



SOPAC/GEF/IWRM/RSC.4/9

Date: 23th July 2011

Original: English

Fourth Meeting of the Regional Project Steering Committee
for the SOPAC/UNDP/UNEP/GEF Project:
*"Implementing Sustainable Water Resources and Wastewater
Management in Pacific Island Countries"*

Nadi, Republic of Fiji Islands, 30th July – 3rd August 2012

Lessons Learned to Project Mid-Term and Opportunities for Replication and Scaling-up IWRM in Pacific Island Countries

Summary

This document contains: 1) an analysis of lessons learned throughout the GEF Pacific IWRM Project; 2) a review of Mid-Term Reports' lessons learned identification and replication strategy components; 3) discussion of how capturing lessons learned through implementation informs replication strategy development; 4) an Evaluation Criteria & Self-Assessment Checklist for Replication Plan Development; and 3) recommendations for the improved and continued capture of lessons learned as well as suggested ways forward for replication planning. The RSC is invited to agree on the next steps for capturing lessons learned and developing replication strategies and plans.

Lessons Learned to Project Mid-Term and Opportunities for Replication and Scaling-up IWRM in Pacific Island Countries

INTRODUCTION

Replication, scaling-up, and mainstreaming are key elements of the logical framework matrix (logframe) developed for the GEF Pacific IWRM Project. A key target of the overall project logframe is:

*“1.2 Best IWRM and WUE approaches **mainstreamed** into national and regional planning frameworks by end of project facilitated by national IWRM APEX bodies, Project Steering Committee, Pacific Partnership, and PCU by month 60”*

The project logframe highlights seven categories of activities that would involve replication and scaling-up:

1. Incorporation of IWRM Principles into National and Regional Policy and Planning
2. Applying Lessons from IWRM Demonstrations to Enhance Water Resource Management
3. Incorporating Climate Concerns into Water Resource Management
4. Incorporating Gender Concerns into Water Resource Management
5. Incorporating Land Management Initiatives into Water Resource Management
6. Incorporating Disaster Mitigation Concerns into Water Resource Management
7. Rolling Project Level Indicators up into Higher Level Indicators

This document addresses category 2 (*Applying lesson from IWRM Demonstrations to Enhance Water Resource Management*) in detail; replication strategies and replication plans developed from the identification of these lessons learned should incorporate and address each of the other categories. The replication expectations of the project involve the capture of lessons learned from the demonstration projects for application elsewhere. Scaling-up indicates that results of demonstration projects will be used in the design and implementation of National IWRM Plans.

At the 3rd meeting of the Pacific IWRM Project's Regional Steering Committee, the Committee and GEF IWRM RPCU staff discussed the need to develop replication and scaling-up plans. The group worked through definitions of what those terms might mean for IWRM projects; the agreed upon definitions are included as Annex 1 to this document.

ASSESSMENT OF LESSONS LEARNED REPORTING AND REVIEW OF SCALING-UP STRATEGY DEVELOPMENT

1. ASSESSMENT OF LESSONS LEARNED REPORTING

1.1 BACKGROUND AND CONTEXT TO LESSONS LEARNED REPORTING

The Global Environment Facility's (GEF) Integrated Water Resource Management (IWRM) Project must report on its progress to the responsible GEF Implementing Agencies (United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP)) on a quarterly basis. As part of this reporting, the Project Coordinating Unit has requested that the participating countries submit quarterly reports; one component of those reports emphasizes the capture of lessons learned throughout the quarter.

This document contains an audit and review of lessons learned reporting through 2nd Quarter 2012. This audit includes an evaluation of the changes made to the reporting process after the previous audit conducted in July 2011. At the 3rd Regional Steering Committee meeting, the Committee made changes in the data collection process for lessons learned in order to streamline data collection and analysis. The reporting template was revised to highlight more important information and the number of lessons required per quarter was lowered from 2-4 to 1-2; that way, more time and attention could be spent on producing higher quality reports that can be shared with the greater IWRM community.

Prior to the 3rd Regional Steering Committee meeting (RSC), each country participating in the GEF Pacific IWRM Project effectively submitted 2-4 lessons learned per quarter; since the 3rd RSC, each participating country submits 1-2 lessons learned per quarter. It is anticipated that over the 5 year project there will be a significant data set of lessons learned generated. The mid-project evaluation

and redesign of lessons learned reporting was intended to make the end products as useful and straightforward as possible, both for direct project beneficiaries and for other IWRM practitioners. It is envisaged that other practitioners might look to these lessons learned for guidance when designing and implementing future projects in the Pacific or in other small island developing nations. This audit is a continuation of the mid-project evaluation and builds upon that analysis by incorporating all lessons learned data reported through July 2012.

1.2 LESSONS LEARNED EVALUATION – APPROACH AND DESIGN

After input from the Regional Steering Committee at their 3rd Annual Meeting in the Cook Islands, July 2011, the lessons learned reporting template was adjusted, as were the criteria used to evaluate the reports. It should be noted that this could have an impact on the trends analysis in terms of grades changing/improving over time. However, the minimal impact the change in grading structure might have on the overall trends was deemed secondary to the need to fairly evaluate each lessons learned report based on the new components. At the 3rd Regional Steering Committee of the Pacific IWRM Project, it was confirmed by the Committee that the primary goal of reporting on lessons learned was to produce 1-2 high quality pieces per country per quarter that clearly capture translatable lessons that can be shared both within the country programs and with the IWRM community at large. The adjustments made to the reporting template after that meeting were designed to better capture that information in a format that is easily translated into something publishable. The most current lessons learned reporting template is included in this document as Annex 2. Therefore, the lessons learned reports collected in the 4 quarters between the 3rd RSC Meeting in July 2011 and the 4th RSC Meeting in July 2012 were evaluated based on a slightly modified set of criteria selected with the end goal of producing publishable reports in mind.

Lessons Learned reports submitted from Inception thru the 3rd Regional Steering Committee Meeting in July 2011 were audited using the following criteria:

- *Has the author identified the correct main/sub theme? Should point to the root cause of the issue or success and not just the effects.*
- *Has the author correctly and clearly identified whether this was a success story or one that needs improvement?*
- *Has the author adequately described the expected and actual outcomes with enough information so that a reader who is unfamiliar with the project specifics can understand what happened?*
- *Has the author adequately reflected on what they should do differently or repeat in the future and listed all of the realistic options? Have they acknowledged their own mistakes and created a recipe for success through their suggestions?*
- *Has the author provided adequate, translatable advice for other IWRM practitioners to follow?*
- *Overall, has the author supplied sufficient, high quality data in their lesson so that it is accessible and useful to other IWRM practitioners?*

Using a Lessons Learned Grading Criteria Table and Marking Sheet (Table 1 below) developed for this process (see Table 2), each lesson learned report was then given a mark for each category (column) out of a possible total number of points (5th row). The number of possible points assigned to each category was based on what the Knowledge Sharing and Monitoring Facilitator deemed to be the relative importance of these categories to the lessons learned reporting process. The numbers of points were totalled out of 100 and then an equivalency scale was used to assign the final grade.

Table 1. Lessons Learned Grading Criteria Table (Inception through RSC3/July 2011)

Lessons Learned Review and Audit: GEF IWRM						
File Name:						
Year/Quarter Submitted:						
Themes Correctly Selected	Success / Failure Properly Selected	Expected Outcome Adequately Described	Actual Outcome Adequately Described	PMU Next Time Adequately Completed	Others Next Time Adequately Completed	Overall Quality / Effort
/10	/10	/15	/15	/20	/20	/(+/-)10
Total Score:						
Equivalency Grade:						

Total Scores were then translated to grades according to this equivalency scale:

90 – 100 = Excellent (Needs little to no improvement)

80 – 89 = Good (Needs only some improvement)

70 – 79 = Fair (Needs substantial improvement)

60 – 69 = Poor (Needs significant improvement)

0 – 59 = Unsatisfactory (Needs significant improvement)

Lessons Learned reports submitted after the 3rd Regional Steering Committee Meeting in July 2011 through the 4th Regional Steering Committee Meeting were audited using the following, slightly modified, criteria (**additions/changes highlighted in bold**):

- *Is the correct main/sub theme identified? Should point to the root cause of the issue or success and not just the effects.*

Grey Boxes to be completed by GEF PCU Office Staff Only:									
Lessons Learned Review and Audit: GEF IWRM									
File Name:									
Year/Quarter Submitted (YYYY/Q#):				Success (Y/N):			Needs Improvement (Y/N):		
Lesson Learned Evaluation Criteria (Project Staff – please keep these in mind when completing the form)									
Themes Correctly Selected	Success / Failure Properly Selected	Appropriate Keywords Selected	Lesson Clearly Identified	Issue/Event Clearly Described	Expected Outcome Adequately Described	Actual Outcome Adequately Described	PMU Next Time Adequately Completed	Others Next Time Adequately Completed	Overall Quality / Effort
/5	/5	/5	/15	/10	/10	/10	/15	/15	/(+/-)10
Total Score (/100):									

- *Has it been correctly and clearly identified whether this was a success story or one that needs improvement?*
- ***Are the appropriate keywords selected that describe this lesson?***
- ***Is the lesson that was learned clearly identified?***
- ***Is there enough background/description of the issue or event so that an outside reader has enough information to comprehend the lesson?***
- *Are the expected and actual outcomes adequately described and is there sufficient explanation as to how they were different or the same and WHY?*
- *Is there adequate reflection on what the Project Management Unit (PMU) should do differently or repeat in the future? Have all of the realistic options been presented? Have they acknowledged mistakes and created a recipe for success with recommendations for the future? **Does this identify the root causes of WHY things went wrong (or right)?***
- *Is there adequate, translatable advice for other IWRM practitioners to follow?*
- *Overall, is there sufficient, high quality data in their lesson so that it is accessible and useful to other IWRM practitioners? **Were the word count guidelines adhered to? Is the end-product comprehensible?***

Equivalency Grade:
Comments:

The Lessons Learned Grading Criteria Table and Marking Sheet was modified after the 3rd Regional Steering Committee (see Table 3). Each lesson learned report was given a mark for each category (column) out of a possible total number of points (5th row). The number of possible points assigned to each category was based on what the Knowledge Sharing and Monitoring Facilitator deemed to be the relative importance of these categories to the lessons learned reporting process. The numbers of points were totalled out of 100 and then an equivalency scale was used to assign the final grade.

Table 2: Lessons learned grading criteria and marking sheet (Post RSC3, July 2011-2012)

Scores were then totalled out of 100 and an equivalency scale (based on a US grading system) was used to give a final grade as follows:

90 – 100 = Excellent (Needs little to no improvement)
 80 – 89 = Good (Needs only minor improvement)
 70 – 79 = Fair (Needs substantial improvement)
 60 – 69 = Poor (Needs significant improvement)
 0 – 59 = Unsatisfactory (Needs significant improvement)

For evaluative purposes, Poor and Unsatisfactory marks were grouped together as Needs Improvement. It was recommended that unsatisfactory lessons should be revised. Lessons with grades between 70 -79 were marked as Average. Anything with a grade above 80 was marked as Good.

1.3 ANALYSIS OF TRENDS FROM LESSONS LEARNED REPORTING DATA

A total of 125 lessons learned reports were reviewed over the first seven quarters of the project (Q3 2009 through Q1 2011). Each lesson was evaluated according to the criteria listed above in Table 1. Results were recorded in separate MS Word documents to be submitted back to the in-country project staff for review and consideration. The data was also compiled into an MS Excel spreadsheet and analyzed to find trends in reporting data. An additional 50 lessons learned reports were submitted between RSC 3 and RSC 4 from July 2011 through July 2012. Of these, 39 were reviewed and analyzed and this information was incorporated into an expanded review and audit that encompasses all lessons learned reports submitted to-date (end Q2 2012). The information is represented here graphically to show the trends in data gathered through end Q2 2012. The 11 lessons that were not included in the evaluation were discarded because they were incomplete or needed special consideration and discussion with the Project Management Units. Continued lessons learned reporting is planned through month 60 of the 5 year project. The data for all figures is sourced from the GEF Pacific IWRM Project Ms Excel spreadsheet of compiled lessons learned data reporting as analyzed by the Knowledge Sharing and Monitoring Facilitator.

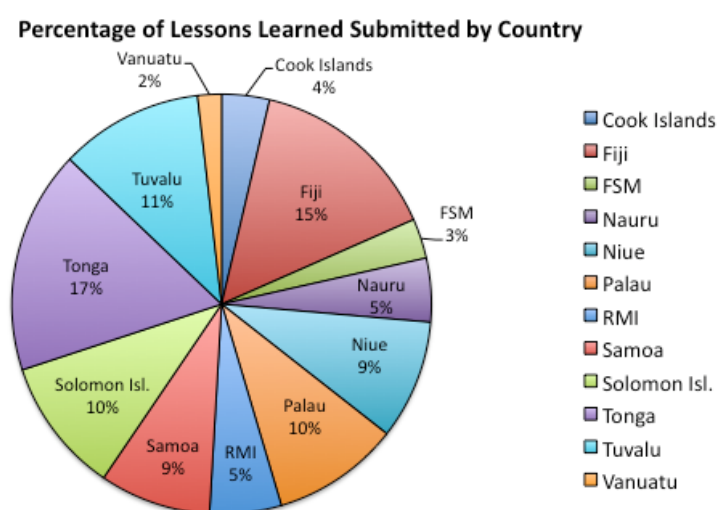


Figure 1: Percent of lessons learned submitted by country

Figure 1 shows the percentage of lessons learned submitted by each country; of the 164 lessons that were evaluated, 17% were submitted by Tonga and 15% by Fiji versus 3% submitted by FSM, 2% by Vanuatu, 4% by Cook Islands, and 5% by Nauru and RMI. It is important to note that there are inconsistent numbers of submissions across countries when analyzing the data for major reporting trends. Issues that might predominantly occur in Tonga or Fiji could be overrepresented in comparison with issues in FSM, Vanuatu, RMI or other countries; however, there was no way to account for this discrepancy.

Quality of Lessons Learned Throughout Project

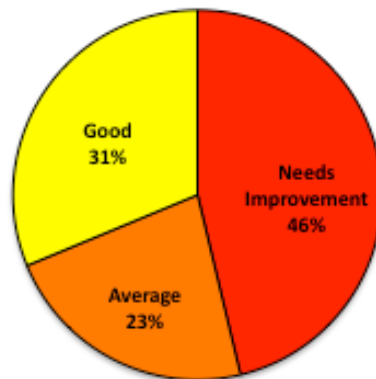


Figure 2: Quality of lessons learned submitted

Figure 2 shows the overall quality of lessons learned reporting. 46% of the lessons learned submitted scored a total of 69 points or less out of a possible 100 points, indicating that they need significant improvement before they can be shared or published. 23% of the lessons received average or satisfactory scores between 70 and 79 points and 31% received good scores between 80 to 100 points (N.B. These are graded on a US grading scale; numerical scores have been removed from Figure 2 to show equivalency across all grading systems). Nearly half of the reports need significant improvement, which will make it difficult to develop them into case studies that can be shared with the IWRM community.

Success Stories vs Needs Improvement

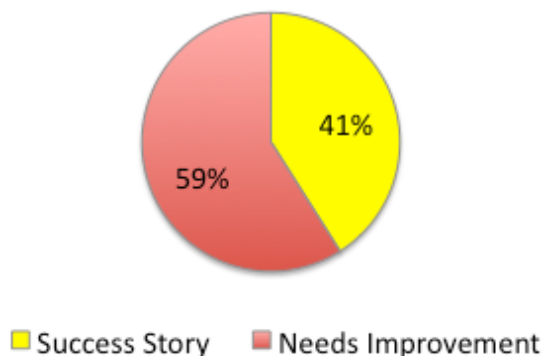


Figure 3: Percent of lessons learned reports highlighting success stories vs. the need for improvement

Figure 3 shows the percent of lessons learned reports documenting a success story versus the need for improvement. This might indicate that the PMUs are struggling with the realities of implementing pilot water management projects, or it might merely be a result of the way the lessons learned reporting template was designed. The template is designed to draw out recipes for success, so might inadvertently overemphasize areas that need improvement. Documenting lessons learned has been a learning experience in itself for PMUs, so perhaps this might also be a reflection of the capacity of the PMUs to report on lessons learned – it might be easier for the PMUs to think critically and self-reflect about what went wrong rather than what worked well. It could also be a result of a cultural tendency by Pacific Islanders to be modest and not overemphasize their own achievements.

Percent of Lessons By Theme

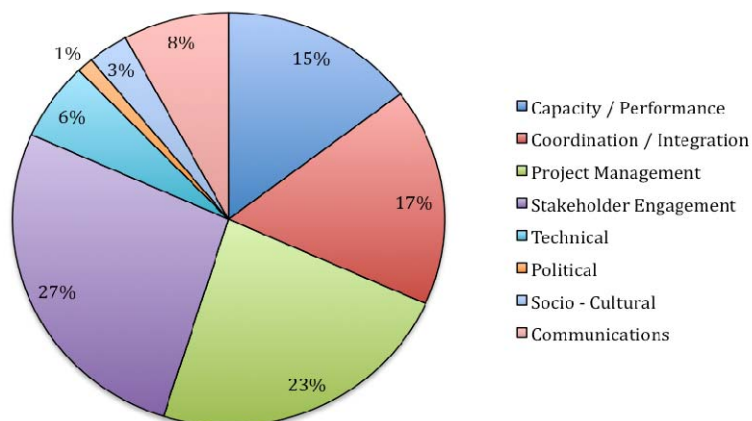


Figure 4: Lessons Learned by Theme

Figure 4 shows the percentage breakdown of each category of lesson learned. The majority of lessons submitted were about stakeholder engagement and project management, followed by capacity/performance and coordination/integration. This could be a reflection of the most immediate issues the PMUs had to tackle during implementation. From the first audit in 2011, it was clear that many of the capacity related issues had to do with having available human capacity and expertise in country to complete required technical and project management activities. It might be expected that focus of the lessons will shift as PMUs develop more experience and exposure to the realities of implementing integrated approaches to water resource management in small island contexts. For example, socio-cultural, technical, and coordination/integration issues will likely become more apparent to PMUs as they work to deliver on expectations built during project inception and as stakeholders become more accustomed to working in a multi-stakeholder setting.

Figure 5 on the following page compares the main themes of lessons learned across the 1st, 2nd, and 3rd years of implementation. Figure 5 shows a steady increase in the number of lessons learned about coordination/integration. The review of the lessons learned reports indicates that trend references the PMUs increasing awareness of the importance of collaborating with partners and the increasing difficulty they are facing keeping these partnering agencies engaged and motivated by the third year of the collaboration. Technical issues appear to have peaked in the first year, but are on the decline again by the third year, largely the result of the hire of outside expertise. Stakeholder Engagement and Project Management have consistently been issues throughout the project; Project Management issues saw a reprise in the 3rd year surrounding the project audits. Stakeholder Management issues have moved generally from successful engagement and collaboration in the early stages to finding creative ways to keep their stakeholders engaged and motivated by year 3.

It was originally anticipated that the initial focus on project management issues might lessen as the projects evolved and the capacity of the PMUs matured, shifting focus to more complex socio-cultural or political challenges. However, it is quickly becoming apparent that each phase of the project presents different project management issues, all of which might be considered learning experiences for the PMUs. Additionally, the lessons learned reporting itself is a newly learned reporting technique, so this emphasis on Project Management and Stakeholder Engagement could readily be a reflection of the way the PMUs are most comfortable and adept at presenting their reports.

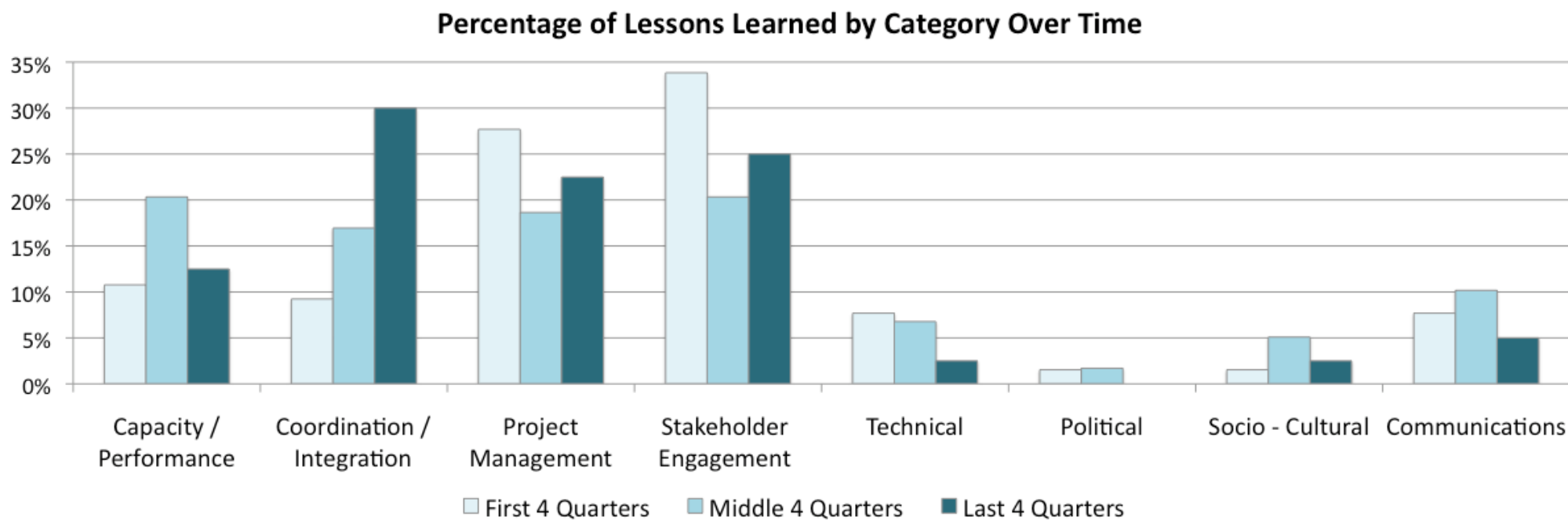


Figure 5. Change in Percentage of Lessons Learned by Theme Over Time

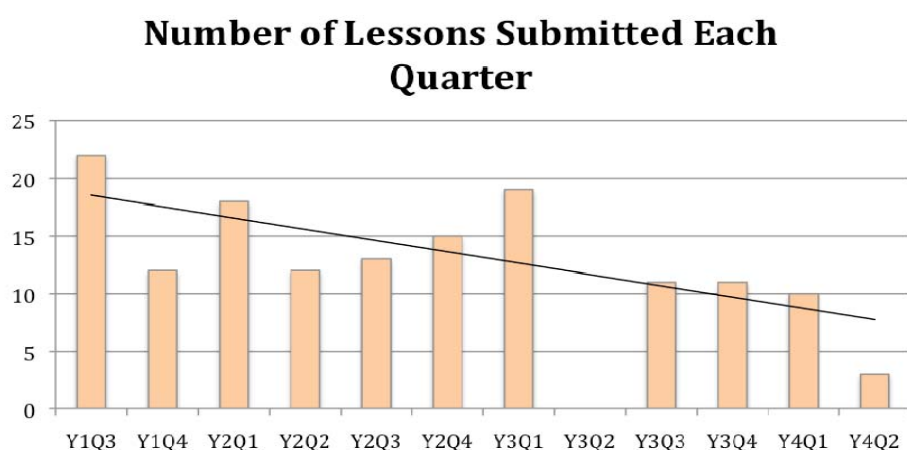


Figure 6. Trend in the Number of Lessons Learned Submitted Over Time

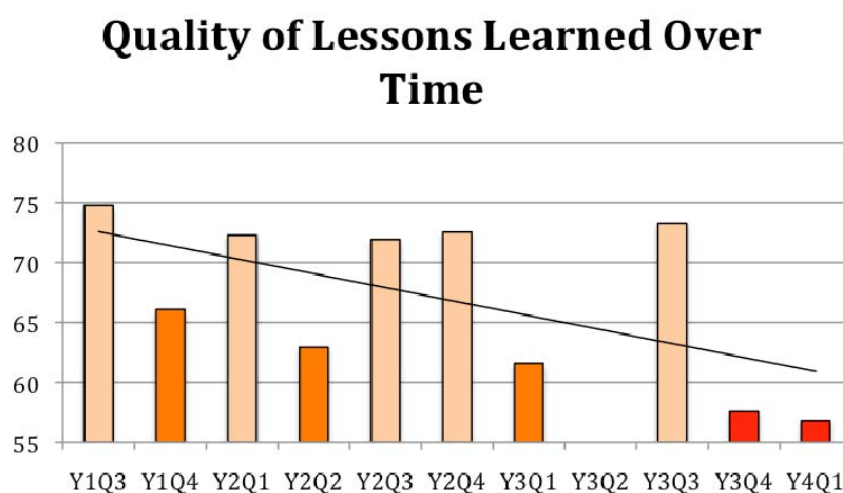


Figure 7. Trend in the Quality of Lessons Learned Submitted Over Time

Figures 6 and 7 above show the overall trend in the quantity of lessons reported over time, as well as the overall quality of lessons learned reporting. After the decision to reduce reporting requirements at the 3rd Regional Steering Committee Meeting in July 2011, a decline in the quantity of lessons learned reporting would be expected; however, the trend line shows the decline in participation commencing much earlier and is also reflective of the low participation rate by countries even after the reduced reporting requirements. After the decision to reduce reporting requirements, participation by countries was markedly low, many submitting only one report per year. It was anticipated that the year would generate 40-80 high quality reports with representation from all countries. Instead, 47 reports were received and of those 47 reports, 23 used an older reporting template than the one approved at the RSC that had been designed to highlight the most pertinent information for replication. Nearly half of the times that the countries that participate most frequently submitted reports, they ignored the adjustment in reporting requirements and submitted 3-4 reports each time. Several of the other countries slowed or stopped reporting altogether. This might be reflecting on the lack of support and follow up, as the GEF RPCU was unable to retain the Knowledge Sharing and Monitoring Facilitator in the year following the 3rd Regional Steering Committee meeting so the countries received no feedback or follow up on their reporting.

Figure 8 below shows the average improvement in scores for each evaluation category on the lessons learned reporting when PMUs submitted reports using the most up-to-date reporting template. This analysis includes only the 39 reports evaluated since the 3rd Regional Steering Committee meeting. PMUs not using the newer reporting template were less likely to clearly articulate what exactly the lesson was that they learned and how others might learn from their experiences. Conceptually, these areas have been the most challenging for the PMUs to capture through their lessons learned reporting, but also the most important areas to highlight should the Pacific IWRM Project wish to share its lessons learned with the greater IWRM community. Of the 39 reports evaluated, only a few countries submitted the bulk of these reports; for example, Fiji submitted a disproportionate amount of reports comparatively in the year between July 2011 and July 2012. Fiji has consistently scored higher on lessons learned reporting than other countries from the beginning; regardless of the template used, the PMU in Fiji has been consistent in articulating the lesson learned and how others can benefit from this knowledge. This improvement in scores might be influenced by the fact that Fiji, a high scoring reporter, contributed a disproportionately higher number of reports to this analysis.

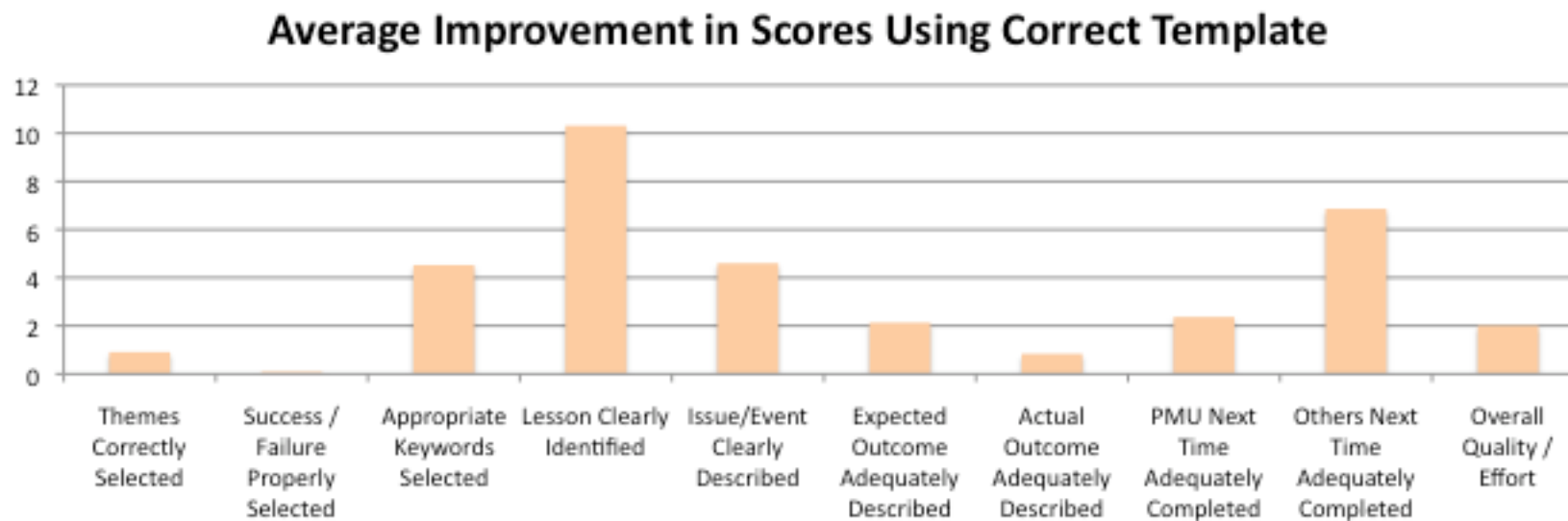


Figure 8. Average Improvement in Scores Using Correct Template (by evaluation category)

1.4 MAIN HIGHLIGHTS OF LESSONS LEARNED ANALYSIS

The main highlights of the analysis of the lessons learned reporting are listed below:

- The level of participation in lessons learned reporting is inconsistent across the countries; therefore, issues encountered in countries that report more frequently might be weighed more heavily than issues encountered other countries.
- In terms of overall quality of the reporting submitted, nearly half of the documents were found to be in need of improvement, generally lacking the level of analysis and reflection required to provide lessons for improved implementation.
- There is a general trend towards diminishing quantity and quality of reporting regardless of the decision by Regional Steering Committee to reduce reporting requirements at their 3rd Annual Meeting.
- Lessons learned reported using the most current template generally scored higher in key areas than those not in the proper reporting format.
- Project management and stakeholder engagement were the most frequent lessons learned reporting themes; over time the expectation that project management lessons would subside has not been realized, though there has been an increase in lessons about coordination with partnering agencies.

This evaluation should be revisited periodically throughout the project, as it will be interesting to see how priority issues and reporting capacity evolve over the project lifecycle. This 2012 review reaffirms that use of the refined reporting forms is ideal in highlighting meaningful experiences to share with the greater IWRM community through incorporation in replication planning.

2. CAPTURING LESSONS LEARNED TO GUIDE THE REPLICATION AND SCALING-UP OF IWRM IN PACIFIC ISLAND COUNTRIES

The primary reason for capturing lessons learned in IWRM project implementation is to create a framework for replication through shared learning. As demonstration projects are implemented, practitioners learn about what works well and what does not; they inevitably encounter issues with implementation and readily develop creative solutions. These lessons should be captured through “lessons learned” reporting so that valuable experience can be passed along to others – that way future projects do not have to make the same mistakes a second time, but instead can employ tried and true techniques. Towards the end of a project, managers can take a look back and identify key things they learned along the way that would benefit other practitioners – key learnings can be compiled into a list of best practice suggestions for repeating their successes, also known as *replication strategies*. If practitioners want to not only repeat the work, but implement it at a broader scale (i.e. going from village level implementation to island or nation-wide), they would frame this information as a *scaling-up strategy*. Replication and scaling up strategies are then brought together in a document with more detailed background information about the project’s successes, which eventually becomes a *replication plan*. These replication plans are used to guide implementation of IWRM projects to more efficiently achieve project goals. Figure 9 below shows the cyclic relationship whereby incorporating lessons learned from implementation into replication plans can inform both current and future IWRM projects.

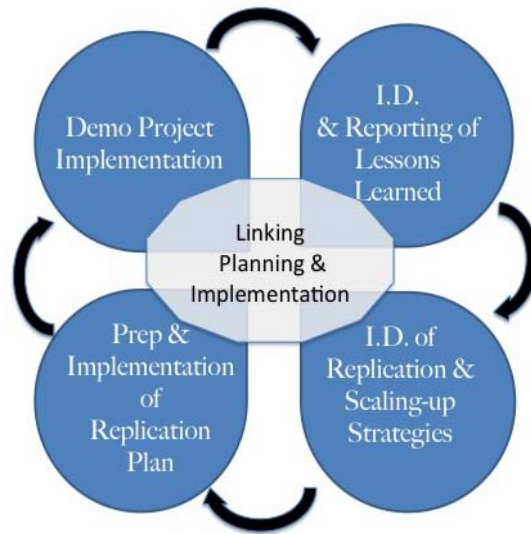


Figure 9. Links between replication planning and IWRM implementation

At the 3rd Regional Steering Committee Meeting the GEF IWRM RPCU introduced a Replication and Scaling-up Toolkit. Following that meeting, IWRM Planning Workshops were held in Nadi, Fiji and Koror, Palau in September 2011 to continue work on planning for replication. As part of their Mid-Term Project Reports, the countries were asked to identify key lessons learned for replication and to draft a preliminary Replication Strategy in the form of a matrix. These documents will be further developed into complete Replication and Scaling-up Plans beginning at the 4th Regional Steering Committee meeting to be held in Nadi, Fiji in July 2012.

3. REVIEW OF STATUS OF DEVELOPMENT OF REPLICATION & SCALING-UP STRATEGIES

Status of Identification of Lessons Learned for Replication & Development of Replication Matrix by Country				
Country	Identification of Lessons Learned for Replication	Replication Matrix Table		
		Appropriate LL's for each Theme	Costed	Estimated Timeframe
Fiji	Several key lessons identified for replication	Some lessons still need to be identified for several themes	Good detail; likely needs updating	Good detail; likely needs updating
Niue	Links between the two are unclear	Instead of a table, Niue included a replication guide for their village water management plans with incredible detail. It is costed with detailed estimates of timeframe and even includes a SWOT analysis and prioritization of the remaining villages to undergo the process. The Replication Plan was produced at the request of neighboring villages who witnessed the IWRM project's successes in Alofi North and South.		
Nauru	Missing	Missing	Missing	Missing
Palau	Identification of several good lessons for replication	Makes links to LL's though should likely be revisited	Needs more detail	Needs more detail
FSM	Missing	Missing	Missing	Missing
RMI	Identification of several good lessons learned - need to add lessons for some themes	Excellent table, need to add lessons for stakeholder engagement, capacity/performance, and project management	Needs more detail	Needs more detail
Vanuatu	Missing	Missing	Missing	Missing
Solomons	Missing	Missing	Missing	Missing
Samoa	Several key lessons identified for replication	Missing	Missing	Missing
Cook Islands	Missing	Missing	Missing	Missing
Tonga	Mention of previous work with composting toilets in other parts of Tonga; no lessons identified from the IWRM project itself	Need to select lessons for some themes	Needs more detail	Needs more detail
Tuvalu	Excellent connection between collection of lessons learned and replication! *Missing <i>Political</i> themed lesson	Missing	Missing	Missing

Figure 10. Status of Identification of Lessons Learned for Replication & Development of Replication Matrix

Figure 10 summarizes the review conducted by the Knowledge Sharing & Monitoring Facilitator of two sections of the Mid-Term Reports:

- *Capturing Lessons Learned for Replication & Scaling-up of IWRM Best Practice &*
- *Annex 8: Replication & Scaling-up Strategy*

Several countries were missing reports entirely, including: Nauru, FSM, Vanuatu, Solomon Islands, & Cook Islands. Several other countries had prepared only one part of the required task. Sections of Niue's, Tuvalu's, & RMI's reports were exemplary (highlighted in yellow), and have been included as Annexes 3, 4, & 5 to this document for reference. Conceptually, Palau identified good lessons learned to be considered for replication, however the links between those lessons and the replication strategy need to be made stronger, and the strategy itself needs more detail and consideration. Tonga, too, made strong connections to lessons learned but links need to be more clearly defined between those lessons and the replication strategy, which itself needs updating and more detail. RMI completed their Replication & Scaling-up Strategy Matrix, and although parts should be updated and more detail added, it is overall an excellent template for other countries to use. It should be noted that Fiji's Replication & Scaling-up Strategy Matrix was also exemplary, though will need to be updated as well. Tuvalu did an excellent job of identifying lessons learned and linking those with the idea of a replication plan. Niue had already produced an example replication plan for the Village Water Management Plans it had created in Alofi North and South at the request of other Village Chairpersons who had learned of the IWRM project's successes in country. This Replication Plan includes a detailed, costed strategy, with associated timeframes and even a SWOT analysis prioritizing remaining villages for the plan development. Tuvalu's Lessons Learned Identification, RMI's matrix, and Niue's Replication Plan are included in this document as Annexes 3, 4, and 5 for reference.

It is recommended that all countries revisit their Replication Strategy Matrix and update it, by first identifying key lessons learned for each theme throughout the project's implementation and then linking those lessons directly with replication strategies. The work from Tuvalu, RMI, and Niue (Annexes 3, 4, & 5) should be used as a guideline.

3.1 DEVELOPMENT OF CRITERIA FOR THE SELF-ASSESSMENT OF REPLICATION AND SCALING-UP STRATEGIES AND PLANS

In order to assist the PMUs in more fully developing their Replication and Scaling-Up Strategies and Plans, a list of criteria for self-assessment in the form of a short checklist will be presented. This is meant to help guide the PMUs as they revise and expand upon the preliminary plans drafted for the 3rd Regional Steering Committee (RSC 3) Meeting. A copy of the *Replication and Scaling-up Toolkit for IWRM in Pacific Island Countries*, which was prepared for RSC 3 is included here as Annex 6 and is meant to be used as a guide throughout the development process.

Of primary importance in developing these replication plans is the overall quality and level of reflection about how lessons learned through project implementation can be incorporated into replication planning or scaled-up to a regional, national or even international level. This requires a clear understanding of the concept of lessons learned, a significant level of familiarity with the major lessons learned through the project's implementation, and the ability to translate that into a strategy and plan for moving forward. The lessons learned reporting templates have been designed with the aim of capturing this important information and encouraging that reflection process. In addition to evaluating these plans for the overall quality and reflection on linking lessons learned with replication strategy development, they will also be evaluated for their level of completeness and written quality, as well as on a component-by-component basis. Lessons should be identified for each thematic area and the checklist in Figure 11 should be utilised throughout the development process to ensure completeness of the plan.

Evaluation Criteria & Self-Assessment Checklist for the Development of Replication Plans		
<input type="checkbox"/>	/5pts	Summary
<input type="checkbox"/>		Table of Contents
<input type="checkbox"/>	/15pts	Introduction
<input type="checkbox"/>		Background
<input type="checkbox"/>		Responsible persons identified
<input type="checkbox"/>		Timeframes/lines
<input type="checkbox"/>		Methods
<input type="checkbox"/>		Funding
<input type="checkbox"/>	up to 40 pts for Section	Body
<input type="checkbox"/>	/10pts	Lessons Learned ID for each thematic area
<input type="checkbox"/>	/20pts	Overall quality/reflection on Lessons Learned
<input type="checkbox"/>	/10pts	Sufficient links from Lessons Learned to Replication Strategies
<input type="checkbox"/>	up to 40 pts for Section	Action Plan
<input type="checkbox"/>	/15pts	Strategies Identified
<input type="checkbox"/>	/15pts	Tools Identified
<input type="checkbox"/>	/10pts	Audiences Identified

Figure 11. Checklist for Self-Assessment in the development of Replication Plans

By using the checklist in Figure 11, countries can be assured they are expending the most effort on the more meaningful sections of the report (those with higher scoring) and can check the list as they incorporate each component.

4. CONCLUSIONS

A preliminary analysis of lessons learned from the GEF Pacific IWRM Project conducted in 2011 resulted in the refinement of the reporting forms to ensure capture of more meaningful data. This 2012 review reaffirms that use of the refined reporting forms is ideal in highlighting meaningful experiences to share with the greater IWRM community through incorporation in replication planning. All lessons learned reporting to-date (July 2012) was analyzed to identify trends across the region. The analysis indicated that the majority of lesson learned reports being submitted need significant improvement in order to be shared with other practitioners, with an overall trend towards diminishing quality. Lessons learned reporting is inconsistent across countries; many lessons are submitted using outdated reporting templates, leaving large gaps in project data. Over time, project management and stakeholder engagement have been the areas of greatest learning reported, with learnings about coordination with other agencies increasing in frequency as the project progresses.

At the 3rd Regional Steering Committee (RSC) Meeting in July 2011, a peer review process was launched for the lessons learned reporting, designed to improve overall reporting capacity amongst project managers. However, the GEF IWRM Project was unable to retain the Knowledge Sharing and Monitoring Facilitator in the year between the 3rd and 4th Regional Steering Committee meetings, so this peer review process was not fully implemented and the countries did not receive programmatic support or feedback on lessons learned reporting. However, the countries and project staff recognize the importance of capturing lessons learned for replication planning. At the 3rd Regional Steering Committee Meeting in July 2011, the Committee discussed and agreed upon definitions for replication terminology (Annex 1) and emphasized the importance of identifying lessons learned for replication.

As part of the Mid-Term Reporting process, the countries were asked to identify key lessons learned for replication and develop draft matrices of replication strategies. These were meant to be developed fully into replication plans around the 4th Regional Steering Committee Meeting in July 2012. A brief audit of the lesson identification and replication strategy matrices showed that the majority of countries need to spend a significant amount of additional resources in preparation of these documents. To aid in this discussion, several important documents are included as annexes to this report:

- Annex 1. Agreed upon definitions of replication terminology;
- Annex 2. Current lessons learned template;
- Annex 3. Tuvalu's exemplary work in identifying key lessons learned for replication;
- Annex 4. RMI's exemplary replication strategy matrix;
- Annex 5. Niue's model replication plan for village water management planning; &
- Annex 6. the Replication & Scaling-Up Toolkit that was distributed at the 3rd RSC Meeting.

5. SUMMARY OF KEY ISSUES FOR CONSIDERATION BY THE RSC

This analysis of lessons learned reporting highlights several key issues, which the RSC may wish to consider, including:

5.1 FOR LESSONS LEARNED REPORTING

1. Retaining programmatic support at the RPCU level for lessons learned capture and refinement. The review of lessons learned reports indicates that many of the countries would clearly benefit from ongoing support for this aspect of reporting.
2. Each country to produce a minimum of one publishable lesson learned within the calendar year.
3. Emphasis on renewed participation and adherence to RSC3 guidelines for reporting: only 1-2 lessons per country, but all countries MUST participate and use latest reporting template).
4. Every lesson learned submitted from each country since inception has been graded with extensive feedback written for each document. Would countries benefit from looking at individual write-ups summarizing their particular areas of strength/weakness and suggestions

for improvement and from receiving copies of their individual lessons learned with grades and feedback? If so, someone would have to review comments by country and compile a brief overview for each - all documents have already been graded.

5. Analysis of lessons learned should be conducted annually to identify trends in data.
6. All new lessons should be evaluated and feedback given to countries along with an opportunity for revision. Additionally, each new lesson should be incorporated into the Excel spreadsheet database for lessons learned.

5.2 RECOMMENDATIONS FOR REPLICATION PLANNING

7. Draft replication plans will be due by 30th November 2012.
8. It is recommended that all countries revisit their Replication Strategy Matrix and update it by:
 - a. first identifying key lessons learned for **each theme** throughout the project's implementation, and then
 - b. linking those lessons directly with replication strategies. The work from Tuvalu, RMI, and Niue (Annexes 3, 4, & 5) should be used as a guideline.
9. The RSC should reapprove the Replication & Scaling-up Toolkit as the preferred method for developing Replication Plans. The checklist in Figure 11 should be utilized as an aid in developing those plan and ensuring their completeness.
10. The RSC should consider different avenues for sharing the replication plans within the project, regionally, within GEF, and with the global IWRM community.

ANNEX 1. DEFINITIONS OF REPLICATION TERMINOLOGY AS APPLIES TO GEF IWRM PROJECTS

SOPAC/GEF/IWRM/RSC.3/3

Annex 10

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Table 1 Dictionary definitions and their proposed application to the replication, scaling-up, and mainstreaming of IWRM planned as part of the Pacific IWRM Programme

Dictionary Definitions	IWRM Interpretation	Pacific IWRM Definition	Example Actions
Replication			
<p>Cambridge Dictionary - Replicate "to make or do something again in exactly the same way"</p> <p>Oxford Dictionary - Replicate "to copy something exactly"</p>	<p>The application of a copy of a successful water resource management model, approach, strategy, technology, or communications tool at the same or another location</p>	<p>"The activity of copying the specific features of a water resource or wastewater management approach that made it successful in one setting and re-applying these as part of an Integrated Water Resource Management process in the same or another setting"</p>	<ul style="list-style-type: none"> • Using the design of a composting toilet developed in Tuvalu for use in installing toilets in Tonga or RMI • Using the structure and ToR for an IWRM Committee in one watershed and applying it to another
Scaling-Up			
<p>Cambridge Dictionary - Scale "the size or level of something"</p> <p>Oxford Dictionary - Scale "the size or extent of something, especially when compared with something else"</p>	<p>Scaling-up is broader than replication. May involve: Increasing the geographic scale by applying a successful pilot activity to an entire watershed or island/atoll, or Increasing the policy scope of IWRM by using a successful approach to influence policy, development, & funds Increasing the institutional scale of IWRM by applying activity involving a small subset of community at whole community level</p>	<p>"The activity of increasing the process, stress reduction, and environmental state impacts of successful water resource or wastewater management approaches via their application at broader geographic, policy and planning, and institutional scales as part of an Integrated Water Resource Management process"</p>	<ul style="list-style-type: none"> • Using the pilot composting toilet activity in Tuvalu and applying it at a whole of atoll level • Applying a payment for ecosystem services scheme from one State to whole-of-country • Using results of demonstration projects to influence national coordination, policy, and legal frameworks (e.g. Micronesia)
Mainstreaming			
<p>Cambridge Dictionary - Mainstream "considered normal, and having or using ideas, beliefs, etc which are accepted by most people"</p> <p>Oxford Dictionary - Mainstream "the ideas and opinions that are thought to be normal because they are shared by most people; the people whose ideas and opinions are most accepted"</p>	<p>Making Integrated Water Resource Management (IWRM) principles and priorities "normal" or "mainstream" in how individuals, agencies, and organisations responsible for the planning and financing of water and wastewater management conduct their business</p>	<p>"A service function of an Integrated Water Resource Management (IWRM) process which involves making IWRM principles and priorities central to the work of Planning Departments, Finance Ministries and Treasuries, and Cabinets in planning and resourcing actions to improve water supply, secure access to safe water and sanitation, and manage the environmental aspects of water supply and wastewater"</p>	<ul style="list-style-type: none"> • Harmonisation of sectorial policies and legislation relating to water and sanitation under an IWRM framework by engaging in the national planning cycle • Streamlining government expenditure on water and sanitation through provision of advice to Treasury at various stages of the budget cycles on priority needs and costs of the water and sanitation sector

LESSONS LEARNED

ANNEX 2. CURRENT LESSONS LEARNED REPORTING TEMPLATE

GEF-PACIFIC IWRM PROJECT

LESSONS LEARNED

Purpose

The national GEF-IWRM demonstrations are piloting the IWRM approach throughout the Pacific. One purpose of a pilot is to learn lessons about what works well and what does not work so well. Lessons can be successes for repeating or issues for improving. They can be about processes (how things were done) or products (outputs). By analysing our experiences and documenting these lessons, other IWRM practitioners can learn from our experiences, build on our successes, and (hopefully) avoid the difficulties that we had. Replication of the IWRM approach in other districts, regions or country-wide will then start from a stronger base.

Process

Think about lessons learned during the quarter about IWRM implementation that can help other practitioners. This lesson could be:

- **A successful implementation experience
- **Something that did not work so well and where planning or actions would need improvement if the same activity was approached a second time

For each lesson, analyse what contributed to the success or the lack of success. ***Make clear recommendations for the steps that others should follow to repeat the success or to improve upon the outcome.***

** Select one Main Theme and one Sub Theme from the lists provided or enter your own theme in the space provided. ***A description of each of the 8 identified themes has been provided below for clarification.***

- ** Enter the Year and Quarter Submitted and Select whether the Lesson you are presenting is a success story or one that needs improvement.
- ** Select up to 5 keywords from the list or enter your own in the space provided.
- ** Describe, in detail, the lesson learned, the issue/event, and the expected outcome vs actual outcome.
- ** Analyse what the PMU could have done differently to correct the situation, or what they did successfully to ensure the positive outcome.

** Provide recommendations and advice for other IWRM practitioners unfamiliar with this project.

Major Themes

CAPACITY/PERFORMANCE

Human capacity in terms of ability, availability, technical knowledge (training required), or willingness to perform required tasks; Performance in terms of attendance, active participation, and delivering on commitments

COOPERATION/INTEGRATION

Willingness or ability of agencies, people, organizations, and communities to work together across sectors, to coordinate their actions and activities, to collaborate, and to share knowledge freely

PROJECT MANAGEMENT

Management and oversight of administrative tasks, project staff, building partnerships, leading project tasks, scheduling, budgeting, reporting, communicating, etc

STAKEHOLDER ENGAGEMENT

Engagement with all relevant stakeholders from Community to Cabinet (including minority and marginalized groups, all levels of government, NGOs, business, agriculture, etc), raising awareness, generating project support and buy-in, active and equitable participation

TECHNICAL

Availability of technical expertise to complete construction, scientific surveys, IT support, graphics and multimedia advertisement etc as necessary

POLITICAL

Political constraints that either enhance or limit project functions

SOCIO-CULTURAL

Traditional customs/behaviours that impact the project, i.e., equal participation/representation across genders, taboos, ideas about sanitation and hygiene, traditional land ownerships rights, tribal histories, etc.

COMMUNICATIONS

Sharing information freely in the appropriate languages and formats so that it is accessible to and understood by intended audience, effective communication with partners, staff, project team, RPCU

GEF-PACIFIC IWRM PROJECT
LESSONS LEARNED

Country: _____ Prepared by: _____
Year: _____ Quarter: _____

Main Theme: *Select 1 theme by double-clicking on box to the left of the appropriate theme name -*

Under default value select "Checked"

- | | |
|---|---|
| <input type="checkbox"/> Capacity / Performance | <input type="checkbox"/> Technical |
| <input type="checkbox"/> Coordination / Integration | <input type="checkbox"/> Political |
| <input type="checkbox"/> Project Management | <input type="checkbox"/> Socio – Cultural |
| <input type="checkbox"/> Stakeholder Engagement | <input type="checkbox"/> Communications |

Other: (if other, enter your own Main Theme here) _____

Sub Theme:

- | | |
|---|---|
| <input type="checkbox"/> Capacity / Performance | <input type="checkbox"/> Technical |
| <input type="checkbox"/> Coordination / Integration | <input type="checkbox"/> Political |
| <input type="checkbox"/> Project Management | <input type="checkbox"/> Socio – Cultural |
| <input type="checkbox"/> Stakeholder Engagement | <input type="checkbox"/> Communications |

Other: (if other, enter your own Sub Theme here) _____

Recipe for Success or What to Avoid?: *Select whether this lesson tells about something that went well or whether this is a lesson about something that went wrong, differently than expected, or just didn't work, and the course of action to ensure a better outcome. Then, if necessary, explain the reasoning behind your decision.*

Success Story: Y/N

Needs Improvement? Y/N

(Optional): Why: _____

Grey Boxes to be completed by GEF PCU Office Staff Only:									
Lessons Learned Review and Audit: GEF IWRM									
File Name:									
Year/Quarter Submitted (YYYY/Q#): 2012 Q1				Success (Y/N): Y			Needs Improvement (Y/N): N		
Lesson Learned Evaluation Criteria (Project Staff – please keep these in mind when completing the form)									
Themes Correctly Selected	Success / Failure Properly Selected	Appropriate Keywords Selected	Lesson Clearly Identified	Issue/Event Clearly Described	Expected Outcome Adequately Described	Actual Outcome Adequately Described	PMU Next Time Adequately Completed	Others Next Time Adequately Completed	Overall Quality / Effort
/5	/5	/5	/15	/10	/10	/10	/15	/15	/(+/-)10
Total Score (/100):									
Equivalency Grade:									
Comments:									

Keywords: *Select up to five (5) keywords by double-clicking on box to the left of the word - Under default value select "Checked"*

- | | | |
|--|---|--|
| <input type="checkbox"/> Adaptability | <input type="checkbox"/> Gender | <input type="checkbox"/> Project Management |
| <input type="checkbox"/> Awareness Raising | <input type="checkbox"/> Human Capacity | <input type="checkbox"/> Recruitment |
| <input type="checkbox"/> Capacity Building | <input type="checkbox"/> Incentives | <input type="checkbox"/> Reporting (Logframes etc) |
| <input type="checkbox"/> Collaboration | <input type="checkbox"/> Information/ Knowledge (Sharing/Access/Management) | <input type="checkbox"/> Stakeholder Engagement |
| <input type="checkbox"/> Communication | <input type="checkbox"/> Integration | <input type="checkbox"/> Steering Committee |
| <input type="checkbox"/> Community Consultation/Engagement/ Participation | <input type="checkbox"/> Leadership | <input type="checkbox"/> Technical Expertise |
| <input type="checkbox"/> Coordination | <input type="checkbox"/> Monitoring/Evaluation | <input type="checkbox"/> Time Management |
| <input type="checkbox"/> Cultural traditions | <input type="checkbox"/> Ownership | <input type="checkbox"/> Traditional Governance |
| <input type="checkbox"/> Event (Workshop/ Survey/ WorldWaterDay/ Exhibition) | <input type="checkbox"/> Participation | <input type="checkbox"/> Transparency |
| | <input type="checkbox"/> Partnership | |

- | | |
|----------------------------------|--|
| <input type="checkbox"/> Funding | <input type="checkbox"/> Performance |
| | <input type="checkbox"/> Planning/Scheduling |

Other: (if other, enter your own keyword(s) here) _____

NOTE: Word ranges are estimates. Feel free to write more, but try not to write much less.

Lesson Learned: (about 20-30 words) *Ask yourself: What is the lesson that I learned through my implementation efforts? Answer that question in one summary line here.*

Issue/Event: (about 75 words) *Provide a description and background information about the issue or event that you will be analysing. What is the IWRM project aiming to do and how is this event important to the overall implementation of the IWRM project? What was the purpose of the event (in the context of the project)? Be careful to avoid using abbreviations for the benefit of those unfamiliar with the project and local organizations. Remember that others reading this might not know much about the particular project you are working on.*

Expected Outcome: (about 100 words) *Explain what you expected or hoped would happen. WHY did you expect things to work out that way? What evidence, knowledge or experience do you have that lead you to believe this was the expected outcome?*

Actual Outcome: (about 150 words) *Explain what actually happened, giving details about HOW and WHY things happened the way they did. If applicable, explain HOW and WHY the actual outcome differed from what you expected or hoped would happen.*

What PMU would do next time [to repeat the success or improve on the outcome]? Decide which scenario (A/Success or B/Needs Improvement) most accurately represents what happened and then respond to the associated instructions/questions. (about 200 words)

Scenario A/Success: Everything happened according to plan. Explain what the key factors were in achieving the success (actions/components/steps/people/events etc). What efforts did the PMU (or others) make to achieve this goal? What worked so well and WHY? What specific steps would you take to repeat this success in the future?

In retrospect, was there any alternative method that might have worked better? If yes, what would have been different or improved and what would you have to have changed?

*Scenario B/Needs Improvement: Things did not turn out as expected. Think of the root causes of WHY things went wrong and then list of all of the things that the PMU could have done, in retrospect, to avoid these mistakes. The key to this exercise is identifying the root causes of WHY things went wrong to make sure your suggestions get at the heart of the issue. Be **creative** but **realistic** and think of as many realistic suggestions as possible!*

What advice can you offer to other practitioners (who might be unfamiliar with the details of your project)? What should they do next time [to repeat the success or improve on the outcome]? (about 200 words)

Now that you have all of this great experience, you can share your advice for how to succeed, or for what mistakes to avoid, with other IWRM practitioners around the world. Assume that the other practitioners are unfamiliar with your particular project work and describe the key things they should consider when implementing similar projects.

ANNEX 3. TUVALU'S IDENTIFICATION OF LESSONS LEARNED FOR REPLICATION

7. Capturing Lessons Learned for Replication and Scaling-up of IWRM Best Practice in Tuvalu

Key Lessons Learnt

Below, ten lessons learnt have been highlighted as being of particular value to the development of the project. Five lessons are categorised as negative, five as positive: In the negative category, the activity was unsuccessful in meeting its target aim and so is followed by recommendation for improvement which were highlighted through the evaluation process. Similarly, in the positive category, activities resulted in a positive outcome and were evaluated to highlight the root of their success and provide recommendations for replication.

IWRM Tuvalu project feels that the process of writing Lessons Learnt has as much if not greater importance to the project staff evaluating their activities as potential readers looking to replicate activities. This is due to the nature of reviewing and assessing activities highlighting issues which may otherwise be overlooked.

Negative

Poster competition

- Poor response to poster competition
- Chose groups who can easily be contacted and have a controlled setting such as schools. Select and age group who will be interested in the competition, regardless of the prize. Gain support of the school/teacher (or other) that you are engaging.

Community Awareness Workshop

- Low attendance
- To ensure good attendance, ensure events organised by the project do not clash with other local events and ensure plenty of notice is given to the community.

Purchase of materials

- Some materials ordered for the construction of ten composting toilets was inaccurate with an excess of some materials and not enough of other.
- Do not rush architects in ordering materials and request SOPAC keep funds flexible to accommodate for miscalculations of materials needed for demonstration aspect of the project.

Construction of Composting toilets on Family owned land

- Some members of the Kaitasi (Family elders) opposed the construction of composting toilets
- Consider land issues before proposing construction. Create awareness with the Kaitasi. (This should be done prior to applications being made and objections raised so that it does not appear forceful or put unwanted pressure on the Kaitasi).

World Water Day (Week) 2011

- Breakdown in organisation, communication and an overload of activities making management of week difficult.
- Nominate ONE events coordinator to oversee all activities and improve communication. Do not be too enthusiastic in number of activities.

Positive

Financial Reporting

- Sending endless scanned copies of receipts and invoices on the internet is time consuming and painful
- Putting all scanned financial information on a Flash Drive and sending it to SOPAC via the Diplomatic Bag has been a big help saving a lot of time and frustration. We recommend all projects do the same.

World Water Week 2011

- Community gained understanding and experience of water related issues in Tuvalu and were introduced to Composting Toilets and climate change.
- Good communication with other departments and stakeholders is vital in organising week long events such as this. The support of the schools was greatly appreciated.
- Make sure events are interesting and fun-packed as well as informative.
- Imaginative activities and interesting workshops also helped keep the interest of students and other participants. The light hearted competitive aspect of Primary Challenge especially maintained the interest of families and the community; As well as encouraging the interest of outer island communities.

Compost Toilet RoadShow

- The Compost Toilet RoadShow was held to showcase composting toilets to the community. The intention of the RoadShow was to access vulnerable members of the community who are otherwise difficult to reach.
- Make sure events address community concerns, are interesting and fun-packed as well as informative.
- Showcasing the product is a sales technique often used. In the case of composting toilets many people had negative preconceptions. The angle of the RoadShow was to dispel all negative preconceptions of composting toilets and emphasise the benefits. It is essential the product (pilot compost toilet) is well made and forms a positive impression.

Community Awareness Workshop

- Members of the community noted behaviour patterns as being responsible for much pollution (as well as septic tanks).
- Good communication with community is important, allow community to voice opinions and concerns. To increase interest, community could be made aware of issues prior to the workshop through various activities and through radio broadcasts announcing the workshop.

Environment Awareness Community Workshop

- Community gained better understanding of environmental and fishing impacts of water issues in Tuvalu
- Collaborate with specialists to give their opinion and scientific support to the project statements. Ensure all facilitators agree on all issues before community discussions take place.

Experiences of twinning/sharing with other projects.

In twinning with the PACC Tuvalu project, many benefits include cost sharing (of office space and equipment) and sharing promotional and awareness raising efforts. It is suggested that other projects would have much success and benefits should they attempt the same.

PACC It was decided early on that the IWRM Tuvalu and Pacific Adaption to Climate Change (PACC) Tuvalu projects should twin and form a loose partnership to help ensure the success of the projects. PACC Tuvalu considers water management as its adaption to climate change and many elements of its original outputs including: a water section of a Climate Change Policy and construction of

Composting Toilets, mirror IWRM Tuvalu's outputs.

PACC and IWRM established offices together at the Water Sector site in spite of PACC falling under the Environment Department. Twinning included the sharing of costs for internet access and office equipment such as photocopiers and air conditioning. Both projects are governed by the National Water Sanitation Steering Committee (NWSSC) and share meeting and administration costs and work. In considering community and stakeholder engagement, IWRM collaborated with PACC to form a Communication Committee and many engagement and awareness raising activities were developed and realised in partnership, sharing costs and outputs.

IWRM supported PACC developing the National Climate Change Policy, similarly, PACC is supporting IWRM in developing its Water Act and Policy. PACC also sits on IWRM's Technical Committee.

It is recommended that related projects (not only IWRM and PACC Pacific) twin in this manner as much as possible to encourage synchronisation of activities and outputs, better communication between projects, government agencies and policy makers and most importantly; a clear concise message to communities and stakeholders increasing the projects validity and effectiveness.

ANNEX 4. RMI'S REPLICATION STRATEGY MATRIX

Annex 7 Draft Replication and Scaling-Up Planning for the Republic of the Marshall Islands National IWRM Demonstration Project

The following table summarises preliminary planning of replication and scaling-up strategies undertaken by the Laura Lens Committee. It is planned that this will be discussed and elaborated further during 2012 as further experiences are gained and lessons learned in the implementation of targeted stress reduction activities and national IWRM policy and planning.

Lesson	Audience(s)	Scale	Applicability of Lesson	Replication Tool(s)	Time frame	Cost
Coordination/Integration						
Operation of IWRM demo activities and policy and planning initiatives in parallel with close coordination	National Governmental Agencies	National/Regional	Effective in sharing of information between two project Key Areas: Community engagement On the ground trial and error informing policy development	Lessons learned report	2012	
Establishment of the Laura Advisory Sub-Committee	National Governmental Agencies Other outer island resource management groups, Community Groups/NGO/Civil Society	Community /National	Effective in sharing of information between lead agency, PMU and the main community to increase sense of ownership in demonstration activities and overall objectives Key Areas: Community engagement Communication/sharing of information with the other stakeholders	Through other National Governmental Agencies: Media Demonstration site Presentations at National, Regional and International fora Communities; Presentations/Consultations	2011-2012	
Technical						
Water Quality Monitoring (expanded water parameters to include testing for metals, formaldehyde)	National Governmental Agencies and Ministries	National	Water Quality Monitoring Program expanded to include parameters for heavy metals, formaldehyde, pesticides	Public Awareness Campaigns, Publishing Results of recent testing at demo sites	2011	
Political						
Appointment of RMI's First Lady Hannah Zedkaia as National Water/Sanitation Champion	Traditional Leaders National Governmental Agencies Community Groups/NGO/Civil Society (Laura Community)	Community /National/Region	Generally instructive to engage high level Political support, engaging Traditional Leaders to support water initiatives. Ensures active participation of Government/Traditional representatives in meetings. Key areas: Community Participation Push for Government Support for local initiatives (particularly water) Engaging Traditional Leaders support	Through other National Governmental Agencies • GEF IWRM internet • Laura IWRM Website • Conference/RSC presentations Media Demonstration site Presentations at National, Regional and International fora Communities; Presentations/Consultations		

				Project Managers <ul style="list-style-type: none"> • Resource package • Regional Project Reporting • Conference Presentation(s) 		
Socio-Cultural						
Laura Case Study – Community Governance	RMI EPA/ RMI National Water Taskforce/PMU/NGOs /National Government/Students/ General Public	Community /National	Generally useful to understand ('soft' and 'hard') Traditional Governance, Leadership, and Land Tenure. Identification/secure traditional consent through establishment of a 'network'	Community Workshops (i.e. community engagement plans, Stakeholder Engagement Analysis/Plans Policies/Legislations /Regulations supported by traditional leaders. Project Managers <ul style="list-style-type: none"> • Resource package • Regional Project Reporting • Conference Presentation(s) 		
Communications						
Laura Water Lens Learning Center in the Laura Area to assist with promotion of demonstration project and dissemination of information materials	RMI EPA/ RMI National Water Taskforce/PMU/NGOs /National Government/Students/ General Public	Community /National	Helpful to establish a network of interested local journalists for Support/Promotion of local initiatives through media; television, newspaper, radio. Setting up a 'hub' in the community to maintain strong 'presence' and to maintain good communication between key stakeholders.	Media Demonstration site Presentations at National, Regional and International fora Communities; Presentations/Consultations Project Managers <ul style="list-style-type: none"> • Resource package • Regional Project Reporting • Conference Presentation Exhibition materials for the Learning Center, including: learning displays (e.g. posters), interactive database/DVD-ROM of information and data relating to Laura water lens, and audio-visual materials (e.g. videos).		

ANNEX 5. NIUE'S REPLICATION PLAN FOR VILLAGE WATER MANAGEMENT PLANNING

NIUE NATIONAL REPLICATION GUIDE FOR IWRM

Summary of Recommendations for the Replication of Village Water Management Plans

IWRM – NIUE TECHNICAL DOCUMENT

INTERGRATED WATER RESOURCE MANAGEMENT (IWRM) of Niue 2011



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ABBREVIATION AND ACRONYMS

BAS	Business Advisory Service
DAFF	Director of Agriculture Forestry and Fisheries
DCA	Director of Community Affairs
DoE	Department of Education
DoE	Department of Environment
DoH	Director of Health
EIA	Environment Impact Assessment
EU	European Union
GEF	Global Environment Facility
IWRM	Integrated Water Resource management
NGO	Non Government Organisations
NIUANGO	Niue Island United Association of Non Government Organisations
NWSC	Niue Water Steering Committee
SOPAC	South Pacific Applied Geosciences Commission
SWOT	Strength Weaknesses Opportunities Threats
PACC	Pacific Adaptation to Climate Change
PMU	Project Management Unit
PWD	Public Works Department

NIUE WATER CHARACTERISTICS	
Population served	2006 census; 1,625 people; 802 males, 823 females.
Land Area	259 square kilometres (100 square miles).
Exclusive Economic Zone (EEZ)	390,000sq. km.
Climate	Wet season (summer): October – February. Dry season (winter): May – August.
Average Temperature	Average temperature 27° C.
Average Rainfall	Annual mean rainfall 2066mm
Niue Groundwater	Approx 132 million cubic meters of recharge. Lens can store 3 months recharge.

A8-3

	34 -55m below ground level.
Water Treatment	None.
Quantity	Ground water supplies approximately 350 litres of water per person per day.
Domestic Water Use	Supplies 80%.
Agricultural Water	Supplies 15%.
Commercial and Industrial Water Use	Supplies 5%.
Quality	Testing reveals no evidence of Microbiological contamination. Testing reveals no evidence of Chemical contamination.
Annual Cost of Water Pumping and Reticulation	\$85,000.00 cost of electricity pumping \$246,000.00 cost including reticulation
Water Supply Systems	Pump systems. Gravity systems.
Surface Water	None. Surface water can be found in caves.
Water bores	9
Reservoirs	7

Executive Summary

It can be challenging for Governments to thoroughly manage the groundwater resources without contribution from communities. Involving village communities in co-managing water resources would be a significant goal, particularly to address water demands, loss and water use efficiencies.

In Niue the first two village water management plans done for Alofi South and Alofi North villages were developed throughout consultations held in February 2010 between Niue Government in conjunction with GEF IWRM, EU IWRM, SOPAC, Alofi South village, Alofi North village and stakeholders.

Both the IWRM demonstration host villages of Alofi South and Alofi North formed village water working groups combining women and men to coordinate the implementation of the two village water plans. Village water working group members were selected from the groups that led the groups during the village consultations.

Village water working groups through the Village Councils decided to prepare resource schedules to describe budget estimates required for each target in the village water plans. Chairperson of the village water working group reports to the Village Council and can attend the Niue Water Steering Committee meetings on behalf of the Village Council. It is noted that budget estimates on target outputs can range from high cost and low to no cost when prioritising the activities. Developing Village Water Management Plans in villages can be a high to low cost activity depending on the size of the village.

Interests to formulate similar village water plans in other villages were expressed by Village Council's representatives that attended the community training held 2nd – 3rd June 2011 (Technical Report titled Community Leaks and Repairs Training Community Water Quality Testing Training). This Village Water Management Plan replication guide is prepared in respond to the expression of interests from other Village Councils.

This replication guide also ranked villages in the remaining twelve villages on Niue based on village situations outlined in the SWOT analysis. Working with water plans

on a village by village basis is seen the best approach due to many reasons including the powers of each Village Council executive.

NWSC will consider the recommendations made in this guide and determine next steps. The water use efficiency ultimate goal is for all villages on Niue to have village water management plans.

Introduction

Groundwater lens has always been vested in the Crown where the water resource legislation states the right to use, flow, piping, storage, sale and control to all groundwater is vested in the Crown. The Crown's water rights prevail over any authority conferred by or under any other Act or law, except to the extent to which this or any other written law expressly provides.

IWRM have two programs funded by the Global Environment Facility (GEF) and European Union (EU) (Memorandum of Agreement between SOPAC and PWD of Niue Government signed July-August 2009). The main objective is to integrate water resources management and water use efficiency. To ensure there is balance of overuse and conflicting uses of freshwater resources through policy and legislative reforms. To ensure also about the implementation of applicable and effective Integrated Water Resources Management (IWRM) and Water Use Efficiency (WUE) plans.

EU IWRM is a 2 years program designated to deal with freshwater policy matters and support the functions of the Niue Water Steering Committee (NWSC Terms of Reference). GEF IWRM is a 5 year program (2010 – 2014) which Niue selected groundwater, wastewater and coastal and marine waters as the focal areas for the demonstration project Integrated Water Resource Management Demonstration Project (Project Inception Report August 2009). GEF also funds the Niue Pacific Adaptation to Climate Change (PACC) program that envisages supplying homes with water tanks for rainwater catchments.

Several policy frameworks are readily in place in Niue that caters protection including management of the groundwater (Drinking Water Safety Plan, June 2009 Improvement Schedule Technical Assistance), (Niue Groundwater Analysis, August 2010), (An economic assessment of water safety planning, June 2010).

Scope of the Niue Island National Integrated Waste Management Strategy and Action Plan 2010- 2015 covers the management of solid, liquid, chemicals and hazardous waste, including special wastes such as medical and quarantine wastes. Health Department also has a Waste Management Plan June 2010 with a mission statement; To ensure that waste produced at the hospital is managed through a system that is safe, efficient, and cost effective and considers environmentally safe.

The Niue sustainable coastal development policy was established in April 2008 that has 6 specific goals addressing coastal and marine waters.

Membership of the NWSC comprises of the Director of Public Works Department (PWD) current Chairperson, Director of Environment (DoE) current Vice Chairperson, Director of Health (DoH), Director of Education (DoE), Director of Community Affairs (DCA) Director of Met Office, Director of Agriculture, Forestry and Fisheries (DAFF), Treasury Donor Officer, Business Advisory Service (BAS), Niue Island United Association of Non Government Organisations (NIUANGO), GEF Coordinator, PACC Coordinator. NWSC has been reviewed once and can review if when necessary to ensure the functions are effectively committed. The Niue Water Steering Committee will have to change to a Council once the Water Resource Bill is passed.

Purpose of this Replication Guideline

1. To guide the NWSC in making decisions for possible steps to pursue the IWRM concepts such as village water management plans to other villages.
2. Provide awareness for stakeholders with water management issues relating to village water management plans.
3. Provide an analysis on village water situations.
4. Strengthening community ownership and participation in water resource management.

Opportunities to develop Village Water Management Plans in villages

Annual Grants (\$5,000.00) allocated from Government budget to Village Council is one funding alternative better committed to developing village water management plans (Low Cost).

EU IWRM is a two year European Union funded project (2009 – 2011). GEF IWRM is a five year Global Environment Facility funded project (2009 – 2013). A project Logframe has been developed by the GEF IWRM that describes the activities to be implemented under the Demonstration project and national programs.

It is desirable that funds be identified and made available to convene similar processes that done with developing the two Alofi village water management plan.

Opportunities to implement targets identified in the Village Water Management Plans

The GEF 5 cycle is a key opportunity. Other opportunities to fund the activities in the Village Water Management Plans can be direct to the donor/s from the Village Councils or through with Government.

Village Community Settings and Stakeholders

Villages carry out elections for the Village Councils every 3 years to comply with the Village Council legislation. Number of Village Council members in the executive range from 3-5 members depending on the size of the village.

Most villages have a community hall to convene village events as well as village meetings. All villages have an Ekalesia Niue Church that has the highest number of spiritual members. Deacon forums in Churches are convened in some village which covers not only Church issues but village projects as well.

The 14 villages in Niue have a member of parliament elected every 3 years. There are also 6 Common Roll members that are elected every 3 years with the 24 village member of parliaments.

All Village Councils are also provided with a Government grant of NZ\$5000.00 every year to assist with village events such as show days or village projects like sea tracks and village beautification program. Most villages are engaged in a community project of some sought, whether external donor funded or funded by Government.

There are village based organisations for youth, women and men that work under the umbrella of national Non Government Organisation (NGO) bodies with Constitutions.

Village Councils are community based but its role is administered by legislation.

Water Resource Legislation Objective

The objective of the legislation is to provide an administrative and regulatory instrument for the sustainable, efficient and coordinated development, extraction, protection, management and use of the water resources of Niue for the benefit of both current and future generations.

IWRM has made an effort to link Government with the two villages of Alofi during the establishments of the village water management plans. Integrating national and local partnership arrangements in the beginning brings about early ownership of the initiatives including wider interests to the water issues and the required actions to respond to the threats.

It is expected that local villages will remain reliant on Government or external assistances for financial support. It is also advised that village water plans must have the resource schedules so to determine the budget estimates on each target and partners. The resource schedule should rank the priorities on each target and implementation schedules. Some activities are no cost and some low cost.

The responsibility of the NWSC will not only make decisions on the replication process but also to manage the deliverance of replication and monitoring.

Swot Analysis

The SWOT analysis provides explanatory guide on village situation such as population status, existing programs, water concerns and or other existing village projects. Government is included as part of the SWOT analysis because of the engagement factors and partnership alternatives such as Government to assist strengthen the village capacity needs where necessary. Government will support with the development of the Village Water Management Plans.

Recommendation

1. The Niue Water Council is invited to consider dialoguing with Village Councils to explore the interested to develop Village Water Management Plans based on the SWOT analysis and in order of village ranking.

Village ranking:

- | | | |
|-----------------|---------------|-------------|
| 1. Vaiea | 5. Namukulu | 9. Makefu |
| 2. Tamakautonga | 6. Hikutavake | 10. Liku |
| 3. Hakupu | 7. Lakepa | 11. Toi |
| 4. Tuapa | 8. Mutalau | 12. Avatele |

ANNEX 6. *Replication and Scaling-up Toolkit* for IWRM in Pacific Island Countries



Replication and Scaling-up Toolkit for IWRM in Pacific Island Countries



Summary of a Proposed Process for Planning Replication and Scaling-up of National IWRM Demonstration Activities in Pacific Island Countries

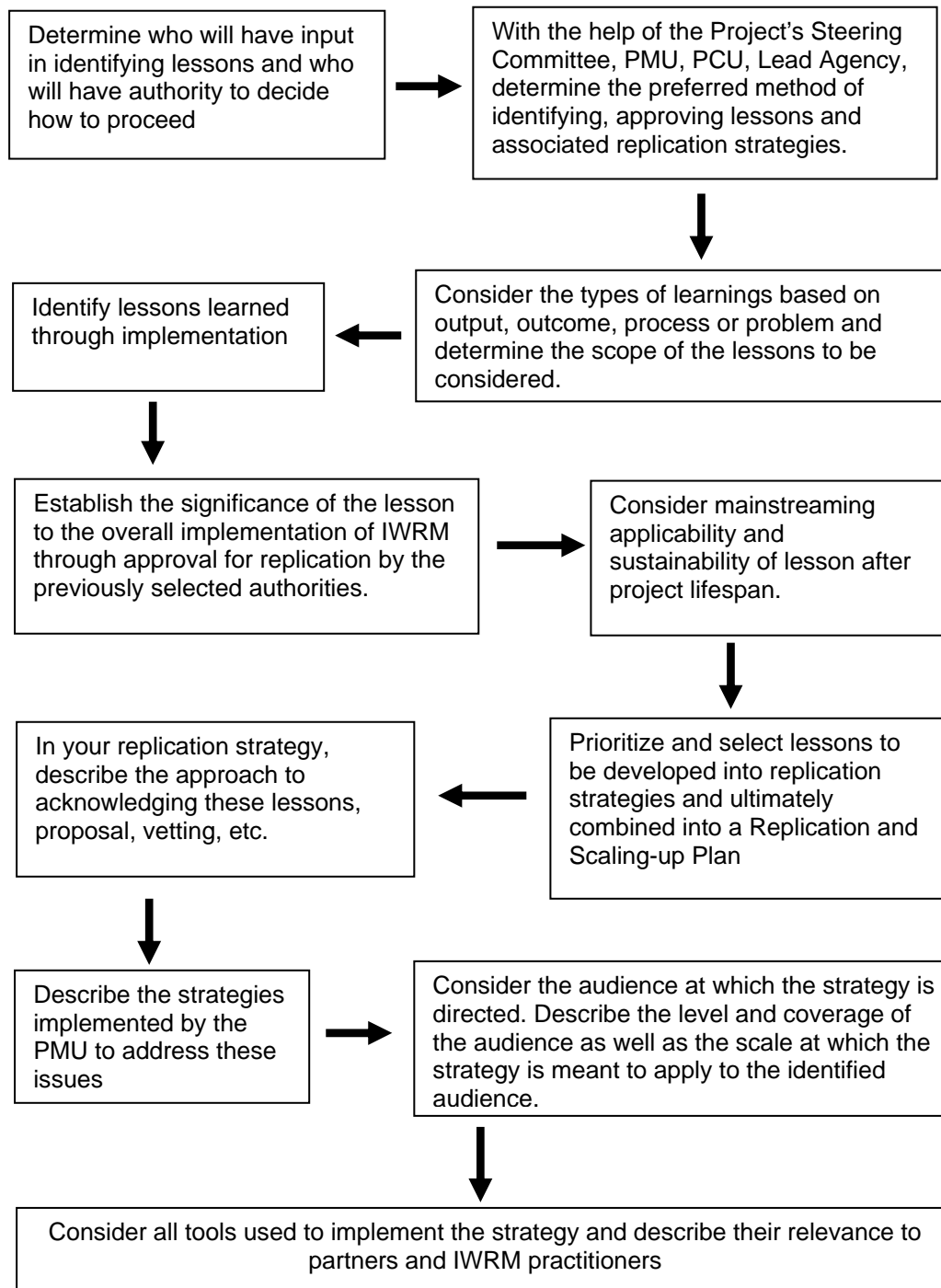


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	What's the Issue?
<p>Why is this Needed?</p>	<p>The goal of the Global Environment Facility supported project entitled “<i>Implementing Sustainable Water Resources and Wastewater Management in Pacific Island Countries</i>” (GEF Pacific IWRM Project) is to:</p> <p><i>“contribute to sustainable development in the Pacific Island Region through improvements in natural resource and environmental management”.</i></p> <p>The overall objective of the project is to:</p> <p><i>“To improve water resources management and water use efficiency in Pacific Island Countries in order to balance overuse and conflicting uses of scarce freshwater resources through policy and legislative reform and implementation of applicable and effective Integrated Water Resources Management (IWRM) and Water Use Efficiency (WUE) plans”</i></p> <p>Component 1 of the project “<i>Demonstration, Capture and Transfer of Best Practices in IWRM and WUE</i>” is facilitating country-driven practical demonstrations of IWRM and WUE focused on removing barriers to implementation at the community/local level and targeted towards national and regional level learning and application.</p>
<p>This toolkit will guide the development of National IWRM Replication and Scaling-up Plans</p>	<p>The expected outcome of this project component is that:</p> <p><i>“Lessons learned from demonstrations of IWRM and water use efficiency approaches replicated and mainstreamed into existing cross-sectoral local, national and regional approaches to water management”</i></p> <p>Replication of National IWRM demonstration projects within and between PICS is a priority activity for national IWRM teams. Successful replication requires good planning based on lessons learned and examples of best practice.</p> <p>This “<i>Replication and Scaling-Up Toolkit for IWRM in Pacific Island Countries</i>” is designed to provide project managers with guidance on: (a) identifying tools for IWRM replication and scaling-up; and (b) developing a verifiable IWRM Replication and Scaling-up Plan. Replication and Scaling-up Plans will be useful for advancing IWRM and guiding national partners and donors on investment in the water and sanitation sector. They will also help other IWRM practitioners.</p>
<p>Replication and Scaling-up Plans can help Pacific Islands countries add value to their demonstration projects and IWRM initiatives</p>	<p>What should Replication and Scaling-up Plans include?</p> <p>The following plan components will be addressed in the toolkit:</p> <ol style="list-style-type: none"> 1. Lessons Learned: the toolkit provides guidance for the process of identifying lessons learned through implementation; 2. Significance: plans should include discussion of the significance of the lessons learned; the toolkit provides guidance for the process of vetting the significance of lessons learned; 3. Strategy: plans should discuss the who, what, when, where, why and how of the strategy; 4. Target Audience: plans should include discussion of the target audience and how widely the plan applies. This toolkit provides some examples to guide national IWRM teams with this step; and 5. Tools: Plans should identify and discuss all tools that will be used during the implementation of Replication and Scaling-up Plans. This toolkit provides some examples of what tools might be useful in preparing Replication and Scaling-up Plans.

	How to Develop a Replication and Scaling-up Plan ...
<p><i>Involve key stakeholders before critical decisions are made</i></p>	<p>Stage one: getting started</p> <p>Each national IWRM demonstration project is a pilot study to test IWRM approaches, and it should therefore be recognised that these replication strategies are being developed without an explicit understanding of the exact nature of some of the lessons and approaches to be replicated. To date, all projects have documenting lessons learned on a 3-monthly basis, and it is anticipated that this will continue during the life of the project.</p> <p>It is recommended that these lessons learned be considered by National Demonstration Project Co-ordinating Committees which should undertake assessments of their significance and how they could possibly be used nationally and regionally. It is important that this process be fully participative so as to garner the support and input of all stakeholders from government agencies, traditional leaders, community representatives, civil society, and the private sector. This approach should be central to Replication and Scaling-up Planning.</p>
<p><i>Be clear about the reasons for developing a Replication and Scaling-up Plan</i></p>	<p><u>Things to consider and address:</u></p> <p>Why develop a Replication and Scaling-up Plan? Is a lack of knowledge hindering the water and sanitation sector and IWRM development? Or is a lack of evidence weakening the arguments for increased resourcing and replication? Are the learnings and strategies derived from the project useful to others? How important is it to further develop local skills and widen community involvement?</p>
<p><i>The plans are dynamic and should evolve as IWRM project's are implemented</i></p>	<p>When will it be done? How urgent is it? For example, is a Replication and Scaling-up Plan urgently needed to assist in gaining access to funding or to help decide where co-funding could be spent or project funds reallocated. As the projects are being implemented new lessons are being learned, so the plan will change as these lessons are added and key areas for replication are better defined. It is expected that national IWRM teams will have draft plans for review by the 3rd meeting of the Regional Steering Committee (RSC) and that revised plans will be required for each subsequent RSC.</p> <p>What will it include? Replication and Scaling-up Plans will be comprised of a series of replication strategies and associated actions. It is anticipated that a series of "Learnings" will be identified and their "Significance" justified throughout national IWRM demonstration project implementation. Replication strategies will be designed as a means of repeating each of the key learnings and these strategies will include detailed discussion of all tools needed to implement the strategies, as well as details about the desired impact of the strategy, including reference to the intended audience and scope.</p> <p>How will it be done? It is recommended that Replication and Scaling Plans be developed in consultation with National IWRM Demonstration Project Coordinating Committees and National APEX water bodies where appropriate. This is aimed at ensuring full participation of stakeholders from government agencies, traditional leaders, community representatives, civil society, and the private sector.</p> <p>Who will be responsible? All IWRM Demonstration Projects have a requirement for Replication and Scaling-up Plan development. The principle driver for the formulation and preparation of the plan is the Demonstration Project Manager (DPM).</p>

	<p>needed to push the plan locally and nationally to ensure the benefits of the demonstration project experience are broadly realised. The plan needs to be fed into the National Development Planning process and used by institutional partners to better direct their resources in the water and sanitation sector. It may also be useful to evaluate the process (something you should plan for from the beginning), in order to be clear about the strengths of the plan, any limitations it might have, and any follow up work that needs to be done to develop it.</p>
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Matrix for the Planning of IWRM Replication and Scaling-Up

Lesson	Audience(s)	Scale	Applicability of Lesson	Replication Tool(s)	Timeframes	Cost
Stakeholder Engagement						
Obtaining community acceptance of composting toilets – a concept greeted with significant caution	National Government Agencies (Tuvalu and O/S) Project Managers (NGOs, national and regional)	Island / National	Generally instructive to engaging community support for initiatives that are not universally popular Specifically applicable to initiatives looking to introduce composting toilets Key Areas: Community engagement Influencing communities Sanitation Water Use Efficiency	O/S National government agencies: - twinning visits - resource package - GEF IWRM internet - conference/RSC presentations Tuvalu agencies - APEX body discussions and presentations - resource package - direct engagement Project Managers - resource package - regional project reporting - conference presentation(s)	2 nd – 3 rd Quarter 2011 2 nd Quarter 2011 2 nd Quarter 2011 3 rd Quarter 2010/2011 1 st – 2 nd Quarter 2011 2 nd Quarter 2011 2010 – 2013 2 nd Quarter 2011 End 2013 3 rd Quarter 2010	Negligible – hosting \$2,000 Negligible Negligible – covered already Negligible See above Negligible – already covered See above Negligible See above
Project Management						
Establishing an international project in Tuvalu	Tuvalu Government Agencies (Tuvalu) Project Managers (NGOs/ national) Regional / Donor project managers	Regional/ National	Generally instructive to facilitating smooth project inception and ongoing management	Tuvalu agencies and project managers - report(s) - APEX body discussions and presentations O/S National government agencies: - twinning visits - report(s) - RSC Regional / Donor Project Managers - report(s) - RSC - Agency meetings with Donors		

Lesson	Audience(s)	Scale	Applicability of Lesson	Replication Tool(s)	Timeframes	Cost
<i>Capacity / Performance</i>						
<i>Coordination/Integration</i>						
<i>Technical</i>						
<i>Political</i>						
<i>Socio - Cultural</i>						
<i>Communications</i>						