear strategy on how to proceed on the technical component to implement MARPOL 73/78". The report was subsequently reviewed both by a consultant paid for by IMO, and internally by ENV. The ENV review commented that "the technical report while far from perfect does a credible job in responding to the terms of reference", and suggested that the consultants be invited to address the points that had been flagged. This coincided closely with the view of the consultant hired by IMO. Accordingly the IMO was informed on October 24, 1997 that disbursement had been approved by the Bank. The opportunity to get the consultants to address the points that had been identified had been lost and the episode resulted in the Bank losing confidence in IMO capability to manage the project.

23. Various options were considered within the Bank, including an extension of the closing date to enable training to be completed but subject to agreement by IMO on the replacement of the Project Coordinator and a revision of the remaining budget, or alternatively to close the project at the programmed closing date of January 31, 1998, canceling undisbursed funds⁷. The first alternative was unlikely to be acceptable to IMO and given the late stage of the project was scarcely practical. The decision to close was based on the Bank's judgement, based on earlier experience, that this was a project where the agreed deadlines (benchmarks) of the 1997 Action Plan were not going to be achieved. Closure meant accepting that the project was incomplete, leaving undone the activities mentioned in paragraph 12 above. A fax informing IMO of the decision to close the project on the programmed date was sent to IMO on Oct 31, 1997 and the countries were formally advised by the Bank of the closing of the project by letter dated February 3, 1998.

⁷Memo dated Oct 2, 1997. The three options suggested were: (i) Recognize the inadequacy of IMO's implementation of the project, but continue to tolerate the situation, provided the coordinating team is replaced and the budget for the remaining activities revised. Extend the closing date so that training can be completed; (ii) Close the project at the closing date of January 31, 1998, and cancel undisbursed funds, or (iii) Terminate the role of IMO as early as possible and substitute Bank execution for remaining activities (mainly training).

F. GRANT RECIPIENT'S PERFORMANCE

24. The IMO was identified as recipient of the GEF grant and executing agency in the original Project Document, on account of its position as the UN agency responsible for promoting and monitoring MARPOL 73/78. Under the Grant Agreement, the IMO as recipient was made responsible for the execution of the project, in accordance with Bank procedures and for submitting periodic action plans, technical reports and audit reports. A Project Coordination Unit (PCU) was to be established by IMO with Bank approval of its personnel.

25. The IMO proved incapable of complying with Bank procedures and meeting the agreed deadlines. IMO has its own way of working with responsibility effectively shared between different directorates and this caused problems when confronted with the task-oriented approach of the Bank. The supervision of the PCU was an IMO responsibility and a senior officer (on secondment from US Coastguard) was assigned for this task. There was a serious interruption to project continuity caused by the withdrawal of this officer within the first year after the initiation of the project. As a result of this, both Bank and IMO intervened in the work of the PCU, and in the absence of a lack of clear definition in the Bank/IMO relationship, the PCU lacked the authority to resolve Bank/IMO difficulties.

26. The Grant Agreement required IMO to agree all procurement matters with the Bank unless an exception was previously agreed with the Bank (and as noted above, no exceptions were made). IMO found this irksome. The minutes of the negotiations are ambiguous in this respect, saying that IMO procedures shall be used but that Bank procedures shall prevail.

27. The IMO should not have signed the Agreement without fully accepting its terms. In discussion, IMO commented that it had approached the possibility of a joint project with the Bank with a great deal of enthusiasm and had signed the Grant Agreement knowing that there were some unresolved issues, with the implicit assumption that these would be sorted out later. However these issues, mainly procurement and supervision, continued to give trouble, with, in the IMO's view, little flexibility being shown on the part of the Bank in its application of Bank Guidelines.

28. The IMO wrote to the Bank⁸ questioning the decision to close the project, emphasizing the need to complete the work and drawing attention to support for this position from the countries concerned, including the Technical Steering Committee meeting held in St. Lucia in November 1997. The letter also drew the Bank's attention to Sections 2.03 and 5.03 of the Grant Agreement: "The Closing Date shall be January 31, 1998 or such later date as the Trustee shall establish" (2.03) and "This Agreement shall continue in effect until the GET Grant has been fully disbursed or the parties to this Agreement have fulfilled all their obligations hereunder"(5.03). However, this aspect was not taken further.

⁸Letter dated November 26, 1997.

29. The IMO has continued to work on the preparation of the technical and legal documents necessary for the implementation and maintenance of MARPOL 73/78 and has organized the Forum planned for October 1998, which is in large part the Final Workshop as envisaged in the Project Document.⁹ The project has assisted IMO in the realization of these activities.

G. ASSESSMENT OF OUTCOME

30. The Project Document identified four monitoring indicators: (a) Actions in support of proper waste management, (b) Ratification of MARPOL 73/78 Convention, (c) Adoption of legislation in support of MARPOL 73/78 Convention, and (d) Dissemination of Public Awareness Programs, with target numbers of countries for each. In each category, the target indicator was reached within the project period. There is no doubt that the project contributed to this satisfactory state of affairs.

31. The outcome of the project is difficult to assess. The principal achievement of the project is that there is now an acceptance by the DCWCR countries of the importance of a strategy for the implementation of MARPOL 73/78. The legal framework as defined by the project is adequate for the countries to take legislative action. However what is still lacking is the definition of a regional strategy, which should be based on the work done by the consultants and subsequent work by IMO. The technical consultants' report should have been revised in light of the comments of the Bank, IMO and countries. In addition, the internalization of the procedures necessary for long-term sustainability in the countries concerned has not been fully achieved and this is where training and a continuing effort is required. The basic documentation required for such training now exists but more could have been achieved within the project in these respects.

H. FUTURE OPERATION

32. The Project Document envisaged possible follow-on work, to would have consisted of the identification of donors for investments in port reception facilities, waste management infrastructure and institutional training programs and this will not be undertaken as envisaged. In its letter advising countries of the termination of the project, the Bank undertook to engage in further bilateral discussions to "develop projects and activities that will allow for the achievement of objectives not realized under the WCISW project". Ongoing projects, in particular the OECS project, contribute to this objective and Bank participation in the (postponed) IMO Forum will provide another opportunity to identify the need for a further operation. Other Bank environmental initiatives in the Caribbean should also be used to further the objectives of the WCISW project.

⁹The Forum was postponed on account of Hurricane Georges and is now scheduled for February 1999.

I. KEY LESSONS LEARNED

33. The WCISW project had as its prime objective to provide a regional strategy for the ratification of MARPOL 73/78 by the 22 DCWCR countries, by providing governments with (i) information on the legal, technical and institutional measures required and (ii) a forum for reaching a regional consensus on the actions to be taken. The project was funded through GET Fund Grant Agreement No. TF028653 in the amount of \$ 5.5 million with Bank as Trustee and IMO as recipient and Executing Agency. The project was closed at its programmed date, with \$ 1.7 million undisbursed.

34. The project has been successful in advancing regional awareness of MARPOL as well as the ratification of MARPOL 73/78 by the DCWCR countries. The monitoring indicators of the Project Document have been achieved and the project has made a significant contribution to the environmental aims of the Cartagena Convention. However the project did not complete a number of the planned activities, including two Workshops, training and the Final Report and to that extent did not accomplish what was envisaged in terms of institution building. A second phase program, as envisaged in the Project Document, will not take place and the Bank will address the corresponding topics on subregional or bilateral basis.

35. Key lessons as learned from the WCISW project are:

- (a) a project involving 22 countries with four languages and two different legal systems is ambitious and the estimates made in the Project Document of the time required to reach consensus, especially on the need for new legislation, were not realistic. IMO had no regional office assigned to the project. A more thorough preparation with greater country involvement would have contributed to the timely implementation of the project. In these and other institutional aspects referred to below, quality at entry impacted negatively on project implementation;
- (b) respective responsibilities for supervision and procurement should have been better defined and agreed more precisely, prior to project signing, in order to prevent an unreasonable expenditure of energy on coordination during the execution of the project. A project with procurement issues should involve the Bank's procurement advisors both at project definition and during project execution, even when relatively small sums are involved, in order to achieve a reasonable flexibility in project execution;
- (c) preparation would have been improved by more intensive involvement of the Bank's legal and environmental specialists. Similarly, a team approach should be adopted for project supervision;
- (d) the appointment of an external agency, IMO, as executing agency imposes a barrier between the Bank and the beneficiary countries. There was in fact no borrower (recipient) in the normal sense of the term. In these circumstances it is vitally important during supervision to establish an effective mechanism for feed-

back from the countries to the Bank, based on the acceptance and implementation of project results;

- (e) as no suitable institution existed which embraced all countries involved in the WCISW project, special attention should have been given to the involvement of suitable subregional organizations. This is especially relevant when there exist differences between project countries in language, legal traditions and other aspects that may impact project success. These aspects should have been addressed in the Project Document;
- (f) Action Plans were prepared and agreed with the recipient in the course of the project, though without a significant effect on project implementation. Where, as in this case, the project represents a new area of work for the Bank (and the first experience of Bank/IMO cooperation), a formal mid-term review should have been included in the Project Document;
- (g) the decision to close was based on the Bank's judgement that this was a project where agreed deadlines (benchmarks) were not achieved and in the face of what was considered by the Bank to be the inability of IMO to follow agreed procedures and Action. The decision to close the project on the originally programmed date did not reflect the wishes of its member countries in the Region at the time and has caused some delay in the implementation of MARPOL 73/78 in the DCWCR countries.
- (h) the Bank should continue to support the efforts of IMO and governments to implement and sustain MARPOL 73/78 in the WCR, using existing and planned projects.

36. A draft Evaluation Summary of the ICR was sent to beneficiary countries for review by letter dated May 7, 1999. From the seven responses received (see appendix), it has been generally agreed that the proposed draft Executive Summary was complete and constituted a fair post-project evaluation

PART II - STATISTICAL TABLES

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Table 1: Summary of Assessments

A. <u>Achievement of Objectives</u>	<u>Substantial</u>	<u>Partial</u>	<u>Negligible</u>	<u>Not applicable</u>
Macro Policies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sector Policies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial Objectives	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Institutional Development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physical Objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Poverty Reduction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender Issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Social Objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Environmental Objectives	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public Sector Management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private Sector Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other (specify) Regional co-operation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. <u>Project Sustainability</u>	<u>Likely</u>	<u>Unlikely</u>	<u>Uncertain</u>	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
C. <u>Bank Performance</u>	<u>Highly satisfactory</u>	<u>Satisfactory</u>	<u>Deficient</u>	
Identification	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Preparation Assistance	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Appraisal	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Supervision	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
D. <u>Borrower Performance</u>	<u>Highly satisfactory</u>	<u>Satisfactory</u>	<u>Deficient</u>	
Preparation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Covenant Compliance	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
E. <u>Assessment of Outcome</u>	<u>Highly satisfactory</u>	<u>Satisfactory</u>	<u>Unsatisfactory</u>	<u>Highly unsatisfactory</u>
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Table 2: Related Bank Loans/Credits

Loan/credit title	Purpose	Year of approval	Status
<p><i>Preceding Operations:</i> N/A</p> <p><i>Following Operations:</i> OECS Ship-Generated Waste Management Project</p>	To have ship-generated wastes addressed as part of national solid waste management projects	1995	Preliminary studies have been done and implementation is proceeding following a mid-term review.

Table 3A: Project Timetable

Steps in project cycle	Date planned	Date actual/ latest estimate
Identification (Executive Project Summary)		1990
Preparation (done under ERL study)	1991	1991
Appraisal	October 1993	October 1993
Negotiations	25 May 1994	25 May 1994
Letter of development policy (if applicable)	n/a	n/a
Board presentation	August 1, 1994	August 1, 1994
Signing of Agreement	August 1, 1994	August 1, 1994
Effectiveness	September 1, 1994	September 1, 1994
First payment	requested September 1, 1994	7 October 1994
Progress reviews	December 1994, December 1995, December 1996, December 1997.	March 1995, December 1995, April 1996, December 1996, and May 1997.
Second (and subsequent) payments releases	See Table 3B.	
Project completion	Field operations originally to terminate 31 August 1997 and then proposed for October 1998.	31 January 1998 at decision of the World Bank.
Grant closing	31 January 1998	31 January 1998 and all accounts settled by May 1998.

Table 3B - Withdrawal Application Requests by IMO and Subsequent Bank Releases

Withdrawal Application Number and Amount	Date of Request	Date of Release
No. 1 \$250,000.00 (Special Account)	1 September 1994	7 October 1994
No. 2 \$97,435.46	20 April 1995	8 June 1995
No. 3 \$122,208.97	11 October 1995	27 November 1995
No. 4 \$169,571.95	10 January 1996	5 February 1996
No. 5 \$170,778.96	6 March 1996	1 April 1996
No. 6 \$331,286.38	27 March 1996	2 April 1996
No. 7 \$218,602.10	29 April 1996	17 May 1996
No. 8 \$153,876.25	9 July 1996	9 August 1996
No. 9 \$112,398.25	7 August 1996, amended 21 August 1996	23 August 1996
No. 10 \$152,291.95	2 December 1996	31 December 1996
No. 11 \$83,638.40	9 December 1996	13 January 1997
No. 12 \$163,287.50	7 February 1997	27 February 1997
No. 13 \$62,006.07	13 February 1997	13 March 1997
No. 14 \$164,846.88	25 March 1997	17 April 1997
No. 14A \$10,279.00	13 May 1997	19 May 1997
No. 15 \$158,323.59	13 May 1997	9 June 1997
No. 15A \$61,003.00	18 June 1997	19 August 1997
No. 16 \$163,287.50	29 October 1997	4 November 1997
No. 17 \$257,529.60	27 October 1997	20 November 1997
No. 17A \$43,860.17	8 January 1998	4 February 1998
No. 18 \$200,625.80	28 January 1998	See note
No. 19 \$15,000.00	5 February 1998	19 February 1998
No. 20 \$573,663.25	17 March 1998	April 1998
No. 20A \$106,281.00		April 1998
No. 20B \$13,315.38		April 1998
No. 21 \$88,269.49	28 April 1998	May 1998
No. 22 \$46,750.94	28 April 1998	See note
No. 23 \$67,776.92	28 April 1998	May 1998
No. 23A \$2,623.26		See note
No. 24 \$4,685.39	28 April 1998	May 1998
Total \$3,815,503.32		

Note: these three applications, totalling \$250,000 balance the Special Account, deposited at the start of the project

Table 4: Loan/Credit Disbursements: Cumulative Estimated and Actual
(US\$ thousands)

	CY 94	CY 1995	CY 1996	CY 1997	CY 1998	TOTAL
Appraisal estimate	290	2,100	2,300	810	0	5,500
Actual	79	391	1,309	1,124	913	3,816
Cumulative as % of estimate	27%	20%	38%	53%	69%	69%
Date of final disbursement	May 18, 1998					

Table 5: Key Indicators for Project Implementation

I. Key implementation indicators in Project Report	Estimated	Actual
1. Actions in support of proper waste management.	Action by 14 countries	Action by 16 countries
2. Ratification of MARPOL 73/78 Convention* *8 DCWCR were parties to the MARPOL 73/78 Convention prior to June 1994.	Ratification by 6 countries	Ratification by 6 countries
3. Adoption of legislation in support of MARPOL 73/78 Convention	Action by 2 countries	Action by 2 countries
4. Dissemination of Public Awareness Programs	Action by 20 countries	Action by all 22 countries
II. Other indicators (if applicable)	N/A	N/A
See the studies shown in Table 7A.		

Achievement of Project Monitoring Indicators

Indicator	Actions Planned / Actual achievement			Comment / Status
	1995	1996	1997	
Actions in support of proper waste management	4 Countries / 6 Countries	4 Countries / 5 Countries	6 Countries / 5 Countries	Surpassed target by 2 Countries, more expected
Ratification of MARPOL 73/78 Convention*	None / 2 Countries	2 Countries / None	4 Countries / 4 Countries	Target met and more ratifications anticipated
Adoption of legislation in support of MARPOL 73/78 Convention	None	None	2 Countries / 2 Countries	Target met and more anticipated
Dissemination of Public Awareness Programs	4 Countries / None	10 Countries / None	6 Countries / 22 Countries	All 22 Countries have participated

*8 DCWCR were parties to the MARPOL 73/78 Convention prior to June 1994. The 22 DCWCR recipient countries have all made commitments to ratify and implement MARPOL 73/78 including Annex V. At present 14 of the 22 DCWCR have ratified MARPOL, an increase of 6 since the beginning of the project. The Dominican Republic while passing the required national legislation in December 1997 has yet to deposit its instrument of accession with the IMO. This means shortly 21 of the 29 WCR countries will have ratified MARPOL. It is anticipated within the next 3 years all countries will have acceded to the Convention.

Table 6: Key Indicators for Project Operation

Not Applicable

Table 7A: Studies Included in Project

Study	Purpose as defined at appraisal/redefined	Status	Impact of study
1) Guide to Ports and Private Marinas requiring Waste Reception Facilities	An inventory of ports and marinas requiring reception facilities	Completed February 1996	Showed most port wastes lacked proper management and control
2) Report on the Adequacy of existing waste management systems to handle MARPOL 73/78 waste	Provides information on the adequacy of existing waste management systems in the developing countries of the WCR	Completed February 1996	WCR waste management systems lack human and other resources to properly dispose of solid wastes. Led to another study - Maritime Traffic Patterns in the Wider Caribbean Region – Map
3) Report on source reduction recycling and recovery programs	An examination of the issues and opportunities related to minimising discharges of ship-generated wastes through source reduction and recycling	Completed February 1996	Demonstrated an integrated approach of source reduction and recycling of ship and land-generated waste has to be considered
4) Report on Regional Waste Management Strategy including technical criteria for waste reception facilities at ports, harbours and marinas	Develop a generic strategy for country use and provided technical and economic criteria for reception facilities	Completed December 1997	Caused countries to realise they had to do more at the local level to find correct solutions. Contributed to increased friction between the WB and IMO. Led to other studies - Guidelines for Environmental Impact Assessment for the Construction and Operation of Port Reception Facilities for Ship-Generated Waste; An Environmental Guide for Marina and Boatyards; Code of Conduct for the Prevention of Pollution from Small Ships in Marinas and Anchorages in the Caribbean Region.
5) Report on System deficiencies and potential remedial projects and programs	Identified the key deficiencies to the physical infrastructure and institutional arrangements for getting port reception facilities in place	Completed January 1998	Report distributed to participating countries but no follow-up occurred due to project closure.
6) Report to provide the rationale for a legal framework to ratify and implement MARPOL 73/78 convention	An inventory and analysis of existing legislation regarding the implementation of MARPOL 73/78	Completed November 1997	Identified the amount of legislative and regulatory work required in the WCR to bring into effect proper enforcement and compliance of MARPOL 73/78
7) Report on current and proposed alternatives to enforcing MARPOL 73/78 in the WCR	An evaluation of current enforcement efforts and a strategy for improving it	Completed December 1997	Identified the legal and technical constraints to enforcement and proposes a strategy for the WCR
8) Final Project Report	A summary of the entire first phase activities carried out under the WCISW Project	Not completed	Project terminated and staff released prior to undertaking this report.
9) Additional studies/reports included in Project	See Table 7B.		

Table 7B: A listing of the reports prepared as part of the WCISW Project follows:

1. WCISW Report No. 1 Rationale for a Legal Framework to Ratify and Implement MARPOL 73/78.
2. Supplement to WCISW Report No. 1 entitled "Update on Existing Legislation in Countries of the WCR and their Compatibility with MARPOL 73/78".
3. WCISW Report No. 2 Summary Report - First Legal Workshop, Havana, Cuba, November 1995.
4. WCISW Report No. 3 Guide to Ports and Marinas requiring Waste Reception Facilities.
5. WCISW Report No. 4 Strategy and Action Plan for Source Reduction, Recycling and Recovery of Ship-Generated Waste.
6. WCISW Report No. 5 Report on the Adequacy of Existing Waste Management Systems to Handle MARPOL 73/78 Waste.
7. WCISW Report No. 6 Summary Report - First Technical Workshop, Cartagena, Colombia, March 1996.
8. WCISW Report No. 7 Volume I Regional Waste Management Strategy for Port Reception Facilities in the Wider Caribbean.
9. WCISW Reports No. 7 Volume II Technical and Economic Guidelines for Port Reception Facilities in the Wider Caribbean .
10. WCISW Report No. 8 MARPOL 73/78: Enforcement and Compliance in the Wider Caribbean Region. The title in Spanish is: Cumplimento en la Región del Gran Caribe
11. WCISW Report No. 9 Summary Report - Second Technical Workshop, Mexico City, Mexico September 1997.
12. WCISW Report No. 10 Summary Report - Second Legal Workshop, Tobago, Trinidad and Tobago, December 1997. A numbering error occurred. No. 10 is correct in Spanish but in English the report was erroneously assigned No. 11.
13. WCISW Report No. 11 Report on System Limitations and Potential Approaches for Implementation of WCISW's Regional Waste Management Strategy.
14. WCISW unnumbered report: An Environmental Guide for Marina and Boatyards.
15. Code of Conduct for the Prevention of Pollution from Small Ships in Marinas and Anchorages in the Caribbean Region. Partially supported by the WCISW Project.
16. Report of the Port Waste Management Workshop. Port of Spain, Trinidad and Tobago, July 1996. Partially supported by the WCISW Project.

Table 7B: A listing of the reports prepared as part of the WCISW Project follows (Contd...)

17. WCISW unnumbered report: Guidelines for Environmental Impact Assessment for the Construction and Operation of Port Reception Facilities for Ship-Generated Waste.
18. Final Report - Forum '96 First Conference of the Prevention of Pollution from Small Ships in Marinas and Anchorages in the Caribbean Region.
19. WCISW unnumbered report: Vessel Movements in the Wider Caribbean Region
20. The Performance Review Report of the Wider Caribbean Initiative on Ship-generated Waste (WCISW) Project - Analysis conducted in September 1996.
21. WCISW Public Awareness Campaign Implementation Kit - brochures, leaflets, video, public service TV and radio announcements.
22. Seminario nacional sobre prevencion de contamination marina por los buques (MARPOL 73/78), Honduras, January 1996. Partially supported by the WCISW Project.
23. Seminario nacional sobre prevencion de contamination marina por los buques (MARPOL 73/78), Guatemala, March 1996. Partially supported by the WCISW Project.
24. Seminario nacional sobre prevencion de contamination marina por los buques (MARPOL 73/78), Dominican Republic, October 1996. Partially supported by the WCISW Project.
25. Seminario nacional sobre el cumplimiento a las exigencias del MARPOL 73/78 por la flota de la industria petrolera de Venezuela, January 1997. Partially supported by the WCISW Project.
26. Manual "MARPOL - How to Enforce It". Partially supported by the WCISW Project.

Table 8A: Project Costs

Item	Appraisal Estimates (US\$'000s)			Actuals (US\$'000s)		
	Local	Foreign	Total	Local	Foreign	Total
1 Tech'l Assistance (cost of PCU)	2,450 (130)	1,503 (45)	3,953 (175)	1,669.0 (168.9)	1,154.8 (29.3)	2,823.8 (198.2)
2 Administration and Supervision		357	357	Nil	258.0	258.0
3 Workshops	50	400	450	277.6	208.0	485.6
4 Public Awareness Program		250	250	107.2	140.9	248.1
5 Contingency and Unallocated		490	490	Nil	1,684.5	1,684.5
TOTAL	2,500	3,000	5,500	2,053.8	3,446.2	5,500.0

Table 8B: Project Financing

Source	Appraisal Estimates (US\$'000s)			Actuals (US\$'000s)		
	Local	Foreign	Total	Local	Foreign	Total
GEF	2,500	3,000	5,500	2,053.8	1,761.7	3,815.5
Cofinancing institutions						
Other external sources	Contributions to project objectives were made by the following assisting countries - USA, Canada, Sweden, Spain, Mexico and Trinidad.					
Domestic contribution						
TOTAL	2,500	3,000	5,500	2,053.8	1,761.7	3,815.5

Table 9: Economic Costs and Benefits

No estimate of benefits has been made for this project.

Table 10: Status of Legal Covenants

There were no specific Legal Covenants. Articles III and IV of the grant Agreement, Execution of the Project and Financial Covenants, were complied with

Table 11: Compliance with Operational Manual Statements

Not Applicable

Table 12: Bank Resources: Staff Inputs

Incompatibilities between the MIS of the Bank and of the GEF have prevented an estimate being made of Staff Inputs.

Table 13: Bank Resources: Missions

See comment on previous table.

Table 14: Schedule of Outputs against Planned Completion Dates

All costs based on Withdrawal Application No. 24 Summary Details - 30 April 1998.

Responsibility	Activity	Date Planned *	Date Implemented	Comments/ Status	Estimated Completion Date	Final Cost (US\$)
A Technical Consultant	a- Guide to Ports and Private Marinas requiring Waste Reception Facilities	9 months	15 months	6 month slippage	February 1996	327,600
	b- Report on the Adequacy of existing waste management systems to handle MARPOL 73/78 waste	9 months	15 month	6 month slippage	February 1996	80,100
	c- Report on source reduction recycling and recovery programs	9 months	15 months	6 month slippage	February 1996	42,000
	d- First Technical Workshop Cartagena, Colombia	12 months	17 months	5 month slippage	March 1996	106,000
	e- Report on Regional Waste Management Strategy including technical criteria for waste reception facilities at ports harbours and marinas	21 months	36 months	15 month slippage	December 1997	472,100
	f- Second Technical Workshop Mexico City, Mexico	24 months	37 months	13 month slippage	September 1997	97,700
	g- Report on System deficiencies and potential remedial projects and programs	26 months	31 months	5 month slippage	January 1998	54,300
	h- Third Technical Workshop	30 months	Yet to be held	Planned at 41 months (11 month slippage)	January 1998	No funds expended
	i- Public awareness program using multimedia (TV, radio etc.) in support of MARPOL 73/78 Convention	24 months	34 months	10 month slippage	September 1997	248,100
	Technical Training **				May 1998	Funds not available

* Date of effectiveness was 1 August 1994 thus the elapsed times are as follows: 1 January 1995 is 5 months; 1 January 1996 is 17 months; 1 January 1997 is 29 months; and 1 January 1998 is 41 months.

** Plan for training activities were to be finalised following the workshops.

Table 14: Schedule of Outputs against Planned Completion Dates (Contd...)

Responsibility	Activity	Date Planned *	Date Implemented	Comments/ Status	Estimated Completion Date	Final Cost (US\$)
B Legal Consultant	a- Report to provide the rationale for a legal framework to ratify and implement MARPOL 73/78 convention	9 months	10 months	Partial Report by 13 months, 30 month slippage	November 1997	1,665,000
	b- First Legal Workshop Havana, Cuba	12 months	15 months	3 month slippage	November 1995	96,600
	c- Report on current and proposed alternatives to enforcing MARPOL 73/78 in the WCR	21 months	36 months	15 month slippage	December 1997	231,000
	d- Second Legal Workshop Tobago, Trinidad and Tobago	24 months	40 months	16 month slippage	December 1997	100,400
	Legal training**				May 1998	Funds not available
C Project Coordinator	a- Progress reports	every 3 months		13 reports submitted to January 1998		
	b- WCISW Final Report	33 months	not prepared as project terminated prematurely	Planned at 43 months (10 month slippage)	Not being prepared	
	c- Final Workshop	36 months	will not occur	Planned at 48 months		
	d- Chairman's report	38 months	no longer required	Planned at 51 months		
	e- Project Completion Report		August 1997	Planned at 52 months	April 1998	

Responsibility	Activity	Date Planned *	Date Implemented	Comments/ Status	Estimated Completion Date	Estimated cost
D IMO	a- Cost of Activities (excluding training)	Refer to back-up sheets for details.				2,762,700
	b- Estimated available for (training) unallocated					1,434,500 Not utilised
	c- Administrative costs (budgeted)					1,302,800
	TOTAL COST					5,500,000

* Date of effectiveness was 1 August 1994 thus the elapsed time at 1 January 1998 is 41 months.

** Plan for training activities were to be finalised following the workshops.

*** Includes cost for administration , long term consultants, steering committees, PCU and logistics.

Back-up sheet to explain the projected costs, timetable and other factors affecting the project - based on Withdrawal Application No. 24 Summary Details - 30 April 1998.

A. The status of the above items for the Technical Consultant work activities as of 31 January 1998, the project closing date, based upon information available at the end of April 1998 is as follows:

TC items a, b, c, and d - The final costs for items a, b and c reflect the agreement to include costs of international consultants who were involved in the First Technical Workshop. For item d the costs reflect the agreement to exclude costs of international consultants who were involved in the First Technical Workshop.

TC items e, f, g, h and i are the final costs recorded for the project.

B. The status of the above items for the Legal Consultant work activities is as follows:

LC a - The final cost of \$166.5K represents all expenditures on this item including the costs of all work on the inventories carried out in 1997.

LC b - The final cost reflects the agreement to exclude costs of international consultants who were involved in the First Technical Workshop.

LC c - This cost includes all work on the inventories since 1996 and the enforcement report.

LC d- This is the final cost for this item.

C. The status of the above items for the Project Coordinator work activities is as follows:

PC a - The quarterly reports costs are included in the administrative costs given below.

PC b - The final report is not being prepared as project staff were all released on 31 January 1998.

PC c - This workshop will not take place.

D. The status of the above items for the IMO activities is as follows:

IMO a - The Cost of Activities is the summary of the costs associated with items TC, LC and PC above and does not include any of the costs for the training or administrative costs which follow. Please note that as items were finalized, the commitments were adjusted so that all variances went into (training) unallocated.

IMO b- The cost shown represents the unexpended balance of funds in the project budget.

IMO c - As noted in the footnote at the bottom of the table, this administrative cost includes the costs for long term consultants (628.1), steering committees (69.5), PCU (198.2) and logistics (149.0) and IMO overhead (258.0) to closure of the project.

Table 15: Status of IMO Marine Pollution Conventions

Status of pollution instrument ratification for the Wider Caribbean at 4 September 1998.

COUNTRY	MARPOL 73/78				LC	CLC				IOPC FUND		CARTAGENA CONV'N & OIL SPILL PROTOCOL	OPRC
	ANNEX					72	69	76 PROT	92 PROT	71	92 PROT		
	I & II	III	IV	V									
ANTIGUA AND BARBUDA**	x	x	x	x	x	x	x		x		x		
BAHAMAS**	x	x		x		d	x	x	d	x			
BARBADOS**	x	x		x	x	x	x	x	x	x	x		
BELIZE**	x*	x*	x*	x*		x	x						
COLOMBIA**	x	x	x	x		x	x		x		x		
COSTA RICA**	+			+	x	x	x				x		
CUBA**	x			+	x						x		
DOMINICA**	+			+							x		
DOMINICAN REPUBLIC**	x*	x*	x*	x*	x	x							
FRANCE**	x	x	x	x	x	d	x	x	d	x	x	x	
<i>French Guyana</i>	a	a	a	a	a	a	a	a	a	a	a	a	
<i>Guadeloupe</i>	a	a	a	a	a	a	a	a	a	a	a	a	
<i>Martinique</i>	a	a	a	a	a	a	a	a	a	a	a	a	
<i>St. Barthelemy</i>	a	a	a	a	a	a	a	a	a	a	a	a	
<i>St. Martin</i>	a	a	a	a	a	a	a	a	a	a	a	a	
GRENADA	+			+				x		x	x		
GUATEMALA**	x*	x*	x*	x*	x	x					x		
GUYANA**	x*	x*	x*	x*		x			x			x	
HAITI**	+			+	x								
HONDURAS**	+			+	x								
JAMAICA**	x	x	x	x	x			x		x	x		
MEXICO**	x			x*	x	d	x	x	d	x	x	x	
NETHERLANDS**	x	x		x	x	d	x	x	d	x	x	x	
<i>Aruba</i>	s	s		s	s						s		
NETHERLANDS ANTILLES													
<i>Bonaire</i>	s	s		s	s						s		
<i>Curacao</i>	s	s		s	s						s		

Table 15: Status of IMO Marine Pollution Conventions (Contd...)

COUNTRY	MARPOL 73/78 ANNEX					LC	CLC				IOPC FUND	CARTAGENA CONV'N & OIL SPILL PROTOCOL	OPRC
	I & II	III	IV	V	72		69	76 PROT	92 PROT	71			
													90
<i>Saba</i>	s	s		s	s							s	
<i>St. Eustasius</i>	s	s		s	s							s	
<i>St. Maarten</i>	s	s		s	s							s	

a: ratification automatically extends to French Departments & U.S. territories.

d: denunciation

s: separate action necessary to have ratification extended to each of the British dependent territories, and separate ratification action necessary by the self-governing territories of Aruba & the Netherlands Antilles.

*: ratified since the project was approved in June 1994.

+: indicates a likelihood of ratification by end of 2000.

☐: DCWCR States

** : IMO Member States

Excepting the IMO and Cartagena Conventions and Oil Spill Protocol, percentages for the Wider Caribbean shown in this table factor in the 33 states and territories in the Region requiring separate international pollution instrument ratification action - 28 states in the UN system, adjusted to 33 to account for separate action required as regards Aruba, the Netherlands Antilles and the 5 British dependent territories. "Global Maritime" comprises the 156 countries worldwide that have ratified at least one IMO instrument

Table 15: Status of IMO Marine Pollution Conventions (Contd...)

COUNTRY	MARPOL 73/78 ANNEX				LC	CLC			IOPC FUND		CARTAGENA CONV'N & OIL SPILL PROTOCOL	OPRC
	I& II	III	IV	V		72	69	76 PROT	92 PROT	71		
NICARAGUA**	+			+		X	X					
PANAMA**	X	X	X	X	X	X					X	
ST KITTS AND NEVIS	X*	X*	X*	X*		X			X			
ST LUCIA**	+			+	X						X	
ST VINCENT AND GRENADINES**	X	X	X	X		X					X	
SURINAME**	X	X	X	X	X							
TRINIDAD AND TOBAGO**	+			+							X	
UNITED KINGDOM**	X	X	X	X	X	d	X	X	d	X	X	X
<i>Anguilla</i>						s	s		s			
<i>British Virgin Islands</i>						s	s	s		s		s
<i>Cayman Islands</i>	s	s		s	s	s	s		s		s	
<i>Montserrat</i>						s	s	s	s	s		
<i>Turks and Caicos Islands</i>						s	s	s		s		s
UNITED STATES OF AMERICA**	X	X		X	X						X	X
<i>Puerto Rico</i>	a	a		a	a						a	a
<i>U.S. Virgin Islands</i>	a	a		a	a						a	a
VENEZUELA**	X*	X*	X*	X*		X	X	X	X	X	X	X

a: ratification automatically extends to French Departments & U.S. territories.

d: denunciation

s: separate action necessary to have ratification extended to each of the British dependent territories, and separate ratification action necessary by the self-governing territories of Aruba & the Netherlands Antilles.

*: ratified since the project was approved in June 1994.

+: indicates a likelihood of ratification by the end of 2000.

□: DCWCR States

** : IMO Member States

Excepting the IMO and Cartagena Conventions and Oil Spill Protocol, percentages for the Wider Caribbean shown in this table factor in the 33 states and territories in the Region requiring separate international pollution instrument ratification action - 28 states in the UN system, adjusted to 33 to account for separate action required as regards

Aruba, the Netherlands Antilles and the 5 British dependent territories. "Global Maritime" comprises the 156 countries worldwide that have ratified at least one IMO instrument.

Conventions under Consideration

MARPOL 73/78	-	Protocol of 1978 relating to the International Convention for the Prevention of Pollution from Ships, 1973, as amended
LC 1992	-	London Convention
CLC 1969/1976	-	International Convention on Civil Liability for Oil Pollution Damage, 1969/1976
CLC 1992 PROT	-	Protocol of 1992 to amend the International Convention on Civil Liability for Oil Pollution Damage, 1969
IOPC FUND 1971		International Convention on the Establishment of an International Fund for Compensation for Oil Pollution Damage, 1971
IOPC FUND PROT '92		Protocol of 1992 to amend the International Convention on the Establishment of an International Fund for Compensation for Oil Pollution Damage, 1971
OPRC 1990	-	International Convention on Oil Pollution Preparedness, Response and Co-operation, 1990

IMPLEMENTATION COMPLETION REPORT

DEVELOPING COUNTRIES OF THE WIDER CARIBBEAN REGION

(Antigua & Barbuda; Belize; Colombia; Costa Rica; Cuba; Dominica; Dominican Republic; Grenada; Guatemala; Guyana; Haiti; Honduras; Jamaica; Mexico; Nicaragua; Panama; St.Kitts & Nevis; St.Lucia; St.Vincent & the Grenadines; Suriname; Trinidad & Tobago; Venezuela.)

THE WIDER CARIBBEAN INITIATIVE ON SHIP-GENERATED WASTE (WCISW) PROJECT (GET GRANT NUMBER TF02863)

APPENDIX

Grant Recipient contribution to the ICR

The Wider Caribbean Initiative on Ship-generated Waste (WCISW) Project

Global Environment Trust Fund Grant Agreement GET Grant Number TF028653 dated 1 August 1994

Introduction

1 The Project was developed by IMO as a response to the request from the WCR to be declared a Special Area under Annex V, submitted by a Regional Workshop in Caracas, 1990. IMO's Marine Environment Protection Committee decided the Wider Caribbean should be designated a Special Area under MARPOL Annex V as from 4 April 1994 (Resolution MEPC 48/31). The relevant prior Bank involvement in the sector and region is based upon three initiatives, namely the funding of a study carried out by Environmental Resources Limited for the International Maritime Organization and the World Bank in 1991 to produce the report "Port Reception and Disposal Facilities for Garbage in the Wider Caribbean" which represented a starting point for national officials for determining the actions they might take, the sponsoring in October 1993 by the International Maritime Organization and the World Bank of the first Workshop on the Wider Caribbean Initiative for Ship-Generated Waste which formed the basis for the World Bank developed and Global Environment Facility funded WCISW Project and management of the GEF funded Organisation of Eastern Caribbean States (OECS) Ship-Generated Waste Management Project whereby the problems of ship-generated waste are addressed as a component of national solid waste management projects. The WCISW project was the Bank's first experience with an international waters project benefiting a large number of countries. This project was the Bank's first experience with an international waters project benefiting a large number of countries.

Project Implementation Arrangement

2 IMO's Marine Environment Division had overall responsibility for the management of the project under the direction of its Technical Co-operation Sub-programme. With a strong regional focus in mind, IMO established the WCISW Project Co-ordinating Unit (PCU) in Trinidad and Tobago to facilitate the execution of the project. The PCU was staffed by a full time Project Co-ordinator with on-site administrative support. In addition to the operational management of the project, the Project Co-ordinator was responsible for maintaining an ongoing dialogue with National Focal Points (NFPs) designated by each of the Governments of the region.

3 Recognizing the distinctive technical and legal aspects of the project, a full time Technical Consultant and Legal Consultant were also engaged to organize necessary project activities within their respective areas of expertise, under the leadership of the Project Co-ordinator.

4 To provide regular regional input to the project direction a small technical steering committee consisting of the Project Co-ordinator, Technical Consultant and five or six high level representatives from regional governments was established. This steering committee ensured project progress through the development and co-ordination incremental Action Programmes and other initiatives. A small legal steering committee was also established with the type of composition and purpose,

targeting legal aspects of the project. The Technical Steering Committee met 6 times and the Legal steering Committee 3 times during the project.

5 Project outputs were reviewed and validated at the regional level through a series of regional technical and legal workshops convened periodically throughout the life of the WCISW. Through these workshops regional governments were formally informed of project progress and invited to provide relevant national inputs in a concerted effort to achieve the ultimate regional strategies envisaged. The legal component issues addressed in the project were reviewed at the First Legal Workshop in November 1995 in Havana, Cuba and the final examination of legal items was covered in the Second Legal Workshop in Scarborough, Tobago in December 1997. The technical component issues of the project were reviewed at the First Technical Workshop in March 1996 in Cartagena, Colombia and the final examination of technical items was covered in the Second Technical Workshop in Mexico City, Mexico in September 1997. While the studies and documentation for the Third Technical Workshop was prepared for presentation tentatively scheduled for Santo Domingo, Dominican Republic in February 1998, it was cancelled due to the closure of the project.

WCISW Project Strategies and Objectives

6 The WCISW was conceived as the first phase in the long term process of cleaning up and protecting the seas of the Wider Caribbean Region. The objective of this first phase was to provide the basis for ratification and implementation of MARPOL 73/78 by the developing countries of the WCR. Assuming success in this regard, the countries are expected to then build upon the WCISW project outputs to move toward a second phase programme of investment projects, supported by the international donor community and financial institutions, to expand port reception facilities, waste management infrastructure and institutional training programmes to ensure full implementation and enforcement of the Convention.

7 Over the three and one half year period (September 1994 - January 1998), the Project provided the developing countries of the WCR with technical assistance to carry out studies and support the co-ordination of activities with the aim of producing a regional strategy to promote and realize the widest possible ratification and implementation of MARPOL 73/78. The strategy included a regional legal framework, regional waste management programmes, regional public awareness programmes, training and the identification of national projects for reception and disposal facilities.

8 While the WCISW was directed toward assisting the developing countries of the region, it recognized the integral role to be played by the developed countries with regard to the agreement of viable regional strategies. Therefore, the developed countries (Bahamas, Barbados, and the metropolitan and insular governments of France, the Netherlands, the United Kingdom and the United States) were invited to participate in all project activities.

Project Activities

9 The WCISW financed consultant services, regional workshops and logistical support to:

a) assess within the region existing legislation and regulations covering Annex I, II and V wastes;

-this aspect of the work was fully addressed as part of the work carried out by the Legal Consultant and the results are contained in the Supplement to WCISW Report No.1 Rationale for a Legal Framework to Ratify and Implement MARPOL 73/78 entitled "Update on Existing Legislation in

Countries of the WCR and their Compatibility with MARPOL 73/78".

b) identify legal remedies available under international agreements or appropriate alternative strategies for promoting compliance with the Special Area designation of the WCR;

-this work was fully addressed and the results are contained in the WCISW Report No. 8 Enforcement and Compliance in the Wider Caribbean Region.

c) assess existing waste management systems in the region, including institutional arrangements;

-this aspect of the work was fully addressed as part of the work carried out by the Technical Consultant and the results are contained in the WCISW Report No. 5 Report on the Adequacy of Existing Waste Management Systems to Handle MARPOL 73/78 Waste.

d) formulate regional engineering criteria for waste reception facilities at ports;

-this work was fully addressed and the results are contained in the WCISW Reports No. 3 Guide to Ports and Marinas requiring Waste Reception Facilities and No. 7 Volume II Technical and Economic Guidelines for Port Reception Facilities in the Wider Caribbean .

e) co-ordinate discussions with shipping and cruise lines on reducing waste at the source and recycling of Annex I, II and V wastes;

-this work was fully addressed and the results are contained in the WCISW Report No. 4 Strategy and Action Plan for Source Reduction, Recycling and Recovery of Ship-Generated Waste.

f) develop integrated regional waste management alternatives, including identification and evaluation of specific proposals;

-this work was fully addressed and the results are contained in the WCISW Report No. 7 Regional Waste Management Strategy for Port Reception Facilities in the Wider Caribbean and WCISW Report No. 11 Report on System Limitations and Potential Approaches for Implementation of WCISW's Regional Waste Management Strategy.

g) develop strategies for the integration of collection, treatment and disposal of ship-generated wastes with associated existing national collection, treatment and disposal systems;

-this work was fully addressed and the results are contained in several of the WCISW Reports, see No.s 4, 7 and 11.

h) assist ports in defining the appropriate tariffs for receiving ship-generated wastes, including cost recovery for waste management systems;

-this work was addressed and the results are contained in the WCISW Report No. 7 and 11.

i) develop proposals to ensure that countries achieve full cost recovery of the collection, treatment and disposal costs associated with the reception of Annex I, II and V wastes;

-this work was addressed and the results are contained in the WCISW Report No. 11.

j) assist countries in implementing new waste management alternatives, including the

training of local personnel;

-this work was not fully addressed as the project terminated prior to training being undertaken.

k) develop strategies for public awareness programmes to support the project on a national as well as regional basis;

-this aspect of the work was fully addressed as part of the work carried out by the Public Awareness Campaign contract and the results are contained in the materials produced which included an implementation kit for use by national entities.

l) brief potential donors, financing institutions and NGOs on the status of MARPOL 73/78 in the region; and

-this work was not addressed as the project terminated prior to the Final Workshop being undertaken.

m) based on the foregoing, developed a comprehensive strategy for dealing with Annex I, II and V ship-generated wastes in the region, including viable investment proposals that could be supported by regional governments and the international donor community.

-this work was fully addressed by the Technical Consultant assisted by several consultants and the results are contained in the WCISW Reports No. 7 Regional Waste Management Strategy for Port Reception Facilities in the Wider Caribbean and No. 11 Report on System Limitations and Potential Approaches for Implementation of WCISW's Regional Waste Management Strategy.

10 Project activities were carried out by consultants engaged by IMO (over 70 consultants were used with most of them coming from DCWCR countries) and supervised by both IMO and the World Bank. Consultants worked closely with national and regional organisations, and a special effort was made to involve all the targeted countries in the process. A key part of the use of local consultants was to assist in developing the national capabilities of the countries and their national maritime administrations.

Implementation Experience and Results

11 The 22 DCWCR recipient countries have all made commitments to ratify and implement MARPOL 73/78 including Annex V. This commitment was not a solid one when the project commenced. It has occurred as a direct result of the efforts of project staff at various meetings held at the national, sub-regional and regional levels and took almost three years to be realised. At present 14 of the 22 DCWCR have ratified MARPOL, an increase of 6 since the beginning of the project. The Dominican Republic while passing the required national legislation in December 1997 has yet to deposit its instrument of accession with the IMO. This means shortly, 21 of the 29 WCR countries will have ratified MARPOL. It is anticipated within the next 3 years all countries will have acceded to the Convention.

12 This acceptance of MARPOL 73/78 by the WCR countries will require continued support from IMO, donor countries and financial lending agencies for training to effect proper implementation and operation of the needed facilities. Therefore the probability that the project will maintain the achievements generated in relation to its major objectives is very likely. IMO through its regular program activities and its Integrated Technical Co-operation Programme and regional operations is committed to supporting these countries in achieving MARPOL Annex V Special Area status. While maritime issues are not the highest legislative or political priority in most of the countries, the project has brought the importance of protecting the marine environment and

MARPOL 73/78 to the attention of a wide range of decision makers in different governmental agencies.

13 The DCWCR and other WCR participants are now all sensitive to the issues of ship-generated waste and marine pollution concerns to want to realise and sustain the project objectives. Considerable progress has been achieved in under four years to create and enhance the maritime pollution prevention policy environment and upgrade institutional/management effectiveness. With additional training of national governmental and private sector maritime and waste management staff, the work initiated by this project will remain viable. The legal, technical and public awareness activities undertaken have contributed to achieving good local participation. Sustainability will definitely be positively affected by a second phase follow-on project that funds the construction of the required reception facilities to further expand the activities in the project under review.

14 There were five key factors which affected the achievement of the objectives. The first was the overly ambitious timetable for mobilising the project and the unclear expectations of the participants. The task consisted of getting 22 countries of four language groups of very different size to focus on a common issue. The project team did a very commendable job of achieving this but it took nearly a year longer than originally anticipated. However there definitely seemed to be an absence of a feeling of 'ownership' of many of the countries involved in the project. A complication was the insistence of the Bank on always having to deliver the work at the regional or sub-regional level rather than working directly with the individual countries. Also the absence of 'pilot' or 'demonstration' projects prevented obtaining earlier involvement of many countries as they were not clear on what was really required of them and what could be achieved fairly readily.

15 The recruitment of project staff and consultants resulted in many excellent people being brought together to work on this project. However the PCU staff had one member who had serious weaknesses which were not apparent until most of the first year had passed. This personnel problem adversely affected the delivery of the legal component by delaying the project.

16 The third factor which affected the project delivery was the administrative arrangements stipulated in the Grant Agreement. A misunderstanding of whose procurement procedures were to be used and how the various stages of procurement were to be accepted resulted in bad feelings amongst the parties and this led to considerable delays. When the administration of the work activities differed from perceived correct procedures and precise guidance did not exist in the Grant Agreement then the resolution of issues and agreement on solutions proved difficult.

17 A fourth factor which has been an issue throughout the project has been the manner in which the Bank has operated as trustee. The executing agency has always found the Bank to be overly interested in the day to day project activities rather than monitoring the project process and milestones. IMO has regularly executed technical cooperation projects for UNDP and donor countries and never experienced the difficulties encountered on this project. This breakdown in role responsibilities was a constant irritant for the executing agency. The Bank for its part had the challenge of getting to know and work with a new entity.

18 The fifth and most significant reason for all of the objectives not being met was the termination of the project on the close date established in 1994 in spite of numerous requests from the DCWCR recipients to keep it going. This decision has been a difficult one to comprehend, especially as there were funds remaining to complete the project and the logical end point was only a few months away.

19 The recipient countries were very pleased with the project concept and objectives developed by the World Bank and entrusted to IMO for execution as verified by the responses

received and documented in "The Performance Review Report of the Wider Caribbean Initiative on Ship-Generated Waste (WCISW) Project", an analysis conducted in September 1996. This satisfaction was strongly restated by many of the recipient countries in late 1997 and early 1998 when they wrote to the Secretary-General of IMO requesting the project be extended in order to complete the outstanding training and national project proposals. Also many of the DCWCR countries in their letters stated how satisfied they were with the manner in which the project was being delivered and proving so useful and important to them. They have indicated the ratification and implementation of MARPOL 73/78 involve complex and lengthy legislative processes, and significant upgrade and development in the administrative and technical capacity of States. Based on the jurisprudence, parliamentary structure and state of administrations of the developing countries of the WCR, it has been difficult to realize the objectives within the three year time frame. However, it is clear that there has been considerable progress among States both in terms of the preparation of legislative procedures for implementing MARPOL 73/78, and in the precise definition of the technical and infrastructure requirements to be instituted to implement the Convention. There are several areas that will require the continued support, namely the training of personnel in ship inspection and surveying for the enforcement of the Convention, upgrading of legal personnel in enforcement proceedings, and technical staff in investigation procedures, evidence testing, and environmental monitoring.

20 As indicated above, this project was the Bank's first one dealing with international waters and IMO. It can be said that the approach and attitude of the two organisations to client countries is very different. This could be part of the reason for the operational difficulties which developed between the two organisations. There is no doubt the strained working relations led to closure of the project in advance of all tasks being finalised.

21 The ICR assesses the project's outcome as satisfactory. The project overall achieved most of its major objectives, all expected project performance indicators, and has achieved or is expected to achieve satisfactory development results with only a few short-comings. For several countries it can be said the project was highly satisfactory as the project achieved or exceeded all its major objectives and has achieved or is highly likely to achieve substantial development results, without major shortcomings. However it is also possible to say the project was unsatisfactory as it has had significant shortcomings in the way the in which the Bank and the grant recipient failed to arrive at a professional working relationship in which each other's respective roles and responsibilities were understood, respected and performed. This was the major reason for the Bank insisting on the project terminating on the closing date rather than a few months later. However the grant recipient was never apprised of the reason for the closure of the project just a few months prior to realising virtually all of the project objectives other than being informed "that the Bank is taking a very rigorous position concerning project extensions and a decision has been made that this project will not be extended beyond the legal completion date". This unfortunate situation has adversely affected the recipient countries by delaying the full realisation of all of the project objectives for them by many months when only a few months (6 to 8) were needed to complete the work of this project involving training of national staff and preparing costed national project proposals for the required Annex V infrastructure for review and discussion with multi- and bilateral funding agencies.

Summary of Findings, Future Operations, and Key Lessons Learned

22 This project has provided the countries of the Wider Caribbean Region with an excellent appreciation of the marine pollution issues and the support they can gain through the implementation of the MARPOL 73/78 Convention. Legal assistance has been made available through the development of model legislation in both English and Spanish. For the first time countries have an understanding of the total maritime traffic by types and the volumes of wastes these vessels can generate. They are also aware of the types of waste reception facilities that are necessary for

handling various quantities of waste and have an overall strategy available to analyze and determine solutions to suit their national needs. All countries have gained the basic tools for carrying out a public awareness campaign to sensitise various sectors within their countries to the importance of proper marine environment practises. The successes achieved have not come easily and the following items could prove important for contributing to the positive delivery of future initiatives.

23 The most critical element for a project of this type is the identification of the correct people in four areas, namely 1) the trustee administrator - World Bank Task Manager, 2) the executing agency - IMO, 3) the IMO Project Co-ordination Unit (PCU) staff composed of the Project Co-ordinator and Legal and Technical Consultants, and 4) influential and committed National Focal Points. These people have to come together to reach common understandings of their respective roles and responsibilities and develop a rapport and trust for achieving the project goals. Good communications are a prerequisite and at times in this project these were poorly established or failed.

24 Other important findings include: a) the need for flexibility to permit those items having the potential to reap early benefits to be used to sustain input from participants, this flexibility may justify the use of demonstration projects; b) the need for bilingual PCU staff to work with all of the countries; c) the need for periodic senior governmental (ministerial) review to ensure national concurrence with the project's objectives and commitment is sustained; and the need to refocus and re-phase project activity (funds) to benefit from experience and perceived need of participating countries. The executing agency must be able to use its best judgement/expertise in re-phasing project funds for "demonstration sites" and more direct national assistance. Capacity building is best achieved at the national level, and the regional approach should not prevent delivery of national capacity building within the regional context.

25 As the project has been brought to closure in an untimely way, the World Bank has stated that as "all the countries benefiting from the WCISW project are members of the Bank it may incorporate some aspects of the remaining WCISW activities in future projects". IMO intends to have a meeting of all WCISW project participants in late 1998 to discuss the final technical report findings so that steps can be taken to ensure all WCR governments move towards ratification of MARPOL 73/78 and undertake to deal with ship-generated wastes. The issue of sustainability has been discussed above.

26 An important consideration for undertaking projects of a regional nature of this type having a common goal of acceding to the same international convention and meeting the same implementation requirements is that the regional grouping of countries has to respect common language, in this instance (Spanish and English predominate), stage of development relative to the project objectives, in this project the Latin American countries were further advanced at the outset than the others and the relative size of the countries involved, here we dealt with countries differing in population by a factor of 1000 which seriously affected the approaches to be followed.

27 The various organisation, agencies, and national government departments need to address the results of this project and the reasons for them. This report has highlighted a number of the reasons for the good results achieved and importantly has indicated areas where improvements could be made. As future work in this field will make it necessary for all parties to be involved together again, it is important to build on the good points and address those where improvements can be made.

Feedback from beneficiary countries

The Wider Caribbean Initiative on Ship-generated Waste (WCISW) Project

**Global Environment Trust Fund Grant Agreement
GET Grant Number TF028653 dated 1 August 1994**

(Colombia; Costa Rica; Grenada; Guatemala; Jamaica; St.Lucia; St.Vincent & the Grenadines)

27/10



MINISTERIO DE DEFENSA NACIONAL
ARMADA NACIONAL
DIRECCION GENERAL MARITIMA

Santafé de Bogotá D.C., 31 de mayo de 1999

No. 311711R DIMAR-DILEM-OFASI-536

ASUNTO : Comentarios Informe Final Implementación WCISW

AL : Señora
Orsalía Kalantzopoulos
Unidad de Manejo para Latinoamérica y el Caribe
Banco Mundial
Washington D. C., U.S.A.

Apreciada Señora Kalantzopoulos:

En respuesta a su mensaje No. 362 del 07 de mayo de 1999, el cual trata sobre la encuesta realizada a los puntos focales de los países beneficiarios del Proyecto Iniciativa del Gran Caribe para el Manejo de Desechos producidos por Buques (WCISW), la Dirección General Marítima, en trabajo conjunto con las autoridades de transporte, portuarias y ambientales nacionales, elaboró la siguiente respuesta; al cuestionario formulado:

1. ¿ Basado en su experiencia de la Implementación del Proyecto WCISW, el resumen del informe final de Implementación (ICR) provee una evaluación justa y completa del Proyecto ?

Respuesta:

El informe final de Implementación (ICR) no presenta una evaluación completa del proyecto WCISW. Las opiniones expresadas en el anexo a su Fax (literales v al xi) se basan principalmente en las dificultades procedimentales que existieron entre la Organización Marítima Internacional (OMI) y el Banco Mundial. Esas dificultades afectaron los resultados óptimos planeados pero no alteraron resultados específicos obtenidos y no incluidos en el (ICR), tales como:

- a) Para la Región del Gran Caribe: Un (1) nuevo país miembro de la OMI, seis (6) nuevas adhesiones al Convenio MARPOL 73/78, una (1) nueva aceptación del Anexo V del Convenio MARPOL, dos (2) reglamentaciones nacionales aprobadas del Convenio MARPOL, producción de un (1) manual de cumplimiento para instalaciones portuarias de recepción con criterios técnicos, económicos y ambientales, una (1) campaña de concientización pública para la protección del medio marino y la realización de varios talleres técnicos y legales sobre el Proyecto WCISW.
- b) Para Colombia como país beneficiario del Proyecto WCISW: un proyecto de reglamentación del Convenio MARPOL 73/78 en proceso de aprobación nacional; la conformación del Grupo Nacional de Trabajo para tratar estos temas (Ministerio de Transporte, Ministerio del Medio Ambiente, Superintendencia de Puertos, Comisión Colombiana de Oceanografía y Dirección General Marítima) y un proceso de aprobación política de la Estrategia Nacional para implementar el Plan Nacional de Cobertura de Instalaciones de Recepción de Residuos de Buques (documento producido por el Proyecto para Colombia).
2. ¿Desde su punto de vista, cuáles son las lecciones claves del Proyecto WCISW para futuros proyectos?

Respuesta:

DIMAR está de acuerdo con las lecciones aprendidas planteadas por el Banco Mundial, además se sugieren las siguientes:

- a) A través de la implementación del WCISW, se ha detectado la necesidad de buscar una mayor integración internacional para elaborar estrategias regionales para la protección del medio marino con el apoyo de organismos financieros multilaterales y regionales.
- b) En los casos en que el Banco Mundial quiera desarrollar proyectos regionales enfocados a la protección del medio marino debería establecerlos a mediano plazo, con etapas de evaluación realizadas por el mismo Banco y agrupando los países más homogéneos en aspectos culturales, legales y económicos, para garantizar que su ejecución sea más eficiente.
- c) El Banco Mundial debería contar con el apoyo y la asesoría de organizaciones internacionales especializadas en el tema ambiental y en el tema marítimo para que los resultados sean óptimos económicamente y eficaces técnicamente.

- d) Es necesario identificar un mecanismo regional de coordinación de las actividades desarrolladas por la parte financiera (v gr. Banco Mundial), técnica (v. gr. OMI) y los países beneficiarios (v.gr. angloparlantes e hispanoparlantes).
 - e) Con el propósito de evitar dobles esfuerzos es necesario que un organismo internacional estudie y coordine las actividades que estén realizando organismos regionales en la Región del Gran Caribe con respecto al medio marino, por ejemplo las actividades de las Secretarías del Convenio de Cartagena y la Asociación Estados del Caribe (AEC).
3. ¿Cuál es la situación actual de cumplimiento por parte de su país con relación a la ratificación e Implementación de los Anexos I, II y V del Convenio MARPOL 73/78?

Respuesta:

Colombia aprobó el Convenio internacional para prevenir la contaminación por buques de 1973 y su Protocolo de 1978 (MARPOL 73/78) junto con los cinco (5) Anexos, por la Ley 12 de 1981.

En la actualidad, la Dirección General Marítima (DIMAR) como autoridad marítima nacional, aplica el Convenio MARPOL a los buques de bandera colombiana que cumplen con las características del Convenio y está en proceso de aprobación el reglamento de protección del medio marino para aquellos buques pequeños y de cabotaje que no pueden cumplir con la totalidad de las normas de este Convenio.

En cuanto a los buques de bandera extranjera que llegan a puertos colombianos DIMAR, a través del Acuerdo de Viña del Mar exige el cumplimiento del Convenio MARPOL.

Para los anexos I y II del Convenio, está aprobado oficialmente el Plan Nacional de Contingencia contra Derrames de Hidrocarburos, Derivados y Sustancias Nocivas en Aguas Marinas, Fluviales y Lacustres. Así mismo en cuanto a instalaciones de recepción en puerto existe en trámite de aprobación de funcionamiento, en los puertos de Santa Marta, Coveñas y Cartagena de Indias. En este último, por ejemplo, son siete (07) las solicitudes para la construcción de esta infraestructura, que le darían al puerto una amplia capacidad de recepción y manejo de desechos provenientes de buques.

Sin embargo, estas actividades están en un proceso de implementación, el cual requiere de apoyo financiero para capacitación e infraestructura de las autoridades marítima, portuaria y ambiental.

4. ¿Qué continuaría del Proyecto que sea de utilidad para su país en procura de proteger el medio marino ?

Respuesta:

- a) Es necesario continuar en forma sostenida con el apoyo a los Grupos Nacionales de Trabajo, creados a partir del Proyecto, a través de la capacitación y suministro de recursos a las instituciones nacionales encargadas del tema. Por ejemplo para lograr que estos elaboren e implementen estrategias marítimas para prevenir la contaminación marina proveniente de buques y estrategias portuarias en lo concerniente a las instalaciones de recepción, que permitan el eficaz cumplimiento del Convenio MARPOL.
- b) Las campañas de concientización pública para la protección del medio marino enfocadas a un país específico o grupo de países homogéneos para que la información sea más fácil de divulgar.
- c) Continuar con el firme propósito de elaborar una o varias estrategias regionales para hacer efectiva la declaratoria del Mar Caribe como Área Especial de acuerdo al Anexo V (Basuras) del Convenio MARPOL.

Atentamente,



Contralmirante Alfonso Calero Espinosa
Director General Marítimo

- cc. - Sr. O. Khalimonov. Director División del Medio Marino. OMI
- Sr. Anders Alm. Coordinador del Proyecto WCISW
- Sr. CN. Edgar Cely Nuñez. Representante Permanente de Colombia ante la OMI

990479

San José, Costa Rica, May 26, 1999

Mr. Orsalia Kalantzopoulos
Director Caribbean Country Management Unit
Latin America and the Caribbean Region
The World Bank
Washington D.C.
U.S.A.

Ref. ICR's Comments and recommendations

Dear Mr. Kalantzopoulos :

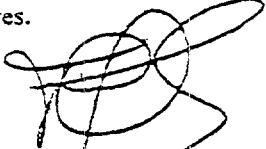
Despite of all the differences , problems and difficulties between The World Bank and IMO mentioned in the ICR and even though these matters do not concern directly to the countries involved in the WCISW project, I can point out some important aspects for Costa Rica as a result of the WCISW project :

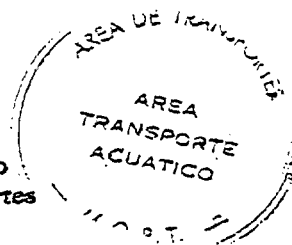
1. The first phase objectives were well accomplished in the case of Costa Rica since the basis for ratification of MARPOL 73/78 were established, inclusively the Convention is in this moment at the Parliament and is about to be ratified.
2. Costa Rica received very valuable information and documentation through the different ways the project allowed it (workshops, reports, contacts with people all over the Caribbean, conferences)
3. The establishment of the interinstitutional and interdisciplinary National Working Group was a great success and it is possible that it continues its work in future.
4. The MARPOL 73/78 Convention becomes popular among private and public sectors and as a result there was much better national awareness regarding to how to deal with wastes generated by ships.

However, as it is mentioned in the ICR, there were some aspects where the project was neglectful mainly about training and support to implement the MARPOL 73/78 Convention.

I regret that the relationship World Bank-IMO was not as good as I could have wished, and I regret also that this situation takes the financing body to the decision of cancelling the project, but I understand the reasons the World Bank remarks. In this sense, I agreed with the steps to be taken for future similar initiatives.

Yours truly,


Ing. Jorge Hernández Chavarría
Director General Transporte Marítimo
Ministerio de Obras Públicas y Transportes



cc : Ing. Rodolfo Mendez Mata, Ministro de Obras Públicas y Transportes

REF:P195.10

Phone: (809) 440-3013



20th May, 1999

THE CARENAGE
ST. GEORGE'S,
GRENADA, W.I.

Orsalia Kalantzopoulos,
Director,
Caribbean Country Management Unit,
Latin America and the Caribbean Region,
The World Bank,
Washington D C 20433,
USA

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Dear Sir,

WCISW PROJECT - ICR FEEDBACK

Your letter dated 7th May 1999, referred.

We advise that, overall, we support the conclusions and observations of the Implementation Completion Report. However, we are of the view that while the Project may have served to highlight the importance of MARPOL, very little has actually been accomplished in terms of providing participating countries with the wherewithal necessary to implement provisions of the Convention. In this regard, we are not able to recommend that Grenada accedes to MARPOL without being able to provide reception facilities; further, no concrete progress has been made for the smaller island territories to be able to treat wastes (oil & chemical) or have them transported and treated elsewhere.

In relation to waste reception and treatment it had been expected that the Corbet & Holt report would have addressed some critical issues; this was not the case.

The legal component of the project was useful, but a great deal more needs to be done to ensure that modern legislation is in place to address pertinent issues. We had previously suggested that an attachment for the purpose - review of existing legislation, and drafting, including subsidiary legislation - was necessary.

We note and commend the work which was done to provide educational and promotional material; however, despite the existence of national focal points, no provisions were made to finance mass distribution at local level.

Finally, we do not recall being party to the Declaration which sought extension or continued funding of elements of the Project - in vain. Such an insensitive action seemed to have had little cognisance of project objectives.

Kind regards,

Yours faithfully,
GRENADA PORTS AUTHORITY

Ambrose Phillip,
General Manager.

AP/ab



COMISION NACIONAL DEL MEDIO AMBIENTE
PRESIDENCIA DE LA REPUBLICA
GUATEMALA

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494-99/AJP/LdcR/av.

Mayo 25 de 1999.

Señora.

Osalia Kalantzopoulos
Directora Caribbean Country
Management Unit Latin American and
the Caribbean Region
The World Bank Group, Washington, D.C. 20433, U.S.A.

Estimada señora Kalantzopoulos:

En referencia a su mensaje No. 368 de fecha 19 de mayo, previo a responder los tópicos que necesita enfocar en su publicación, nos permitimos comentarle que producto de la iniciativa The Wider Caribbean Initiative on Ship-generated Waste (WCISW) Project, Guatemala ratificó e implementó el Convenio MARPOL 73/78 con aceptable éxito, sobre todo en lo que al área de nuestro Caribe se refiere. Esta Comisión recibió de los coordinadores del proyecto y de las Autoridades de la Organización Marítima Internacional -OMI- suficiente apoyo, en el sentido de orientarnos en el proceso de certificación de las instalaciones de recepción en tierra. A este respecto vale la pena comentar que dichas instalaciones fueron producto de la iniciativa privada, pues surgieron 3 empresas que con inversión propia desarrollaron en Guatemala la gestión de recolección de hidrocarburos. Dicho lo anterior respondemos sus tópicos en la siguiente forma:

- 1) Sentimos que el proyecto WCISW concluyó prematuramente, pues la fase de implementación de la reglamentación ya no se dió, y tanto las Autoridades Ambientales como las empresas portuarias y los inversionistas privados resentieron la falta de continuidad en el proyecto, porque muchas de nuestras acciones tuvieron que ser tomadas por nosotros mismos, careciendo a la fecha de un plan nacional de contingencia en tal sentido.



COMISION NACIONAL DEL MEDIO AMBIENTE
PRESIDENCIA DE LA REPUBLICA
GUATEMALA

Creemos que una de las lecciones más importantes a extraer de lo anterior, es que los futuros proyectos concluyan tal y como fueron diseñados inicialmente, puesto que tanto nosotros como punto focal, como las restantes autoridades de la administración pública de los países a los que se involucra, tal el caso de empresas petroleras y Ministerio de Energía y Minas en Guatemala, estiman que es el punto focal quien condujo mal la finalización de sus acciones.

Guatemala al ratificar MARPOL 73/78 lo hizo sobre todos sus aspectos y únicamente está esperando que se distribuyan las condiciones de ratificación del anexo VI para pronunciarse sobre él.

Respecto a la implementación del Convenio MARPOL 73/78 total, queda pendiente la aprobación del reglamento del mismo, que se concluyó en Guatemala con apoyo de los peritos del Proyecto WCISW, pero que ante la conclusión abrupta del proyecto, dicho reglamento quedó en manos del Ministerio de Transportes, Comunicaciones, Obras Públicas y Vivienda de Guatemala.

Como nos referimos en el numeral 1, luego de la ratificación del Convenio MARPOL 73/78 empezaron generarse una serie de iniciativas privadas que permitieron su aplicación en puerto, pero también como en los otros incisos lo comentamos, para alcanzar una verdadera protección del medio marino en Guatemala y sobre todo en su litoral Caribe, se requiere tomar una serie más de medidas en aplicación de ese y otros convenios en materia marítima.

Atentamente,

A. JUÁREZ
Dr. - Ing. Adrián Juárez P.
Coordinador Nacional





COMISION NACIONAL DEL MEDIO AMBIENTE
PRESIDENCIA DE LA REPUBLICA
GUATEMALA

SUMARIO

El proyecto WCISW produjo en Guatemala una pronta ratificación del convenio MARPOL 73/78 en la totalidad de sus 5 anexos.

Produjo también la creación de iniciativas privadas para la recolección de desechos de hidrocarburos provenientes de los buques, su almacenamiento y tratamiento en tierra y posterior utilización en fábricas de cerámica y de cemento; CONAMA se benefició durante el transcurso del proyecto con asistencia técnica en el área de certificación de las instalaciones de recepción en tierra, evitando con ello que estas mismas se convirtieran en agentes contaminantes del medio ambiente restante.

Otras entidades o autoridades del estado tal como empresas portuarias y Ministerio de Energía y Minas, se involucraron en el proyecto ayudando a esta Autoridad Ambiental como punto focal, a exigir su implementación total en ambos litorales del país: Pacífico y el Caribe.

Desafortunadamente la terminación abrupta del proyecto impidió que se dieran las siguientes fases, tal como regimentación y desarrollo de una campaña de concientización en masa, produciendo incluso controversia entre las partes que se ayudaban mutuamente al desarrollo del proyecto en Guatemala.

Es de esperar, que tanto la OMI como el Banco Mundial continúen apoyando a CONAMA para poder implementar de una forma completa, tanto el Convenio MARPOL 73/78 como aquellos convenios de naturaleza resarcitoria en aspectos de contaminación del mar provenientes de buques.

Respecto a la evaluación del sumario, me quiero referir al punto VI, página 5 de su documento en el sentido que concordamos en que los 6 países del área que ratificaron el convenio requieren de capacitación técnica y legal en base a continuar esfuerzos ya realizados.



Maritime Authority of Jamaica

MAJ

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40 Knutsford Blvd
Kingston 6.

Tel. No. (876) 754-7250
Fax No. (876) 754-7256

1999 June 7.

Mr. Orsalia Kalantzopoulos
Director
Caribbean Country Management Unit
Latin American & The Caribbean
World Bank
Washington D.C 20433
U.S.A.

Dear Mr. Kalantzopoulos,

**RE: The Wider Caribbean Initiative on Ship-Generated Waste (WCISW) Project -
Implementation completion Report.**

Reference is made to your letter of 1999 May 7 requesting feedback on the report at caption. The Jamaican Government first of all wishes to take this opportunity to commend the World Bank for financing such a project.

It will be seen from the comments below that the WCISW Project provided a catalyst as well as guidance for Jamaica's efforts to upgrade its maritime legal and institutional framework. We were therefore very vocal in recommending that the project be continued, and much disappointed when it was terminated in 1998.

Below are comments and recommendations as requested:

1. Does the ICR's summary provide a complete and fair post project evaluation?

Certain administrative problems between IMO and the World Bank are alluded to in the Project summary which Jamaica and perhaps indeed many states involved in project, would not have been aware of and so would not be in a position to state whether they accurately reflected the situation or impacted negatively on the project significantly.

We however support the point made in (v) of the report. That given the involvement in the project of over 22 countries with two different legal systems and several different languages, the period allowed for completion of the project may have been optimistic.

This also reinforces the belief that the decision to close the project at the planned time was precipitous as it should have been manifest early in the implementation process that these characteristics of the target groups (legal and language barriers) would hamper timely Implementation.

In (vi) it was stated that which achievements were made in terms of ratification of the convention, that of the wider issues was less satisfactory. In this regard, observance of "agreed regional strategy and internalization of procedures necessary for long term sustainability" were cited. To say that these were not achieved during the allocated time is correct. It should however be noted that the last technical meeting held in Mexico City in September 1997 outlined such a strategy and states were to consider the proposals and make their response to the project. For e.g. it was proposed that Jamaica be a hub for oily wastes from Haiti.

In relation to Project output sustainability, Jamaica had also, based on the strategy developed by our national working group (NWG), sent a proposal to the WCISW requesting assistance to develop a waste management plan for implementation of the strategy including training of personnel. Thus the extension of the project as advocated by several states at the Tobago Legal Workshop in December 1997 may well have seen these project objectives attained.

2. What are the key lessons to be drawn from the WCISW for future projects?

- i. Ensure that National Focal Points are selected on the basis of operational efficiency by getting a response from each Host/Recipient Government.
- ii. Ensure that National Focal Points are not interchangeable or are likely function for the duration the project.
- iii. Ensure that a national working group is selected and functional and include representatives from all stakeholders in the Host/recipient country.
- iv. Require progress reports from NWG's and for Government at the highest level to ensure that the goals to be achieved are indeed achieved and achievable.
- v. Provide the avenue for review of project document if necessary and refocusing of methodologies and direction to ensure that project remains on target.
- vi. Require the project coordinating team to visit each country to assess and see first hand the effects of the project.

- vii. Ensure that the Public Awareness campaign is implemented by either making the arrangements with Media Houses directly or making a Budget available to the NFP's to host and coordinate workshops, make arrangements for seminars, engage the services of Media Houses etc.
- viii. Request a needs list from NFP's and Governments as to the types of assistance required legal and technical to what extent this should be inclusive of time frame and costs. This should be done at the beginning so that there would be an agenda and timetable for each country which could be coordinated regionally.

3&4 Current status of compliance and contribution in improving the protection of the environment.

Jamaica acceded to MARPOL and its five (5) annexes in 1990. Through the WCISW Project the following has been achieved in terms of implementation.

- i. After having ratified MARPOL 73/78 we were urged to finalize the enactment of modern Shipping legislation.
- ii. are in the process of preparing marine prevention Pollution Legislation
- iii. Ratified the CLC and Fund Conventions
- iv. Actively pursuing ratification of the OPRC Convention
- v. Established a Maritime Authority
- vi. Signed the Caribbean MOU on Port State Control and trained Ship Inspectors.
- Vii Sensitized sections of Jamaica Public to the importance of preventing marine Pollution.
- Viii Currently engaged in a feasibility Study to construct a Waste Reception Facility (WRF)
- ix The project was also timely in establishing a Multi Disciplinary National Working Group (NWG), through which we were able to see all other projects dealing with other aspects of Marine Pollution, coordinate the various bodies to avoid duplication and focus on our domestic capabilities for local Waste Management Systems.

Mr. O. Kalantzopoulos

Page 4

1999 June 07

Consequent on these achievements Jamaica is well poised to fulfill her obligations in collaboration with other states of the Wider Caribbean in facilitating the activation of the "special area" status of the Caribbean Sea under MARPOL 78/78 Annex V.

Yours sincerely,



Peter L. Brady
Rear Admiral (Ret'd)
Director General



GOVERNMENT OF SAINT LUCIA

MINISTRY OF FINANCE AND PLANNING

Government Buildings
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P.O. Box 709
Castries, Saint Lucia
West Indies

18th May, 1999

Ms Orsalia Kalantzopoulos
Director
Caribbean Country Management Unit
Latin America and the Caribbean Region
The World Bank Group
1818 Street N.W.
Washington DC 20433
USA

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Dear Ms Kalantzopoulos

The Wider Caribbean Initiative on Ship Generated Waste (WCISW) Project : Implementation Completion Report - Feedback from Beneficiary Countries

I acknowledge with thanks receipt of your letter dated May 7th 1999 and am pleased to provide the following detailed comments and summary as requested.

1. Evaluation of ICR Summary Provided

The ICR's summary does provide a complete and fair-post project evaluation. Additionally, we wish to highlight what we consider the main limitations of the project.

- * Did not focus on small craft and small marine facilities;
- * Did not address training needs;
- * Did not provide detailed cost-benefit analyses and specific cost-recovery mechanisms for the establishment of waste reception facilities;
- * Regional information network and discussion forum were not established;
- * Sensitization of decision/policy makers prior to project implementation was lacking;
- * Development of the legislative, administrative and institutional framework was lacking;
- * Outputs not sufficiently focussed at the national level;

- * Did not make enough use of qualified national and regional consultants and organizations;
- * Did not develop specific project proposals and options for donor support.
- * Countries were not given adequate opportunity to guide the direction of project activities;
- * Not enough linkages were made between Ship-generated wastes and existing/proposed plans for land-based waste management in the early stages.

2. Key Lessons to be Drawn from the WCISW for Future Projects

- * Projects such as these require a more holistic approach to ensure that all aspects are considered : incentives, markets, cost recovery, administration, enforcement, facilities, public awareness and political support;
- * Involvement of countries at the highest level in project conceptualization, implementation, monitoring and review is critical in ensuring government commitment to planned activities;
- * Although it was commendable to have a project involving all 22 developing countries especially in the sharing of experiences, major differences in legal, technical, political and administrative requirements of selected countries made project management very difficult;
- * Whereas mechanisms must be established to achieve wider sharing of information, project implementation may best be achieved at a smaller sub-regional level;
- * There is a need to develop project outputs that are clear and of practical benefits to participating countries.

3. Status of MARPOL 73/78 Ratification

The Government of Saint Lucia remains committed to the formal ratification of the MARPOL 73/78 Convention. The Ministry of Finance and Planning in collaboration with the St Lucia Solid Waste Management Authority, the St Lucia Air and Sea Ports Authority and the Ministry of Legal Affairs is in the process of finalizing legislation in a draft Marine Pollution Act that will effect the provisions of this convention.

Concurrently, the establishment of a Maritime Affairs Desk at the Ministry of Communications and Works will enable effective administration of the convention once signed. It is also anticipated that garbage reception facilities

will be installed at selected ports on the island by the end of 1999. Efforts are ongoing at the sub-regional level to address the problem of oily wastes.

4. Usefulness of WCISW Project

Generally, the Government of St Lucia benefited significantly from the project and activities undertaken while recognizing the deficiencies in project outputs especially as regards training. The following highlights some of the major benefits.

- The legal and technical reports have been an invaluable resource in the formulation of policy and programmes to handle ship-generated wastes;
- The package of public awareness materials produced were incorporated into a wider public education and sensitization programme in solid waste management at the national level;
- Though the formation of a National Working Group, the project generated extensive media and public interest on the issue of ship-generated waste and the importance of ratifying the MARPOL 73/78 Convention;
- The WCISW project was linked effectively in its later stages with the OECS Solid Waste Management Project in enabling a more integrated and holistic approach to waste management;
- It provided impetus to the development of legislation (Marine Pollution Act) and the appropriate framework (Maritime Affairs Desk) required to effectively administer and enforce the MARPOL 73/78 Convention and other related Marine Conventions;
- The technical outputs have provided useful guidelines to local solid waste management and air and sea ports authorities in determining the most appropriate reception facilities required.

5. Summary of Comments

The Government of Saint Lucia benefited significantly from the implementation of the Wider Caribbean Initiative on Ship-generated Waste Project (WCISW). Increased sensitization and public awareness of the problems associated with Ship-generated wastes coupled with an increased commitment to develop an appropriate institutional, administrative and regulatory framework have been some of the more significant benefits.

Difficulties in project administration and an inefficient working relationship between the World Bank and the IMO were reflected in some of the major deficiencies in project outputs. The lack of completion of training activities may have implications for effective administration and enforcement of the MARPOL 73/78 Convention.

Additionally, there is a need for greater input by countries in project conceptualization, implementation, monitoring and review. This should result in greater commitment to the project at the national level. When such multilateral projects are considered, greater effort must be made to involve national and regional consultants and organizations and where appropriate, develop specific activities at the sub-regional level with countries that have similar needs..

Yours sincerely


.....
BERNARD LA CORBINIERE
Permanent Secretary

CC/spi

**MINISTRY OF HEALTH AND THE ENVIRONMENT
GOVERNMENT OF SAINT VINCENT AND THE GRENADINES**

DATE: 23rd May 1998

REF:

FAX TRANSMITTAL FORM

TO: Orsalia Kalarizopoulos
Director
Caribbean Country Management Unit
Latin America
& The Caribbean Region.

FAX NO: 202 576 1494

FROM: Julian Caron
Chief Environmental Health Officer
Ministry of Health & The Environment
Kingstown,
ST. VINCENT.

FAX NO: 784 457-2684

Number of Pages (including this cover letter) (2)

SUBJECT: The Wider Caribbean Initiative on Ship-Generated Waste (WCISW)
Project. Re: Implementation Completion Report - Feedback from
Beneficiary Countries.

The following are my comments on the Summary Implementation Completion Report (ICR).

I am of the view that the ICR's summary is a fair and reasonable post-project evaluation but would like to highlight the following issues based on the four areas provided for comments:

- The need for a regional IMO office, staffed by the co-ordinator, supporting staff along with the following officials should have been anticipated and put in place.
 - (i) Two legal consultants/officers.
 - (ii) Two technical consultants/officers.

- Is it true to say that the Bank's COES project, Solid and Ship-generated Waste Management, was initiated drawing on the WCISW Project?

As far as I am aware, the COES Project was well in discussion and formulation before the WCISW Project became effective in 1994.

- The difficulties and difference in procedures between the IMO and the World Bank should have been anticipated and therefore the project should have been structured differently or appropriately.
- A major lesson learnt is the difficulty to get countries to agree on a particular course of action when each country has its own agenda which is sometimes hidden.
- St. Vincent and the Grenadines has already ratified Marpol 73/78 and accordingly, under the COES/SWM Project port reception facilities are being constructed. Additionally, the required Policy, Legislation and Regulations are to go before the Cabinet soon.
- The project has been useful in that the infrastructure to accept ship-generated waste is being put in place thereby improving the protection of the marine environment.



Mr Julian Caruth
Chief Environmental Health
Officer.