

# Terminal evaluation of the Oceanic Fisheries Management component

By Philip Tortell and Sandra Tarte

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## Acronyms and Abbreviations

<b>CRGA</b>	Committee of Representatives of Governments and Administrations (SPC)
<b>C-SPOD</b>	Canada – South Pacific Ocean Development Programme
<b>DWFNs</b>	Distant Water Fishing Nations
<b>EEZ</b>	Exclusive Economic Zone
<b>FFA</b>	Forum Fisheries Agency
<b>FFC</b>	Forum Fisheries Committee
<b>GEF</b>	Global Environment Facility
<b>IATTC</b>	Inter-American Tropical Tuna Commission
<b>ICCAT</b>	International Commission for the Conservation of Atlantic Tunas
<b>ICWM</b>	Integrated Coastal and Watershed Management
<b>IOTC</b>	Indian Ocean Tuna Commission
<b>IW-LEARN</b>	GEF International Waters – Learning Exchange and Resource Network
<b>IW-Project</b>	International Waters Project
<b>LME</b>	Large Marine Ecosystem
<b>LogFrame Matrix</b>	Logical Framework Matrix
<b>MCS</b>	Monitoring, Control and Surveillance
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MHLC</b>	Multilateral High Level Conference (for development of Tuna Convention)
<b>MPR</b>	Multipartite Review meeting
<b>MSWG</b>	Marine Sector Working Group
<b>NEX</b>	National Execution (for UNDP supported projects)
<b>NGO</b>	Non-Governmental Organization
<b>OFM</b>	Oceanic Fisheries Management
<b>OFP</b>	Oceanic Fisheries Programme
<b>PCU</b>	Project Coordination Unit
<b>PDF ‘B’</b>	GEF Preparatory Development Facility, Phase B
<b>PICTs</b>	Pacific Island Countries and Territories
<b>PIROF</b>	Pacific Islands Regional Ocean Forum
<b>PrepCon</b>	Preparatory Conference (for establishing Tuna Commission)
<b>ProDoc</b>	Project Document
<b>RFMO</b>	Regional Fisheries Management Organization
<b>SAP</b>	GEF Strategic Action Programme
<b>SIDS</b>	Small Island Developing States
<b>SPC</b>	Secretariat of the Pacific Community
<b>SPREP</b>	South Pacific Regional Environment Programme
<b>UNDP</b>	United Nations Development Programme
<b>USP</b>	University of the South Pacific
<b>VMS</b>	Vessel Monitoring System
<b>WCPO</b>	Western and Central Pacific Ocean
<b>WTP</b>	Western Tropical Pacific (with reference to the Large Marine Ecosystem)

## **Executive Summary**

### **The Project**

The UNDP/GEF-supported International Waters Project (IW-Project) for the Pacific Small Island Developing States inception and development spanned a period of five years. This included the preparation of a Strategic Action Programme (SAP) and the formulation of a project document covering the Oceanic Fisheries Management (OFM) and the Integrated Coastal and Watershed Management (ICWM) components. This Terminal Evaluation is concerned only with the OFM Component/Project which was executed by the Forum Fisheries Agency (FFA) and the Secretariat for the Pacific Community (SPC) and which targeted the following outcomes:

- sustainable ocean fisheries;
- improved national and regional management capability;
- stock and by-catch monitoring and research; and,
- enhanced national and regional management links.

### **Project design and logic**

The ProDoc was built on the SAP which had identified the problems of the region and their root causes. However, the ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.

The root causes identified in the SAP were not the same as those in either the text or the LogFrame Matrix of the ProDoc. While the FFA attempted to cope with this confusion by reverting to the root causes in the SAP for guidance, the Evaluation Team adopted the ProDoc, and particularly the LogFrame Matrix, as the framework for the evaluation and the root causes were determined to be “Lack of monitoring and enforcement of regulations” and “Lack of trained staff for surveillance.”

The objectives, outputs and activities of the broader IW-Project (including the OFM Component) went through a series of changes during the course of its implementation and the latest version which was made available to the Evaluation Team in the form of a LogFrame Matrix, was dated as recently as September 2003. It is usual and desirable to reflect changing circumstances, lessons learnt and experience gained during the implementation of a project, by reviewing and revising the various outputs and activities, usually by revising the LogFrame Matrix. However, in the case of the OFM Project, it would seem that many of the changes were necessitated by the inconsistencies between the SAP, the Project Concept and the ProDoc, and the low level of consultation with prospective stakeholders (FFA and SPC) at the project formulation stages leading to weak project design. There is also a feeling that some of the changes were a means of adapting the outputs and activities to fit what was taking place anyway, rather than the other way round. When the work of the executing agencies did not reflect the agreed Activities of the UNDP/GEF OFM Project, it was the Project Activities that were changed to fit.

The indicators adopted in the original LogFrame Matrix are a mixture of outputs, means of verification and some true indicators. However, even the latter are difficult to verify objectively since they are not adequately targeted. The revised LogFrame Matrix includes the original indicators which are not very useful but on the whole it is more helpful and there are some indicators among them which could be objectively verifiable, with minor refinements. However, the majority of adopted indicators in the list are still impossible to verify, objectively or otherwise.

## **Consultation and participation**

Among the changes that have taken place in the wording, etc, of the Objectives, Outputs and Activities of the OFM Component, is the removal of all reference to public participation activities.

The consultation process surrounding the SAP and the extent of participation by stakeholders in its adoption was very satisfactory even though the focus of these consultations was more on the issues surrounding the coastal and inshore environments of the region than in the area of oceanic fisheries resources. But the level of participation by stakeholders did not follow through into the formulation phase of the Project and the development and adoption of the ProDoc. Neither has the implementation phase of the OFM Project been strong on stakeholder involvement or any other participation at country level.

The low level of stakeholder involvement and the almost total absence of participation by the public, NGOs and the private sector have been acknowledged by both the FFA and the SPC, as executing agencies and there is a commitment that the follow-up project will involve civil society in a manner which reflects local mores, culture and sensitivities.

## **Implementation and monitoring arrangements**

The pivotal role of SPREP in project implementation is spelled out clearly in the ProDoc without any distinction between the two components. The Project Manager, located in the Project Coordination Unit (PCU), has responsibility for day-to-day Project implementation. The PCU is established as a ‘distinct unit’ within SPREP, with the Project Manager reporting directly to the Director of SPREP and to the UNDP Resident Representative. With respect to the OFM component, the ProDoc provides that this will be implemented largely by FFA and SPC, according to a Memorandum of Understanding signed with SPREP. This subsequently took the form of Letters of Agreement between SPREP and FFA and between SPREP and SPC according to which FFA and SPC are the Executing Agencies for the OFM component and all OFM staff are located at the two agencies. The extent and effectiveness of collaboration and coordination between FFA and SPC are a subject of much pride for the two organizations. They have a tradition of working together and of supplementing each other’s efforts and there is no doubt that this positive situation has served the OFM Project well.

Monitoring and evaluation for the OFM Component were undertaken mainly by FFA and SPC and ‘in-house’ even though independent audits were also initiated by the two organizations. There was no formal response to audit reports from the implementing agencies and therefore there was no adaptive management in project implementation, in response to monitoring. The Evaluation Team does not believe that M&E has been used effectively as a management tool in directing the implementation of the OFM Component and cannot recommend this approach for any future project support.

## **Financial aspects**

The FFA share of the OFM component funded by GEF was \$1.915 million. The largest proportion (56.22%) of this amount was allocated to International Meetings – to support Pacific Island countries’ participation in the MHLIC (two meetings) and the PrepCon process (five meetings). This category also covers participation at regional workshops and at meetings of other Regional Fisheries Management Organizations. The second largest share (34.01%) was used to fund consultancies, namely the work of the Fisheries Management Advisor. The other allocations were for Administration (1.53%), Equipment (0.77%) and Training (7.46%). The Evaluation Team feels that the budget allocated to the FFA has been spent appropriately and while only a small proportion was spent ‘in-country’, it was almost totally spent for the benefit of the countries. As noted by the PCU, while the benefits of this project have arguably been most effectively delivered through the focus on support to FFA and SPC, national engagement has still been significant although in-country expenditure has been relatively low.



The SPC budget allocation of US\$1.526 million has been used to support three positions in the Oceanic Fisheries Programme of SPC and the expenditure on these three positions amounted to 46% of the total budget. When allocations for their travel and research support are added to the salaries amount, the total spent on these three positions is equivalent to 74% of the total budget. The only other tangible output, namely Enhanced National Capacity, has an allocation of 20%.

A feature of the SPC expenditure is the extremely low proportion of the total budget that has been, or will be, spent ‘in-country’ or directly for in-country beneficiaries. However, the Evaluation Team believes that as long as the unspent funds earmarked for “Enhanced National Capacity” are indeed spent for those activities, and as long as the overspent equipment budget is supplemented from within the “Support to FFA/SPC” component, the funds allocated to SPC would have been spent appropriately.

By “investing” its resources in an organization like SPC whose OFP had on-going research activities directly related to the aims and objectives of the OFM Project; and in the FFA whose fisheries management activities mirrored and extended those proposed under the OFM Project, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, even though this result is somewhat more difficult to extract and quantify on its own.

## **Results achieved, sustainability and replicability**

Stakeholders and beneficiaries agree that this was a good project. It may not have been very visible, and its results may not be very distinguishable, but it is recognized as having contributed a very essential element to what the Pacific Island countries have managed to achieve in terms of a regional management regime for a regional resource of global dimensions.

The Evaluation Team feels that the original OFM objective could not have been expected to be achieved by this project since its dimensions went beyond the boundaries of the project. On the other hand, the Evaluation Team believes that the new objective has been achieved, even though there is a feeling that it might have been retrofitted to an existing and/or developing situation.

The results achieved have contributed to the GEF objective of achieving global environmental benefits and a well designed project may have been able to achieve more with the same resources and effort. Hopefully, this shortcoming can be remedied in the proposed follow-up project.

Capacity building has been the most significant benefit of the OFM Project. But in spite of the impressive nature of the results, their sustainability is not assured since it may not be easy retaining the trained, skilled personnel in government. Inadequate resources are being made available by Governments to develop fisheries management and research capacity. Instead, there is a tendency to rely extensively on regional assistance programmes, mainly from SPC and FFA who are themselves constrained in their efforts to meet the numerous requests for assistance from member countries. This reliance on external funding support is untenable in the long term since the fisheries sector is a major revenue earner for the Governments and it makes sense to reinvest some of this revenue in the administration and management of the sector to ensure its control and sustainability.

The Evaluation Team sees the OFM Project as a unique intervention in the Pacific region and there is neither the potential nor the need to replicate it in the region. SPREP agrees that the extent of replicability in the region is minimal. However, there are definite global replication possibilities in other island regions supporting significant tuna fisheries. Where distant water fishing nations and coastal states are expected to collaborate on tuna resources management, the processes and strategies applied in the OFM Component set global precedents. In addition, the processes employed in the oceanic fisheries sector do demonstrate best practice that could usefully be applied to coastal resources management, and some aspects of the OFM

Component (particularly the linkages between science and management) have potential for replication in integrated coastal management processes.

UNDP believes that the process leading up to and the actual establishment of the Tuna Commission is considered a best practice and can have replicability globally.

## **Conclusions and lessons learnt**

### **On the GEF and global environmental objectives:**

The OFM Component can be said to have contributed to the objective of GEF OP#8 but with the divorce practiced between the OFM and the ICWM components and the fact that the ‘ecosystem’ approach to the LME has yet to be applied, this contribution has been very limited. The Evaluation Team sees the need for better understanding of GEF processes, objectives, procedures, etc, among current and prospective stakeholders.

### **Root causes and imminent threats identified in the ProDoc:**

The Root Causes were determined in the LogFrame Matrix to be “Lack of monitoring and enforcement of regulations” and “Lack of trained staff for surveillance” and the OFM Project would have been expected to focus on monitoring, enforcement of regulations and capacity building (mainly training) for surveillance. There is no denying that the OFM Project did indeed address these aspects, however, they were not its main focus and it centered predominantly on preparation for and participation in the MHLCS and the PrepCons together with scientific research for management.

### **Project design:**

Project design was weak, necessitating significant changes to the Objective, Outputs and Activities. It is evident that this was an amalgam of two distinct initiatives brought together purely as a matter of convenience. No synergies between the two components were planned and none were created during implementation. There was no evident logical development of the OFM Component from the identification of problems to the determination of their root causes, the setting of an objective, the selection of outputs and the planning of activities which ultimately would have addressed the root causes of the identified problems.

### **The Project Document:**

The ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.

### **The Logical Framework Matrix:**

Both the original and the revised LogFrame Matrices have created confusion with their loose use of terminology and the lack of logical structure. The majority of the performance indicators adopted for the OFM Component in both versions of the LogFrame Matrix were not verifiable objectively and they were not much help either to those implementing the project or to this Evaluation Team.

### **Achievement of planned objectives and outputs:**

The original objective for the OFM Component could not have been expected to be achieved by this project since its dimensions went beyond the boundaries of the project. On the other hand, the new, revised objective has been achieved, even though there is a feeling that it might have been retrofitted to an existing and/or developing programme of work of the executing agencies. Outputs were not clearly identified and were in fact referred to as Activities. However, both FFA and SPC believe that the outputs/activities have been achieved and the Evaluation Team agrees that these outputs have indeed been obtained.

**Adaptive responses to changing circumstances:**

Many project Activities, as well as the Project Objective and Outputs for the OFM Project, changed substantially during implementation. But this was not as much in response to changing circumstances, as it was in response to faulty project design. It is also possible that the changes came about from a desire by the executing agencies to support their on-going or planned activities. Audits, regular reports and other results of monitoring by FFA and SPC did not elicit any formal reactions from either SPREP or UNDP, therefore no adjustments were thought to be needed.

**Financial resources:**

Budgets allocated to the FFA and SPC have been spent appropriately as long as the SPC unspent funds earmarked for “Enhanced National Capacity” are indeed spent for those activities, and as long as the overspent equipment budget is supplemented from within the “Support to FFA/SPC” component. By “investing” its resources in organizations such as SPC and FFA, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, even though this result is somewhat more difficult to extract and quantify on its own.

**Roles and responsibilities:**

The OFM Project had a multiplicity of hierarchical layers and it was therefore essential that roles and responsibilities were defined clearly, and this appears to have been the case. The pivotal role of SPREP in project implementation is spelled out clearly in the ProDoc and the roles and relationship between FFA and SPC themselves as executing agencies are also clearly delineated in a Memorandum of Agreement between the two organizations. Benefits accrued from the good level of communication and cooperation between the Executing Agencies, based on a strong record of working together and clear delineation of mandates.

**Partnerships with other donors:**

The OFM Component did not involve partnerships with any third-party donors. Funds came from GEF, FFA and SPC. However, there was a high degree of complementarity between the activities of the OFM Component and other activities being undertaken by FFA and SPC but funded by other donors.

**Public participation and stakeholder involvement:**

Stakeholder involvement in the OFM Project has been fairly weak in most aspects of the Project and both the FFA and the SPC acknowledge the low level of stakeholder involvement and the almost total absence of participation by the public, NGOs and the private sector. There is a commitment that the follow-up project will involve civil society in a manner which will reflect local mores, culture and sensitivities.

**Implementation and coordination by the implementing and executing agencies:**

Implementation of the OFM Component was comparatively smooth and effective. The views of stakeholders and beneficiaries on implementation arrangements have been positive in the main. But while implementation appears to have been satisfactory, coordination has not been strong and apart from the handling of financial reports and cash advances, neither SPREP nor the PCU made enough effort to coordinate the two components of the IW-Project at the implementation level.

**Beneficiaries:**

The principal beneficiaries were expected to be government policymakers engaged in the management of the oceanic fisheries resources (from Fisheries, Foreign Affairs and Legal Ministries and Departments). The ProDoc identified “secondary target beneficiaries” which included intergovernmental organisations (namely SPC, FFA and SPREP) and the private sector. However, FFA and SPC have been very much primary target beneficiaries in view of the capacity building and funding support they have received from the OFM Project.

**Sustainability and replicability of project outcome:**

In spite of the impressive nature of the capacity building results, their sustainability is not assured. Some of the barriers to sustainability have been identified and those that are within the Project’s competence are proposed to be addressed during the follow-up project. While there is neither the potential nor the need to

replicate the OFM Project in the region, there are definite global replication possibilities in other island regions supporting significant tuna fisheries.

**Monitoring and evaluation:**

Monitoring and evaluation have not been used effectively as a management tool to obtain accountability or measure progress or to direct the implementation of the OFM Component. What monitoring and evaluation were undertaken were left to FFA and SPC ‘in-house’ efforts even though independent audits (commissioned by the organizations) were also carried out and an excellent baseline study and update were very useful exercises.

**Recommendations**

That UNDP/GEF accept that although the OFM Project may not have addressed the identified root causes fully or exclusively, the benefits obtained through the activities undertaken justify this departure and the Project has been very successful in strengthening the institutional framework, the knowledge base and the stakeholders capacity for managing this unique tuna resource which is of global significance.

That UNDP/GEF confirms their support for a follow-up project as the best way of ensuring the sustainability of the benefits obtained from this Project.

That UNDP/GEF organize a GEF Workshop or series of workshops in the region, for GEF National Focal Points and others, to raise awareness and improved understanding of GEF processes, objectives, procedures and the GEF focus on global environmental benefits.

That those responsible for the formulation of the follow-up project place great emphasis on the design of the project which should reflect the root causes of the problems and be structured according to the logic of – the setting of an objective, the selection of outputs and the planning of activities which ultimately would have addressed the root causes of the identified problems, and for this logic to be evident in a robust Logical Framework Matrix which includes objectively verifiable indicators that can guide those implementing the project.

That in designing the project, the approach should be a participatory one involving as many as possible of the prospective stakeholders and beneficiaries at regional, government, private sector and community levels.

That the project design should include a strategy for monitoring and evaluation that depends on a feedback loop between those implementing the project and a project steering committee made up of knowledgeable individuals able to appreciate the issues being brought before them and provide the feedback, advice and direction necessary for the effective implementation of the project.

That the prime benefit that should be targeted from the follow-up project is the framework, capacity and functioning of the proposed Tuna Commission so that it can undertake its crucial role of providing the management context for the tuna resource and its ecosystem in a manner which will provide the greatest benefits to the Pacific Island countries and their citizens on a sustainable basis.

That an equally important target of the follow-up project is the further building of capacity and capability of the Pacific Island region, at regional, government, private sector and community levels so that each sector can participate meaningfully in the management of the tuna resource and its ecosystem.

That the follow-up project places emphasis on the realignment, restructuring and strengthening of national fisheries laws, policies, institutions and programmes to take up the new opportunities that the Convention has created and discharge the new responsibilities that it requires.

That fisheries management capacity at country level be enhanced for data collection and analysis, stock assessment, MCS and enforcement and the development and application of contemporary fisheries management tools, through a strategy that views capacity building and training as a continuing activity rather than a one-off exercise to overcome the problem of capacity retention.

That Pacific Island countries that have adopted Tuna Management Plans and are having difficulties with implementation, be assisted to identify and address the barriers that are hindering implementation.

That the regionally based pool of expertise provided by the FFA and SPC will remain a cost-effective means of underpinning the implementation of an effective fisheries management framework, for the foreseeable future.

That USP be encouraged and supported to establish relevant programmes in fisheries science, oceanography, ecosystem management, fisheries administration and law, etc, to provide an important ingredient for the capacity building effort and that Pacific Island Governments as well as the private sector be encouraged to support such studies through the awarding of scholarships to promising nationals.

That national Colleges of Fisheries and similar institutions be assisted to start offering courses for observers, monitors and similar technical positions leading to a recognized qualification.

# **1 Introduction**

## **1.1 The Project setting**

### **1.1.1 Background**

The South Pacific region comprises almost 38.5 million square kilometers, with less than 2% of that vast area constituting the terrestrial environment shared by Pacific SIDS. This vast and complex marine system contains an enormous and largely undocumented array of diversity. According to the Project Document for the International Waters Project (UNDP, 1999), the region contains the most extensive and biologically diverse reefs in the world, the deepest ocean trenches, deep-sea minerals, the world's largest tuna fishery, as well as an array of globally threatened species such as sea turtles and dugongs. The many thousands of islands are, with the exception of some larger Melanesian islands, entirely coastal in nature, often with limited freshwater resources and surrounded by a rich variety of coastal ecosystems including mangroves, seagrass beds, estuarine lagoons and coral reefs. In addition to their significant biodiversity value, these coastal and marine ecosystems support large subsistence and commercial fisheries which form an indispensable part of the economic fabric for many Pacific SIDS. Despite the remarkable and globally significant biodiversity of the region, and despite the extent to which the present and likely future economic health of the region is based on sustainable coastal and oceanic fishery regimes, marine resource conservation and management regimes are currently inadequate.

The limited land base of the area is distributed among 200 high islands and 2500 low islands and atolls. In general, the islands increase in size from east to west, such that over 83% of the region's land mass is situated in Papua New Guinea, and most of the rest is in the other Melanesian countries and territories.

The EEZs of the Pacific Island States cover approximately 30.5 million square kilometers, or about 74% of the region's water surface. Pacific Island States thus look toward their substantial coastal and ocean fisheries as an important, even indispensable, means of advancing economic well-being through commercial and subsistence fisheries. They are crucial to food security for the region and are also an important source of employment and income and foreign exchange. According to the Project Document (UNDP, 1999) oceanic fisheries contribute little to local food supplies and only 1% of the close to two million tonnes of industrial caught tuna enters the local economy. However, the cash value of the Pacific tuna fishery is approximately US\$1.7 billion annually, and growing, and this fishery is of national, regional and global significance. Four fishing methods are generally employed in the tuna fishery, the purse-seine, longline, pole and line, and troll. Although the purse-seine fishery takes about 84% of the total catch, it accounts for only about 51% of the total value. By contrast, the longline fishery, with only 10% of the catch, accounts for 41% of the revenue. While 50% to 60% of the tuna catch is in the EEZs of the Pacific Island States, they only realize between 4% and 13% of the dollar value of the total catch, in license revenue.

There are a number of characteristics that give the Western and Central Pacific Ocean (WCPO) tuna fishery a truly global significance. Firstly, there is the size of the resource which amounts to 48% of the global tuna catch worldwide in an area that covers a twelfth of the earth's surface. Secondly, the size and extent of the markets and the value of the annual catch which stands at an estimated US\$1.7 billion. The project (see below) has reflected these global dimensions through the holistic ecosystem approach it has espoused, its facilitation of the adoption and implementation of an international convention, and the approach it has adopted for the management of trans-boundary tuna stocks which has potential for replication elsewhere.

### **1.1.2 The GEF**

The Global Environment Facility (GEF) supports projects which have clearly identifiable global environmental benefits. All projects must engage the broad participation of affected parties, be cost-effective, replicable, and include an incentive-based design to promote prospects for financial sustainability after the conclusion of GEF support. UNDP-GEF requires that projects possess a firm scientific and technical basis, and include plans for monitoring and evaluation of the results. The GEF does not finance national sustainable development. UNDP-GEF projects are typically complementary to a national sustainable development initiative, and they provide the co-funding needed to accrue global benefits. A GEF project's budget is determined by the additional cost, known as the incremental cost, of efforts to preserve the global environment which are beyond what would otherwise be required for national sustainable development.

The GEF operates in six identified focal and thematic areas namely, biodiversity, climate change, international waters, ozone layer protection, land degradation and persistent organic pollutants.

The overall strategic thrust of GEF-funded international waters activities is to meet the agreed incremental costs of :

- Assisting groups of countries to better understand the environmental concerns of their international waters and work collaboratively to address them,
- Building the capacity of existing institutions (or, if appropriate, developing the capacity through new institutional arrangements) to utilize a more comprehensive approach for understanding trans-boundary water-related environmental concerns, and
- Implementing measures that address the priority trans-boundary environmental concerns.

GEF Operational Programmes #8 and #9 under its international waters theme are said to be particularly relevant to the IW-Project.

The Objective of GEF OP#8 is “to undertake a series of projects that involve helping groups of countries to work collaboratively with the support of implementing agencies in achieving changes in sectoral policies and activities so that trans-boundary environmental concerns degrading specific waterbodies can be resolved”.

The objective of GEF OP#9 is “The long-term objective of the program is to achieve global environmental benefits through implementation of IW projects which integrate the use of sound land and water resource management strategies as a result of changes in sectoral policies and activities that promote sustainable development”.

As reported in the ProDoc the GEF Operational Programme makes special mention of Small Island Developing States (SIDS) “With their special conditions and needs, SIDS require more integrated approaches to improved land and water management in order to address threats to their water resources. In particular, projects in this component stress integrated freshwater basin - coastal area management as key elements to ensure a sustainable future for these island states. As noted in the GEF Operational Strategy, activities are typically targeted to six major issues SIDS have in common (coastal area management and biodiversity, sustainable management of regional fish stocks, tourism development, protection of water supplies, land and marine-based sources of pollution, and vulnerability to climate change).”

### **1.1.3 The IW-Project and its Oceanic Fisheries Management (OFM) Component**

In 1997 the Global Environment Facility (GEF) supported a comprehensive analysis of trans-boundary marine issues in the Pacific region which led to a Strategic Action Programme (SAP) for International Waters of Pacific Islands (Regional Task Force, 1997). The SAP was adopted in 1997 by fourteen Pacific Island States namely, Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.

The SAP identified the unsustainable exploitation of living and non-living marine resources as an imminent threat, the root causes of which were weak governance and a lack of understanding of the resources and their dynamics. These two areas formed the focus of a five-year UNDP/GEF International Waters Project (IW-Project) to implement the SAP. The Project commenced in February 2000.

The IW-Project originated from two separate sources. The Oceanic Fisheries Management (OFM) Component was essentially an initiative of the Forum Fisheries Agency (FFA) and the Secretariat of the Pacific Community (SPC). The Integrated Coastal and Watershed Management (ICWM) Component was an initiative of the South Pacific Regional Environment Programme (SPREP). They were combined into one project on the advice of UNDP, that the GEF was unlikely to support two discrete and parallel International Waters projects in the same region. The OFM Component was conceived as a 3-year project, shorter than the overall IW-Project. The expectation was that this project would pave the way for a longer term, stand alone OFM Project. In effect, the two components remained quite distinct and did not function as one but two projects, and there were limited expectations that synergies would develop between them especially on trans-boundary issues. This Terminal Evaluation is concerned only with the OFM Component/Project.

The OFM Project identifies the Western Pacific Warm Pool ecosystem as the ‘defining feature’ of the region, with boundaries that coincide with the Western and Central Pacific Ocean (WCPO) tuna fishery and it highlights as key issues the inadequate understanding of the Warm Pool ecosystem, and the interactions within it. These interactions include large-scale physical and biological dynamics and the effects of fishing on both target species and by-catch species. A lack of coherent management regimes at national and regional levels is noted in the SAP as a constraint on the ability to effectively manage fishing effort and thereby optimize economic returns to Pacific Island States from the WCPO tuna fishery.

The original proponents of the OFM Project, namely the Forum Fisheries Agency (FFA) which is based in Honiara, Solomon Islands and the Oceanic Fisheries Programme (OFP) of the Secretariat of the Pacific Community (SPC) which is based in Noumea, New Caledonia, were assigned the joint responsibility for executing the OFM Project. The FFA was formed by the South Pacific Forum in 1979, and its mission is “to enable its members to manage, conserve and use the tuna resources in their Exclusive Economic Zones and beyond, through enhancing national capacity and strengthening regional solidarity” (Forum Fisheries Agency, 2002). The Pacific Community has a wider membership than the FFA, and includes the USA, France and their Pacific territories. It delivers a wide range of regional programmes, including coastal and oceanic fisheries (the OFP) and, according to its Corporate Plan (Secretariat of the Pacific Community, 2003), its Mission is “to help Pacific Island people make and implement informed decisions about their future”. All IW-Project participating countries are members of both the FFA and the Pacific Community.

The two regional organizations have collaborated successfully for many years on issues related to oceanic fisheries management, particularly tuna resources. When the OFM Project was initiated, both had (and still have) a number of joint and complementary activities many of which had been stimulated by the 1995 Agreement for the Implementation of the Provisions of the UN Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (UN Fish Stocks Agreement), and the GEF support enabled them to extend their ongoing activities as well as support new initiatives. In particular, GEF support facilitated the full participation of Pacific Island States, as primary stakeholders, in the negotiation and development process for the Convention and Commission for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific. The project also contributed technical information to the Pacific Island States to ensure that their participation was active and meaningful and initiated the strengthening of the legal, institutional and management capacities of Pacific Island States at national level (Forum Fisheries Agency 2002a).

Key outcomes targeted by the project were: sustainable ocean fisheries; improved national and regional management capability; stock and by-catch monitoring and research; and, enhanced national and regional management links.



#### **1.1.4 OFM Project Chronology**

The UNDP/GEF-supported OFM Project inception and development spanned a period of five years. This included the preparation of a Strategic Action Programme (SAP) for the International Waters of the Pacific Small Islands Developing States and the formulation of a project document combining the OFM and ICWM components.

The Project was originally planned to commence in 1998 but delays caused it to commence in June 2000. Activities were originally programmed to last until June 2003. However, funding was extended until December 2003 for FFA and until December 2004 for SPC to enable the orderly completion of on-going activities. The following is a summary of the key stages in the development and delivery of the OFM Project and related activities.

##### **1995**

The United Nations Development Programme (UNDP), South Pacific Regional Environment Programme (SPREP) and the Government of Australia co-funded a Global Environment Facility (GEF) Pacific regional training and scoping workshop in Nadi, Fiji in August. Agreement was reached at this workshop to prepare a Pacific Islands regional proposal for the development of a Strategic Action Programme. This SAP would combine the following areas:

- integrated conservation and sustainable management of coastal resources including fresh water resources;
- integrated conservation and sustainable management of oceanic resources;
- prevention of pollution through the integrated management of land or marine based wastes; and
- monitoring and analysis of offshore and near-shore environments to determine vulnerability to environmental degradation.

The 8th SPREP meeting in October endorsed the project to prepare the SAP.

##### **1996**

The South Pacific Forum requested SPREP to coordinate the development of the SAP project.

##### **1997**

The proposal was approved by UNDP in April and a Regional Taskforce was established to oversee preparation of the SAP. The Taskforce met in June to consider draft regional reviews, draft guidelines for national consultations and draft terms of reference for Taskforce Coordinators. National consultations followed and the results, in the form of national reports and targeted project proposals, were submitted to SPREP. The draft SAP was reviewed and approved by the Regional Taskforce and Taskforce Coordinators in September and endorsed by Pacific Island Heads of Government at the South Pacific Forum meeting, also in September.

##### **1998-1999**

Project Brief and Document were prepared. According to the International Waters Project Mid-Term Evaluation of July 2003, (para 39), this was supposed to have been done at the same time as development of the SAP but due to 'insufficient time and funds' it was prepared in a subsequent exercise.

##### **2000**

The GEF gave final endorsement to the Project for Implementation of the Strategic Action Programme for the International Waters of the Pacific Small Island Developing States on 18 January. The Project officially commenced on 16 February, the day the Project Document was signed by SPREP (executing agency) and UNDP Apia (Implementing Agency). Administrative arrangements for the implementation of the three-year Oceanic Fisheries Management (OFM) component of the Project were subsequently negotiated between SPREP and the SPC and the FFA. Implementation of activities within the Project began in June (for FFA) and July (for SPC). However the FFA was able to access Advanced Authorisation funds from UNDP to facilitate participation of Pacific Island countries in the Sixth Session of the MHLC process in April 2000. The project also supported participation in the Seventh and final session of MHLC in September 2000 when

the Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific was concluded.

**2001**

First Regional Task Force Meeting in March, at Apia, Samoa, received the Inception Report and heard about the difficulties with the Project Document and led to agreement to revise financial allocations across budget lines and to modify/clarify the description of activities to be carried out by FFA and SPC. The Preparatory Conference for the Establishment of the Commission for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific (PrepCon 1) was launched in Christchurch in May. The first Letters of Agreement between FFA and SPREP and SPC and SPREP were signed in August.

**2002**

The first Multipartite Review of the IW-Project (replacing the Regional Task Force) received a report of the OFM component from FFA and SPC and a request to seek GEF support for a three to five years extension. This component was due to end in 2003 for FFA and at the end of 2004 for SPC. A baseline study on the oceanic fisheries resources of the Central and Western Pacific, commissioned by the SPC and FFA, was completed in June. PrepCon-2 was held in Madang, PNG, in February and PrepCon-3 in Manila, Philippines, in November.

**2003**

A second progress report on the OFM component was presented to the second Multipartite Review in June. Meanwhile a GEF Concept Paper seeking further funding for the OFM component was finalized and submitted to the GEF Council in May. The GEF CEO approved the Concept in June. The Forum Fisheries Committee (FFC) meeting in September endorsed a draft application for a PDF 'B' grant to develop a project proposal for the next stage of activities and to provide bridging support to Pacific Island states in the interim until the new project was approved. A revised Letter of Agreement between FFA and SPREP was signed in February, and a revised Logical Framework adopted in September. PrepCon-4 was held in Nadi, Fiji, in May and PrepCon-5 in Rarotonga, Cook Islands, in September.

**2004**

The PDF 'B' grant to develop a project proposal for the next stage of activities was approved in February. Terminal evaluation of the OFM component of the IW-Project is undertaken (February/March).

## **1.2 The Evaluation**

### **1.2.1 Purpose of the evaluation**

The GEF Manual on Monitoring and Evaluation Policies and Procedures (GEF, 2002) notes that “all GEF regular projects will carry out a terminal evaluation at project completion to assess project achievement of objectives and impacts”. This Terminal Evaluation for the Oceanic Fisheries Management (OFM) Component of the International Waters Project is based on this directive and full Terms of Reference can be found in Annex 1.

According to the Terms of Reference, the overall objective of this Terminal Evaluation is to review progress towards the project’s objectives and outcomes, assess the efficiency and cost-effectiveness of how the project has moved towards its objectives and outcomes, identify strengths and weaknesses in project design and implementation, and provide recommendations on design modifications that could have increased the likelihood of success. It is also expected to recommend specific actions that might be taken into consideration in designing future projects of a related nature.

The evaluation is intended to assess the relevance, performance and success of the project. It should look at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify/document lessons learned and make recommendations that might improve design and implementation of other UNDP/GEF projects.

In summary, this Terminal Evaluation is expected to :

- assess the relevance, performance and success of the project
- look at early signs of potential impact and sustainability of results
- identify/document lessons learned
- make recommendations that might improve design and implementation for future projects

The Evaluation Team was alerted to a number of issues through the Terms of Reference, that the evaluation was expected to address. These and other issues that became evident during the evaluation exercise formed the focus for the Team’s work. They included:

- The extent to which objectives had been achieved and the targeted Outputs obtained
- The effectiveness with which the identified root causes of problems had been addressed
- Project design and the degree of guidance provided by the Project Document
- The monitoring and evaluation strategies applied to the project and any adaptive management processes arising from the results of monitoring
- Various roles and responsibilities of primary stakeholders and levels of coordination and cooperation
- The extent of stakeholder involvement in various phases of the project
- Sustainability of outcomes and benefits
- The main lessons that have emerged

### **1.2.2 Methodology of the evaluation**

The Evaluation was undertaken through a combination of processes including desk research, visits to selected participating countries, set questions and interviews. The most appropriate process or combination of processes was used to reach out to specific stakeholders, including UNDP, SPREP, the PCU, FFA, SPC, participating Governments, NGOs and resource users (the private sector).

Desk research concentrated on relevant documentation provided by various stakeholders, particularly the PCU, FFA and SPC. A list of the documents reviewed and consulted is in Annex 2. The annex also lists websites that were consulted.

Prior to the mission, a meeting was held in Wellington with representatives of both the Forum Fisheries Agency (FFA) and the Secretariat of the Pacific Community (SPC), who are the execution partners with SPREP for the OFM Project. Subsequently, visits were paid to the offices of both organizations in Honiara and Noumea respectively and detailed discussions took place with key officials involved in project implementation. At the beginning of the visit, the Evaluation Team provided a structured list of questions and topics that it wished to address with each organization and this served as a guide for the subsequent consultative meetings.

The Team was only able to visit four out of the 14 participating countries, namely Fiji, Solomon Islands, Vanuatu and Tuvalu, for discussions with national stakeholders. However, two opportunities were grasped to make up for this lack of direct contact with national stakeholders. The first opportunity was presented by the Pacific Islands Regional Ocean Forum (PIROF) which met in Suva in early February 2004. It was attended by a member of the Evaluation Team and she managed to consult with a number of participants from government delegations, NGOs, the private sector and regional organizations. The second opportunity was provided by the Annual Consultation on the Multilateral Treaty on Fisheries between the US and Pacific Island Countries which took place at Funafuti. Another member of the Team traveled to Funafuti and was able to meet with the majority of fisheries and other officials from the 14 participating countries. This meeting was followed up as necessary with direct consultations.

Similar direct consultations with UNDP, SPREP and the PCU were undertaken and they also provided responses in writing.

The Evaluation Team also managed to consult with other persons who were previously involved with the project.

A full list of the persons met and consulted, together with an indication of their parent organization and position, is provided in Annex 3, while Annex 4 provides a summary of field visits and salient meetings.

The mission itinerary is to be found in Annex 5.

## 2 The Project Scope and Context

### 2.1 Problems that the Project seeks to address

The IW-Project builds on, and derives its focus and rationale from, the SAP (Regional Task Force, 1997) analysis of trans-boundary environmental concerns in the Pacific Islands region. The SAP highlighted the global importance of the International Waters of the Pacific Islands in terms of biodiversity, marine habitats and as a source of global (as well as regional) food security. It was noted that the “tuna fishery of the Western and Central Pacific Ocean is one of only two remaining major fisheries in the world still considered to be in healthy condition and amenable to increased exploitation” (Preston, cited in SAP (Regional Task Force, 1997)). The International Waters of the Pacific Island region were described as “vital to the continued health of the planet as a whole”.

The SAP concluded that there were three “overarching trans-boundary concerns” associated with the International Waters of the Pacific Islands. These were:

- degradation of the quality of the International Waters
- degradation of their associated critical habitats
- unsustainable use of living and nonliving resources

The threats that were considered to be responsible for these problems or concerns included land-based sources of pollution, physical alteration of the seabed and coastline and over-exploitation. These threats were viewed as inter-related and requiring “comprehensive measures” in order to be effectively addressed.

In exploring the causes of, or factors responsible for, these threats, the SAP distinguished between proximate causes and ultimate root causes. It was argued that an ultimate root cause of the threats to the region’s International Waters was “deficiencies in management” at all levels of society. These deficiencies were linked to problems of governance and of understanding as set out in Table 1 below, taken from the SAP. The SAP also highlighted the problem of “information gaps relevant to the work of decision-makers ... especially strategic information presented in an appropriate manner”.

**Table 1. Problems with governance and understanding (from the SAP)**

<b>A. Governance</b>	<b>B. Understanding</b>
<ul style="list-style-type: none"> <li>• no clearly defined responsibilities and poor coordination among government agencies responsible for different sectors</li> <li>• inadequate coordination and delegation of responsibility between local, state, provincial, national and sectoral levels of government</li> <li>• inadequate laws and regulations</li> <li>• inadequate harmonisation of laws</li> <li>• issues of traditional and customary property and user rights and practices</li> <li>• deficiencies in stakeholder participation</li> <li>• inadequate implementation, monitoring and enforcement</li> <li>• inappropriate domestic and international pricing</li> <li>• subsidies and perverse incentives</li> <li>• national investment policies</li> <li>• inadequate operating budgets</li> </ul>	<ul style="list-style-type: none"> <li>• poor public education and awareness of issues and options</li> <li>• insufficient capacity to implement and enforce laws</li> <li>• inadequate understanding of valuation of environmental goods and services in sustainable development planning</li> <li>• inadequate knowledge of technical response options</li> <li>• failure to use current information in decision-making</li> <li>• selecting inappropriate technology</li> <li>• ineffective data interpretation for management</li> <li>• inadequate/insufficient socio-economic analyses and data</li> <li>• inadequate or unreliable data collected through national data and statistical programmes</li> <li>• inadequate pre-operational prediction and planning (e.g., prior comparative analysis of options, risk assessments, environmental/social/economic impact assessments, complete costing)</li> <li>• inadequate ongoing and post-operational analysis</li> <li>• inadequate access to information at the regional and international level by governments</li> <li>• inadequate scientific understanding</li> <li>• inadequate or inappropriate advice</li> </ul>

The SAP analysis pointed to the “fundamental need for improved integrated cross-sectoral management of the resources of the International Waters” in order to achieve sustainable development. It proposed “targeted actions” in two complementary and linked contexts: Integrated Coastal and Watershed Management (ICWM) and Oceanic Fisheries Management (OFM). The OFM component would concentrate, initially, on the tuna fishery. Its principal elements would include enhancement of regional fishery management in line with international developments (namely the UN Convention on the Law of the Sea and the UN Fish Stocks Agreement), innovative ecosystem-based management in the Western Pacific Warm Pool Large Marine Ecosystem (LME), research on the status of tuna stocks, and examination of by-catch.

The problems to be addressed by the OFM Component of the IW-Project were discussed in general in the ProDoc which pointed to gaps in international efforts to conserve the tuna fishery of the Pacific Ocean. These gaps were divided into two categories: geographical and functional. The geographical gaps were the result of incomplete physical coverage of the region’s fish stocks by existing management regimes. Functional gaps resulted from lack of capacity or authority in such regimes to carry out key elements of conservation and management, whether enforcement, data collection or research (pertaining to both target and non-target species). The Project Document asserted that “the management of the international tuna fishery and related by-catch is seen to be deficient in both these areas”.

In addressing these deficiencies through the IW-Project, the OFM Component would contribute towards achieving long term sustainable development of the region’s ocean fisheries. This was necessary not only to protect a globally significant biological resource. Sustainable development of the ocean fisheries would also help to reduce fishing pressure on increasingly degraded and over-exploited coastal fisheries by increasing domestic benefits from the tuna fishery and associated by-catch, according to the ProDoc (UNDP, 1999).

The ProDoc further addresses the problems purportedly faced by the oceanic tuna fishery in both the text and in its Annex 4, however neither the text nor the annex is very helpful. It is ironic that in the text, under the OFM sub-section, the discussion centers on the problems faced by in-shore fisheries and the coastal environment and it do not identify any problems with the ocean fisheries or the oceanic environment. Furthermore, according to Annex 4, the Threat of “Overfishing of oceanic resources” was identified through the Symptom/Impact of “Potential decline in population” the Immediate Causes of which were “Excessive by-catch and discards” and “Poor fishing gear selectivity especially purse seine/longline.” The Root Causes were determined to be “Lack of monitoring and enforcement of regulations” and “Lack of trained staff for surveillance.” The scale of the threat was seen as “Regional” and the Severity was “yet to be determined”. The root causes identified in the SAP are not the same as those in either the text or Annex 4 of the ProDoc. While the FFA attempted to cope with this confusion by reverting to the root causes in the SAP for guidance, the Evaluation Team believes that for the purpose of the evaluation the rightful framework is the ProDoc and particularly the LogFrame Matrix.

If projects are meant to address the root causes of identified problems, the OFM Project would have been expected to focus on monitoring, enforcement of regulations and capacity building (mainly training) for surveillance.

## **2.2 Project objectives, outputs and activities**

### **2.2.1 Objectives**

The Development Objective of the International Waters Project, according to the signed Project Document (UNDP, 1999), is “to achieve global benefits by developing and implementing measures to conserve, sustainably manage and restore coastal and oceanic resources in the Pacific Ocean”. It aims to assist Pacific Island States to improve regional capacity for the management of trans-boundary water resources and create improved management structures to address environmental degradation and ensure the long-term sustainability of ocean fisheries in the Western Pacific Warm Pool ecosystem.

According to the Project Document, the full Project had the following four original Immediate Objectives (see also Table 2):

- Objective 1: To enhance trans-boundary management mechanisms
- Objective 2: To enable the conservation and sustainable use of coastal and watershed resources
- Objective 3: To enable the conservation and sustainable yield of ocean living resources
- Objective 4: To maximize regional benefits from lessons learned through community-based participation and to catalyze donor participation

Of these, Objective 3 was the one that is most closely related to the OFM component and therefore the one most relevant to this Terminal Evaluation.

However, the objectives, outputs and activities of the broader IW-Project (including the OFM Component) went through a series of changes during the course of its implementation (see, for example, SPREP 2002, GEF/UNDP/SPREP 2002, and GEF/UNDP/SPREP 2003) and the latest version which was made available to the Evaluation Team in the form of a LogFrame Matrix, was dated as recently as September 2003. This version is carried in full in Annex 6 and the elements directly relevant to the OFM Project are summarized in Table 3.

As can be noted, the number of Objectives changed and so did the sequential numbering and wording. According to the latest version, the new **Immediate Objectives** are:

- Objective 1: Establish effective project implementation support
- Objective 2: Enhanced trans-boundary management mechanisms
- Objective 3: Conservation and sustainable use of coastal and watershed resources
- Objective 4: To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities
- Objective 5: Maximise regional benefits of lessons learned from management of oceanic, coastal and watershed resources; and Catalyse donor support for conservation and sustainable oceanic, coastal and watershed management initiatives

The OFM objective is now Objective 4 and its wording has changed significantly. The new wording is more specific than and not as comprehensive as in the previous version. It has a single focus on institutional arrangements.

These inconsistencies and the necessary changes were noted early on by the Project Manager in his Inception Report to the First Regional Task Force Meeting in March 2001 (SPREP, 2002). At that time he noted with reference to the Project Document that “the relationship between the activities described in Part D, Immediate Objectives, Outputs and Activities, the UNDP Input Budget (Table 1), the UNDP Output Budget (Table 3) and the Logical Framework (Annex 1) was not clear.”

**Table 2. Objective 3 (referred to as Output 3) from the original Logical Framework Matrix in Annex 1 of the Project Document**

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<b>Output 3</b>			
<ul style="list-style-type: none"> <li>• Achieve sustainable development and use of ocean living marine resources</li> </ul>	<ul style="list-style-type: none"> <li>• Increased regional effectiveness in global ocean fisheries negotiations.</li> <li>• Increased regional benefit from tuna stocks in participating country EEZs.</li> <li>• Increased capacity in monitoring and surveillance of participating country EEZs.</li> <li>• Strengthened fisheries management capabilities within participating countries to secure added regional benefit.</li> </ul>	<ul style="list-style-type: none"> <li>• FFA and SPC documents. Specific regional benefits derived in international fisheries negotiations.</li> <li>• Country fisheries related economic reports.</li> <li>• Improved information on non participating country tuna and by-catch within country EEZs</li> <li>• Increased level of professional training opportunities for national fisheries personnel.</li> <li>• Increased quantitative and qualitative national fisheries participation in regional fora.</li> </ul>	<ul style="list-style-type: none"> <li>• Country benefits to be gained through regional cooperation justify country participation.</li> <li>• Increased benefits from the tuna stocks in country EEZs can be realized.</li> <li>• Short-term benefits of country by country approach to tuna fisheries may impede regional approach.</li> </ul>
<b>Outline 3</b>			
<ul style="list-style-type: none"> <li>• Capacity building for FFA and SPC.</li> <li>• Maximize regional benefit of tuna/by-catch fisheries.</li> <li>• Improved fish monitoring capability.</li> <li>• Improved fisheries management capabilities for regional effect.</li> <li>• Coordination/continued development of regional surveillance of enforcement activity.</li> <li>• Strengthened consultative processes for FFA member countries</li> </ul>	<ul style="list-style-type: none"> <li>• FFA and SPC records.</li> <li>• Development of GEF project related work programmes.</li> <li>• Availability of drafts and convening of expert meetings according to agreed work plan.</li> <li>• Development of implementation strategies for each specific activity</li> <li>• Development of implementation mechanisms for each activity</li> </ul>	<ul style="list-style-type: none"> <li>• Meeting reports.</li> <li>• Availability of work programme.</li> <li>• Project documents defining new and improved management arrangements on behalf of member countries</li> <li>• Project documents related to improved regional management regime for tuna fisheries/by-catch.</li> <li>• Project documents related to improved fisheries monitoring activities.</li> <li>• Project documents related to additional measures to strengthen country fisheries management capabilities.</li> <li>• Project documents related to improved regional surveillance and enforcement activities.</li> <li>• Project documents related to continued development for harmonized minimum terms and conditions for FFV access to EEZs.</li> </ul>	<ul style="list-style-type: none"> <li>• Country benefits to be gained through regional co-operation justify country participation.</li> <li>• Increased benefits from the tuna stocks in country EEZs can be realized.</li> <li>• Short-term benefits of country by country approach to tuna fisheries may impede regional approach.</li> <li>• Governments may not release appropriate staff for further training.</li> </ul>



Table 3. Objective 4 from the Logical Framework Matrix (as revised on 23 September 2003)

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities	<ul style="list-style-type: none"> <li>• Agreement reached in negotiations on new regional management arrangement</li> <li>• Basic framework for administration of new institution and science and compliance programmes established</li> <li>• Increased regional effectiveness in global ocean fisheries negotiations</li> <li>• Specific regional benefits derived in international fisheries negotiations</li> <li>• Increased regional benefit from tuna stocks in participating country EEZs</li> <li>• Increased capacity in monitoring and surveillance of participating country EEZs</li> <li>• Strengthened fisheries management capabilities within participating countries to secure added regional benefit</li> </ul>	<ul style="list-style-type: none"> <li>• MHL C documents</li> <li>• Prep Con documents</li> <li>• MHL C and Prep Con documents</li> <li>• Country fisheries related economic reports</li> <li>• MCS Working Group documents</li> <li>• National tuna management plans</li> <li>• Technical reports and reviews</li> </ul>	<ul style="list-style-type: none"> <li>• Framework for cooperation with foreign fishing states can be found</li> <li>• Country benefits to be gained through regional cooperation justify country participation</li> <li>• Increased benefits from the tuna stocks in country EEZs can be realized</li> <li>• Short-term benefits of country-by-country approach to tuna fisheries may impede regional approach</li> </ul>
To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities	<ul style="list-style-type: none"> <li>• Capacity for increased regional effectiveness in global ocean fisheries negotiations developed.</li> <li>• Improved FFA capacity to efficiently manage high quality information in support of the monitoring and surveillance requirements of participating countries.</li> <li>• Training and advice provided to strengthen fisheries monitoring capabilities to secure added regional benefit through improved national and regional oceanic fisheries management arrangements.</li> <li>• Enhance national capacity to manage tuna stocks within EEZs.</li> <li>• Improved scientific advice relating to regional tuna stocks, non-target species and the oceanic ecosystem available to support management decision-making.</li> </ul>	<ul style="list-style-type: none"> <li>• FFA and SPC documents.</li> <li>• Baseline study at Project start</li> <li>• Specific regional benefits derived in international fisheries negotiations.</li> <li>• Country economic reports that include the fisheries sector.</li> <li>• Improved information on tuna and by-catch within country EEZs</li> <li>• Reports from regional and national workshops focused on tuna fisheries management</li> <li>• Monitoring, control and surveillance arrangements promoting conservation and sustainable resource use strengthened on national and regional scales.</li> <li>• National tuna management plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Country benefits to be gained through regional cooperation justify country participation.</li> <li>• Increased benefits from the tuna stocks in country EEZs can be realized.</li> <li>• Regional tuna fisheries management arrangements do not include all major fishing interests and island States.</li> <li>• Changing national perspectives threaten regional solidarity on tuna fisheries administration and management arrangements</li> </ul>

- Advice and support to FFA Island States in their efforts to develop and implement arrangements for a new regional tuna management and conservation body provided.
- Options presented to Island States in support of their efforts to consider new approaches to regional tuna management.
- Proposal to replicate methodologies and best practices for sustainable ocean fisheries management.
- Refined regional consultative processes to strengthen regional capacity (FFA/SPC).
- MTCs reviewed and enhanced (FFA)
- Records of regional Preparatory Conference.
- Increased level of professional training opportunities for national fisheries personnel.
- Increased quantitative and qualitative national fisheries participation in regional fora.
- Arrangements in place for a new regional tuna conservation and management body.

The following table compares the list of Activities from the ProDoc with the lists that appear in the two Letters of Agreement between SPREP and each of the FFA and SPC.

**Table 4. 'Evolving' list of Activities**

	<b>FROM THE PROJECT DOCUMENT</b>	<b>FROM THE SIGNED LETTERS OF AGREEMENT</b>
3.1	Provide training to the Forum Fisheries Agency (FFA) to develop and implement project-related management arrangements on behalf of member countries. A regional fisheries management workshop will be convened	To provide technical assistance and support to the FFA to build project-related capacity nationally and regionally and to devise and implement project-related management arrangements with participating countries
3.2	Provide training to the Secretariat of the Pacific Community (SPC) to provide additional, project-related scientific advice and to accommodate additional reporting responsibility deriving from its involvement in project activities	Provide training and advice to strengthen fisheries monitoring capabilities, including monitoring of non-target species through appropriate mechanisms, such as observer and sampling programmes, with participating countries to secure added regional benefits through national and regional oceanic fisheries management arrangements
3.3	Provide initial support to FFA member countries to develop additional and appropriate national ocean fishery management regimes. Their commitment will be secured with the aim to maximize regional benefit from the regional tuna fishery and its associated by-catch. This will include the convening of in-country fisheries management workshops	To review and enhance FFA's capacity to efficiently manage high quality information in support of the monitoring, control and surveillance requirements of participating countries
3.4	Provide support for increased fishery monitoring, including monitoring of non-target species through appropriate mechanisms, such as observers and sampling programmes at the national and regional levels. This will include the convening of in-country fisheries management workshops	Provide initial support to participating countries to develop additional and appropriate national ocean fisheries management regimes to maximize regional benefit from the regional tuna fishery and its by-catch
3.5	Strengthen, through the provision of additional training, the fisheries management capabilities of the National Fisheries Administrations and similar organizations in participating countries. This will include the convening of in-country fisheries management workshops	Strengthen, through the provision of additional training, the fisheries management capabilities of national fisheries administrations in participating countries
3.6	Support the coordination and continued development of regional surveillance and enforcement. GEF support will top up the FFA's Monitoring Control and Surveillance System in order to deliver accurate and relevant information to the participating countries to support the control of illegal fishing and other threats to resource sustainability. Please see Annex 11 for further details	Improve biological information relating to regional tuna stocks, non-target species and the oceanic ecosystem available to support management decision-making
3.7	Coordinate and refine consultative processes among FFA member countries with the objective of strengthening regional capability. This is an activity that will be implemented and financed by the Forum Fisheries Agency and the Secretariat for the Pacific Community. This will be undertaken through a series of joint FFA/SPC international meetings	Prepare a project proposal to catalyze and replicate methodologies and best practices for sustainable ocean fisheries management based on an evaluation of project capacity-building activities. This activity necessitates a study of baseline situations at project commencement
3.8	Provide assistance to review and further develop harmonized minimum terms and conditions for foreign fishing vessel access to the EEZs of participating countries. This is an activity that will be implemented and financed by the Forum Fisheries Agency	Coordinate and refine consultative processes among FFA member countries with the objective of strengthening regional capability. This is an activity that will be implemented and financed by Forum Fisheries Agency and the Secretariat of the Pacific Community
3.9	Prepare a project proposal to catalyze and replicate methodologies and best practices for sustainable ocean	Provide assistance to review and further develop measures for enhancing the management of foreign

	fisheries management based on an evaluation of project capacity-building activities	fishing vessels and promoting the development of domestic fishing fleets in participating countries. This is an activity that will be implemented and financed by the Forum Fisheries Agency
2.7	Develop criteria for the selection of three demonstration projects with the objective to further identify regional elements necessary to the long-term sustainability of coastal fisheries	Assist with the development of criteria associated with identifying sites for demonstration projects addressing long-term sustainability of coastal fisheries issues
2.8	Develop three projects that demonstrate appropriate methodologies and best practices per the criteria per activity 2.7 above. Ensure the active participation of all stakeholders in the development of methodologies, especially local communities and women	Participation in the implementation of demonstration projects that address issues associated with the long-term sustainability of coastal fisheries. Such projects may be linked to related activities undertaken by SPC

## 2.2.2 Outputs and Activities

According to the ProDoc text, Objective 3 which is the focus of the OFM component, has only one output, “regional-level methodologies and best practices for the conservation and sustainable yields of ocean fisheries” (UNDP, 1999) and there are nine Activities under this Output.

However, Annex 1 to the ProDoc, which is the LogFrame Matrix, replaces the term “Objectives” with “Outputs” and the confusion is further compounded by the omission of specific reference to “Activities” which are presumably contained in the bulleted list which seems to relate directly to the Objective. As with the wording of the Objective itself, there have been changes in the number and wording of the Activities.

Table 4 above compares the list of activities from the ProDoc with the lists that formed the basis of the Letters of Agreement between SPREP and each of FFA and SPC and as can be seen from the table, some of the changes in Activities go further than mere changes in sequence and numbering and these are discussed below:

**Activity 3.1** No substantive change.

**Activity 3.2** Changed to reflect a significant shift from capacity building at SPC to capacity building for fisheries management in participating countries.

**Activity 3.3** Renumbered as 3.4, but no substantive change.

**Activity 3.4** Has been renumbered 3.3 and there has been a shift from supporting monitoring activities at national and regional levels to reviewing and enhancing FFA’s capacity for data management in respect of MCS.

**Activity 3.5** Apart from removing the reference to “in-country fisheries management workshops”, the new activity also removes “similar organizations” as recipients of training benefits which are now focused exclusively on “national fisheries administrations”.

**Activity 3.6** The Activity numbered 3.6 has been completely replaced by another activity of the same number. Apart from an indirect reference in the new Activity 3.3 which is exclusively targeted for FFA capacity-building, there are no activities to enhance the MCS capacity of participating countries. The new Activity 3.6 has a research focus.

**Activity 3.7** Renumbered 3.8 with no substantive change except the omission of the reference to the “series of joint FFA/SPC international meetings”.

**Activity 3.8** This activity is now shown as 3.9 and it abandons the development of “harmonized minimum terms and conditions for foreign fishing vessel access to the EEZs of participating countries” and it aims to promote “the development of domestic fishing fleets”. It is also interesting to note that this new activity is

shown as number 3.10 in the Annual Progress Report of the OFM Component for July 2002 to June 2003 (GEF/UNDP/SPREP, 2003)

**Activity 3.9** This activity (now numbered 3.7) is extended to specifically cover “a study of baseline situations”.

**Activity 2.7** This activity appears on the signed Letter of Agreement between SPREP and SPC, however, it has been the subject of reservations expressed by SPC and it has not been implemented by them. Nevertheless, and although it does not form part of the OFM Component, it was subject to a change of wording, albeit to reflect the PCU’s wish for SPC involvement.

**Activity 2.8** This activity too appears on the signed Letter of Agreement between SPREP and SPC, and like the one above has been the subject of reservations expressed by SPC and it has not been implemented by them. Although it does not form part of the OFM Component, it was subject to a change of wording, albeit to reflect the PCU’s wish for SPC involvement.

The latest version of the expected Outputs from the OFM Project that was made available to the Evaluation Team was in the Terms of Reference. They were referred to as ‘key pilot activities’ and are shown in Table 5 below together with an indication of their respective links with previous lists of activities.

The overall focus of the OFM Project Activities was the MHLC and PrepCon process. This is very much in line with the new Objective 4, as revised on 23 September 2003, namely, “To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities”. While this is laudable, it does raise some questions such as - When did the changes occur? Why were they necessary? Were they discussed by stakeholders and beneficiaries before they were adopted? Who approved them?

**Table 5. Latest list of Activities**

<b>KEY PILOT ACTIVITIES (from Evaluation Terms of Reference)</b>	<b>FOCUS AND LINKS WITH PREVIOUS ACTIVITIES (as agreed in signed Letters of Agreement)</b>
Providing support for the process of discussions and negotiation between Pacific Small Islands Developing States (SIDS), other coastal states of the Western and Central Pacific Ocean (including Indonesia and the Philippines) and fishing states, on a new regional arrangement for the conservation, management and sustainable development of trans-boundary stocks of highly migratory species and related species, including support for effective participation by Pacific SIDS.	The focus is the series of MHLC, PrepCon and related events. Activities 3.1 and 3.4
Providing training to Pacific SIDS to strengthen their understanding and capacity to participate in the process of preparing new arrangements for trans-boundary fish stocks, and to identify the necessary policy, legal and institutional reforms at national level associated with implementation of the new arrangements.	Once again MHLC and PrepCon events, together with the obligations arising from the Convention. Activities 3.4, 3.5
Providing technical assistance through existing regional organisations to support Pacific SIDS in the development and implementation of new regional and national conservation and management arrangements for trans-boundary stocks of tuna and related species, and provide additional scientific knowledge and information about these stocks and the Western Tropical Pacific Large Marine Ecosystem (WTP LME). The outputs of the scientific work include enhanced scientific information on regional tuna stocks through developments in stock assessment methodology, including analysis of stock-specific reference points, and improved flows of information from regional programmes and databases.	Once again MHLC and PrepCon events, together with the scientific basis for management. Activities 3.1, 3.2, 3.4 and 3.6
Characterising the WTP LME through a programme of biological and ecological monitoring, research and analysis.	Research on broad ecosystem approach. Activity 3.6

The Evaluation Team notes that the reservations regarding the wording and substance of the Objectives, Outputs and Activities, which surfaced very early in the Project, were discussed at the First Regional Task Force Meeting in 2001, and apparently in the subsequent Multipartite Review Meetings in 2002 and 2003. According to the meeting reports and selected working papers (SPREP 2002, GEF/UNDP/SPREP 2002, 2002a, 2003 and 2003a) made available to the Evaluation Team it appears that the decisions to amend the Objectives, Outputs and Activities were not made at these multilateral meetings of stakeholders as expected, but took place after further consultation by circular letter following the meetings.

### **2.2.3 Public participation under the original Objective 4**

The original Objective 4 in the ProDoc (UNDP, 1999) makes specific reference to the OFM Project. In promoting “the extrapolation of lessons learned” to future investments in OFM activities, the active involvement of the NGO community was considered necessary. This was reflected in the following activity in the main text:

Activity 4.5 Create a public participation programme aimed at key stakeholders for the OFM component of the Project.

However, in the LogFrame Matrix (Annex 1) of the same document, the wording and the meaning are changed significantly and it states under bullet 5 :

Identify key stakeholders for the OFM component.

By the time the latest version of the LogFrame Matrix is produced (September 2003), all reference to stakeholders of the OFM Component seems to have been removed and there is no mention of it under the newly numbered Objective 5.

### **2.2.4 Comment**

It is usual and desirable to reflect changing circumstances, lessons learnt and experience gained during the implementation of a project, by reviewing and revising the various outputs and activities, usually by revising the LogFrame Matrix. The initiative for such changes can be expected to come from those involved with the implementation of the project and, following appropriate discussion, the changes are agreed to and sanctioned by the Project Steering Committee, the Multipartite Review Meeting or similar body.

In the case of the OFM Project, the need for revision was identified by those implementing the project but the justification is not entirely clear and the changes were only approved in principle by the appropriate body. It would seem that many of the changes were necessitated by the inconsistencies between the SAP, the Project Concept and the ProDoc, and the low level of consultation with prospective stakeholders (FFA and SPC) at the project formulation stages leading to weak project design. There is also a feeling that some of the changes were a means of adapting the outputs and activities to fit what was taking place anyway, rather than the other way round. When the work of the executing agencies did not reflect the agreed Activities of the UNDP/GEF OFM Project, it was the Project Activities that were changed to fit.

## **2.3 Main stakeholders and beneficiaries**

### **2.3.1 Stakeholders**

The key stakeholders, according to the Evaluation Team’s Terms of Reference are GEF, UNDP, FFA, SPC, SPREP and stakeholders in participating countries. These countries are Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.

UNDP sees FFA, SPC, SPREP, UNDP and the Pacific Island Governments as the stakeholders. The PCU agrees that these are the primary stakeholders but adds “fishing states, Pacific territories, other coastal States sharing the resource (Indonesia, Philippines, Australia, New Zealand, etc) and the global tuna industry” as secondary stakeholders. SPREP has a similar approach in its identification of stakeholders and sees the 14 Pacific Island Governments, FFA, SPC and SPREP as the primary stakeholders and adds that “local industry, the industry and fisheries administrations of distant water fishing nations are also stakeholders”.

GEF, which is the main funding agency, is only identified as a stakeholder in the Terms of Reference and by the PCU. On the other hand UNDP, SPREP, FFA, SPC, and the participating governments are correctly recognized as primary stakeholders. UNDP is the Implementing Agency from the perspective of GEF. SPREP is the contractual Executing Agency for the full IW-Project but it has ‘sub-contracted’ the OFM Component to FFA and SPC. FFA has had primary responsibility for implementation of Activities 3.1, 3.3, 3.4, 3.5, 3.7 and 3.9. SPC, namely its Oceanic Fisheries Programme, has had primary responsibility for implementing Activities 3.2 and 3.6. FFA and SPC share responsibility for Activity 3.8.

While the OFM component of the IW-Project is considered “principally inter-governmental in nature”, non-government organizations (NGOs), communities and resource users are also considered as secondary stakeholders by those consulted, with the PCU having the broadest range of identified stakeholders.

The SAP had described “the establishment of effective partnerships between NGOs, the private sector and government” as “essential to sustainable development”. The Project Document subsequently noted that implementation of the IW-Project was expected to “involve and build upon the complementary skills and experience available from organizations and groups active in the region” (UNDP, 1999). It is also worth noting that according to GEF OP#9, “stakeholder involvement and participation of different sectoral ministries in each recipient country constitute important elements of GEF activities concerning international waters ... Participation of these various stakeholders (including the private sector) within and across countries can improve the quality, effectiveness, and sustainability of projects” (GEF, undated).

As has already been noted above, the original intention was for the Project to “create a public participation programme aimed at key stakeholders for the OFM component” or at least “identify key stakeholders for the OFM component” (UNDP, 1999). However, in the changes that have been made to the Objectives, Outputs and Activities, all reference to stakeholders has been removed altogether. In fact, as SPC pointed out, “stakeholder involvement generally has been fairly weak in most aspects of the project”.

### **2.3.2 Beneficiaries**

As stated in the Project Document (UNDP, 1999), the “beneficiary countries” of the IW-Project are Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu. “Primary target beneficiaries” include governmental organisations, NGOs and community-based organisations (CBOs). For the OFM component, the principal beneficiaries were expected to be government policymakers engaged in the management of the oceanic fisheries resources (from Fisheries, Foreign Affairs and Legal Ministries and Departments). In other words, the OFM component targeted primarily those responsible for developing and implementing effective fisheries management regimes at the national and regional levels.

The ProDoc (UNDP, 1999) also identified “secondary target beneficiaries” which included intergovernmental organisations (namely SPC, FFA and SPREP) and the private sector. However, in the view of the Evaluation Team, FFA and SPC have been very much primary target beneficiaries in view of the capacity building and funding support they have received from the OFM Project.

UNDP sees the governments and the participating countries in general as beneficiaries but also adds “the global environment”. SPREP agrees with this view while the PCU considers all the primary and secondary stakeholders as beneficiaries of the project.

While the importance of oceanic fisheries to Pacific Island communities may vary across the region (in terms of government revenue, employment, food supplies, etc), there is a common interest in promoting or enhancing economic and social benefits from the oceanic (namely tuna) fishery. There is potential for increased economic gain, through the introduction of the Western and Central Pacific Fisheries Convention and associated domestic industry development. As coastal fisheries become more depleted and degraded, there is an expectation that oceanic fisheries will assume greater importance in the domestic context. According to the ProDoc (UNDP, 1999), sustainable use of oceanic fisheries will also help to reduce pressure on coastal fisheries.

### **2.3.3 Comment**

The participating countries certainly have a stake in the IW-Project, but they appear to have invested little in the OFM Component and are seen more as beneficiaries than stakeholders. In fact, the secondary beneficiaries of the OFM Component would include almost every family in the Pacific Islands since most have an interest in fishing (as a livelihood, source of food or way of life). The industry is reputed to generate around US\$60-US\$70 million in access fees and these economic gains from the oceanic fishery are expected to be sustainable.

In view of the above, it is surprising that among the changes that have taken place in the wording, etc, of the Objectives, Outputs and Activities of the OFM Component, all reference to public participation activities has been removed altogether.

## **2.4 Results expected**

As noted in Section 2.1 above, the root causes of the problems identified in the ProDoc for action by the OFM Component of the IW-Project were determined to be “Lack of monitoring and enforcement of regulations” and “Lack of trained staff for surveillance.” A contributory factor was deficiencies in management (linked to problems of governance and understanding). With respect to the OFM Component, this problem was highlighted by the geographical and functional gaps in fisheries management regimes in the Western Tropical Pacific LME. The results of the OFM Project could be expected to include monitoring and enforcement regulations (and their effective implementation), a cadre of trained surveillance staff, and improved management capacity, coupled with improved governance and understanding of the resource.

According to the ProDoc (UNDP, 1999), the OFM component of the IW-Project “will ensure the sustainable harvesting of the oceanic fish stocks”. It was expected that the project “will build capacity of the participating countries to develop and implement regional fisheries management programmes and agreements (including legal issues)”.

Capacity would be strengthened through increasing knowledge of the oceanic fish resources of the Western and Central Pacific Ocean, including status of exploitation, and through building more effective and cohesive management and conservation arrangements. This would be expected to result from a number of pilot activities carried out at national and regional levels by the FFA and SPC. These were to include training (in science, fisheries management, legal issues, compliance and enforcement), technical assistance (for example in developing national tuna management plans), financial and technical support to participate in regional and international negotiations, and research (see Section 2.2 above).

Through these activities, the geographical and functional gaps in management would be addressed and the conservation and sustainable yield of the oceanic fisheries promoted. In addition, increased domestic benefits from the tuna fishery would be achieved, thereby alleviating pressure on over-exploited coastal fisheries.



Another expected result of the IW-Project, according to the ProDoc (UNDP, 1999), is ensuring sustainability of the project “by strengthening existing national and regional coordinating mechanisms ... The project will have assessed options for creating financial and institutional sustainability, undertaken consultations and held a donor conference to secure necessary further investments’.

Finally, the ProDoc (UNDP, 1999) predicted that the IW-Project would demonstrate a “high potential for successful replication both within and outside the region”. For the OFM component, this would involve preparation of a project proposal to “catalyze and replicate methodologies and best practices” relating to sustainable fisheries management.

## **2.5 Implementation arrangements**

The pivotal role of SPREP in project implementation is spelled out clearly in the ProDoc without any distinction between the two components. According to the ProDoc “SPREP will be fully responsible for reporting, accounting, monitoring and evaluation of the project together with UNDP, in full accordance with UNDP’s procedures for National Execution (NEX) ... SPREP and UNDP will also be responsible for the supervision of the management and audit of the allocation of UNDP/GEF resources. SPREP will be accountable to the participating Governments and to UNDP for the production of outputs, for the achievement of project objectives and for the use of UNDP/GEF resources.”

The Project Manager, located in the Project Coordination Unit (PCU), has responsibility for day-to-day Project implementation. The PCU is established as a ‘distinct unit’ within SPREP, with the Project Manager reporting directly to the Director of SPREP and to the UNDP Resident Representative. SPREP, meanwhile, has financial control of GEF project implementation. With respect to the OFM component of the IW-Project, the ProDoc provides that this will be implemented largely by FFA and SPC, according to a Memorandum of Understanding signed with SPREP. This subsequently took the form of Letters of Agreement between SPREP and FFA and between SPREP and SPC according to which FFA and SPC are the Executing Agencies for the OFM component and all OFM staff is located at the two agencies.

The Letters of Agreement with SPREP detail the administrative arrangements for implementation of the OFM Project. Amongst other things, SPREP undertakes to facilitate FFA and SPC requests to UNDP for advances for quarterly payments and to make payment of the necessary funds to support FFA and SPC activities under the Project. For their part, FFA and SPC undertake to carry out activities according to the Work Plan and to ensure that their activities are coordinated. FFA and SPC also agree to provide quarterly financial reports (including reports of complementary or counterpart funding from other sources) with their requests for cash advances. Both organizations also undertake to provide quarterly and six monthly progress reports to SPREP.

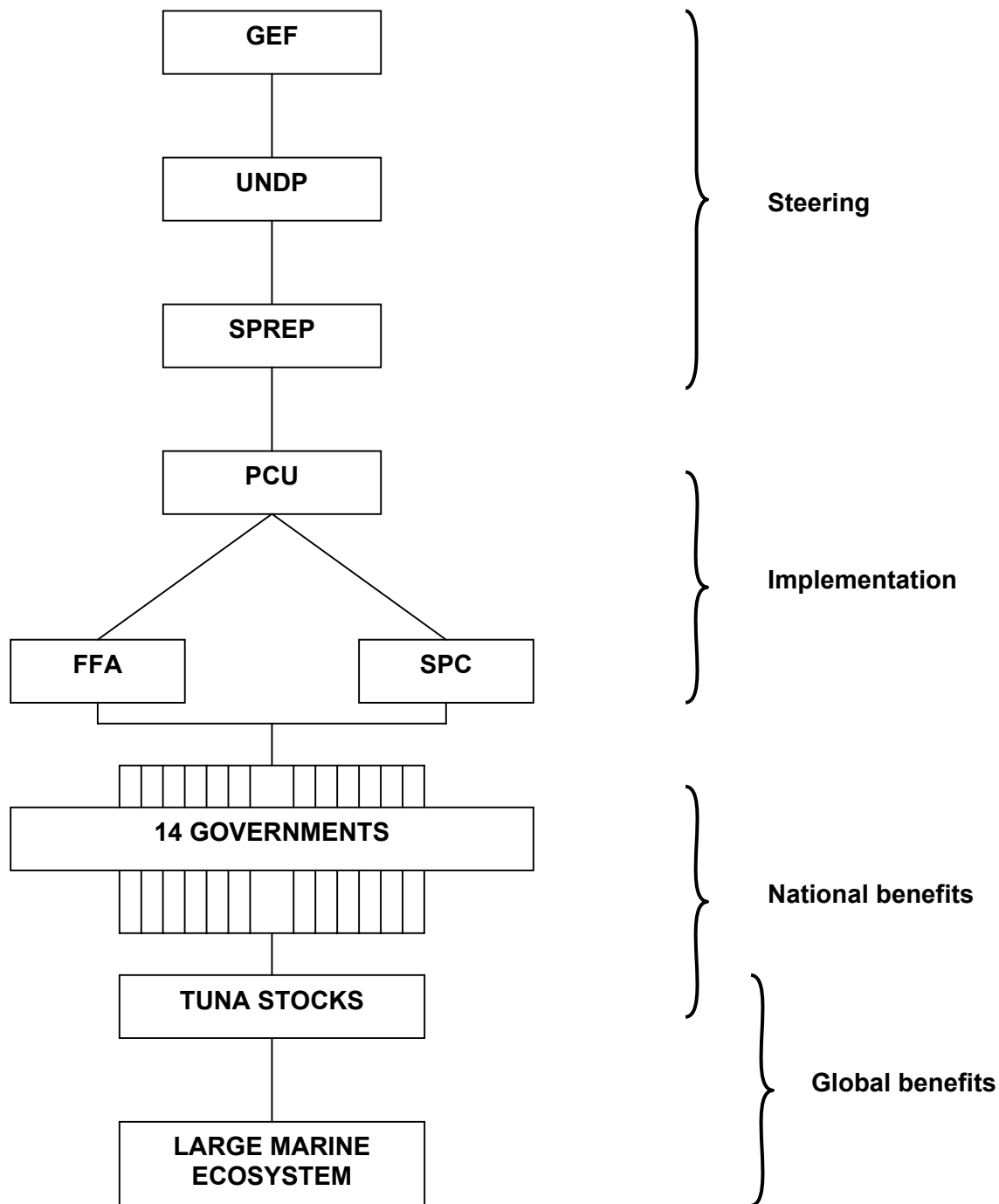
Reference is made in the Letters of Agreement to the participation of FFA and SPC in the work of the Regional Task Force/Programme Technical Advisory Group. The Regional Taskforce was subsequently replaced by the Multipartite Review process, and this undertook annual reviews of the Project. Monitoring arrangements are discussed in more detail below (Section 3.2.4). Both Parties also agreed that the work of National Fisheries Support Officers and National Coordinators will be coordinated.

Within FFA, the tasks of coordinating the work of the OFM component were delegated to the Corporate Services Manager. This person was responsible for finalising narrative and financial reports to SPREP, through the PCU, and for chairing internal meetings of FFA on the work of the Project. When this position was vacated in October 2002, the role of Project Coordinator was assumed, in large part, by the Economics and Marketing Manager.

Within SPC, the project has been coordinated by the Manager of the Oceanic Fisheries Programme who also assumed responsibility for reporting to SPREP.

The diagram below summarizes the project implementation framework from the perspective of GEF.

OFM Project implementation framework from GEF perspective



## **3 Findings and Evaluation**

### **3.1 Project design**

#### **3.1.1 Project Document**

A Project Document (ProDoc) is expected to set out in a standard, recognizable format, the blueprint for activities that are to be supported so as to reach the set objectives. It serves as the reference document for all involved in the project, from the funding partners, to the Steering Committee or similar body, project management and administration, those implementing the activities and the beneficiaries.

The ProDoc is also the main reference document for an evaluation exercise.

The Evaluation Team came up against some rather critical comments in relation to the ProDoc. According to the Inception Report by the Project Manager, “major components of the Project Document were difficult to interpret ... the relationship between the activities described at Part D, Immediate Objectives, Outputs and Activities, the UNDP Input Budget (Table 1), the UNDP Output Budget (Table 3) and the Logical Framework (Annex 1) was not clear with the result that it was not possible to confidently identify financial resources described in the Project Document with the activities and outputs envisaged under the Programme” (SPREP, 2002).

The Project Manager also noted “that there was little evidence that critical baseline information had been adequately assimilated into the formulation phase for the Programme, that little attention had been paid to lessons that had been learned from related programmes previously implemented in the region and that issues, such as indicators of success, as well as a thorough treatment of partnership responsibilities, and monitoring and evaluation strategies had received insufficient attention” (SPREP, 2002). He also referred to errors of fact, incorrect assumptions and poor descriptions of activities and that the integration of the two components was not efficient.

In consultations with the Evaluation Team, SPC said that they did not refer to the ProDoc for guidance, while according to FFA, the ProDoc only provided guidance after issues associated with activity descriptions and terminology had been resolved. Further discussions with other stakeholders confirmed that the ProDoc was deficient in parts.

The implementation of the Project was delayed (due to start in 1998 but not activated until 2000), in large part due to the lengthy formulation and finalisation of the ProDoc. Problems with the ProDoc had the potential to cause inefficiencies and complications. However, according to the PCU, the clear delineation of mandates (FFA, SPC and SPREP) meant that these did not lead to too many constraints for the OFM Component and impacted more on the ICWM Component. Moreover, problems with the ProDoc were resolved early in the process through cooperation between the Executing Agencies and SPREP and UNDP. The delay in the project start-up also proved beneficial for the OFM Component since it enabled support Pacific Island participation throughout the Preparatory Conference process (2001-2004). This would not have been possible had the Project commenced (and ended) sooner.

In view of the concerns expressed about the ProDoc, the Evaluation Team decided to review it in some detail and has used it as the departure point for their evaluation work. The following table is a summary of the Evaluation Team’s assessment on the extent to which the ProDoc for the IW-Project is considered to satisfy the usual requirements of such documents and whether it could provide the expected guidance for those implementing and executing the project, in particular the OFM Component.

**Table 5. Evaluation of the ProDoc as a document and guide**

PRODOC SECTIONS AND SUB-SECTIONS		EVALUATION TEAM COMMENTS
Section A Context	A.1) Description of sub-sector	This section provides a comprehensive background to the project and describes its development context in some detail, especially the socio-economic perspective. There is good coverage of both the coastal and oceanic environments. The SAP summary is useful and it makes the case for an integrated approach to the management and protection of coastal and oceanic resources.
	A.2) Prior and on-going assistance	
	A.3) Regional and country strategies	
	A.4) Strategic Action Programme formulation	
	A.5) Institutional framework for sub-sector	
	A.6) Summary of SAP	
Sections B – Project justification	B.1) Problems to be addressed : the present situation	It is ironic that under the OFM sub-section the discussion centers on the problems faced by inshore fisheries and the coastal environment and it do not identify any problems in ocean fisheries or the oceanic environment.
	B.2) Rationale for GEF support	The discussion is almost exclusively on the coastal environment and does not seem to make the case for GEF support since there is not even a mention of global benefits. This is surprising since OFM has a truly international/global character and could have been used to provide the rationale for GEF support for the whole IW-Project given that the ICWM and the OFM were meant to be closely linked.
	B.3) Expected end of project situation	Only a slight mention of OFM, but it lacks vision. Not very helpful.
	B.4) Target beneficiaries	The discussion on beneficiaries is weak and does not apply to OFM. See Sections 2.3 and 3.2.2 of this Report.
	B.5) Project strategy	Refers superficially to the integration that will take place between two separate components, ICWM and OFM, but does not enunciate the strategy for achieving this.
	B.6) Institutional arrangements	Clearly identifies SPREP as the organization with full responsibility and accountability for both components. See Section 3.2.1 of this Report.
Sections C and D : Development Objective, Immediate Objectives, Outputs, and Activities	C) Development Objective	A bland statement with no supporting discussion or elaboration. Not very helpful; not very inspiring.
	D.1) Immediate Objective 1	This section is confusing. The usual logic of adopting an objective to aim for, identifying the outputs that will help achieve it and formulating the activities that will need to be carried out to obtain the outputs, is missing. Instead, there is an inconsistent use of terminology and the relationship between Objective, Outputs and Activities is unclear. It would seem that the OFM Objective is the one that has suffered most from this weakness, with the result that a number of revisions have been necessary. This is discussed more fully in Section 2.2 of this report but focusing only on the OFM Objective.
	D.2) Immediate Objective 2	
	D.3) Immediate Objective 3	
	D.4) Immediate Objective 4	
Section E - Inputs	E.1) Description of Inputs	Good description of the inputs required in general. However, once again, the focus is on the inshore/coastal work. For example, in discussing the expertise required, the 3 specialists who will be working on the ICWM component are identified while there is no mention of the 4 full-time positions required for the OFM component.  As noted by the Project Manager (see Section 2.2) there are inconsistencies between the Budget by Inputs and the Budget by Outputs. See discussion in Section 3.3.
	E.2) Budget	There is no separate section E.2 and the budget is given under the previous section.

<b>Sections F, G, H, and I</b>	F) Work Plan	The proposed Work Plan for Objective 3, the OFM component, is most unhelpful – it simply indicates that all the activities will be undertaken all the time, and there is no discussion or explanation. It seems to have been written either prematurely, or by someone who did not have an understanding of what was being proposed, or it indicates that the GEF funds were supporting on-going activities.
	G) Risks	Some risks are identified but there is no mention of what measures are to be taken by the project in order to minimize or manage these risks. See also Section 3.2.3.
	H) Sustainability	The discussion on sustainability is somewhat superficial and could have been made more substantive by reference to the institutional framework that was targeted by the OFM component. See Section 3.4.3.
	I) Obligations and pre-requisites	This is hardly a discussion on obligations and pre-requisites. If there were none, it should have said so.
<b>Section J</b>	J.1) Implementation arrangements	This section describes in some detail the establishment of the PCU and the pivotal role of SPREP in project implementation. It also mentions the Regional Task Force and its functions. It fails to make a distinction between the ICWM and the OFM components and there is no mention of the arrangements intended between SPREP and FFA and SPC for the executing of the OFM component. It provides no helpful guidance whatsoever to those involved with the OFM component.
	J.2) Financing and Contracting Arrangements	Good reference to the necessary arrangements which will be entered into between SPREP and FFA and SPC. However, it would have been more helpful, had it identified some of the elements that MoU with the two organizations need to provide for. See Section 3.2.1.
<b>Sections K, L and M</b>	K) Project review, reporting and evaluation	Reasonable coverage, but no detail and no real strategic approach to monitoring and evaluation. No mention of stakeholder involvement in monitoring. See Section 3.2.4.
	L) Lessons learned and technical reviews	As the Project Manager lamented in his Inception Report, this section does not identify lessons that have been learnt from past experience and which could be applied to this project. Instead it provides a discussion on IW-LEARN and on TRAIN-SEA-COAST which seems out of place.
	M) Legal context	Standard text seems to have been cut and pasted without any attempt to reflect the particular circumstances of this particular project. Some of this material could have been usefully explored under Section (I) Obligations and Pre-Requisites.
<b>Annexes</b>	Annex 1. Logical framework	The terminology used is confusing. There are inconsistencies between the wording used in the text and that used in the LogFrame Matrix. Subsequently amended a number of times.
	Annex 2. Incremental cost assessment and matrix	It is difficult to evaluate the increment knowing that the Objective for the OFM component has been subsequently changed.
	Annex 3. List of on-going and planned projects	Projects totaling \$24.7 million are noted as planned or on-going and relevant to Objective 3.
	Annex 4. Table of environmental threats	Under “Unsustainable exploitation of resources” and the single sub-set of “over-fishing of oceanic resources”, the problems identified are - “Excessive by-catch and discards. Poor fishing gear selectivity especially purse seine/longline”, and the root causes are – “Lack of monitoring and enforcement of regulations. Lack of trained staff for surveillance”. The OFM Project is meant to be addressing these identified root causes.

Annex 5. Background information on the SPREP	Interesting, but makes no reference to the IW-Project and does not appear very relevant to the OFM component.
Annex 6. Terms of References	The 3 OFM positions are well covered.
Annex 7. Regional Task Force Members for SAP Formulation	3 out of the 16 members could be expected to have a close knowledge of Pacific oceanic fisheries.
Annex 8. National Task Force Members for SAP Formulation	One out of 13 has a fisheries background.
Annex 9. Draft Schedule of Project Reviews	Good preliminary schedule. No intention of evaluating the ICWM and the OFM components separately.
Annex 10. Organogram	OK but not particularly clear in terms of the relationships.
Annex 11. Data Verification for FFA MCS Systems	Is this a project within a project? Its status is not clear in spite of the reference to Activity 3.6 which was later replaced by a related but quite different activity.
Annex 12. Project brief	Not attached to the copy made available to the Evaluation Team but not considered necessary.

The ProDoc was built on the SAP which is still considered as a good document that had identified the problems of the region and their root causes. However, as can be seen from the critical analysis above, the ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.

### **3.1.2 Indicators adopted**

Objectively verifiable indicators describe a project’s objectives and outputs in measurable and empirically observable terms and provide the basis for performance measurement and project monitoring and evaluation. They are parameters of change or of results, indicating the extent to which the project objectives and outputs have been achieved. Indicators help to create transparency, conveying to others what the project intends to achieve.

Indicators must be selected in terms of ‘targets’, such as:

Quantity	how much?
Quality	what?
Target group	who?
Time/period	starting when and for how long?
Place	where?

The indicators adopted in the original LogFrame Matrix are a mixture of outputs, means of verification and some true indicators. However, even the latter are difficult to verify objectively since they are not adequately targeted. For example, how can one measure in a meaningful and objective way “increased regional effectiveness”, or “increased regional benefit”, or “increased capacity in monitoring and surveillance”, or “strengthened fisheries management capabilities”?

According to the FFA, the indicators adopted in the original LogFrame Matrix were too broad to be of practical use. More specific indicators were developed later but apparently they were not used as intended.

The list of indicators in the revised LogFrame Matrix still includes the original ones which are not very useful but on the whole it is more helpful and there are some indicators among them which could be objectively

verifiable, with minor refinements. For example, “agreement reached in negotiations” – by when? “Specific regional benefits derived” – what, precisely? “Training and advice provided” – how many trained? However, the majority of adopted indicators in the list are still impossible to verify, objectively or otherwise.

### **3.1.3 Linkages between the OFM Project and other interventions**

There was a clear intention in the ProDoc that the IW-Project “will be undertaken ..... in two complementary, linked consultative contexts: integrated coastal and watershed management (ICWM) and oceanic fisheries management (OFM).” However, in the implementation of the IW-Project, the ICWM Component and the OFM Component have not been linked and the Evaluation Team felt that in some respects, there appears to have been a decision at times to keep the two components completely separate. For example in the scope of the Mid-Term Evaluation, the scope of reporting to the SPREP Governing Council, and the membership of the MPR Meetings (from environment agencies and unable to discuss the OFM).

On the contrary, a high level of complementarity has been forged between the OFM Project activities and existing activities underway within the Executing Agencies (FFA and SPC). According to FFA, extensive linkages were established with its other programmes, the most notable being work on developing tuna management plans at the national level, funded in large part by the Canada-South Pacific Ocean Development programme (C-SPOD). It was pointed out that the Fisheries Management Advisor, funded under the GEF IW-Project, assisted with the development of tuna management plans funded by C-SPOD. When C-SPOD funds for this activity were exhausted, GEF funds were utilised to continue the work. Other FFA activities supported by the Project included the review of the Palau Arrangement for the management of the purse seine fishery in the Western and Central Pacific, reviews of national fisheries legislation, observer training and licensing arrangements for foreign fishing vessels.

According to SPC, the activities of the OFM component are “tightly integrated” into the overall strategic plan and annual work plans of the Oceanic Fisheries Programme (OFP). The fishing monitoring and stock assessment activities of the Project complemented other parts of the OFP; the most significant link being with the activities funded by the European Community under the PROCFish project. In addition, the ecosystem work supported by the Project has contributed “much needed scope” to the OFP’s biology and ecology activities.

It is apparent that the OFM Project served to further enhance collaboration between FFA and SPC. The activities where such collaboration and coordination have been most significant include data collection, national fisheries management planning and support to Pacific Island states in international negotiations. On the other hand the Project forged few linkages between FFA, SPC and SPREP. The reason for this, according to SPREP, is because tuna ecosystem issues are principally the mandate of the SPC and FFA. Moreover, it is important to minimise the overlap in interests between organizations in order to avoid competition for resources and confusion among stakeholders. According to SPREP, the only linkages between the OFM component and SPREP related to by-catch issues, principally turtles and longline interaction issues.

No linkages were recorded or observed between the OFM component and other UNDP activities in the region as there were no related projects supported by UNDP. Relationships with other GEF initiatives (such as IW projects and IW-LEARN) were not strong.

An important link with the University of the South Pacific could not be established, mainly because the University does not have a complementary fisheries research and management programme.

In conclusion, the OFM Component was kept separate from the ICWM Component. However, while it did not create any new or additional linkages at the regional or global levels, it did strengthen linkages where they already existed, namely complementarities within and between FFA and SPC. This may also be regarded as a useful strategy for achieving project outcomes.

## **3.2 Implementation and execution**

### **3.2.1 Management, coordination and operational issues**

The extent and effectiveness of collaboration and coordination between FFA and SPC are a subject of much pride for the two organizations. They have a tradition of working together and of supplementing each other's efforts. This strong working relationship has been the subject of a Memorandum of Understanding between the two organizations since 1997 and has recently (November 2003) been revised. The MoU addresses specifically their "collaboration in the development, conservation and management of the tuna and related resources of the Western and Central Pacific", their "currently excellent mutual understanding to facilitate the attainment of their common objectives", and the definition of their respective work areas including specific activities.

There is no doubt that this positive situation has served the OFM Project well.

Both FFA and SPC consider their relationship with the PCU as having been excellent and the PCU has expressed reciprocal positive sentiments about their relationship with the two executing agencies - "due to the established institutional framework for oceanic fisheries in the region, and FFA's and SPC's high level of professionalism, implementation arrangements worked well and were effective. The lesson is that implementation efficiency is improved when a Project is supported by such arrangements".

The relationship of FFA and SPC with SPREP and UNDP (through the PCU) was also described as good. For example, the degree of flexibility demonstrated by UNDP in response to proposals for refinement (for example extension arrangements) is quoted widely as a positive ingredient and is credited with having had a significant impact on the capacity to achieve project objectives. The flexibility demonstrated by UNDP was seen by many as instrumental in the successful implementation of the project. A good example of this was the constructive response by UNDP when the political situation in Solomon Islands caused the Fisheries Management Advisor to relocate to New Zealand. SPREP and UNDP accommodated this move and the position was redefined as a project consultant. Likewise, proposals for Project (and budget) modifications were readily accepted and this facilitated the achievement of project objectives.

However, the relationship was described as indirect with both SPREP and UNDP. The OFM Component was not included on the agenda of SPREP Annual Meetings. Neither was there much contact with UNDP, except in the process of the annual Multipartite Reviews and in the selection of the three SPC staff members to fill the positions funded by the Project. There was virtually no contact with GEF, until the process of developing a follow-up project commenced. This is discussed further in Section 3.2.4 below in the context of monitoring of project progress.

The Evaluation Team has come across a matter of some uncertainty regarding the Letter of Agreement between SPREP and the SPC. In 2001, presumably following the required discussion and negotiation, a Letter of Agreement was signed by the heads of the two organizations clearly spelling out, among other things, the scope of work that SPC was expected to address under this arrangement. The Team was advised that after the signing, some reservations were expressed within SPC regarding their obligation to contribute to activities within the inshore fisheries area. Changes and movements in personnel within SPC did not allow the Team to explore this matter fully, however, it seems that, despite SPC concerns, a revision to this scope never took place and apparently there has not been a signed new Letter of Agreement to replace the first. This being the case, the Evaluation Team has no option but to consider the signed version from 2001 as the basis for the agreement between SPREP and SPC with the result obligations under the Letter of Agreement were not fully discharged.

Individuals in FFA, SPC and UNDP credit the personal links and previous experience which were brought to the IW-Project by the Project Manager, as instrumental in the positive and cooperative relationship that has existed between them and the PCU. The hierarchical nature of the arrangement with the FFA and SPC reporting to the PCU, the PCU reporting to SPREP, SPREP reporting to UNDP, and UNDP reporting to GEF,



had substantial potential for problems. The fact that problems did not materialize is probably due to the Project Manager's positive influence and his personal professional network in the region.

The SPC has developed a series of Memorandum of Understanding arrangements with the relevant organizations at national level in each participating country and the Evaluation Team was able to examine an example of one such MoU. The document was found to be very comprehensive and covered various aspects of the collaboration on the Observer Programme between SPC and the relevant institution at the national level including the scope of the work the respective responsibilities, budget, job description and monitoring objectives.

UNDP sees itself as having a comparative advantage in relation to the other GEF Implementing Agencies. This view is based on the fact that it is located in the region and has extensive experience with implementing similar complex multi-country projects. But the Evaluation Team was told that UNDP was seen as adding another layer of bureaucracy without any real involvement in project implementation.

UNDP-Samoa has had a long and productive relationship with SPREP, particularly in regional environmental initiatives. This has given this particular Country Office a comparative advantage compared to the other two UNDP Country Offices in the region which have not been involved at all in any aspects of this project. The Evaluation Team feels that as the OFM Project does not deal with environment, a higher degree of collaboration between the three UNDP Country Offices could have been beneficial. As a minimum, this could have involved information exchanges.

The Evaluation Team has gained a good insight into the implementation arrangements from discussions it has had with stakeholders and beneficiaries and these have been positive in the main. For example, the PCU's relationship with FFA and SPC was considered to be very good because of the high level of understanding by the Project Manager (a former Deputy Director of FFA) of the FFA and SPC processes. This very effective relationship meant that the extra layer of bureaucracy (SPREP) did not lead to any difficulties during implementation. From SPC's perspective, the PCU was an effective advocate on behalf of SPC with SPREP and UNDP, providing sound advice on reporting and budget issues.

It was also pointed out to the Evaluation Team that the implementation of the OFM Component benefited from the highly effective institutional framework provided by FFA and SPC, and the long period (at least 25 years) of regional cooperation on oceanic fisheries policy. There is no similar record of regional harmonization or collaboration on coastal fisheries management.

### **3.2.2 Stakeholder participation**

The OFM Component, like its 'twin' the ICWM Component, of the IW-Project, is founded on the SAP. According to many of those consulted by the Evaluation Team the consultation process surrounding the SAP and the extent of participation by stakeholders in its adoption was very satisfactory even though the focus of these consultations was more on the issues surrounding the coastal and inshore environments of the region than in the area of oceanic fisheries resources.

It would seem that the level of participation by stakeholders did not follow through into the formulation phase of the IW-Project and the development and adoption of the ProDoc. From what could be gathered by the Evaluation Team, there was little or no further consultation with national level stakeholders during the development of the ProDoc. When this issue was raised by the Evaluation Team in discussions with a representative group of country delegates mainly from Fisheries administrations, there was a mixed reaction. Some were quite clear that they wished to be part of the formulation process of any follow-up project. They saw the benefits of their being fully informed about what was being proposed on their behalf; the opportunity to ensure that the project would reflect their national priorities, needs and aspirations; and that their participation was in the national interest. Others were not so sure that adequate resources would be available for a round of consultations that would include all participating countries and that there were plenty of regional consultation events already. The suggestion (from the Evaluation Team) that the consultation process

should also involve the private sector, drew at least one cynical response. A further point of view emerged from more than one representative – they felt that as this was a regional project, their interests may best be represented by FFA, a regional organization.

Likewise, the implementation phase of the OFM Component has not been strong on stakeholder involvement or any other participation at country level.

One activity that did experience a degree of stakeholder participation, even to the NGO and community levels, was the formulation of Tuna Management Plans. However, in some countries (such as the Solomon Islands) these were well advanced, or even fully completed, before the GEF project.

It has been noted to the Evaluation Team that governments in the region were weak on communication, public information and outreach; hence there was a weakness in the area of public involvement. Some of these difficulties arise as a result of the many traditional community structures and leadership through which conflicts of interest and parochialism could arise.

The low level of stakeholder involvement and the almost total absence of participation by the public, NGOs and the private sector have been acknowledged by both the FFA and the SPC, as executing agencies. According to the SPC “stakeholder involvement generally has been fairly weak in most aspects of the project”. Both organizations feel the need to remedy the situation in any future projects through the provision of adequate public information and opportunities for stakeholders at the country level to become involved in a meaningful way in project formulation and implementation. There is a commitment that the follow-up project will involve civil society in a manner which reflects local mores, culture and sensitivities. To this end, the FFA has retained a consultant to study the issue of public participation.

### **3.2.3 Risk management**

While the Executing Agencies (FFA and SPC) were of the opinion that risks and assumptions were adequately identified in the ProDoc and revised LogFrame Matrix, this opinion is not shared completely by the Evaluation Team. The ProDoc is not consistent between its discussion of risks in the text and its summary of risks and assumptions in the LogFrame Matrix in Annex 1. The text identifies three moderate risks, namely – potential lack of political will, potential focus on short-term priorities and the difficult communications situation. With the exception of the communications problem which is said to have been addressed through project resources, the ProDoc makes no attempt to identify measures that are to be taken prior to the project or during its implementation in order to minimize or manage these risks.

The original LogFrame Matrix is different from the text. It identifies the potential focus on short-term priorities as a risk and adds the risk that Governments may not release appropriate staff for training. It ignores the other two risks identified in the text and adds two assumptions, namely that increased benefits from the tuna stocks in country EEZs can be realized; and that country benefits that are to be gained through regional co-operation will justify country participation.

This confusion between parts of the same document and the lack of any consideration for risk minimization or management is a weakness in project design. The Evaluation Team is aware of attempts to rectify the situation through the revision of the LogFrame Matrix but does not feel that this revised version is completely satisfactory.

The revised LogFrame Matrix notes the risk posed to the regional approach by a possible country by country approach; adds a new risk that regional arrangements may not include all major fishing interests and island States; and acknowledges a further new risk posed to regional solidarity by changing national perspectives. The revised LogFrame Matrix also repeats the two assumptions made in the original LogFrame Matrix.

It is interesting to note that the revised LogFrame introduced two new risks, since neither FFA nor SPC recorded any new risks or threats to Project success during implementation.

One of the risks identified in the ProDoc text and later ignored in both LogFrame Matrices, did materialize. This was the absence of political will at national level to follow through with some regional commitments. This was partly due to political instability within some countries and therefore outside the influence of the Project, but also due to a lack of appreciation or awareness of Project objectives and the Project may have been able to do something about this.

Finally, the Evaluation Team believes that there was one further key risk that should have been identified and addressed in the ProDoc. That was the lack of human resources (or capacity) within participating countries to allow countries to take full advantage of the opportunities for training (e.g. attachments), and to undertake the implementation of activities at the national levels (e.g. legislative drafting and policy implementation). While this might have been alluded to in the original LogFrame Matrix within the risk that Governments may not release appropriate staff for training, there is no way of knowing for certain that this risk had been adequately identified since there was no discussion and no remedial measures were proposed.

### **3.2.4 Monitoring and evaluation**

The IW Project set up a cluster of monitoring and evaluation activities according to the ProDoc (UNDP, 1999) - it would be subject to a yearly Multipartite Review, involving representatives of participating governments, the Executing Agencies, CROP members and UNDP; it would be subject to an annual GEF Project Implementation Review; Annual Progress Reports would be submitted to UNDP for consideration at the MPR; independent mid-term and final evaluations would be undertaken, as per UNDP procedures. The Project Manager was also required to regularly brief the Marine Sector Working Group, the coordinating body among the CROP agencies, on the implementation status of the Project and issues arising. These requirements made no distinction between the two components of the Project and applied equally to both.

The FFA and SPC, as “sub-executors” of the OFM Project, reported regularly to SPREP, the lead executing agency, through the PCU, in the form of quarterly, six monthly and annual reports. They also reported quarterly on their financial delivery when making requests for cash advances as per the Letters of Agreement between each of them and SPREP. Both organizations had independent annual audits conducted either specifically on the GEF funds (SPC) or as part of the organization’s annual audit with specific reference to the GEF funds (FFA). These audit reports were forwarded to SPREP (as well as to their respective governing councils) but there was no feedback to either organization. As a result, FFA and SPC believed that there was no need for any amendments or adjustments in the way the project was being implemented, and none were made as a result of monitoring.

According to FFA, the governing council of SPREP (Executing Agency) did not require or consider any progress reports of the OFM component, even though the IW-Project was on its annual meeting agenda. This was explained on the grounds that FFA and SPC were in effect the OFM executing agencies and therefore the OFM component was the responsibility of the FFA and SPC governing councils. In this connection it needs to be noted that neither the FFC nor the SPC Governing Council were accountable to UNDP/GEF and therefore there was a hiatus in the chain of accountability.

The FFA governing council – the Forum Fisheries Committee (FFC) – received regular updates on the OFM Project. These updates (to the annual meetings of the FFC and to special FFC meetings held on the margins of the Preparatory Conference) were provided to update members of the progress in implementation of the OFM Project, as well as to seek members’ endorsement for various administrative actions such as the extension of the project to a second phase. On the other hand, no separate reporting took place to the SPC governing council – the CRGA – except through the comprehensive OFP report.

The separation of the two components was also apparent in the scope of the Mid-Term Evaluation (MTE) which was undertaken in July 2003 for the broader IW Project. The OFM component was specifically excluded from that evaluation because, according to the MTE authors, the OFM component had been treated throughout as a separate project (Hunnam and Schuster, 2003).

The two components were meant to be reviewed together, annually, at the:

- First Regional Taskforce Meeting in March 2001
- First Multipartite Review in June 2002
- Second Multipartite Review in June 2003
- Some administrative coherence for the two components was expected and a broader overview of the full Project was meant to be achieved at these occasions where the progress of the OFM component within the wider IW Project was meant to be assessed.

At each MPR meeting, the OFM Component was the subject of a joint report by the FFA and SPC and these were very well received. Strong praise for the oceanic component was forthcoming from UNDP/GEF representatives.

However, the reports of the meetings suggest that the separation of the two components continued even at this level. Country representatives at the MPRs confessed that they had little exposure to the oceanic component as they mostly came from the environment sector. This made it difficult for the MPR to undertake a ‘comprehensive review’ of the OFM Project. The representative of Samoa at the MPR in 2003, requested the PCU to explore options for strengthening the links between the Oceanic and Coastal components. The UNDP responded that the linkage should be seen in terms of the overall SAP.

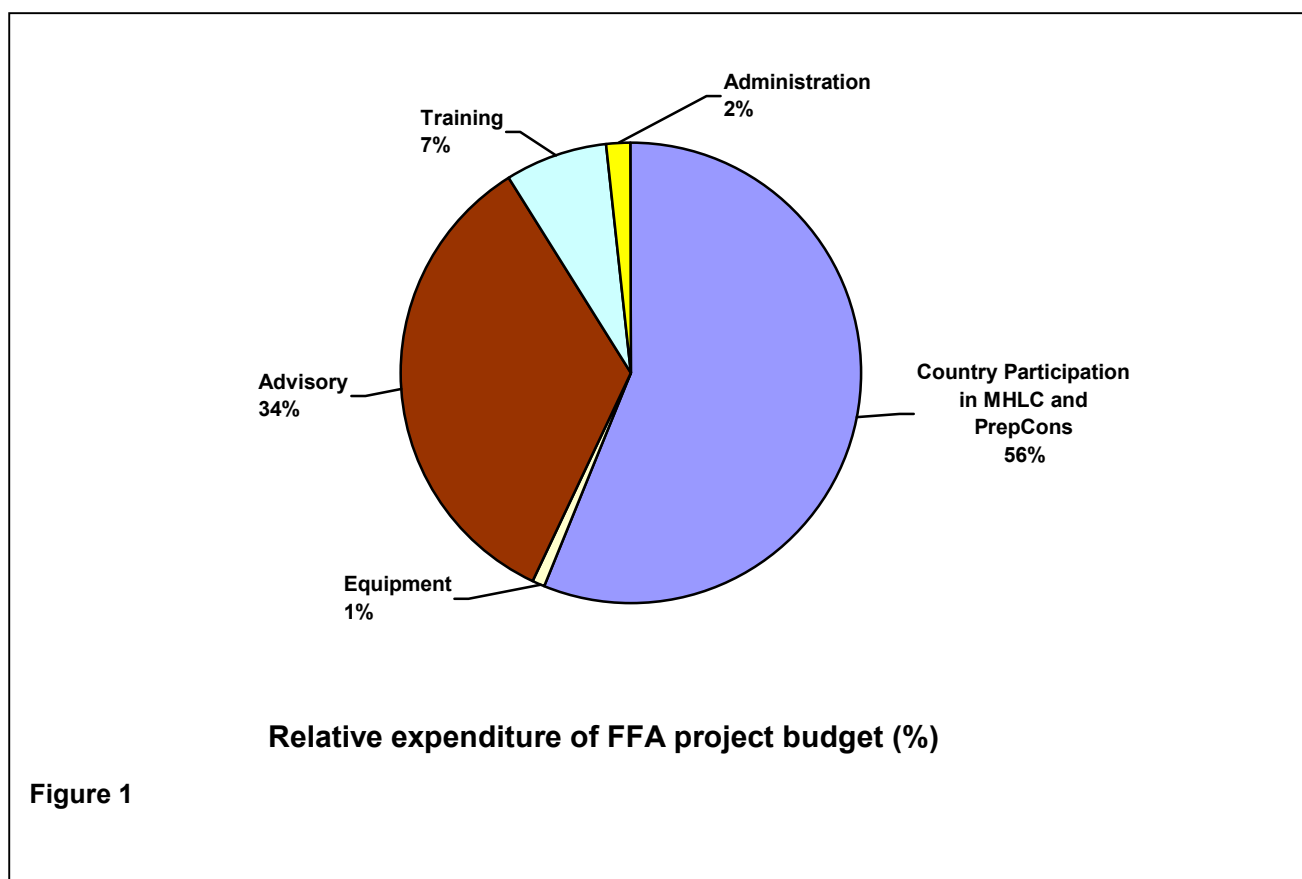
Finally, a further effort at monitoring and evaluation was made on the initiative of the PCU, FFA and SPC. This comprised an initial baseline study which was followed by a progress report, both prepared by a consultant (Cartwright, 2002 and 2004). The aim of the first report was to provide an overview of the baseline situation in early 2000 concerning knowledge and status of oceanic fisheries resources in the Western and Central Pacific; and to describe current initiatives to address management and conservation issues, including those by Pacific Island states. The second report documented the changes that had occurred to various aspects of the Western and Central Pacific tuna fishery since the commencement of the OFM Project, in particular the increase in knowledge of the oceanic fishery and progress with management and conservation regimes. These reports were of great help to the Evaluation Team.

In conclusion, it would seem that monitoring and evaluation for the OFM Component were undertaken mainly by FFA and SPC and ‘in-house’ even though independent audits were also initiated by the two organizations. There was no formal response to audit reports from the implementing agencies and therefore there was no adaptive management in project implementation, in response to monitoring. The Evaluation Team does not believe that M&E has been used effectively as a management tool in directing the implementation of the OFM Component and cannot recommend this approach for any future project support.

### 3.3 Financial aspects

#### 3.3.1 The FFA

The FFA share of the OFM component funded by GEF was \$1.915 million. As can be seen on the chart below, the largest proportion (56.22%) of this amount was allocated to International Meetings – to support Pacific Island countries’ participation in the MHLC (two meetings) and the PrepCon process (five meetings). This category also covers participation at regional workshops and at meetings of other Regional Fisheries Management Organizations. The second largest share (34.01%) was used to fund consultancies, namely the work of the Fisheries Management Advisor. The other allocations were for Administration (1.53%), Equipment (0.77%) and Training (7.46%).



The Evaluation Team feels that the budget allocated to the FFA has been spent appropriately and while only a small proportion was spent ‘in-country’, it was almost totally spent for the benefit of the countries. As noted by the PCU, while the benefits of this project have arguably been most effectively delivered through the focus on support to FFA and SPC, national engagement has still been significant although in-country expenditure has been relatively low.

The budget allocation, in original and revised amounts, together with the actual expenditure, is shown in Table 6 below based on information supplied by FFA.

**Table 6. FFA budget allocation and expenditure (in US dollars)**

ACTIVITY	ORIGINAL BUDGET	REVISED BUDGET	ACTUAL EXPENSES
<b>3.1 Technical assistance to FFA</b>			
FMA post	320,000	379,130	381,382
FMA Travel	70,500	47,256	41,121
Fellowships	127,000	116,639	109,950
Equipment	15,500	55,719	6,875
		8,950	7,950
Printing/Reporting	14,500	10,900	9,900
Auditing	3,000	3,235	3,185
Communications	15,000	11,950	11,090
Sundries	5,000	4,952	5,133
Sub-total	570,500	673,731	716,586
<b>3.3 Enhanced Regional Surveillance</b>			
Sub-total	140,000	80,036	84,098
<b>3.4 Support for National Ocean Fish Management regimes</b>			
International meetings	520,000	787,759	735,126
Regional Workshops	275,000	188,741	199,604
Sub-total	795,000	976,500	934,730
<b>3.5 Strengthening Fisheries Management Capability</b>			
National workshops	300,000	41,446	37,143
FFA Attachments	110,000	143,787	142,943
Sub-total	410,000	185,233	180,086
<b>TOTAL</b>	<b>1,915,500</b>	<b>1,915,500</b>	<b>1,915,500</b>

As can be seen, project expenditure stayed within the total allocated budget and remained close to what was forecast in most items. According to FFA (GEF/UNDP/SPREP, 2002), budgets for regional and national workshops were underspent largely because it was possible to use in-country experts and regional experts that were already funded from other sources to conduct the workshops. There was no reduction in the workshop programme. On the other hand, financing for Pacific Island participation to the PrepCon was fully spent by the end of 2002 and further funds were required to continue work on this activity. UNDP/SPREP showed flexibility in shifting funds across budget lines to accommodate overspending/under-spending.

Although normally FFA charges a fee of 10% of project cost to manage specific aid funded projects, this was not provided for in the OFM Project. The FFA also believed that to pursue such a request could have led to further delays in the start up of the Project. But by waiving this fee, FFA was effectively subsidising the implementation of the Project (although the actual amount is difficult to quantify).

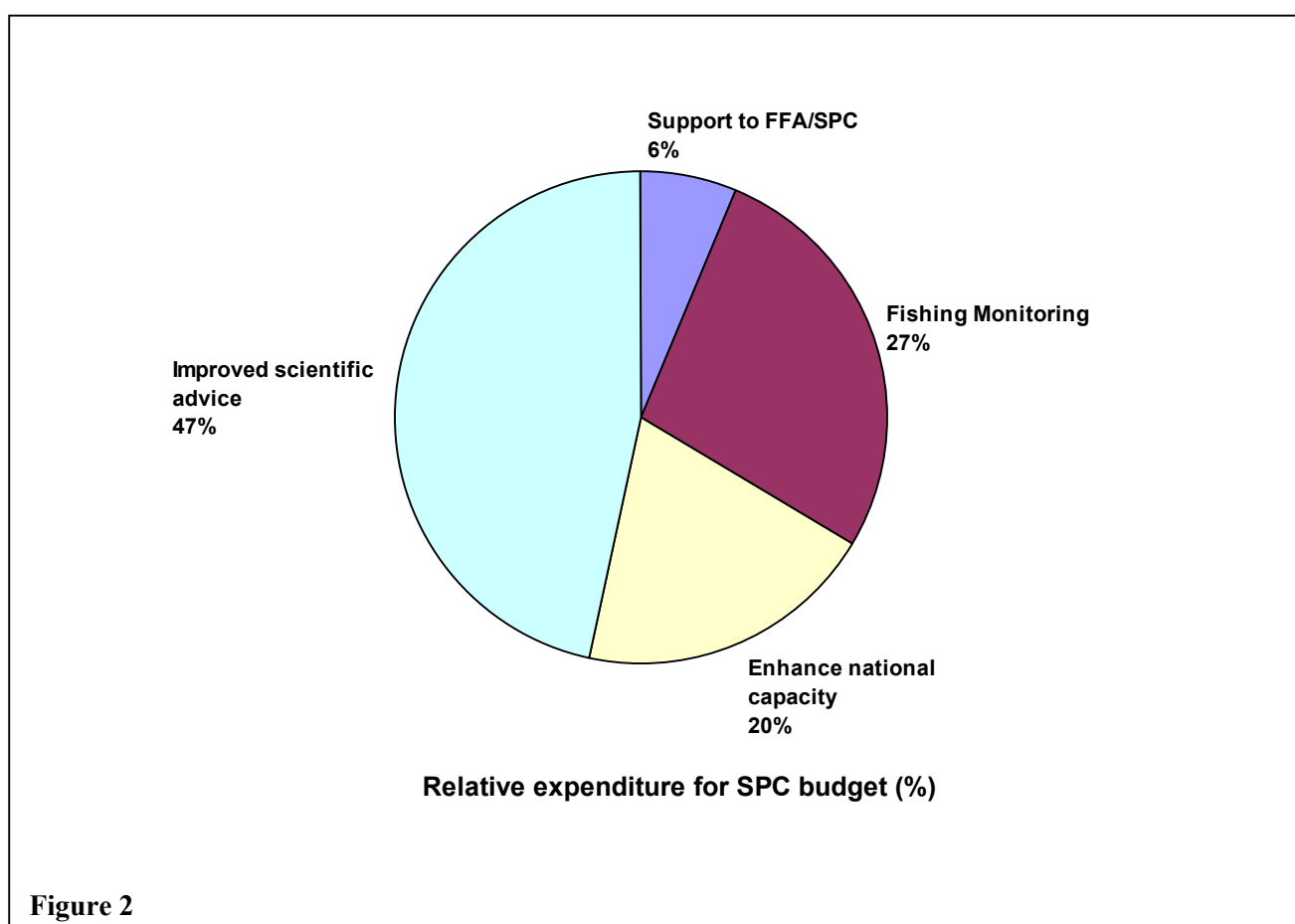
FFA included financial audits of the Project within its annual (FFA) audits, and the findings were reported to the FFC as well as to SPREP. No queries were raised by the auditors, nor were there any queries raised by SPREP or by UNDP.

Financial reporting proved onerous and difficult at the beginning of the project, due to problems with the ProDoc. But these problems were ironed out and things went smoothly from then on. Overall, cooperation with SPREP on budget and finance was very good according to FFA and no hold-ups were experienced in receiving quarterly disbursements from UNDP and SPREP. These disbursements followed the submission of quarterly reports which spelt out expenditure for the previous quarter and forecasts for the next quarter. The exception to this was at the start of the Project, when FFA required early release of funds to support participation of Pacific Islands members to the sixth MHLC in Hawaii in April 2000. This was facilitated by UNDP providing Advanced Authorisation of funds.

### 3.3.2 The SPC

The major part of the OFM Project budget allocation of US\$1.526 million to SPC has been used to support three positions in the Oceanic Fisheries Programme of SPC. One of these, the Stock Assessment Specialist, resigned in August 2003 and SPC, after consultation with UNDP, elected to use the funds for short-term consultancies as well as to provide some bridging funding at the end of the project if necessary. However, at the time of the Terminal Evaluation the savings were yet to be utilized.

As a result of the two-year delay in project commencement, the funds allocated for the three new staff positions were below current SPC salaries for professional staff and had to be supplemented by additional allocations. As can be seen from the chart and table below, the expenditure on these three positions amounted to 46% of the total budget. When allocations for their travel and research support are added to the salaries amount, the total spent on these three positions is equivalent to 74% of the total budget. The only other tangible output, namely Enhanced National Capacity has an allocation of 20%.



The administration and equipment costs (shown as ‘Support to FFA/SPC’) are somewhat higher than those of FFA but are well within acceptable limits nonetheless and SPC, like the FFA, did not apply its usual project servicing charge and finished up effectively subsidising the project. A feature of the SPC expenditure is the extremely low proportion of the total budget that has been, or will be, spent ‘in-country’ or directly for in-country beneficiaries. The Evaluation Team believes that as long as the unspent funds earmarked for “Enhanced National Capacity” are indeed spent for those activities, and as long as the overspent equipment budget is supplemented from within the “Support to FFA/SPC” component, the funds allocated to SPC would have been spent appropriately.

**Table 7. SPC Budget allocation and expenditure (in US dollars)**

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ACTIVITY	TOTAL BUDGET	EXPENDITURE (to December 2003)	BALANCE REMAINING
<b>Support to FFA/SPC</b>			
Equipment	21,000	27,526.07	(6,526.07)
Operations and maintenance	45,000	2,355.56	42,644.44
Printing/reporting	12,000	9,263.32	2,736.68
Audit	3,000	3,459.49	(459.49)
Communications	15,000	7,254.51	7,745.49
Sundries	3,000	1,469.81	1,530.19
<b>Sub-total</b>	<b>99,000</b>	<b>51,328.76</b>	<b>47,671.24</b>
<b>Fishery monitoring</b>			
Scientific Monitoring Supervisor	225,000	228,801.34	(3,801.34)
Duty travel for SMS	70,500	63,246.93	7,253.07
Field research support	120,000	36,648.89	83,351.11
<b>Sub-total</b>	<b>415,500</b>	<b>328,697.16</b>	<b>86,802.84</b>
<b>Enhance national capacity</b>			
National coordinators	150,000	109,204.24	40,795.76
Attachments	90,000	47,185.08	42,814.92
Fellowships	61,000	16,307.07	44,692.93
<b>Sub-total</b>	<b>301,000</b>	<b>172,696.39</b>	<b>128,303.61</b>
<b>Improved scientific advice</b>			
Stock Assessment Specialist	240,000	209,980.46	30,019.54
Ecosystem Modeler	240,000	199,762.16	40,237.84
Duty travel SAS	70,500	6,042.71	64,457.29
Duty travel ESM	70,500	25,231.71	45,268.29
Biological sampling and analysis	90,000	20,423.04	69,576.96
<b>Sub-total</b>	<b>711,000</b>	<b>461,440.08</b>	<b>249,559.92</b>
<b>TOTAL</b>	<b>1,526,500</b>	<b>1,014,162.39</b>	<b>512,337.61</b>

Table 7 above shows the SPC budget by activity with expenditure to date and balance remaining. SPC activities have been going for three years and are scheduled to run for another year until the end of 2004. Although it is a little on the high side (33.56%), the amount of unspent funds overall is not a cause of concern at present since it is expected to reflect the usual inertia experienced at the start of most projects.

What could be cause for concern however, is the unspent portion (almost 43%) of the allocation for activities dealing with Enhancing National Capacity. The Evaluation Team questions whether SPC will be able, in the remaining 10 months, to organize and implement almost twice the amount of activity in this area than it has organized in the three years since the beginning of the Project.

The SPC reported some difficulty with keeping up the quarterly reporting to PCU and SPREP. Because of limited staff and their heavy travel schedule it was sometimes difficult to submit reports (and requests for the next installment) on a timely basis, resulting in some delays. However, these did not appear to cause major problems as SPC/OFP could always cover the shortfall in the interim. The norm, according to other project support provided to OFP, was six monthly reporting and annual receipt of funds.

The SPC reported no formal feedback on either their narrative or financial reports to PCU and SPREP, other than minor technical queries by email. No issues were raised by the auditors (contracted by SPC to conduct independent annual audits). Since there were no queries or issues raised in the reporting, no changes were initiated during the Project as a result of financial monitoring.



### **3.3.3 Discussion of financial aspects**

The principal funding sources for the total IW-Project, according to the ProDoc, were GEF (\$12,000,000) and UNDP (\$60,000), with parallel financing from Governments via SPC (\$1,331,532), FFA (\$6,107,311) and SPREP (\$619,540). Associated UNDP/ICARE funding amounted to \$877,250. Activities undertaken within the OFM Component were financed by a GEF grant of almost \$3.5 million, with co-financing of OFM activities and other complementary activities by an estimated \$6.3 million in FFA and SPC resources (SPREP, 2002). The GEF funds for the OFM Component were split between FFA (US\$1.915 million) and SPC (US\$1.526 million).

The OFM Project did not involve funding partnerships with any third-party donors. However, while funds came exclusively from GEF, FFA and SPC, there was a great deal of complementarity with the work and activities supported by other donors' funds.

The ProDoc did not provide adequate guidance on how to allocate the budget. In fact, according to the Project Manager "it was not possible to confidently identify financial resources described in the Project Document with the activities and outputs envisaged under the Programme." (SPREP, 2000). However, in spite of these initial hurdles and some initial delays and confusion, the financial arrangements for the OFM Component worked well. Financial management, though considered onerous at times by the Executing Agencies, was efficient and effective. Project expenditure was close to what was forecast overall, although actual expenditure for different activities did not reflect original estimates. These changes in part reflected efficiencies that were achieved by making use of other existing resources (for example for conducting regional workshops). They also reflected the greater than expected costs of other activities (namely the funding of participation at international meetings). In response to this situation, UNDP and SPREP showed flexibility in authorising the movement of funds across budget lines.

By and large, FFA and SPC may be seen as the major beneficiaries since funds appear to have been spent with them and for them. However, on closer analysis, while the funds were not spent directly in-country, the participating governments were the ultimate beneficiaries of the funds. The activities funded were truly regional in application if not in fact and therefore it is inevitable that in-country expenditure was low and the two regional organizations were the major recipients.

The Evaluation Team believes that expenditures were appropriate and according to commitments. The relative proportions of expenditure between administration, equipment, training and consultancies appear weighted in favour of the latter, however, this is to be expected in a project which had such a strong focus on capacity building. The project has been good value for money. Perhaps, true combination of the two components of the IW-Project or their complete separation, is likely to have achieved better use of funds and some economies of scale.

By "investing" its resources in a body like SPC whose OFP had on-going research activities directly related to the aims and objectives of the OFM Project; and in the FFA whose fisheries management activities mirrored and extended those proposed under the OFM Project, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, even though this result is somewhat more difficult to extract and quantify on its own.

## **3.4 Results achieved**

Stakeholders and beneficiaries agree that this was a good project. It may not have been very visible, and its results may not be very distinguishable, but it is recognized as having contributed a very essential element to what the Pacific Island countries have managed to achieve in terms of a regional management regime for a regional resource of global dimensions.

### 3.4.1 Attainment of the Objective, Outputs and other results

The objective of the OFM component in the original LogFrame Matrix was - “to enable the conservation and sustainable yield of ocean living resources”. This was changed to “support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities”.

The Evaluation Team feels that the original objective could not have been expected to be achieved by this project since its dimensions went beyond the boundaries of the project. On the other hand, the Evaluation Team believes that the new objective has been achieved, even though there is a feeling that it might have been retrofitted to an existing and/or developing situation.

Outputs targeted by the project included capacity building for FFA and SPC, maximizing regional benefits from tuna and by-catch, improved fish monitoring capability, improved fisheries management capabilities, development of regional surveillance/enforcement activity and strengthened consultative processes for FFA countries. Both FFA and SPC believe that the targeted outputs have been achieved and from what can be ascertained, the Evaluation Team agrees that these outputs have indeed been obtained. The following table summarizes the results achieved and evaluates them.

**Table 8. Evaluation of results targeted and achieved**

TARGET	RESULTS ACHIEVED	EVALUATION
<b>Latest Objective:</b> To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities.	Support provided for the participation of Pacific Island governments at the two last sessions of the MHLC process (which saw the adoption of the Convention) and at the five sessions (to date) of the Preparatory Conference. The PrepCon process has been crucial to establishing the administrative, financial and regulatory framework of the new Convention. The Project has also supported Pacific island attendance at the annual meetings of the Standing Committee on Tuna and Billfish.	It is generally agreed that the capacity and capability of Pacific Island States to participate effectively in the work of MHLC, PrepCon and similar international negotiation events, has been greatly enhanced by the OFM Project (see Tarte, 2003). They have gained confidence and self-assurance and their participation is truly from the perspective as owners and stewards of the resource.  This is a very important result which helps ensure the sustainability of global, regional and national benefits achieved or facilitated by the Project.
<b>Activity 3.1:</b> To provide technical assistance and support to the FFA to build project-related capacity nationally and regionally and to devise and implement project-related management arrangements with participating countries.	Funding support made available for the position of Fisheries Management Advisor at FFA, who assisted with the development of Briefs for Pacific Island delegations to the MHLC and PrepCon. These briefs greatly enhanced the quality and extent of Pacific Island input, especially into the PrepCon process.  Attendance by FFA and Pacific Island representatives as observers at the meetings of other regional fisheries management organizations (IATTC, IOTC and ICCAT).	The contribution made by the Fisheries Management Advisor engaged through OFM Project funds is widely acknowledged by beneficiary Governments as having been invaluable.  Insights have been gained into the workings of these RFMOs, for possible application in the new Tuna Commission.
<b>Activity 3.2 :</b> Provide training and advice to strengthen fisheries monitoring	Support to national observer coordinators in four countries (Fiji, Kiribati, Marshall Islands and Papua New Guinea). Direct support of port	This has enhanced the monitoring capacity of these countries through strengthened monitoring and

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capabilities, including monitoring of non-target species through appropriate mechanisms, such as observer and sampling programmes, with participating countries to secure added regional benefits through national and regional oceanic fisheries management arrangements.	sampling contractors provided to Samoa and Tonga.  Establishment of position of Scientific Monitoring Supervisor who conducted regional and national observer training courses, port sampling training and data evaluation exercises; manuals and other materials to guide Observers	national port sampling programmes. These programmes, in turn, support management and conservation and contribute to greater benefits for the region from the tuna fishery.
<b>Activity 3.3</b> : To review and enhance FFA's capacity to efficiently manage high quality information in support of the monitoring, control and surveillance requirements of participating countries.	Convening of a regional technical consultation on Monitoring Control and Surveillance (MCS) in October 2002 at which a draft MCS scheme was developed for use at the PrepCon negotiations.  A study carried out by FFA to improve the quality of data in its Regional Register and VMS databases resulting in a more reliable data bases at FFA.	This result has increased the input and influence of Pacific Island delegations in the PrepCon process with the aim of setting up a strong MCS regime within the Commission.
<b>Activity 3.4:</b> Provide initial support to participating countries to develop additional and appropriate national ocean fisheries management regimes to maximize regional benefit from the regional tuna fishery and its by-catch.	Support for the development and/or review of Tuna Management Plans in: Cooks Islands, Fiji, Kiribati, Marshall Islands, Niue, Tuvalu and Vanuatu. The Project-funded Fisheries Management Advisor in FFA again provided valuable input into these Plans. Also important as resource materials were National Tuna/ Fisheries Status Reports prepared by the SPC.	These plans are critical to the effective national management and conservation of tuna fisheries at both the national and international levels, as well to securing enhanced regional benefits from the tuna fisheries. They also facilitate cooperation amongst stakeholders at national level.
<b>Activity 3.5:</b> Strengthen, through the provision of additional training, the fisheries management capabilities of national fisheries administrations in participating countries.	Attachments of personnel from Pacific Island states to SPC and FFA were supported by the Project.  In-country visits by Project funded personnel also provided direct training to Pacific Island fisheries staff.	In spite of these capacity building activities, this remains the area of greatest need.
<b>Activity 3.6:</b> Improve biological information relating to regional tuna stocks, non-target species and the oceanic ecosystem available to support management decision-making.	Three professional positions established in the SPC Oceanic Fisheries Programme (Scientific Monitoring Supervisor, Stock Assessment Specialist and Ecosystem Modeler).  Improved knowledge of the status of the stocks.  Regional stock assessments have been refined and stock assessment methodology subjected to rigorous simulation testing. Work characterising the Western Pacific Warm Pool LME, especially trophic relationships, has been carried out. Sampling programmes were designed and implemented. A preliminary ecosystem model incorporating preliminary trophic data has been developed.	Work has led to improved knowledge of the status of the stocks. It has enhanced SPC's capacity to support national and regional science requirements as well as to meet the future needs and demands of the new Commission.  Ecosystem research requires more time and data to achieve tangible results. Progress with by-catch research has been limited.
<b>Activity 3.7:</b> Prepare a project proposal to catalyze and replicate methodologies and best practices for sustainable ocean fisheries management based on an evaluation of project capacity-building	Project concept developed and submitted to GEF. Concept approved by GEF and go-ahead given for the preparation of a proposal for PDF support. PDF 'B' Proposal submitted to GEF and approved in February 2004.	This result is part of the 'unwritten exit strategy' for the project. It may have been somewhat too early in relation to this Evaluation, however, the formulation phase covered by the PDF 'B' funding support will provide an opportunity to consider

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activities. This activity necessitates a study of baseline situations at project commencement.		the outcome of this Evaluation.
<b>Activity 3.8:</b> Coordinate and refine consultative processes among FFA member countries with the objective of strengthening regional capability. This is an activity that will be implemented and financed by Forum Fisheries Agency and the Secretariat of the Pacific Community	Coordination and collaboration between FFA and SPC strengthened. Additional meetings of the Forum Fisheries Committee (FFC) convened on the margins of the MHLC and PrepCon to facilitate regional consultation and cooperation. Other regional technical consultations, addressing aspects of the Convention, have been held.	In effect this is a continuation of Activities 3.1 and 3.4 above
<b>Activity 3.9:</b> Provide assistance to review and further develop measures for enhancing the management of foreign fishing vessels and promoting the development of domestic fishing fleets in participating countries. This is an activity that will be implemented and financed by the Forum Fisheries Agency.	Vanuatu was assisted, under the Project, by a study on the operation of Vanuatu’s flag state shipping registry. Project assistance was by way of the Fisheries Management Advisor.  Modifications to Minimum Terms and Conditions of access were endorsed by FFC. Progress made towards achieving full implementation of the FFA’s VMS.	This result has led to increased financial benefits for Vanuatu as well as to improved compliance by Vanuatu with international standards (eg the FAO Code of Conduct for Responsible Fishing)
<b>Activity 2.7:</b> Assist with the development of criteria associated with identifying sites for demonstration projects addressing long-term sustainability of coastal fisheries issues.	No activities undertaken and no results achieved under the OFM Component.	
<b>Activity 2.8:</b> Participation in the implementation of demonstration projects that address issues associated with the long-term sustainability of coastal fisheries. Such projects may be linked to related activities undertaken by SPC	No activities undertaken and no results achieved under the OFM Component.	

It is important to note that although the targeted Outputs have been achieved, several constraints and hold-ups were encountered along the way and these were brought to the attention of the Evaluation Team. They included delays in the implementation of tuna management plans in some participating countries, delays in reviewing and revising fisheries and related legislation, delays in expanding the coverage of national observer and port sampling programmes and delays in implementing biological sampling methods and protocols. These delays and hold-ups can be attributed to a number of factors. In some countries, Government lacks a sufficient number of skilled personnel to carry out the legal drafting required to amend legislation in order to comply with international obligations. A number of countries experienced political instability and/or frequent changes of government during the life of the Project. This contributed to hold-ups in the formal adoption and implementation of Tuna Management Plans and in one case (Vanuatu) to hold-ups in the ratification of the Western and Central Pacific Fisheries Convention. New governments were often unfamiliar with the issues and unwilling to facilitate speedy implementation of the policies adopted by their predecessors.

Delays were also attributed to perceived conflicts or tensions between national priorities. For example, between maximising license revenue from foreign fishing operations and implementing/enforcing MCS

requirements (observers, VMS, etc). This problem, which was foreseen as a risk in the ProDoc but without any proposed mitigating measures, may be one of poor governance (including vested interests) as well as lack of appreciation of the value of MCS measures. Another area of tension that was noted was between measures to limit fishing capacity (to avoid or reduce excess capacity) and plans to develop national fishing capacity (domestic fleets).

The resolution or otherwise of these difficulties encountered during project implementation will serve as a learning experience for future application to similar interventions.

The area of greatest impact of the OFM Project has been capacity building. From comments of country participants, capacity building has been achieved in a number of ways –

Attendance at meetings of other regional fisheries management organizations (IOTC, IATTC) – saw how other RFMOs operated, appreciated more the extent of collaboration and cooperation established in the Pacific.

Attendance at PrepCon and MHLC – exposure to issues, negotiations process, working together as a team (both on national delegations and at regional level).

Attachments to FFA and SPC, workshops and training programmes.

From the perspective of the FFA and SPC, there were significant contributions to capacity building –

At the regional level including building the capacities of FFA and SPC; and of building the capacities of national administrations to participate in and contribute to regional fisheries management; and

At the national level, particularly in terms of the building of the capacities of national monitoring programmes, and of national policy making capacities through national workshops and the attachment programme that exposed FFA member personnel to the workings of other international tuna commissions.

The barriers and obstacles that they identified to capacity building included inadequate funding to attract highly skilled scientists and modelers at the regional level; and at the national level, the poor skills base, the lack of regionally-based tertiary training in quantitative fisheries, and limited funding for fisheries at the national level, despite the importance of the sector in regional economies.

Following some prompting at a group meeting convened by the Evaluation Team, many country delegates from both Fisheries and Foreign Affairs backgrounds, readily acknowledged the assistance they had received at the national level with various aspects of fisheries management, training and other capacity building and to enable their participation at MHLC and PrepCon events. In particular, all were united in their acknowledgement of the crucial role in capacity building played by the Fisheries Management Advisor engaged by FFA under the OFM Project. His input was across a broad spectrum and ranged from assistance with the development of Tuna Management Plans to the support and preparation of national delegations for the PrepCon events.

### **3.4.2 Relevance to GEF of results achieved**

From the GEF perspective, this project was to address the root causes of the threat posed to the globally significant tuna resource as a major component of the Western Tropical Pacific LME. The root causes were determined to be “Lack of monitoring and enforcement of regulations” and “Lack of trained staff for surveillance” with deficiencies in management (linked to problems of governance and understanding) as a contributing factor. The results of the OFM Project could be expected to include monitoring and enforcement regulations (and their effective implementation), a cadre of trained surveillance staff, and improved management capacity, coupled with improved governance and understanding of the resource.

The original set of activities planned by the ProDoc, could have been expected to contribute to improvements in monitoring and enforcement regulations (Activity 3.4) and their implementation (Activity 3.6). They may have also produced a cadre of trained surveillance staff (Activity 3.4) and improved management capacity (Activities 3.3, 3.5). But it is unlikely that improved governance and understanding of the resource would have been achieved.

The revised activities (see Table 4) have contributed to monitoring and enforcement regulations (new Activities 3.2, 3.3) and their effective implementation (new Activity 3.3). They have enhanced capacity, through training, for surveillance staff (new Activity 3.2). There has also been an improvement in management capacity (new Activities 3.4, 3.5, 3.8, 3.9) and a better understanding of the resource (new Activities 3.3, 3.6). However, any improvement in governance is thought to have taken place only at regional level and not at national level.

It is therefore possible to say that the revised activities have had a better outcome than the original activities would have had as measured against the need to address the root causes. But it must also be said that neither the original nor the revised activities achieved the desired improvement in governance, at least not at the national level.

The results achieved have contributed to the GEF objective of achieving global environmental benefits and a well designed project may have been able to achieve more with the same resources and effort. Hopefully, this shortcoming can be remedied in the proposed follow-up project.

### **3.4.3 Sustainability of results and benefits, replicability and possible follow-up**

An expected result of the IW-Project, according to the ProDoc (UNDP, 1999), is ensuring sustainability of the project “by strengthening existing national and regional coordinating mechanisms ... The project will have assessed options for creating financial and institutional sustainability, undertaken consultations and held a donor conference to secure necessary further investments”. It would seem that many of these activities have not yet been undertaken, at least not in respect of the OFM Component and there does not seem to have been any deliberate strategies for the sustainability of the project results. However, it would seem that in both FFA and SPC, the work they have implemented with GEF support formed an intricate part of their on-going activities, the goals and objectives of which coincided with those of the GEF IW-Project for the OFM Component. While there is always a danger that the work will stop once the GEF funds run out, this is not very likely and the organizations are confident that a funding source will be found to support the on-going work, even though there does not appear to be a clear strategy for fund mobilization.

As mentioned above, capacity building has been the most significant benefit of the OFM Project. But in spite of the impressive nature of the results, their sustainability is not assured since it may not be easy retaining the trained, skilled personnel in government. Some countries experience a high turnover and an over-reliance on short-term consultancies and expatriate staff. There has also been limited capacity building for non-state stakeholders (fishing industry associations and local communities).

The Pacific Island States are therefore going to require significant further assistance with their capacity building to execute their obligations, roles and responsibilities under the Convention. A comprehensive discussion of the requirements of the Convention and the Commission, the capacities of member Pacific Island States and Territories to satisfy these requirements, and the priority gaps that each PICT must address in order to satisfy its obligations is given in Anon (2003). Assistance will also be required to enhance their fishery monitoring, data management and analytical capacities.

The lack of involvement in OFM by industry, communities and local government has led to a degree of resentment, and to a perception that there were no effective, functioning fisheries administrations in the region. The Team was told that there is a need to increase the constituency participation in the governance of fisheries and to increase government accountability.

The Evaluation Team also observed first hand the problem of poorly resourced national fisheries administrations in terms of personnel, premises, equipment and training. This situation arises due to inadequate resources being made available by Governments to develop fisheries management and research capacity. Instead, there is a tendency to rely extensively on regional assistance programmes, mainly from SPC and FFA who are themselves constrained in their efforts to meet the numerous requests for assistance from member countries. This reliance on external funding support is probably untenable in the long term since the fisheries sector is a major revenue earner for the Governments and it makes sense to reinvest some of this revenue in the administration and management of the sector to ensure its control and sustainability.

According to the SPC, the sustainability of the improved scientific understanding, the effective fishery monitoring programmes, and the enhanced management at the regional level which resulted from the OFM Project, will depend on the ability of the Commission to provide a long-term adequate funding base for data and science activities, as well as other necessary activities in compliance. The SPC also sees the need for a regular (say triennial) in-depth review of tuna management plans. They also believe that governance is also an issue in many countries, although there have been some notable improvements.

The FFA believes that the sustainability of the Commission’s activities is largely assured since the bulk of the funding burden falls on the fishing nations including Japan, the US and Taiwan. On the other hand, sustainability of benefits from the improved management of tuna resources depends on the capacity of the member countries of the Commission to agree on, and implement, effective conservation measures. The real constraint is not financial but the lack of human resources for Pacific Island States to participate effectively in Commission business. FFA also feels that there is a need to strengthen national fisheries management institutions and national observer, port sampling, VMS, catch and effort data collection and inspection

programmes. In the longer term, sustainability of outcomes depends on improved information on the stocks and the ecosystem.

In this regard, the Evaluation Team has been told that while there is a continuing role for the OFP of the SPC in terms of research and data management, and for the FFA in terms of fisheries management in general, in-country capacities and capabilities must be built as the first line of response to future challenges. It was suggested that USP could be encouraged and supported to establish relevant programmes in fisheries science, oceanography, ecosystem management, etc. Likewise, national Colleges of Fisheries and/or Technical Institutes should be assisted to start offering courses for example for Observers, Samplers, Monitors, etc, maybe leading to certificates of proficiency or a similar recognizable qualification.

The ProDoc (UNDP, 1999) predicted that the IW-Project would demonstrate a “high potential for successful replication both within and outside the region”. For the OFM component, this would involve preparation of a project proposal to “catalyze and replicate methodologies and best practices” relating to sustainable fisheries management.

The Evaluation Team sees the OFM Component as a unique intervention in the Pacific region and there is neither the potential nor the need to replicate it in the region. SPREP agrees that the extent of replicability in the region is minimal. However, as the PCU and SPREP suggest and the Evaluation Team agrees, there are definite global replication possibilities in other island regions supporting significant tuna fisheries. Where distant water fishing nations and coastal states are expected to collaborate on tuna resources management, the processes and strategies applied in the OFM Component set global precedents. In addition, the processes employed in the oceanic fisheries sector do demonstrate best practice that could usefully be applied to coastal resources management, and some aspects of the OFM Component (particularly the linkages between science and management) have potential for replication in integrated coastal management processes.

UNDP believes that the process leading up to and the actual establishment of the Tuna Commission is considered a best practice and can have replicability globally.



## **4 Conclusions and Lessons Learnt**

Conclusions have been drawn throughout this report. They are gathered here, augmented as necessary and presented sequentially based on the list of issues in the Terms of Reference for the Evaluation. Lessons that may be learnt from the experience are also recorded.

### **4.1 The GEF and global environmental objectives**

The Evaluation Team was required to assess the extent to which the OFM Component has helped to achieve the objectives of GEF operational focal areas 8 and 9.

As noted in Section 1.1.2 above, the objective of GEF OP#9 is “The long-term objective of the program is to achieve global environmental benefits through implementation of IW projects which integrate the use of sound land and water resource management strategies as a result of changes in sectoral policies and activities that promote sustainable development” and this is not applicable to the OFM Component.

The Objective of GEF OP#8 is “to undertake a series of projects that involve helping groups of countries to work collaboratively with the support of implementing agencies in achieving changes in sectoral policies and activities so that trans-boundary environmental concerns degrading specific waterbodies can be resolved”.

The OFM Component can be said to have contributed to the objective of OP#8 but with the divorce practiced between the OFM and the ICWM components and the fact that the ‘ecosystem’ approach to the LME has yet to be applied, this contribution has been very limited.

The Evaluation Team sees the need for better understanding of GEF processes, objectives, procedures, etc, among current and prospective stakeholders. Most of those consulted were totally unaware of the GEF focus on global environmental benefits. A GEF Workshop, perhaps conducted back-to-back with some other regional event, could be very beneficial for future projects. Furthermore, UNDP should continually update constituents on GEF which is well-known for its regular reviews of its procedures, criteria and guidance.

### **4.2 Root causes and imminent threats identified in the ProDoc**

In the ProDoc text, under the OFM sub-section of Section B.1: ‘Problems to be addressed – the present situation’, the discussion centers on the problems faced by in-shore fisheries and the coastal environment and it does not identify any problems with the ocean fisheries or the oceanic environment. Furthermore, according to the ProDoc Annex 4, the Threat of “Overfishing of oceanic resources” was identified through the Symptom/Impact of “Potential decline in population” the Immediate Causes of which were “Excessive by-catch and discards” and “Poor fishing gear selectivity especially purse seine/longline.” The Root Causes were determined to be “Lack of monitoring and enforcement of regulations” and “Lack of trained staff for surveillance.” The scale of the threat was seen as “Regional” and the Severity was “yet to be determined”.

If projects are meant to address the root causes of identified problems, the OFM Project would have been expected to focus on monitoring, enforcement of regulations and capacity building (mainly training) for surveillance. There is no denying that the OFM Project did indeed address these aspects, however, they were not its main focus. According to the Evaluation Team’s Terms of Reference, the Key Pilot Activities of the OFM Project centered predominantly on preparation for and participation in the MHLCS and the PrepCons together with scientific research for management. This is evident in the proportions of the budget spent on these activities – 56% in the case of the MHLCS and PrepCons (FFA) and 47% in the case of scientific research (SPC) respectively.

### **4.3 Project design and the Project Document**

Project design, at least for the OFM Component was weak, hence the need to make significant changes to the Objective, Outputs and Activities. It is evident that this was an amalgam of two distinct initiatives brought together purely as a matter of convenience. No synergies between the two components were planned and none were created during implementation. There was no evident logical development of the OFM Component from the identification of problems to the determination of their root causes, the setting of an objective, the selection of outputs and the planning of activities which ultimately would have addressed the root causes of the identified problems.

The ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.

There was insufficient involvement of stakeholders in the Project design (including FFA and SPC) resulting in the various anomalies, inconsistencies, etc in the ProDoc. The lesson from this is the importance of full and comprehensive stakeholder consultation and input in Project design.

Delays and holdups were experienced during implementation. Some of these were not adequately identified as risks in the Project design and therefore no remedial action was proposed or taken. The lesson is to ensure that the ProDoc identifies both potential risks and measures to be taken to minimize or manage these risks.

### **4.4 The Logical Framework Matrix**

The weak project design and the unhelpful nature of the ProDoc have already been alluded to above. The LogFrame Matrices, both the original and the revised one, have created confusion with their loose use of terminology and the lack of logical structure. One executing agency admitted that it did not refer to it at all.

The majority of the performance indicators adopted for the OFM Component in both versions of the LogFrame Matrix were not verifiable objectively and they were not much help either to those implementing the project or to this Evaluation Team.

Weak project design and an unhelpful ProDoc make it necessary to review and revise project outputs and activities, usually by revising the LogFrame Matrix. However, they need to be formalized by the proper approval process involving appropriate discussion, agreement and sanction by the Project Steering Committee, the Multipartite Review Meeting or similar body.

### **4.5 Achievement of planned objectives and outputs**

The Evaluation Team feels that the original objective for the OFM Component could not have been expected to be achieved by this project since its dimensions went beyond the boundaries of the project. On the other hand, the Evaluation Team believes that the new, revised objective has been achieved, even though there is a feeling that it might have been retrofitted to an existing and/or developing programme of work of the executing agencies.

The Outputs targeted by the project were not clearly identified and were in fact referred to as Activities. Furthermore, the original list of Activities/Outputs was revised and some were changed significantly. As far as can be ascertained, the targeted products of the OFM Project were capacity building for FFA and SPC, maximizing regional benefits from tuna and by-catch, improved fish monitoring capability, improved fisheries management capabilities, development of regional surveillance/enforcement activity and strengthened

consultative processes for FFA countries. Both FFA and SPC believe that the targeted outputs have been achieved and the Evaluation Team agrees that these outputs have indeed been obtained.

Stakeholders and beneficiaries agree that this was a good project. It may not have been very visible, and its results may not be very distinguishable, but it is recognized as having contributed a very essential element to what the Pacific Island countries have managed to achieve in terms of a regional approach to the management regime for a regional resource of global dimensions.

#### **4.6 Adaptive responses to changing circumstances**

As noted above, many project Activities, as well as the Project Objective and Outputs for the OFM Project, changed substantially during implementation. But this was not as much in response to changing circumstances, as it was in response to faulty project design. It is also possible that the changes came about from a desire by the executing agencies to support their on-going or planned activities.

Audits, regular reports and other results of monitoring by FFA and SPC did not elicit any formal reactions from either SPREP or UNDP, therefore no adjustments were thought to be needed.

The lesson is, that for monitoring to be useful and effective, it must be two-way, there must be feedback.

#### **4.7 Financial resources**

The Evaluation Team feels that the budget allocated to the FFA has been spent appropriately and while only a small proportion was spent ‘in-country’, it was almost totally spent for the benefit of the countries. Regarding the SPC budget, as long as its unspent funds earmarked for “Enhanced National Capacity” are indeed spent for those activities, and as long as the overspent equipment budget is supplemented from within the “Support to FFA/SPC” component, the funds allocated to SPC would have also been spent appropriately.

The relative proportions of expenditure between administration, equipment, training and consultancies appear weighted in favour of the latter, however, this is to be expected in a project which had such a strong focus on capacity building and the project has been good value for money.

By “investing” its resources in a body like SPC whose OFP had on-going research activities directly related to the aims and objectives of the OFM Project; and in the FFA whose fisheries management activities mirrored and extended those proposed under the OFM Project, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, even though this result is somewhat more difficult to extract and quantify on its own.

It would seem that a lesson from this experience is the advantage of working through or investing in regional organizations (as Executing Agencies) that have a strong track record in the relevant areas and a high level of complementarity (and linkages) between the Project and their existing work programmes. This had both financial and operational spin-offs.

#### **4.8 Roles and responsibilities**

The OFM Project had a multiplicity of hierarchical layers with the FFA and SPC reporting to the PCU, the PCU reporting to SPREP, SPREP reporting to UNDP, and UNDP reporting to GEF. It was therefore essential that roles and responsibilities were defined clearly, and this appears to have been the case. The pivotal role of SPREP in project implementation is spelled out clearly in the ProDoc without any distinction between the two components. The PCU is established as a ‘distinct unit’ within SPREP, with the Project Manager reporting

directly to the Director of SPREP and to the UNDP Resident Representative. With respect to the OFM Component, the ProDoc provides that this will be implemented largely by FFA and SPC, according to a Memorandum of Understanding each will sign with SPREP. The relationship between FFA and SPC themselves as executing agencies is also clearly delineated in a Memorandum of Agreement between the two organizations which simply formalized a clear understanding that has existed between them on their complementary activities for some time. From SPREP's perspective, the existence of an effective institutional framework in which the OFM Component was implemented was an important lesson.

The Evaluation Team believes that roles and responsibilities were clearly identified in general and that there was a positive and cooperative working relationship between the various layers of project management. Benefits also accrued from the good level of communication and cooperation between the Executing Agencies, based on a strong record of working together and clear delineation of mandates. This meant there were few conflicts or risks of duplication.

#### **4.9 Partnerships with other donors**

The OFM Component did not involve partnerships with any third-party donors. Funds came from GEF, FFA and SPC. However, there was a high degree of complementarity between the activities of the OFM Component and other activities being undertaken by FFA and SPC but funded by other donors.

#### **4.10 Public participation and stakeholder involvement**

The original Objective 4 included an Activity to create a public participation programme aimed at key stakeholders for the OFM Component of the IW-Project. This intention was first revised and watered down and then, by the latest revision of the LogFrame Matrix, there was no mention of public participation whatsoever.

As noted by SPC, stakeholder involvement in the OFM Project has been fairly weak in most aspects of the Project. However, FFA felt that the outputs of the Project have been country driven through their influence in the FFC. Both the FFA and the SPC, acknowledge the low level of stakeholder involvement and the almost total absence of participation by the public, NGOs and the private sector and both feel the need to remedy the situation in any future projects through the provision of adequate public information and opportunities for stakeholders at the country level to become involved in a meaningful way in project formulation and implementation. There is a commitment that the follow-up project will involve civil society in a manner which reflects local mores, culture and sensitivities.

The Evaluation Team acknowledges that securing direct participation in a meaningful way is a challenge for an oceanic fisheries project, but with minor exceptions, all Government level stakeholders said that they would welcome more opportunities to be directly involved. Likewise, exponents of the fisheries private sector expressed indignation about the perceived low extent of consultation and are seeking to remedy this through their own initiatives.

#### **4.11 Implementation and coordination by the implementing and executing agencies**

In spite of the potential problems which could have resulted from the numerous hierarchical layers mentioned elsewhere, implementation of the OFM Component was comparatively smooth and effective. The views of stakeholders and beneficiaries on implementation arrangements have been positive in the main. For example, the PCU's relationship with FFA and SPC was considered to be very good because of the high level of understanding by the Project Manager (a former Deputy Director of FFA) of the FFA and SPC processes.

This very effective relationship meant that the extra layer of bureaucracy (SPREP) did not lead to any difficulties during implementation. From SPC's perspective, the PCU was an effective advocate on behalf of SPC with SPREP and UNDP, providing sound advice on reporting and budget issues.

While implementation appears to have been satisfactory, coordination has not been strong. The Evaluation Team notes that apart from the handling of financial reports and cash advances, neither SPREP nor the PCU made enough effort to coordinate between the two components of the IW-Project at the implementation level. Likewise, had it not been for existing arrangements between FFA and SPC, coordination within the OFM Component would have been lacking. Neither was there anyone entrusted with coordination between the two components at the country level and the project may have suffered because of this.

## **4.12 Beneficiaries**

The beneficiary countries of the IW-Project are Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu. "Primary target beneficiaries" include governmental organisations, NGOs and community-based organisations (CBOs). For the OFM component, the principal beneficiaries were expected to be government policymakers engaged in the management of the oceanic fisheries resources (from Fisheries, Foreign Affairs and Legal Ministries and Departments). In other words, the OFM component targeted primarily those responsible for developing and implementing effective fisheries management regimes at the national and regional levels.

The ProDoc identified "secondary target beneficiaries" which included intergovernmental organisations (namely SPC, FFA and SPREP) and the private sector. However, in the view of the Evaluation Team, FFA and SPC have been very much primary target beneficiaries in view of the capacity building and funding support they have received from the OFM Project. The benefits of the FFA activities have indeed accrued to the intended beneficiaries at in-country and Government levels. But some of the benefits of SPC activities will take some time before they will filter down to the same levels. In this regard it is important to remember that benefits to FFA and SPC as organizations are only a means to an end and that the ultimate beneficiaries should be the people and Governments of the Pacific Island States.

## **4.13 Sustainability and replicability of project outcome**

There is a slight misunderstanding regarding 'sustainability'. The FFA and SPC appear to think of sustainability as the continuation of the project itself rather than the survival of the project results after the project has ended. They therefore see the proposed follow-up project as a sign of sustainability. The Evaluation Team feels that the need for a follow-up project is almost an indication that the project results are unlikely to be sustained without this further intervention.

Capacity building has been the most significant benefit of the OFM Project. But in spite of the impressive nature of the results, their sustainability is not assured. Some of the barriers to sustainability have been identified and those that are within the Project's competence are proposed to be addressed during the Phase II Project. The Evaluation Team believes that a follow-up project will be an effective means for GEF to secure and ensure sustainability for the investment it has made in the global oceanic resources of the region.

While there is neither the potential nor the need to replicate the OFM Project in the region, there are definite global replication possibilities in other island regions supporting significant tuna fisheries. Where distant water fishing nations and coastal states are expected to collaborate on tuna resources management, the processes and strategies applied in the OFM Component set global precedents.

#### **4.14 Monitoring and evaluation**

Both FFA and SPC considered the quarterly financial and narrative reporting as somewhat excessive and would suggest that 6-monthly and annual reporting and annual work plans would be more effective. This would allow a more detailed approach to assessing progress to be taken.

Monitoring and evaluation for the OFM Component were undertaken by FFA and SPC ‘in-house’ even though independent audits (commissioned by the organizations) were also carried out and an excellent baseline study and update were very useful exercises. There was no response to audit reports or any other reports from either SPREP or UNDP and no reporting was required, even though it was offered, to the governing body of SPREP. Reporting by the OFM Component executing agencies to the MPR meetings (in lieu of a Project Steering Committee) elicited few substantive comments since those present were mainly from Environment administrations and more interested in discussing the ICWM Component than Fisheries matters. The MPR meetings cannot be seen as adequate evaluation events for the OFM-Component. Similarly, the Independent Mid-Term Evaluation of the IW-Project specifically excluded the OFM Component.

The Evaluation Team does not believe that monitoring and evaluation have been used effectively as a management tool in obtaining accountability or measuring progress or in directing the implementation of the OFM Component and cannot recommend this approach for any future project support.

## **5 Recommendations**

### **General recommendations**

That UNDP/GEF accept that although the OFM Project may not have addressed the identified root causes fully or exclusively, the benefits obtained through the activities undertaken, justify this departure and the Project has been very successful in strengthening the institutional framework, the knowledge base and the stakeholders capacity for managing this unique tuna resource which is of global significance.

That UNDP/GEF confirm their support for a follow-up project as the best way of ensuring the sustainability of the benefits obtained from this Project.

That UNDP/GEF organize a GEF Workshop or series of workshops in the region, for GEF National Focal Points and others, to raise awareness and improved understanding of GEF processes, objectives, procedures and the GEF focus on global environmental benefits.

### **Corrective actions**

That those responsible for the formulation of the follow-up project place great emphasis on the design of the project which should reflect the root causes of the problems and be structured according to the logic of – the setting of an objective, the selection of outputs and the planning of activities which ultimately would have addressed the root causes of the identified problems, and for this logic to be evident in a robust Logical Framework Matrix which includes objectively verifiable indicators that can guide those implementing the project.

That in designing the project, the approach should be a participatory one involving as many as possible of the prospective stakeholders and beneficiaries at regional, government, private sector and community levels.

That the project design should include a strategy for monitoring and evaluation that depends on a feedback loop between those implementing the project and a project steering committee made up of knowledgeable individuals able to appreciate the issues being brought before them and provide the feedback, advice and direction necessary for the effective implementation of the project.

### **On future directions to reinforce project benefits**

That the prime benefit that should be targeted from the follow-up project is the framework, capacity and functioning of the proposed Tuna Commission so that it can undertake its crucial role of providing the management context for the tuna resource and its ecosystem in a manner which will provide the greatest benefits to the Pacific Island countries and their citizens on a sustainable basis.

That an equally important target of the follow-up project is the further building of capacity and capability of the Pacific Island region, at regional, government, private sector and community levels so that each sector can participate meaningfully in the management of the tuna resource and its ecosystem.

That the follow-up project places emphasis on the realignment, restructuring and strengthening of national fisheries laws, policies, institutions and programmes to take up the new opportunities that the Convention has created and discharge the new responsibilities that it requires.

That fisheries management capacity at country level be enhanced for data collection and analysis, stock assessment, MCS and enforcement and the development and application of contemporary fisheries

management tools, through a strategy that views capacity building and training as a continuing activity rather than a one-off exercise to overcome the problem of capacity retention.

That Pacific Island countries that have adopted Tuna Management Plans and are having difficulties with implementation, be assisted to identify and address the barriers that are hindering implementation.

That the regionally based pool of expertise provided by the FFA and SPC will remain a cost-effective means of underpinning the implementation of an effective fisheries management framework, for the foreseeable future.

That USP could be encouraged and supported to establish relevant programmes in fisheries science, oceanography, ecosystem management, fisheries administration and law, etc, to provide an important ingredient for the capacity building effort and that Pacific Island Governments as well as the private sector be encouraged to support such studies through the awarding of scholarships to promising nationals.

That national Colleges of Fisheries and similar institutions be assisted to start offering courses for observers, monitors and similar technical positions leading to a recognized qualification.



## **ANNEX 1 Mission Terms of Reference**

### **Terminal Evaluation of UNDP-GEF's Strategic Action Programme for the International Waters of the Pacific Small Island Developing States: Oceanic Fisheries Management Component (RAS/98/G32)**

#### **I. Introduction:**

The International Waters Project (the IWP) is a 7-year initiative to implement the Strategic Action Programme for the International Waters of the Pacific Small Island Developing States<sup>1</sup> (the SAP). It is implemented by the United Nations Development Programme (UNDP) and executed by the South Pacific Regional Environment Programme (SPREP). The Project Document was signed by UNDP and SPREP in February 2000. Actual execution did not commence until July 2000 when the Programme was activated at SPREP.

The IWP is designed to support actions to address the root causes of degradation of the international waters of the Pacific Islands region. The actions are to be carried under the auspices of two complementary, linked consultative programs: Integrated Coastal and Watershed Management (ICWM), to be executed over seven years, and Oceanic Fisheries Management (OFM) executed over four years. This Terminal Evaluation (TE) is confined to the OFM component of the IWP. Although a Project Coordination Unit (PCU) based at SPREP is responsible for overall project coordination and administration, the Forum Fisheries Agency (FFA) (based at Honiara, Solomon Islands), and the Secretariat for the Pacific Community (SPC) (based at Noumea, New Caledonia) are responsible for the execution of the OFM Component of the IWP.

The SAP identifies unsustainable use of living resources as one of the three priority trans-boundary concerns relating to the International Waters of the Pacific Islands Region. In respect of oceanic fisheries, the SAP identifies deficiencies in management at the national and regional levels as the ultimate root cause of the threat of unsustainable exploitation of trans-boundary oceanic stocks and related species, and recognises these deficiencies as arising from weaknesses in governance of fishing on these stocks and related activities, and a lack of understanding, including a lack of understanding of the biotic components and system dynamics of the Western Tropical Pacific Large Marine Ecosystem.

At the time the SAP and the IWP were prepared in 1997-1998, there was substantial uncertainty about the future pattern of management of trans-boundary oceanic fish stocks in the region. Negotiations had begun on new arrangements for the conservation and management of trans-boundary stocks of highly migratory species in accordance with the UN Convention on the Law of the Sea and the UN Fish Stocks Agreement, but there were a wide range of proposals tabled and it was not clear what the outcome of the negotiations would be. Because of this uncertainty, the activities of the OFM Component were funded for only three years as a pilot programme within the broader original 5-year programme of the IWP. It is now programmed to terminate in 2004. The key pilot activities of the OFM Component are:

providing support for the process of discussions and negotiation between Pacific SIDSs, other coastal states of the Western and Central Pacific Ocean (including Indonesia and the Philippines) and fishing states, on a new regional arrangement for the conservation, management and sustainable development of trans-boundary stocks of highly migratory species and related species, including support for effective participation by Pacific SIDSs; providing training to Pacific SIDSs to strengthen their understanding and capacity to participate in the process of preparing new arrangements for trans-boundary fish stocks, and to identify the necessary policy, legal and institutional reforms at national level associated with implementation of the new arrangements; providing technical assistance through existing regional organisations to support Pacific SIDSs in the development and implementation of new regional and national conservation and management arrangements

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<sup>1</sup> The 14 Pacific Island States that qualify for GEF support are: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.

for trans-boundary stocks of tuna and related species, and provide additional scientific knowledge and information about these stocks and the WTP LME. The outputs of the scientific work include enhanced scientific information:

on regional tuna stocks through developments in stock assessment methodology, including analysis of stock-specific reference points, and improved flows of information from regional monitoring programmes and databases; and characterizing the WTP LME through a programme of biological and ecological monitoring, research and analysis.

These activities are financed by a GEF grant of US\$3.5 million, with co-financing of these and other complementary activities amounting to an estimated US\$6.3 million in FFA and SPC resources.

## **II. Objectives**

The Monitoring and Evaluation (M&E) policy at the project level in UNDP/GEF has four objectives: i) to monitor and evaluate results and impacts; ii) to provide a basis for decision making on necessary amendments and improvements; iii) to promote accountability for resource use; and (iv) to document, provide feedback on, and disseminate lessons learned. A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project – e.g. periodic monitoring of indicators -, or as specific time-bound exercises such as mid-term reviews, audit reports and terminal evaluations.

The GEF Manual on Monitoring and Evaluation Policies and Procedures notes “All GEF regular projects will carry out a terminal evaluation at project completion to assess project achievement of objectives and impacts”. This Terminal Evaluation for the OFM component of the IWP is based on this directive.

Final evaluations are intended to assess the relevance, performance and success of the project. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify/document lessons learned and make recommendations that might improve design and implementation of other UNDP/GEF projects.

The overall objective of this TE is to review progress towards the project’s objectives and outcomes, assess the efficiency and cost-effectiveness of how the project has moved towards its objectives and outcomes, identify strengths and weaknesses in project design and implementation, and provide recommendations on design modifications that could have increased the likelihood of success, and on specific actions that might be taken into consideration in designing future projects of a related nature.

In pursuit of the overall objectives, the following key issues will be addressed during the TE of the OFM Component of the IWP:

- Assess the extent to which the OFM Component achieved the IWP’s regional and global environmental objectives as described in GEF operational focal areas 8 and 9;
- Assess the effectiveness with which the IWP addressed the root causes and imminent threats identified by the SAP as giving rise to the concern about unsustainable use of transboundary oceanic fishery resources in the Pacific Islands region
- Assess the extent to which the planned objectives and outputs of the IWP were achieved;
- Describe the IWP’s adaptive management processes – how did project activities change in response to new conditions encountered during implementation, and were the changes appropriate?
- Review the clarity of roles and responsibilities of the various institutional arrangements for IWP implementation and the level of coordination between relevant players;
- Review any partnership arrangements with other donors and comment on their strengths and weaknesses;
- Assess the level of public involvement in the IWP and recommend whether public involvement was appropriate to the goals of the project;
- Describe and assess efforts of UNDP, SPREP, FFA and SPC in support of the implementation of the OFM Component of the IWP;

- Review and evaluate the extent to which IWP impacts have reached the intended beneficiaries;
- Assess the likelihood of continuation and sustainability of project outcomes and benefits after completion of the OFM Component of the IWP;
- Describe key factors that will require attention in order to improve prospects for sustainability of IWP outcomes and the potential for replication of the approach;
- Assess whether the Logical Framework approach and performance indicators have been used as effective IWP management tools;
- Review the implementation of the IWP's monitoring and evaluation plans;
- Review the knowledge management processes of the Project, including the use of IW:LEARN;
- Describe the main lessons that have emerged in terms of:
  - country ownership/drivenness;
  - regional cooperation and inter-governmental cooperation;
  - stakeholder participation;
  - adaptive management processes;
  - efforts to secure sustainability; and
  - the role of M&E in project implementation.
- In describing all lessons learned, an explicit distinction needs to be made between those lessons applicable only to this project, and lessons that may be of value more broadly, including to other, similar projects in the UNDP/GEF pipeline and portfolio.

The Report of the TE will be a stand-alone document that substantiates its recommendations and conclusions.

The Report will be targeted at meeting the Evaluation needs of all key stakeholders (GEF, UNDP, FFA, SPC, SPREP and stakeholders in Participating Countries).

### **III. Scope**

Three main OFM Component IWP elements to be evaluated include Delivery, Implementation and Finances. Each component will be evaluated using three criteria: effectiveness, efficiency and timeliness.

#### **Programme Delivery**

The TE will assess to what extent the IWP has achieved its immediate objectives? It will also identify what outputs have been produced and how they have enabled the SAP to achieve its objectives?

The section will include an assessment of the following priority areas:

##### **1. Institutional arrangements:**

- Strategic planning, preparatory work and implementation strategies,
- Consultative processes,
- Technical support,
- Capacity building initiatives,
- Programme outputs,
- Assumptions and risks, and
- Programme-related complementary activities.

##### **2. Outcomes:**

- Efficiency of IWP activities,
- Progress in the achievement of immediate objectives (level of indicator achievements when available), and
- Quality of IWP activities

**3. Partnerships:**

- Assessment of regional collaboration between governments, intergovernmental and non-governmental organizations,
- Assessment of national-level involvement and perceptions
- Assessment of local partnerships, and
- Involvement of other stakeholders

**4. Risk Management:**

- Were problems / constraints, which impacted on the successful delivery of the IWP, identified at project design?
- Were there new threats/risks to project success that emerged during project implementation?
- Were both kinds of risk appropriately dealt with?
- Are they likely to be repeated in future phases?

**5. Monitoring and evaluation:**

- Assess the extent, appropriateness and effectiveness of adaptive management in project implementation
- Has there been a monitoring and evaluation framework for the IWP?
- Is the reporting framework effective/appropriate?
- Has M&E been used as a management tool in directing project implementation in a timely manner?
- Is this framework suitable for replication/ continuation for any future Programme support?

**Programme Implementation**

Review the IWP's management structure and implementation arrangements at all levels, in order to provide an opinion on its efficiency and cost-effectiveness.. This includes:

**1. Processes and administration:**

- Programme-related administration procedures,
- Milestones;
- Key decisions and outputs;
- Major Programme implementation documents prepared with an indication of how the documents and reports have been useful
- Processes to support national components of the Programme.

**2. Programme oversight:**

- GEF
- UNDP
- SPREP
- SPC
- FFA
- Participating country mechanisms

**3. Programme execution:**

- SPREP as the Executing Agency (under the UNDP National Execution (NEX) modality)
- SPC and FFA
- The PCU
- National functions.

**4. Programme implementation:**

- UNDP as the Implementing Agency

**5. Comparative assessment:**

- Compare the IWP's overview (GEF/UNDP), execution (SPREP, FFA and SPC) and implementation (PCU, National Lead Agencies, National Coordinators, etc) elements of the Programme with similar regional natural resource management programmes in the Pacific and elsewhere. Provide an opinion on the appropriateness and relevance of the structure and recommend alternatives (if required) for future consideration.

**Programme Finances**

How well and cost-effective did financial arrangements of the IWP worked? This section will focus on the following three priority areas:

**1. Programme disbursements. Specifically:**

- Provide an overview of actual spending vs. budget expectations
- With appropriate explanation and background provide a breakdown of the ratio of funds spent “directly” in-country against total funds spent
- With appropriate explanation and background provide a breakdown of the ratio of funds spent “indirectly” in-country (i.e. external consultants and regional training) against total funds spent, and
- Critically analyse disbursements to determine if funds have been applied effectively and efficiently.

**2. Budget procedures:**

- Did the Project Document provide enough guidance on how to allocate the budget?
- Review of audits and any issues raised in audits; and subsequent adjustments to accommodate audit recommendations;
- Review the changes to fund allocations as a result of budget revisions and provide an opinion on the appropriateness and relevance of such revisions, taking into account the increased duration of the IWP.

**3. Coordinating mechanisms:**

- Evaluate appropriateness and efficiency of coordinating mechanisms between national agencies, SPREP (including internal coordination), FFA, SPC, UNDP and the GEF.
- Does the IWP/SAP approach represent an effective means of achieving the objective of the OFM Component of the IWP? How can the approach be improved?

**IV. Methodology**

The TE will be undertaken through a combination of processes including desk research, visits to selected participating countries, questionnaires and interviews - involving all stakeholders, including (but not restricted to): UNDP (Apia), GEF, SPREP, FFA, SPC, participating Governments, National NGOs, communities, resource users and local governments.

The methodology for the study is envisaged to cover the following areas:

- Desk study review of all relevant IWP documentation;
- Possible Apia, Honiara and Noumea-based consultations with UNDP, SPREP, FFA, SPC, and the PCU;
- Visits to as many participating countries as feasible within budgetary and timeframe constraints, and
- Possible participation in a regional consultation of senior fisheries officials (FFC) to discuss the TE Report in Kiribati in May 2004.

## **V. Products**

The main product of the Evaluation will be:

A Terminal Evaluation Report based on the general format outline at Annex 1.

The Terminal Evaluation report will include: i) findings and conclusions in relation to the issues to be addressed identified under sections II and III of this TOR; ii) assessment of gaps and/or additional measures needed that might justify future GEF investment in the Pacific Islands region, and iii) guidance for future investments (mechanisms, scale, themes, location, etc).

The Evaluation Report will be written in the format outlined in Annex 1. It will be submitted to UNDP, SPREP, FFA and SPC by 1<sup>st</sup> March 2004. The final report will be formally presented to the 2004 annual session of the Forum Fisheries Committee (FFC) in May 2004. It will also be forwarded to the GEF for review and extraction of broadly applicable lessons by the Independent M&E Unit.

The reviewers will provide UNDP, FFA, SPC and SPREP with an electronic copy of the final reports at the time of their submission.

### **Reviewer Attributes:**

#### ***Team Leader:***

- Academic and/or professional background in institutional aspects of oceanic fisheries resource management. A minimum of 15 years relevant experience;
- Detailed knowledge of the international sustainable development agenda, with particular emphasis on regional priorities of the South Pacific. Knowledge of regional groupings structures, priorities and operations;
- Experience in the evaluation of technical assistance projects, preferably with UNDP or other United Nations development agencies and major donors;
- Experience in the evaluation of GEF-funded international waters and/or biodiversity conservation projects;
- Excellent English writing and communication skills. Demonstrated ability to assess complex situations in order to succinctly and clearly distill critical issues and draw forward looking conclusions;
- Experience leading multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations;
- Proven capacity in working across the levels of institutions from policy, to legislation, regulation, and organisations;
- An ability to assess institutional capacity and incentives, and
- Excellent facilitation skills

#### ***Resource Specialist***

- Academic and professional background in oceanic fisheries resource research and/or management – preferably in Pacific Island environments;
- An understanding of GEF principles and expected impacts in terms of global benefits;
- A minimum of 15 years relevant working experience;
- Experience in implementation or evaluation of technical assistance projects;
- an understanding of UNDP, FFA and SPC activities and operational procedures in the Pacific Islands region;
- Skills and experience in OFM-related processes and programmes;
- Excellent English writing and communication skills, and
- Excellent facilitation skills

At least one of the Reviewers will be a Pacific Island national.

## **VI. Tentative Schedule**

August 2003	Calls for Expressions of Interest
September 30 2003	Expressions of Interest close
October 31 2003	Selection of Reviewers
January 1 2004	Reviewers commence the Evaluation
February 29 2004	Final Report submitted to UNDP, FFA, SPC and SPREP
May 2004	Annual Session of the Forum Fisheries Committee

## **VII Report Submission**

The report will be submitted simultaneously to:

Ms Joyce Yu,  
Resident Representative,  
UNDP,  
Private Mail Bag,  
Apia, Samoa  
(to the attention of Mr. Tom Twining-Ward [tom.twining-ward@undp.org](mailto:tom.twining-ward@undp.org)).

AND Mr. Asterio Takesy,  
Director,  
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Additional information is available at [www.sprep.org/iwp](http://www.sprep.org/iwp)

**Annex I : EVALUATION REPORT: SAMPLE OUTLINE (Minimum GEF requirements<sup>1</sup> are underlined)**

Executive summary  
Brief description of project  
Context and purpose of the evaluation  
Main conclusions, recommendations and lessons learned

Introduction  
Purpose of the evaluation  
Key issues addressed  
Methodology of the evaluation  
Structure of the evaluation

The project(s) and its development context  
Project start and its duration  
Problems that the project seek to address  
Immediate and development objectives of the project  
Main stakeholders  
Results expected

Findings and Conclusions  
Project formulation  
Implementation  
Stakeholder participation  
Replication approach  
Cost-effectiveness  
UNDP comparative advantage  
Linkages between project and other interventions within the sector  
Indicators

Implementation  
Delivery  
Financial Management  
Monitoring and evaluation  
Execution and implementation modalities  
Management by the UNDP country office and other partners  
Coordination and operational issues

Results  
Attainment of objectives  
Sustainability  
Contribution to upgrading skills of the national staff

Recommendations  
Corrective actions for the design, implementation, monitoring and evaluation for consideration in future projects  
Actions to follow up or reinforce initial benefits from the project  
Proposals for future directions underlining main objectives

Lessons learned  
Best and worst practices in addressing issues relating to relevance, performance and success

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<sup>1</sup> Please refer to GEF guidelines for explanation of Terminology



Annexes

TOR

Itinerary

List of persons interviewed

Summary of field visits

List of documents reviewed

Questionnaire used and summary of results

## **ANNEX 2 Documents and Websites Reviewed/Consulted**

### **A) References**

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Secretariat of the Pacific Community and Forum Fisheries Agency (2002b) *South Pacific Regional Pole-and-Line Fisheries Observer Workbook*. Secretariat of the Pacific Community, Noumea, and Forum Fisheries Agency, Honiara.

### **C) Websites visited and consulted**

The South Pacific Regional Environment Programme (SPREP)

<http://www.sprep.org.ws>

The United Nations Development Programme (UNDP) website for its GEF activities

<http://www.undp.org/gef>

The Global Environment Facility (GEF)

<http://www.gefweb.org>

<http://www.gefonline.org>

The South Pacific Forum Fisheries Agency (FFA)

<http://www.ffa.int>

The Secretariat for the Pacific Community (SPC)

<http://www.spc.org.nc>

The UN Economic and Social Commission for Asia and the Pacific (ESCAP)

<http://www.unescap.org>

International Waters Learning Exchange and Resource Network

<http://www.iwlearn.org/>

## **ANNEX 3 Persons Met and/or Consulted**

### **Forum Fisheries Agency (FFA)**

Mr. Bruce Chapman, Interim Deputy Director  
Mr. Len Rodwell, Economics and Marketing Manager  
Mr. David Rupokets, Finance/Accounts Manager  
Mr. Andy Richards, Monitoring, Control and Surveillance Manager  
Ms Barbara Hanchard, Executive Officer  
Dr Transform Aqorau, former Legal Counsel (1998-2003)  
Mr. Les Clark, Consultant, Fisheries Management Advisor  
Dr Kenneth MacKay, Consultant, Field Programme Coordinator for C-SPODP II  
Mr. Ian Cartwright, Consultant

### **Secretariat of the Pacific Community (SPC)**

Ms Lourdes Pangelinan, Director-General  
Dr Tim Adams, Director of Marine Resources  
Dr John Hampton, Oceanic Fisheries Programme Manager  
Dr Patrick Lehodey, Principal Oceanic Fisheries Scientist  
Dr Adam Langley, Principal Oceanic Fisheries Scientist  
Dr Valerie Allain, Fisheries Research Scientist, Ecosystems  
Mr. Tim Lawson, Fisheries Statistician  
Mr. Peter Sharples, Port Sampler and Observer Coordinator  
Ms Kay Perry, Project Officer

### **Cook Islands**

Mr. Alava'a Navy Epati, Secretary, Ministry of Marine Resources

### **Federated States of Micronesia**

Mr. Bernard Thoulag, Executive Director, National Oceanic Resource Management Authority  
Mr. Mathew Chigiyal, Licensing Officer, National Oceanic Resource Management Authority

### **Fiji**

Mr. Apolosi Turaganivalu, Principal Fisheries Officer, Ministry of Fisheries & Forests  
Mr. Grahame Southwick, Executive Chairman, Fiji Fish Marketing Group Limited

### **Kiribati**

Mr. Johnny Kirata, Deputy Director of Fisheries

### **Marshall Islands**

Mr. Danny Wase, Director, Marshall Islands Marine Resources Authority

### **Niue**

Mr. Brendon Pasisi, Fisheries Advisor, Department of Agriculture, Forestry and Fisheries

### **Palau**

Mr. Ramon Rechebei, Ministry of State

### **Papua New Guinea**

Ms Masio Nidung Finter, Acting State Solicitor, Department of Justice and Attorney General  
Mr. Dennis Bebegu, Director, Bilateral & Regional Economic Arrangements Branch, DFA&I

### **Samoa**

Mr. Tanielu Su'a, Assistant Chief Executive Officer, Samoa Fisheries  
Mr. Terry Toomata, Assistant Secretary, Ministry of Foreign Affairs

**Solomon Islands**

Mr. Fred Ganate, Permanent Secretary, Fisheries  
Mr. Eddie Orehaka, Director-General of Fisheries  
Mr. Adrian Wickham, Director, National Fisheries Development Limited  
Mr. Milton Sibisiopere, Managing Director, SolTai Fishing and Processing Limited

**Tonga**

Ms 'Apisake Soakai, Acting Secretary, Ministry of Fisheries  
Mr. Bill Holden, General Manager, Alatini Fisheries

**Vanuatu**

Mr. Moses Amos, Director of Fisheries

**Australian Delegation to 16<sup>th</sup> Consultation on Fisheries Treaty between certain Pacific Island Governments and the US Government, Funafuti, Tuvalu**

Mr. James Lee, International Fisheries Division, Agriculture, Fisheries and Forestry - Australia

**New Zealand Delegation to 16<sup>th</sup> Consultation on Fisheries Treaty between certain Pacific Island Governments and the US Government, Funafuti, Tuvalu**

Mr. Matthew Hooper, Senior International Adviser, Ministry of Fisheries

**University of the South Pacific**

Prof Leon Zann, Professor of Marine Sciences, Coordinator Marine Studies Programme  
Dr Vina Ram-Bidesi, Lecturer in Marine Studies

**Project Coordination Unit (PCU)**

Mr. Andrew Wright, Project Manager  
Mr. Rama Vaa, Project Accountant  
Ms Rosanna Galuvao, Programme Assistant

**South Pacific Regional Environment Programme (SPREP)**

Mr. Asterio Takesy, Director  
Mr. Vitolio Lui, Deputy Director  
Mr. Gerald Miles, past Deputy Director (1990-2002)

**United Nations Development Programme Office in Fiji**

Ms Linda Petersen, Thematic Team Leader

**United Nations Development Programme Office in Samoa**

Mr. Tom Twining-Ward, Environment Advisor  
Ms. Easter Galuvao, Assistant Resident Representative (ARR) Environment

## **ANNEX 4 Summaries of Field Visits and Salient Meetings**

### **Wellington Meeting**

On Monday 19 January 2004, a meeting was held in Wellington between a member of the Evaluation Team and Mr. Len Rodwell, Head of Div of Economics and Marketing, FFA Honiara; Dr John Hampton, Manager of Oceanic Fisheries Programme, SPC Noumea; and Mr Les Clarke, FFA Consultant. The meeting, which lasted most of the day, ranged widely on various aspects of the OFM Project including its background and context, its formulation stages, its implementation and its achievements. The Project Document was discussed at some length as were implementation arrangements, monitoring and reporting procedures, financial management aspects, linkages and relationships with other ongoing activities, etc.

The meeting also discussed the planned conduct of the evaluation and arrangements which were being made for the Team in Honiara and Noumea.

### **PIROF Meeting**

From 02 to 04 February (inclusive) one member of the Evaluation Team attended the Pacific Islands Regional Ocean Forum (PIROF) held at the University of the South Pacific in Suva. Delegates/participants at the Forum came from all countries in the region that are beneficiaries of the IW-PROJECT-OFM Project. They represented Government with representatives from Fisheries, Foreign Affairs, Meteorological and Environment Ministries/Departments; the private sector (fishing and tourism operators), Non-government Organisations (Greenpeace, WWF, the Nature Conservancy), regional intergovernmental organizations such as Pacific Islands Forum Secretariat, FFA, SPC, USP, SPREP and South Pacific Applied Geoscience Commission (SOPAC) and academic researchers. Official statements from all participating governments were presented at the Forum. These addressed country priority issues and emerging issues in respect to a Regional Ocean Strategy. The Evaluation Team member also held one on one discussions with a number of participants to seek their input into the evaluation of the OFM Project. Those interviewed included Government representatives from FSM, PNG, Kiribati and Samoa; private sector representatives from Tonga and Solomon Islands; the PCU Project Manager (informally) and the former Deputy Director of SPREP.

### **Visit to FFA and Honiara**

The Evaluation Team traveled to Honiara for a visit to the FFA Head Office between Friday 06 and Thursday 12 February. Meetings were held with various key personnel who had been involved in activities under the GEF/UNDP OFM Project. It was also possible to work very closely with the FFA officer who had coordinated the Project within FFA. A final debriefing meeting was also held with the Acting Deputy Director of FFA.

While in Honiara, the Evaluation Team took the opportunity to visit the Solomon Islands Fisheries Department and meet with senior officials. A meeting was also held with an exponent of the private sector.

### **Visit to SPC**

Following a brief overnight transit stop in Port Vila where the Evaluation Team met with a senior official of the Vanuatu Fisheries Department, the Team arrived in Noumea on Friday 13 February for a visit to SPC which lasted until Thursday 19 February. Meetings were held with various key personnel from the Oceanic Fisheries Programme who had been or were still involved in activities under the GEF/UNDP OFM Project. The Team also had the opportunity to observe port sampling procedures in Noumea.



## **Meetings in Suva, Fiji**

The Evaluation Team made use of the short periods of time spent in Suva, mainly in transit, to hold meetings with a past official from FFA who had been intimately involved in the OFM Project, the Marine Studies Programme administration at USP, an exponent of the fisheries private sector, a current consultant to the FFA and the UNDP Country Office in Fiji.

## **US/Pacific Governments Fisheries Treaty Meeting (Funafuti)**

One Evaluation Team member visited Funafuti, Tuvalu, during the Sixteenth Annual Consultation on Fisheries Treaty between the Governments of certain Pacific Island States and the US Government between Monday 01 and Thursday 04 March. This was an excellent opportunity to meet with relevant officials from Fisheries and Foreign Affairs administrations from each of the stakeholder Governments, in one place. The team member made a presentation to the delegates and a general discussion ensued with a focus on the need and the means for better stakeholder involvement, at country level, in project formulation and project implementation. Following the plenary meeting with delegates, the team member was able to discuss specific aspects of the OFM Project with individual country representatives, officials from FFA and SPC and consultants.

## **Visit to SPREP, the PCU and UNDP in Apia**

On Saturday 06 March, the Evaluation Team traveled to Apia for a one day meeting with SPREP, the PCU and UNDP. While discussing some queries which arose during the evaluation, the meeting also served as a preliminary debriefing and the Evaluation Team provided the meeting with an indication of the main issues that the Evaluation Report was likely to address.

## **ANNEX 5 Mission Itinerary**

<b>January</b>	Document review from Homebase PT : meeting in Wellington with FFA and SPC reps
<b>02 - 05 February</b>	ST : Attend PIROF Meeting, Suva
<b>05 February</b>	Team travel to Honiara
<b>06 -12 February</b>	In Honiara – meetings with FFA officials, Government Fisheries officials, and private sector
<b>12 February</b>	Team travel to Port Vila
<b>13 February</b>	In Port Vila – meeting with Fisheries officials Team travel to Noumea
<b>14 -18 February</b>	In Noumea – meetings with SPC officials
<b>18 / 19 February</b>	Return to Homebase
<b>20 - 26 February</b>	Homebase – drafting
<b>27 February</b>	PT : Travel to Suva
<b>28 - 29 February</b>	Team in Suva – team discussions + drafting + meetings
<b>01 March</b>	PT : Travel to Funafuti
<b>02 - 04 March</b>	PT : in Funafuti – consultations with delegates to Treaty Meeting, FFA, SPC, etc, ST : at Homebase – drafting
<b>04 March</b>	PT : Travel to Suva
<b>04 - 06 March</b>	Team in Suva – drafting and meetings with USP and private sector
<b>06 March</b>	Team travel to Apia
<b>06 March</b>	In Apia – meetings with PCU, SPREP and UNDP
<b>07 / 08 March</b>	Return to Homebase
<b>08 - 09 March</b>	Homebase - Final drafting of Draft Evaluation Report
<b>10 March</b>	Homebase - Dispatch Draft Evaluation Report
<b>11 - 18 March</b>	Consideration of Draft Report by FFA, SPC, PCU, SPREP and UNDP
<b>19 March</b>	Comments from stakeholders to Team
<b>20 - 25 March</b>	Homebase – consideration of comments received and finalization of the Evaluation Report
<b>Fri 26 March</b>	Dispatch of Final Evaluation Report

## **ANNEX 6 : Logical Framework Matrix** (as revised on 23 September 2003)

### **GLOBAL ENVIRONMENT FACILITY UNITED NATIONS DEVELOPMENT PROGRAMME SOUTH PACIFIC REGIONAL ENVIRONMENT PROGRAMME**

#### **STRATEGIC ACTION PROGRAMME (SAP) FOR THE INTERNATIONAL WATERS OF THE PACIFIC SMALL ISLAND DEVELOPING STATES**

*Logical Framework (ICWM Component Revised 23 September 2003)*

<b>Intervention Logic</b>	<b>Objectively Verifiable Indicators</b>	<b>Sources of Verification</b>	<b>Assumptions and Risks</b>
<b>Goal</b>			
Integrated sustainable development and management of international waters.	<ul style="list-style-type: none"> <li>• An enhanced framework for regional and national co-operation on critical trans-boundary management issues.</li> <li>• Improved national and regional capacities for the long-term sustainable development of ocean fisheries and improved ICWM capabilities in the Pacific Region.</li> </ul>	<ul style="list-style-type: none"> <li>• PCU documents</li> <li>• RTF Meetings</li> <li>• GEF Reports</li> <li>• UNDP Reports</li> <li>• Executing agency reports</li> <li>• PCU work plans</li> <li>• References to SAP in regional and international meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Continued country commitment to a regional approach.</li> <li>• Key regional institutions and national governments working co-operatively.</li> <li>• Changes in economic, political and social conditions may detract from country commitment to, and feasibility of, pilot projects and regional collaboration.</li> </ul>
<b>Project Purpose</b>			
Address the root causes of degradation of International Waters in the Pacific Islands region through a programme focused on improved OFM and ICWM.	<ul style="list-style-type: none"> <li>• Pacific island country participation on committees and workgroups associated with OFM and ICWM activities.</li> <li>• Collaborative arrangements with other stakeholders, for example other South Pacific regional agencies and NGOs.</li> </ul>	<ul style="list-style-type: none"> <li>• Technical reports.</li> <li>• ICWM Strategies</li> <li>• Technical Guidelines</li> <li>• Technical reports</li> <li>• Narrative reports</li> <li>• Disbursement records</li> <li>• Financial reports</li> <li>• Meeting records</li> <li>• Participating agency/organization reports</li> <li>• Partnership arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• PCU may be inadequately resourced to service IWP implementation requirements of 14 participating countries and three co-executing agencies.</li> <li>• Regional organizations and country participants may not be able to work co-operatively to the extent necessary for project success.</li> <li>• GEF funds may not be adequately complemented by country commitments and funding from other donors.</li> <li>• Recruitment of PCU staff delayed or recruitment of appropriate staff proves problematic.</li> <li>• Collaborative relationships with other stakeholders, particularly other South Pacific regional agencies and NGOs, difficult to establish.</li> <li>• Capacity to adequately conceptualize and implement a community based approach for the ICWM component.</li> </ul>

**Immediate Objective 1**

<p>Establish effective project implementation support</p>	<ul style="list-style-type: none"> <li>• Project established</li> <li>• Administrative support in-country activities established.</li> <li>• Technical advisory/backstopping services established</li> <li>• Monitoring and evaluation of Project implementation established</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination Unit</li> <li>• Administrative arrangements to support project-related activities established.</li> <li>• Technical advisory/backstopping services established</li> <li>• Monitoring and evaluation of Project implementation established</li> </ul>	<ul style="list-style-type: none"> <li>• PCU staff contracts</li> <li>• FFA and SPC staff contracts</li> <li>• National staff contracts</li> <li>• Memoranda of Understanding</li> <li>• Administrative arrangements within SPREP</li> <li>• Administrative arrangements for SPREP reporting to UNDP</li> <li>• Letters of Agreement</li> <li>• Purchase orders</li> <li>• Work Plans</li> <li>• Reporting on UNDP support services</li> </ul>	<ul style="list-style-type: none"> <li>• Executing agency willing to commit physical space and support resources.</li> <li>• Commitment to a substantial investment in communications capability if project is to succeed.</li> <li>• Competent staff are recruited to the Programme</li> <li>• Lack of clear lines of responsibility to the GEF secretariat may hamper implementation.</li> </ul>
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**Immediate Objective 2**

<p>Enhanced trans-boundary management mechanisms.</p>	<ul style="list-style-type: none"> <li>• National and regional commitment to, and participation in, ICWM activities.</li> <li>• Consultative operational arrangements</li> <li>• Stakeholder participation plans in place.</li> <li>• Country commitment in regional and related global fora supported.</li> <li>• MPR meets at least once annually</li> <li>• NTF re-established in participating countries and meets at least twice annually</li> <li>• Explicit regional positions supported in various global fora.</li> <li>• Support to existing and potentially new regional fora provided.</li> </ul>	<ul style="list-style-type: none"> <li>• MPR Meeting Records</li> <li>• Monitoring and evaluation reports</li> <li>• NTF meeting records</li> <li>• Annual Progress Reports</li> <li>• Implementation Status reports</li> <li>• Regional consultation reports</li> <li>• Meeting participation lists</li> <li>• Stakeholder analyses</li> <li>• Stakeholder participation plans</li> <li>• Regional and global fora reports</li> </ul>	<ul style="list-style-type: none"> <li>• Regional benefits may be jeopardized by lack of higher-level government participation.</li> <li>• Competing programmes reduce commitment to IW initiatives.</li> <li>• Short-term national needs may outweigh increased level of participation in regional fora.</li> <li>• Government support for the SAP not secured.</li> </ul>
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### **Immediate Objective 3**

Conservation and sustainable use of coastal and watershed resources.

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|---|---|--|
| <ul style="list-style-type: none"> <li>• Project-related ICWM community-based components effectively designed, implemented and monitored.</li> <li>• Project results communicated at the regional level and replication of results begun.</li> <li>• Strategy for increasing participating country capacity to engage in project-related ICWM activities in the medium to long-term developed and implemented</li> <li>• National and regional scale focal issue-related policy and institutional matters reviewed and refined</li> </ul> | <ul style="list-style-type: none"> <li>• Narrative reports</li> <li>• Pilot activity plans</li> <li>• Pilot activity reports</li> <li>• Expenditure records</li> <li>• NTF and other sub-committee records</li> <li>• Monitoring and Evaluation reports</li> <li>• Site visits</li> <li>• Stakeholder interviews and reports</li> <li>• Baseline reports</li> </ul> | <ul style="list-style-type: none"> <li>• Country priorities may not align with Project document focal issues.</li> <li>• Participating governments and communities recognize the benefits of involvement and understand the long term goal of the pilot projects.</li> <li>• Countries see the long-term benefit deriving from a pilot approach.</li> <li>• Countries may not have the capacity, to participate fully in pilot project site work.</li> <li>• Pilot projects may not have potential to maximize replication.</li> <li>• Pilot projects poorly planned and executed.</li> <li>• Effective linkages can be established with SPC's community-based coastal fisheries projects.</li> <li>• In-country coordinating mechanisms are effective.</li> </ul> |
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### **Immediate Objective 4**

To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities

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|---|---|--|
| <ul style="list-style-type: none"> <li>• Agreement reached in negotiations on new regional management arrangement</li> <li>• Basic framework for administration of new institution and science and compliance programmes established</li> <li>• Increased regional effectiveness in global ocean fisheries negotiations.</li> <li>• Specific regional benefits derived in international fisheries negotiations.</li> <li>• Increased regional benefit from tuna stocks in participating country EEZs.</li> <li>• Increased capacity in monitoring and surveillance of participating country EEZs.</li> <li>• Strengthened fisheries management capabilities within participating countries to secure added regional benefit.</li> </ul> | <ul style="list-style-type: none"> <li>• MHL/C documents</li> <li>• Prep Con documents</li> <li>• MHL/C and Prep Con documents.</li> <li>• Country fisheries related economic reports.</li> <li>• MCS Working Group documents</li> <li>• National tuna management plans</li> <li>• Technical reports and reviews</li> </ul> | <ul style="list-style-type: none"> <li>• Framework for cooperation with foreign fishing states can be found</li> <li>• Country benefits to be gained through regional cooperation justify country participation.</li> <li>• Increased benefits from the tuna stocks in country EEZs can be realized</li> <li>• Short-term benefits of country-by-country approach to tuna fisheries may impede regional approach.</li> </ul> |
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### **Immediate Objective 5**

Maximise regional benefits of lessons learned from management of oceanic, coastal and watershed resources.

- Regional and national communication strategies developed and implemented.
- Strategies for documenting lessons learned at pilot project sites applied.
- Community-based NGOs activity in the region documented.
- Donor and other stakeholder consultations result in effective partnerships for ICWM initiatives.
- Information management systems established for regional and national elements of the Project.
- Replication strategy developed and implemented.

Catalyse donor support for oceanic, coastal and sustainable management initiatives

- Regional and national communication and
- Stakeholder interviews.
- Communication Strategies
- National project-related relations plans
- National project-related social marketing plans.
- National community education plans
- Narrative reports
- Financial records
- Website statistics
- Informal and formal project publications
- Databases
- Email records
- Educational materials
- Replication Strategy

Stakeholders will recognize benefits of involvement.

- Competing interests among stakeholders.
- Countries will be willing to partner with communities.
- Perceived benefits of participation may be insufficient to attract full range of stakeholders.
- Project aims inconsistent or competing with local interests.
- Lessons attract donor support and community participation.
- In-country capacity to deliver project outcomes inadequate.

### **Immediate Objective 1**

**Establish effective project implementation support**

#### **Output 1**

Project coordination unit

- Regional and national staff recruited
- Operational PCU
- Technical advisory/backstopping arrangements established.
- Participating organisations and logistical arrangements in place
- Participating countries allocate resources to support project implementation
- MoU's with 14 participating countries executed.
- Staff contracts
- PCU reports
- Periodic staff appraisal reports
- Narrative reports
- Letters of Agreement
- Financial reports
- Narrative reports
- Disbursement records
- National staff contracts
- Work plans
- Records of participating country contributions to project
- SPREP employment terms and conditions can attract competent PCU staff.
- Suitable support and logistical arrangements can be made.
- Executing agency commits physical space and support resources.

#### **Output 2**

Project-related administrative arrangements

- Lack of clear lines of responsibility to the GEF secretariat may hamper implementation.
- Regional benefits may be jeopardized by lack of higher-level government participation
- Competent participating country staff recruited to the project.
- NEX Guidelines can be effectively applied to a regional implemented project.
- Cohesion, in relation to addressing project objectives, among

<p><b>Output 1</b></p> <p>Project-related consultative mechanisms established</p> <ul style="list-style-type: none"> <li>• National staff recruited</li> <li>• Annual work plans prepared</li> <li>• Administrative guidelines prepared</li> <li>• Participating country administrative and logistical arrangements agreed.</li> <li>• Inception report prepared.</li> <li>• Internal administrative and consultative arrangements within the executing agency established.</li> <li>• Project M&amp;E Plan developed and implemented</li> <li>• Project communication strategy developed and implemented.</li> </ul>	<p>implementation</p> <ul style="list-style-type: none"> <li>• Administrative Guideline report</li> <li>• Audit reports</li> <li>• Implementation status reports</li> <li>• Memoranda of Understanding</li> <li>• Inception Report</li> <li>• Minutes of internal executing agen meetings</li> <li>• M&amp;E Plan</li> <li>• Evaluation and monitoring reports</li> <li>• Communication Strategy</li> <li>• Communication Strategy implementation reports.</li> <li>• Project correspondence</li> <li>• Website statistics</li> </ul>	<p>participating country project offices can be maintained.</p> <ul style="list-style-type: none"> <li>• Participating countries unwilling/unable to allocate resources support Project implementation</li> </ul>
<p><b>Immediate Objective 2</b> <b>Enhance trans-boundary management mechanisms</b></p>		
<p><b>Output 1</b></p> <p>Project-related consultative mechanisms established</p> <ul style="list-style-type: none"> <li>• Stakeholder analyses completed</li> <li>• Establishment of NTFs</li> <li>• Establishment of annual MPR</li> <li>• Meetings of National Coordinators arranged</li> <li>• Project participation in Marine Sector Working Group</li> <li>• Community consultative arrangements established.</li> <li>• Project staff participation in other related regional and national meetings.</li> </ul>	<ul style="list-style-type: none"> <li>• RTF Meeting Reports</li> <li>• NTF Meeting Reports</li> <li>• MPR Meeting Records</li> <li>• Stakeholder analyses</li> <li>• Stakeholder participation plans</li> <li>• Records of MSWG meetings</li> <li>• National Coordinator Meeting Reports</li> <li>• Records of Annual SPREP Meetings</li> <li>• Records of related national and regional meetings</li> <li>• Records of community discussions</li> </ul>	<ul style="list-style-type: none"> <li>• Meetings attract appropriate participation</li> <li>• Effective linkages with related processes can be established.</li> <li>• Project maintains its national relevance</li> <li>• Sufficient project resources to develop and implement a project communication strategy.</li> <li>• Stakeholders identified and participate.</li> </ul>
<p><b>Output 2</b></p> <p>Enhanced national and regional SAP-related trans-boundary consultative mechanisms.</p> <ul style="list-style-type: none"> <li>• Review of project-related trans-boundary consultative mechanisms commissioned</li> <li>• Strategies to enhance trans-boundary consultative arrangements developed and implemented</li> <li>• Regional consultations on trans-boundary management issues supported</li> </ul>	<ul style="list-style-type: none"> <li>• Review report</li> <li>• Report recommendations implemented</li> <li>• Meeting records</li> <li>• Meeting participants/representation</li> <li>• Meeting decisions implemented</li> <li>• Trans-boundary consultative strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Synergies with related activities can be developed for mutual benefit</li> <li>• Benefits of proposed review acknowledged by all stakeholders</li> <li>• Competing programmes reduce commitment to IW initiatives</li> <li>• Project initiatives add value to existing processes</li> </ul>

**Immediate Objective 3**

**Strengthened processes supporting conservation and sustainable use of coastal and watershed resources and community-based stakeholder participation.**

<p><b>Output 1</b> Synopses of information relating to focal areas and focal areas selected</p>	<ul style="list-style-type: none"> <li>• Technical reviews undertaken</li> <li>• Priority environmental concerns review commissioned and SAP priorities confirmed</li> <li>• National Task Force endorses reports to address national priority environmental concerns</li> </ul>	<ul style="list-style-type: none"> <li>• Environment sector profiles</li> <li>• Review report</li> <li>• NTF records</li> <li>• Consultant contracts</li> <li>• National work plans</li> <li>• Disbursement records</li> <li>• National work plans</li> </ul>	<ul style="list-style-type: none"> <li>• Countries can agree on GEF/SAP focal areas to be addressed by the pilot projects.</li> <li>• Host country commitment may lessen due to conflicting national priorities.</li> <li>• National Coordinators have the capacity to effectively deliver project outcomes at the national and community level. Information generated is presented in a format appropriate for principle stakeholders</li> <li>• Value of review material for planning purposes is appreciated by project executors</li> </ul>
<p><b>Output 2</b> Generic guidelines for the design, implementation and monitoring of project-related community-based pilot activities.</p>	<ul style="list-style-type: none"> <li>• Guidelines for the design and implementation of project-related community-based pilot activities developed</li> <li>• Project focal area(s) based on priority environmental concerns or other national prioritization mechanism identified</li> <li>• Project-related administrative arrangements to support national pilots implemented</li> <li>• Participatory monitoring and evaluation processes for project-related community-based activities established</li> </ul>	<ul style="list-style-type: none"> <li>• National and PCU work plans</li> <li>• Published or draft Strategies</li> <li>• Published or draft Plans</li> <li>• Project implementation guidelines</li> <li>• Stakeholder interviews</li> <li>• Narrative reports</li> <li>• Monitoring and evaluation plans</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise to design and implement Guidelines is available</li> <li>• Guidelines sufficiently flexible to accommodate different local situations</li> <li>• Local adaptation of Guidelines is adequately supported</li> <li>• Community-based approaches to addressing focal issue environmental concerns supported by all stakeholders</li> <li>• Guidelines written in non-technical terms</li> <li>• Stakeholder analyses are accurate</li> <li>• Participatory monitoring and evaluation training processes are effective</li> <li>• Stakeholders engage in project implementation, monitoring and evaluation</li> </ul>
<p><b>Output 3</b> National and regional project-related communication strategies</p>	<ul style="list-style-type: none"> <li>• Regional communication strategy prepared and implemented.</li> <li>• National communication strategy (public relations, social marketing and community education components) prepared and implemented in each participating country.</li> <li>• Web site developed and managed</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder interviews.</li> <li>• Published or draft Communication Strategies</li> <li>• National project-related public relations plans</li> <li>• National project-related social marketing plans.</li> <li>• National community education plans</li> <li>• Narrative reports</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise to design and implement strategies is available</li> <li>• Communication strategies are effective in engaging principle stakeholders</li> <li>• The social marketing concept can be effectively adapted to Pacific Island environmental issues</li> <li>• Project resources are sufficient to support an effective Communication Strategy.</li> <li>• Stakeholders embrace the significance of effective</li> </ul>



<ul style="list-style-type: none"> <li>• Newsletters and other project-related publications published and distributed</li> <li>• Appropriate media events supported</li> <li>• Educational material produced</li> </ul>	<ul style="list-style-type: none"> <li>• Financial records</li> <li>• Website statistics</li> <li>• Informal and formal project publications</li> <li>• Email records</li> <li>• Educational materials</li> </ul>	<p>communications as a major contributor to the achievement of Project outcomes</p>
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**Output 4**

<p>Project-related social assessment and community participation strategy</p> <ul style="list-style-type: none"> <li>• Development of a social assessment and community participation strategy.</li> <li>• Pilot project social assessment studies completed and results documented.</li> <li>• Stakeholder inventories and analysis completed for each pilot project.</li> <li>• Stakeholder participation studies completed.</li> <li>• Implementation of social assessment and participation strategy periodically reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Narrative reports</li> <li>• Social Assessment and Participation Strategy</li> <li>• Stakeholder analysis reports</li> <li>• Stakeholder participation reports</li> <li>• Social Assessment Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise to design and implement Strategy is available</li> <li>• Generic strategy effectively adapted to different local situations</li> <li>• Local adaptation of Strategy is adequately supported</li> <li>• Strategy written in non-technical terms</li> <li>• Participatory monitoring and evaluation training processes are effective</li> <li>• Stakeholders engage in project implementation, monitoring and evaluation</li> </ul>
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**Output 5**

<p>Economic strategy for project-related resource management and conservation initiatives.</p> <ul style="list-style-type: none"> <li>• Development of a Strategy for consideration of economic issues in the design and implementation of project-related pilot activities.</li> <li>• Economic aspects of pilot activities documented</li> <li>• Economic baseline studies completed</li> <li>• Implementation of economic strategy periodically reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Narrative reports</li> <li>• Project-related Economic Strategy</li> <li>• Pilot-related economic issues reports</li> <li>• Technical reports</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise to design and implement Strategy is available</li> <li>• Generic strategy effectively adapted to different local situations</li> <li>• Local adaptation of Strategy is adequately supported</li> <li>• Strategy written in non-technical terms</li> <li>• Participatory monitoring and evaluation training processes are effective</li> <li>• Stakeholders engage in project implementation, monitoring and evaluation</li> <li>• Stakeholders receptive to new ideas and approaches</li> </ul>
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**Output 6**

<p>Community-based addressing SAP focal issue</p> <ul style="list-style-type: none"> <li>• Communities to host SAP-related pilot activities selected.</li> <li>• Participatory process for engagement</li> </ul>	<ul style="list-style-type: none"> <li>• Narrative reports</li> <li>• Site visits</li> <li>• Technical reports</li> </ul>	<ul style="list-style-type: none"> <li>• NTFs can manage the pilot project site selection process.</li> <li>• Following pilot project site selection, community-</li> </ul>
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<p>environmental concerns.</p> <ul style="list-style-type: none"> <li>• Root causes of focal issue environmental concerns at community site agreed</li> <li>• Community action to address root causes for focal issue environmental concerns supported and documented.</li> <li>• Participatory monitoring and evaluation plans developed and implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• Meeting Records</li> <li>• Meeting participant presentations</li> <li>• Disbursement records</li> <li>• Monitoring and Evaluation Plans</li> </ul>	<p>based activities may be poorly implemented hampering success.</p> <ul style="list-style-type: none"> <li>• Local conflicts do not adversely affect pilot project implementation</li> <li>• Lead agencies include civil society in project work.</li> <li>• Adequate level of community interest.</li> <li>• The work of involving community level stakeholders may be seen as too difficult and time consuming to achieve.</li> </ul>
<p><b>Output 7</b></p> <p>Lessons and best practice for community-based conservation and resource management</p> <ul style="list-style-type: none"> <li>• Systematic collection of lessons and best practice information from pilot activities at national and regional levels</li> <li>• Documentation of experience in implementation of projects.</li> <li>• Analysis of lessons and best practice for related community-based initiatives</li> <li>• Lessons and best practice information published and made available to all stakeholders in an appropriate form</li> <li>• Replicability of project outcomes assessed and promoted</li> </ul>	<ul style="list-style-type: none"> <li>• Technical publications</li> <li>• Project communications</li> <li>• Narrative reports</li> <li>• Monitoring and Evaluation reports</li> <li>• Workshop and Meeting reports</li> <li>• Analysis reports</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriate information management systems are established</li> <li>• Sufficient project capacity to document lessons</li> <li>• Stakeholders appreciate pilot nature of activities</li> <li>• Suitable criteria can be developed that will lead to replicability</li> </ul>
<p><b>Output 8</b></p> <p>National and regional project-related pilots</p> <ul style="list-style-type: none"> <li>• Focal issue-related institutional and policy issues reviews undertaken discussed in national and regional multi-sectoral fora</li> <li>• National policy or institutional arrangements refined on the basis of project-supported initiatives</li> <li>• Pilot activities to address root causes for priority environmental concerns at the national level, and targeting reduced environmental stress, designed and implemented</li> <li>• Monitoring and evaluation plans for</li> </ul>	<ul style="list-style-type: none"> <li>• Narrative reports</li> <li>• Monitoring and Evaluation Reports</li> <li>• Country visits</li> <li>• Stakeholder interviews and reports</li> <li>• NTF Records</li> <li>• Lead agency reports</li> <li>• Pilot activity plans</li> <li>• Pilot activity reports</li> <li>• Expenditure records</li> <li>• Site visits</li> <li>• Baseline reports</li> <li>• Environmental status reports.</li> </ul>	<ul style="list-style-type: none"> <li>• Government stakeholders support Project activities relating to national and regional policy and institutional issues</li> <li>• Suitable multi-sectoral fora established in participating countries to consider focal issue-related policy and institutional issues</li> <li>• National capacity adequate to support policy and institutional reviews</li> <li>• Governments committed to sector reform</li> <li>• Suitable multi-sectoral fora established in participating countries to engage stakeholders in national level pilot activities</li> <li>• Project, national and regional stakeholder capacity</li> </ul>

<p>national pilot activities, that include environmental status reporting, developed and implemented</p> <ul style="list-style-type: none"> <li>• Baseline studies for project activities completed and documented</li> <li>• Periodic monitoring and evaluation reports prepared.</li> </ul>	<ul style="list-style-type: none"> <li>• Environmental stress assessment reports.</li> </ul>	<p>adequate to support national scale pilot activities</p> <ul style="list-style-type: none"> <li>• Governments committed to exploring options to address root causes for focal issue environmental concerns</li> </ul>
<p><b>Output 9</b></p> <p>Strengthened national capacity to address priority environmental concerns and trans-boundary environmental issues.</p>	<ul style="list-style-type: none"> <li>• Development and delivery of project-related training workshops</li> <li>• Project capacity building initiatives linked to lead agency related activities (e.g. Train:Sea:Coast)</li> <li>• Collaborative capacity building with other agencies/institutions, including NGOs established.</li> <li>• Project-related scholarship programme supported</li> </ul>	<ul style="list-style-type: none"> <li>• Funding secured for Train:Sea:Coast initiative</li> <li>• Project resources sufficient to support project-related capacity building initiatives.</li> <li>• Collaborative initiatives with agencies and institutions with related interests is supported by stakeholders</li> <li>• Capacity assessment appraisals are accurate</li> </ul>
<p><b>Output 10</b></p> <p>Sub-regional waste recycling feasibility report</p>	<ul style="list-style-type: none"> <li>• Feasibility study to assess regional waste recycling and disposal options undertaken.</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise is available to undertake the study</li> <li>• Mutually beneficial partnerships can be established with related initiatives</li> <li>• Feasibility study effectively engages principle stakeholders</li> <li>• Participating countries support the feasibility study</li> </ul>
<p><b>Intermediate (sic) objective 4</b></p> <p>To support the establishment of new institutional arrangements for the conservation and management of trans-boundary fish stocks and associated national capacities.</p>	<ul style="list-style-type: none"> <li>• Capacity for increased regional effectiveness in global ocean fisheries negotiations developed.</li> <li>• Improved FFA capacity to efficiently manage high quality information in support of the monitoring and surveillance requirements of participating countries.</li> <li>• Training and advice provided to strengthen fisheries monitoring capabilities to secure added regional</li> </ul>	<ul style="list-style-type: none"> <li>• FFA and SPC documents.</li> <li>• Baseline study at Project start</li> <li>• Specific regional benefits derived in international fisheries negotiations.</li> <li>• Country economic reports that include the fisheries sector.</li> <li>• Improved information on tuna and by-catch within country EEZs</li> <li>• Reports from regional and national workshops focused on tuna fisheries management</li> </ul> <ul style="list-style-type: none"> <li>• Country benefits to be gained through regional cooperation justify country participation.</li> <li>• Increased benefits from the tuna stocks in country EEZs can be realized.</li> <li>• Regional tuna fisheries management arrangements do not include all major fishing interests and island States.</li> <li>• Changing national perspectives threaten regional solidarity on tuna fisheries administration and management arrangements</li> </ul>

- benefit through improved national and regional oceanic fisheries management arrangements.
- Enhance national capacity to manage tuna stocks within EEZs.
- Improved scientific advice relating to regional tuna stocks, non-target species and the oceanic ecosystem available to support management decision-making.
- Advice and support to FFA Island States in their efforts to develop and implement arrangements for a new regional tuna management and conservation body provided.
- Options presented to Island States in support of their efforts to consider new approaches to regional tuna management.
- Proposal to replicate methodologies and best practices for sustainable ocean fisheries management.
- Refined regional consultative processes to strengthen regional capacity (FFA/SPC).
- MTCs reviewed and enhanced (FFA)
- Monitoring, control and surveillance arrangements promoting conservation and sustainable resource use strengthened on national and regional scales.
- National tuna management plans.
- Records of regional Preparatory Conference.
- Increased level of professional training opportunities for national fisheries personnel.
- Increased quantitative and qualitative national fisheries participation in regional fora.
- Arrangements in place for a new regional tuna conservation and management body.

### **Immediate Objective 5**

#### **Maximise regional benefits of lessons learned from management of oceanic and coastal and watershed resources Catalyse donor support for conservation and sustainable oceanic, coastal and watershed management initiatives**

##### **Output 1**

Effective project-related communications strategies.

- Project-related communication strategy prepared and implemented for national, regional and international target audiences.
- Web site developed and managed
- Newsletters and other project-related publications published and distributed
- Appropriate media events supported
- Educational material produced
- Stakeholder interviews.
- Published or draft Communication Strategies
- National project-related public relations plans
- National project-related social marketing plans.
- National community education plans
- Expertise to design and implement strategies is available
- Communication strategies are effective in engaging principle stakeholders
- The social marketing concept can be effectively adapted to Pacific Island environmental issues
- Project resources are sufficient to support an effective Communication Strategy.
- Stakeholders embrace the significance of effective

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	<ul style="list-style-type: none"> <li>• Narrative reports</li> <li>• Financial records</li> <li>• Website statistics</li> <li>• Informal and formal project publications</li> <li>• Email records</li> <li>• Educational materials</li> </ul>	communications as a major contributor to the achievement of Project outcomes
<b>Output 2</b>	<ul style="list-style-type: none"> <li>• Information management systems established at PCU, the executing agency and in national offices</li> <li>• Project-related lessons and best practice documented and distributed.</li> <li>• Collaborative/partnership arrangements utilize project-generated lessons and best practice.</li> </ul>	<ul style="list-style-type: none"> <li>• Adequate resources available to support project-related information management</li> <li>• Executors understand the critical importance of effective information management</li> <li>• Information is collected, analyzed, summarized and distributed in appropriate formats depending on target audiences</li> <li>• Target audiences are accurately identified</li> </ul>
<b>Output 3</b>	<ul style="list-style-type: none"> <li>• Formal or informal arrangements for implementation of components of national or regional project activities identified, developed and supported</li> <li>• Project partner and stakeholder meetings supported</li> <li>• Co-financing or other forms of partnership support for OFM and ICZM initiatives secured</li> <li>• Public participation in project activities promoted.</li> </ul>	<ul style="list-style-type: none"> <li>• Government participants willing to incorporate public members and others in project work.</li> <li>• External assistance agencies identify mutual benefits through participation in the Project</li> <li>• Partnership disputes can be satisfactorily resolved</li> </ul>
<b>Output 4</b>	<ul style="list-style-type: none"> <li>• Project replication strategy is promoted and implemented.</li> <li>• Project processes adapted by other related initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>• Project replication strategy is adaptable to other, less well resourced, initiatives.</li> <li>• Other agencies identify benefits by replicating Project strategies</li> <li>• Replication strategy appropriately distributed.</li> </ul>