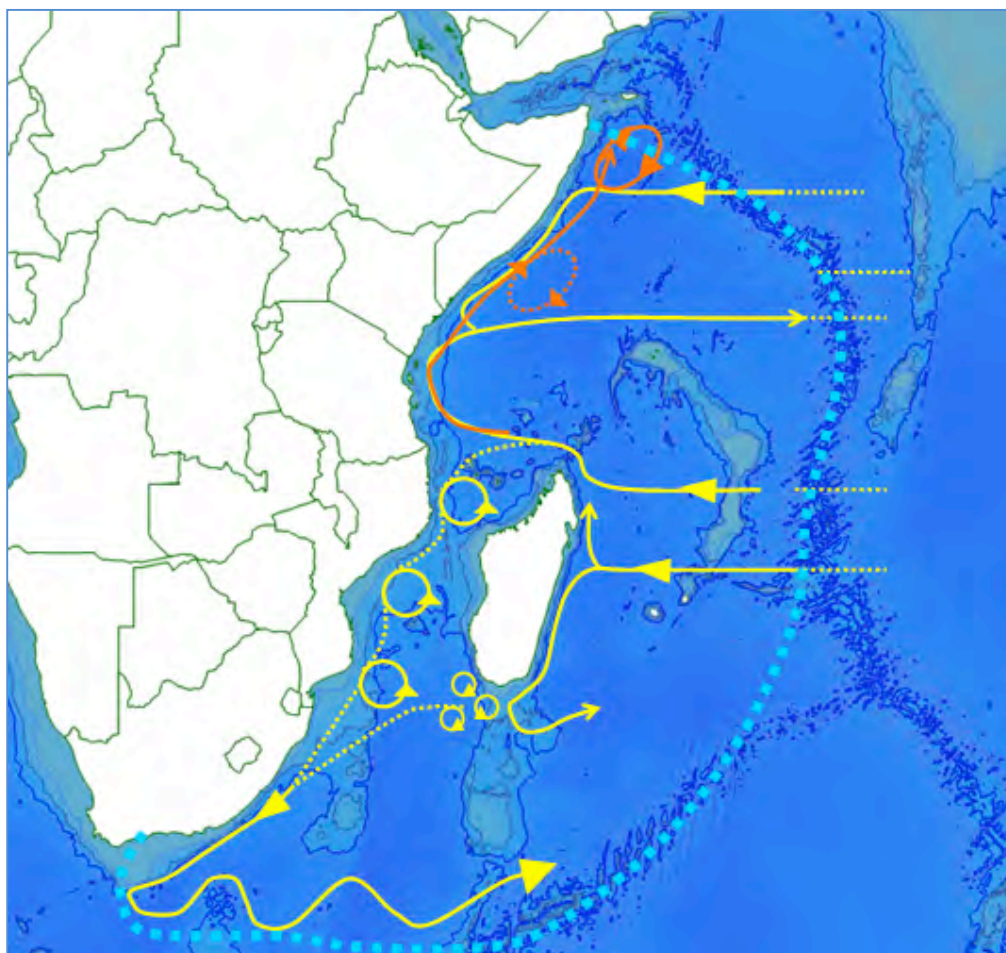




AGULHAS-SOMALI CURRENT LARGE MARINE ECOSYSTEM PROJECT

TERMINAL EVALUATION REPORT

ATLAS ID 47255/ PIMS-2205



David G. Aubrey, Ph.D.

APRIL 2013





Union of Comoros



France



Kenya



Madagascar



Mauritius



Mozambique



Seychelles



Somalia



South Africa



United Republic of Tanzania

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**Terminal Evaluation: January-April 2013
International Waters
UNDP and World Bank**

**Terminal evaluation by
Dr. David G. Aubrey**

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The Terminal Evaluator would like to thank all those who facilitated this Terminal Evaluation, including those connected with the Agulhas & Somali Current Large Marine Ecosystems (ASCLME) Programme in various capacities: participants, stakeholders, national focal points, government individuals, NGOs, international institutions, and others committed to effective governance of ecosystems of the West Indian Ocean. Names of those who personally contributed during interviews or via questionnaires (or both) are included in an annex. Although the list of people who facilitated this review in some sense is long, I would like to highlight certain key individuals: the ASCLME Project Director, Dr. David Vousden, and his staff, all of whom worked extensively with the Evaluator during the whole TE process; Ms. Akiko Yamamoto of the Pretoria UNDP/GEF/IW office; ASCLME Steering Committee Members; *inter alia*. The ASCLME Project Management Unit (PMU) staff assured that I had full access to reports and other products of the project, to allow the evaluation to proceed. Cooperation with the SWIOPF project (the Project Manager Rondolf Payet and the World Bank project evaluator Lucy Tan), the WIO-LaB project (through its former Project Manager Peter Scheren and Nairobi Convention director Dixon Waruinge) assured a balanced view of the ASCLME project within the overall ASCLME Programme. Mr. Alfred Duda, formerly of the GEF IW family provided useful historical and strategic insight. Mr. David LaRoche also provided valuable input by providing early history of the project and its evolution from project preparation through early project implementation.

Mrs. Helen MacKenzie is to be thanked for working her magic, by helping coordinate the logistics of the TE, which included multiple stops in Johannesburg, Grahamstown, and Dar Es Salaam, Tanzania.

ACEP was a welcome participant in this Terminal Evaluation, free with their time to help assure the Terminal Evaluator received any information that may have been missing. This openness reflects the ACEP major contributions to the ASCLME project, including co-financing, secondment of personnel, etc.

Since working briefly with WIO-Lab during its project preparation phase, it was quite enlightening to see the final outcomes and outputs of the overall ASCLME Programme some decade later.

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EXECUTIVE SUMMARY

Project Details:

PROJECT TITLE:	Programme for the Agulhas & Somali Current Large Marine Ecosystems: Agulhas & Somali Current Large Marine Ecosystems Project (ASCLMEs)
COUNTRY:	Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, South Africa, Tanzania
GEF AGENCY:	UNDP
PROJECT EXECUTING AGENCY:	UNOPS
DURATION:	5 years: September 2007 through September 2013 (extended)
GEF FOCAL AREA:	International Waters
GEF OPERATIONAL PROGRAM:	OP #8: Water-Body Based Operational Program
GEF STRATEGIC PRIORITY:	IW-2 Expand global coverage of foundational capacity building activities
AGENCY'S PROJECT ID:	PIMS 2205
GEFSEC PROJECT ID:	1462

Project Description:

The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project is part of a multi-project, multi-agency GEF supported Programme (UNDP/GEF ASCLME Project, UNEP/GEF WIO-LaB Project, and WB/GEF SWIOFP) the aim of which is to institutionalise a cooperative, adaptive and results based management of the western Indian Ocean. A phased approach is planned that progressively builds the knowledge base and strengthens technical, managerial and decision-making capabilities at the national and regional scales so as to address environmental concerns and transboundary developments (in all relevant sectors); builds political will to undertake threat abatement activities; and leverages finances proportionate to management and governance needs.

Evaluation Rating Table:

The ratings for this project are as follows. Details for the ratings are included in the Evaluation body itself.

Rating Project Performance		
Criteria	Comments	
monitoring and Evaluation: Highly Satisfactory (6), Satisfactory (5) Moderately Satisfactory (4), Moderately Unsatisfactory (3), Unsatisfactory (2), Highly Unsatisfactory (1)		
Overall quality of M&E	(rate 6 pt. scale)	5
M&E design at project start up	(rate 6 pt. scale)	5
M&E Plan Implementation	(rate 6 pt. scale)	5
IA & EA Execution: Highly Satisfactory (6), Satisfactory (5) Moderately Satisfactory (4), Moderately Unsatisfactory (3), Unsatisfactory (2), Highly Unsatisfactory (1)		
Overall Quality of Project Implementation/Execution	(rate 6 pt. scale)	6
Implementing Agency Execution	(rate 6 pt. scale)	5
Executing Agency Execution	(rate 6 pt. scale)	4

Outcomes Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	6
Relevance: relevant (R) or not relevant (NR)	(rate 2pt. scale)	2
Effectiveness	(rate 6 pt. scale)	5
Efficiency	(rate 6 pt. scale)	5
Sustainability: Likely (4); Moderately Likely (3); Moderately Unlikely (2); Unlikely (1).		
Likelihood of Sustainable Future	(rate 4pt. scale)	3
Financial resources	(rate 4pt. scale)	3
Socio-economic	(rate 4pt. scale)	3
Institutional framework and governance	(rate 4pt. scale)	3
Environmental	(rate 4pt. scale)	3
Impact: Significant (3), Minimal (2), Negligible (1)		
Environmental Status Improvement	(rate 3 pt. scale)	1
Environmental Stress Reduction	(rate 3 pt. scale)	2
Progress towards stress/status change	(rate 3 pt. scale)	2
Overall Project results	(rate 6 pt. scale)	5

ratings Scales		
ratings for Outcomes, Effectiveness, Efficiency, m&E, I&E Execution	Sustainability ratings:	relevance ratings
6: Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency 5: Satisfactory (S): There were only minor shortcomings 4: Moderately Satisfactory (MS):there were moderate shortcomings 3. Moderately Unsatisfactory (MU): the project had significant shortcomings 2. Unsatisfactory (U): there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency 1. Highly Unsatisfactory (HU): The project had severe shortcomings	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML):moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1.. Not relevant (NR) Impact Ratings: 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A)		

Co financing (Type/ Sources)	IA own Financing (mill US\$)		Government (mill US\$)		Other Sources* (mill US\$)		Total Financing (mill US\$)		Total Disbursement (mill US\$)	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Grant										
Credits										
Equity										
In-kind			\$16.705 m	\$21.46m	\$1.5 m	\$4.557 m	\$18.2 m	\$26. m		\$26. m
Non-grant Instruments*										
Other Types										
Total										

Summary of conclusions, recommendations and lessons

The conclusions from the Evaluation are provided above in the Ratings for the project. Overall, the rating for the project was Satisfactory, the second highest rating possible (two out of six possible). The two top ratings of highly satisfactory, were for Overall Quality of Project Implementation/Execution and Overall Quality of Project Outcomes. This rating was provided because of the strong dedication and work ethic of the PMU staff (one interviewee stated that the PMU coordination was “as good as any PMU could be, with excellent leadership and a good team”). It was also provided because the ASCLME Project, as written, was a nearly impossible project to carry out as it was too complex and all-encompassing for the budget assigned to it. Despite this, the countries assisted by the PMU were able to accomplish nearly all of the tasks, and to exceed the expectations in some cases (two examples: the innovation of national Marine Ecosystem Diagnostic Analyses as inputs to the TDA; a second, budget allocated to shiptime was 25% under what was allocated, in spite of having 31% more ship days spent in baseline data collection activities). Although some areas of project implementation were less than satisfactory (the breadth of Community Engagement and the Persistent Organic Pollutant activity), in general all project outcomes were achieved in spite of restrictive budget.

Corrective actions are identified in the final section of the Terminal Evaluation, to guide GEF, IAs, and EAs in designing, implementing, executing, and monitoring/evaluating complex IW waters projects that include numerous countries (8 originally in this case, and expanded to 9 in the Inception Phase). Though not the largest IW foundational project (the Caribbean LME apparently leads in this category), the stresses imposed by requisite interactions amongst the governments and the myriad of stakeholders puts a high premium on effective project management, including negotiation skills.

Follow-up actions are provided for this project, including:

- The nine ASCLME countries need to approve the SAP. Although approval at the Project Steering Committee Level has been obtained, approval at higher levels in each country are required. This will pave the way towards future GEF intervention.
- A follow-on GEF project focused on SAP implementation should be developed by UNDP and approved by the GEF IW. There is currently national ownership of the LME concept for the region, but in this human resource challenged region, the leadership of GEF towards developing sustainable policy and governance for the three LMEs (Agulhas Current, Somali Current, and Mascarene Plateau) is crucial and momentum should not be lost. As stated by an interviewee, no efforts prior to the ASCLME and SWIOFP projects have been as effective in creating a regional consensus on priority marine problems in the region, and have resulted in such close cooperation amongst the nine nations involved (plus France, as a non-GEF eligible country).

Future Directions are recommended:

The next GEF-able activity should focus on SAP implementation. The objectives of this SAP implementation could include: To deliver and execute the agreed management reforms and policy realignments for effective long-term ecosystem management in the Western Indian Ocean LMEs in line with an endorsed Strategic Action Programme.

For UNDP, the SAP implementation should focus on core strengths of UNDP, including components addressing:

- Executing Management and Policy Reforms through a Knowledge-Based Governance Mechanism

- Secure improved Stress Reduction within the LMEs through Community empowerment in the SAP Management Process
- Deliver Private Sector/Industry Commitment to and execution of Stress Reduction activities and transformations in management practices
- Negotiating and Executing Effective Management Mechanisms for Extended Continental Shelf and High Seas areas within the LMEs
- Realignments in Institutional Arrangements for stronger coordination and partnerships

Specific recommendations include:

- The project should move into the SAP implementation under GEF support, once the nine countries formally approve the SAP, and once UNDP has a PIF approved and the Project Document approved . These steps should take place quickly so momentum is not lost.
- Until a follow-on GEF project is approved and funded, bridge financing should be found to allow the PMU to continue to operate until the next project is able to begin.

Finally, lessons learned are outlined:

- GEF and the IAs should take to restrict projects to reasonably achievable numbers of outputs and activities. Although GEF, STAP and Agency comments always want to see more out of a project, care must be taken to limit the outputs and activities to a level that is achievable with the resources allocated.
- Pre-approved contracting has helped lead to uncertainties in this project, and therefore to insufficient overall achievement (in the case of Community engagement). Pre-approval of contractors by GEF must be done with forethought, realizing that such pre-approvals may hinder rather than enhance project success. UNDP/GEF has verified that pre-selection is no longer allowed under GEF IW projects.
- The Project Steering Committee should be comprised of high level policy officials. The appropriate level of membership in the PSC must be clear in the Project Document, which will then be signed by all countries.
- Executing Agency backstopping should pay particular attention to the Financial Administrative staff, as much of the financial reporting has devolved to this level in the Project. Lacking effective financial administration, planning and implementation by the Project Manager is seriously hampered.
- Private sector needs to be a key player even in foundational capacity building activities of the GEF, in order to secure a higher probability for long-term sustainability of interventions.
- Project management for highly complex, multi-national (9) projects characteristic of IW interventions must be backed by sufficient resources to allow interaction and close negotiations with all participating countries at high governmental levels. The artificial limitation by GEF of 5% of budget spent on Project Management is unrealistic, and does not reflect the actual requirements, particularly in a large (area-wise and number of countries) project such as the ASCLME.

TABLE OF ACRONYMS

Acronym	Definition
ABNJ	Areas Beyond National Jurisdiction
ACEP	African Coelacanth Ecosystem Programme
AfriCOG	African Center for Ocean Governance
AMESD	African Monitoring of the Environment for Sustainable Development
APR/PIR	Annual Performance Report (APR)/Project Implementation Review (PIR)
ARC	Agulhas Return Current
ASCLME	Agulhas and Somali Current Large Marine Ecosystems
ATLAS	UNOPS accounting/management system
AU	African Union
BCLME	Benguela Current Large Marine Ecosystem
BCRE	Bayworld Centre for Research and Education (South Africa)
BOBLME	Bay of Bengal Large Marine Ecosystems (Project)
BRD	Bycatch Reduction Devices
CAMFA	Conference for African Ministers, Fisheries and Agriculture
CB&T	Capacity Building and Training
CBA	Cost Benefit Analysis
CCG	Cruise Coordination Group
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CEMAC	Economic and Monetary Community of Central Africa
CLA	Coastal Livelihood Assessment
CLIVAR	Climate Variability and Predictability
CO	Country Office
COG	Coordination Group
COI	Indian Ocean Commission (also IOC)
COMESA	Common Market for Eastern and Southern Africa
CORDIO	Coastal Oceans Research and Development in the Indian Ocean
CPAP	UNDP Country Programme Action Plan
CSIR	Centre for Scientific and Industrial Research (South Africa)
DFOI/TAAF	Departements Francais de l’Ocean Indien et Terres Australes et Antarctiques Francaises
IOTC	Indian Ocean Tuna Commission
D&I	Data and Information
DLIST	Distance Learning and Information Sharing Tool
DoA	Delegation Of Authority
EA	Executing Agency
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem Based Management
EC	European Commission
EE	Environmental Education
EEZ	Exclusive Economic Zone
EQO	Ecosystem Quality Objective
EU	European Union
EU-JRC	European Union Joint Research Center
FA	Financial Administrator
FAO	UN Food and Agriculture Organisation
FP	Focal Point
GEF	Global Environment Facility
GEFSEC	GEF Secretariat
GHG	Green House Gas
GIS	Geographic Information System
HQ	Headquarters
HS	Highly Satisfactory

HU	Highly Unsatisfactory
IA	Implementing Agency
ICA	International Consultancy Agreement
ICZM	Integrated Coastal Zone Management
IGAD	Intergovernmental Authority of Development
IGO	Intergovernmental Organisation
IMC	Inter-Ministerial (Sectoral) Coordination
IMO	International Maritime Organisation
IOC	Intergovernmental Oceanographic Commission
IOTC	Indian Ocean Tuna Commission
IRD	Institut de Recherche pour le Développement (France)
IUCN	International Union for Conservation of Nature
IW	International Waters
IW:LEARN	International Waters: Learning Exchange And Resources Network
IWC	International Waters Cluster (also, International Waters Conference)
KE	Kenya
LBA	Land-Based Activities
LED	Local Economic Development
LF	Logical Framework Matrix
LME(s)	Large Marine Ecosystem(s)
LOCO	Long-Term Ocean and Climate Observation
MCS	Monitoring, Control and Surveillance
M&E	Monitoring and Evaluation
MARPOL	International Convention for the Prevention of Pollution at Sea
MEDA	Marine Ecosystem Diagnostic Analysis
MPA	Marine Protected Area
MS	Marginally Satisfactory
MSY	Maximum Sustainable Yield
MTE	Mid-Term Evaluation
MU	Marginally Unsatisfactory
NC	Nairobi Convention
NEPAD	New Partnership for Africa's Development
NFP(s)	National Focal Point(s)
NGO(s)	Non-Governmental Organisation(s)
NIOZ	Royal Netherlands Institute for Sea Research
NOAA	US National Oceanic and Atmospheric Administration
NPOA	National Plan of Action
ODIN	Africa Ocean Data and Information Network
P&G	Policy and Governance
PA	Procurement Authority
PAC	Policy Advisory Committee
PCU	Project Coordination Unit
PD	Project Director
PDF	Project Development Facility
PDF-B	Project Development Facility, Stage B
PI	Process Indicators
PIF	Project Identification Form
PIR	Project Implementation Report (annual)
PSC	Project Steering Committee
PSM	Port State Measures
QA	Quality Assurance
R/V	Research Vessel
RAC	Regional Advisory Committee
RECOMAP	Regional Coastal Management Programme of the Indian Ocean Countries
RFMO	Regional Fisheries Management Organization
RISDP	Regional Indicative Strategic Development Plan

RR	Resident Representative
RS	Remote Sensing
RTA	Regional Technical Advisor
RU	Rhodes University, S.A.
SA	South Africa
SADC	Southern African Development Community
SAIAB	South African Institute For Aquatic Biodiversity
SAP	Strategic Action Programme
SC	Seychelles
SCLME	Somali Current Large Marine Ecosystem
SIODFO	Southern Indian Ocean Deep Fisher's Association
SIOFA	South Indian Ocean Fisheries Agreement
SPFIF	World Bank-GEF Strategic Partnership for Fisheries Investment Fund
SPM	Senior Project Manager (UNOPS)
STAP	Scientific Technical Advisory Panel
STM	Stock Taking Meeting
SWIO	South West Indian Ocean
SWIOFC	Southwest Indian Ocean Fisheries Commission
SWIOFP	GEF-WB Southwest Indian Ocean Fisheries Project
SWIOSEA	Southwest Indian Ocean Strategic Ecosystem Alliance
SWOT	Strength-Weakness-Opportunities-Threats
TAC	Total Allowable Catch (Fisheries)
TAE	Total Allowable Effort (Fisheries)
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
TOR	Terms Of Reference
TPR	Tripartite Review
TWAP	Transboundary Waters Assessment Programme
UBC	University of British Columbia
UCT	University of Cape Town
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNIDO	United Nations Industrial Development Organization
UNOPS	United National Office For Project Project Services
US	United States (of America)
USA	United States of America
USGS	United States Geological Survey
USSR	Union of Soviet Socialist Republics
WB	World Bank
WG	Working Group
WIO	West Indian Ocean
WIO-C	West Indian Ocean Consortium
WIO-LaB	West Indian Ocean Land Based GEF Project
WIOMSA	Western Indian Ocean Marine Science Association
WIO-SAP	West Indian Ocean Strategic Action Programme
WIO-SEA	West Indian Ocean Sustainable Ecosystem Alliance
WOC	World Ocean Council
WSSD	World Summit on Sustainable Development
WWF	World Wildlife Fund

1. INTRODUCTION

The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project is part of a multi-project, multi-agency GEF supported Programme (UNDP/GEF ASCLME Project, UNEP/GEF WIO-LaB Project, and WB/GEF SWIOFP) the aim of which is to institutionalise a cooperative, adaptive and results based management of the western Indian Ocean. A phased approach is planned that progressively builds the knowledge base and strengthens technical, managerial and decision-making capabilities at the national and regional scales so as to address environmental concerns and transboundary developments (in all relevant sectors); builds political will to undertake threat abatement activities; and leverages finances proportionate to management and governance needs.

The geographic coverage of the GEF-funded UNDP-supported ASCLME Project includes the marine and coastal area under the influence of two major currents – Agulhas Current and the Somali Current as well as the influence of the South Equatorial Current across the Mascarene ridge and basin. This encompasses ten countries –Comoros, France (Reunion and Mayotte and Indian Ocean Islands), Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa and Tanzania). The region also includes ocean areas that are beyond the jurisdiction of these countries. Nine of these countries are GEF-eligible.

The activities within the ASCLME Project for the first phase are focused on the collection of coastal and offshore data and information and capacity building. This is achieved by using research cruises to capture essential information relating to the dynamic ocean-atmosphere interface and other interactions that define the LMEs, along with critical data on offshore fisheries (to be provided by SWIOFP), and open water larval transport. The cruise data is supplemented with data and information collected on near-shore oceanographic conditions; the identification of nursery areas along the coast as well as socio-economics (livelihoods) and governance mechanisms. The overall objective of this data capture is to deliver, in the first instance, national Marine Ecosystem Diagnostic Analyses (MEDAs) that feed into national policy and governance briefs, regional Transboundary Diagnostic Analyses (TDAs), National Action Plans (NAPs) and a comprehensive Regional Strategic Action Programme (SAP). The implementation of the recommended actions in the MEDAs at national level and the regional SAP would require policy, legal and institutional reforms as well as sustainable financing. An important and active component of this process has been the evolution of sustainable partnerships for implementation of the SAP through a Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA).

This TE was conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects developed over time has informed the present evaluation. The evaluator framed the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects.

A set of questions covering each of these criteria has been drafted and are included with this TOR. The evaluator has amended, completed and submitted this matrix as part of his evaluation inception report, and this matrix is included as an annex to the final report. Two questionnaires were developed, including one for major stakeholders, and one for project participants. Each covered the areas of relevance, effectiveness, efficiency, sustainability and impact.

The evaluator has reviewed many relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and other materials that the evaluator considered useful for this evidence-based assessment. . The comprehensive list of documents that the evaluator has reviewed is included as an Annex.

In addition to the review of the documents, the evaluation took advantage of two visits in the region, first to the Project Management Unit (PMU) in Grahamstown, South Africa, and associated Steering Committee (SC) Meeting and separate Policy Advisory Committee (PAC) Meeting both held in Johannesburg, South Africa. One week later, the evaluator attended the Special Meeting of the Southwest Indian Ocean Fisheries Commission (SWIOFC) meeting, held in Dar Es Salaam, Tanzania. This SWIOFC was followed by a further trip to Grahamstown to work with the PMU in Grahamstown to solicit all materials required for this evaluation, as well as to complete interviews with key persons from a broad Stakeholder representation.

This series of meetings permitted an extensive face-to-face interview process with more than two dozen individuals actively involved in the ASCLME project, as well as the broader ASCLME Programme. It included project developers, implementers, executors, government officials, participants, and beneficiaries. Annex XX provides a summary of who was interviewed, and Annex XX provides a summary of major findings from these interviews.

This report is structured as follows: first is a description of the project and its development context. Following is a discussion of major findings, broken into various categories as follows:

- Project Design/Formulation

- Project Implementation

- Project Results

The report is finalized by a set of conclusions, recommendations, and lessons learned. This section includes a ratings matrix as required by UNDP/GEF. Following this concluding section, a series of annexes is included, as required by the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

The ASCLME project began with an inception phase from September through December 2007. However, ASCLME Project was formally launched at the Joint CoP for the Abidjan and Nairobi Conventions in Johannesburg in October 2007. The project duration was five years, but that has been extended to at least October 2013 through re-programming of funds.

2.1 Problems to be addressed

According to the Project Document, the project sought to address the following problems:

“The **Programme Goal** is “To ensure the long term sustainability of the living resources of the ASCLMEs through an ecosystem- based approach to management”. Development of TDAs and SAPs for the two LMEs is seen as a critical part of this goal and accordingly is a principal focus in each of the three Projects within the overall Programme.

The **Project Objective** is “to undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information will be used to develop a TDA and SAP for the ACLME and a TDA for the southern portion of the SCLME”.

In line with achieving this **Project Objective**, The **Overall Project Deliverables** are:

- Acquisition of data needed to support an ecosystem-based approach to management of the two LMEs as well as a better understanding of the external forcing functions and linkages to adjacent areas of the Western Indian Ocean region; and
- Full TDAs and SAPs for the Agulhas Current LME and the southern portion of the SCLME (Kenya and Tanzania) adopted at high levels, and a full TDA and SAP for the SCLME to be developed with the inclusion of Somalia when conditions allow.”

The project objectives were to be accomplished by the following activities:

Outcome	
1	<i>Key ecosystem assessment and management gaps are filled as necessary to install an ecosystem approach to LME management</i>
2	<i>Decision-making tools are in place, to facilitate the synthesis and application of data for LME management;</i>
3	<i>Regional agreement is reached on transboundary priorities and their root causes and a suite of governance reforms and investments needed to institute a shared ecosystem-based approach to managing the LMEs in support of WSSD targets, and foundational capacities are in place for implementation.</i>
4	<i>A Comprehensive Public Participation Initiative Enables Stakeholders to Engage in Programme activities.</i>

2.2 Major threats to the ASCLME region

The Project Document identified the human-induced threats to the ASCLME area as:

“Human induced pressures on the ASCLMEs are increasing at an accelerating pace. There are four primary threats to the ecological integrity of the ASCLMEs, namely:

- Human induced habitat destruction and alteration of the marine environment;
- Pollution of the marine environment;

- Overexploitation of fisheries resources; and
- High by-catch and incidental mortality of marine fauna in commercial fisheries operations; and adverse consequences related to anthropogenic related environmental variability within LMEs.

In addition, the region was threatened by climate change.

2.3 Main Stakeholders

The Project Document performed an extensive Stakeholder Analysis for the project (see Annex 12 of ProDoc, Public Participation Plan). The ASCLME project itself therefore did not perform a formal Stakeholder Analysis. The ASCLME Project did set up and host the Regional Project Coordination Forum (2008-2009 timeframe), which brought together all of the regional-level stakeholders and projects in one forum to present their objectives and achievements, and to discuss closer cooperation and data sharing (leading to a data sharing agreement). The major stakeholders (used in a broad sense and not in the Agenda 21 sense) in the ASCLME include:

- Regional Government (e.g., Nairobi Convention, Indian Ocean Commission, Indian Ocean Tuna Commission)
- National Governments and their Agencies (9 ASCLME countries; NOAA; etc.)
- Local Governments/Authorities
- International Agencies (IGOs: World Bank, UNDP, UNEP, FAO, EU, others)
- Educational, scientific institutions (all levels; WIOMSA; South African Environmental Observation Network [SAEON]; African Coelacanth Ecosystem Programme [ACEP]; Rhodes University)
- Private Sector (including the emerging oil and gas industry; tourism; fisheries)
- Local/artisanal fisheries
- Youth and children
- Indigenous populations and their communities
- Non governmental organizations (NGOs; WWF)
- Major regional projects (ASCLME, SWIOFP, SmartFish, WIO-Lab, etc.)

Note that during project implementation, additional major stakeholders were brought into full participation of the project, including Somalia and France. Their inclusion, with no additional budget allocation, was significant to achieving full regional coverage of the MEDA/TDA and SAP processes.

2.3 Baseline Indicators

The Project Document identified barriers to LME-based management including:

- A. Inadequate data for management purposes
- B. Lack of regionally based monitoring and information systems and coordination
- C. Lack of sufficient national and regional ecosystem level assessment capacity
- D. Limited public participation, education and stakeholder involvement opportunities

Baseline conditions for major indicators are included in the revised Logical Framework Matrix which is shown as Table 1.

2.4 Inception Phase

During the Inception Phase, it was recognized that since a couple of years had passed since the Project Document was approved and the project actually started, that a thorough review of the Outcomes and Outputs was required. As a result, a new workplan was established, and the Logical Framework Matrix

was updated. In this document, Annex tk shows the original Logical Framework Matrix, and Table 1 shows the updated logical framework matrix. UNDP GEF (local country office, UNDP/GEF in New York and Johannesburg regional office) determined that these changes were within the authority of the Project Manager, not constituting a major project change, and therefore there was no need to formally inform GEF of these project chang

This Evaluation focuses on the updated Logical Framework Matrix.

2.5 Expected results

The Project Document projected the following expected results:

- An environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems undertaken to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information was used to develop a TDA and SAP for the Agulhas Current LME, and a TDA for the southern portion of the Somali Current LME
- Decision-making tools in place to facilitate the synthesis and application of data for LME management purposes
- Regional agreement reached on transboundary priorities and their root cause. A suite of governance reforms and investments developed to institute a shared ecosystem-based approach to management of the LMEs in support of WSSD targets and foundational capacities are in place for implementation
- A comprehensive public participation initiative is evolved that enables effective stakeholders engagement in SAP activities.

Table 1: Logical Framework Analysis from Inception Report

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
<p>To undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information will be used to develop a TDA and SAP for the Agulhas Current LME, and a TDA for the southern portion of the Somali Current LME</p>	<p>No reliable baseline exists on marine ecosystem-based impacts and threats in relation to the ecosystem management approach</p>	<p>A set of national Marine Ecosystem Diagnostic Analyses completed for each country</p>	<p>MEDAs finalised and formally adopted by each participating country based on a template approved by the PSC</p>	<p>ALL MEDAS FINALIZED, AND ADOPTED BY COUNTRIES AS BASIS FOR TDA.</p>
	<p>The ASCLMEs are perhaps the most poorly understood LMEs in the world</p>	<p>Information gaps agreed (as identified in Table 7 - 'List of Data Gaps and Potential Assessment Methodologies', Project Document). Specific 'gap' areas targeted for data capture and analysis and for inclusion in the overall TDA process.</p>	<p>1. Agreement documented in PSC Minutes. 2. Data capture for 'Gap' areas as part of offshore/coastal surveys confirmed through appropriate reports (e.g. Ship's Sailing Orders and Final Cruise Reports; peer-reviewed publications). 3. Information relating to 'gaps' captured in TDA</p>	<p>UNDERSTANDING OF ASCLME HAS IMPROVED DRAMATICALLY DURING THE PROJECT, AS EVIDENCED BY CRUISE REPORTS, SCIENTIFIC REPORTS, INTERVIEWS, AND GAP FILLING EXERCISES. TABLE 7 DATA GAPS LARGELY FILLED.</p>
	<p>Transboundary issues have yet to be identified by the participating countries, and countries have not engaged in a joint SAP development exercise.</p>	<p>A single TDA for the western Indian Ocean LMEs building on the results of the MEDAs and capturing all of the transboundary issues, including any relating to ABNJ that fall within the defined LME boundaries</p>	<p>1. TDA reviewed by countries and formally adopted by PSC. 2. TDA captures relevant ABNJ- issues</p>	<p>TDA prepared by and ACCEPTED BY ALL COUNTRIES, AND INCLUDES ISSUES RELATED TO AREAS BEYOND NATIONAL JURISDICTION (CRUISE SPECIFICALLY FOCUSED ON THIS ISSUE).</p>
	<p>No formal structures or agreements currently in place for LME management and governance within the WIO region although a number of elements exist within the various IGOs. National realignment in policy, legislation and management practices are</p>	<p>A single SAP for the western Indian Ocean adopted by all relevant countries and partners which fully embraces an Ecosystem-Based Management Approach and defines a long- term sustainable management programme</p>	<p>A Strategic Action Programme adopted AND signed by the countries to include: 1. A long-term monitoring mechanism for the LMEs based on appropriate indicators and designed to provide updated information and predictions of ecosystem variability in relation to</p>	<p>THE SAP HAS BEEN APPROVED BY THE STEERING COMMITTEE, AND IS NOW UNDERGOING APPROVAL BY COUNTRIES. THE LONG-TERM MONITORING MECHANISM HAS BEEN STARTED, RELYING ON THE SWIOSEA PARTNERS. AS AN EXAMPLE, NOAA HAS PARTNERED SUCCESSFULLY ON THE MONITORING PROGRAM AND IS CONTINUING BUOY-BASED AND OTHER MONITORING IN THE REGION. A SCIENCE-BASED GOVERNANCE MECHANISM HAS BEEN ELUCIDATED AND PROPOSED FOR THE NEXT ASCLME PROJECT TO GEF. SIMILARLY, CAPACITY BUILDING AND TRAINING IS INCLUDED IN THE</p>

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
	transboundary ecosystem approach		<p>extremes,</p> <p>2. A Science- based Governance mechanism that aims to deliver effective translation of scientific knowledge into management and policy guidelines and to prioritise the needs of managers and decision-makers in terms of scientific monitoring and research,</p> <p>3. A long-term Capacity Building and Training Programme that aims to strengthen skills and improve methodologies at the national and regional institutional level.</p>	
Outcome 1: Data and information captured for development of national Marine Ecosystem Diagnostic Analyses and regional Transboundary Diagnostic Analysis	Very limited offshore data relative to LMEs. Very limited ship's time available to countries. Costs are also fairly prohibitive	<p>1. At least one ASCLME funded or supported cruise per 12 months in key geographic areas of the ASCLMEs addressing gaps and priorities as per Table 7 (taking into account any security constraints)</p> <p>2. Where possible and appropriate, cruises to be shared with SWIOFP and other partners (that may need to collect similar data or deploy mutually beneficial equipment)</p> <p>3. Although initial cruises may require use of co-funded vessels from outside the region, ASCLME to explore and (where possible) finalise agreements for the use of regional capacity in terms of ships and crew (e.g. South African vessel Algoa and others)</p> <p>4. Over 50 abstracts delivered for</p>	<p>1. Cruise Data Reports for every cruise in library and pdf files on web sites</p> <p>2. Records relating to working groups and approved work plans (including Ships Orders)</p> <p>3. Written agreements on joint approaches and methodology for data collection, storage and dissemination</p> <p>4. Agreements with appropriate partners to undertake these studies and, where possible, to repeat certain priority studies as part of a long- term monitoring programme</p> <p>5. Peer-reviewed publications</p>	<p>1. CRUISE REPORTS VERIFIED. 45 CRUISES WERE CARRIED OUT UNDER THIS PROJECT,. AVERAGING OUT TO NEARLY ONE PER MONTH, FOR THE FIRST FOUR YEARS OF THE PROJECT.</p> <p>2. AT THE BEGINNING, CRUISES WERE SHARED WITH SWIOFP. HOWEVER, IN LATER PHASES, CRUISES WERE SEPARATE DUE TO DIFFERING REQUIREMENTS FOR FISHERIES MEASUREMENTS AND OCEANOGRAPHIC/ ECOSYSTEM MEASUREMENTS.</p> <p>3. THE NANSEN WAS THE ORIGINAL SHIP OF OPPORTUNITY. HOWEVER, THE SOUTH AFRICAN SHIPS WERE USED MOST EXTENSIVELY LATER IN THE PROJECT.</p> <p>4. THE PROJECT HAS PRODUCED MORE THAN 100 PEER REVIEWED ARTICLES.</p> <p>5. NUMEROUS PRESENTATIONS HAVE BEEN MADE BY ASCLME PARTICIPANTS AT NATIONAL, REGIONAL, AND INTERNATIONAL MEETINGS (SEE LIST OF REVIEWED PUBLICATIONS)</p> <p>6. THE PROJECT CB&T Coordinator, Prof. Warwick Sauer, Rhodes University, HAS PROVIDED SUCH A LIST OF TRAINED</p>

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
		subsequent publications 5. Over 40 publications peer-reviewed and accepted that can be directly attributed to ASCLME support and activities along with partners	6. Verified evidence of presentations at regional and international meetings (including WIOMSA) 7. Verified lists of trained scientists 8. Information on key areas as highlighted in Table 7 of Project Document incorporated into TDA	SCIENTISTS. 7. THE TDA INCORPORATES INFORMATION ON ALL AREAS SHOWN IN TABLE 7, BASED ON THE 45 CRUISES MENTIONED ABOVE. THE FIRST EXCEPTION IS POPS, WHICH WERE NOT INVESTIGATED DUE TO REALLOCATION OF PROJECT BUDGET TO MEET OTHER NEEDS (INCLUDING ARTISANAL FISHERIES REVIEW). THE SECOND EXCEPTION IS THE NORTHERN SOMALI CURRENT AREA, WHICH COULD NOT BE INVESTIGATED DUE TO PIRACY.
	Limited capacity or planning for capture of coastal data. Limited existing data collection neither prioritised, coordinated or comparable in terms of an ecosystem approach	1. Existing nearshore data sets and activities reviewed 2. Existing nearshore monitoring activities reviewed 3. Priority coastal and nearshore data capture needs included in national/regional monitoring programmes	1. Reviews of existing nearshore data for the WIO region 2. Reviews of existing national monitoring programmes 3. Agreements with national partners on priority areas for data capture 4. Priority areas identified and included in National (MEDA) and regional (TDA) monitoring programmes 5. Priority data capture for short or long term	1. EXTENSIVE MEDAS IN EACH COUNTRY PROVIDED A THOROUGH REVIEW OF AVAILABLE DATA. THOUGH THE QUALITY OF THESE MEDAS ARE SOMEWHAT VARIABLE, THEY ALL PROVIDE VALUABLE SUMMARIES OF EXISTING DATA. 2. THE MEDAS PROVIDE SUMMARIES OF NATIONAL MONITORING PROGRAMS. 3. THE STEERING COMMITTEE MINUTES DOCUMENT SUCH AGREEMENTS. 4. THE STEERING COMMITTEE MINUTES DOCUMENT SUCH AGREEMENTS.
	Significant data 'missing' and not accessible in terms of 'outside' agencies that have collected data over past decades. Limited date north of 12 degrees S (high risk area)	1. Identification of national fisheries databases and agreements with countries to access 2. Information seen to be included in MEDAs 3. Contracting of specific expert groups to review fisheries data and, where possible, to ensure all sectors are included 4. Demonstration data capture work-plans completed and fulfilled for 2 countries (Kenya and Tanzania as they are losing out on	1. MEDA sections on fisheries peer-reviewed and adopted as 'comprehensive' 2. final reports from an expert group showing available fisheries data for countries and describing monitoring procedures for future inclusion of all sectors 3. Data capture plans included into capacity building and training programmes and	1. ALL COUNTRIES PREPARED INPUTS ON ARTESANAL FISHERIES 2. ALL MEDAS WERE PEER-REVIEWED, INCLUDING SECTIONS ON ARTISANAL FISHERIES. 3. CONTRACT DOCUMENTS REVIEWED TO DOCUMENT HIRING OF EXPERT GROUP FOR PEER REVIEW. 4. CB&T INCLUDED DATA CAPTURE AND MONITORING PLANNING. 5. REPORT IS AVAILABLE ON TRAINING WORKSHOP (http://www.asclme.org/en/documents/doc_details/32-training-report-2008.html).

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
		<p>offshore assistance due to piracy) as well as similar demonstration work-plans for two island countries if budget constraints allow . Demonstrations will address phylogenetic and stable isotopes of at least two key species (endemism, threat or commercial/subsistence food value)</p> <p>5. One training workshop completed for fish taxonomy using samples from ASCLME cruises and training scientists that collected samples</p>	<p>monitoring programme</p> <p>4. Report from the Joint ACEP/SAIAB/ASCLME training workshop</p>	
	Scattered and poorly coordinated efforts in mapping. Distribution of many critical habitats unknown	<p>1. Three shore-based surveys for validation completed by ASCLME and partners</p> <p>2. One shore-based survey for validation completed by ACEP/ASCLME</p> <p>3. Improved maps of critical habitats developed for coral reefs, mangroves and seagrasses from these surveys and related activities.</p>	<p>1. Inclusion of up-to-date habitat distribution maps in African Marine Atlas</p> <p>2. Comprehensive habitat data included in metadatabase</p> <p>3. Validation survey reports submitted and adopted by technical reviewers</p> <p>4. Inclusion of habitat data and information into MEDAs and TDA</p>	<p>1. IOMPS (INSHORE OCEANOGRAPHIC MONITORING PROGRAMS WERE CARRIED OUT FOR SEVERAL COUNTRIES (SEYCHELLES, TANZANIA, MOZAMBIQUE, INTER ALIA).</p> <p>2. ACEP HAS ESTABLISHED A LOCAL LONG-TERM ECOLOGICAL RESEARCH AREA OFF ITS SOUTHEASTERN COAST, WHERE EXTENSIVE SURVEYS HAVE BEEN TAKEN. IN ADDITION, IT HAS A COASTAL</p> <p>3. UPDATED MAPS OF CRITICAL HABITATS PRODUCED IN TDA. IOMPS REPORTED IN MEDAS AS ANNEXES.</p>
	No significant studies exist. Some papers on invasive species but limited details on impacts	<p>1. Desk-top survey of regional and national threats completed with input from national and regional experts</p> <p>2. inclusion of information on invasive species threats and impacts into the TDA</p> <p>3. inclusion of detailed information on potential sources of marine pollution and its impacts into the TDA</p> <p>4. Close cooperation and</p>	<p>1. TDA section on invasive species and marine pollution</p> <p>2. SAP long-term monitoring programme includes indicators for invasive species and marine pollution</p> <p>3. SAP promotes mechanism for all participating countries to adopt appropriate MARPOL and</p>	<p>1. ALL MEDAS INCLUDED A DETAILED THREAT ANALYSIS.</p> <p>2. ALL MEDAS INCLUDED INVASIVE SPECIES ANALYSIS, AND APPENDIX III OF THE TDA SUMMARIZES THESE FINDINGS. THE DATA AVAILABLE IN TERMS OF SPECIES LISTS WAS VERY SPARSE, ESPECIALLY OUTSIDE OF SOUTH AFRICA AND MAY BE INCOMPLETE. A SEPARATE REPORT ON INVASIVE SPECIES IS AVAILABLE: REPORT ON THE INVASIVE SPECIES COMPONENT OF THE MEDA'S, TDA & SAP FOR THE ASCLME PROJECT.</p> <p>3. INCLUDED IN MEDAS, AS WELL AS IN TDA. A SEPARATE REPORT IS AVAILABLE: MARINE POLLUTION IN THE AGULHAS & SOMALI CURRENTS LARGE MARINE</p>

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
		partnership on both issues with IMO through their relevant programmes and protocols (including Shared workshops on invasive species management and port control 5. An invasive species monitoring programme developed (standardised for countries and one for the region also)	GLOBALLAST protocols and makes provisions for monitoring adoption/ratification 4. Cooperative workshops (ASCLME/IMO) on invasives and marine pollution in the WIO LMEs region	ECOSYSTEM (2011) 4. A COOPERATIVE AGREEMENT HAS BEEN SIGNED BETWEEN THE ASCLME AND IOC/UNESCO. ASCLME PARTICIPATED IN IOC'S "CAPACITIES AVAILABLE IN THE ASCLME REGION (2011)" 5. SAP AND TDA INCLUDE REGIONAL MONITORING PROGRAMME FOR INVASIVE SPECIES, BASED ON APPENDIX III OF TDA.
	Very poor understanding of links between communities, livelihoods and ecosystems/LME management	1. In-country and regional capacity sourced and recruited to gather information in 9 countries on 7 key coastal livelihood sectors 2. Information for priority sector in each country compiled into reports by in-country and regional consultants 3. Country inputs reviewed by PCU, accepted by countries and integrated into the overall MEDAs 4. Key information sources for each sector listed and made available for the ASCLME data and information management system 5. Strategic information synthesised and made available for the TDA and SAP process 6. Gaps in knowledge of coastal livelihoods in the region identified.	1. Reports from each country and each sector received and reviewed by regional coordinators, accepted by countries and integrated into the MEDAs 2. Strategic summaries for each sector in each country prepared and made available for the TDA and SAP process 3. Information sources captured in the ASCLME data and information management system	1. NATIONAL AND REGIONAL CAPACITY TAPPED BY PMU FOR DATA AND INFORMATION GATHERING. RELEVANT CONTRACTS REVIEWED. 2. MEDAS AND TDA INCLUDE REVIEW OF SECTORS, SECTORAL POLICIES, SECTORAL IMPACTS, ETC. 3. MEDAS AND TDA ACCEPTED BY PCU AND BY STEERING COMMITTEE. 4. DATA AND INFORMATION MANAGEMENT OBJECTIVES AND WORK PLAN TRANSPARENT AND AVAILABLE. 5. TDA AND SAP ARE BASED IN LARGE PART UPON NATIONAL AND REGIONAL INFORMATION, AS WELL AS GAP FILLING EXERCISES. 6. COASTAL LIVELIHOOD REPORTS INCLUDED AS PART OF MEDA FOR EACH COUNTRY. KNOWLEDGE GAPS ARE CONSIDERED.
	Little or no awareness of the value of LMEs and an ecosystem approach to countries of the region	A detailed Cost-Benefit assessment (highlighting the advantages of the ecosystem-based management approach versus business-as-usual) completed at the regional/sub-regional level that includes inputs from each country	1. Final CBA report submitted and peer-reviewed 2. Appropriate components from the report added to the TDA and SAP	COST-BENEFIT ANALYSIS IS INCLUDED IN EACH MEDA, AND SUMMARIZED IN THE TDA.

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
	No such assessments undertaken previously that relate to an ecosystem approach or the need for 'focused' ecosystem-based management and governance practices	Details of all national and regional policy and governance mechanisms, associated legal regulations and identification of requirements for realignment to an ecosystem-based management approach provided by appropriate national institutions and regional bodies	1. National Policy and Governance Assessments included as components of the MEDAs 2. A synergy of these national reports combined with regional assessments (e.g. Conventions, regulatory instruments, etc. associated with various commissions and IGOs) and forming part of the TDA process as well as being addressed in the SAP	EACH COUNTRY, IN ITS MEDA, INCLUDED INFORMATION ON NATIONAL AND REGIONAL POLICY AND GOVERNANCE. A SUMMARY REPORT WAS WRITTEN TO DETERMINE OPTIONS FOR THE MOST APPROPRIATE MANAGEMENT OPTIONS FOR THE ASCLME IN THE LONG TERM.
Outcome 2: Decision-making tools in place to facilitate the synthesis and application of data for LME management purposes	Poor cooperation among the various national level ministries responsible for gathering and assessing LME based management plans Some regional focus for development of tools previously created by ACEP and WIO-LaB	1. Improved cooperation at national level for data handling and management 2. National data and information handling and process plans established and included in MEDAs.	1. Minutes of national intersectoral meetings related to data handling 2. Relevant sections of MEDA peer-reviewed and adopted by countries	1. DATA MANAGEMENT AND HANDLING PROTOCOLS DEVELOPED, AGREED, AND FOLLOWED. WEB SITE IS A GOOD SOURCE FOR THIS INFORMATION. 2. MEDAS ALL INCLUDE NATIONAL DATA AND INFORMATION HANDLING AND PROCESS PLANS.
	Paucity of information collected at regional level, and what information exists is scattered and not generally accessible	Regional data and information handling and process mechanisms adopted as part of the TDA-SAP process within a cooperative management system and centralised clearing house(s)	1. Document on Principles and Guidelines for Data and Information management developed 2. Regional structure and process identified as part of SAP (along with a clearing house mechanism)	THE TDA PROVIDES TWO APPENDICES REGARDING THIS TOPIC: APPENDIX I. PRINCIPLES AND GUIDELINES FOR DATA AND INFORMATION MANAGEMENT ON THE ASCLME PROJECT. APPENDIX II. ASCLME DATA AND INFORMATION MANAGEMENT PLAN
	Little attention has been given to increasing GIS capacity at the regional level and this is even limited at the national level. Resources have	1. National Data and Information working groups dealing with GIS established in each country 2. GIS status and capacity building needs identified in	1. Reports from countries and ASCLME Project to Steering Committee 2. Peer-reviewed and adopted sections in	1. THESE WORKING GROUPS ESTABLISHED IN EACH COUNTRY (SEE CONTRACTS AND SUBSEQUENT REPORTS). 2. MEDAS ALL ADDRESS REQUIREMENTS FOR SPATIAL PLANNING, WHICH INCLUDES GIS.

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
	not been available for this sort of capacity building	MEDAs 3. Predictive modelling training courses undertaken within region to improve skills 4. Partnerships with internationally-renowned modelling groups established	MEDAS 3. Reports from training courses 4. formal agreements (Aides-Memoire etc) with modelling groups	3. PREDICTIVE MODELING TRAINING UNDERTAKEN IN REGION UNDERTAKEN AS PART OF TRAINING IN CAPE TOWN, 2008. 4. PARTNERSHIPS WITH MODELING GROUPS HAVE BEEN ESTABLISHED: SEE NOAA, FAO, UBC, JAMSTEC, CSIR, NIOZ, AND OTHERS ALL HAVING MODELING CAPABILITIES.
	There is limited national and regional capacity for using more advanced remotes sensing techniques that can assist in an LME Management process and equally limited translation of scientific products into multidimensional mapping outputs for ecosystem-based management	1. RS working groups established in each country and at a regional level 2. GIS and RS products used in a multidimensional mapping process that can act both as a baseline for the TDA and as a monitoring mechanism for changes in LME status, habitat distribution, status of LMRs and community welfare.	1. Working groups integrated into the WIO Alliance monitoring component (apparent as part of the SAP) 2. RS, GIS and multidimensional mapping products used to drive science-based management and governance as shown in management and policy briefings.	1. REMOTE SENSING DISCUSSED IN TRAINING WORKSHOP IN 2006. 2. GIS AND RS PRODUCTS PRODUCED: IMAGE SERVER FOR LANDSAT DATA, USED TO MAP MANGROVES AND SEAGRASS. PARTNERED WITH EU-JRC ON OCEAN COLOR TRAINING COURSE. MAPPED CHLOROPHYLL (OCEAN COLOUR), SST, AND ALTIMETRY USING RS, AND PROVIDED PRODUCTS. AN INTERACTIVE AFRICAN MARINE AND COASTAL ATLAS WAS PRODUCED PARTLY UNDER ASCLME SPONSORSHIP AND PARTICIPATION.
	No indicators used in any monitoring mechanism as there is no effective ecosystem-based management approach in the region	Formal agreement on specific indicators to be monitored within the Alliance Joint Ecosystem Monitoring Programme as a component of the SAP	The 5-year Joint Ecosystem Monitoring Programme of the WIOSEA adopted within the SAP	THE PROJECT PRODUCED A LIST OF INDICATORS FOR THE SAP: ASCLME ECOSYSTEM INDICATORS. INCLUDED IN THE SAP.
	No common fisheries practices or regulations existing for nearshore, community, artisanal, small-scale fisheries	Adoption of common fisheries policies for these sorts of small-scale, subsistence/community fishing, working closely with fisheries partners (SWIOFP/C; SmartFish; IOTC, etc.)	Fisheries Policy documents available within the appropriate regional IGOs	SAP IDENTIFIED COMMON FISHERIES ACTIONS FOR THE REGION TO TAKE FOR ARTISANAL FISHERIES. SEE SAP APPENDIX IV: AREAS OF CONCERN, ECOSYSTEM QUALITY OBJECTIVES, ACTIONS, TARGETS AND INDICATORS FOR THE STRATEGIC ACTION PROGRAMME
Outcome 3: regional agreement reached on transboundary priorities and their root cause. A suite of governance reforms and investments	Up-to-date national assessments of ecosystem status and threats do not exist. Neither do any comparative assessments	Peer-reviewed National Marine Ecosystem Diagnostic Analyses completed and adopted by each country	MEDAs finalised and ready for publication and/or for development into National Action programmes by each country	MEDAS WERE FINALIZED, PEER-REVIEWED, ADOPTED BY COUNTRIES, AND SERVED AS BASIS FOR TDA, SAP, AND CAN SERVE AS FUTURE BASIS FOR NATIONAL ACTION PROGRAMMES/PLANS.

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
developed to institute a shared ecosystem-based approach to management of the LMEs is support of WSSD targets and foundational capacities are in place for implementation	of institutional capacity, policy, and governance or livelihoods			
	Limited and incomplete work done to establish a West Indian Ocean wide TDA as of project inception. More recent finalisation of a TDA purely for land-based activities but no emphasis on LME specific TDA development	TDA developed for the ASCLME region, peer-reviewed by appropriate scientific groups and adopted/approved by the Steering Committee	TDA document published and used as basis of SAP	TDA WAS FINALIZED, PEER-REVIEWED, AND ADOPTED BY COUNTRIES, AND SERVED AS THE BASIS FOR THE SAP.
	A SAP has been prepared for the land-based activities relevant to LME management and is supported by a formal protocol within the Nairobi Convention but this falls far short of any SAP for coastal and marine ecosystem-based management and is absent of any effective linkage to fisheries	Regional Strategic Action Programme adopted by each ASCLME participating country	1. Signed SAP 2. SAP Implementation PIF submitted to GEF and adopted into Work Programme	SAP HAS BEEN APPROVED BY THE STEERING COMMITTEE AND THE HIGH-LEVEL POLICY ADVISORY COMMITTEE. IT IS NOT BEING CONSIDERED FOR ADOPTION BY ALL PARTICIPATING COUNTRIES.
	Some CB&T programmes have existed in the past but they have been very limited in objective and delivery and are generally poorly coordinated institutionally and especially in the context of an ecosystem-based management approach	A 5-year Capacity Building and Training Programme as a component of the SAP (and for adoption by the WIO Alliance partnership) that will reflect the needs and priorities of the countries and the region within the context of the SAP/Alliance Joint Ecosystem Monitoring Programme.	CB&T Programme adopted in signed SAP and in SAP Implementation PIF through GEF Work programme	THE SAP AND SAP IMPLEMENTATION PROJECT HAVE CB&T AS A MAJOR COMPONENT AS A CONTINUATION OF THE ASCLME PROJECT.
	Present political	1. Signatures from each	1. Published SAP with	1. NOT YET AVAILABLE.

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
	commitment is generally restricted to country participation in the existing Conventions, none of which are inter-ministerial in nature, nor does they address an ecosystem- based approach to the management of the marine environment. there has been limited awareness of and sensitivity to LME issues at senior levels	participating country to the Strategic Action Programme 2. Adoption of a regional policy-level steering group for the SAP 3. Inter-ministerial/inter-sectoral SAP/Alliance Committees established in each country in support of an EBM	signatures 2. Minutes from PAC 3. Minutes of national IMCs or equivalent bodies.	2. NOT YET DONE. 3. NOT YET DONE.
Outcome 4: A comprehensive public participation initiative is evolved that enables effective stakeholders engagement in SAP activities	No effective engagement at the community level in terms of LME awareness or management. No Distance Learning and Information Sharing Tool (DLIST) type approach has been attempted at regional level in these LMEs	1. Demonstrations of community awareness- raising and engagement in each country 2. Distance Learning and Information Sharing Tool (DLIST) implemented to assist project communication and participation efforts 3. Elements and options for community engagement into the LME management process are captured in the SAP	1. Community knowledge and awareness of ASCLME, SWIOFP and the LME approach captured in reports and briefing documents 2. DLIST implemented in the participating countries of the LMEs as demonstrated by community level involvement in DL course 3. SAP shows a structure for community engagement in EBM 4. Community engagement into the LME management and governance process is a component within the SAP Implementation PIF approved by GEF	1. THIS ACTIVITY WAS LARGELY CARRIED OUT THROUGH LOCAL ECONOMIC DEVELOPMENT PLANS CARRIED OUT FOR AT LEAST ONE COASTAL COMMUNITY IN EACH OF THE ASCLME COUNTRIES. FURTHER WORK WAS NOT POSSIBLE DUE TO THE ACEP BUDGET BEING CUT, AND COST-SHARE FOR COMMUNITY AWARENESS AND ENGAGEMENT BEING UNMET FROM OTHER SOURCES. 2. DLIST WAS IMPLEMENTED. SEE: HTTP://WWW.DLIST-ASCLME.ORG. 3. SAP INCLUDES MEASURES FOR COMMUNITY ENGAGEMENT, AND THE FOLLOW-ON PROJECT FOR THE ASCLME AREA REFLECTS THE IMPORTANCE OF COMMUNITY ENGAGEMENT.
	No Engagement in this process to date as there has been no LME scale	1. MEDA, TDA and SAP development are inclusive and transparent with appropriate and	1. Comprehensive list of national stakeholders associated with the MEDA	1. MEDA, TDA, AND SAP DEVELOPMENT HAD BROAD STAKEHOLDER PARTICIPATION. SEE VARIOUS REPORTS ON MEDA, TDA, AND SAP DEVELOPMENT WORKSHOPS,

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
	TDA-SAP	effective stakeholder involvement 2. the long-term management processes highlighted and agreed in the SAP show clear stakeholder participation across the board and with all relevant sectors where possible	and TDA development process (annex of participants) 2. Final, signed and adopted SAP document includes list of stakeholders to the management process including effective mechanisms/structure for their involvement and feedback;	BOTH NATIONAL AND REGIONAL. ALSO, SEE REGIONAL STAKEHOLDERS WORKSHOP FROM 2007. 2. THE SAP UNDERLINES THE IMPORTANCE OF BROAD STAKEHOLDER INCLUSION IN THE SAP IMPLEMENTATION. SEE SECTION 4.D OF THE SAP.
	There has been no history of consistent and effective media outreach to champion an ecosystem based approach to LME level management	1. Close cooperation with appropriate partners in the region to develop Media Outreach tools based on previous and existing efforts but updating and expanding these to the LME/EBM approach 2. Media Outreach tools used on a regular basis and targeting appropriate media outlets	1. PCU-maintained records of press releases, feature articles, video clips, and other visual and print information related to the Project 2. Lists of media outlets contacted by and working with the Project 3. Selected interviews with media representatives within the region 4. High quality film(s) developed to target general public/educational audiences as well as more specific, high-level decision-makers	1. MEDIA OUTREACH HAS BEEN RELATIVELY SUCCESSFUL, AS DOCUMENTED ON THE ASCLME WEBSITE. MEDIA HAVE ATTENDED NUMEROUS EVENTS, AND NEWSPAPER AND TELEVISION COVERAGE HAS OCCURRED FOR VARIOUS EVENTS. REGULAR, ANNUAL NEWSLETTERS WERE PUBLISHED AND GIVEN EXTENSIVE DISTRIBUTION. MEDIA RELEASES AND ANNOUNCEMENTS HAVE BEEN MADE REGULARLY (SEE: WWW.ASCLME.COM/EN/NEWS) 2. MEDIA OUTREACH WAS NOT A PRIME FOCUS OF THE ASCLME PROJECT, GIVEN LIMITED RESOURCES. HOWEVER, ITS SUCCESS HAS BEEN DOCUMENTED. TWO HIGH QUALITY FILMS WERE PRODUCED BY THE PROJECT: ONE FOR GENERAL PUBLIC DISTRIBUTION, ONE FOR POLICY-MAKERS AND DECISION-MAKERS.
	No History of such outreach and engagement at the level of LME management although some educational activities and other communications relating to CZM and marine issues have taken place but not within	1. Specific outreach tools developed for educational purposes and delivered to appropriate educational bodies 2. Specific tools developed for private sector outreach and delivered to appropriate private sector bodies and clearing houses 3. effective communications mechanisms developed and adopted	1. Educational outreach packages delivered to either appropriate educational bodies or to partners under agreement to deliver these appropriately to such bodies. 2. Progress reported to SteerCom (minutes) 3. Private sector outreach	1. UNDER DLIST, TWO OUTREACH TOOLS WERE DEVELOPED (WWW.DLIST-ASCLME.ORG): A STAKEHOLDER PARTICIPATION COURSE AND A COURSE ON ENVIRONMENTAL ENGINEERING – SUSTAINABLE DEVELOPMENT IN COASTAL REGIONS. 2. THE ABOVE TOOLS ARE AVAILABLE FOR PUBLIC AND PRIVATE SECTOR ALIKE. NO SEPARATE TOOLS WERE DEVELOPED FOR PRIVATE SECTOR BODIES OR CLEARING HOUSES. 3. A NEW COMMUNICATION STRATEGY APPEARS

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
	the EBM concept	for the LME approach	tools also adopted by PCU and delivered where necessary and effective with feedback from private sector (reported to SteerCom) 4. A formal communications strategy shared with SteerCom and adopted	UNDER THE WEB PAGE HTTP://WWW.ASCLME.ORG/EN/NEWS/NEWSLETTERS/2009-UPDATE/UPDATECOMMUNICATION.HTML, A FULL TIME COMMUNICATIONS AND IT PROFESSIONAL WAS HIRED FOR THE DURATION OF THE PROJECT.
	At Project inception, no functioning regional level web site exists at LME level and no newsletters aimed at LME management and monitoring processes	1. Website in place, regularly updated and regularly visited by interested parties 2. Regular high-quality Newsletters delivered to project stakeholders which include comprehensive information on ASCLME and its partners 3. Other appropriate publications are supported and encouraged, particularly those that are peer-reviewed (e.g. scientific publications in official journals)	1. Website 'hit' rate and content reviewed and reported on to SteerCom and Evaluators 2. Newsletters published and delivered 3. List of scientific publications directly attributable to ASCLME and its partners.	1. WWW.ASCLME.COM IS THE WEBSITE FOR THE PROJECT. 2. ANNUAL NEWSLETTERS (INCLUDED ON THE WEBSITE ABOVE) HAVE BEEN PRODUCED. 3. NUMEROUS OTHER PUBLICATIONS (SCIENTIFIC DOCUMENTS OF WHICH THERE ARE MORE THAN 100 PEER-REVIEWED ARTICLES PUBLISHED ALREADY; MEDIA RELEASES; CRUISE REPORTS; MEETING REPORTS; STEERING COMMITTEE REPORTS; NEWS ARTICLES; PRESENTATIONS AT SCIENTIFIC MEETINGS; VARIOUS JOINT PUBLICATIONS WITH OTHER PROJECTS; ETC.).
	Coordination has been very poor prior to inception of the ASCLME Project	1. ASCLME to take the lead in developing a coordination meeting to update all projects on each other's activities 2. ASCLME Project to forge closer ties with WIOLaB and SWIOFP, especially in view of the time differences which now exist in the start and finish of these three projects which are supposed to run in unison 3. ASCLME to develop a stronger partnership process for EBM and the LME approach in the region which includes the countries, projects and all interested parties	1. At least one Regional Project Coordination Meeting organised and successfully completed with useful activities and further processes for coordination identified 2. Evidence in Steering Committee minutes and other formal Agreements (e.g. Aides-Memoire) of closer cooperation between the Sister projects 3. A more formal partnership/alliance process developed and adopted for the WIO region for LME/EBM approaches and	1. ASCLME HAS HOSTED A COORDINATION MEETING WITH OTHER PROJECTS ACTIVE IN THE REGION. SEE PROCEEDINGS OF THE ASCLME REGIONAL PROJECT COORDINATION FORUM, HELD AT HOTEL LA PLANTATION, MAURITIUS, 2-4 OCTOBER 2008. 2. DUE TO TIMING CONSTRAINTS, THIS TARGET MET WITH MIXED SUCCESS. THE EARLY START OF THE WIO-LAB PROJECT MEANT THAT THIS PROJECT WAS OUT OF SYNC WITH THE ASCLME AND THE SWIOFP PROJECTS. THE LATTER TWO, HOWEVER, WERE MORE SUCCESSFUL AT COOPERATION, AND PRODUCED A JOINT TDA AND A JOINT SAP. THEY ALSO SHARED CRUISES IN THE EARLY PROJECT CYCLE. 3. A MAJOR SUCCESS OF THE ASCLME PROJECT WAS ESTABLISHMENT OF WIO-SEA.

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
			evidenced in formal documentation./agreements culminating in formal partnership(s) identified in the SAP	
Outcome 5: Project Management, Monitoring and Evaluation	No evaluation necessary in absence of Project	1. Mid-Term and Final Evaluation completed 2. Interim on-going evaluations also undertaken as a new request by the Steering Committee 3. All Project PIRs and similar completed and evaluation ratings given	1. MTE and FE report submitted to Project, UNDP and GEF and to countries 2. Interim evaluation reports delivered to Project and to Steering Committee 3. Annual PIRS completed by all parties and on record with UNDP/GEF	1. MTE COMPLETED (HTTP://WWW.ASCLME.ORG/EN/DOCUMENTS/DOC_DETAIL_S/77-ASCLME-MID-TERM-EVALUATION-REPORT.HTML). TE NOW BEING COMPLETED. 2. NO INTERIM EVALUATIONS WERE REQUESTED BY THE STEERING COMMITTEE. 3. PIRS WERE ALL COMPLETED AND SUBMITTED.
	No Project reporting necessary in absence of Project	1. Standard reporting process adopted for Steering Committee 2. Quarterly reports to UNDP and other appropriate bodies 3. Reporting of activities through Annual newsletters and interim circulars	1. All Steering Committee minutes show reporting process to SteerCom 2. Quarterly reports on record with UNDP 3. Annual newsletters distributed and available to Evaluators	1. ANNUAL REPORTS TO STEERING COMMITTEE WERE PART OF EACH STEERING COMMITTEE PREPARATION PROCESS. 2. QUARTERLY REPORTS WERE INITIALLY PRODUCED THROUGH 2011; HOWEVER, CLOSE COMMUNICATION REPLACED THESE REPORTS IN THE LAST YEAR. 3. ANNUAL NEWSLETTERS AND INTERIM NEWS RELEASES WERE PRODUCED.
	No effective national/ regional level technical coordination for LME approach	1. Technical coordination and support teams for MEDAS and TDA as well as other activities (e.g. scientific cruises) established in each country 2. Similar coordination workshops held at regional level to deliver MEDAs and TDA processes as well as to plan technical activities	1. Minutes of MEDA and TDA meetings 2. contracts for national Data and Science Coordinators, CB&T Coordinators and Cruise Coordinators 3. Regional meetings of Coordinators for finalisation of MEDAs and TDAs 4. Adopted SAP structure includes continued national level technical coordination	1. MEDA AND TDA MEETINGS ALL FACILITATED BY PMU PERSONNEL. REPORTS OF MEETINGS ARE AVAILABLE. 2. NATIONAL AND REGIONAL MEETINGS WERE USED TO PLAN MEDA, TDA, SAP, AND CRUISES. NUMEROUS WRITTEN REPORTS AVAILABLE AS DOCUMENTATION.

Overall Project Objective	Baseline (at Inception)	Verifiable Indicative Targets	Means of Verification	T.E. Evaluation
			bodies for LME approach	
	No effective national/regional level policy coordination for LME approach	1. Project Steering Committee Meetings with appropriate attendance from countries and partners 2. Long-term Policy coordination structures built into SAP	1. Minutes and list of participants to at least one Steering Committee per year through Project lifetime 2. Final adopted SAP includes a long-term policy coordination body in the regional management structure linked to national level bodies	1. ANNUAL STEERING COMMITTEE MEETINGS TOOK PLACE. MAJOR PARTNERS AND ALL COUNTRIES ATTENDED (INCLUDING SOMALIA FOR ALL BUT THE LAST EXTRAORDINARY MEETING). REPORTS DOCUMENT THE MEETINGS, ATTENDEES, AND FINDINGS. 2. AS PART OF THE ASCLME PROJECT, A NEED FOR HIGHER LEVEL POLICY COORDINATION WAS APPARENT, LEADING TO FORMATION OF THE POLICY ADVISORY COMMITTEE (PAC) WHICH MET THREE TIMES. SIMILAR STRUCTURES ARE ANTICIPATED FOR SAP IMPLEMENTATION.

3. FINDINGS

3.1 Project Design / Formulation

As stated earlier, the original logical framework matrix was revised during the Inception Phase of the project from September through December 2007. The logical framework matrix is presented as Table 1 earlier. The original logical framework matrix from the Project Document is shown in Annex 1. From a project design/formulation standpoint, both of the logical framework matrices are addressed.

Analysis of LFA/Results Framework (Project logic /strategy; Indicators): The revised logframe matrix was reviewed to see how successful the project was in producing the outcomes and outputs. Review of numerous volumes of written materials, media information, annual reports, etc., as well as intensive interviews with those involved, the Log Frame Analysis was reviewed. Table 2 provides the results of the analysis of the log frame analysis.

Assumptions and Risks:

The assumptions and risks are contained in the Project Document, as well as in the revised logical framework matrix as well as in the risk analysis table below (Table 3).

Table 2: RISK ANALYSIS REVIEW

Project Document			Evaluation
Risk		Risk Mitigation Measure	Comments
Conflict between coastal states with different political agendas results in an inability of countries participating in regional activities to cooperate at the level needed to achieve results.	L	All participating countries are taking steps to strengthen collaboration in managing shared marine resources. A number of regional protocols and Programmes are in place, including the IOC, IOTC, SADC, NEPAD, the Nairobi Convention, and the emerging SWIOFC. The ASCLMEs project, WIO-LaB, and SWIOFP will include activities that allow close liaison with regional Programmes. Close Programmatic links will be established with NEPAD through the NEPAD Coastal and Marine Programmes Coordination Unit.	This risk remained low, as risk levels amongst countries were low
Pressing domestic economic and social issues such as poverty and human health issues imply that regional environmental concerns receive sub-optimal attention and investment.	S	Countries have already accepted, through their endorsement of the ASLME Programme, through their ratification of the Nairobi Convention and their participation in regional Programmes, an understanding of the links between ecosystem health, food security, and the over-arching challenge of poverty alleviation. The dependence of coastal populations on marine resources for subsistence and income generation, amplifies the importance of maintaining the ecological integrity of the LMEs. The Programme and Project will establish applied information management systems, to inform decision makers of the relationships between environmental variability in the LMEs and economic welfare. The TDAs will chart the causes and effects of threats to each of the LMEs, enabling decision makers to gain a better understanding of the links between	The PSC members were at high levels within their national hierarchy. This led to a PSC that was not sufficiently influential to represent the project at high levels of government. This was immediately recognized, and a higher-level Policy Advisor Committee was established

Project Document			Evaluation
Risk		Risk Mitigation Measure	Comments
		socio-economic and ecological systems. The domestic benefits/ costs of regional action/ inaction will be established during SAP preparation in order to build political support.	
There will be insufficient numbers of regionally based, trained oceanographers and other experts to fulfill training needs necessary to build individual capacities in the region.	S	Capacity-building requirements will be assessed through as part of the development of a Capacity Building & Training Programme to be developed jointly by the ASCLMEs/SWIOFP Projects. The assessment will take into consideration existing expertise and capacity needs within regional Centers of Excellence. Institutions that can address regional training needs will be identified and their capacity to undertake training strengthened. Links will be established with international centers of excellence (Norway/ France/ USA/ UK), to support this effort.	Capacity building for marine scientists was quite effective in mitigating this risk. However, the sustainability of this training is suspect in certain countries, where no oceanographic facilities are available.
Participating countries will not be able to agree on the mechanisms necessary to achieve sustainability.	L	A number of regional organizations currently exist and already perform some of the functions necessary to ensure sustainability. The Nairobi Convention will play an instrumental role within this context. Mechanisms to guarantee the financial and institutional sustainability of LME management interventions will be incorporated into the SAP. The ASCLMEs Programme will partly underwrite the transactions costs associated with the requisite discussion/negotiations leading to agreement on these mechanisms. The planned economic assessments will underscore the benefits of regional cooperation to countries over the long-term.	In the end, the countries chose not to sign a new convention or policy document on LME management or governance in addition to existing interstate agreements, feeling that existing agreements were enough to serve as a framework for effective LME governance. Notably, at the Special Meeting of the Southwest Indian Ocean Fisheries Commission, the members agreed to investigate transforming SWIOFC into an FAO Article XIV body (regulatory) as opposed to the existing FAO Article VI (advisory) body now existing. This transformation if approved by governments would be a major obligation of the countries for effective ecosystem management.
Important local level stakeholders (artisanal fishers, others) will see ecosystem based management efforts as being detrimental to their interests, jeopardizing their application at local scale.	M	The DLIST Programme and additional public participation initiatives led by the Projects within the Programme, ACEP, the countries, and regional organizations will serve to build community support. DLIST will provide a mechanism for community outreach, allowing a two-way flow of information from communities to resource managers. Information will be disseminated using locally appropriate tools (i.e. radio)	The DLIST programme made a start at involving local communities, ending up with nine community projects (Local Economic Development Plans or LED) where the importance of ecosystem management was made manifest. Local communities demonstrated their knowledge of major ecosystem processes and their importance. However, the design of the project did not allow broad community level interaction, and so this risk was not fully mitigated.
Overall Rating	M	Risk Rating: L - Low; M – Medium; S	

Project Document			Evaluation
Risk		Risk Mitigation Measure	Comments
		– Substantial	

Table 3: Risks from the Project updated Logical Framework included the following:

Component	Risks	Evaluator's comments
Overall Project Objectives	Ensuring 'quality' delivery of MEDA data and inputs from each country. Getting appropriate formal country support for each national MEDA	This risk was eliminated by energetic work by the PMU staff, and by country experts and Steering Committee Members.
	Identifying sufficient ship's time for 'gap' data capture. Major risk will be security in area north of 12 degrees latitude as this is now a 'high piracy risk' area. This may prevent effective 'gap' data capture on those areas.	PMU and countries were able to secure ship time outside the project GEF budget, from NOAA, South Africa, and other sources. Excellent teaming on this issue. The risk of Piracy, which was not anticipated by the Project Document, was real. This ended up with lack of coverage of the Somalia Current LME in the Somalia, Kenya and Tanzania sectors, limiting project coverage. There was little to be done to overcome this barrier.
	Major assumption and associated risk beyond control of the ASCLME Project will be inter-agency agreement for a single TDA (UNDP, UNEP and World Bank)	Due to timing constraints, two TDAs were produced: one the WIO-LaB project, and one shared by the ASCLME and SWIOFP projects.
	Major assumption and associated risk beyond control of the ASCLME Project will be inter-agency agreement for a single SAP (UNDP, UNEP and World Bank). Also risk associated with assumption that participating countries will agree to embrace a joint mechanism for LME management and governance. Countries have already confirmed that they will NOT accept a new, over-arching body or entity (i.e. a Commission) and therefore any new mechanism must be based on coordination and facilitation of partnerships and cooperation and NOT on any concept of enforced management.	Due to timing constraints, two SAPs were produced: one by the WIO-LaB project, and one shared by the ASCLME and SWIOFP projects. Regarding joint mechanism for LME management and government: the countries have agreed to investigate the transformation of the SWIOFC from an FAO Article VI body (advisory) to an FAO Article XIV body (regulatory). If this is done, then the region will have a powerful regulatory ability to effect ecosystem management, as FAO incorporates ecosystem concepts in their fisheries mandate.
1: Data and Information	Piracy risk above 12 degrees S already preventing any effective offshore surveys and studies in that area. This restricts the surveys	The risk of Piracy, which was not anticipated by the Project

Component	Risks	Evaluator's comments
Gathering	of key priority areas (as per Table 7) above 12 degrees S. This may start to impact on the LME area below 12 degree S during the course of the project;	Document, was real. This ended up with lack of coverage of the Somalia Current LME in the Somalia, Kenya and Tanzania sectors, limiting project coverage. There was little to be done to overcome this barrier.
	Lack of access to an affordable vessel may represent a risk to ecosystem surveys;	PMU and countries were able to secure ship time outside the project GEF budget, from NOAA, South Africa, and other sources. Excellent teaming on resolving this issue and eliminating the risk.
	Need to propagate long-term partnerships with interested parties that are willing to fund ship's time and to provide vital long-term ocean-climate observation equipment.	Successfully done: the SWIOSEA partnership program grew to a cadre of some 31 participating entities, each contributing their portion to the project. Of these 31 partnerships, 21 agreements have been executed to date. NOAA, South Africa, the NL, for example, all provided ship time, equipment, personnel and/or data to advance the TDA effort.
	This is reliant on input from and collaboration with national partners. Any inshore data surveys would be reliant on local facilitation and logistics, including boats.	Excellent cooperation with countries to acquire information regarding coastal waters, through the MEDA process. Inshore data surveys were generally lacking due to focus on deeper water ecosystem processes.
	The assumption is that existing fisheries data for WIO LME countries is inaccurate or incomplete. Several peer-reviewed papers have shown this to be the case. One risk is that reconstructed data may, in itself be inaccurate in which case it should only be accepted as 'an example' of possible/probably inaccuracy and a programme of more effective multi-sectoral data collection should be developed and adopted.	SWIOFP provided updated fisheries data for the SWIO TDA and SAP.
	This will require close partnership between ASCLME and other partners in the region (e.g. IRD, CORDIO; ODINAfrica) as well as RS/GIS specialists	The partnership was quite successful: the SWIOSEA partnered some 31 entities into a loose joint management group for ASCLME. Of these 31 partnerships, 21 agreements have been executed to date.
	Collection of currently non-existent baseline data on pollutants is time-consuming and expensive. Much of the baseline data for the TDA will need to come from existing national/regional/global reports and/or from the private sector. It is hoped that the Global	No new data were collected on POPS or on invasive species.

Component	Risks	Evaluator's comments
	Ballast Water project can provide data on invasives.	
	Timeous contracting of in-country and regional consultants. As recruitment of this expertise is a critical aspect of this component, any delays in this process can jeopardise project outcomes. Quantitative data on economic activities is scarce or absent in some sectors and in some countries. The country reports can only be as detailed as is permitted by available source data.	National consultants were contracted in each country in each of several areas: National Coordination mechanisms; Capacity building and Training; Data and Information Coordinator; MEDA Coordinator; Cruise Coordinator.
	This assumes that the countries will cooperate in providing the necessary economic data required to produce such a report	A regional cost-benefit analysis complemented individual country analyses in MEDAs, based on available information from the countries and other sources.
	This assumes that countries will work with their selected experts and provide this information and that there is a willingness to propose reforms and realignments to existing regulatory and legal processes	Countries all worked well with the project, through experts, Steering Committee Members, Academic Institutions, Policy Advisory Committee members, NGOs, communities, etc.; however, policy and regulatory reform was not a strength of the ASCLME project. The Policy and Governance Coordinator for the project apparently focused more strong on Governance than on policy and regulatory reform. However, the MEDA/TDA/SAP process teased out possible policy and regulatory reforms.
2: Decision making tools	Assumes effective coordinating agreements between the various national government sectors and institutions for data sharing and handling	Each country had a data coordinator working closely with the PMU's Data and Information specialist, to release data and centralize its availability through the PMU.
	Assumes effective coordinating agreements between the various regional IGOs and relevant regional institutions for data sharing and handling	Good cooperation between the three ASCLME Programme projects assured access to data. Having national data coordinators streamlined data sharing; all cruise data was governed by an agreement on cruise data sharing.
	Lack of sustainability of national groups. Capacity building may not focus on appropriate institutions. Institutional mandates for these responsibilities may change	An ongoing risk in this region.
	Lack of sustainability of RS working groups. National institutions may not be willing to share data at the regional level for more effective ecosystem-based management	RS capabilities are highly varied within the region. Training was provided

Component	Risks	Evaluator's comments
		under the EU-JRC ocean colour training courses. Landsat and marine products (ocean colour, SST, and altimetry) are available through the ASCLME project (partnering with other projects).
	Lack of agreement on priority indicators both at national and regional level	Priority indicators agreed by all countries during the SAP process.
	Assumes national support to adopt fisheries policies for these small-scale and artisanal sectors	Technical personnel within the MEDA/ TDA/ SAP process recommended strengthened fishery policies, and these are part of the SAP, which has conditional approval by the Regional Steering Committee.
3: MEDA/ TDA/ and SAP	Assumes that countries deliver all the requisite information for an effective MEDA and that the MEDAs are adopted by each country	Very effective MEDA process ended in delivery of sufficient data and information. Each MEDA adopted within its country.
	Effective and comprehensive peer review and adoption by all countries	Peer review through WIOMSA was highly successful, and well accepted by countries.
	SAP acceptable to all countries. GEF prepared to support a SAP Implementation phase	SAP has conditional approval at the Steering Committee level, and is currently being analyzed at the National Levels. GEF is prepared to consider a SAP implementation project for the SWIO region; a PIF has been prepared and informally submitted to GEF.
	Sufficient partners can be identified through the WIO Alliance to undertake responsibility for this CB&T programme	The SWIOSEA partnership program with 31 entities has been successful, and some entities have provided enormous co-financing. Some of these (EU-JRC) have addressed CB&T to some extent. Although not available during this project, teaming with AfriCOG will address this CB&T element in the future.
	All countries agree to sign SAP. A PAC is adopted as a long-term Steering body for the WIO Alliance and LME management process. Each country agrees to an IMC or equivalent body	National level approvals are in process.
4: Public Participation	That communities are effectively engaged through this out-sourced component. That they embrace the LME approach. That country policy and governance structures and mechanism will allow for community engagement or realign themselves to allow for same.	Nine communities were the direct beneficiaries of the DLIST/ public participation activities as they were involved with the Local Economic

Component	Risks	Evaluator's comments
		Development studies (LED). The remainder of the communities were to rely on the DLIST web site, which was difficult since computers and internet connectivity is limited in many community regions. The SAP implementation project has a major community engagement component to build on the successes of DLIST and the LEDs.
	It may be difficult initial to gain input and engagement from some stakeholders and a lot of effort will be required to raise awareness and garner support from some sectors, especially the private sector	The private sector is at present not sufficiently engaged, and efforts are being made in this last six months of the project to assure strong private sector participation in the SAP implementation project, particularly amongst oil and gas industry, fisheries industry, and tourism. The World Ocean Council, an industry group, is engaged in the ASCLME project, though not deeply enough at present.
	Sufficient funds can be found to undertake this now somewhat expanded objective/delivery	Referring to media outreach tools, this activity was moderately successful with two films, twice-annual newsletters, occasional press releases and tv appearances, etc.
	One risk may be encouraging educational establishments to use the material. Materials will also need updating occasionally. Private sector materials will need dedicated delivery individually or at specific and appropriate venues (e.g. World Ocean Council meetings)	Materials were not developed to distribute to schools.
	Risk of 'hacking' into website will require constant surveillance and overhaul where necessary which is time-consuming. Website address will need to be constantly offered. There will need to be a 'progress-chasing' element in the Project to ensure that the science that is carried out under the auspices of ASCLME and its partners is properly and timely submitted and peer-reviewed and published	Hacking has been an issue, but diligence has limited its adverse impacts. Publication of scientific papers has been a major success, with more than 100 articles coming from the cruises already.
	Agency cooperation for coordination is forthcoming. Inter-agency territoriality does not hinder the process. An effective partnership process can be evolved that can circumnavigate and territorial issues in terms of mandates that exist in the region at the level of existing legal agreements and responsibilities	No major issues with interagency coordination in the ASCLME Programme noted.
5: project management, M&E	Appropriate Evaluators provided by UN that understand the constraints and delivery from an LME project	N/A
	Countries fully engage in the Steering process and are willing to attend Steering Committee meetings	Countries were willing attendees, even for Somalia which was a participant in the

Component	Risks	Evaluator's comments
		project. However, Steering Committee membership was not at a uniformly high enough level (not specified in the Project Document), which necessitated establishment of a higher level Policy Advisory Committee, which met three times in the latter part of the project.
	Countries (especially National Focal Points) designate the appropriate technical representatives that can advise and deliver on the MEDAs and TDA content. Countries agree to maintain/sustain a long-term technical level of support.	Excellent national participation in the MEDA/TDA and SAP process.
	Countries attend Steering Committee meetings annually. Countries formally adopt the SAP process and the policy level structures	Verified. SAP process adopted, and the PAC was accepted by countries.

Planned stakeholder participation:

The planned stakeholder participation was outlined in the Project Document. It is summarized here with comments on its implementation. From Table 10 of the Project Document: participation plan products and targets.

Table 4: Stakeholder Participation Evaluation

Project Document				Evaluation
Output	Activity	Product	Target	Comments
PP Project	Facilitation and coordination of PP activities in the region	Coordination of activities in each country	6 months from project start	Scientifically, this activity was successful. From a community standpoint, less successful due to orientation of the DLIST activities.
	Meetings and workshops	Documentation and plans for PP in the region	6 months from start of project and annually	See national CB&T reports.
	Stakeholder consultations	Workshop/meeting proceedings and documents	7 months from start of project and annually	For most, not all stakeholders, successful.
	Documentation of existing courses and EE Programmes/projects	Report and database	End 2006	Part of national reports by CB&T coordinators.
Networking	Stakeholder analysis	Stakeholders list		Stakeholder analysis completed during Project Preparation (PDF-B) phase; see Annex 12. No

				further analysis was done as part of the ASCLME project.
	Creation of ICT tool & Knowledge Management	DLIST	18 months from start of project	DLIST created and available.
	Stakeholder communication	Website contributions; newsletter (print); media releases (print, TV); public presentations	Ongoing Bi-annually Ongoing Ongoing	Website ongoing. Bi-annual newsletters available. Occasional media releases Numerous public presentations
	Capacity building	Support structures for education and public awareness practitioners Annual meeting of coordinators	1 year from start will there be support structures and ongoing contributions First one 6 months from start of project then annually	Available for cruise training National capacity building and training coordinators named, hired.
	Representation at different networks and forums	Conference presentations and contributions to meetings	Ongoing, at least 2 annual international/regional conferences/meetings	Various throughout the project.
Product development	Creation and documentation of short films and television Programme inserts	Films	2 annually from 2007 - 2009 4 annually from 2006 - 2008	Two films completed: Educational film "Rivers of Life, Oceans of Plenty" and one management short film: "Planning for Change"
	Development, documentation and showing of environmental theatre	Environmental theatre piece	12 month from start of project and updated annually till 2008	No documentation
	Creation and documentation of distance course	Courses on coastal zone management	9 months after the start of the DLIST website	Two courses are available on DLIST – one on Environmental

				Engineering and the second on Stakeholder Participation ; another course planned for PP was postponed because of conflict in the country where the course was to be held.
	Creation and documentation of EE school based materials	Books, CD-ROMs for schools based education	Annually 2 products developed in each country from 2007 till 2009	One DVD produced; one online “model produced”
	Creation of display material and development of a culture of expositions	Models	6 models per country 2 years from project	Various displays were produced and displayed throughout the region.
	Creation and distribution of interpretive signage and posters	Posters	9 per country start 8 months from project start, 4 per country annually from 2007 till 2009	No documentation on number, but numerous produced.
	Creation and documentation of field guides	Field/sampling guides	2 from 2007 till 2009	Cruise sampling guide produced for cruises.
Training	Presentation of Coastal Zone course	DLIST course trainees/graduates	From 2007 -	Not done as DLIST course was to held in a University where conflict prevented it.
	Educator training	trainees	10 000 till 2009	Not documented.
	Supervising and mentoring graduates	MED graduates PhD graduates Environmental Education certificate holders	8 at the end of 2009 4 at the end of 2009 20 at the end of 2009	The association with SAIAB and ACEP at the University of Rhodes allowed partial success in this effort. 26 students are targeted.
	Experiential educator training	Educators exposed to first hand ocean research	45 by the end of 2009	Educators were incorporated in some cruises.
Public Participation and Awareness	Experiential learning	Learners exposed to research vessels through on-	4000 by the end of 2009	On-board visits were successful in most countries. Approximately 171

		board visits		persons attended the training; of which 43 or 25% were female.
	Communication	Articles, newsletters, public workshops, community presentations	Widespread through out the life of the project	More than 100 scientific articles, many public workshops and community presentations, as well as two newsletters per year formed the backbone of the Communications strategy, along with a well-populated website.
	Information sharing	DLIST outreach component DLIST Maintenance Informed stakeholders Community aware of marine environment School outreach Museum/expo displays	After completion of course development and initial tool development 2007-2010 Ongoing Ongoing 2 annual events 2 annual events	Two courses were listed on DLIST website for ASCLME, one of which was ported from the BCLME project. A second course on coastal zone management did not succeed since the resources to be used were not available due to conflict.

Note: EE stands for environmental education.

Replication approach:

The project document major areas where it expected replication:

Iterative approach for doing TDA/SAP: *Analysis*: Ultimately, the WIO-LaB did its own TDA and SAP, because the ASCLME and SWIOFP were behind in implementation. Thus, the iteration expected by the Project Document was not possible. The latter two projects did cooperate in producing a single TDA and a single SAP; this caused some delay in the TDA and created little time to create an effective SAP, but did result in iteration between related fields (ecosystem management and fisheries). Whether this can be replicated elsewhere is to be seen.

- The emphasis on establishing strong scientific baselines across a broad range of oceanographic and biodiversity values in the ASCLMEs: *Analysis*: the ASCLME project did demonstrate a high level of scientific investigation, compared to many other LMEs (in this sense, it was similar to the BCLME). The refrain that you cannot manage that which you do not understand is certainly true: however, some may debate the balance between science and

policy/ regulatory/ legal analysis. Certainly, the ASCLME project is an example of a high level scientific data gathering in support of the TDA/SAP, in a region where such scientific understanding was sorely lacking. To this extent, it is replicable with suitable support from GEF, IA, partners, and strong scientific management input.

- The Programmatic approach to public participation and community education, through the incorporation of DLIST and other stakeholder involvement activities across a range of GEF projects in the ASCLMEs region. *Analysis:* The staggered timing of the three projects did not allow a programmatic approach to public participation and community education. However, DLIST and the Local Economic Development plans spawned under the ASCLME project are replicable elsewhere, and form one possible form of community involvement (though not adequate, in themselves, to constitute a complete community engagement program).

UNDP comparative advantage:

The Project Document focused on the ASCLME project which was part of the overall ASCLME Programme, the latter which incorporated two additional projects: WIO-LaB implemented by UNEP and SWIOFP implemented by the World Bank. The Project Document did not assess UNDP's comparative advantage in implementing this project, as the ASCLME project was developed in close coordination with the GEF, World Bank and UNEP as part of the overall ASCLME Programme. The Project Document assumed that the projects were developed according to Agency comparative advantages.

Linkages between project and other interventions within the sector

The Project Document outlined linkages between the various projects in the region. Unfortunately, there was poor overlap between the timing of the three projects comprising the ASCLME Programme. The WIO-LaB project was the first to start (in 2004, and ended in 2009). The SWIOFP started in 2008 and ended in 2013. The ASCLME project started in 2007 and is continuing until later in 2013. Of the three projects, connections between WIO-LaB and the other two were relatively weak, given that the projects were out of sync. One joint Steering Committee meeting was held between WIO-LaB and ASCLME was held; whereas since their timing was more in sync, the ASCLME and SWIOFP had more than one Steering Committee Meeting held in common. The ASCLME Project Document envisaged all three projects resulting in a single TDA and a single SAP; however, due to the relative timing, WIO-LaB produced their own TDA (which informed the ASCLME/SWIOFP TDA) and SAP. Because their timing was more contemporaneous, the ASCLME and SWIOFP produced a joint TDA and a joint SAP.

Management arrangements

Management arrangements between the three projects from the ASCLME Programme were not able to be followed as envisioned, primarily due to the delay in implementation of two of the projects compared to the UNEP WIO-LaB project. For instance, a Project Coordination Committee (PCC) was envisioned, but it was not populated officially, though the Project Managers for the three projects were in contact. It was envisioned in the Project Document that the ASCLME would take the lead in the Information Systems area, where in practice each project had its own database effort. The SWIOFP was also expected to house the Cruise Coordinator, but the ASCLME took on this task initially due to its earlier start; although some cruises were run jointly between the two projects, the difference in requirements between fisheries and ecosystem management data collection in the end required separate cruises for the two projects.

The Project Steering Committee (PSC) was envisioned as a major source of advice on policy and strategic levels. In fact, the PSC was not populated at a uniformly high level (deputy Minister or equivalent); in one case, a consultant sat on the PSC for a country. Given this lack of political strength, the ASCLME

project instigated a separate Policy Advisory Committee which was composed generally of deputy Ministers or equivalent for all countries. This ended up being the Committee that took decisions to the Government for action, including adoption of the TDA and SAP. Whereas the PSC reviewed the technical inputs to the TDA and SAP and provided effective guidance on their content, it was the PAC that was the more effective intersection with high levels of government.

As for the ASCLME project, the original project document envisioned a PMU located in Grahamstown, where in fact it was located. The Project Document envisioned staffing by an internationally recruited Project Manager, a Programme Science Advisor, a Communications Director, a Financial and Accounting Officer, and an Administrative Assistant, and other administrative and secretarial personnel retained on a full-time or contractual basis, as needed. In fact, the PMU ended up with a Project Manager who also covered many of the scientific aspects of the project including part of component 3 (SAP), a Data and Information Coordinator who oversaw the production of the MEDA/TDA (Component 3), a communications and IT Coordinator who oversaw not only IT and data bases (including web site), but also components 2 (decision-making tools) and 4 (Public Participation). A consultant addressed Component 1 (Cruise Coordinator provided as co-financing from the ACEP project). A long-term Consultant (Policy and Governance Coordinator) also addressed portions of Component 1 and 3 regarding policy, governance, and political sustainability. In addition, a Financial officer was hired at the beginning of the project (more about this individual later), and a Personal Assistant was hired for the duration of the project, whose role was largely administration and logistics for this complex project. A Media Consultant was also brought on board for a period of time. Thus, the PMU was staffed with roughly the number of specialists envisioned in the Project Document.

3.2 Project Implementation

Adaptive management (changes to the project design and project outputs during implementation)

The project successfully utilized adaptive management to its greatest effectiveness and efficiency. Given the delay of several years between the conception of the ASCLME project, and its implementation in the Fall, 2007, some of the conditions within the region had changed substantially. An example of this change was the emergency of marine piracy as a major threat to the success of the ASCLME project. This risk was not envisioned in the Project Document, but was a major obstacle to successful marine data delivery for the project.

The project undertook a three month inception phase when the Project Manager first came on board the project, from October through December 2007. This resulted in an Inception report which updated Components, Outcomes and Outputs for the project, and updated the project delivery schedule with sufficient detail to permit proper management of this rather large project. A new, updated Logical Framework Matrix also was prepared, which included, inter alia, an updated list of sources of verification and assumptions/risks. The Inception Report also proposed changes to the budget distribution, resulting in more clarity of proportions of the budget going to national beneficiaries, outside entities, program management, etc. In fact, the Inception Report provided for the following:

- More than 40% of project funds were allocated to the use of local and regional experts and for in-field data capture to support the development of the TDA.
- Another 20% of the funds were allocated for data collection for the TDA and SAP development process and for the evolution of long-term sustainable monitoring to underpin effective LME management strategies and policy.
- 10% of the funds were to support the countries by way of equipment procurement and capacity building at the institutional level.

- 19% of the Project funds were allocated to support administrative and management needs as per the Project Coordination Unit and its staff and general support from the PCU to the countries throughout the Project lifetime.
- Only 1% of funding was allocated to international expertise.

In summary, this means that well over 70% of GEF funding was to be disbursed throughout the region into actual on-the-ground activities and support that will assist the countries in the development of the TDA and SAP.

The Inception Report was discussed and approved by the PSC. It was also shared with GEF/UNDP HQ as well as the UNDP GEF/Technical Country Office.

Another area where adaptive management was required was in the area of public participation. A local NGO was the pre-selected contractor nominated by GEF in the Project Document to implement the public participation/ community involvement sector of the project. During the first year of the project, meetings with the pre-selected NGO lead to a more defined approach, and a contract was signed to that effect between UNOPS and the NGO. The funding level was lower than anticipated in the ProDoc, largely due to reservations from the Regional Steering Committee, according to the PMU. Due to problems in implementing the original contract, UNOPS with significant input from UNDP Country Office had to revise the contract with two amendments, Amendment 2 being signed on 13 November 2009 with a much reduced scope (basically, Demonstration sites in each country --- which led to the Local Economic Development Plans; DLIST and MEDA/TDA/SAP Activities). In addition, the NGO participated in preparing the two films for the project under separate contract. This adaptive management approach resulted in having successful delivery of concrete products at the end of the project from the Public Participation/ Community Outreach component.

A third notable area of adaptive management involved ship time. The Project Manager was able not only to reduce the ship-time cost from the pre-selected contractor, during the early phases of the project. He was also able to identify alternative, more flexible ship time from local sources, which eventually were paid by project partners brought on board by the ASCLME project (notably, NOAA, South Africa, the NL). In the end, the Project completed 45 cruises under its mandate, including some 273 days of ship time. This exceeded the planned number of cruises stated in the Project Document by 30%. Even more importantly, the financial burden of the cruises was shared amongst the Alliance partners, such that the ASCLME project paid for 165 cruise days (instead of 210, and at a lower rate than indicated in the Project Document due to negotiation on the rate by the PMU); Alliance partners provided for 108 cruise days. This amount of cruise days represents an amazing accomplishment of this project, unparalleled with any other GEF/IW/LME project to my knowledge. It also represents a significant success in adaptive management.

The inception report and each of the annual Steering Committee Reports described in detail the project activities, changes in activities required by good adaptive management, the budget, and the expected budget expenditures for the coming year. Thus, the adaptive management followed by the project can be traced in a transparent fashion for the five years of the project.

Thus, this project was able to implement adaptive management successfully.

Partnership arrangements (with relevant stakeholders)

The ASCLME project established a partnership program known as the Western Indian Ocean Strategic Ecosystem Alliance that assisted in much of the implementation of the ASCLME project. This WIOSEA consists of 31 partners, 21 of whom have more or less formal signed agreements with the ASCLME project. The list of partners is shown as Appendix tk. Although not all stakeholder groups are

represented, many are represented by one or more entities. For instance, the Private Sector is represented by the World Ocean Council. Though more private sector involvement would be highly useful (such as the oil and gas sector), the project has established a useful forum for collaboration on a regional scale, that needs to be continued and strengthened into the future.

Feedback from M&E activities used for adaptive management

The M&E documents clearly show the existence and utility of adaptive management. The relevant documents reviewed by the Evaluator include:

- Inception Report, which includes revised Components, Outcomes and Outputs, as well as specific activities, deliverables, anticipated costs, human resources, work-plans and schedules.
- Annual Project Implementation Reports (PIR)
- Annual Steering Committee Reports
- Policy Advisory Committee Reports
- The mid-term Review
- Quarterly Reports
- This terminal review

The Inception Report, the PIR, and the Mid-Term Review, in particular, show how adaptive management has been used throughout the project. Each review has pointed out areas where improved performance can take place, or improved input to the TDA/SAP process; the steps and budget allocated to make these improvements are then indicated clearly.

Project Finance:

As of the final Steering Committee meeting in February 2013 held in Johannesburg, South Africa, the project finances stood as follows:

Table 5: Project Finances as given by PMU

Activities	2007	2008	2009	2010	New 2011	2012 (Jan through 20 Sept)	Sept 2012- 14 February 2013
Actual Totals	\$279,167	\$2,389,002	\$2,749,096	\$2,669,675	\$1,659,158	\$876,327	\$514,893
GRAND TOTAL OF ACTUAL EXPENDITURE as of Feb 2013							
						\$11,137,318	

Note:

Budget remaining from 14 February 2013 to end of project	\$675,338
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*Note: this budget does not include possible budget for Project Preparation for SAP Implementation

According to UNOPS, as of June 2013, the following is the budget status:

Table 6: UNOPS Budget Status

Fiscal Year	Budget	Actuals	Deemed Accruals (POs)	Projected	Expenditure
OPENING					
2007	279,167.00	279,167.12	0.00	0.00	279,167.12
2008	2,463,210.00	2,389,001.50	0.00	0.00	2,389,001.50
2009	2,977,938.00	2,749,096.13	0.00	0.00	2,749,096.13
2010	2,700,540.00	2,669,674.52	0.00	0.00	2,669,674.52
2011	2,526,426.13	2,046,903.49	0.00	0.00	2,046,903.49
2012	1,546,708.00	1,259,247.79	0.00	0.00	1,259,247.79
	12,493,989.13	11,393,090.55	0.00	0.00	11,393,090.55

For 2013, up to 15 February, UNOPS shows an expenditure of \$ 106,784.95, for a total to this time of \$11,499,875.50. The Consultant was unable to reconcile the differences between the PMU shadow budget (\$11,137,318) and the UNOPS actual budget (\$11,499,875.50).

According to this summary provided by various reports from the PMU to the Project Steering Committee, the total project finance available was \$11,812,656 from GEF sources. However, the project document attributes \$12,200,000 to the GEF contribution, and an additional \$43,000 was received from WMO (and is reflected in the UNOPS and PMU numbers). The difference between these values is \$387,344.

Co-financing was achieved at a significant level. The Evaluator was unable to verify the co-financing by countries, however, the co-financing from other sources is as follows:

Table 7: Co-financing

Co-financing type	Source	Proposed	Actual	Classification of source
In-kind (at cost)	ACEP	\$12,305,000	\$10,078,350	Government
In-kind	FAO EAF Nansen	\$250,000	\$3,790,000	Other
In-kind	France	\$500,000	\$200,000	Government
In-kind	UNEP	\$750,000	\$750,000	Agency
In-kind	Gov't Norway	\$2,100,000	\$2,100,00	Government
In-kind	EcoAfrica	\$500,000	\$250,000	Other
In-kind	Participating Gov'ts	\$1,800,000	\$1,800,000	Government
In-kind	NIOZ (Royal Netherlands Marine Research Institute)		\$3,285,000	Government
In-kind	NOAA		\$3,845,000	Government
In-kind	IW:LEARN		\$40,000	Other
In-kind	BayWorld Centre		\$600,000	Other
In-kind	ODINAfrica		\$90,000	Other
In-kind	Rhodes University		\$80,000	Government
In-kind	University of Cape Town		\$75,000	Government
In-kind	IRD		\$1,800,000	IGO
In-kind	IMO		\$100,000	IGO
In-kind	IOI		\$80,000	IGO

Co-financing type	Source	Proposed	Actual	Classification of source
Cash	WMO		\$43,000	IGO
In-kind	Other Alliance Partners as identified in 2013 Budget and Workplan		\$647,750	Other

Table 8: Summary of Co-financing by kind

Co financing (Type/ Sources)	IA own Financing (mill US\$)		Government (mill US\$)		Other Sources* (mill US\$)		Total Financing (mill US\$)		Total Disbursement (mill US\$)	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Grant										
Credits										
Equity										
In-kind			\$16.705 m	\$21.46m	\$1.5 m	\$8.091 m				
Non-grant Instruments*										
Other Types										
Total										

Note that some co-financing was difficult to cost out. For instance, Seychelles provided an armed escort for oceanographic work done in its waters, in response to the threat of piracy. Rather than cancel that work, the government provided an armed escort vessel to assure its safety.

Monitoring and evaluation: design at entry and implementation

The Project Document designed the M&E programme for the Project. This M&E program was followed as laid out according to the table below, as the M&E process was not changed during the Inception Phase. The Activities in Red below as those directly reviewed by the Terminal Evaluator.

Table 9: M&E Plan

Activity	Responsibilities
Drafting Project Planning Documents: ProDoc, LogFrame (including indicators), M&E Plan	UNDP staff and consultants and other pertinent stakeholders. Steering Committee Review
M&E Plan	UNDP, PSC, project development specialists
Work Plan	Project Manager, with UNDP
Quarterly Operational Reports (QORs)	UNDP and PPR
Annual Programme/ Project Reports (APRs)	The Steering Committee, working closely with UNDP and the Project Manager in consultation with Project stakeholders
Project Implementation Review (PIR)	UNDP, project team, S.C., GEF M&E team
Tripartite Review (TPR)	Governments, UNDP, project team, Steering Committee, beneficiaries and other stakeholders
Mid-term and Final evaluations	UNDP, project team, S.C., independent evaluators
Terminal Report	UNDP, Project Manager, S.C.
Post-Project Sustainability Evaluations	UNDP, Project Team and GEF, S.C.

Notes: The terminal report is not yet available. The Post-Project sustainability evaluation has not been done. The Tripartite Reviews were not done, but minutes from the Steering Committees replace them. For GEF projects, the Annual Programme Project Reports are the same as the Project Implementation Review. The Quarterly Operational Reports QORs are replaced by a quarterly reporting of the Enhanced Results Based Monitoring (EBRM), which are based on quarterly inputs by the PMU; these have been reviewed.

UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

UNDP was the implementing agency for this project, whereas UNOPS was the executing agency. UNDP/GEF, both through the New York offices and the Pretoria Country Office, provided considerable backstopping to the project. Although Mauritius UNDP Country Office officially was the lead UNDP Country Office for the ASCLME project as they were the lead country on the ASCLME proposal, in fact the closer lead for UNDP was provided by UNDP/Pretoria, which houses the Regional Team Leader for Africa. Frequent phone and SKYPE communication kept the PMU in close contact with the UNDP/GEF throughout the project. UNDP/GEF personnel stated in an interview that he felt communication with the ASCLME project was amongst the strongest with all the UNDP/GEF IW projects. UNDP/GEF Pretoria provided assistance as needed, intervening where required to help address operational issues (for instance, UNDP/Pretoria helped in negotiations for the DLIST/LED component of the project). With a UNDP project team so close on board, the project maximized its chances of success.

UNOPS provided the execution for the project. UNOPS personnel have attended most Steering Committee Meetings, missing only the 2013 meeting. Numerous questionnaires returned by the program participants made reference to delayed payments, often for those associated with ship-board participation. Given the poverty in these countries and the difficulty of earning income, implementing and executing agencies need to pay particular attention to local sensibilities in payments. Delayed payments could have arisen from either the UNOPS side, the ASCLME project side, or perhaps the UNDP Country Office side, amongst others. UNOPS has responded to this issue as follows: “based on due procurement processes, payment documentation is collected and prepared by the PMU for processing of IWC. There is standing payment capacity at IWC and payments normally take a few days, if all documentation and associated processes are correct. In the case of ASCLME there have been a number of difficulties with processes and documentation which had caused delays. With training and capacity building efforts from IWC these have been successfully addressed.”

Furthermore, UNOPS has responded to this issue as follows: “...special and exceptional management arrangements have been made with IWC whereby the SPM assumes approval functions for ALL transaction for the project. These arrangements are unusual and could only be agreed due to the very exceptional circumstance under which the projects operate where a new phase is imminent. UNOPS extra investment would therefore be justified from a business development perspective. Similar is true for the administrative capacity. An enormous amount attention from IWC went towards the serious capacity concerns towards the ASCLME administration: vendor relationships were at stake, payments enormously delayed. ... the attention IWC paid to the administrative management of ASCLME is certainly disproportionately high vis-à-vis the other projects in the portfolio. The income UNOPS generates from the management of the IW projects defines the scope of capacity which UNOPS makes available to the IW portfolio. There is no doubt that capacity could easily be augmented, but these demand the availability of additional income for UNOPS. ... the non-payment or late payment of a number of vendors have been a very serious concern of IWC – but certainly beyond its control. Documentaiton has either not at all or only in a limited fashion been submitted and again, required an inordinate amount of time to be settled finally. A very constructive approach between ASCLME management and IWC, and the recruitment of a

very skilled new Administrative officer has helped to stabilize the situation and turned the clock back to normal after dire times. With the departure of the administrative officer, IWC has once again silently agreed to special arrangements and non-replacement. IWC has also taken on additional responsibilities for voucher processing, an additional task that the IWC unit in CPH could normally not shoulder. “

A serious operational issue occurred when the locally recruited Financial Officer (FO) for the project was sent away from the PMU by the Project Manager for inappropriate behavior. The FO immediately complained to UNOPS about certain PMU personnel, including the Project Manager, which complaint initiated an investigation by UNOPS. The incident with its investigation became a major disruption to the operations of the ASCLME, as PMU staff were pulled from their duties to tend to the investigation. In the opinion of several of the PMU staff, as well as some Steering Committee members aware of the investigation, this matter set the project back some six months. In the end, the FO was released from her duties, and a new FO was brought in. According to UNOPS: “a very skilled replacement was hired who stabilized the project management situation. When she left, ASCLME decided not to replace her. IWC has strongly objected to that as it had to assume these additional project responsibilities. Under exceptional circumstances and as an investment into future arrangement IWC has agreed to these exceptional additional task – but made it very clear that this is far from optimal given the particularly onerous scope of the project.” Although this investigation and subsequent delay are not the fault of UNOPS, certainly assuring that this position was subsequently and continuously filled (as a UNOPS hire) by a qualified individual was a UNOPS responsibility that appears not to have been fulfilled in part due to the PMU stated desires.

A minor outcome of the investigation was that the Project Manager was reprimanded for certain actions that were considered to be in violation of UNOPS Rules and Regulations. UNOPS provided neither the individual involved nor the UNOPS responsible person with a copy of the investigation, and thus there was no recourse for this reprimand which sits in the file of the Project Manager, who otherwise has performed quite well in this TDA/SAP project. This lack of transparency does not reflect well of UNOPS procedures. UNOPS has responded to this issue in the following fashion: “in accordance with applicable rules for investigations, and in the best interest of parties involved, investigative reports are not disclosed. However the IWC SPM has prepared a summary or relevant content for the Project manager so he was informed about the investigative content and could address important managerial questions.”

As an example of the final issue the project had with UNOPS is the difficulty of the Project Manager to get an operational budget accounting from UNOPS. UNOPS uses an accounting system that is not output-oriented, so much as input-oriented. Whereas a company’s financial accounting would be able to track human resources and expenditures/obligations by output, the UNOPS accounting system does not appear to do this easily. This leaves the Project to create a parallel accounting to see how much money has been spent from various budget tasks, to plan for future expenditures. UNOPS has responded to this comment as follows: “UNOPS has an online management system which allows each manager to get a live status of accounts at any moment. Intense trainings with Managers and support personnel have been undertaken to ensure the info is accessible. Managers are also trained to operate the Atlas budget in conjunction with an output based expenditures plan.” This Evaluator considers this to be an unreasonable burden on a project that is trying to keep its overall Administrative costs to a low level, when it is paying a higher percentage of the overall budget to UNOPS to provide such tracking. UNOPS has responded to this comment as follows: “It does not. The PMU is in charge to operate and monitor the budget. That is clearly stipulated in relevant TORs of key personnel.”

There was a concern expressed that the complexity of this project far outweighed the resources available for management of the project. This is a common concern, in the Evaluator's opinion, for several of the LME projects (such as the Yellow Sea LME project). When the GEF restricts the amount of funding for administrative resources for the project, it has the potential to backfire in that the project becomes poorly managed and thus weakens its delivery. Fortunately, for the ASCLME project, the management team was up to the challenge and pulled off the management without major problems, using adaptive management to assure expenditures were within budget. At times, these decisions led to certain activities not being completed (POPs activities; certain Community Engagement activities).

3.3 Project Results

Overall results (attainment of objectives) (*)

The Project Objective is “to undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information will be used to develop a TDA and SAP for the ACLME and a TDA for the southern portion of the SCLME”. The project objectives were attained in full, as follows:

- An environmental baseline assessment of the ASCLME was undertaken, and succeeded at a high scientific level as evidenced by the more than 100 scientific publications written from activities from this project.
- A TDA was developed jointly by the ASCLME project and the SWIOFP project covering both the Agulhas and Somali Current LMEs, as well as a third, separate LME to the east of the region: the Mascarene Plateau LME. This TDA was developed based on national
- A SAP was developed jointly by the ASCLME project and the SWIOFP project covering both the three LMEs: Agulhas and Somali Current LMEs, and the Mascarene Plateau LME. The SAP was developed quite late in the project timeline, as the ASCLME project had to wait on input from the SWIOFP input for development of their joint TDA. As the TDA was late, less time was available for SAP development. As a result, the SAP is not as robust as it otherwise might be, but it is sufficient as a guideline for SAP implementation, as it addresses governance issues, policy and regulatory reform, community engagement, private sector engagement, and related priority issues.

Thus, in terms of quality and completeness, the ASCLME project attained all the objectives set out in the Project Document.

From an activity perspective, some activities planned according to the project Document were not as successful as others, for a variety of reasons. Two notable areas of weakness are:

- Community engagement: The community engagement activities that were carried out mainly consisted of DLIST and the Nine Local Economic Development plans (LED). These were successful, in that the DLIST site has engaged large numbers of hits since its inception (506 registered members by Feb. 2013, and more than 29,000 “hits” at that time). The LED sites submitted reports regarding their activities, and future investment potential. These investments are incorporated into the SAP implementation plan. However, beyond these two activities, there was no broader community engagement effort. This is in large part due to the lack of co-financing promised to this component by ACEP (more than \$1,000,000), which was not available due to changes in national priorities (note that ACEP in fact provided an equal amount of co-financing but to different areas of the project). However, community involvement is extremely important

in this project area, since the majority of fisheries in the ASCLME area are artisanal fisheries.

- Persistent Organic Pollutants (POPs): The Project Document specified certain work to be performed regarding POPs. This component had to be dropped during the inception phase, as the project had to reallocate monies from the budget to other areas in response to GEF and STAP comments. Thus, the POP component was not completed.
- Policy: the project had a Policy and Governance Coordinator at the PMU for several years. Unfortunately, the position focused mostly on Governance issues, and less on policy. National policies regarding the ASCLME area were reviewed in the individual MEDAs, and gaps were included in various portions of the SAP. However, no thorough policy analysis was performed for the ASCLME project, which has led to some weaknesses in the SAP, and consequently to the SAP implementation documents.

Relevance

Relevance is a measure of the extent to which the activity is suited to local and national development priorities and the extent to which the project is in line with the GEF Operational Programs or strategic priorities.

The project participants all saw the project as relevant, though to varying degrees. Certainly, the project complies with relevance from a GEF perspective, as the project follows the GEF operational programs and strategic priorities closely. If not, the project would not have been funded; and the positive results of the project bear out the Project Design as proposed and approved.

- As for relevance to local and national priorities, the answers are a bit more mixed. From a South African perspective, for instance, the project is seen as highly relevant, given their interest in the Coelacanth habitat (for example), as well as healthy interest in national fisheries and fisheries in areas beyond national jurisdiction (ABNJ). There is a concern over fishing and mining being done in areas just beyond national jurisdiction where at present there is no effective international protocol that would protect environmental/ ecological interests in these areas. The issue of ABNJs is common to a number of the countries in the ASCLME region.

Mauritius found the project highly relevant, as it demonstrated to all the countries of the region the commonality of coastal issues. The understanding of the requirement for coastal communities to work together within an ecosystem framework was highlighted; more attention should be spent on this aspect in the SAP implementation project. The project was highly relevant as a knowledge gap filling exercise in deep water ecosystem processes, since quite little was known about this 3-LME region in the deeper water. Without such a project, this knowledge might never have come to light.

Madagascar found the project was able to enhance interest in the marine environment in their country. Madagascar is weak in resources (human, institutional and facilities) so the project was able to highlight the importance of these ecosystem issues and approaches, and demonstrate how they can be approached for proper environmental management. They found that the community involvement was also useful, though limited, as the communities involved found the LED exercises useful.

Tanzania found the project in line with national priorities, except that greater national participation in project development would help optimize such alignment.

Discussions between the Evaluator and stakeholders reflected the opinion that the project is relevant to development priorities, especially in its interaction with fisheries and activities on land. The ecosystem based approach seems to strike resonance with regulators and scientists in the region.

Effectiveness and Efficiency:

The overriding view was that the ASCLME project was carried out both effectively and efficiently. Remembering that the ASCLME project's development objective focused on baseline analysis, TDA and SAP processes, the strong performance of the project in providing new data where data previously were lacking is impressive. Rather than the planned ship time envisioned by the Project Document, the number of ship days was increased by 30%, whereas the GEF contributed to 21% fewer ship days than planned, and at a lower rate due to strong negotiation by the PMU. The remaining ship days were paid for using co-financing, much of which was not anticipated at the outset of the project. Since ship costs were perhaps the single most expensive part of the GEF contribution to the ASCLME project, this savings enabled re-programming of funds to other areas of the project.

Regarding project effectiveness, the objectives of the ASCLME were all achieved, although some of the project activities may have fallen short. A strong MEDA/TDA process assured national participation and buy-in, as well as scientific credibility, especially given the rigorous peer-review by local experts. The MEDA/TDA process was able to incorporate two of the three projects under the ASCLME Programme: the ASCLME and the SWIOFP projects. Although the timing of the three projects was not concurrent, these two projects were able to produce a single TDA and a single SAP, leading to cost savings as well as increased effectiveness in process. The SAP itself was produced under considerable time pressure, given the extended duration of the TDA process which was mandated by the joining of the ASCLME and SWIOFP TDA inputs. As a result, the SAP provided less specific, less detailed SAP actions, in favor of more general SAP actions to be considered. In the Evaluator's opinion, the SAP is still a useful guide for implementation using GEF, national, private sector, and other donor support.

Another area showing project efficiency was the use of national experts for the vast majority of the activities in the project. Peer review, a process normally performed by international experts, was in this case performed almost entirely by local experts. The WIOMSA provided peer review for the MEDAs, for instance, which likely assisted the national acceptance of the reviews greatly. The PMUS's international staff was available for backstopping and training, but it was the national experts who did much of the work. This use of national experts likely also contributed to project effectiveness.

Efficiency is also demonstrated by the level of co-financing achieved by the project. The co-financing anticipated in the Project Document was \$18.2 million from Government and others. Actual co-financing was \$25.9 million, an increase of 42%. This co-financing was largely used to enhance the baseline data collection for the project.

Country Ownership

Country ownership can be demonstrated in numerous ways. The metrics used in this evaluation include the various participatory mechanisms availed by the countries.

- Project Steering Committee Meetings (PSC): PSCs were always well attended, with the national focal point or his/her representative in attendance, as well as national experts as required. The exception to this participation was Somalia, which with its unsettled political situation was not always able to participate in the PSCs. It did, however, attend 80% of them and only missed the last one due to internal administrative changes in government.
- Policy Advisory Committee (PAC): In the last two years of the project, a Policy Advisory Committee was established to provide inputs and pathways to/from higher level national authorities and the ASCLME project. Key duties were to help the PSC and the

- PMU develop national understanding and ownership of the MEDA/TDA and the SAP, ultimately to secure national approvals for these documents. All countries attended the PACs, generally with several higher level political attendees.
- MEDA/TDA process: A mechanism was put in place in each country to develop strong country contribution to the MEDA/TDA process, to assure country ownership. National workshops provided strong interim reports on not only technical ecosystem details, but also on causal chain analysis, root cause analysis, and related analytical metrics. This comprehensive process led to strong MEDAs and a strong TDA, with in-depth country inputs. The use of the MEDA, in particular, was one strength of the ASCLME process, that led to stronger country ownership by permitting broader participation in the data-gathering and synthesis process than would occur by sending one or two people to a regional workshop.
- SAP process: Although the SAP preparation was compressed in time, the use of national committees to develop and prepare input for the SAP occurred in each country. SAP workshops were held in each country, and produced priority inputs for the regional SAP. The SAP was then reviewed not only by the experts, but also by the PSC and the PAC, to improve and strengthen it. The Evaluator attended special meetings of the PSC and the PAC to observe this process, where it was clear that country ownership of the SAPs were strong, and inputs quite detailed and specific.

Budget expenditure: as mentioned earlier in this Evaluation, the project expenditures were designed to focus the majority of project funding on countries. In summary, this meant that well over 70% of GEF funding was to be disbursed throughout the region into actual on-the-ground activities and support that assisted the countries in the development of the TDA and SAP.

Mainstreaming

UNDP supported GEF financed projects, as key elements in UNDP country programming, are intended to align with country programme strategies as well as with international environmental conventions. Thus, this evaluation addresses the mainstreaming of the ASCLME project vis-à-vis the country priorities and UNDP priorities. To this end, the Evaluator reviewed, where they exist, the UN Development Assistance Framework and the UNDP Country Programme Action Plan (CPAP) where they exist (in all countries except Mauritius and Seychelles, which are exempted from that requirement).

All ASCLME country CPAP have a strong emphasis on sustainability and environment. This includes in various countries a focus on biodiversity management, protected areas, climate change, and sustainable natural resource use. In Mauritius and Seychelles, a strong focus on sustainability and environment exists. Adaptive management is a common theme, as is sustainable development. The ASCLME is congruent with these UN directions, as sustainable use of marine resources is an outcome of ecosystem based management.

The CPAPs also focus on gender issues, and the rural poor as well as vulnerable groups. The ASCLME project ultimately addresses these community issues, although in the present project the focus was not as strong. Future projects related to the ASCLME should take into account the rural poor, gender issues, and vulnerable groups more specifically. The present project addressed these groups from the standpoint of assessment of artisanal fisheries, which activity will follow on the SAP implementation project (if funded) that strongly focuses on incorporation of communities (vulnerable groups and rural poor) on contributions to sustainable management, and on contributions to the policy and governance regarding sustainable artisanal fisheries and ecosystem management.

As for gender, the project did not have a specific mandate for gender. However, the participation of the experts and management structure for this project showed a stronger gender balance than many other GEF

projects that the Evaluator has been involved in. From a training perspective, some 25% of the trainees were female. This is a remarkable number, given the difficulties of training at sea with a mixed crew (few research vessels are set up for this eventuality). Of course, not all training was at sea, but still the gender balance was better than might be expected, especially since oceanography, in general, is only weakly represented by women.

Sustainability

This is a crucial issue for the ASCLME project. Many LME regional projects end with an agreed regional document that states the commitments of the states to LME governance. For instance, the BCLME project culminated with a signed Benguela Current Convention in March 2013, some six years after the Benguela Current Commission was formed. The presence of a negotiated, agreed Convention or similar document provides some assurance that a mechanism and commitment are in place for long-term sustainability of the GEF intervention.

Creation of a new commission is not a strong likelihood for the ASCLME region, as stated by an ASCLME report on Policy and Governance: “However it is clear that there is little appetite in the WIO region for a similar approach with the ASCLME/SWIOFP Projects. Participating countries have expressed concern on a number of occasions – including at Steering Committee meetings of the ASCLME Project - that they are not interested in supporting the creation of an Agulhas and Somali Currents Commission.” This governance study performed by the ASCLME project provided several governance alternatives for the sustenance of the ASCLME, including a status quo, use of an existing mechanism, or a Structured Non-Binding Collaboration and Cooperation Mechanism. The latter mechanism is similar to what has been set up in the PEMSEA project, where eleven countries participate through a partnership which has been formalized by the Haikou Partnership Agreement and operating agreements among all the partners.

The second mechanism is also a possibility, as at the recent Ad Hoc Special Meeting of the South West Indian Ocean Fisheries Commission (SWIOFC), the parties agreed to investigate the possibility of transition from an FAO Article VI (Advisory) Body to an FAO Article XIV (Regulatory) body, which would operate with more independence and under its own funding. If the transition is accomplished, and since the FAO now considers an ecosystem approach to fisheries management (EAF), then the SWIOFC might be a high probability channel towards sustainability.

The ASCLME has set up, as one of its success stories, the Southwest Indian Ocean Alliance (sometimes called the Southwest Indian Ocean Strategic Ecosystem Alliance or SWIOSEA). This partnership includes not only the countries through the ASCLME project, but also 31 entities beyond the nine national governments, including NOAA, universities, and others.

Thus, the path to sustainability for the ASCLME project area seems to follow one of two mechanisms: either through a PEMSEA-like partnership or through an entity such as the SWIOFC. Sustainability through this mechanism would include financial dimensions and institutional/governance dimensions, while minimizing socio-economic risks.

Environmental risks for sustainability of the project are increasing, and need to be addressed in the SAP implementation project (for the WIO-LaB, SWIOFP, and ASCLME projects). One major risk is the new oil and gas industry, which has expanded significantly in Madagascar, Kenya, and Mozambique. Clearly, any governance mechanism in the future for this ASCLME region must take into consideration the emergent offshore oil and gas sector.

Impact

Since this project was a foundation-setting project (IW project developing a TDA and SAP), stress reductions and status change impacts have not been measured. Rather, this Evaluator has used potential for sustainability of the intervention for ecosystem-based management (EBM) of the three neighboring LMEs, and outcomes from the present project as indicators of likelihood of future impact.

As discussed in the previous section, the likelihood of a sustainable financing and governance mechanism for the future ecosystem based management of the ASCLME is reasonably high. Thus, one can expect that given governmental and stakeholder continued support for the application of EBM, the financing and governance mechanisms will be in place to oversee EBM for the ASCLME region.

Outcomes from the ASCLME project support this viewpoint. With the strong MEDA/TDA process and with the SAP now in hand and soon expected to be approved, the region has tools to move towards impacts in the areas of stress reduction and ecological improvement. The MEDA/TDA documents provide the foundational information basis for EBM, with strong indications of baseline conditions in many areas relevant to EBM. In addition, the MEDA/TDA process itself leads to conditions for sustainability of EBM efforts, in that cadres of individuals in each country participated in the ASCLME efforts, benefitting from training, active participation, scientific investigation, policy and governance efforts, etc., that now leaves each country in a stronger position of educated stakeholders. Similarly, the SAP process brought nationals from the region into a regional context to understand regionality of ecosystem problems and to develop regional solutions to these problems.

One interviewee mentioned that the governments of the countries of the ASCLME region now have been sensitized to the importance of EBM of marine regions such as LMEs. In their opinion, this is a significant impact that would not have happened otherwise.

In terms of positive impacts outside the stress reduction/ ecosystem change rubric, the responders to questionnaires mentioned that the ASCLME and SWIOFP projects were the first project to bring the region together to understand the shared nature of their common marine resources (beyond just fisheries), and to bring the governments to understand that only regional solutions will be able to address effectively these regional problems to their national benefits. Another positive impact of the project was the creation of the SWIOSEA (Alliance) that included 31 entities besides the national governments through the ASCLME project, to share planning, project implementation, funding, etc. commonly to the benefit of all. This Alliance has led to significant impacts in terms of broadening the community of active Stakeholders, and getting their investment into the success of the project.

The ASCLME Project, through the strength of the partnerships it has created and through the WIOSEA, has also catalysed and driven the creation of an African Centre for Capacity-Building in Ocean Governance (AfriCOG). This entity had initially arisen out of a 3-way partnership between the ASCLME Project, Rhodes University and the UNDP GEF IW:LEARN programme and was formally created through Rhodes University as part of a long-term marine contribution to the development of a UNESCO Type One University. In developing this Centre, Rhodes University and the ASCLME Project have also reached out to include a partnership with other Universities including the Nelson Mandela Metropolitan University and the University of Fort Hare. More recently other institutes (academic and research-orientated) have joined this partnership, both from within and beyond South Africa. The main vision of such a Centre is to provide a partnership and support for training and strengthening Pan-African capacity and skills in Marine Resource Management and Ocean Governance (particularly in relation to the LME approach) and to enhance and encourage the use of trained human resources in the sustainable

management and use of coastal and marine goods and services for the long-term security and welfare of associated countries and communities. An overarching objective for AfriCOG would be to focus strongly on institutional training and strengthening rather than just individuals. Some of its expected deliverables would be:

- Platforms for constructive partnerships and research, key expertise, mentorship, post graduate studies (MSc PhD), appropriate courses and research programmes.
- Trained researchers and managers in the Ecosystem Approach to management of living marine resources.
- Providing training and demonstration of inshore and offshore ocean monitoring along the African coast
- Courses in Ocean Governance aimed at managers; decision-makers; technical level
- Development of national and regional level governance and management mechanisms based on a weight-of-evidence approach derived from sound scientific data and monitoring results.

Clearly such a major initiative and partnership could represent enormous value and support to capacity building and training during the next stage of SAP Implementation.

4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS LEARNED

The conclusions from the Evaluation are provided below in the Ratings for the project. Overall, the rating for the project was Satisfactory, the second highest rating possible (two out of six possible). The two top ratings of highly satisfactory, were for Overall Quality of Project Implementation/Execution and Overall Quality of Project Outcomes. This rating was provided because of the strong dedication and work ethic of the PMU staff (one interviewee stated that the PMU coordination was “the as good as any PMU could be, with excellent leadership and a good team”). It was also provided because the ASCLME Project, as written, was an nearly impossible project to carry out as it was too complex and all-encompassing for the budget assigned to it. Despite this, the countries assisted by the PMU were able to accomplish nearly all of the tasks, and to exceed the expectations in some cases (two examples: the innovation of national Marine Ecosystem Diagnostic Analyses as inputs to the TDA; a second, budget allocated to shiptime was 25% under what was allocated, in spite of having 31% more ship days spent in baseline data collection activities). Although some areas of project implementation were less than satisfactory (the breadth of Community Engagement and the Persistent Organic Pollutant activity), in general all project outcomes were achieved in spite of restrictive budget.

Table 10: Rating Table for Project Performance

Rating Project Performance		
Criteria	Comments	
monitoring and Evaluation: Highly Satisfactory (6), Satisfactory (5) Moderately Satisfactory (4), Moderately Unsatisfactory (3), Unsatisfactory (2), Highly Unsatisfactory (1)		
Overall quality of M&E	(rate 6 pt. scale)	5
M&E design at project start up	(rate 6 pt. scale)	5
M&E Plan Implementation	(rate 6 pt. scale)	5
IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation/Execution	(rate 6 pt. scale)	6
Implementing Agency Execution	(rate 6 pt. scale)	5
Executing Agency Execution	(rate 6 pt. scale)	4
Outcomes Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	6
Relevance: relevant (R) or not relevant (NR)	(rate 2pt. scale)	2
Effectiveness	(rate 6 pt. scale)	5
Efficiency	(rate 6 pt. scale)	5
Sustainability: Likely (1); Moderately Likely (2); Moderately Unlikely (3); Unlikely (4).		
Likelihood of Sustainable Future	(rate 4pt. scale)	3
Financial resources	(rate 4pt. scale)	3
Socio-economic	(rate 4pt. scale)	3
Institutional framework and governance	(rate 4pt. scale)	3
Environmental	(rate 4pt. scale)	3
Impact: Significant (3), Minimal (2), Negligible (1)		
Environmental Status Improvement	(rate 3 pt. scale)	1
Environmental Stress Reduction	(rate 3 pt. scale)	2

Rating Project Performance		
Criteria	Comments	
Progress towards stress/status change	(rate 3 pt. scale)	2
Overall Project results	(rate 6 pt. scale)	5

ratings Scales		
ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability ratings:	relevance ratings
6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency 5: Satisfactory (S): There were only minor shortcomings 4: Moderately Satisfactory (MS):there were moderate shortcomings 3. Moderately Unsatisfactory (MU): the project had significant shortcomings 2. Unsatisfactory (U): there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency 1. Highly Unsatisfactory (HU): The project had severe shortcomings	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML):moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1.. Not relevant (NR) Impact Ratings: 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A)		

4.1 Corrective actions for Design, Implementation, Execution and M&E of project

Some corrective actions appear clear at this point of a Terminal Evaluation. These actions are in a variety of areas as described below.

- Project Design: There were some weaknesses in the project design, that led to problems in implementation. First, the project was overly ambitious. Rather than focusing on addressing a smaller subset of outputs, the project proposed a rather undoable number of activities and outputs, relative to the funding level and time table. Although the project objectives were quite appropriate, the actual components were too ambitious. The tendency for overambitious projects probably comes from implementing agencies trying to foresee or address all GEF, STAP, and country comments; however, the Implementing Agency needs to protect the project and its staff by proposing appropriate levels of activities suitable to the funding. A second area of weakness in project design was in the area of public participation and community involvement. A pre-approved contractor was provided in the project, without sufficient detail as to what that contractor was to be doing. Consequently, the descriptions of activities were vague, leaving little guidance for effective implementation. This imprecision led to delays in the start of this component, and delays in implementation. In general, this Evaluator considers it far from clear as to how to go about Community Involvement in a nine-country project, and so great specificity is required at the Project Document stage to prevent misunderstandings and to use the funds well.
- Project Implementation: Project implementation in general was excellent, as shown by the rating, as somehow the limited staff was able to help coordinate the countries' efforts to achieving success in most of the activities. Areas that were not as successful included Community engagement (a result of co-financing from ACEP for this component failing to materialize), and POPs (a reasoned decision to address other activities identified by GEF and STAP).

- Project Execution: Closer relations between the EA and the project were required in the second half of the project, but never seemed to evolve at a time when needed most. Specifics are discussed in the Evaluation above.
- IA performance: Although the project was officially under UNDP Mauritius, day-to-day UNDP oversight came largely from UNDP South Africa, under the office of the Regional Technical Specialist for International Waters/TACC, UNDP Regional Center for Eastern & Southern Africa. The combination of UNDP inputs from Mauritius and Pretoria led to effective IA backstopping.

4.2 Follow-up Actions

Actions to follow up or reinforce the initial benefits from the project are clear. The current ASCLME needs to extend its lifetime on existing budget until a follow-on project (SAP implementation) can be crafted and approved. Else, the leadership of this GEF-led project in developing an Alliance network would disappear and the fate of the Alliance, which should show its strength in SAP implementation, may be at risk.

First, the countries need to approve the SAP. Although approval at the Project Steering Committee Level has been obtained, approval at higher levels in each country are required. This will pave the way towards future GEF intervention.

A follow-on GEF project focused on SAP implementation should be developed by UNDP and approved by the GEF IW. There is currently national ownership of the LME concept for the region, but in this human resource challenged region, the leadership of GEF towards developing sustainable policy and governance for the three LMEs (Agulhas Current, Somali Current, and Mascarene Plateau) is crucial and momentum should not be lost. As stated by an interviewee, no efforts prior to the ASCLME and SWIOFP projects have been as effective in creating a regional consensus on priority marine problems in the region, and have resulted in such close cooperation amongst the nine nations involved (plus France, as a non-GEF eligible country).

4.3 Future Directions

The next GEF-able activity should focus on SAP implementation. As agreed by the Implementing Agencies at an informal meeting in Dar Es Salaam, Tanzania, on 28 February 2013, each implementing agency (UNEP, UNDP, and World Bank) will be submitting proposals to GEF for SAP implementation to follow on their areas of the ASCLME Programme. UNEP has an approved PIF for a follow-on project; UNDP will submit a PIF for action this year; and the World Bank will follow on in a timely fashion tied in some degree to the possible transformation of the SWIOFC.

For UNDP, the SAP implementation should focus on core strengths of UNDP, including components addressing:

- Executing Management and Policy Reforms through a Knowledge-Based Governance Mechanism
- Secure improved Stress Reduction within the LMEs through Community empowerment in the SAP Management Process
- Deliver Private Sector/Industry Commitment to and execution of Stress Reduction activities and transformations in management practices
- Negotiating and Executing Effective Management Mechanisms for Extended Continental Shelf and High Seas areas within the LMEs
- Realignments in Institutional Arrangements for stronger coordination and partnerships

The objectives of this SAP implementation could include: To deliver and execute the agreed management reforms and policy realignments for effective long-term ecosystem management in the Western Indian Ocean LMEs in line with an endorsed Strategic Action Programme.

4.4 Recommendations:

The project should move into the SAP implementation under GEF support, once the nine countries formally approve the SAP, and once UNDP has a PIF approved and the Project Document approved . These steps should take place quickly so momentum is not lost.

Until a follow-on GEF project is approved and funded, bridge financing should be found to allow the PMU to continue to operate until the next project is able to begin.

4.5 Lessons learned:

GEF and the IAs should take to restrict projects to reasonably achievable numbers of outputs and activities. Although GEF, STAP and Agency comments always want to see more out of a project, care must be taken to limit the outputs and activities to a reasonable level that is achievable with the resources allocated.

Pre-approved contracting has helped lead to uncertainties in this project, and therefore to insufficient overall achievement (in the case of Community engagement). Pre-approval of contractors by GEF must be done with forethought, realizing that such pre-approvals may hinder rather than enhance project success.

The Project Steering Committee should be comprised of high level policy officials, and not technocrats or scientists. The appropriate level of membership in the PSC must be clear in the Project Document, which will then be signed by all countries. The uneven level of PSC membership in the ASCLME project led to the necessity to constitute a new body (the PAC), which in the end allowed the project to achieve its national ownership.

Executing Agency backstopping should pay particular attention to the Financial Administrative staff, as much of the financial reporting has devolved to this level in the Project. Lacking effective financial administration, planning and implementation by the Project Manager would be seriously hampered.

Private sector needs to be a key player even in foundational capacity building activities of the GEF, in order to secure a higher probability for long-term sustainability of interventions.

Project management for highly complex, multi-national (9) projects such as this must be backed by sufficient resources to allow interaction and close negotiations with all participating countries at high governmental levels. Project management for such complex projects characteristic of the International Waters focal area is notoriously demanding and sufficient financial support must be permitted for success. Lacking close coordination with high-level governmental bodies will reduce the likelihood of project sustainability.

5. Annexes

- I. ToR**
- II. Itinerary**
- III. List of persons interviewed**
- IV. Summary of field visits**
- V. List of documents reviewed**
- VI. List of WIOSEA partners**
- VII. Evaluation Question Matrix**
- VIII. Questionnaire used and summary of results**
- IX. Evaluation Consultant Agreement Form**

Annex G: Evaluation Report Clearance Form

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____

ⁱ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

TERMS OF REFERENCE (Individual Contractor Agreement)

Title: Terminal Evaluator
Project: ASCLME/47255
Duty station: Home based
Section/Unit: IWC
Contract/Level: International ICA, Level 3
Duration: 02/01/2013 **through** 01/03/2013
Supervisor: Senior Portfolio Manager, Katrin Lichtenberg

1. General Background

(Brief description of the national, sector-specific or other relevant context in which the individual contractor will operate)

The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project is part of a multi-project, multi-agency GEF supported Programme (UNDP/GEF ASCLME Project, UNEP/GEF WIO-LaB Project, and WB/GEF SWIOFP) the aim of which is to institutionalise a cooperative, adaptive and results based management of the western Indian Ocean. A phased approach is planned that progressively builds the knowledge base and strengthens technical, managerial and decision-making capabilities at the national and regional scales so as to address environmental concerns and transboundary developments (in all relevant sectors); builds political will to undertake threat abatement activities; and leverages finances proportionate to management and governance needs.

The geographic coverage of the GEF-funded UNDP-supported ASCLME Project includes the marine and coastal area under the influence of two major currents – Agulhas Current and the Somali Current as well as the influence of the South Equatorial Current across the Mascarene ridge and basin. This encompasses ten countries –Comoros, France (Reunion and Mayotte and Indian Ocean Islands), Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa and Tanzania). The region also includes ocean areas that are beyond the jurisdiction of these countries.

The activities within the ASCLME Project for the first phase are focused on the collection of coastal and offshore data and information and capacity building. This is achieved by using research cruises to capture essential information relating to the dynamic ocean-atmosphere interface and other interactions that define the LMEs, along with critical data on offshore fisheries (to be provided by SWIOFP), and open water larval transport. The cruise data is supplemented with data and information collected on near-shore oceanographic conditions; the identification of nursery areas along the coast as well as socio-economics (livelihoods) and governance mechanisms. The overall objective of this data capture is to deliver, in the first instance, national Marine Ecosystem Diagnostic Analyses (MEDAs) that feed into national policy and governance briefs, regional Transboundary Diagnostic Analyses (TDAs), National Action Plans (NAPs) and a comprehensive Regional Strategic Action Programme (SAP). The implementation of the recommended actions in the MEDAs at national level and the regional SAP would require policy, legal and institutional reforms as well as

sustainable financing. An important and active component of this process has been the evolution of sustainable partnerships for implementation of the SAP through a Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA).

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project (PIMS 2205).

The essentials of the project to be evaluated are as follows:

Project summary table

Project Title:	Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project			
GEF Project ID:	2205		<i>at endorsement</i> (Million US\$)	<i>at completion</i> (Million US\$)
UNDP Project ID:	00047255	GEF financing:	12,923,000	
Country:	Multiple	IA/EA own:		
Region:	Africa	Government:		
Focal Area:	IW	Other:		
FA Objectives, (OP/SP):	OP	Total co-financing:	18,262,500	
Executing Agency:	UNOPS	Total Project Cost:	31,185,000	
Other Partners involved:	NOAA, Norway, France, UNEP, FAO, EcoAfrica, Participating Countries	ProDoc Signature (date project began):		July 2007
		(Operational) Closing Date:	Proposed: 31 st August 2012	Actual: 31 st March 2013

2. Purpose and Scope of Assignment

(Concise and detailed description of activities, tasks and responsibilities to be undertaken, including expected travel, if applicable)

The project was designed to: institutionalise a cooperative, adaptive and results-based management of the western Indian Ocean. A phased approach is planned that progressively builds the knowledge base and strengthens technical, managerial and decision-making capabilities at the national and regional scales so as to address environmental concerns and transboundary developments (in all relevant sectors); builds political will to undertake threat abatement activities; and leverages finances proportionate to management and governance needs.

Evaluation Approach:

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

An overall approach and methodⁱ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects.

A set of questions covering each of these criteria have been drafted and are included with this TOR. The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

Evaluation Ratings:			
1. Monitoring and Evaluation	<i>rating</i>	2. IA& EA Execution	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	<i>rating</i>	4. Sustainability	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Grahamstown, South Africa. Interviews in person or by phone/SKYPE or by written questionnaire will be held with the following organizations and individuals at a minimum:

- Project Coordination Unit staff;

- UNDP Country Office in Mauritius;
- International consultants involved in the project (at least two);
- National consultants involved in the project (at least two);
- National government stakeholders, which may include: MAPE (Comoros), Ministry of Environment and Mineral Resources and KMFRI (Kenya); SAGE (Madagascar); MOI (Mauritius); MICOA (Mozambique); ACEP, SAIAB, SAEON, DAFF, DEA, Rhodes University (South Africa); NEMC (Tanzania); Ministry of Environment and Energy, National Parks Authority (Seychelles); DRAM Reunion (France)
- Country Members of the Project Steering Committee where not covered by the preceding bullet;
- Regional and International Members and Observers of the Project Steering Committee;
- Other Partner Projects and Institutions, particularly those forming part of the western Indian Ocean Sustainable Ecosystem Alliance that have signed Aides-Memoire or MoUs with the Project
- The UNDP-GEF Regional Technical Advisor in Pretoria;
- UNOPS Task Manager in Copenhagen.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. . A list of documents that the project team will provide to the evaluator for review is included as Annex B of this Terms of Reference

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A – Seperate Attached Document), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: relevance, effectiveness, efficiency, sustainability and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex D.

Evaluation Ratings:			
1. Monitoring and Evaluation	<i>rating</i>	2. IA& EA Execution	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	<i>rating</i>	4. Sustainability	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	

		Overall likelihood of sustainability:	
--	--	---------------------------------------	--

Project finance:

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

Mainstreaming:

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

Impact:

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievementsⁱⁱ.

Conclusions, recommendations and lessons learnt:

The evaluation report must include a chapter providing a set of **conclusions, recommendations and lessons**.

Implementation arrangements:

The principal responsibility for managing this evaluation resides with the UNDP CO in Mauritius. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

3. Monitoring and Progress Controls

(Clear description of measurable outputs, milestones, key performance indicators and/or reporting requirements which will enable performance monitoring)

The TE is expected is expected to deliver the following where 35 working days have been allocated:

Activity	Timing
Preparation	7 days
Evaluation Mission	8 days
Draft Evaluation Report	12 days
Final Report	8 days

The consultant is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

With the following payment schedule:

%	Milestone
20%	Upon submittal of Inception Report
40%	Following submission and approval of the 1ST draft terminal evaluation report
40%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal

4. Qualifications and Experience

(List the required education, work experience, expertise and competencies of the individual contractor. The listed education and experience should correspond with the level at which the contract is offered.)

a. Education (Level and area of required and/or preferred education)

MSc or equivalent in a related biological or natural resources management field

b. Work Experience

(List number of years and area of required work experience. Clearly distinguish between required experience and experience which could be an asset.)

- Minimum 15 years of relevant professional experience in Large Marine Ecosystems, Ecosystems Approaches, Oceanography, Transboundary Management and International Waters etc.
- Previous experience with results-based monitoring and evaluation methodologies
 - Experience in working with multi-disciplinary and multi-national teams to deliver quality products in high stress and short deadline situations;
 - Experience working in diplomatic environments;
 - Experience working with GEF International Waters projects is an advantage;
 - Excellent in human relations, coordination, planning and teamwork including demonstrable management experience;

c. Key Competencies

(Technical knowledge, skills, managerial competencies or other personal competencies relevant to the performance of the assignment. Clearly distinguish between required and desired competencies)

- Excellent English writing and communication skills.
- French and Portuguese would be an added advantage but is not essential – where necessary an interpreter will be provided.

Evaluator Ethics:

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

ANNEX A: PROJECT LOGICAL FRAMEWORK

Please see separate ASCLME LogFrame.pdf document.

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

Draft Transboundary Diagnostic Analysis

Draft Strategic Action Plan

Minutes of Steering Committee Meetings

Quarterly Reports and Annual PIRs

Mid-term Evaluation

ASCLME Project Document

Misc. Cruise Reports and other reports emanating from the project.

ANNEX C: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
•	•	•	•
•	•	•	•
•	•	•	•
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
•	•	•	•
•	•	•	•
•		•	•
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
•	•	•	•
•	•	•	•
•	•	•	•
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
•	•	•	•
•	•	•	•
•	•	•	•
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
•	•	•	•
•	•	•	•

ANNEX D: RATING SCALES

<p><i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i></p> <p>6: Highly Satisfactory (HS): no shortcomings</p> <p>5: Satisfactory (S): minor shortcomings</p> <p>4: Moderately Satisfactory (MS)</p> <p>3. Moderately Unsatisfactory (MU): significant shortcomings</p> <p>2. Unsatisfactory (U): major problems</p> <p>1. Highly Unsatisfactory (HU): severe problems</p>	<p><i>Sustainability ratings:</i></p> <p>4. Likely (L): negligible risks to sustainability</p> <p>3. Moderately Likely (ML): moderate risks</p> <p>2. Moderately Unlikely (MU): significant risks</p> <p>1. Unlikely (U): severe risks</p>	<p><i>Relevance ratings</i></p> <p>2. Relevant (R)</p> <p>1.. Not relevant (NR)</p> <p><i>Impact Ratings:</i></p> <p>3. Significant (S)</p> <p>2. Minimal (M)</p> <p>1. Negligible (N)</p>
<p><i>Additional ratings where relevant:</i></p> <p>Not Applicable (N/A)</p> <p>Unable to Assess (U/A)</p>		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form¹

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *place* on *date*

Signature: _____

¹www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE²

- i.** Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii.** Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii.** Acronyms and Abbreviations
(See: UNDP Editorial Manual³)
- 1.** Introduction
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
- 2.** Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
- 3.** Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated⁴)
- 3.1** Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into

²The Report length should not exceed **40** pages in total (not including annexes).

³ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

⁴ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

project design

- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results



- Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: _____	_____
Signature: _____	Date: _____

UNDP GEF RTA	
Name: _____	_____
Signature: _____	Date: _____

Project Authority (Name/Title):	Contract holder (Name/Title):
Signature _____ Date _____	Signature _____ Date _____

ⁱ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

ⁱⁱ A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

ANNEX 2: Itinerary

16 February 2013	Depart Home Base
17 February 2013	Arrive Grahamstown
18-19 February 2013	Meetings with PMU staff and stakeholders (ACEP, SAIAB)
20 February 2013	Travel to Johannesburg
21-22 February 2013	ASCLME Steering Committee Meeting: meetings with Steering Committee Members and with DLIST, Nairobi Convention, WIOMSA, UNDP staff, scientists, etc.
23 February 2013	ASCLME Policy Advisory Committee Meeting: meetings with PAC members.
26 February 2013	Arrive Dar Es Salaam, Tanzania
27-28 February 2013	Tanzania (SWIO Fisheries Commission Special Meeting): Meetings with various stakeholders (GEF, World Bank, UNEP, regional projects,
1 March 2013	Return Grahamstown, South Africa
1-7 March 2013	Meetings with PMU, ACEP, various Stakeholders (including Deputy Minister of Environment)
8 March 2013	Return to Home Base

ANNEX 3: List of Persons Interviewed

	Name	Affiliation
ASCLME		
1	David Vousden	Project Manager, ASCLME
2	Lucy Scott	Data and Information Coordinator
3	Magnus Ngoile	Policy and Governance Coordinator
4	Helen McKenzie	Personal Assistant
5	James Stapley	Communications and IT Coordinator
6	Tony Bornman	Cruise Coordinator/ ACEP Director
7	Carol Anne Amm	Financial Assistant
8	Claire Atwood	ASCLME, Media Consultant
9	Warwick Sauer	ASCLME CB&T Coordinator
Comoros		
10	Aboubacar ben Alaoui	Comoros PAC
11	Nadjat Said Abdallah	Comoros PAC
Kenya		
12	Renison Ruwa	Kenya, Deputy Director, Marine and Coastal Research, Ministry of Fisheries Development
13	Geoffrey Wahungu	Kenya, Director General, NEMA
Madagascar		
14	Hajanirina Razafindrainibe	Madagascar Steering Committee Member, Environmental Management Support Program (SAGE)
15	Herinirina Rafamantanantsoa	Director, Ministry of Tourism
Mauritius		
16	Boodhun Ramcharrun	Mauritius
17	Daniel Marie	Mauritius
Mozambique		
18	Alexandre Bartolomou	Mozambique PAC
Seychelles		
19	Dennis Mataiken	Seychelles, CEO Seychelles National Park Authority
Somalia		
South Africa		
20	Rejoice Mabudafhasi	Deputy Director DEAT, South Africa
21	Johann Augustyn	South Africa PAC; Chief Director, Marine and Coastal Management/DEAT
22	Angus Paterson	Director, SAIAB
Tanzania		
23	Baya Bonaventure	Tanzania,
24	Yohana Budeba	Tanzania, Deputy Permanent Secretary, Ministry of Livestock and Fisheries Development
25	Rose Sallema	Tanzania
26	France	
27	Jean-Luc Hall	Reunion, Directeur Adjoint, Maritime Directive
IGO		
28	Akiko Yamamoto	UNDP Southern Africa (Johannesburg) Regional

		Technical Advisor, IW
29	Satyajeet Rumchurn	UNDP Mauritius
30	Andrew Hudson	UNDP/NY, IW
31	Al Duda	Former GEF IW lead
32	Xavier Vincent	World Bank, SWIOFP Task Team Leader
33	William Lane	World Bank (retired)
34	Katerin Lichtenberg	Senior Portfolio Manager, GPSO IWC, UNOPS
35	Dixon Waruinge	Executive Secretary, Nairobi Convention
36	Aubrey Harris	FAO, Secretary, SWIOFC
37	Rondolph Poyet	Regional Executive Secretary, World Bank, Project Manager, SWIOFP
NGO		
38	Julius Francis	Executive Secretary, WIOMSA
39	Peter Scheren	WWF (former PM for WIO-LaB)
40	Francois Odendaal	CEO, ECOAFRICA Group
OTHERS		
41	Sophie des Clairs	Independent Consultant (TE for SWIOFP)
42	Bernadine Everett	WIO-Fish
43	Kieran Kelleher	Consultant to WB on SWIOFP SAP IMP
44	David LaRoche	Consultant, prepared ASCLME ProDoc
PARTNERS		
45	Rebecca Shuford	NOAA
46	Adnan Awad	IOI, IOC/ Unesco

Annex 4: Field Trips

No field trips were taken for this TE. Instead, meetings were held at three locations within the region (Johannesburg and Grahamstown – South Africa, Dar Es Salaam – Tanzania).

Annex 5: List of Documents Reviewed

1. Allaoui, A, 2011. Rapport de consultation sur la politique et la gouvernance. Vice Presidence en charge du Ministere de l'Agriculture, de la Peche, de l'Environnement, de l'Energie et de l'Artisanat. 50 pp.
2. ASCLME Alliance agreements (21)
3. ASCLME Contract documents (IT, D&I, MEDA Development, CB&T, National Cruise Coordinator)
4. ASCLME Coastal Livelihood Assessments (9)
5. ASCLME Cost benefit Analyses (Mozambique, Island States, Kenya, Somalia)
6. ASCLME Cruise Reports (17 of 45).
7. ASCLME, 2008. Principles and guidelines for Data and Information Management on the ASCLME Project, 4 pp.
8. ASCLME, 2009. Data and Information Management Plan, 12 pp. + App
9. ASCLME, misc. Minutes of meetings of Data and Information Management Coordinators.
10. ASCLME Policy Advisory Committee Minutes (August 2012, October 2012, February 2013)
11. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Comoros. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
12. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Kenya. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
13. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Tanzania. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
14. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Mozambique. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
15. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. South Africa. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
16. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Madagascar. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
17. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Seychelles. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
18. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Mauritius. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
19. ASCLME 2012. National Marine Ecosystem Diagnostic Analysis. Somalia. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
20. ASCLME 2011. Cost/benefit Assessment of Marine and Coastal Resources in the Western Indian Ocean. Kenya and Tanzania. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
21. ASCLME 2011. Cost/benefit Assessment of Marine and Coastal Resources in the Western Indian Ocean. Mozambique and South Africa. Contribution to the Agulhas and

- Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
22. ASCLME 2011. Cost/benefit Assessment of Marine and Coastal Resources in the Western Indian Ocean. Indian Ocean Islands. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 23. ASCLME 2011. Policy and Governance assessment. Comoros. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 24. ASCLME 2011. Policy and Governance assessment. Kenya. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 25. ASCLME 2011. Policy and Governance assessment. Tanzania. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 26. ASCLME 2011. Policy and Governance assessment. Mozambique. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 27. ASCLME 2011. Policy and Governance assessment. . South Africa. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 28. ASCLME 2011. Policy and Governance 35. assessment. Madagascar. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 29. ASCLME 2011. Policy and Governance assessment. Seychelles. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 30. ASCLME 2011. Policy and Governance assessment. Mauritius. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 31. ASCLME 2011. Policy and Governance assessment. Somalia. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 32. ASCLME, 2011. Capacities Available in the ASCLME region (Prof. D. S. P. Masalu,)
 33. ASCLME 2012. Coastal Livelihoods Assessment. Comoros. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 34. ASCLME 2012. Coastal Livelihoods Assessment. Kenya. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 35. ASCLME 2012. Coastal Livelihoods Assessment. Tanzania. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 36. ASCLME 2012. Coastal Livelihoods Assessment. Mozambique. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 37. ASCLME 2012. Coastal Livelihoods Assessment. South Africa. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 38. 45. ASCLME 2012. Coastal Livelihoods Assessment. Madagascar. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with

- GEF grant financing). Unpublished report.
39. 46. ASCLME 2012. Coastal Livelihoods Assessment. Seychelles. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 40. 47. ASCLME 2012. Coastal Livelihoods Assessment. Mauritius. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished .
 41. ASCLME 2012. Coastal Livelihoods Assessment. Somalia. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report.
 42. ASCLME, 2013. Strategic Action Programme.
 43. ASCLME Steering Committee Minutes (2008, 2009, 2010, 2011, 2012, 2013)
 44. ASCLME/SWIOFP 2012. Transboundary Diagnostic Analysis for the western Indian Ocean. Volume 1: Baseline.
 45. ASCLME/SWIOFP 2012. Transboundary Diagnostic Analysis for the western Indian Ocean. Volume 2: Diagnostic Analysis.
 46. Awad, A., 2012. Report on the invasive species component of the MEDAs, TDA and SAP for the ASCLME Project. Prepared for the ASCLME Agulhas Somali Current Large Marine Ecosystem project. GEF/UNDP/UNOPS, 63 pp. + App.
 47. Crochelet, E. and E. Lagabrielle, 2012. Fish larvae dispersal in the West Indian Ocean and implications for marine spatial planning. Prepared for the ASCLME Agulhas Somali Current Large Marine Ecosystem project. GEF/UNDP/UNOPS, 21 pp.
 48. Daffa, J. M., 2011. Policy and Governance Assessment of Coastal and Marine Resources Sectors within the framework of Large Marine Ecosystems for ASCLME, Tanzania. 68 pp.
 49. deLestang, J. N., and I. Carolus, 2011. Seychelles National Level policy and governance assessment for Marine and Coastal Resources. 71 pp.
 50. DLIST, Misc. Local Economic Development Plans (9: Moheli, Comoros; Kilwa, Tanzania; Le Morne, Mauritius; Joma Kenyatta Public Beach, Mombasa, Kenya; Hamburg in South Africa; Curieuse, Seychelles; Ras Mkumbuu, Tanzania—Pemba, Zanzibar; Ambodiletra, Madagascar; Vilanculus, Mozambique). <http://dlist-asclme.org>
 51. DLIST, 2007-2011. Various progress reports.
 52. DLIST, 2011. Final DLIST Project Report. 24 pp.
 53. Fennessey, S. 2012. Retrospective analysis of existing data on shallow-water trawl fisheries for crustaceans in the South West Indian Ocean. A specialist report. Prepared for the South West Indian Ocean Fisheries Project (SWIOFP). Unpublished report.
 54. Freestone, D. 2011. Regional Policy and Governance assessment for the ASCLME Project. Contribution to the Agulhas and Somali Current Large Marine Ecosystems Project (supported by UNDP with GEF grant financing). Unpublished report
 55. Gove, D. Z., 2011. Mozambique National Policy and Governance Assessment for Management of Marine and Coastal Resources. 70 pp.
 56. Jackson, L. (2011), MARINE POLLUTION IN THE AGULHAS & SOMALI CURRENTS LARGE MARINE ECOSYSTEM, Prepared for the ASCLME Agulhas Somali Current Large Marine Ecosystem project. GEF/UNDP/UNOPS, 85 pp. + App.
 57. Klaus, R. (2012) Agulhas Somalia Current Large Marine Ecosystem Project (ASCLME): Report on the National Causal Chain Analysis Meetings (14th July to 15th August 2011). Final Draft. UNDP/GEF.
 58. Lagabrielle, E. 2012. Assembling data for coastal and marine spatial planning in the Western Indian Ocean - Section I: Pelagic bioregionalisation. Prepared for the ASCLME

- Agulhas Somali Current Large Marine Ecosystem project project. GEF/UNDP/UNOPS, 20 pp.
59. Maina, J. M., 2011, Western Indian Ocean Regional geo-spatial data on climatic drivers of change (DoC's) in marine ecosystems: Data documentation. Prepared for ASCLME, 51 pp. + App.
 60. Mauritius, 2011. Policy and governance assessment for Marine and Coastal Resources of Mauritius. 81 pp. Randrianarisoa, L. Y., 2011. National level policy and governance assessment for marine and coastal resources, Madagascar.
 61. Ngoile, M., 2011. Regional Policy and Governance Assessment for the Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Region. PMU, Grahamstown, SA. 71 pp. + App. Ruwa, 2011. Policy and governance assessment of coastal and marine resource sectors in Kenya in the framework of large marine ecosystems. 57 pp.
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ANNEX 6: List of WIOSEA Partners

LIST OF CURRENT ALLIANCE PARTNERS	
Institution	Status
UNDP	Signed
NOAA	Signed
FAO EAF	Signed
IUCN	Signed
IRD	Signed
WWF	Signed
IW:LEARN GEF	Signed
SWIOFP	Signed
IOC UNESCO	Signed
BayWorld Centre for Researchh and Education	Signed
University of Wales - BMSG	Signed
University of British Columbia - Canada	Signed
Rhodes University	Signed
World Ocean Council	Signed
UNIDO COAST Project	Signed
French Territories in WIO and Southern Oceans	Signed
World Meteorological Organisation	Resolution
World Climate Research Programme (CLIVAR)	Resolution
Global Ocean Observing System	Resolution
SIBER (Sustained Indian Ocean Biogeochemistry and Ecosystem Research)	Resolution
International Ocean Institute	Drafted - awaiting Signature
JAMSTEC	Agreed - Drafting
IMO	Agreed - Drafting
Nelson Mandela Metropolitan University	Agreed - Drafting
NIOZ	Agreed - Drafting
EU IOC IRFS Project (SmartFish)	Agreed - Drafting
AMESD	Agreed - Drafting
Indian Ocean Commission	Agreed - Drafting
S. Indian Ocean Deep Sea Fishers Assoc.	Agreed - Drafting
CSIR - South Africa	Agreed - Drafting
ACEP/DEA South Africa	Agreed - Drafting

ANNEX 7

Evaluation Question Matrix

This Terminal Evaluation used several documents as the basis for the evaluation. These are included in the TE itself. These documents include:

- a) Logical Framework as updated during Inception Phase
- b) Risk Analysis
- c) Stakeholder participation analysis

No separate evaluation question matrix was developed, as these documents and their evaluation provided the information required for Rating.

Annex 8. INTERVIEW SURVEY/QUESTIONNAIRE

Approximately 50 questionnaires were distributed to stakeholders from the ASCLME. The names and contacts for those surveyed came from the PMU in Grahamstown, with some additional persons added by the Terminal Evaluator. Questionnaires were available in both English and French.

Of these 50 questionnaires, 20 were filled in, either by the individual directly and submitted to the Terminal Evaluator, or during an interview with the terminal evaluator. As indicated in Annex 3, some 46 persons were interviewed. Many who had been sent questionnaires chose to have an interview format, due to their limited time.

Due to the length of questionnaire and format, it is not appropriate to try to summarize the 20 responses (plus 46 interviews) into a matrix. Instead, comments were included in the text of the Terminal Evaluation where possible, and the questionnaires/interviews were incorporated while rating the ASCLME project performance.

For future reviews, it might be useful to consider the TE's view that the questionnaire is simply a way to get conversations started, and to be certain that the major areas of concern in a Terminal Evaluation are covered by written questions. However, it is the interviews that proved most fruitful in understanding stakeholder viewpoints, as the stakeholders were able to expound more completely on those areas where they have the most expertise and experience. The TE considered that the interviewees felt more completely heard with a face-to-face (or SKYPE) interview.

Questions for All Stakeholders Surveyed:	
GENERAL	
How long have you been involved in the ASCLME project?	
Please describe the nature of your involvement in the project (specific activities).	
Who are your primary colleagues/counterparts with whom you have most actively been involved in this project?	
Do you have any advice for the next phase of the project? What role could/would you play if there is a second phase?	
PROJECT DESIGN (Relevance):	
<i>How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</i>	
How would you describe the ASCLME project objectives?	
Did the project objectives change during the course of the project?	
Was the project concept in line with the development priorities and plans of the	

participating countries?	
How do the project objectives and purpose match your organization's objectives?	
Was the ASCLME project relevant to community needs and environmental priorities?	
PROJECT IMPLEMENTATION (Effectiveness):	
<i>To what extent have the expected outcomes and objectives of the project been achieved?</i>	
Were the project outcomes and objectives attained? Why or why not?	
Do you see any possible long-term changes, such as joint research, joint regional monitoring cooperation in capacity building, dialogue and data exchange as a result of the project?	
Any lessons learned?	
PROJECT IMPLEMENTATION (Efficiency)	
<i>Efficiency concerns the relation between the result and means i.e. whether the process of transforming the means into results has been cost-effective. Was the project implemented efficiently, in-line with international and national norms and standards?</i>	
Do you think the money that went into the ASCLME project was worth it? Do the ends justify the means?	
Were the project funds well managed?	
Is/was the financial planning valid/good? Any lessons learned?	
Has the project been effective in generating cofinancing and in-kind support? Can it be continued?	
Are project's results matching expectations and investments?	
Are you aware of any financial, legal or other project implementation concerns with respect to ASCLME activities?	
Did the project implementation team remain the same or was there a lot of staff turnover?	
If you could start over again, would you implement the ASCLME project differently? How?	
PROJECT IMPACT (Sustainability):	
<i>Sustainability can be described as the degree to which the benefits produced by the project continue after the external assistance has come to an end. To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</i>	
Is the ASCLME effort continuing after the	

end of Phase I funding?	
Have the lessons learned from the ASCLME been shared with other communities and other states in the region?	
Have any of the ASCLME demonstration efforts been replicated in other communities?	
Are there efforts under way to find new sources of funding to continue and expand the activities that were started under the project?	
Are there any financial risks that may affect/impact the sustainability of project outcomes?	
What is the likelihood of financial resources not being available after GEF and UNDP support ends?	
Is the SAP implementable with concrete next steps and long-term guidance?	
PROJECT IMPACT (Impact): <i>Impact concerns whether there has been a change towards the achievement of the overall objective as a consequence of the achievement of the results and specific objectives. Both intended and unintended impacts are reviewed.</i>	
Explain how the project has had a catalytic or replication effect in the region or particular participating country or region.	
What changes have occurred in the ASCLME as a result of this project: such as in regional communication, exchange, cohesiveness?	
What practical improvements have there been as a result?	
Do you see any enhancement of national capabilities, strengthening of institutions, more cooperation and coordination as a result of this project?	
Did the project contribute to the establishment of a long-term monitoring system?	
Is the monitoring system sustainable, that is, is it embedded in a proper institutional structure and does it have financing?	
What is your view of the extent to which project outcomes have been mainstreamed into national and local governance and management processes and structures?	
Are project outcomes contributing to national development plans and priorities?	
Have the governments of the participating countries approved policies or regulatory	

frameworks in line with the project's objectives?	
STAKEHOLDER PROCESSES	
How do you rate the project management in terms of efficiency, effectiveness, and communication with stakeholders? Can you identify any gaps or lessons learned?	
Were there public awareness and outreach efforts? And how effective was the project in attracting public attention?	
What is your view of the project's approach to partnership with the private sector, including cofinancing from that sector? Do you see ways in which it could have been improved?	
Do you think there is country ownership, readiness for continuation, and stakeholder participation to drive continuation of the project?	
Explain how synergies with other regional or national projects/programs were incorporated in the design and/or implementation of the ASCLME project.	
Has cooperation with and involvement of NGOs been satisfactory? Any advice on how it could have been strengthened?	
Relevance of project and outcomes: do you think stakeholders in general consider the project and its outcomes of relevance for their human well-being?	
What would you suggest could have improved the outcomes or the continued implementation to achieve the end-goal? Do you know what the long-term objective is and do you agree with that goal?	
How do you judge or see the Monitoring and Evaluation process?	
Has there been sufficient dialogue with stakeholders? Has there been sufficient transparency? Any lessons learned?	
Do you think the important stakeholders see that it is in their interest that the benefits of the project continue to flow?	
How do you think the involvement of politicians, parliamentarians, and government officials can be strengthened or made more useful?	

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form¹

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: David G. Aubrey

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *Falmouth, MA* on *10 February 2013*

Signature: _____

¹www.unevaluation.org/unegcodeofconduct