GEF
Global Environment Facility

UNDP

UNDP/GEF PROJECT: CONSERVATION AND SUSTAINABLE USE OF WILD SALMONID BIOLOGICAL DIVERSITY IN RUSSIA'S KAMCHATKA PENINSULA

TERMINAL EVALUATION

PHILIP TORTELL and SERGEI MARCHENKO
Consultants

Wellington and Magadan, November 2009

ACKNOWLEDGEMENTS

We wish to acknowledge the tremendous assistance we received from many individuals and organizations in carrying out this evaluation.

Firstly, we would like to thank the staff of the Project Management Unit who received us warmly, shared their experience of the project with us and provided us with all the documents and other information we requested. The Unit was also most helpful by arranging the schedule of appointments in Kamchatka, accompanying us on field visits and assisting with logistics. The insights provided by all those involved in the implementation of the Project were invaluable. Their warmth and hospitality were greatly appreciated.

We also wish to extend our thanks to officials from the Federal Agency for Fisheries, the Kamchatka Krai Administration, VNIRO, MSU/IEE and other agencies who described their relationship with the project and shared their views and experiences of the project and its various activities with us in a transparent manner.

Finally, we would like to thank the UNDP Environment Team for helping us understand the project, providing us with background documentation and briefings and helping us with logistics.

To all the above, as well as to those who provided us with written comments on the draft report, we are sincerely grateful.

Philip Tortell
CONSULTANT
ENVIRONMENTAL Management Limited
P O Box 27 433, Wellington, NEW ZEALAND
Tel +64-4-384 4133, Fax +64-4-384 4022, Email <tortell@attglobal.net>

Sergey Marchenko
HEAD
LABORATORY OF SALMON ECOSYSTEMS AND ECOLOGICAL MONITORING
MAGADAN SCIENTIFIC AND RESEARCH INSTITUTE OF FISHERIES AND OCEANOGRAPHY
Portovaia Street, 36/10, Magadan 685000, RUSSIAN FEDERATION
Tel +7-4132-631 188, Fax +7-4132-607 419, Email <serfisher@gmail.com>

CONTENTS

ACRONYMS AND ABBREVIATIONS

APR	Annual Performance Report
CIDA	Canadian International Development Agency
CO	Country Office (of UNDP)
FAF	Federal Agency for Fisheries of the Russian Federation
GEF	Global Environment Facility
IEE	Institute of Ecology and Evolution named after A.N. Severtsov
KamchatNIRO	Kamchatka Branch of VNIRO
KAO	Kamchatka Autonomous Okrug
KO	Kamchatka Oblast
LogFrame	Logical Framework Matrix
M&E	Monitoring and Evaluation
MSU	Moscow State University
MTE	Mid-Term Evaluation
NEX	National Execution (of the UNDP project)
NGO	Non-Governmental Organization
NPD	National Project Director
NTFP	Non-Timber Forest Products
OECD	Organization for Economic Cooperation and Development
PA	Protected Area
PDF	Project Development Facility
PIU	Project Implementation Unit
PIR	Project Implementation Review
ProDoc	Project Document
PSC	Project Steering Committee
RAIPON	Russian Association of Indigenous People of the North
SBAA	Standard Basic Assistance Agreement (between the government and UNDP)
SRF	Strategic Results Framework
STAP	Scientific and Technical Advisory Panel (of the GEF)
ToR	Terms of Reference
TPR	Tri-Partite Review
UNDP	United Nations Development Programme
VNIRO	Russian Federal Research Institute of Fisheries and Oceanography
WFBF	Wild Fishes and Biodiversity Foundation
WSC	Wild Salmon Centre
WWF	World Wildlife Fund (also known as Worldwide Fund for Nature)

EXECUTIVE SUMMARY

The project

This is the independent Terminal Evaluation of the Project "*Conservation and Sustainable Use of Wild Salmonid Biological Diversity in Russia's Kamchatka Peninsula*". Implementation of this project commenced in 2003. According to the ProDoc, the Goal of this project was: *The long term health of Kamchatka's salmonid genetic and life history diversity and river ecosystem integrity*. And, its Objective was: *the conservation and sustainable use of salmonid biological diversity in four river systems on Russia's Kamchatka Peninsula.*

The total project budget was just over US$15 million of which, US$3 million came from UNDP/GEF and just over US$12 million from co-financing.

The project has been executed by the Federal Agency for Fisheries of the Russian Federation. Project activities were implemented by a Project Implementation Unit based in Petropavlovsk-Kamchatsky.

Originally, the project was planned as the first phase of a longer intervention addressing Kamchatka salmon diversity. Therefore, many of the original project's activities and outputs were of a preparatory nature that would have led to a second phase. In the event, it was decided not to proceed to a second phase.

The evaluation

The purpose of the Evaluation, which has been carried out according to the *GEF Monitoring and Evaluation Policy*, was to assess overall performance against the Project objectives; to assess effectiveness and efficiency; to analyze the implementation and management arrangements; to assess the sustainability of the Project's interventions; to list and document lessons concerning Project design, implementation and management; and to assess Project relevance to national priorities.

The approach adopted was participatory which, while safeguarding the independence of the evaluators, included self-assessments by the Project Implementation Unit. A six-point rating system was applied to various elements of the Project, in particular on achievement of the Objective and Outcomes.

Key findings and conclusions

The project design was basically sound. The focus was not so much on the conservation of salmonid resources, but on the conservation of salmonid diversity which is what makes Kamchatka unique on a global scale. The threats to salmonid diversity were identified and five Outcomes were targeted to address them. The design comprised the combination of a solid research programme to provide the basis for sustainable management, capacity building of both human resources as well as institutions, the creation of alternative livelihood opportunities to reduce the stress on the salmonid resource, a strong awareness and educational programme, and an effective financial mechanism to sustain this regime after the project has ended. This was a comprehensive approach to the identified threats, even if somewhat ambitious.

The ambitious nature of the design was tempered by another design feature – execution in two phases – a preparatory and foundational phase and a consolidation and operational phase. In the event, it was decided not to proceed with Phase Two and some of the implementation activities were brought forward into what remained of Phase One. We believe that this fundamental change in project design has been the most important single influence on project achievement and performance.

We find the original project concept and design to have been **Satisfactory (S)**. However, this has to be downgraded to **Moderately Unsatisfactory (MU)** because the cancellation of Phase Two placed the achievement of its objectives in jeopardy.

The project has been executed according to the UNDP NEX (National Execution) modality with the Federal Agency for Fisheries as the Executing Agency and UNDP as the Implementing Agency. Project policy, coordination and guidance were provided by the Project Steering Committee chaired by the National Project Director and day-to-day management of implementation activities was provided by a Project Implementation Unit based in Petropavlovsk. This model is the standard approach for NEX projects and its effectiveness depends on the individuals concerned, the clarity of reporting lines and accountability, and the degree of cooperation. From what we have been able to find out, the implementation framework had no major problems.

Project personnel reported that they found the PSC helpful – they received the support and guidance that they required. However, project management has not been a strong point of the project. There have been four Project Managers and staff acknowledged that this had created difficulties with changing priorities, approach, etc.

According to the ProDoc, the project had a total budget of US$13,477,130. GEF provided the only cash input of US$3,000,000; the Government contributed US$7,318,380 in kind; and the Wild Salmon Centre made a parallel contribution of US$2,931,250. A further US$494,500 was provided by the GEF-PDF for project formulation.

Financial planning has been **Moderately Satisfactory (MS)**; the actual expenditure pattern has been **Moderately Unsatisfactory (MU)**.

Stakeholder involvement in the formulation phase of the project is considered to have been **Highly Satisfactory (HS);** likewise, the level of participation in project implementation is considered as extensive and is rated as **Highly Satisfactory (HS)**.

The original LogFrame in the ProDoc had no explicit project Objective. There was a “Goal” and there was a “Purpose”, but nothing was labelled “Objective”. It showed Outcomes (labelled as Outputs) as well as Outputs and Activities, clearly identifying what was to be done during Phase One and what was to be left for Phase Two. It also identified Risks and Assumptions. Therefore, with the exception of the missing Objective, the LogFrame presented in the ProDoc comprised all the essential elements and provided a logical “template” for the project. However, circumstantial evidence caused the Evaluators to conclude that the LogFrame Matrix and its Indicators were not used appropriately by the PIU, in spite of the good efforts of the Adaptive Management Advisor. And, in spite of the fact that when asked specifically, project staff maintained that they did refer to the LogFrame and that it was useful, our rating for the usefulness of the LogFrame Matrix is **Moderately Satisfactory (MS)**.

Performance monitoring, with or without Indicators, as carried out by the Project, is not thought to have been very effective. While it may have satisfied the bare essentials of the GEF, it was mainly mechanical, not analytical, and there was no evaluation. Performance monitoring and its application to adaptive management is considered to have been **Moderately Satisfactory (MS)**.

Based on our consultations with stakeholders and others, together with our review of relevant documentation, we conclude that Government agencies <u>are</u> applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity as required by the project Objective, but not in four river sites; and we are uncertain whether indigenous people and communities are doing the same, although it is likely to a limited extent. As a result, progress/results towards the Objective are deemed to have been **Moderately Satisfactory (MS)**.

Regarding Outcome 1, all the Indicators are relevant to some degree, to <u>fishery management practices</u>, but they do not say much about <u>salmonid diversity conservation</u> which is the real Outcome. With the exception of Target 5, the Targets are redundant since they repeat some of the

specific detailed wording of the Indicator and do not add anything. Project funds were used by contractors mostly to meet their existing scientific interests (which mostly coincided with the project's targets); tasks pursued under this Outcome did not always match its goal, (sometimes they were more significant than the goal); Activities were conducted in a decentralized manner; the products obtained, such as publications, cannot be considered as true performance indicators. On this basis, this Outcome is rated as **Moderately Satisfactory (MS)**.

Outcome 2 Indicators were expected to focus on tools for ecosystem integrity being piloted in four sites – this has not been the case. The application of new tools in PA management did not take place, local communities have not been practically involved in PA management and the establishment of the Utkholok and Sopochnaya river site PAs did not materialize. We acknowledge that one PA on paper (and another almost there) are better than no PAs. And, in deference to the establishment of the river keepers system (even without support), the establishment of the Kol River PA (weak as it is), and the timely monitoring over the gas pipeline construction, we rate this outcome as **Moderately Unsatisfactory (MU)**.

The wording for Outcome 3 is more of a list of Outputs and as the Indicators refer to one or other of the list, they are all relevant to the Outcome. While the first Indicator is useless without the Target, the other three, while not quantifiable, can still stand on their own. In each case, the Targets provide additional quantifiable elements, but all could have been incorporated within the wording of the Indicator. The PIU responses are sometimes a little off the mark but by and large they show that a significant amount of progress was made by the project towards this Outcome. And, although a big question still remains regarding sustainability, progress under this Outcome is rated as **Satisfactory (S)**.

The results under Outcome 4 are somewhat disappointing – clearly, stakeholders have <u>not</u> developed alternative livelihoods in river site areas. We acknowledge that some foundations have been laid, but no results have been achieved. There is too much reliance on others (Russian Association of Indigenous People of the North, and Kamchatka Krai Admin) to achieve the results which the project was targeting, and without an Exit Strategy or a Sustainability Plan, this is not guaranteed – the only way to secure the modest project investment is through a follow-up project (the original Phase Two). Until that happens, we find progress towards this Outcome as **Moderately Unsatisfactory (MU)**.

Having changed the wording of Outcome 5 to reflect the difficulties faced by the project, the Indicators did not keep up with the changes away from the Fund. The project did not leave a Salmonid Diversity Conservation Fund, neither did it provide for sustainable financing for salmonid conservation. It did however, provide a financing mechanism for salmonid PAs. This Outcome has only been partly achieved and the rating is **Moderately Unsatisfactory (MU)**.

While the project cannot claim to have achieved the *conservation and sustainable use of salmonid biological diversity in four river systems on Russia's Kamchatka Peninsula*, it was well on the way towards this objective. The foundational benefits may not have fully achieved global environmental impacts, strictly speaking, however, the foundation has now been laid. The project's successors, whether local stakeholders or other development assistance projects, can be expected to build on what the project is leaving behind and achieve truly global impacts. Had there been a Phase Two as originally designed, the global benefits of the project would have been more secure.

Some very valuable products have been produced by the project, but in the main they are indicators of process, not results/impacts. There is an underlying feeling that this is an incomplete project and this could be the result of the cancellation of Phase Two. While we would urge that UNDP/GEF should consider a follow-up intervention, this should not merely be an extension of this project along the lines of the previous Phase Two. A lot has changed since the project started and a lot of experience has been gained from the successes and failures of its implementation. Any new intervention must benefit from this experience and reflect the changed circumstances.

The project does not have a Sustainability Plan or an Exit Strategy. Since the project team has virtually disbanded, it is suggested that remaining funds be used to bring the team together again to

prepare for and deliver an Exit Strategy Workshop. The Exit Strategy Workshop should bring together those organizations and individuals who are identified as being in a position to continue with the work of the project and would capture the unequivocal pledges given by relevant agencies. However, we are concerned about financial sustainability.

Recommendations

Remaining funds should be used to reconvene the PIU to prepare for and deliver an Exit Strategy Workshop which must reach consensus on an Exit Strategy / Sustainability Plan. The Workshop must bring together those organizations and individuals who are identified as being in a position to continue with the work of the project and including key federal and local government organizations, as well as key NGOs such as the Wild Salmon Centre, the Russian Association of Indigenous People of the North (RAIPON) and the WWF. At the Workshop, each project team member needs to outline the work accomplished in their particular area of responsibility, and the outstanding work that still needs to be done. Consensus then needs to be reached on who is taking over the responsibility.

Consideration should be given to developing a follow-up intervention and this should not merely be an extension of this project along the lines of the previous Phase Two. A lot has changed since the project started and a lot of experience has been gained from the successes and failures of its implementation. Any new intervention must benefit from this experience and reflect the changed circumstances. A follow-up intervention should focus in particular on:

- Strategic approach to sustainable financing
- Protected area integrity from the ecosystem perspective
- Meaningful co-management with communities, as equal partners
- Managed harvesting on an equitable basis

1 INTRODUCTION AND BACKGROUND

1.1 The Project

This is the independent Terminal Evaluation of the Project "*Conservation and Sustainable Use of Wild Salmonid Biological Diversity in Russia's Kamchatka Peninsula*", which was planned as a component of an integrated and closely coordinated programme of biodiversity and bioresource management in Kamchatka, by UNDP/GEF, in 1998. This was in recognition that "*Kamchatka ranks near the top of any list of globally important nearctic and palearctic bioregions*"[1]. Each component was designed as a separate, specific intervention and implemented separately, without even the Goals of the projects coinciding.

Implementation of this project commenced in 2003 and it is being wound down at the time of writing.

According to the ProDoc, the Goal of this project was: *The long term health of Kamchatka's salmonid genetic and life history diversity and river ecosystem integrity*. And, its objective was: *the conservation and sustainable use of salmonid biological diversity in four river systems on Russia's Kamchatka Peninsula.*

The project had five primary outcomes[2]:
Outcome 1: Salmonid fishery managers develop and apply new salmonid diversity conservation approach
Outcome 2: River ecosystem integrity is conserved in four sites using a variety of conservation tools
Outcome 3: Information sharing, preservation of indigenous peoples' knowledge, and awareness raising build constituencies for salmon diversity conservation in four river sites
Outcome 4: Stakeholders successfully develop alternative livelihoods in river site areas
Outcome 5: Sustainable financing for salmonid conservation

The total project budget was just over US$15 million of which, US$3 million came from UNDP/GEF and just over US$12 million from co-financing. The greater part of the co-financing was a contribution in kind from the Government valued at US$7.3 million; while the National Science Foundation/Flathead Biological Station committed US$1.7, the Wild Salmon Centre almost US$3 million and UNDP contributed US$0.2 million in kind.

The project has been executed by the Federal Agency for Fisheries of the Russian Federation (FAF). Project activities are implemented by a Project Implementation Unit based in Petropavlovsk-Kamchatsky.

Originally, the project was planned as the first phase of a longer intervention addressing Kamchatka salmon diversity. Therefore, many of the original project's activities and outputs were of a preparatory nature that would have led to a second phase. In the event, it was decided not to proceed to a second phase. This change which, according to the preamble in the ToRs, was discussed among project stakeholders and reported to UNDP/GEF is discussed in this report and taken into account by the Evaluators in their analysis of project implementation against the original project document.

[1] UNDP internal discussion paper – "*Kamchatka GEF Programme: A Brief Description of Proposed UNDP-GEF Interventions for Russia's Kamchatka Peninsula*". 1998
[2] The terms "outcomes" and "outputs" are used interchangeably in the ProDoc and other documents. For the sake of consistency with GEF accepted terminology, "outcomes" is used in this report. The wording of both the Objective and the Outcomes changed during the project. This evaluation starts with addressing the wording as in the ProDoc (as above) and proceeds to the revised versions for the final assessments and ratings.

1.2 The Evaluation

1.2.1 The GEF Monitoring and Evaluation Principles

In accordance with the monitoring and evaluation policy of the GEF[3], this evaluation is guided by, and has applied, the following principles:

Independence The Evaluators are independent and have not been engaged in the Project activities, nor were they responsible in the past for the design, implementation or supervision of the project.

Impartiality The Evaluators endeavoured to provide a comprehensive and balanced presentation of strengths and weaknesses of the project. The evaluation process has been impartial in all stages and taken into account all the views received from stakeholders.

Transparency The Evaluators conveyed in as open a manner as possible the purpose of the evaluation, the criteria applied and the intended use of the findings. This evaluation report aims to provide transparent information on its sources, methodologies and approach.

Disclosure This report serves as a mechanism through which the findings and lessons identified in the evaluation are disseminated to policymakers, operational staff, beneficiaries, the general public and other stakeholders.

Ethical The Evaluators have respected the right of institutions and individuals to provide information in confidence and the sources of specific information and opinions in this report are not disclosed except where necessary. This is regretted and the decision to quote is not taken lightly.

Competencies and Capacities The credentials of the Evaluators in terms of their expertise, seniority and experience as required by the terms of reference are provided in Annex 1; and methodology for the assessment of results and performance is described below (section 1.3).

Credibility This evaluation has been based on data and observations which are considered reliable and dependable with reference to the quality of instruments and procedures and analysis used to collect and interpret information.

Utility The Evaluators strived to be as well-informed as possible and this ensuing report is considered as relevant, timely and as concise as possible. In an attempt to be of maximum benefit to stakeholders, the report presents in a complete and balanced way the evidence, findings and issues, conclusions and recommendations.

1.2.2 Evaluation objectives and Terms of Reference

The evaluation is intended to provide managers (at the Project Implementation Unit, Executing Agency, UNDP Russia CO and UNDP/GEF) with a comprehensive overall assessment of the project and an opportunity to critically assess administrative and technical strategies, issues and constraints.

The purpose of the Terminal Evaluation is:

- To assess overall performance against the Project objectives as set out in Project Document and other related documents

[3] Global Environment Facility (2006) The GEF Monitoring and Evaluation Policy.

- To assess the effectiveness and efficiency of the Project
- To critically analyze the implementation and management arrangements of the Project
- To assess the sustainability of the Project's interventions.
- To list and document initial lessons concerning Project design, implementation and management
- To assess Project relevance to national priorities.

The full Terms of Reference, common to both Evaluators, are in Annex 1.[4]

1.2.3 Mission activities and assignment timeline

Work on this assignment commenced from homebase on 12 February 2009 with briefings, planning and documents review for both Evaluators, and on 19 February the team assembled in Moscow. After a few days for briefing and consultations, the team proceeded to Petropavlovsk Kamchatski on 22 February. The first week in Kamchatka was taken up with meetings and consultations, including the National Anti-Poaching Conference and the Project Steering Committee meeting in Petropavlovsk. This was followed by visits to project field sites and protected areas as well as further consultations, particularly with local communities. The National Expert Evaluator departed Kamchatka on 09 March but remained in contact with the senior Evaluator who, before leaving Petropavlovsk, spent time working on the draft report and presented the Evaluators' preliminary findings to the project team and other stakeholders on 18 March. On 19 March the team reassembled in Moscow and after debriefing with UNDP, the mission ended on 22 March 2009.

The draft Report was made available for comments in mid-July 2009 and comments were received over a period of some four weeks. This Final Terminal Evaluation Report, which takes into account the comments received, was presented in early October 2009.

1.3 Methodology and approach

The methodology for the evaluation was required to incorporate:

- A desk study review of all relevant Project documentation
- Consultations, especially with Federal Agency for Fisheries, UNDP, and the Project Implementation Unit
- Field site visits within project territories

1.3.1 Documents and websites reviewed and consulted

The Terms of Reference provided an initial list of documents to be reviewed and additional documentation was sought by the Evaluators to provide the background to the project, insights into project implementation and management, a record of project outputs, etc. The PIU provided numerous other documents ranging from published books to abstracts of scientific and technical papers and reports. A desk study review of all relevant documentation was carried out and documents which are referred to directly are noted in footnotes. The list of other salient documents reviewed and/or consulted by the Evaluators is in Annex 2 which also contains a reference to key websites which were visited and reviewed.

[4] Concurrent with this assignment, the senior evaluator also carried out the Mid-Term Evaluation of the UNDP/GEF Biodiversity project entitled *Demonstrating Biodiversity Conservation in Four Protected Areas of Russia's Kamchatka Krai, Phase Two.* As both projects formed part of the GEF broad strategic approach to biodiversity conservation in the Kamchatka Peninsula, it was determined that the savings in costs and time had merit.

1.3.2 Consultation with key stakeholders

The primary stakeholders for this Project were considered to be the Federal Agency for Fisheries (as Executing Agency), UNDP (as the GEF Implementing Agency), and the Project Implementation Unit charged with the day-to-day implementation and management of Project activities. Other stakeholders included other government agencies (both federal and local level), NGOs, indigenous community groups, and exponents of the private sector. The full list of those consulted is in Annex 3.

The greater majority of these stakeholders and beneficiaries were consulted in person, others by email or telephone. The Evaluation Team consulted 49 individuals in total. They were all given the opportunity to comment on the draft report and 6 responded.

It is a principle applied by the Evaluators that confidentiality of individual interviewees is maintained to the extent possible. It is felt that in general, the specific sources of specific comments do not add anything to the argument. However, it is sometimes necessary to quote the organization or the institution. If this, inadvertently, indicates an individual, this is regretted and the decision to quote is not taken lightly.

1.3.3 The rating system

The Terms of Reference identified project aspects which needed to be addressed by the evaluation and a commentary, analysis and rating was required for each. In view of the fact that this is a Terminal Evaluation, the Evaluators have added “sustainability” to the list which now reads:

Project concept and design
Stakeholder participation in project formulation
Implementation approach
Monitoring and evaluation
Stakeholder participation in implementation
Attainment of objectives and planned results
Sustainability

These aspects form the framework of the following sections, augmented as considered necessary to also address issues that arose during the evaluation.

Each of the aspects has been rated separately with brief justifications based on the findings of the main analysis. In addition, the various project elements have also been rated, as has the project as a whole.

The standard GEF rating system was applied, namely:

Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
Satisfactory (S): The project has minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
Unsatisfactory (U): The project has major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

1.4 Structure of this report

The Evaluators made an effort to keep this report brief, to the point and easy to understand. It is made up of four substantive parts. Following the executive summary that encapsulates the essence of the information contained in the report, the first part provides the introduction and the background to the assignment. It starts with a brief introduction to the project and it then explains the purpose of the evaluation, exactly what was evaluated and the methods used.

The next part is the main substantive part of this report and comprises four inter-related sections. It presents the findings of the evaluation exercise in terms of the basic project concept and design, its implementation, administration and management, its achievements and limitations, and the potential for sustainability of the products and services that it produced. As is normally required the findings are based on factual evidence obtained by the Evaluators through consultations with stakeholders and beneficiaries. While commentary and analysis are presented to the extent possible it has not always been possible to substantiate the findings to the desired level.

The third part is the conclusions section which gathers together conclusions that had been reached throughout the rest of the report and augments them to create a cohesive ending arising from the investigation. It also presents lessons that have emerged to date from the project. This section in turn leads to the final section comprising the recommendations which, as can be expected from a Terminal Evaluation, are not extensive.

A number of annexes provide supplementary information.

2 FINDINGS: PROJECT CONCEPT AND DESIGN

2.1 The Project Document and basic design

2.1.1 The Project Document

The Project Document (ProDoc) is the legal agreement between UNDP, the Government and the Executing Agency. It is also the main source of guidance for the project implementers (the National Project Director, the Project Manager and his/her team, and the Project Steering Committee). It provides an insight to the thinking process and aspirations of the project designers. It provides answers to the questions: Why is there a project? What is it trying to achieve? How will it achieve it? Who will do what? How much will it cost? When is it expected to finish? And, how will we know whether we have been successful?

The ProDoc is a most important document and it must be authoritative and able to stand on its own. The style adopted by this project's ProDoc (which was current practice at the time) tends to diminish its importance. We refer specifically to the reliance of the ProDoc on the Project Brief[5] which, while technically a part of the ProDoc, comes after a substantial number of annexes and it is difficult not to see it as another annex. For example:

> *A detailed description of the problem to be addressed is provided in the Baseline Section (paragraphs 26-59) of the attached project brief.*
> *The national institutional and legal framework is described in the Baseline Section (paragraphs 33-39) of the attached project brief.*
> *A description of lessons learned that have influenced project design is provided in Paragraph 121 of the project brief.*
> *An independent review of the project design is provided in Annex III of the project brief.*

If the ProDoc and the Project Brief are taken together, all the essential elements are present. There are good, logical arguments for the work envisaged (justification for the project), the threats are well identified and the case for GEF support is well made.

Project terminology has been quite changeable in recent years and the ProDoc does get caught in this. In discussing the hierarchy of its elements, the ProDoc (in the Results Framework) and the Project Brief (in the LogFrame Matrix) identify a Goal and a Purpose, but there is no Objective and this is discussed further below in section 4.1.1. Outcomes are not mentioned in the Results Framework (which seems to have Outputs within Outputs); whereas the Outline Workplan has Target Outputs within Outputs.

There is no explicit section on Risks, in either of the two documents. The risks to Sustainability are discussed under the Sustainability section in the Project Brief which also covers project activities designed to enhance sustainability, but there is no consideration of any risks to project implementation. The column headed Risks and Assumptions in the LogFrame Matrix lists mainly assumptions and presumably there is an implied risk that these may not be fulfilled. However, there seems to be no indication of elements in the project design that mitigate against the risk that these assumptions could be wrong. Risks are considered in section 2.1.3 below.

Claims are made by the Project Brief about the Replicability of the project benefits. But as the STAP Reviewer said, "*The approach could be universal, but few regions offer such opportunity to*

[5] It is acknowledged that the Project Brief is considered as part of the Project Document. However, this distinction between two documents and the repetitive cross-references do not help the reader. They also give the impression that the ProDoc is subordinate to the Project Brief (which is a complete and self-contained document), but it is the ProDoc that should be the paramount document.

conserve before the situation gets bad". The project's catalytic role and replicability are discussed in section 5.2 below.

The Stakeholders are well identified and an account is given in the Project Brief of their involvement in the preparatory stages of the project, specifically the PDF-B stage. Mention is also made of how stakeholders will be involved in project implementation with a reference to an annex containing "*a more detailed description of stakeholder involvement in project implementation*". However, this annex discusses fully the participation in project formulation but has only one paragraph on the implementation phase. On the other hand, another annex contains the Stakeholder Participation Plan.

A section on the Monitoring and Evaluation Plan is inexplicably placed within an annex containing various terms of reference in the ProDoc. It is also carried as a separate section in the Project Brief. Monitoring and evaluation are covered in section 3.4 below.

Implementation Arrangements are clearly stated and include the relative responsibilities of UNDP and the Executing Agency. There is also a helpful annex containing terms of reference for all key actors including the National Project Director and the Project Steering Committee. The Implementation Framework is discussed in section 3.1.1 below.

Budget and Co-financing are detailed and clear. It is particularly useful to have the co-financing tables for each major co-financier, including those contributing in-kind. A full discussion of the Budget is in section 3.2 below.

2.1.2 Project concept and design

This project was designed as part of a strategic thrust by UNDP/GEF "*to conserve the globally significant biodiversity and bioresources of Russia's Kamchatka Peninsula and northern waters*"[6] which comprised up to five interventions in a phased approach. In the event, this project lagged behind the Protected Areas project, the Commander Islands project is only now getting off the ground, and as far as we can tell, the other two interventions have not materialized.

The project design is basically sound. The focus is not so much on the conservation of salmonid resources, but on the conservation of salmonid diversity which is what makes Kamchatka unique on a global scale. The threats to salmonid diversity were identified and five Outcomes were targeted to address them. The design comprised the combination of a solid research programme to provide the basis for sustainable management, capacity building of both human resources as well as institutions, the creation of alternative livelihood opportunities to reduce the stress on the salmonid resource, a strong awareness and educational programme, and an effective financial mechanism to sustain this regime after the project has ended. This was a comprehensive approach to the identified threats, even if somewhat ambitious.

However, the ambitious nature of the design was tempered by another design feature – execution in two phases – a preparatory and foundational phase and a consolidation and an operational phase. As the ProDoc says *"This project is designed for implementation in two phases, each with its own distinct achievements"*.

Phase One was planned to last four years, with Phase Two taking three years.

As noted in the ToRs for this evaluation, GEF priorities in the biodiversity focal area changed significantly since the beginning of the project and the Russian developmental context has also changed considerably over the last five years. In acknowledgement, stakeholders reviewed their options when they were advised not to pursue Phase Two. Instead they attempted to bring forward

[6] UNDP (1998) *Kamchatka GEF Programme : A brief description of proposed UNDP-GEF interventions for Russia's Kamchatka Peninsula*. Internal UNDP discussion document.

some of the implementation activities into what remained of Phase One. This was justified as an attempt to:

- better focus project activities
- ensure that priority outputs and outcomes are sustainable
- avoid risks of investing project resources into interim activities/outcomes that will not be further pursued or supported

These changes were to be carried out within the limits of the original budget[7] but with a time extension of some 19 months (according to 2008 PIR).

We believe that this fundamental change in project design has been the most important single influence on project achievement and performance.

As will be discussed further along in this report, the attempt at such a late stage of Phase One, to bring in some of the targets of Phase Two, has not been successful. The above three targets have not been met – project activities were broadened rather than focused (resulting in a dilution of effort); the sustainability of priority outputs and outcomes is not assured; and, the risk is still high that project investments will not find effective ownership when it ends.

We question the wisdom of GEF in influencing such drastic changes to project design and this is discussed further in this report and reflected in the recommendations.

We find the original project concept and design to have been **Satisfactory (S)**. However, this has to be downgraded to **Moderately Unsatisfactory (MU)** because the cancellation of Phase Two placed the achievement of its objectives in jeopardy.

2.1.3 Risks and assumptions

There is no explicit section on Risks, in either the ProDoc or the Project Brief. However, risks are discussed under the Sustainability section in the Project Brief which also covers project activities designed to enhance sustainability. These are discussed in section 5 below which addresses sustainability.

The LogFrame Matrix in the Project Brief does have a column headed Risks and Assumptions. However, this provides mainly assumptions and presumably there is an implied risk that these may not be fulfilled and could jeopardize project implementation. It would have been valuable for the ProDoc to discuss these implied risks and indicate how the project planned to mitigate against them, in a similar way that was used by the Project Brief for the risks to sustainability.

The transitional nature of Russia's administrative and institutional framework led to changes in officials and other personnel which became an absolute drag on project momentum and timeliness. In fact, one respondent noted that the project "*was originally conceived in 1998, under a completely different political and social context".* According to project management, the extent of these changes could not have been foreseen by project planners.

An additional risk was posed by the system of Federal and Regional administrations and the complexity that this poses. The project may have been able to foresee this risk and develop an approach which aimed to circumvent it.

Maybe the lesson that could be learnt is that a project implementation strategy should not depend on specific individuals within government agencies. A further lesson is that a project has to be flexible enough to accommodate changes in personnel, legislation, etc.

[7] According to a number of stakeholders we consulted, a budget of $6 million was estimated as required originally from the GEF to implement Phase One as designed. This was trimmed back to $3 million and we are not aware of any increases in the cash co-funding amount to make up this substantial difference.

2.2 The Mid-Term Evaluation

The general conclusion of the MTE was that "*The overall rating of this project is satisfactory*" and that "*the project seems to be on track*". Needless to add that in its deliberations, the MTE was addressing Phase One exclusively and at the time there was an expectation that Phase Two would follow. In spite of lauding the progress made by the project, the MTE recommended an extension of the timeframe of Phase One by between 18 and 24 months which "*would provide time to address outstanding tasks and provide a "funding bridge" between Phase 1 and Phase II"*.

The MTE provided an impressive list of project achievements, but followed this with an equally long list of major challenges remaining to be addressed in Phase One. This list of challenges was thoroughly addressed by the project management team with the assistance of a UNDP expert and resulted in a "plan of action" in response to the MTE.

The PIU provided the Evaluators with a very detailed Management Response to the MTE which was updated for this Terminal Evaluation with an indication of the extent to which the commitments made at the time have been carried through. This is attached in full in Annex 4, which also contains the Evaluators' comments.

The 81 recommendations made by the MTE reflect a different approach to that employed by this Evaluation. Some of the detail that they delved was unwarranted, while at the same time, a number of recommendations were somewhat vague.

The response of Project Management to the recommendations was in general quite positive. According to the Management Response, four of the actions recommended were already being implemented. The Evaluators feel that ten recommendations were misunderstood, a further ten were rejected or not carried out for various reasons and five were deferred to Phase Two. However, 35 were accepted and carried out according to the commitment made in the Response. A further five recommendations were only partly implemented, while progress on 18 recommendations is unclear to the Evaluators.

3 FINDINGS: PROJECT IMPLEMENTATION AND MANAGEMENT

3.1 Project governance

3.1.1 The project implementation framework

According to the ProDoc, the implementation arrangements for the project were designed to maximize and balance efficiency, transparency and participatory decision-making. The project has been executed by the Government of the Russian Federation according to the UNDP NEX (National Execution) modality with the Federal Agency for Fisheries (previously the State Committee for Fisheries) as the Executing Agency. UNDP served as the Implementing Agency. Project policy, coordination and guidance was provided by the Project Steering Committee (see below) chaired by the National Project Director. Day-to-day management of implementation activities was provided by a Project Implementation Unit based in Petropavlovsk (see below). This model is the standard approach for NEX projects and its effectiveness depends on the individuals concerned, the clarity of reporting lines and accountability, and the degree of cooperation. From what we have been able to find out, the implementation framework had no major problems.

There were, however, some external complicating factors which did affect the project performance. The first of these concerned the changes which took place at federal as well as regional level in the institutional and administrative set-up. Of particular relevance was the amalgamation of Kamchatka Oblast and the Koryak Autonomous Okrug to form Kamchatka Krai. The changes in personnel had to be reflected in the membership of the PSC and affected PSC performance and the PIU had to re-construct its "network".

The other complication arises from the Russian federal system with its two layers of government, which hindered the project whose implementation framework stretched from Moscow to Petropavlovsk.

3.1.2 The Project Steering Committee and other project bodies

The **Project Steering Committee** (PSC) sets the policy for the project and provides guidance and directions to the Project Manager and other project stakeholders. It also supports UNDP which maintains ultimate accountability to the GEF for the delivery of project products and the administration of project funds. Project funds are administered as per the Standard Basic Assistance Agreement (SBAA) between UNDP and the Government of the Russian Federation, which governs the use of UNDP funds. UNDP and the Government form part of and respect PSC decisions and agreements. If a situation arises where UNDP feels that its mandate or its accountability could be compromised by a decision of the PSC, it attempts to resolve the matter by negotiation taking into account the signed ProDoc and the SBAA.

According to the ProDoc, the PSC for this project was expected to "*provide overall guidance, coordination and support to project implementation activities ….. meet semi-annually to review the project and set major policy and implementation directions*" and it provided Terms of Reference in an annex. Membership was to be drawn from representatives of the following organizations: Federal Agency for Fisheries (previously the Russian State Fisheries Committee), Sevvostrybvod, Ministry of Natural Resources, VNIRO, KamchatNIRO, Kamchatka Krai (previously Koryak Okrug and Kamchakta Oblast), the Wild Salmon Centre, UNDP, Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov, Russian Association of Indigenous People of the North,

and a local NGO. As Executing Agency for the Project, the Federal Agency for Fisheries provided the National Project Director (NPD) and this nominee co-chaired the PSC together with the UNDP.

The Project Manager *a.i.* and team at the PIU reported that they found the PSC helpful – they received the support and guidance that they required.

The Evaluators were able to attend the Seventh and last Meeting of the PSC which was held in Petropavlovsk on 26 February 2009. The overall impression gained was one of a forum where participants informed each other of – either what they had carried out over the past year (since the last PSC meeting) if they were members of the project team; or of their opinion on the project and its products, if they were from other organizations. There was little discussion or debate, with the exception being the fate of funds which were left over at project completion and the destiny of the Kol River Zakaznik.

The meeting did not feel like the final meeting of a project which was coming to an end. There was no attempt at closure, no exit strategy was discussed, and little was said about sustainability. However, it needs to be acknowledged that efforts have been made to retain the cohesion of this group even after the project, and this is a form of sustainability.

A **Technical Advisory Group** is often set up for projects such as this one with a strong focus on research and scientific investigations. But the ProDoc noted that "*because the PSC contained significant technical expertise, it has been deemed unnecessary to formally establish a separate Technical Advisory Committee for the project. In its place, the project manager shall seek the advice of experts on an ad hoc basis depending upon the need*."

The Evaluators do not support this decision and believe that a Technical Advisory Group would have been beneficial for the Project. The scientific publications examined by the Evaluators were of high quality and we have no reason to question the scientific integrity of the contents. However, a peer review system as could have been provided by a Technical Advisory Group, would have enhanced the credibility of the authors and provided reassurance to the project team and the PSC.

Two **Community Advisory Committees** were meant to be set up each comprising one representative from the District Administration, one from the local population, one from a regional NGO, and one from the Private Sector. One committee was for the two project areas in the then Kamchatka Oblast and the other one for the two project areas in Koryakia. The Committees were to report to the Project Manager.

In the event, all the preparations were made, but the Committees were not set up, apparently based on a decision by the then Project Manager. It was explained to the Evaluators that in the circumstances prevailing in Kamchatka, the Committees did not seem appropriate and probably would not have been viable. Instead, Community Working Groups were established where possible in different forms tailored for different purposes, and a Community Co-Management Council was promoted for the Kol Zakaznik. However, the concept of community participation in protected area management was too novel and a Scientific and Technical Council was set up instead, still involving a wide range of stakeholders.

3.1.3 The Project Implementation Unit

The Evaluators carried out individual interviews with each member of the current project team which had started to disband. An interview was also held with one of the past Project Managers.

The Project Implementation Unit was organized in three main groups, one focussing on Salmonid research, one on educational activities, and the other on issues of Indigenous and Minority People.

The structure seemed effective although it marginalized two activity areas – education and awareness and financial mechanisms. It was difficult to determine group dynamics because at the time of the evaluation the team had started to disband. Members claimed that they had operated well as a team, being supportive of each other.

Team members were clear about their role and function. They were confident and self-assured in what they were doing. In general, they have been successful in their own particular area.

Project Management has not been a strong point of the project. There have been four Project Managers and staff acknowledged that this had created difficulties with changing priorities, approach, etc. UNDP admitted difficulty in recruiting suitable calibre persons from Kamchatka and suitable persons from the rest of Russia were reluctant to be based in Kamchatka because of a number of reasons – usually family and other personal reasons and the long distance as well as the cost of travelling home. The latest arrangement for the past five months has seen the engagement of the Assistant NPD as *ad interim* Project Manager based in Moscow. While the incumbent is certainly the best person to fill such a position, reliance on an absentee PM is not the best way of running a project – according to one team member "*it created difficulties for us, it created difficulties for him*". One respondent stated that *"the weaknesses in the Salmonid project were attributable to a lack of effective leadership in Kamchatka, and compounded by a lack of clear oversight by the Project Steering Committee and UNDP project managers".* UNDP stressed that working without a full-time Project Manager was certainly not the preferred option, but one imposed by circumstances and another team member, while acknowledging that this was not best practice, felt that "*there were no difficulties whatsoever with project management.*"

Day-to-day project administration and management functions were divided between three team members and the project got along as well as it could. It did seem that some team members had to work on their own initiative, at times regardless of their briefs and contracts and latterly at least, they reported to the PSC, annually, rather than to the Project Manager. There were no regular staff meetings and they only happened as and when they were deemed necessary.

The lack of a Project Manager to serve as team leader, on the spot, is expected to lead to a weak closure for the project and this weakness is already being felt. Requests from the Evaluators for information and data from the project always finished up with one person who, although she performed admirably in the circumstances, did not have the benefit of a comprehensive discussion group to arrive at a consensus on the conclusions required. The final debrief at which the Evaluators shared their preliminary findings with the team and sought early reactions, was attended by a mere three team members and while they are to be commended for their perseverance and dedication, the meeting felt somewhat depressing[8].

3.1.4 The role of Government

This is a project of the Government of the Russian Federation, executed by the Russian Federal Agency for Fisheries (FAF) and implemented exclusively within Kamchatka Krai. Some of the project activities (particularly research activities) are core functions of federal and/or regional government institutions and the project engaged the same persons and provided the financial means for them to carry out what they considered to be their normal responsibilities. This support has helped to overcome the inertia that had developed as a result of lack of resources and created a momentum which can now be maintained by the individuals and organizations concerned.

These intricate ownership/participation arrangements provided federal and regional government with an excellent opportunity to influence the scope and direction of the project right from the formulation phase and on to the implementation phase. This influence was further strengthened by the FAF's chairing of the Project Steering Committee through the National Project Director (NPD). In fact, according to the ProDoc, the responsibilities of the national Executing Agency included: 1)

[8] Project management disagrees with this assessment, however, the Evaluators see it as a fair description of the situation.

certifying expenditures under approved budgets and work plans; 2) tracking and reporting on procurement and outputs; 3) coordinating the financing from UNDP and GEF with that from other sources; 4) preparing and approving Terms of Reference for contractors and required tender documentation; and 5) chairing the Project Steering Committee.

As noted in the ProDoc, the NPD was "*designated by the National Executing Agency and has been responsible for carrying out the directives of the PSC and for ensuring the proper implementation of the project on behalf of the National Executing Agency"*. The NPD was responsible to the national Executing Agency and UNDP for the "*management, reporting, accounting, monitoring and evaluation of the project and for proper management and audit of the project resources"*. The appointment of a Deputy National Project Director whose personal background and expertise in Kamchatka fisheries, was most appropriate for the position. In addition, an Assistant National Project Director was also appointed. The association of the Assistant NPD with the project goes back a long way and he was probably the individual with the longest association with the project. Therefore, when the project faced difficulties finding a suitable candidate to fill the position of Project Manager, he was virtually an automatic choice to serve in an interim capacity (this appointment and its implications have been discussed above).

Institutional changes in fisheries administration and management in Russia, at the federal and regional levels, together with evolving legislation, did create some challenges for the project.

3.1.5 The role of UNDP

As implementing agency, UNDP is responsible to the GEF for the timely and cost-effective delivery of the agreed project outputs. It achieves this through its understandings with the Government of the Russian Federation and its agreement with the Federal Agency for Fisheries as executing agency. UNDP has an obligation to ensure accountability, and its efforts in this respect are spearheaded by the Country Office in Moscow which has legal responsibility for the GEF funds.

The UNDP Resident Representative in Russia may approve, following consultation and agreement with the UNDP/GEF Regional Office and the Government signatories to the project document, revisions or additions to any of the annexes of the ProDoc, revisions which do not involve significant changes in the Objective, Outcomes, Outputs or Activities of the project, and mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or to take into account agency expenditure flexibility. The UNDP Resident Representative in Russia also coordinates inputs into the annual Project Implementation Review for submission to UNDP/GEF, ensures that project objectives are advanced through the policy dialogue with the Government of the Russian Federation, and undertakes official transmission of reports to the GEF national focal point.

According to the ProDoc, the UNDP Country Office was expected to support project implementation by maintaining project budget and project expenditures, contracting project personnel, experts and subcontractors, carrying out procurement, and providing other assistance upon request of the National Executing Agency. Project implementation and overview arrangements needed to accommodate the fact that Kamchatka is nine time zones from Moscow and this was done by streamlining and decentralizing UNDP's normal service delivery procedures in the interest of cost-effective and time-efficient project management. The UNDP Country Office has also monitored project implementation and the achievement of the project outputs to ensure the proper use of UNDP/GEF funds. Financial transactions, reporting and auditing were carried out in compliance with national regulations and UNDP rules and procedures for national execution.

Staff in the UNDP Environment Unit worked closely with the Project Manager as well as with the National Project Director and facilitated project coordination at federal level. They also fostered relations with Moscow-based NGOs, research institutions, Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov, and co-financing organizations. The PIU team

members were positive regarding the support they felt they received from UNDP. No training had been provided in UNDP financial management and reporting procedures, but advice was provided as needed and learning took place on the job.

UNDP provided guidance and oversight of the project through its monitoring of implementation; field visits to project areas; PSC co-chairing; the preparation and circulation of reports; helping to resolve problems; reviewing and revising project reports and providing feedback; technical support; negotiations for defining strategy; and consultations with stakeholders on project closure.

UNDP also had a role in financial management and reporting by ensuring annual audits were carried out; approving budget revisions; and coordinating final financial closure.

Finally, UNDP has overseen the evaluation of results achieved by the project through APRs, TPRs, PIRs and independent evaluations.

The work of the UNDP Country Office is supported by the UNDP/GEF Regional Coordination Office in Bratislava, which also provides coordination within the whole UNDP/GEF portfolio of projects for the region. More specifically, the UNDP/GEF Regional Office provided technical support to the UNDP Country Office and the GEF National Operational Focal Point, approved the project inception report and terminal reports, reviewed budget revisions prior to signature, followed up closely on implementation progress, assured the eligibility of project interventions in light of GEF policy guidance and approved project design, represented UNDP/GEF on the PSC, and approved Annual Project Implementation Reports, including performance ratings, for submission to GEF.

3.2 Financial management

3.2.1 Budget and financial planning

According to the ProDoc, the project had a total budget of US$13,477,130. GEF provided the only cash input of US$3,000,000; the Government contributed US$7,318,380 in kind; and the Wild Salmon Centre made a parallel contribution of US$2,931,250. A further US$494,500 was provided by the PDF for project formulation.

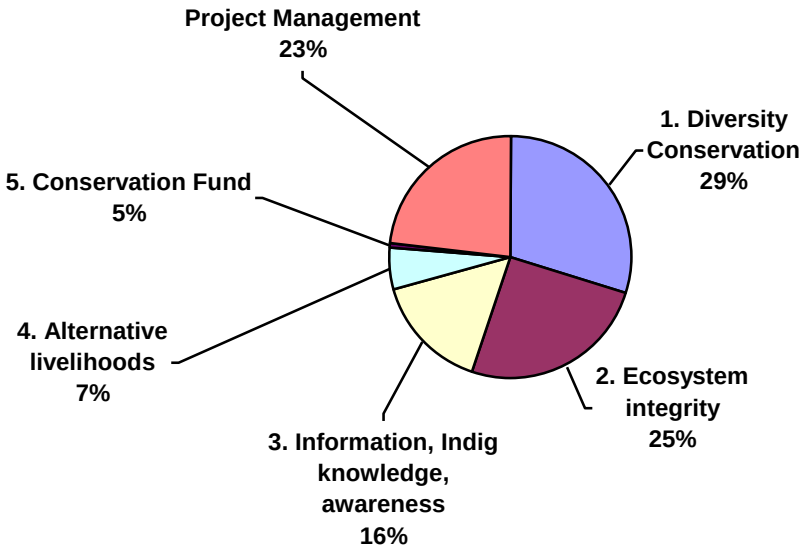
Although the Government in-kind contribution is itemized clearly in the ProDoc, it does not feature any further in the budget which concentrates exclusively on the GEF contribution. The GEF funds were allocated to respective Outcomes as shown in the middle column of the table below which also shows the actual expenditure right up to the virtual end of the project.

Table 1. GEF budget from ProDoc compared with actual expenditure to Mar 2009, according to PIU

OUTCOMES	GEF BUDGET (FROM PRODOC	ACTUAL EXPENDITURE (to March 2009)
1: Salmonid Diversity Conservation Programme	830,000	835,491
2: River ecosystem integrity is conserved in four sites	1,205,000	716,591
3: Information sharing, Indigenous knowledge, Awareness	620,000	436,625
4: Stakeholders developing alternative livelihoods	200,000	156,643
5: Wild Salmonid Diversity Conservation Fund	145,000	17,388
Project Management		646,423
TOTAL	**3,000,000**	**2,809,161**

The original budget did not have an item specifically for Project Management and these expenses were hidden within the allocations for each Outcome. The priority activities centred around Outcome 2, and if the Conservation Fund is not considered, Outcome 4 – Alternative Livelihoods, received the smallest allocation.

Actual Expenditure to Mar 09



When working out actual expenditure, Project Management expenses were identified separately, and as can be seen from the illustration above, they came to 23% of the total GEF funds. This is considered as high for this type of project even though this included monitoring and evaluation expenses.

It is also reassuring to note that the very high allocation to Outcome 2 did not eventuate, but there is no explanation forthcoming as to why this discrepancy occurred.

Throughout the evaluation, many lamented the fact that the project had been planned on the basis of a GEF allocation of US$6 million and that only half of this had been provided. Obviously, the Activities and Outputs in the ProDoc were revised to fit within the new funding constraints and we are not aware of what had to be left out. However, we note that apart from Outcome 1 which is more or less on target, all other Outcome expenditures are below the original allocated amount, some, such as Outcome 2 and Outcome 5, by a very significant amount. Obviously, these amounts go towards the expenditure for Project Management which had to be retrieved from its hidden locations. But even then, there remains a balance of some US$190,000.

Financial planning has been **Moderately Satisfactory (MS)**; actual expenditure pattern has been **Moderately Unsatisfactory (MU)**.

3.2.2 The disbursement process, financial reporting and effectiveness

The disbursement process was standard and no major problems were brought to the attention of the Evaluators. The ATLAS system did not pose any difficulties. UNDP made cash advances available on the basis of quarterly estimated expenditure and these were then disbursed and accounted for, by the project.

Two features of the disbursement process merit further mention. Firstly, a professional accountant was engaged on a part-time basis, as and when needed, to serve as Financial Officer for the project. This has resulted in a trouble-free and efficient disbursement system and was probably instrumental in evading any problems with the ATLAS system (which favours accountants). This is in sharp contrast with our experience from other projects elsewhere, where government personnel, not qualified as accountants, are engaged to cover this aspect of project management, and face unending difficulties.

Secondly, as the project was not a legal entity under Russian law it could not disburse payments. This hurdle has been overcome in Russia by projects working through a legally established NGO as a mechanism for making disbursements. In the case of this project, the Community Environmental Foundation, which was established by Sevvostrybvod to raise funds for fish protection activities, provided a good opportunity for collaboration.

3.2.3 Co-financing

The amount of co-funding pledged for this project, albeit in parallel or in kind, was substantial. At almost US$10.25 million it was equivalent to more than three times the GEF allocation of US$3 million. It is also interesting to note that the ProDoc attempts to itemize the large sums of co-funding in kind from organizations such as Sevvostrybvod (US$4.4 million) and KamchatNIRO (almost US$2.7 million).

However, the amount pledged pales in comparison to the actual amount which is claimed to have been contributed, in kind, to the project. As can be seen from the table below, provided by the PIU, the amount delivered is a massive US$20.5 million.

While the exact amount of co-funding in kind may be somewhat inflated, there is no denying that it was a substantial amount; exactly how much, is difficult to determine.

Table 2. Co-Funding pledged and delivered, as provided by the PIU based on reports received from partner agencies

CO-FUNDER	AMOUNT PLEDGED	AMOUNT DELIVERED	TYPE OF SUPPORT
Sevvostrybvod (government)	4,409,950	5,088,400	Mostly parallel
KamchatNIRO (Government) VNIRO (Government)	2,675,250	4,900,000 268,000	Mostly parallel
Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov (academia)	233,180	555,500	In kind
Wild Salmon Center (foreign NGO) Wild Fish & Biodiversity Foundation (national NGO)	2,931,250	9,500,000	In parallel and in kind
Kamchatgasprom (private sector)	0	84,000	In parallel
Kamchatka State Technical University (academia)	0	46,000	In parallel
TOTAL	**10,248,630**	**20,441,900**	

Amount of co-funding pledged was excellent; the amount of co-funding delivered was even more impressive – **Satisfactory (S).**

3.3 Partnership strategy, stakeholder participation and public awareness

The OECD[9] considers Stakeholders as "*Agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation*". This definition is all-embracing and includes Partners and Beneficiaries which are defined in turn as: "*Beneficiaries - The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention*"; and "*Partners - The individuals and/or organizations that collaborate to achieve mutually agreed upon objectives*". In the case of Partners, the OECD adds that "*the concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations*".

3.3.1 Partners and partnership strategy

According to the ProDoc, the main partners for the project are: "*the Russian State Fisheries Committee (now the Federal Agency for Fisheries), Kamchatka Oblast/Koryak Okrug Administrations (now Kamchatka Krai), Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov, Wild Salmon Center, KamchatNIRO, U.S. National Science Foundation/Flathead Biological Station, regional environmental NGOs, business and local communities*". There is no doubt that all these organizations share the project's goals but whether they have "*common responsibility for Outcomes*" is arguable, and so are their "*distinct accountabilities and reciprocal obligations*". In other words, they may or may not be true partners according to the OECD definition.

The Results Framework in the ProDoc quotes the following Partnership Strategy:
"*UNDP builds strong stakeholder coalitions to allow participatory implementation of environment protection and management programmes on a sustainable basis. Such partnerships include UN Agencies, international funds, bilateral and multilateral organizations, Russia's national, regional, and local government bodies, national and international environmental NGOs, academic institutions and universities, local population and private sector. In doing so, the CO launched donor meetings on environment and continues to act as an informal secretariat for these meetings. On the programme level UNDP leads partnerships through Steering Committee meetings, stakeholder consultations, joint missions, etc."*

This 'Strategy' is a very generic statement of intent by UNDP and it has not been applied specifically to this specific project and its particular circumstances. Unfortunately, it is the only indication available to the Evaluators of how partners are going to be involved.

The government organizations considered as partners for the project have changed during the life of the project as a result of fisheries administration reforms in Russia, and Kamchatka has finished up with at least five organizations with some participation in fisheries management. Their partnership role revolved around their co-funding in kind which, according to the ProDoc, focussed primarily on personnel time and travelling expenses. As far as can be ascertained, this pledged support to the project has been provided, and as discussed above under co-funding (section 3.2.3), more than exceeded.

Two NGOs that have been considered as co-funding and implementation partners were the Wild Salmon Centre (WSC) and the Wild Fishes and Biodiversity Foundation (WFBF) with whom UNDP reached agreements on the basis of an MoU *"for the development and establishment of a salmonid protected area on the Utkholok River (Utkholok, Kvachina, Snatolvayam), and for the support of*

[9] DAC Working Party on Aid Evaluation (2002) *Glossary of Key Terms in Evaluation and Results Based Management*. OECD, Paris.

long-term operations of newly established salmonid protected area on the Kol River". The WFBF was to serve as coordinator for the activities on the Utkholok Salmonid Protected Area and report quarterly to the Working Group set up specifically for the purpose. Regarding the Kol Salmonid Protected Area, the focus was on sustainable financing for salmonid conservation and the resolution of outstanding land tenure issues.

Some joint work was carried out with these partners but in discussions with the Evaluators, both organizations expressed disappointment at the lack of communication from UNDP and the project (they claimed not to have received a copy of the MTE). They conceded that the working relationship with UNDP-Moscow had been good but that at the project level it had been difficult. They also complained that their substantial role in project activities had not received due recognition (such as acknowledgement in reports and other publications). This recognition was part of their accountability process and without it future funding support could be placed in jeopardy. The WSC also lamented the fact that the UNDP project was intent on setting up what they saw as a parallel Trust Fund, when they were already at an advanced stage of setting one up for the same purpose. Finally, they questioned the wisdom of ending the project without its second phase and this is discussed below in section 5 under sustainability.

The above state of affairs might have been avoided if there had been a common workplan for organizations dealing with salmon in Kamchatka. Such a plan was proposed and drafted early on by the project, but was not supported by all the parties.

3.3.2 Participation at the project formulation phase

The Project Brief claimed that "*this project is the product of extensive consultations with stakeholders undertaken during a nine-month PDF-B project development process. The development of this project benefited from the active participation of Government, non-profit organizations, indigenous people's representatives, academic institutions, and leading Kamchatka-based experts contributed to the development of the project through five steering committee meetings and three stakeholder meetings*". As the Evaluators were told – The "*Project was designed by a group of representatives from various Ministries and other government agencies, from both federal and regional levels, with NGO participation".*

Almost without exception, those met and consulted by the Evaluators confirmed this involvement in the project formulation process – many went so far as to claim that they were the originators of the project.

Stakeholder involvement in the formulation phase of the project is considered to have been **Highly Satisfactory (HS)**.

3.3.3 Participation during the implementation phase

The high level of participation during the formulation phase appears to have been continued during project implementation as pledged by the ProDoc - "*This open participatory approach will be maintained and strengthened during the project implementation phase*" and as foreshadowed by Annex 7 of the Project Brief which comprised a detailed Stakeholders Participation Plan where each organization is recognized and its role in the project is acknowledged. The following table is an update, by the PIU, of the Stakeholders Participation Plan.

Table 3. Actual stakeholder involvement compared to planned involvement according to the Stakeholders Participation Plan

STAKEHOLDERS	PLANNED INVOLVEMENT (according to ProDoc)	ACTUAL INVOLVEMENT (as reported by PIU)
Sevvostrybvod/ Kamchatrybvod	Designated Institution for project execution; integrating biodiversity into fish harvest planning and practical methods; Enforcement of anti-poaching laws; protected area management. Organizing and participating in project workshops and meetings.	The program on cooperation in all the directions covered in the Project Document was worked out and signed with FGU "Sevvostrybvod" in 2005. In cooperation with FGU "Sevvostrybvod" some conferences and seminars were organized and conducted (International seminar "Present day problems of salmon hatcheries in the Far East", Conference "Salmon poaching as the key factor of Kamchatka economy", activities concerning the creation of the Kol river and Utkholok zakazniks) The strategy on Sport fishing development. The package of legal documents (projects) for hatchery management. All the educational programs (excursions, seminars, trainings foe children, students, teachers on the base of the FGU Sevvostrybvod's Centre of ecological education) FGU "Sevvostrybvod" used Project materials for pipeline construction quality control.
KamchatNiro	Main collaborating agency for salmonid fishery management; a leading role in biodiversity monitoring; integrating biodiversity into fish harvest planning and practical methods; Organizing and participating in project workshops and meetings.	Direct interaction in the preparation of fishery and ichthyologic components of scientific justifications of a PAs creation in the Kol and Utkholok river basins, of the package of legal documents (projects) for hatchery management, in the working-out of antipoaching strategy, in the preparation of the program of salmon fishery management improvement The specialists of KamchatNIRO participated in all the important conferences and seminars initiated by the Project.
VNIRO (Russian Federal Research Institute of Fisheries and Oceanography)	None planned at the beginning	Direct involvement in the preparation of the fishery and ichthyologic components in the scientific justification of the creation of Pas in the Kol and Utkholok river basins, of the package of legal documents (drafts) for hatchery management, in the development of an anti-poaching strategy, in the preparation of a programme for the improvement of the quality of salmon fishery management . VNIRO experts participated in all major conferences and seminars conducted within the Project's framework.
Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov	Collaborating organization; Will play a lead role in conducting field surveys; endangered species management; data management.	The group of scientists from MSU under the guidance of academician D. Pavlov every year conducted field surveys in Kol, Utkholok rivers. Preparation of the fishery and ichthyologic component of scientific justification of a PA creation in the Kol river basin. The program of salmonid monitoring for the Kol River Zakaznik is worked out. The monograph on Salmonid biodiversity in the Kol river basin is prepared.
Wild Salmon Center (NGO)	Collaborating organization; Participating in field surveys; building infrastructure for protected areas; public awareness and participating in outreach activities.	Close interaction in field surveys in Kol, Utkholok river basins, in building infrastructure for the Kol river zakaznik. Three trips to the USA were organized: Anchorage – salmon fishery management; Portland – educational program; Flathead biostation – scientific research and monitoring.
Ministry of Natural Resources	Collaborating organization; Monitoring of water quality; land-use.	The Ministry supports the Project's activities on PAs creation, on pipeline construction quality control
Russian Association of Indigenous People of the North for KO and KAO Itelmen and Koryak Indigenous People	Collaborating organization; Attending project workshops/meetings and also playing consultative & organizational roles; Assistance in awareness campaigns, knowledge preservation and capacity building with indigenous communities.	Working Group on cooperation with indigenous peoples of the North was organized jointly with the Russian Association of Indigenous People of the North. A lot of joint activities (festivals 'First fish', 'Alhalalalai', 'International Day of Aboriginal', Salmon Keepers field camps and festivals, etc.) Two eco-centers in indigenous communities (Kovran, Sobolevo) Ethno-tourism Development Program, Community Development Program based on the sustainable use of fish resources are worked out. Monograph on Traditional ecological knowledge and its significance for Kamchatka biodiversity conservation is published. The project set up an information database on traditional knowledge created on CD and DVD, constantly updated.
Koryak Autonomous Okrug/Kamchatka Oblast Administrations	Collaborating organization; Consultative roles in project workshops and meetings; policy development, revision and oversight;	Joint project "Wild plants of Koryakia as alternative livelihood for the local population". Ineraction in the PA Utkholok establishment, Kol River Zakaznik establishment, implementation of the mitigation plan for pipeline construction. Representatives of the Administration were present at all the important events (SC), meetings, conferences and workshops of the Project or initiated by the Project.
Kamchatka Institute for Ecology and Nature Management	Participating in field surveys; Consultative roles in project workshops and meetings; attending project outreach; lessons sharing meetings and activities.	Specialists of the Institute took part in creation of salmon zakazniks (Kol, Utkholok). Interaction in the preparation of International seminar "Present day problems of salmon hatcheries in the Far East". Project took part in the annual International scientific conferences "Conservation of biodiversity of Kamchatka and coastal waters".
Kamchatka League of Independent Experts	Collaborating organization; consultative roles in project workshops and meetings; awareness raising.	Consultative role in controlling the pipeline construction, information exchange, Salmon Keepers festivals
Wild Fish & Biodiversity	Collaborating organization; consultative roles in project workshops and	Biostation on river Kol is used for salmon research and monitoring, interaction in PAs creation, Festivals "Salmon keepers"

STAKEHOLDERS	PLANNED INVOLVEMENT (according to ProDoc)	ACTUAL INVOLVEMENT (as reported by PIU)
Foundation	meetings; awareness raising; Collaboration in research and monitoring station construction and management.	As the Foundation is financed by WSC, all the activities conducted in cooperation with WSC can be referred to the Foundation (except trips to the USA which were organized directly by WSC)

The extent of stakeholder involvement in project implementation is very high and ranges from government (federal and regional) organizations responsible for fisheries management, to NGOs, and indigenous minorities representatives.

The Evaluators met with many stakeholders who recounted their participation in project activities. The following table is a summary (in no particular order) of the main organizations we met and their perceived area of interest or the project activity that they participated in.

Table 4. Stakeholders and their areas of interest/participation

ORGANIZATION	AREA OF INVOLVEMENT
Ministry of Education and Science of Kamchatka Krai	worked from start in coordinating awareness raising and education from kindergartens to universities to adults
Ministry of Natural Resources and Environment	conservation of Red Data Book species – steelhead and other threatened species; work on Kol R zakaznik. Thanks to the project, network of salmon observation stations on west coast extended. Kol zakaznik set up with joint funding from Govt and Wild Salmon Centre. Work is continuing to have Utkholok Rivefr Zakaznik approved.
Ministry of Investment and Entrepreneurship	micro-credit, education of entrepreneurs, AIG, workshops, Sodruzhestvo Foundation for small loans
Ministry of Fisheries	Shaping of regional fisheries management policy. Salmon fishing management; search for new management techniques; legislative framework for fishing.
Kamchatka Eco-Tourism Society	development of eco- and aboriginal-tourism, change in population thinking, tour companies helped to design business plans, magazine – *Explorer Kamchatka*
Sevvostribvod	Salmon fisheries management; establishment of the salmon museum; sport fishing activities in project areas; legislative framework for fishing;
VNIRO + KamchatNIRO	Conducted research to study salmonids and salmon ecosystem biodiversity in Project areas. Study of hatcheries impact on wild salmon. Monitoring of gas pipeline construction. Development and introduction of GIS technologies. Monitoring of facility impact and human impact on salmonids. Preparing justification for PA establishment. Preparing salnmon catch forecasts. Publishing activities. Co-financing of project activities.
Wild Salmon Centre	funded research; participated in PA establishment through the Wild Fish Fund
Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov	evaluation of fish species and status, Kol R and Utkholok R, co-financed activities; preparing justification for PA establishment; publishing activities
Academy of Sciences	economic baseline assessment of ecotourism, fisheries and biodiversity conservation; including activities carried out by Moscow State University/ Institute of Ecology and Evolution named after A.N. Severtsov
Russian Association of Indigenous People of the North	concept of development of associations of indigenous people of the North residing in remote coastal regions in Western Kamchatka. Programme for promotion of eco/ethno-tourism. Pilot project " Wild plants of Koryakia as alternative livelihood for the local population". Database for traditional knowledge of the indigenous people.
Assoc of sport fishers	Arranging fly fishing festivals
Kamchatka Krai Institute of Further Education of Teachers	elective course on salmon included in secondary school curriculum; course materials on Biology and Ecology curricula; training of teachers conducted; five guidelines for teachers developed and released.
Centre for Envir Education	introduced salmon into schools
Sodruzhestvo	micro-credit
Wild Fish and Biodiv Foundation	Kol R Zakaznik and Utkholok Zakaznik
State Enterprise for Collection, Marketing and Sales of NTFP	worked on pilot

This level of participation in project implementation is considered as extensive and is rated as **Highly Satisfactory (HS)**.

3.4 Monitoring and evaluation

3.4.1 The GEF M&E requirements

The GEF requires that all projects must include *"a concrete and fully budgeted monitoring and evaluation plan by the time of Work Programme entry for full-sized projects"*. The required M&E Plan should comprise a number of minimum requirements[10] and these are listed in the table below together with the Evaluators' summary observations of the way that the project satisfies these elements.

Table 5. GEF M&E minimum requirements

GEF M&E REQUIREMENTS	EVALUATOR OBSERVATIONS
SMART indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management	Indicators identified but not SMART (see section 3.4.3 below)
SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators	Rarely SMART and mainly dealing withy process rather than results
A project baseline or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation	Refer to situation analysis Check LogFrame and other baselines
An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities	Yes, basic requirement met; but commitment (in ProDoc) to "flesh it out" does not seem to have been carried out
An organizational setup and budgets for monitoring and evaluation	No organizational set up but budgets set aside for independent evaluations and UNDP supervisory missions

The project only partly satisfied the GEF M&E requirements and this is discussed further in the sections below.

3.4.2 The Logical Framework Matrix

A Logical Framework Matrix (LogFrame), now usually replaced by the Strategic Results Framework (SRF), should comprise a summary description of what the project is attempting to do (Objective and Outcomes), how it will do it (Outputs and Activities), and how we will know when it is done (Indicators and Targets). It should also identify Assumptions and note the Risks.

As discussed above, the original LogFrame in the ProDoc had no explicit project Objective. There was a "Goal" and there was a "Purpose", but nothing was labelled "Objective". It showed Outcomes (labelled as Outputs) as well as Outputs and Activities, clearly identifying what was to be done during Phase One and what was to be left for Phase Two. It also identified Risks and Assumptions. Therefore, with the exception of the missing Objective, the LogFrame presented in the ProDoc comprised all the essential elements and provided a logical "template" for the project.

The MTE was somewhat critical of the LogFrame and its elements. It referred to "*one of the most dizzying assortments of indicators ever encountered*" and noted that although they had already

[10] See also – http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html

changed at least three times, "*improvements to the logical framework and associated indicators are worthwhile*". The project, on the thorough advice of its Adaptive Management Advisor, analyzed the MTE recommendations and *inter alia*, adopted a revised set of Indicators together with baseline, mid-term targets and final targets. On our request, the PIU provided the Evaluators with a document headed *Annex 2. Logical Framework. Evaluation Indicators Revised Objective-level Indicators.* However, following further requests, a second version was provided, entitled *Post Mid-term Evaluation Refinement of Project's Indicators of Success,* which is different.

This is not a complaint by the Evaluators because we are confused, it is an observation on the confusion that seems to exist within the PIU regarding the set of Indicators that the project is supposed to be targeting. It would seem that the plea by the Adaptive Management Advisor in his Mission Report, Feb 2007, has gone unheeded - "*Project staff should now be working from the most recent log frame indicators dated Aug 3, 2006. I attach them to this report."*

From this sequence of events, the Evaluators can only conclude that the LogFrame Matrix and its Indicators were not used appropriately by the PIU, in spite of the good efforts of the Adpative Management Advisor. And, in spite of the fact that when asked specifically, project staff maintained that they did refer to the LogFrame and that it was useful, our rating for the usefulness of the LogFrame Matrix is **Moderately Satisfactory (MS)**.

3.4.3 Project performance monitoring and adaptive management

The ProDoc contained a thorough but basic M&E Plan and it advised that *"A detailed Monitoring & Evaluation work plan will be fleshed out at the inception of the project,* [to] *allow for a critical assessment of project performance by showing the schedule of related activities, their cost and the expected outputs and achievements according to the established benchmarks and milestones"*. Such an exercise is nowadays carried out at the Inception Workshop, but, as UNDP advised the Evaluators, at the time when this Project was starting up, Inception Workshops were not common practice. We therefore examined the Inception Report, the Minutes of the First PSC Meeting and the First Annual Work Plan but could not find anything resembling "*a detailed Monitoring and Evaluation work plan*". We therefore have to assume that a more detailed M&E Plan was not prepared and that the one in the ProDoc remained current throughout the Project.

Project performance monitoring has two main purposes – to assess progress towards the Objective and Outcomes; and to revise and refine implementation plans (as summarized in the LogFrame Matrix) to reflect new experience gained and arising difficulties (adaptive management).

Progress towards the Objective and the Outcomes utilizes **SMART**[11] **Indicators** since objectives and outcomes cannot be measured directly.

The GEF Monitoring and Evaluation Policies and Procedures of January 2002 define Indicators as: *quantitative or qualitative statements that can be used to describe situations which exist and measure changes or trends over a period of time. (In the context of the logical framework approach, an indicator defines the performance standard to be reached in order to achieve an objective.)*

[11] **SMART INDICATORS** GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be "SMART":
Specific: The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
Measurable: The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
Achievable and Attributable: The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
Relevant and Realistic: The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
Time-bound, Timely, Trackable, and Targeted: The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program

An assessment of the Indicators adopted by the project, and comments on their usefulness, are to be found below in section 4.1.1 for the Objective and section 4.1.2 for the Outcomes.

Performance monitoring, with or without Indicators, as carried out by the Project, is not thought to have been very effective. While it may have satisfied the bare essentials of the GEF, it was mainly mechanical, not analytical, and there was no evaluation. The Quarterly Progress Reports did assess progress, but nothing was said about the constraints encountered, the lessons that could be learnt or the follow-up action that was needed. The Evaluators believe that it is not enough to monitor – management must do something with the results of monitoring.

The PIRs did note "Adjustments to Project Strategy" but there is not much evidence of adaptive management which is a formal, systematic, and rigorous approach to learning from the outcomes of management actions, accommodating change and improving management. It involves an analysis of the situation (the result of monitoring), exploring alternative actions and making explicit adjustments to the implementation strategy and the LogFrame.

Finally, it is also extremely important to make a distinction between process and results. Many Outputs are contributions to the process; whereas Outcomes are meant to be results. For example, the declaration of a particular area as protected, the drafting of a management plan, the publication of a handbook, etc, are not results – the result that the project Objective was seeking was *the conservation and sustainable use of salmonid diversity in four river sites.*

Performance monitoring and its application to adaptive management is considered to have been **Moderately Satisfactory (MS)**.

3.4.4 Overall conclusion on monitoring and evaluation

The detailed M&E plan referred to in the ProDoc did not eventuate; nevertheless monitoring was carried out and satisfied the basic requirements albeit in a non analytical manner. Budget was set aside for evaluation missions and for UNDP supervisory missions. The selected Indicators were not very helpful.

The overall rating on Monitoring and Evaluation is **Moderately Satisfactory (MS)**.

4 FINDINGS: RESULTS AND IMPACTS

4.1 Results achieved

4.1.1 The Project Objective

This project does not have an explicit Objective. The LogFrame Matrix, which is hidden in an annex to an annex in the ProDoc, has the following "Goal":
The long term health of Kamchatka's salmonid genetic and life history diversity and river ecosystem integrity.

and the following "Purpose":
Government agencies, indigenous peoples, and local communities are applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites.

There is no reference to an Objective in the LogFrame Matrix and the only indication of what the Objective might be is in the boxed project summary on the title page of the ProDoc which says that: *The objective of this project is the conservation and sustainable use of salmonid biological diversity in four river systems on Russia's Kamchatka Peninsula.* But this is also referred to elsewhere as the project Title.

The PIRs adopt the Purpose as the Objective which, as can be seen from above, is very different from that referred to in the Project Summary (which is also carried in the PIRs). However, in the absence of an overt Objective, this Terminal Evaluation has followed the lead of the PIRs and also adopted the Purpose as the Objective.

In assessing the achievement of the project Objective and Outcomes, indicators are necessary since these targets cannot be measured directly. The Project original LogFrame adopted indicators and these were revised following the MTE[12]. This Evaluation focuses exclusively on the revised indicators. Comments are provided on the quality of the Indicators through the application of the SMART criteria (see footnote on page 30).

The first step in developing indicators to measure the adopted Objective is to "dissect" it into its key elements as follows:

What to do?	*apply*
Of what?	*new-found capacity, livelihood options, and knowledge*
By whom?	*Government agencies, indigenous peoples, and local communities*
For what?	*the conservation and sustainable use of salmonid diversity in four river sites*

According to its adopted Objective, the project was to apply capacity, livelihood options and knowledge. Indicators for this Objective should therefore help determine whether such application had indeed been carried out by the identified entities, and whether this had led to the conservation and sustainable use of salmonid diversity in four river sites. The Indicators selected for this task do not do this very well.

[12] The Evaluators received more than one version of the revised Indicators for the Objective and the version used in the following table is the one used by the PIU in its self-assessment of Progress/Results towards the Objective. The differences between the versions were minor with the exception of Indicators 6 and 7. Another version of Indicator 6 used sediment transport and road density in watershed as parameters. Indicator 7 was only present in the self-assessment version.

The selected Indicators say nothing about capacity or livelihood options, although they do refer to knowledge. They make slight mention of Government agencies but say nothing about indigenous people and communities. They do address conservation, but say nothing on sustainable use.

The Indicators selected to help determine progress/results towards this Objective do not satisfy the SMART criteria. Taken as a group, the seven selected Indicators are not **Specific** to this Objective and would have been more appropriate for an objective focussing on research. About half are **Measurable** when the targets are referred to. In general they are **Achievable**, however, it could be argued that the changes are not clearly **Attributable** to the project. With the exception of Indicator 6, they are not **Relevant** to the Objective, or only partly so. The Indicators were **Trackable** but not clearly **Targeted**.

In fact, the revised Indicators raise the suspicion that they were retrofitted to the work which the Project was doing anyhow and did not arise from an attempt to find a way of measuring progress/results towards the Objective. As a result, while the project may have been successful in terms of the Indicators, the Objective itself may not have been achieved. This is not a criticism of Project implementation, but more a criticism of project design.

One respondent brought to the Evaluators' attention the "*remarkable successes of the project*" which included laying the groundwork for the Kamchatka salmon refuge strategy.

In order to reach a conclusion on whether the Objective has been achieved, and without the benefit of relevant indicators, the Evaluators sought answers to the following three questions arising directly from the wording of the Objective:

- Are Government agencies applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity in four river sites?
- Are indigenous peoples, applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites?
- Are local communities applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites?

Based on our consultations with stakeholders and others, together with our review of relevant documentation, we conclude that Government agencies <u>are</u> applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity but not in four river sites; but we are uncertain whether indigenous people and communities are doing the same, although it is likely to a limited extent. As a result, progress/results towards the Objective is deemed to have been **Moderately Satisfactory (MS)**.

The following table is a summary of the Indicators, progress towards them as reported by the PIU, and the Evaluators' comments on the Indicators and the progress achieved.

Table 6. Progress/Results achieved towards the Project Objective according to the PIU in self-assessment, together with comments from the Evaluators

OBJECTIVE: ***Government agencies, indigenous peoples, and local communities are applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites***		
REVISED INDICATORS OF PROGRESS/RESULTS TOWARDS THE OBJECTIVE	**PROGRESS/RESULTS ACHIEVED AS AT THE END OF DECEMBER 2008**	
	ACCORDING TO THE PIU (summarized)	**COMMENTS BY THE EVALUATORS**
1. Salmonid diversity	All historical species present in river sites with more complete data set. Number of species at each site: Bolshaya-10; Kohl/Kehta – 9; Utholok – 9; Sopochnaya- 9 Tables with species names and listing of known intraspecific diversity for each river site are included in the reports on salmonid biodiversity and salmonid habitat monitoring and conservation in project sites for the years 2006-2007. This information is also presented in the "Information (a brief) about the state of salmon biodiversity and environment in the project areas "Bolshaya", "Kol/Kerhta" and "Utkholok/Kvachina".	This is not an Indicator – it is more of a theme. The Project Results quoted by the PIU confirm that the number of species (diversity) at each site has remained the same as in the historical record. While it is useful to confirm this, it seems to have happened regardless of the project. The project can claim to have been successful in maintaining salmonid biodiversity, but it could be argued that it would have been maintained even without the project.
2. Population health: presence, numbers and distribution of juveniles by stream segment	**1. The Kol / Kehta Rivers** Historical species present in river with more complete data set. The intraspecific structure of all species but Chum stays the same. New data on intraspecific temporal salmonid structure obtained. Occupy 100% of historical range within each river system. More complete data on commercial and non-commercial species obtained. Salmonid density in Kol River is high: 1.5 - 2 fish/m^2 in main river and up to 17 fish/m^2 in tributary system in autumn. This is 90-100% of historical level. Juvenile abundance has not decreased since the project start. It is proven that salmonids use the whole length of the river system for spawning and juvenile feeding from the source to its mouth, especially the tributary system. Interannual ratio fluctuations of juvenile species in reference areas are found. Juvenile density is high, especially in summer low water and in autumn (up to 3.78 fish/m^2 in the river and up to 10 fish/m^2 in the tributary system). In 2007, it reached maximum density for the observation period since 2003. It is satisfactory and good: population of most species is 66-100% of historical level. Chum and Pink salmon run was very low in 2007 (the lowest for the observation period since 2003), the population of Coho has increased and is now highest since 2003. The population of Chinook is maximal since 2003. **2.** The condition of salmon biodiversity in the **Bolshaya River** basin corresponds to "good" on the rating scale. The intraspecific structure remains the same. Some species (chum) have lost their intraspecific structure. The population of Pink salmon reproductive stock is high – 80-100% of historical level. The population of Chum, Sockeye, Coho and Chinook is high and stable for two consecutive years. Juvenile density is low, probably, not more than 50% of historical maximum. Juvenile density has not decreased since the Project start. **3.** The **Utkholok / Kvachina River**. Condition of salmon biodiversity corresponds to "good" on the rating scale. It is very good (66-100% of historical level). Intraspecific structure remains the same. Dwarf males of white-spotted Char are found. Population of reproductive stock is satisfactory; population of Pink salmon reproductive stock was low – not more than 66% of historical level. Good	This Indicator is only partly relevant to the Objective. It would have been very appropriate for an objective which focused on the knowledge base for salmonid conservation. As written, the Indicator presumably takes the historical record as its baseline and this has now been augmented by the additional data and information obtained by the Project. The monitoring strategy which has generated this valuable information does not seem to have been interpreted to identify trends – in other words, there is no indication of application as targeted by the Objective. However, if the target is as in the revised LogFrame, *viz.* "Occupy 100% of historical range within each river system. More complete data on commercial and non-commercial species", the Project can be said to have been successful.

	abundance of other species' reproductive stock – 66-100% (fluctuates from year to year). Juvenile density is good: 1.5 - 2 fish/m^2 in the river and up to 17 fish/m^2 in the tributaries in autumn. It is likely to be 90-100 % of historical starting point.	
3. Number of hectares of salmonid habitat protected	One PA established. Design of the 2nd PA is developed. Total hectares: 220,242ha protected in Kol River PA (established in 2006). Zakaznik "Kol River" is functioning. The work on establishing second PA "River Utholok" is being conducted. Endorsement from the regional government for the development of the Utkholok PA secured in April 2007.	The Indicator is not completely relevant to the Objective and merely hints at the ultimate Objective of conservation and sustainable use. However, as discussed elsewhere in this report, the declaration of a zakaznik does not guarantee conservation. The Project has achieved its targets but these were lowered significantly from the original ones.
4. Ecosystem health: Insect biomass and diversity	After amphibiotic insects inventory on "The Bolshaya River" Project site, including the Nachilova River reference watercourse, 183 taxons were identified. Species composition, abundance and biomass of insects in various watercourses are within background characteristics for pure rivers – from 25-30g/m^2 in salmonid springs to 5-10g/m^2 in lowland rivers and streams. The ascertained worsening of bottom dwellers diversity (species composition, abundance and biomass) occurs locally and is connected with temporary siltation of the bottom or water turbidity caused by earthwork in riverbeds while running the gas-main pipeline or paving the way.	Once again, this is a theme rather than an indicator and the targets are not very helpful either. Basic data has been collected and a valuable baseline established which, while contributing to the scientific basis for salmonid management, does not really address the Objective.
5. Abundance of salmon (Data on salmon escapement levels in Russia is classified. Indicator to be measured on a relative basis by expert review of escapement level data and reported by KNIRO)	Good: abundance of Pink salmon reproductive stock is high – 80-100% of historical level. The population of Chum, Sockeye, Coho and Chinook is high for two consecutive years. **Bolshaya River** The escapement to spawning grounds, especially in the upstream and in the middle of the stream, is low due to poaching. **Kol River** The potential spawning ground area – 99-100% of historical level. Escapement of Pink salmon to spawning grounds is very low, there are no large spawning grounds; escapement of Chum salmon to orthofluvial spring spawning grounds is low. The area of Chinook salmon spawning grounds is twice as high as in previous years. **Utkholok River** The escapement is high.	The usefulness of this Indicator is limited by the acknowledged constraint on escapement data. However, it too is hardly relevant to the Objective.
6. Restoration: In-stream habitat a) # of streams to which fish access is restored in Bolshaya Basin b) Area of spawning habitat (SH); Rearing habitat (RH) to which access by salmon is restored	a) 7 streams restored, engineering projects for reconstruction of 6 bridges based on the recommendations worked out by the Project, KamchatNIRO, Sevvostrybvod are prepared. In connection with the resumption of the pipeline construction all Project materials for repair work, environmental mitigation, monitoring programs are transferred to Gasprom-investvostok- company, now responsible for pipeline construction. b) 9000m^2 of SH and RH restored. List of 17 stream sites identified for restoration and restorative actions agreed with Kamchatgazprom is transferred to Gasprom-invest-vostokcompany, now responsible for pipeline construction. The bridge reconstruction project for 6 bridges has been made up	This Indicator, or the work it represents, is a good example of adaptive management through which the project addressed successfully a threat/impact to the salmonid population. It is also a good illustration of … *Government agencies applying new-found knowledge to salmonid conservation*, and is therefore directly relevant to the Objective.
7. Diversity management principles and criteria are integrated into policy, local development, practices and awareness	Principles integrated into: a) Federal Law "On fisheries and preservation of aquatic biological resources" (harvest rates for anadromous fish and aquatic biological resources conservation rates integrated in the law in 2007) b)Salmonid hatchery management Concept; c)Kol River Zakaznik Salmon Fishery management plan; d) Kol River Zakaznik management plan; e) School Salmon curriculum (elective course "Kamchatka Salmon", regional component) f) Programs of excursions held in/by the Salmon Museum; g)Socio-economic development concept for coastal communities of Western Kamchatka.	This Indicator comprises a collection of worthwhile activities, but it is still only partly relevant to the Objective.

4.1.2 The five Outcomes

4.1.2.1 Outcome 1: Improved fishery management practices for salmonid diversity conservation purposes

This Outcome has been changed and the latest wording is above. The original wording was: *Salmonid fishery stewards apply new diversity conservation approach in river sites*. The new wording does not identify who is responsible for the action, the target has changed from the *application by stewards* to *improved practices*, but the focus is still on *salmonid diversity conservation* . The new Outcome is less specific and more difficult to measure than the old one, making Indicators essential.

The Indicators have also changed, quite substantially. They have been reduced from an unwieldy 13 to a more manageable five Indicators[13]. They are all relevant to some degree, to *fishery management practices*, but they do not say much about *salmonid diversity conservation* which is the real Outcome. Some indicators are just as vague and broad as the Outcome and require indicators themselves – they are not entirely SMART. Taken as a group, the five Indicators are in general quite **Specific** since they relate to the Outcome; but they are not easily **Measurable** in a practical way; the majority are not **Achievable** by the project either within its means or within its lifetime; they are **Relevant** to the Outcome, but not always **Realistic** or practical for the Project; and while some are **Time-bound**, some are open-ended and not always **Trackable** since progress cannot always be tracked in a cost-effective manner.

The Targets are not helpful at all, in fact most are redundant – they do not add much, if anything, to the Indicators; they simply use slightly different language to say the same thing.

Despite the redundancy of Targets and the weak Indicators for this Outcome, there is no doubt that the research conducted has been much needed – it had a stronger focus on basic research which remained even after the Outcome wording had changed. The need for such research arises from the existence of a few strong research centres that pursue their own objectives and maintain poor communication with each other. This lack of cooperation and the absence of a cohesive management approach has hindered the successful implementation of Project plans.

The implementation of this project component took a comparatively short time to create a very significant amount of knowledge on Kamchatka salmonid biodiversity. The project laid down the foundation for the development of fisheries management, and highlighted various issues that had been given little attention before the project, such as poaching, reproduction, amateur fishing and recreation. FAF has already used some of these results in its regulatory documents. But the ultimate plan was to use this research material during Phase Two as a foundation for fisheries management.

In discussing results obtained from Activities towards this Outcome, it is impossible not to mention the substantial number of excellent scientific publications[14]. However, for the most part, these were standard research products on systematization, distribution, population numbers, etc. They were mainly of a basic nature with only a small portion being truly applied research – most, simply highlighted a problem without suggesting a solution.

During our consultations with beneficiaries of the project, we discovered that as a rule, there was very little understanding of the ways that the research results could be applied – for example, when questioned directly about the good GIS database created by the project, interviewees had nothing to say. Furthermore, none of the presentations delivered at the poaching control conference used GIS as part of their analysis. This leads us to another conclusion – there is a lack of promotion of project products (and possibly a lack of skilled professionals capable of using such GIS databases).

[13] This is according to the revised "LogFrame" of indicators provided by the PIU.
[14] Essentially these publications were the main deliverables of this Project Outcome. Another valuable product (though less important) was GIS technologies.

Discussion of project Activities within this Outcome identified an interesting aspect – research centres had little knowledge of what their research partners were doing. Nevertheless, all interviewees rated exceptionally high the research products delivered by their colleagues under the present project.

Analysis of the data provided by the PIU as well as our consultations have shown that it is not always possible to evaluate achievements under a particular outcome with the desirable level of certainty – for example, judging by the information provided by the PIU, a set of salmon hatchery documents was elaborated within this component. However the Evaluators were given only one regulatory document, a hatchery biological justification that highlights a few issues and does not present a conceptual approach. In addition, it should be noted that interviews during visits to hatcheries did not confirm any special project Activities there. The same is true of Activities aimed at salmonid ecosystem health and biodiversity conservation – the preparation of a management plan for the Kol River Zakaznik and the application of scientifically conservative spawners passage limits do not provide a sufficient basis for salmonid ecosystem health and biodiversity conservation in project areas.

In conclusion, the Evaluators have gained an impression that project funds were used by contractors mostly to meet their existing scientific interests (which mostly coincided with the project's targets); tasks pursued under this Outcome did not always match its goal, (sometimes they were more significant than the goal); Activities were conducted in a decentralized manner; the products obtained, such as publications, cannot be considered as true performance indicators (see also section 5.1.4). On the basis of the above, this Outcome must be rated as **Moderately Satisfactory (MS)**.

The following table is a summary of the Indicators for Outcome 1, progress towards them as reported by the PIU, and the Evaluators' comments on the Indicators and the progress achieved.

Table 7. Assessment of progress towards Outcome 1 based on the revised Indicators, the PIU self-assessment and the Evaluators' own investigations

OUTCOME 1: Improved fishery management practices for salmonid diversity conservation purposes			
INDICATORS	**END OF PROJECT TARGETS**	**PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)**	
		ACCORDING TO PIU (Summarized)	**EVALUATORS' OBSERVATIONS**
1. Diversity management principles and criteria are developed, proposed, and approved for 2 hatcheries in Bolshaya basin	Diversity management principles and criteria are developed, proposed, and approved	A package of legal documents (projects) has been arranged such as an agreement to set up salmon rearing establishments and an interdepartmental committee to coordinate them; an application for setting up a salmon rearing establishment together with its business plan; requirements for fisheries-and-biological reasoning (FBR) for salmon rearing establishments: and Kamchatka salmonids artificial reproduction development concept (using the Bolshaya river basin as an example). In 2009, tens of FBRs for setting up or reconstruction of salmon rearing establishments are to be prepared and FGU "TSUREN" was commissioned to work out model FBRs. The model requirements were developed by the Project, sent to FGU "TSUREN" by VNIRO, and forwarded to Rosrybolovstvo.	The Indicator is only partly relevant to the Outcome which sought management practices. The Target is useless – in fact it is less of a target than the Indicator. The results according to the PIU amount to regulatory documents for setting up hatcheries. The Evaluators see no direct connection between these results and diversity management, but agree that they contribute to the Outcome.
2. Salmonid diversity and ecosystem health requirements incorporated into escapement goals for project river sites	Diversity and ecosystem health escapement goals are established and applied to project sites	Salmonid escapement to spawning grounds is regulated by science-based normative documents. Their effectiveness for biodiversity conservation was analyzed by the project as part of effort to improve salmon fishery management (Salmon Fishery Management Plan for "Kol River" Zakaznik, the improvement of salmon fisheries by using intraspecific approach). No proposals to amend the normative documents were made by the Project.	The Indicator is relevant to the Outcome, but the Target is once again useless – just a reshuffling of the words of the Indicator. The result reported by the PIU does not say whether the requirements were incorporated into escapement goals, and therefore it is not known whether the Project was successful according to this Indicator.
3. New public-private partnership for management of non-commercial fish species	Fish management agencies utilize public-private partnership to manage sport fishery on two pilot sites	The non-profit "Sport and Recreational Fishing Development Centre" was set up on the Project's initiative. Two fly-fishing festivals were conducted	The Indicator is relevant to the Outcome but the Target adds nothing except the limitation to two pilot sites. The result is not what was sought by the Indicator.
4. Russian fishery legislation incorporates salmonid diversity conservation principles	New system of fishery regulations and policy reflecting salmonid diversity conservation	The results of the Project's "Analysis and improvement of federal legislation, legislation of Kamchatka Region and Koryak Autonomous Region, departmental statutory acts on Kamchatka salmonid biodiversity conservation and its sustainable use" were incorporated into the Fisheries & Conservation of Aquatic Bioresources Act (12/24/2004) A number of practical books and manuals were produced including one on fisheries reclamation activities during construction works, and the assessment of damage to the salmon industry by the exploration and development of gravel deposits in Kamchatka's and Koryak's salmon spawning rivers	The Indicator is only partly relevant to the Outcome but it brings in diversity. Once again the Target adds nothing of value. The results claim that the project was successful in mainstreaming diversity conservation principles into new legislation, as such, it has been successful. The practical books and manuals are irrelevant to this Indicator.

INDICATORS	END OF PROJECT TARGETS	PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)	
		ACCORDING TO PIU (Summarized)	EVALUATORS' OBSERVATIONS
5. Fisheries agencies manage project river sites based on systematized and up to dated information on biodiversity	Fisheries agencies maintain complete picture of site ecosystem health through a continually updated database for project sites	The GIS system has been developed and transferred to Sevvostrybvod to provide Kamchatka salmon industry with information through: *A unified database* for the four Project localities – Bolshaya River Basin (comprising 3 thematic GISs "The Bolshaya River Estuary", "The Nachilova River" and "The Gas-Main Pipeline"), Kol and Kekhta Rivers, Sopochnaya River Basin, Utkholok and Kvachina Rivers. *The GIS analytical part* comprising 6 essential databases (700 tables and entries) on Biodiversity, The Spawning Stock, Yields of Salmon, Salmon Rearing Establishments, Sport Fishing, Anthropogenic Impact and Hydrometeorological data. *The GIS cartographic part* - a set of electronic supplementary, essential and summary maps linked to a single topographic map at a scale of 1:200,000 and more than 80 thematic maps. The restricted users include – KamchatNIRO, VNIRO and Sevvostrybvod. Much information is also freely available in the public domain.	The Indicator is very relevant to the Outcome and the Target provides focus, but both require results that the Project is not in a position to achieve. According to the PIU, the project delivered a GIS system, but the Indicator sought management and the Target sought continual updating. The Project has not been successful according to this Indicator.
All the Indicators are relevant to some degree, to fishery management practices, but they do not say much about salmonid diversity conservation which is the real Outcome. With the exception of Target 5, the Targets are redundant since they repeat some of the specific detailed wording of the Indicator and do not add anything. Regardless of the Indicators, The Evaluators feel that the Project Results towards Outcome 1, are partly successful and progress towards the Outcome is deemed to have been **Moderately Satisfactory (MS)**.			

4.1.2.2 *Outcome 2:* River ecosystem integrity is conserved in four sites using a variety of conservation tools and approaches

This Outcome has undergone a significant change in wording and the latest wording is above. The original wording was: *Salmonid diversity and aquatic ecosystem integrity is maintained by applying a range of resource management and conservation tools in river sites*. The change in wording has retained the means (conservation tools) but effected a change in target – *salmonid diversity* is not part of the target anymore. The action has also changed from *maintenance* to *conservation*. *Ecosystem integrity* is still the product sought and this is not easy to determine.

This revision was followed by a change in Outcome Indicators. Their number dropped from eight to three. Essentially eight Indicators were merged into two and a new one added. Specific Indicators were deleted, leaving in place only generic ones – for example, delivery dates were excluded, research and building of infrastructure were withdrawn and more emphasis was made on management, primarily on local community involvement in PA management. The new Indicator is the response to the start of gas pipeline construction.

The new set of Indicators are not SMART. They are not completely **Specific** to this Outcome and only one (local community involvement in PA management) is **Measurable** when the targets are referred to. They have not been **Achieved** and only one is **Relevant** to the Outcome and for the wrong reasons. The Indicators were only partly **Trackable**.

In local community involvement in project river site management the most evident result was achieved by setting up a team of River Keepers in the Kol River area. If managed wisely, these River Keepers can provide significant support to PA activities. However, it is not enough to set locals up as River Keepers. They require significant support, since they are absolutely defenceless when confronted by poachers who destroy their infrastructure, burn down winter huts and steal property. In effect, we have not seen any true involvement of local communities in PA management – locals have been used as rangers, rather than managers. The establishment of an ecocenter at Sobolevo is not a means of involving locals in PA management, it is an education activity.

The establishment of new PAs is one of the most controversial project results. Contrary to the original plans, by the project end only one salmon sanctuary was established, the Kol/Kekhta River Zakaznik; the second sanctuary, the Utkholok/Kvachina Zakaznik, is still at the planning stages[15] at the time of writing. Work on the Sopochnaya River site was stalled due to the lack of funds. Therefore out of the planned four PAs only one was actually established and it involved a colossal organizational effort, working in collaboration with the Wild Fish & Biodiversity Foundation (it co-financed monitoring activities and construction of a biostation). All stakeholders that in any way participated in the zakaznik establishment or had any involvement in its activities praise its successful establishment and note the success of its activities. For example, one respondent saw the Kol as having "*immense value in setting the stage on Kamchatka for new approaches to salmon conservation and served as a model to the Kamchatka Government."* However, a detailed analysis of the situation (based primarily on our consultations) identified a number of issues that could compromise the efficiency of this Outcome:

- The zakaznik does not have a land allocation;
- Rangers have no right to carry firearms;
- Rangers have no right to issue administrative charge-sheets;
- The Sobolevo District administration does not demonstrate understanding;
- Too few zakaznik rangers on the staff list – 3 men over an area of 220,242 ha;
- Lack of transparency in financing issues, including needs of monitoring continuation.

It was assumed that as a result of the zakaznik establishment no poaching would be possible in this area, but this has not happened. While commercial poaching crews have left the area, the gas

[15] Fishery justification for prospective establishment of Utkholok State Biological (Salmon) zakaznik, Kamchatski Krai (KamchatNIRO, IPEE RAN, VNIRO). – Petropavlovsk-Kamchatski, 2008.

pipeline construction and its right-of-way has improved access to all-terrain vehicles and resulted in an increased number of “petty” poaching cases in the river midstream.

However the Evaluators must acknowledge that despite the fact that zakaznik rangers practically have no powers, they do manage to disrupt illegal salmon fishing by *e.g.* making regular visits to the river downstream sites, which in the past were frequented by large commercial poaching crews, and to the river midstream sites where petty poaching is on the rise. In addition to ongoing activities the zakaznik plans poaching control measures: e.g. there is a plan to set up a check-point on the road within the gas pipeline right-of-way, to prevent poaching. Compared with adjacent rivers, Kol river has more fish, and the fish with ripped bellies are practically not found.

Project contractors and participants provided a timely response to the changes in situation brought about by the gas pipeline construction. Construction activities were monitored to predict the impact of the gas pipeline at spawning river crossings and much work was carried out to ensure compliance with environmental protection laws during the gas pipeline construction – certification of all existing and planned river crossings over the entire pipeline route, parallel roads within its right-of-way, access roads and a general-purpose road; measures were elaborated to mitigate construction impacts on salmon rivers; and acts of non-compliance were recorded and sent to building contractors (KamchatGazprom and KamchatAutodor) with a list of issues to be responded to. General approaches were elaborated to facilitate construction for the right-of-way bridges and culverts. A pilot printrun of the brochure "Salmon and the Gas Pipeline" was issued. As a result, the situation was improved at seven out of 17 river crossings.

The measures were included in the Project LogFrame and activities aimed at conservation of salmon systems not only in those PAs whose rivers crossed the gas pipeline, but in all salmon spawning grounds. This diverted funds from other project activities such as the establishment of the PA in the Sopochnaya River. Although this is defensible in principle, it is arguable that the project could have shared this responsibility with some of the large number of environmental groups that operate in Kamchatka, *e.g.* the League of Independent Experts, WWF, etc., who could have undertaken a part of this work. In the course of our consultations, these groups repeatedly stated their preparedness to help and participate in joint efforts.

In conclusion, we feel that what we have finished up with under this Outcome is not a result, not an impact … and it could have been. We have one PA on paper, very weak and inoperable; no land ownership clarity (a widespread issue for protected areas in Russia), no power to charge poachers, incomplete staff complement, a Director 400km away from the site. If the River Keeper we met is a good example of the community interest and commitment – there was a great opportunity to involve the community and this opportunity has not been taken up by the project[16].

This Outcome would have been less cryptic and more transparent, had it set out to establish one or at most two PAs, on an ecosystem basis, with salmon conservation as the prime focus; ensure a solid legal basis; develop a Management Plan through a participatory process; train the staff in PA management principles (possibly at the Training Centre established by the PAs Project); and pioneer a management board approach for the PA with the serious participation of community representatives (after training so they can participate meaningfully in the management function, including sharing the problems and searching for solutions, jointly) – that would have been “new tools”, and it would have been innovative.

The application of new tools in PA management did not take place, local communities have not been involved in PA management and the establishment of the Utkholok and Sopochnaya river site PAs did not materialize. We acknowledge that one PA on paper (and another almost there) are better than no PAs. However, the question raised by this Outcome is – *Has river ecosystem integrity been conserved in four sites as a result of project activities?* And the answer has to be – *No.*

[16] The Government takes a more positive view noting that even just presence on the river works to deter poaching; the “paper” nature of the zakaznik has an impact at least psychologically; and a foundation has been laid for the expansion of the PA system – future PA work will be able to benefit from this project’s results, approach, etc.

However, in deference to the establishment of the river keepers system (even without support), the establishment of the Kol River PA (weak as it is), and the timely monitoring over the gas pipeline construction, we rate this outcome as **Moderately Unsatisfactory (MU)**.

The following table is a summary of the Indicators for Outcome 2, progress towards them as reported by the PIU, and the Evaluators' comments on the Indicators and the progress achieved.

Table 8. Assessment of progress towards Outcome 2 based on the revised Indicators, the PIU self-assessment and the Evaluators' own investigations

OUTCOME 2: River ecosystem integrity is conserved in four sites using a variety of conservation tools and approaches			
INDICATORS	**END OF PROJECT TARGETS**	**PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)**	
		ACCORDING TO PIU (Summarized)	**EVALUATORS' OBSERVATIONS**
1. Community partnerships demonstrated for river site management	• Khol River PA partnership; Utkholok River PA partnership; • Monitoring partnership involving river keepers. • Community development program pilot for one river site area; • Environmental and monitoring program underway with high school groups for Bolshaya River	On December 24, 2008 the Eco-Center **"Peliken"** as social institution was founded in village Sobolevo on the basis of a local institution for supplementary education for children, Center for nonschool activities "Rovesnik". The executive body of this Center is the Steering Committee, which includes representatives of the administration of municipal education in Sobolevo region, local ethnic and historical museum of the village Sobolevo, regional Association of Indigenous People of the North, and local entrepreneurs (the Project site "Kol/Kekhta"). The Environmental Center in village Kovran has been developing since 2005 with the Project's support (the Project site "Utkholok / Kvachina"). During realization of the Project, natives worked as river inspectors in the Sopochnaya and Kol River's basins. The information collected was regularly transferred to KamchatNIRO. Kohl river PA participatory Management Advisory Council is organized	This Indicator is only partly relevant to the Outcome, unless "community partnerships" are meant to be considered as "conservation tools". According to the PIU, community partnerships have been established in two communities. The partnerships saw locals involved as rangers and in collecting some data – this is far short of the "partnership for river management" as required by the Indicator. Co-management mechanism was not developed. The PIU response ignores the Targets of monitoring and community development programme. From the PIU response and our investigations, we conclude that this Indicator has not been satisfied.
2. New conservation tools applied in protected areas management	Salmon conservation programs are piloted in Kohl. Utkholok protected area is being designed in such a way that makes it possible in future to pilot salmon diversity conservation programs	The Project developed the following documents for Zakaznik "Kol River": • management plan; • biodiversity monitoring program; • proposals to organize sport fishing in the Kol and Kekhta Rivers' basins; • the gas-main pipeline section "Kshukskoye gas-condensate field – Petropavlovsk-Kamchatsky" within the bounds of Zakaznik "Kol River" was made a single project to use more rigid environmental requirements;	The Indicator uses virtually the same words as the Outcome (and is therefore very relevant) and cannot be considered as an Indicator; while the Target is not easy to understand. Regardless of these issues, the Indicator asked for "tools" and the project delivered "documents". Clearly it has not been satisfied. The achievements reported are definitely process not results. According to our consultations and documents provided by the PIU, all the novelty in management tools was exclusively in elaboration of guidance documents. While accepting that these will be functional for a long time after the project ends, no new tools were developed or applied.

INDICATORS	END OF PROJECT TARGETS	PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)	
		ACCORDING TO PIU (Summarized)	EVALUATORS' OBSERVATIONS
3. Environmental mitigation plan for pipeline and best practices in environmental mitigation introduced to key stakeholders at workshop in PK, strengthening environmental mitigation of development activities in Kamchatka (This indicator is different in results table from PIU)	• Key ecological issues discussed among stakeholders. • Pipeline company adopts environmental mitigation tools into their work	All constructed and under construction bridges along the gas-main pipeline are certificated. The plan of actions to mitigate man-caused impact was developed. "Salmon and the Pipeline" agitation booklet was issued. Seventeen bridges were proposed to be improved to meet the fisheries and construction regulations. Ninety three rivers, streams and bridges were inspected. Specific letters were prepared to be addressed to Kamchatgasprom, Sevvostrybvod, Rosselhoznadzor and Posprirodnadzor. The Krai Administration decided to recommend public corporation "Kamchatgasprom" to present a plan of actions to eliminate infringements in the sphere of environmental protection (record #23, dated July 13, 2006). In 2007, the situation in 7 watercourses was improved (the Goltsovka, Koryakskaya, Takhtoloch, Bannaya, Saraynaya, Poperechnaya, Olkhovaya Rivers). About 14.000 m^2 of spawning rivers protected. A list of actions to eliminate violations of environmental legislation and diversions of the initial design (in 17 watercourses) and to take into consideration comments concerning organization of regular monitoring of bridges was agreed and endorsed in participation with "Kamchatgasprom". "Kamchatoblavtodor" worked out a project for reorganization of 6 road bridges (bridges and conduit pipes) from village Karymay to village Sobolevo (section from 31 km to 54 km) taking into account specific recommendations. At present, Sevvostrybvod, KamchatNIRO and VNIRO supervise that part of the project that deals with fisheries activities – from its design to its monitoring. In 2009, the information prepared earlier was transferred to Gasprom-Invest-Vostok Company to be considered while designing the pipeline. The gas pipeline section that crosses Zakaznik "Kol River" was made a single project	This Indicator is really an Output, a result; and its relationship with the Outcome is not obvious. In effect, with some additional activities, it could be developed as a small project proposal. The first Target is weak and fuzzy – a discussion is not a target. The second Target is very important, but it requires Indicators of its own. Project contractors and participants provided for a timely response to the evolving situation in Kamchatka as a result of the gas pipeline construction. This is a very useful contribution to salmon biodiversity conservation, but it cannot be interpreted as a "conservation tool" – it is a valid, even if opportunistic intervention in support of the project Objective.
From the wording of the Outcome, Indicators would have been expected to focus on tools for ecosystem integrity being piloted in four sites – this has not been the case. The application of new tools in PA management did not take place, local communities have not been involved in PA management and the establishment of the Utkholok and Sopochnaya river site PAs did not materialize. We acknowledge that one PA on paper (and another almost there) are better than no PAs. However, the question raised by this Outcome is – Has river ecosystem integrity been conserved in four sites? And the answer has to be – No. However, in deference to the establishment of the river keepers system (even without support), the establishment of the Kol River PA (weak as it is), and the timely monitoring over the gas pipeline construction, we rate this outcome as **Moderately Unsatisfactory (MU)**.			

4.1.2.3 *Outcome 3:* Implementation of educational programs, information sharing, preservation of indigenous peoples' knowledge, and awareness raising build constituencies for salmon diversity conservation in four river sites

The wording for this Outcome has changed from: *Information shared widely, conservation constituency built and indigenous knowledge conserved*, to the above. In both its original wording and the new, the Outcome is very broad with the revised wording even broader. In fact neither version of the wording is a true outcome but merely a collection of activities leading to a possible outcome – *constituencies* (whatever that may mean).

This Outcome could have usefully focussed on the level of awareness and the involvement of indigenous communities (although they are really two Outcomes), and Indicators could have been designed to determine the impact of the project in these areas.

The number of indicators for this Outcome has been reduced from eight to four (with three being for education, and one for aboriginal knowledge). The indicators became more generic and the reduction in number has not resulted in a better definition of the two clear directions under this Outcome, *i.e.* education and indigenous people.

The Outcome wording is more of a list of Outputs and as the Indicators refer to one or other of the list, they are all relevant to the Outcome. The first Indicator is useless without the Target, but the other three, while not quantifiable, can still stand on their own. In each case, the Targets provide additional quantifiable elements, but all could have been incorporated within the wording of the Indicator.

The four Indicators focus on process rather than results, but they satisfy the SMART criteria especially when taken with their respective Targets. They are quite **Specific** since they relate to the Outcome; but they are not easily **Measurable** without reference to the Targets; all are **Achievable** by the project and most have been achieved; they are **Relevant** to the Outcome, and in general quite **Realistic** for the Project; most are **Time-bound**, and quite **Trackable** since progress can be tracked in a cost-effective manner.

The first Indicator utilized quantitative assessments: population surveys were conducted to evaluate awareness of salmon conservation needs before the project (in 2000) and at the final phase (2008). The result is quite impressive – public awareness of salmon conservation needs increased by 20%. However, the materials submitted do not clarify some important aspects such as the audience addressed by the survey, the respondents' social status, and their place of residence.

In spite of these criticisms, this result seems to be the most successful of all the project outcomes. All those we consulted during the terminal evaluation were positive about the Outcome and its results. They mentioned in particular the salmon museum which was reinstated; and the environmental education courses which were developed for different age groups, especially the Elective Salmon Course for secondary educational institutions. We find this environmental education component as a very valuable product of the project and we are aware that it has been replicated in other regions, namely the Volga and Altai.

The project worked cooperatively with aboriginal people to collect extensive material on ancestral aboriginal knowledge. This was a very successful intervention which treated indigenous people as equal participants for the survey – it was they who researched local communities. Traditional indigenous knowledge has now been recorded and is being used in educational programmes, the preparation of textbooks, the revival of traditional crafts, and traditional fishing tools "zapory". The

Kavral clan has now prepared a certificate for this traditional type of fishing that guarantees its ecological friendliness[17].

In the Sobolevo community, the Ecocenter “Peliken” was established on the basis of a local institution for supplementary education for children, the Center for extracurricular activities, “Rovesnik”. The administration for municipal education in the region supports this Center and is ready to issue a supplementary salary for the staff of the Center. The Center’s plans include cooperation with the administration of the River Kol Zakaznik with the aim to increase the awareness of the local population about the regional salmon zakaznik. In 2009 a long term development plan was prepared for this Ecocenter and it received a set of start-up equipment from the project comprising computers and office equipment, methodology guidelines and aids, as well as handbooks on how to implement efficiently environmental education activities. A preliminary list of potential partners for supporting the Ecocenter with resources was also provided.

However, in their present development phase the Indigenous Communities Group can hardly be expected to have the capacity for further elaboration of education programmes on their own. We have no doubts about the sustainability of education courses; however, we are concerned about the Aboriginal Knowledge information resource – the large amount of material that has already been collected requires analysis and conceptualization and this requires further funding.

The PIU responses are sometimes a little off the mark but by and large they show that a significant amount of progress was made by the project towards this Outcome. And, although a big question still remains regarding sustainability, progress under this Outcome is rated as **Satisfactory (S)**.

The following table is a summary of the Indicators, progress towards them as reported by the PIU, and the Evaluators’ comments on the Indicators and the progress achieved.

[17] It needs to be noted that traditional fishing tools “zapory” are not regulated under the existing version of the Fishing Rules for the Russian Far East Commercial Fishing Basin.

Table 9. Assessment of progress towards Outcome 3 based on the revised Indicators, the PIU self-assessment and the Evaluators' own investigations

OUTCOME 3: Implementation of educational programs, information sharing, preservation of indigenous peoples' knowledge, and awareness raising build constituencies for salmon diversity conservation in four river sites			
INDICATORS	**END OF PROJECT TARGETS**	**PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)**	
		ACCORDING TO PIU (Summarized)	**EVALUATORS' OBSERVATIONS**
1. Level of support for salmonid conservation among school students and general public in Kamchatka	Increased by 20%	The Project interviewed people of Kamchatka twice (in 2006 and 2008) to learn their attitude to the conservation of salmon and to know how fully they understand the existence of threats. About 2000 people were interviewed each time. The research showed that Kamchatka residents are worried by poor prospects of salmon protection; they connect their personal wellbeing and the future of Kamchatka with salmon and think that measures to conserve salmon and its spawning grounds are not effective and are determined to participate in environmental activities. The absolute majority of the respondents are worried by decreasing natural habitats of salmon	If "constituencies" for salmon diversity conservation means supporters and lobbyists, the indicator is relevant to the Outcome. But the PIU response did not relate to the 20% target, and instead of recording the "level of support" it records the level of anxiety. And although we are aware of extensive awareness raising, the above coupled with some deficiencies in the survey data, prevent us from awarding a high rating according to this Indicator.
2. Kamchatka Salmon Ecological Center and other interpretive displays operational	Kamchatka Salmon Ecological Education Center premier destination for tour groups; partnerships established with educational institutions, tour companies. Center on sustainable financial footing	The Salmon Museum and the Eco Center, which was organized on its basis, were developing and supported during all the years of its functioning by the Project. The number of visitors amounts 2.5 thousand people in total. In November 2008, by mutual agreement between Sevvostrybvod and Kamchatka Technical State University the educational exhibition "Kamchatka Salmon" was dismantled for further installation in KTSU	Presumably this Indicator relates to "information sharing" and "awareness raising" and therefore it is relevant to the Outcome. The Targets read like a list of Outputs but without being quantifiable. The PIU response is almost exclusively on the Salmon Museum and says nothing about the tour groups, partnerships with educational institutions and tour companies, or sustainable financing.
3. Salmonid diversity and ecology curricula developed and introduced throughout local school curriculum	Components on salmonid diversity, ecology and sustainable use developed and in use in 20 local schools by year 4	By March 01, 2008 the elective course "Kamchatka Salmon" had been taught on the budgetary basis in 35 educational institutions. The course "Kamchatka Salmon" covers 3343 pupils in total	The Indicator is relevant to the Outcome and the Targets are quantifiable. The PIU response shows that the Targets have been exceeded. This is a successful result which has already been replicated in the Volga and Altai.
4. Indigenous people begin to record knowledge and develop education programs	TEK Database available on DVD and CD created and used indigenous communities and associations	Within the framework of the Project activities there was published information about traditional knowledge of Kamchatka ingenious peoples: the monograph "Traditional Knowledge and its Value for Biodiversity Conservation", the collected articles "Traditional Knowledge as Cultural Heritage of Indigenous Peoples of Kamchatka" and "Methodic Recommendations on Traditional Environmental Knowledge Use".	The Indicator is relevant to the Outcome and it wanted indigenous people to begin to record knowledge and develop programmes. The PIU response lists an extensive number of publications but evades the question of whether indigenous people will be able to develop education programs unaided.
The Outcome wording is more of a list of Outputs and as the Indicators refer to one or other of the list, they are all relevant to the Outcome. The first Indicator is useless without the Target, but the other three, while not quantifiable, can still stand on their own. In each case, the Targets provide additional quantifiable elements, but all could have been incorporated within the wording of the Indicator. The PIU responses are sometimes a little off the mark but by and large they show that a significant amount of progress was made by the project towards this Outcome. And, although a big question still remains regarding sustainability, progress under this Outcome is rated as **Satisfactory (S)**.			

4.1.2.4 *Outcome 4:* Stakeholders successfully develop alternative livelihoods in river site areas

While *alternative livelihoods in river site areas* has remained the theme of this Outcome, the above new wording has a subtle change in the action required from *applied* to *develop*. The changed wording also places the responsibility for action with stakeholders whereas the original wording was non specific. The changes are seen as an improvement by the Evaluators – it is more realistic to expect the Project to develop alternative livelihoods rather than apply them; it is also more desirable to see this as an activity that will be carried out by stakeholders.

Indicators for this outcome were not revised during the project implementation, and they should have been. Two are less Indicators and more Outcomes in their own right and require indicators themselves; another is virtually repeating the Outcome wording. The four Indicators do not satisfy the SMART criteria. They are not very **Specific** to the Outcome; they are not easily **Measurable** even with reference to the Targets. They were obviously not very **Achievable** by the project since by and large they have not been achieved. They are all **Relevant** to the Outcome, but obviously not quite **Realistic** enough for the Project (unless this is a symptom of the cancellation of Phase Two). Only one is **Time-bound**, and their progress is not really **Trackable**.

In the framework of this outcome, a concept for local community development on the basis of fish resource was developed, but it was not finalized. Activities included the application of lessons learned in Alaska and the engagement of a lawyer experienced in indigenous people's affairs. It was shown that indigenous people wish to have commercial salmon fishing quotas, although in most cases they would not have the capability to utilize the quotas. In the circumstances, the project could be expected to remedy this capacity gap, but it did not and the Russian Association of Indigenous Peoples of the North is now left to implement the project results.

During the project implementation, training workshops were conducted aimed at entrepreneur education in project areas. Highly competent educators were contracted as trainers, with much experience and expertise which was practically oriented. Under the present microcredit situation, the population of Kamchatka cannot rely on bank loans (not willing to issue loans to small businesses, especially in remote areas). The project identified two sources of credit: "Sodruzhestvo", set up under the companion Protected Areas project; and Kamchatka Krai administration which understands the need to support small businesses with low interest rates.

UNDP and the project team advised the Evaluators that agreement had been reached that Sodruzhestvo will also provide sustainable financing for the local communities under the salmonid project. The SME Support fund (micro credit) has been extended to the Ust-Bolsheretsk district (local fishery villages). This means that a sustainable financing mechanism for the local communities and entrepreneurs in the salmonid project site is secure.

A pilot initiative called "Koryakia NTFP" was designed to provide alternative livelihoods to indigenous people in the project framework. The initiative aimed at creating a system for the collection, processing and sale of non-timber forest products since a market for edible wild plants exists both domestically and in foreign countries such as Japan and China. The pilot project was supported by the Kamchatka Krai administration and an agreement was signed with "Koryakpripodresurs" (Koryakia Nature Resources), a state-owned enterprise, but the PIU response does not elaborate any further.

Efforts were undertaken to involve the local population, primarily indigenous people, in ecotourism. For example in the Sobolevo District, project activities provided the much needed impact that changed people's way of thinking – many locals, including indigenous people, started showing interest in establishing tourist trails. As a result of this work, a volunteer movement took shape, working on establishing new trails and improving the existing ones. Lessons learned in other areas and countries were implemented.

In collaboration with the Protected Areas project, other project activities included publications such as Zapovednaya Territoria Newsletter (Reserved Territory) and the Explorer Kamchatka Magazine and the first ever visitor survey to assess the quality of tourist services.

These activities stimulated a larger inflow of foreign tourists from *e.g*. New Zealand, Japan and Australia. The work is on-going to improve the quality of tourist services even further, e.g. opportunities are sought to accommodate cruise liners and extend tourist trails for them.

The Evaluators believe that this Outcome had a lot of potential but the results achieved are disappointing and we rate this Outcome as **Moderately Unsatisfactory (MU)** – clearly, stakeholders have not developed alternative livelihoods in river site areas. We acknowledge that some foundations have been laid (*e.g.* the Sodruzhestvo micro-credit scheme), but few results have been achieved. There is too much reliance on others (the PAs project, Russian Association of the People of the North, and Kamchatka Krai Admin) to achieve the results which the project was targeting, and without an Exit Strategy or a Sustainability Plan, this is not guaranteed. On the other hand, we believe that further development (sustainability) of this Outcome is quite possible. However, for these more complete results to materialize and to secure the modest project investment, the project second phase may be required.

The following table is a summary of the Indicators, progress towards them as reported by the PIU, and the Evaluators' comments on the Indicators and the progress achieved.

Table 10. Assessment of progress towards Outcome 4 based on the revised Indicators, the PIU self-assessment and the Evaluators' own investigations

OUTCOME 4: Stakeholders successfully develop alternative livelihoods in river site areas			
INDICATORS	**END OF PROJECT TARGETS**	**PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)**	
		ACCORDING TO PIU (Summarized)	**EVALUATORS' OBSERVATIONS**
1. Local communities pursuing sustainable livelihood options based upon local salmon resources by end year 5	Pilot community development program underway in one project site	"The Community Development Concept for Indigenous People of the North residing in remote coastal regions in Western Kamchatka" is published. A compendium of major normative acts regulating rights of local population to access natural water resources is prepared on DVD. During the 6th Congress of Indigenous People of the North, Siberia and Russian Far East in April 2009, a resolution was taken to include into the Congress' Recommendations provisions for improvement of the legislation on fishery developed within the Project's framework. In addition, the Association of the Indigenous People of the North suggested the afore-mentioned amendments to the Work Plan for 2009-2011 to implement the Concept of sustainable development of communities of Indigenous People of the North, Siberia and Russian Far East (the Work Plan has by now been submitted for approval of the Russian Federal Government).	This is not an Indicator, but another Outcome. But it is relevant to the Outcome. Both the Indicator and the Target seek very specific results and the project delivered a couple of publications – clearly no progress has been made according to this Indicator. Indigenous communities do not have the capacity required for a sustainable salmon-based livelihood (no capability to utilize commercial salmon quotas). Achievement of results now depends exclusively on Assoc. of Indigenous Peoples and they may not be able to do so without additional help.
2. Local stakeholder capacity to develop alternative livelihoods being strengthened through access to micro-credit & business training	• 20 people from project sites are trained in business development and operate new biodiversity friendly small business successfully. • 20 micro-loans in project site areas	The Project financed the research work "Analysis of Loan Demand by Entrepreneurs". The conditions for running businesses are analyzed to assess the degree of readiness for doing businesses with attraction of SME Support Fund Sodruzhestvo's financial resources, in case if it expands its activities to Ust-Bolsheretsk, Sobolovo and Tigil Districts. The agreement to provide the Fund with an office on a free of charge basis is reached. As CIDA stopped financing Fund Sodruzhestvo in 2008, it became impossible to realize this scenario, because while composing this indicator such financial assistance was supposed to be done. According to the ProDoc, CIDA was supposed to provide support to the micro-credit programme in the territories of the salmon project. This however did not happen, and CIDA refused to give its consent to the replication of this programme of the Fund in Kamchatka territories outside of the territories covered by the Project and PAs. The Project team worked in this direction and led negotiations with CIDA, but could not reach an agreement. It only became possible to spread the Fund's activities to the Ust-Bolsheretsky region at the end of 2008, when CIDA ceased its financial support to the Fund "Sodruzhestvo".	Once again, this is more of an Outcome than an Indicator (relevant to the Outcome), and there has been no result achieved by the project. While entrepreneurial training workshops conducted by the project were useful, they could not be applied because, according to the PIU response, the sole source of microcredit identified (Sodruzhestvo) did not materialize until recently.

INDICATORS	END OF PROJECT TARGETS	PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)	
		ACCORDING TO PIU (Summarized)	EVALUATORS' OBSERVATIONS
3. Eco-tourism operating in at least one project site and involving local people in project site	Ecotourism enterprise successfully operating in at least one project site and employing local people	The marketing programme to promote ecotourism is included into the sustainable ecotourism development strategy in the Kamchatka krai. A guide is developed for tourists and touristic agencies. The products developed for the touristic sector are advertised on the "Northern Civilisation" Fair in 2008 and 2009. Trails are tested on the territories covered by the Project. A tourist firm "Around the World" is established under the Russian Association of Indigenous People of the North. A guide on ethno-environmental tourism is prepared to support local newcomers in setting up ethno-tourism related business.	The Indicator and Target (both relevant to the Outcome) sought an "enterprise successfully operating" and the project, yet again, delivered reports and publications. But a modest result can be claimed for the establishment of tourist trails – hopefully they can be further developed and sustained.
4. Sustainable use incentives and alternative livelihood programs target local population in project sites	Pilot programs cover local population in two project sites	The technical and economic feasibility study "Economic Estimate and Prospects of non-timber Forest Products Use" is carried out. It gives grounds to ask the government for assistance	This Indicator is relevant to the Outcome but the Target is useless – it adds little. According to the PIU response, the project delivered another document instead of the result sought which was two pilot programmes. However, a foundation has been laid and hopefully (although without a Sustainability Plan) it can be developed further by the Kamchatka Krai administration.
This is a somewhat disappointing result – clearly, stakeholders have not developed alternative livelihoods in river site areas. We acknowledge that some foundations have been laid, but no results have been achieved. There is too much reliance on others (Russian Association of Indigenous People of the North, and Kamchatka Krai Admin) to achieve the results which the project was targeting, and without an Exit Strategy or a Sustainability Plan, this is not guaranteed – the only way to secure the modest project investment is through a follow-up project (the original Phase Two). Until that happens, we find progress towards this Outcome as **Moderately Unsatisfactory (MU)**.			

4.1.2.5 *Outcome 5:* Sustainable financing for salmonid conservation

The change in wording for this Outcome from *Salmonid Diversity Conservation Fund (SCDF) supports conservation in perpetuity* to the above, reflects the difficulties that the Project faced in trying to establish the Fund. As such, it could be interpreted as an example of adaptive management. As UNDP advised, this Outcome in particular, was relying on Phase Two. But even before Phase Two was cancelled, changing circumstances in the Russian financial sector and world money markets had forced a re-think among stakeholders and the search was on for alternative funding strategies.

The All-Russia Salmon Foundation was set up by a group of Russian NGOs with the support of the Wild Salmon Centre and other partners and the Russian Salmon Fund has been registered. In addition, the Wild Salmon Centre recently informed UNDP that they are still working on the establishment of an international Trust Fund (using lessons/materials designed by the project). The project therefore decided, quite rightly, not to compete and the idea of a separate Trust Fund was abandoned by the project. The Foundation website (http://russiansalmon.ru/) makes no mention of the UNDP/GEF project among partners of the Fund, however, it has references to publications produced by the project such as “Amateur and Sport Fishing in Kamchatka” by I.V. Shatilo and V.N. Leman[18], "Illustrated Handbook of Kamchatka Salmonids" by V.N. Leman and E.V. Yesin[19] and information on the Kol river Zakaznik establishment[20] with no reference to the project.

The strategy developed by the project (as an alternative to the Trust Fund) is based on an agreement with the UNDP/GEF Protected Areas project to participate in Sodruzhestvo, that project’s financing mechanism[21]. Sodruzhestvo will include cover of salmonid PAs through their membership of the Kamchatka PAs Association. This mechanism, which is identical to that offered to all PAs in Kamchatka who are members of the PAs Association, is forecast to provide funds for some 10-15 years, by which time a new mechanism will need to be found or the PAs will have to be able to stand on their own.

Even after the Trust Fund was abandoned, this Outcome targeted sustainable financing for salmonid conservation. The project has delivered support for salmonid Protected Areas through the mechanism set up by the PAs project under Sodruzhestvo. This is a significant and effective way out of a difficult situation and it is surprising that the PIU does not even mention it – all that the PIU could mention was a collection box at the airport and the "Green Tour" voluntary contribution Program – not a very impressive result. It is acknowledged that they report on all preparatory groundwork and statutory documentation for setting up the Trust Fund which was completed, but this is not a result.

The PIR 2008 is also reticent about the Sodruzhestvo mechanism - apart from the statutory documentation, the only “key” results it reports were the airport collection box and the "Green Tour" voluntary contribution Program.

But in spite of appearances the project invested a substantial effort in this Outcome even if it did not achieve the ultimate success. The project engaged one of the best international consultants and national resource mobilization experts and legal experts and they were successful in designing the Trust Fund together with the PAs project because it had been decided that one single Conservation TF for Kamchatka was more feasible. UNDP understands that the WSC are currently utilising the

[18] http://www.npacific.ru/np/library/publikacii/shatilo_leman/sportfishing_in_kamchatka.pdf
[19] http://www.npacific.ru/np/library/publikacii/leman_esin/atlas.pdf
[20] http://russiansalmon.ru/ru/content/sozdan-zakaznik-na-reke-kol
[21] The UNDP/GEF Protected Areas project, which is running concurrently in Kamchatka, faced the same hurdles in trying to set up a stand-alone Trust Fund and set up an innovative financing mechanism based on capital obtained from GEF and from a bilateral donor (CIDA). The CIDA funds which had been provided for a micro-credit scheme had been worked judiciously to the extent that they were acceptable as counterpart capital by the GEF. The PAs project funding mechanism, Sodruzhestvo, is also innovative in the way it will make funds available for PA management through a newly-established Kamchatka Protected Areas Association.

design documents as well as the same international consultant to set up their own international TF for salmon conservation.

The project did not leave a Salmonid Diversity Conservation Fund, neither did it provide for *sustainable financing for salmonid conservation* but it did provide for the conservation of salmonid PAs (albeit for a limited period of time). This Outcome has only been partly achieved and the rating is **Moderately Unsatisfactory (MU)**.

The following table is a summary of the Indicators, progress towards them as reported by the PIU, and the Evaluators' comments on the Indicators and the progress achieved.

Table 11. Assessment of progress towards Outcome 5 based on the revised Indicators, the PIU self-assessment and the Evaluators' own investigations

OUTCOME 5: Sustainable financing for salmonid conservation			
INDICATORS	**END OF PROJECT TARGETS**	**PROGRESS/RESULTS AS AT END OF PROJECT (DECEMBER 2008)**	
		ACCORDING TO PIU (Summarized)	**EVALUATORS' OBSERVATIONS**
1. Salmonid Diversity Conservation Fund legally established by end of year 3	Salmonid Diversity Conservation Fund legally established	On March 2006, Kamchatka Biodiversity Conservation Fund (hereinafter referred to as "Fund"), which is a non-for-profit organization, was established in Petropavlovsk-Kamchatsky. Statutory documents for all management bodies of Kamchatka Biodiversity Conservation Fund developed. Russia based body of Conservation Fund registered. Structure and bylaws of international body developed. In 2007, Russian Salmon Fund registered by a partnership of Russian NGOs supported by the Wild Salmon Centre, MSU and others. Direct project support wasn't required.	This is a relevant Indicator but the Target adds absolutely nothing. Indicator sought the establishment of a Fund and the project delivered documentation – not a great success. The project does not seem to have participated in the establishment of the more viable Russian Salmon Fund (not mentioned among the partners)
2. Commitments for Fund endowment	Preliminary commitment of US $1.5 million obtained	The Project failed to provide the Fund with substantial endowments	This is not an Indicator but a step in making the Fund operational. It is ironic to be interpreting this Indicator as the GEF contribution – surely it was meant to refer to the matching funds which were a requirement before the GEF contribution would become available.
3. Kamchatka based local funding mechanism established (This is additional in the PIU response)		Donation box at PK airport installed. "Green Tour" voluntary Contribution program is developed in partnership with the UNDP/GEF Kamchatka PA Project	Although relevant, this is a weak Indicator of the Outcome. The two accomplishments quoted by the PIU response are a far cry from the *"sustainable financing"* sought by the Outcome.
It would seem that having changed the wording of the Outcome to reflect the difficulties faced by the project, the Indicators did not keep up with the changes away from the Fund. The project did not leave a Salmonid Diversity Conservation Fund, neither did it provide for sustainable financing for salmonid conservation. It did however, provide a financing mechanism for salmonid PAs. This Outcome has only been partly achieved and the rating is **Moderately Unsatisfactory (MU)**.			

4.2 Project impacts

4.2.1 Global environmental impacts

This project was approved by the GEF under its Operational Program #13 on Conservation and Sustainable use of Biological Diversity Important to Agriculture. According to the GEF, the objectives of this Operational Programme are: to promote the positive impacts and mitigate the negative impacts of agricultural systems and practices on biological diversity in agro-ecosystems and their interface with other ecosystems; the conservation and sustainable use of genetic resources of actual and potential value for food and agriculture; and the fair and equitable sharing of benefits arising out of the use of genetic resources. Also according to the GEF, a successful outcome under OP#13 is one where biological diversity important to agriculture globally, is conserved and used in a sustainable manner. It is not within the brief of this evaluation to consider the appropriateness of the project for this particular Operational Programme, however, it could be argued that this project may have been more appropriate under OP#2: Coastal, Marine and Freshwater Ecosystems.

The expected global environmental impacts of this project arise from its location. As the ProDoc says, Kamchatka has been "*designated a World Wildlife Fund "Global 200" ecoregion*" and its "*thousands of pristine rivers support one of the world's most diverse array of salmonid fish species, with tremendous diversity at the species, intra-species (stock), and genetic levels. At least eleven species of salmonids are known to occur in these river systems, more than any other place in the world. Five of these eleven salmonid species are commercially fished; the other six are non-commercial species, one of which is the endangered "steelhead" sea-run rainbow trout*". Any benefits and impacts that the project has had, have a global dimension.

While the project cannot claim to have achieved the *conservation and sustainable use of salmonid biological diversity in four river systems on Russia's Kamchatka Peninsula*, it was well on the way towards this objective. The foundational benefits may not have fully achieved global environmental impacts, strictly speaking, however, the foundation has now been laid. The project's successors, whether local stakeholders or other development assistance projects, can be expected to build on what the project is leaving behind and achieve truly global impacts. Had there been a Phase Two as originally designed, the global benefits of the project would have been more secure.

4.2.2 National level impacts

In addition to the global dimension of their collective diversity, the salmonids of Kamchatka are a valuable national and regional resource on which a large proportion of the population of Kamchatka Krai depend for their livelihood, legally or illegally. Any project products and services that will enhance the more effective management and sustainability of this resource, will therefore have a significant positive national impact. Among such products and services that are the legacy of the project to Kamchatka are the following: a robust baseline of research results and information organized in a database which can be kept updated; review of experiences in the establishment and operation of salmon hatcheries; guidelines for the evaluation of the economic value of salmonid resources which can serve as justification for remedial work in the wake of development projects; proposed legislative (including licensing) framework for salmon fisheries management; a portfolio of environmental education initiatives; foundational activities to address salmon poaching.

The project has laid the foundations for effective salmon management in Kamchatka, but it is now necessary for the Government and People of Kamchatka to build on these foundations and capitalize on this beneficial impact of the project.

4.3 Effectiveness

The OECD (*op.cit*.) defines effectiveness as *"the extent to which the development intervention's objectives were achieved, taking into account their relative importance"*. As noted above, the Objective of the project was : *Government agencies, indigenous peoples, and local communities are applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites*. And, also as noted above, the Evaluators have concluded (based on consultations with stakeholders and others, and following the review of relevant documentation) that Government agencies are applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity but not in four river sites; but it is not certain whether indigenous people and communities are doing the same, although it is likely to a limited extent.

Likewise, it is not easy to determine the extent that the Outcomes have been achieved and the Indicators are not helpful. From the consultations and investigations carried out by the Evaluators, there are indications that some results have indeed been obtained but it cannot be claimed that the Outcomes have been achieved.

It can therefore be concluded that the project has not been fully effective according to the OECD definition. This may be due to the shortened timeframe brought about by the cancellation of Phase Two. Unfortunately, this is likely to have repercussions on the sustainability of the project products and benefits.

4.4 Relevance

Relevance, according to the OECD (*op.cit.*) is a measure of the extent to which the objective and outcomes of a project are consistent with "*beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.*"

There is no doubt that this project was needed by Kamchatka and its citizens and by Russia, as well as by the global community. The project also comes within the scope of the UNDP Country Programme Results and Resources Framework for the Russian Federation and the Outcome it addresses is: Improved capacity of national/sectoral authorities to plan and implement integrated approaches to environmental management and energy development that respond to the needs of the poor

The ProDoc reports that during the formulation phase, three threats to salmonid biodiversity were identified, *viz.* -
1. Production-oriented Management of Salmonid Fishery and Genetic Erosion
2. Poaching
3. Aquatic Ecosystem Degradation

and, through its five Outcomes and 29 Outputs, the project purported to address these threats. As discussed elsewhere in this report, a number of project foundational activities have addressed management issues and some results have been achieved; likewise, the degradation threat has been addressed through foundational activities, albeit indirectly and with no discernible results; unfortunately, poaching was the threat that was addressed the least, and only through some foundational activities.

The Evaluators believe that the three key threats to salmonid biodiversity identified during the formulation stages, have not been removed by the project. The original project concept and design

were highly relevant, but the achievements of the project were not very impressive. The cancellation of Phase Two may have deprived the project of the opportunity to achieve more relevant results.

As one of our consultees said *"There is a crisis in Kamchatka salmon – poaching is an epidemic – and to close the project is not the right thing to do because sustainability of the investment is not secure, neither are the conservation values"*.

4.5 Efficiency

Efficiency is a measure of how economically resources and inputs (funds, expertise, time, etc) have been converted to results (OECD, *op.cit.*). This definition presumes that the targeted results have been achieved and, as discussed elsewhere in this report, this is not entirely certain. On the other hand, the project has been competently implemented within the constraints imposed externally, according to a good original design. The high calibre of its research activities is undisputed, the success of its education and awareness work is self-evident. However, the setting up of protected areas has not been as efficient and neither has the anti-poaching effort. It is likely that the efficiency of these two areas of activity would have improved if Phase Two had been implemented.

4.6 Overall conclusion on project results and impacts

The Evaluators were required (according to the ToRs) to measure project performance based on the LogFrame and were provided with a table template which is meant to show "*clear performance and impact indicators for project implementation along with their corresponding means of verification."* Section 4.1 above reports on such an assessment and the following table, based on the template table from the ToRs provides a summary of our findings. In designing Table 12, it was decided that with few exceptions, the Indicators selected by the project designers were not very helpful and we therefore focussed on the wording of the Objective and the Outcomes themselves and based our assessment on the information we gathered through our documents' reviews and consultations with stakeholders and beneficiaries.

Table 12. Summary of the findings regarding the accomplishment of the Objective and the Outcomes

PROJECT ELEMENT	ASSESSMENT OF ACCOMPLISHMENT
Objective: Government agencies, indigenous peoples, and local communities are applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites	Government agencies are applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity but not in four river sites; but it is not certain whether indigenous people and communities are applying new-found capacity and knowledge, although it is likely to a limited extent. Indigenous peoples and local communities are not applying livelihood options to the conservation and sustainable use of salmonid diversity in four river sites. As a result, accomplishment of the Objective is deemed to have been **Moderately Satisfactory (MS)**.
Outcome 1: Improved fishery management practices for salmonid diversity conservation purposes	The Evaluators have gained an impression that project funds were used by contractors mostly to meet their existing scientific interests (which mostly coincided with the project's targets); tasks pursued under this Outcome did not always match its goal, (sometimes they were more significant than the goal); Activities were conducted in a decentralized manner, without overall guidance; and the products obtained, such as publications, cannot be considered as true performance indicators. On the basis of the above, the accomplishment of this Outcome is rated as **Moderately Satisfactory (MS)**.
Outcome 2: River ecosystem integrity is conserved in four sites using a variety of conservation	The application of new tools in PA management did not take place, local communities have not been involved in PA management and the establishment of the Utkholok and Sopochnaya river site PAs did not materialize. However, the river keepers system

PROJECT ELEMENT	ASSESSMENT OF ACCOMPLISHMENT
tools and approaches	was established (even without support), the Kol River PA has been set up (weak as it is), and the monitoring over the gas pipeline construction impacts has been timely. The question raised by this Outcome is – Has river ecosystem integrity been conserved in four sites as a result of project activities? And, although the answer has to be – No, in balance, the accomplishment of this Outcome is rated as **Moderately Unsatisfactory (MU)**.
Outcome 3: Implementation of educational programs, information sharing, preservation of indigenous peoples' knowledge, and awareness raising build constituencies for salmon diversity conservation in four river sites	The PIU responses are sometimes a little off the mark but by and large they show that a significant amount of progress was made by the project towards this Outcome. And, although a big question still remains regarding sustainability, the accomplishment of this Outcome is rated as **Satisfactory (S)**.
Outcome 4: Stakeholders successfully develop alternative livelihoods in river site areas	This Outcome had a lot of potential but the results achieved are disappointing. Clearly, stakeholders have not developed alternative livelihoods in river site areas. While some foundations have been laid, few results have been achieved and there is too much reliance on others (the PAs Project, Russian Association of Indigenous People of the North, and Kamchatka Krai Administration) to achieve the results which the project was targeting, and without an Exit Strategy or a Sustainability Plan, this is not guaranteed. Accomplishment of this Outcome is rated as **Moderately Unsatisfactory (MU)**.
Outcome 5: Sustainable financing for salmonid conservation	The project did not leave a Salmonid Diversity Conservation Fund, neither did it provide for sustainable financing for salmonid conservation. It did, however, provide a financing mechanism for salmonid PAs. This Outcome has only been partly achieved and its accomplishment is rated **Moderately Unsatisfactory (MU)**.

Some very valuable products have been produced by the project, but in the main they are indicators of process, not results/impacts. As repeated often in this report, there is an underlying feeling that this is an incomplete project and this could be the result of the cancellation of Phase Two. While we would urge that UNDP/GEF should consider a follow-up intervention, this should not merely be an extension of this project along the lines of the previous Phase Two. A lot has changed since the project started and a lot of experience has been gained from the successes and failures of its implementation. Any new intervention must benefit from this experience and reflect the changed circumstances.

5 FINDINGS: SUSTAINABILITY

5.1 Sustainability

Sustainability is a measure of the extent to which benefits continue, within or outside the project domain, after GEF assistance has come to an end. The ToRs for this evaluation listed the relevant factors to improve the sustainability of project outcomes and these are carried in the table below together with the Evaluators' assessment on whether they have been met by this project.

Table 13. Enhancing the likelihood of sustainability

FACTORS WHICH WILL IMPROVE SUSTAINABILITY (from ToRs)	EVALUATORS' COMMENTS
Development and implementation of a sustainability strategy	The project has not developed a Sustainability Strategy or an Exit Strategy
Establishment of the financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (from the public and private sectors, income generating activities, and market transformations to promote the project's objectives)	Financial and economic instruments for sustainability are weak or non-existent
Development of suitable organizational arrangements by public and/or private sector	Nothing specific
Development of policy and regulatory frameworks that further the project objectives	Both policy and regulatory frameworks have been strengthened by the project
Incorporation of environmental and ecological factors affecting future flow of benefits	The extent to which environmental and ecological factors have been mainstreamed remains to be seen
Development of appropriate institutional capacity (systems, structures, staff, expertise, etc.)	Some significant capacity building was carried out by the project but it is not certain that this is adequate to ensure sustainability
Identification and involvement of champions (i.e. individuals in government and civil society who can promote sustainability of project outcomes)	None identified, as far as is known
Achieving social sustainability, for example, by mainstreaming project activities into the economy or community production activities	Alternative income generation activities not very successful – but micro-credit scheme set up in Ust Bolsheretsk district towards the end of the project
Achieving stakeholders consensus regarding courses of action on project activities	There is consensus on the value of the salmonid resource and on the key threats to it; but there is less unity and commitment on the courses of action

5.1.1 Sustainability Plan / Exit Strategy

The project does not have a Sustainability Plan or an Exit Strategy. Furthermore, there is a misunderstanding as to what is meant by such a document – the document labelled "Exit Strategy", which was provided to the Evaluators by the PIU is not an exit strategy but a transition plan for moving into the final stages of the project following the cancellation of Phase Two (in a way, this "Exit Strategy" can be seen as an inadvertent example of adaptive management).

The UNDP/GEF funding support has virtually come to an end, however, this is not really an exit, but a metamorphosis, because many of the activities funded by the project must continue. Project close-down must therefore be well planned and managed to safeguard the various gains made by the project such as institutional as well as human capacity, which need to be safeguarded by an effective exit strategy which aims for:

- a structured close-down of the project
- a managed handing-over

- a rational allocation of assets with recognition and receipts
- an exchange of appreciation and commitment letters
- more work on the financial sustainability strategy
- an effective knowledge management system
- a more inclusive approach to communities – with meaningful participation

Since the project team has virtually disbanded, it is suggested that remaining funds be used to bring the team together again to prepare for and deliver an Exit Strategy Workshop. The Exit Strategy Workshop, which should be held sooner rather than later, must bring together those organizations and individuals who are identified as being in a position to continue with the work of the project. These must include key federal as well as local government organizations as well as key NGOs such as the Wild Salmon Centre and the WWF. At the Workshop, each project team member needs to outline the work accomplished in their particular area of responsibility, and the outstanding work that still needs to be done. Consensus then needs to be reached on who is taking over the responsibility. If a source of funding support cannot be identified, potential sources could be suggested.

5.1.2 Institutional and financial sustainability

The project has set up only one new institution – the Kol River Zakaznik; but it has strengthened existing institutions with responsibilities for fisheries management. The zakaznik administration has already been discussed above as weak and its sustainability seems to depend almost entirely on external aid and support. The old (and not so old, because of fisheries administration reforms) fisheries administration/management institutions are undeniably stronger as a result of the project. In discussions with the Evaluators, they have accepted responsibility for sustaining project products and this commitment from government (federal and regional), communities and NGOs, augurs well for the sustainability of project benefits.

It must be noted, however, that in many cases, the work carried out by the project was core function of relevant government (federal and regional) agencies – they were doing it anyhow, but at a much lower tempo and with inadequate resources. The project tapped into the excellent human capacity still available and provided the means through which they could start functioning efficiently and effectively again. Whether this boost will last beyond the project closure and whether the momentum can be maintained, remain to be seen.

To a great extent, any sustainability depends on sustainable financial resources and this was an aspect on which the project was inconclusive. Financial sustainability is not secure.

In recognition of the unequivocal pledges given by the relevant agencies, we consider institutional sustainability of project products to be **Likely (L)**.

On the other hand, going from past experience, financial sustainability has to be rated as **Moderately Unlikely (MU)**.

5.1.3 The views of stakeholders and socio-political sustainability

Without exception, all those we consulted were disappointed that the project was ending. No one wanted it to end – but maybe not for the right reasons. We did not get to meet any grassroots beneficiaries and we are not aware of their attitude to the project. However, the representatives of some community NGOs that we did meet expressed their support for the project activities and their wish for its continuation and expansion. Among these constituents we detected a preoccupation with the social welfare side of the project (the alternative income generation activities), without an appreciation of the project objective (salmonid diversity conservation). The connection between

alternative incomes and salmonid diversity conservation was not strong. Poaching was seen as wrong because it was against the law, rather than because it jeopardized salmonid diversity. In the circumstances, we cannot be confident that under financial duress, the communities will not revert to poaching.

We therefore feel that from a socio-political perspective, the sustainability of project products is **Moderately Unlikely (MU)**.

5.1.4 Information management

Information management and knowledge transfer are pre-requisites for effective replication (as well as for raising awareness), and this project has left behind a valuable legacy in the form of the portfolio of data, information and research publications. A significant amount of research results, handbooks, guidelines, reports and other publications was produced and distributed by the project. However, there seems to have been no overt attempt to manage this resource or the distribution process. The mechanisms for dissemination of project products are not known and it is presumed that they were made available simply through the project's "network" to parties who were expected to be interested.

For someone from outside the project network, the project website[22] can be expected to be an obvious source for this material – unfortunately, it is disappointing. Throughout the period of the evaluation (February to June 2009) the "Publications" page has been "under construction" and the "Reports" page seems out of date with its short list of three reports – the Mid-Term Evaluation Report, the 2004 APR/PIR (wrongly labelled 2005), and the 2005 APR/PIR. The UNDP CO Energy & Environment webpage adds to this meagre yield by providing links to the ProDoc, the 2006 APR/PIR, the 2007 APR/PIR, and the UNDP/GEF and WWF-Russia joint press-conference on Salmon Poaching, held in January 2009 in Kamchatka.

The Evaluators requested an "official" list of publications from the PIU and the resulting document is in Annex 5. As can be seen, it comprises 15 titles, all of which are undated and we believe that it is incomplete and out of date. A further list was kindly provided by one staff member comprising more than ten additional titles.

We are concerned that publications, reports and other documents have been seen by the project as ends in themselves rather than as means to an end. As noted elsewhere in this report, a publication is not a result and it is the responsibility of the project to ensure that information and knowledge obtained through project Activities with project funds, are not lost in some archival system. They need to be valued, managed, and passed on so they can remain available to those who can benefit from them.

In the circumstances, we regret that the project's information management is **Unsatisfactory (U)**. [23]

5.2 Catalytic role and replication

[22] Available at http://www.kamchatkasalmon.ru/english/ and through the UNDP CO Energy & Environment link at http://www.undp.ru/index.phtml?iso=RU&lid=1&cmd=programs4

[23] Project management has since advised the Evaluators that project information resources were being placed on a popular website (www.fishkamchatka.ru) since this is expected to survive the end of the project, which is when the project's website is also likely to be closed down. The Evaluators have explored this website and found that the English version has unfortunately been discontinued because of lack of funds. In the Russian version, Section 1 handles the UNDP project with a reference to the project website (http://www.kamchatkasalmon.ru/russian/about.php) which unfortunately is "under construction".

Catalysis is the stimulation of a multiplier effect. Replication is the result of catalysis achieved through the repeated application of successful products, services and experiences coming out of a project. Replication can take place within the geographical location of the project or elsewhere in the design and implementation of other projects.

Examples of products, services and experiences that can be replicated are:

- Knowledge transfer (i.e., dissemination of lessons through project result documents, training workshops, information exchange, a national and regional forum, etc).
- Expansion of demonstration projects.
- Capacity building and training of individuals, and institutions to expand the project's achievements in the country or other regions.
- Use of project-trained individuals, institutions or companies to replicate the project's outcomes in other regions.

Taking the Project Objective and Outcomes as a guide, this project could have been expected to produce the following products as its legacy for salmonid diversity in Kamchatka –

Table 14. Project products with potential for replication

PROJECT ELEMENT	EXPECTED PRODUCTS WITH POTENTIAL FOR REPLICATION	PRODUCED/NOT PRODUCED and FOR WHOM
Objective: Government agencies, indigenous peoples, and local communities are applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river sites	• new-found capacity • new-found livelihood options • new-found knowledge	• capacity enhanced and can be replicated by regional fisheries agencies throughout Russia • new-found livelihood options and knowledge among indigenous peoples and communities very limited and require a lot of refinement before replication
Outcome 1: Improved fishery management practices for salmonid diversity conservation purposes	• fishery management practices	• few actual practices produced • survey and research which could lead to improved practices definitely produced and could be replicated to other river systems in Russia
Outcome 2: River ecosystem integrity is conserved in four sites using a variety of conservation tools and approaches	• river ecosystem integrity • conservation tools • conservation approaches	• integrity not achieved and conservation tools and approaches not obvious
Outcome 3: Implementation of educational programs, information sharing, preservation of indigenous peoples' knowledge, and awareness raising build constituencies for salmon diversity conservation in four river sites	• educational programmes • information sharing mechanisms • indigenous peoples' knowledge • awareness raising strategies	• educational programmes, indigenous people's knowledge recording, and awareness raising strategies produced and could be replicated by regional fisheries agencies throughout Russia • mechanisms for information sharing not effective
Outcome 4: Stakeholders successfully develop alternative livelihoods in river site areas	• alternative livelihoods	• products achieved still too early and un-developed for replication
Outcome 5: Sustainable financing for salmonid conservation	• sustainable financing mechanisms	• no sustainable financing mechanism produced

The products, services and experiences of this project that can be replicated comprise the capacity building of government institutions, the research and survey of river ecosystems, and the educational and awareness programmes. However, little or no effort has been made by the project to enhance the chances of replication and its lack of knowledge management creates a substantial barrier to replication.

6 RATINGS AND CONCLUSIONS

6.1 Assessment and ratings

Following is a comprehensive summary of the evaluation assessments and ratings assigned throughout this report according to the applicable criteria and standards and tabulated according to the template provided in the Evaluator's terms of reference. It is supplemented by a cluster of overall conclusions which follows in the next sub-section.

Table 15. Comprehensive assessment summary

CRITERION	SUMMARY COMMENTS	RATING
PROJECT FORMULATION		
Concept and design	Original project concept and design basically sound. However, the cancellation of Phase Two placed the achievement of its objectives in jeopardy.	Satisfactory (S) to Moderately Unsatisfactory (MU)
Stakeholder participation in project formulation	Stakeholder involvement in the formulation phase of the project, according to all reports, was very extensive.	Highly Satisfactory (HS)
PROJECT IMPLEMENTATION		
Implementation Approach		
Use of the logical framework	Project staff claim they found the LogFrame useful. But it was not used effectively for adaptive management, in spite of the good efforts of the Adapative Management Advisor.	Moderately Satisfactory (MS)
Operational relationships between the institutions involved	The Steering Committee served as a good forum for interaction but situation regarding relative responsibilities was complex	Moderately Satisfactory (MS)
Financial aspects		
Financial planning and management	Allocation for Project Management too high; those for Alternative Livelihoods and Conservation Fund too low. Actual expenditure for Information Sharing, Alternative Livelihoods and especially Conservation Fund too low.	Moderately Satisfactory (S) to Moderately Unsatisfactory (MU)
Co-Funding	Amount of co-funding pledged was excellent; the amount of co-funding delivered was even more impressive.	Satisfactory (S)
Monitoring and Evaluation		
M&E Design	Basic design satisfied GEF requirements but the detailed plan referred to in ProDoc did not eventuate	Satisfactory
M&E Plan Implementation (use for adaptive management)	Not much evidence of formal and systematic adaptive management; no analysis of the situation (the result of monitoring); no exploring alternative actions and making explicit adjustments to the implementation strategy and the LogFrame.	Moderately Satisfactory (MS)
Budgeting and Funding for M&E activities	Allocations for MTE and TE and UNDP supervisory visits	Satisfactory
Stakeholder participation		
Stakeholder participation during implementation	The level of participation in project implementation is considered as extensive	Highly Satisfactory (HS)
Production and dissemination of information	An impressive amount of research results, handbooks, guidelines, reports and other publications was produced and distributed by the project	Satisfactory (S)
Information management	No evident attempt to manage information	Unsatisfactory (U)
PROJECT RESULTS		
Achievement of Objective and attainment of Outcomes		
Objective: Government agencies, indigenous peoples, and local communities are applying new-found capacity, livelihood options, and knowledge to the conservation and sustainable use of salmonid diversity in four river	Government agencies are applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity but not in four river sites; but it is not certain whether	Moderately Satisfactory (MS)

CRITERION	SUMMARY COMMENTS	RATING
sites	indigenous people and communities are applying new-found capacity and knowledge, although it is likely to a limited extent. Indigenous peoples and local communities are not applying livelihood options to the conservation and sustainable use of salmonid diversity in four river sites	
Outcome 1: Improved fishery management practices for salmonid diversity conservation	Project funds were used by contractors mostly to meet their existing scientific interests (which mostly coincided with the project's targets); tasks pursued under this Outcome did not always match its goal, (sometimes they were more significant than the goal); Activities were conducted in a decentralized manner, without overall guidance; and the products obtained, such as publications, cannot be considered as true performance indicators.	Moderately Satisfactory (MS)
Outcome 2: River ecosystem integrity conserved in four sites	The application of new tools in PA management did not take place, local communities have not been involved in PA management and the establishment of the Utkholok and Sopochnaya river site PAs did not materialize. However, the river keepers system was established (even without support), the Kol River PA has been set up (weak as it is), and the monitoring over the gas pipeline construction impacts has been timely. The question raised by this Outcome is – Has river ecosystem integrity been conserved in four sites? And the answer has to be – No	Moderately Unsatisfactory (MU)
Outcome 3: Information shared, stakeholders build constituencies for diversity conservation, indigenous people preserve, maintain knowledge	A significant amount of progress was made by the project towards this Outcome. And, although a big question still remains regarding sustainability, the accomplishment of this Outcome is acknowledged	Satisfactory (S)
Outcome 4: Stakeholders successfully develop alternative livelihoods in river site areas	The results achieved are disappointing. Clearly, stakeholders have <u>not</u> developed alternative livelihoods in river site areas. While some foundations have been laid, no results have been achieved and there is too much reliance on others (Russian Association of Indigenous People of the North, and Kamchatka Krai Administration) to achieve the results which the project was targeting, and without an Exit Strategy or a Sustainability Plan, this is not guaranteed	Moderately Unsatisfactory (MU)
Outcome 5: Sustainable financing for salmonid conservation	The project did not leave a Salmonid Diversity Conservation Fund, neither did it provide for sustainable financing for salmonid conservation. It did however, provide for salmonid PAs support for some time. This Outcome has only been partly achieved	Moderately Unsatisfactory (MU)
Sustainability of Outcomes		
Sustainability Plan / Exit Strategy	The project does not have a Sustainability Plan or an Exit Strategy and overall sustainability is in doubt	Moderately Unlikely (MU)
Institutional and financial sustainability	Strong pledges made by key institutions regarding sustainability of project products; but based on past experience, financial sustainability is not reassuring	Likely (L) to Moderately Unlikely (MU)
Views of stakeholders and socio-political sustainability	Conservation message not strong and cannot be confident that under financial duress, the communities will not revert to poaching	Moderately Unlikely (MU)
OVERALL PROJECT RATING	This has been a foundational project – laid down a good foundation for the conservation of salmonid biodiversity. However, it was denied the opportunity of starting to build on that foundation, as designed. It is an unfinished project	**Moderately Satisfactory (MS)**

6.2 Conclusions and lessons learnt

6.2.1 Project concept and design

The project design is basically sound. The threats to salmonid diversity were identified and five Outcomes were targeted to address them. The design comprised the combination of a solid research programme to provide the basis for sustainable management, capacity building of both human resources as well as institutions, the creation of alternative livelihood opportunities to reduce the stress on the salmonid resource, a strong awareness and educational programme, and an effective financial mechanism to sustain this regime after the project has ended. This was a comprehensive approach to the identified threats, even if somewhat ambitious.

The project was designed for implementation in two phases, each with its own distinct achievements. Phase One was planned to last four years, with Phase Two taking three years.

The decision to cancel Phase Two was a fundamental change in project design and it has been the most important single influence on project achievement and performance. The cancellation of Phase Two placed the achievement of the project objectives in jeopardy.

6.2.2 Project governance

The PSC has been an effective forum for project coordination, but there is little evidence of guidance and support to the PIU. However, the Project Manager and team at the PIU reported that they found the PSC helpful, and that they did receive the support and guidance that they required.

A Technical Advisory Group would have been beneficial for the Project. The scientific publications were of high quality and there is no reason to question the scientific integrity of the contents. However, a peer review system as could have been provided by a Technical Advisory Group, would have enhanced the credibility of the authors and provided reassurance to the project team and the PSC.

Although all the preparations were made, the Community Advisory Committees were not set up and this may have deprived communities of the opportunity to participate meaningfully in project policy and planning.

6.2.3 Project management

Project Management has not been a strong point of the project. There have been four Project Managers and staff acknowledged that this had created difficulties with changing priorities, approach, etc. UNDP admitted difficulty in recruiting suitable calibre persons from Kamchatka and suitable persons from the rest of Russia were reluctant to be based in Kamchatka because of a number of reasons. The strategy adopted for the last five months was the use of an absentee Project Manager and this led to weaknesses in project management.

In spite of this, team spirit appears to have been good. Team members were enthusiastic and they showed a high level of professionalism, working successfully on their own initiative. They were clear about their role and function. They were confident and self-assured in what they were doing and, in general, they have been successful in their own particular area.

6.2.4 Achievement of project Objective and targeted Outcomes

Project Objective: Government agencies are applying new-found capacity and knowledge to the conservation and sustainable use of salmonid diversity but not in four river sites; but it is not certain whether indigenous people and communities are applying new-found capacity and knowledge, and livelihood options to the conservation and sustainable use of salmonid diversity in four river sites, although it is likely to a limited extent.

Outcome 1: Project funds were used by contractors mostly to meet their existing scientific interests (which mostly coincided with the project's targets); tasks pursued under this Outcome did not always match its goal, (sometimes they were more significant than the goal); Activities were conducted in a decentralized manner; and the products obtained, such as publications, cannot be considered as true performance indicators.

Outcome 2: The application of new tools in PA management did not take place, local communities have not been involved in PA management and the establishment of the Utkholok and Sopochnaya river site PAs did not materialize. However, the river keepers system was established (even without support), the Kol River PA has been set up (weak as it is), and the monitoring over the gas pipeline construction impacts has been timely. The question raised by this Outcome is – Has river ecosystem integrity been conserved in four sites? And, although the answer has to be – No.

Outcome 3: A significant amount of progress was made by the project towards this Outcome and, although a big question still remains regarding sustainability, the accomplishment of this Outcome is recognized.

Outcome 4: This Outcome had a lot of potential but the results achieved are disappointing. Clearly, stakeholders have not developed alternative livelihoods in river site areas. While some foundations have been laid, no results have been achieved and there is too much reliance on others (the PAs Project, Russian Association of Indigenous People of the North, and Kamchatka Krai Administration) to achieve the results which the project was targeting and, without an Exit Strategy or a Sustainability Plan, this is not guaranteed.

Outcome 5: The project did not leave a Salmonid Diversity Conservation Fund, neither did it provide for sustainable financing for salmonid conservation. However, it did provide support for salmonid PAs for a period of time.

This has been a foundational project. It has laid down a good foundation for the conservation of salmonid biodiversity. However, it was denied the opportunity of starting to build on that foundation, as designed. It is an unfinished project

6.2.5 Project monitoring and evaluation

The detailed M&E plan referred to in the ProDoc did not eventuate; nevertheless monitoring was carried out and satisfied the basic requirements albeit in a non analytical manner. Budget was set aside for evaluation missions and for UNDP supervisory missions.

The Indicators in the original LogFrame as well as the revised ones were not very helpful.

6.2.6 Financial management

The budget allocation for Project Management (which included M&E) appears high; those for Alternative Livelihoods and Conservation Fund appear too low (the former was constrained by GEF policy current at the time; while budget for the Conservation Fund was shared with the PAs project).

Actual expenditure for Information Sharing, Alternative Livelihoods and especially Conservation Fund were too low.

There were no apparent problems with financial arrangements – roles and responsibilities were well understood, procedures were well understood.

The amount of co-funding pledged was excellent; the amount of co-funding delivered was even more impressive.

6.2.7 Stakeholder participation, community empowerment

The extent of stakeholder involvement in project implementation was very high and included government (federal and regional) organizations responsible for fisheries management, NGOs, and Indigenous minorities' representatives.

Many stakeholders recounted their participation in project activities with satisfaction.

6.2.8 Capacity building and other Project impacts

The capacity of institutions has been enhanced significantly by the project. But the capacity of communities to enable them to participate meaningfully in salmon management activities, has hardly been touched.

While the project cannot claim to have achieved the *conservation and sustainable use of salmonid biological diversity in four river systems on Russia's Kamchatka Peninsula*, it has left a legacy to Kamchatka comprising: a robust baseline of research results and information organized in a database which can be kept updated; review of experiences in the establishment and operation of salmon hatcheries; guidelines for the evaluation of the economic value of salmonid resources which can serve as justification for remedial work in the wake of development projects; proposed legislative (including licensing) framework for salmon fisheries management; a portfolio of environmental education initiatives; foundational activities to address salmon poaching.

These foundational benefits may not have fully achieved global environmental impacts, strictly speaking, however, the foundation has now been laid. The project's successors, whether local stakeholders or other development assistance projects, can be expected to build on what the project is leaving behind and achieve truly global impacts. Had there been a Phase Two as originally designed, the global benefits of the project would have been more secure.

6.2.9 Sustainability

This is not an exit, but a metamorphosis, because while the activities funded by the project must end, the work must continue. Project close-down must therefore be well planned and managed to safeguard the various gains made by the project and safeguard them by an effective exit strategy.

Strong pledges have been made by key institutions regarding sustainability of project products; but based on past experience, financial sustainability is not assured.

An impressive amount of research results, handbooks, guidelines, reports and other publications was produced and distributed by the project. However, there is no evident attempt to manage information.

The conservation message is not very strong and we cannot be confident that under financial duress, community members will not revert to poaching.

6.2.10 Replicability

The products, services and experiences of this project that can be replicated comprise the capacity building of government institutions, the research and survey of river ecosystems, and the educational and awareness programmes. However, not much effort has been made by the project to enhance the chances of replication and its lack of knowledge management creates a substantial barrier to replication.

6.2.11 Experience gained and lessons learnt

1) Project implementation in phases

Context: It is not unusual for GEF to decide that a meritorious project is to be implemented in phases, for a number of reasons. And, sometimes the implementation of such projects can span more than one GEF cycle thus becoming subject to changed priorities and strategic thrusts.

Conclusion/Lesson: A project that was designed to run in two distinct phases can be jeopardized by having its second phase, cancelled.

Applicability: Relevant GEF projects.

2) Capacity for project management

Context: Capacity in Kamchatka for project management and other specializations is difficult to find. But a project needs a project manager, on site, as part of the team. An absentee manager is not an effective way to run a project.

Conclusion/Lesson: Accept that capacity in Kamchatka is weak and plan (with adequate budgetary provisions) for “importing” the capacity either from elsewhere in Russia or from outside Russia.

Applicability: Most, if not all, projects in Kamchatka.

3) Project networks

Context: Projects tend to invest time and other resources in building their networks or constituencies among stakeholders and beneficiaries. Often these networks comprise individual, selected individuals within large organizations (such as government agencies) and for a number of reasons, these individuals move (or are moved) to other positions. This requires the project to start again and establish the working relationship with a new individual.

Conclusion/Lesson: A project implementation strategy should not depend on specific individuals within government agencies. A further lesson is that a project has to be flexible enough to accommodate changes in personnel, legislation, etc.

Applicability: All projects that count government institutions among their stakeholders.

7 RECOMMENDATIONS

1) This recommendation is addressed **to UNDP/GEF and the Project Implementation Unit**

Problem/Issue: The project does not have a Sustainability Plan or an Exit Strategy and this is required to ensure a well-planned project close-down, managed to safeguard the various gains made by the project. This is required because this is not an exit, but a metamorphosis - while project activities and funding must end, the work must continue. In spite of strong pledges made by key institutions regarding sustainability of project products, project close-down must safeguard project products and services through an effective exit strategy which aims for:

- a structured close-down of the project
- a managed handing-over
- a rational allocation of assets with recognition and receipts
- an exchange of appreciation and commitment letters
- more work on the financial sustainability strategy
- an effective knowledge management system
- a more inclusive approach to communities – with meaningful participation

Recommendation: Remaining funds should be used to reconvene the PIU to prepare for and deliver an Exit Strategy Workshop which must reach consensus on an Exit Strategy / Sustainability Plan. The Workshop must bring together those organizations and individuals who are identified as being in a position to continue with the work of the project and including key federal and local government organizations, as well as key NGOs such as the Wild Salmon Centre, the Russian Association of Indigenous People of the North (RAIPON) and the WWF. At the Workshop, each project team member needs to outline the work accomplished in their particular area of responsibility, and the outstanding work that still needs to be done. Consensus then needs to be reached on who is taking over the responsibility.

2) This recommendation is addressed **to UNDP/GEF and the Government of the Russian Federation**

Problem/Issue: The three key threats to salmonid biodiversity identified during the project formulation stages, have not been removed by the project. The original project concept and design were highly relevant, but the achievements of the project were not very impressive. Some very valuable products have been produced by the project, but in the main they are indicators of process, not results/impacts. There is an underlying feeling that this is an incomplete project and this could be the result of the cancellation of Phase Two which may have deprived the project of the opportunity to achieve more impressive results.

Recommendation: Consideration should be given to developing a follow-up intervention and this should not merely be an extension of this project along the lines of the previous Phase Two. A lot has changed since the project started and a lot of experience has been gained from the successes and failures of its implementation. Any new intervention must benefit from this experience and reflect the changed circumstances. A follow-up intervention should focus in particular on:

- Strategic approach to sustainable financing
- Protected area integrity from the ecosystem perspective
- Meaningful co-management with communities, as equal partners
- Managed harvesting on an equitable basis

ANNEXES

The following annexes are available as a separate file:

1 Evaluation Terms of Reference
2 Documents reviewed and consulted
3 Persons met and consulted
4 Management Response to the Mid-Term Evaluation Report
5 Project publications and joint publications