

The GEF / UNDP Oceanic Fisheries Management Project

Terminal Evaluation

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Acronyms

ADB	Asian Development Bank
APR	Annual Project Review
CROP	Council of Regional Organisations of the Pacific
CMM	Conservation Management Measure
DEVFISH	Development of Tuna Fisheries in Pacific ACP Countries (EU Project)
DWFNs	Distant Water Fishing Nations
EA	Executing Agency – e.g. FFA
EEZ	Exclusive Economic Zone
eNGO	Environmental Non-Governmental Organisation
EU	European Union
FFA	Forum Fisheries Agency
GEF	Global Environment Facility
GEF-3	the 3 rd replenishment of the GEF
IA	Implementing Agency – e.g. UNDP
IATTC	Inter-American Tropical Tuna Commission
ICCAT	International Commission for the Conservation of Atlantic Tunas
INGO	Industry Non-Governmental Organisation
IOTC	Indian Ocean Tuna Commission
IUCN	International Union for the Conservation of Nature and Natural Resources
IW	International Waters (focal area of the GEF)
IUU	Illegal, Unreported and Unregulated
LME	Large Marine Ecosystem
LogFrame	Logical Framework
M&E	Monitoring and Evaluation
MCS	Monitoring, Control and Surveillance
MSG	Melanesian Spearhead Group
MSWG	Marine Sector Working Group
NCC	National Consultative Committee
NGO	Non-Governmental Organization
OFMP	Oceanic Fisheries Management Project
OP 8	GEF Operational Program 8 - the Waterbody-Based Operational Program
OP 9	GEF Operational Program 9 - the Integrated Land & Water Multiple Focal Area Op. Program
OVI	Objective Verifiable Indicator
PacSIDS	Pacific Small Island Developing States
PCU	Project Coordination Unit
PIOFMP	Pacific Islands Oceanic Fisheries Management Project
PDF 'B'	Preparatory Development Facility, Phase B
PIR	Project Implementation Report
PPR	Project Performance Results
PITIA	Pacific Islands Tuna Industry Association
PNA	Parties to the
ProDoc	Project Document
RFMO	Regional Fisheries Management Organization
RSC	Regional Steering Committee
SAP	GEF Strategic Action Programme
SEAPODYM	Spatial Ecosystem & Population Dynamic Model
SIDS	Small Island Developing States
SPC	Secretariat of the Pacific Community
SPREP	South Pacific Regional Environment Programme
TVM	Te Vaka Moana Arrangement

Terminal Evaluation of GEF/UNDP Oceanic Fisheries Management Project

UNCLOS	UN Convention on the Law of the Sea
UNDP	UN Development Programme
VMS	Vessel Monitoring System
WCPFC	Western and Central Pacific Fisheries Commission
WCPF	Western and Central Pacific Fisheries
WTP WP LME	Western Tropical Pacific Warm Pool Large Marine Ecosystem
WWF	World Wide Fund for Nature

Executive Summary

The Pacific Islands Oceanic Fishery Management Project (OFMP) has run from 2005 to 2011, and is focused on strengthening management of the tuna fisheries of the Western and Central Pacific, and through this impacting positively on the environmental characteristics of the West Pacific Warm Pool Large Marine Ecosystem. The project seeks to achieve its governance and environmental objectives through the development and strengthening of regional and national institutions and associated capacities.

A particular focus of capacity development is the establishment and operation of the Western and Central Pacific Fisheries Commission (WCPFC), and ensuring the active and appropriate participation of the fifteen PacSIDS embraced within the project, both directly, and through existing regional technical institutions, the FFA and SPC Fisheries.



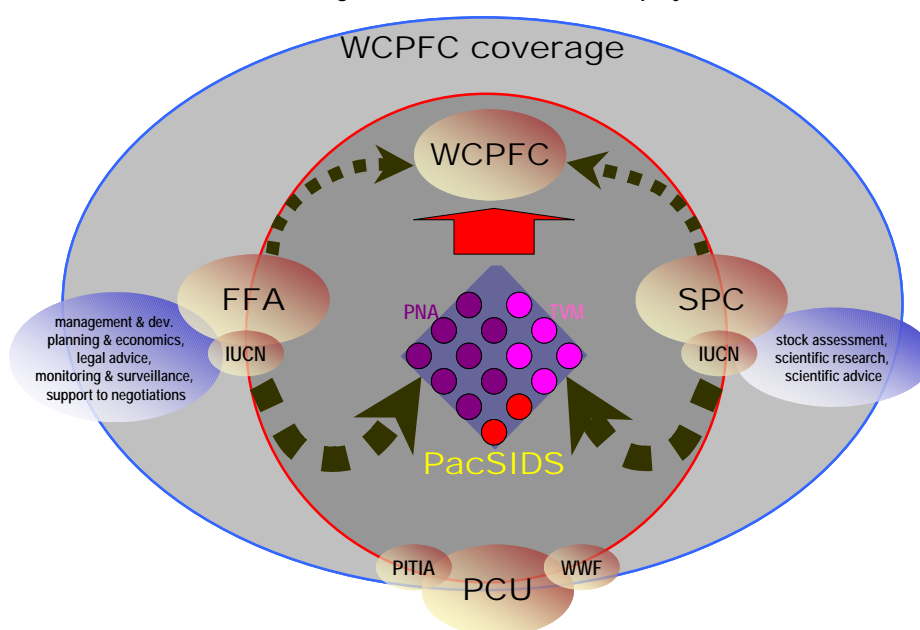
The components of the project are shown in the organogram above. The institutional context of project implementation is illustrated in the graphic below.

Findings

The project's two greatest achievements are facilitating the establishment of the WCPFC and ensuring that Pacific Small Island Developing States (PacSIDS) are able to contribute fully to the deliberations of the Commission and to meet their membership obligations (in terms of legislation, fishery policies, and monitoring, control and surveillance systems).

The capacity building elements of the project have helped give PacSIDS' fishery representatives the enhanced confidence to present and negotiate their positions at Commission meetings, to be actively involved in the technical meetings of the Commission, and to sit as equals at the same table as Distant

Schematic of institutional arrangements associated with the project and the WCPFC



Water Fishing Nations (DWFNs).

This is a major project benefit.

Both of these elements have been underpinned by the stock assessment, scientific research and scientific advice provided through the work of the project and related

research undertaken under other projects.

At outcome level, this project has proved successful and effective, with outcomes likely to result in durable impacts in line with the environmental and development objectives that guided the project's design.

Crucially the very significant and on-going changes in the regional management and governance of tuna stocks and fisheries in the western and central Pacific would not have taken place as **quickly** as they have done without the intervention of this project.

The particular features that limit the availability and application of GEF funding – constraints such as the need to address global environmental issues; the need to, in the context of international waters, have clear transboundary dimensions; and that GEF funding can only be used to meet incremental costs – have been particularly well used in the design of this project to channel funding and intervention to areas of need that generally fall outside the mandate of other sources of funding.

Assessment of the sustainability of project outcomes highlights some of the strengths deriving from the establishment of the WCPFC, but also points up the institutional weaknesses evident at a national level. But the project has actually achieved rather more than was planned, even at the national level. The work of the project has done much to establish and strengthen national systems and skills in planning, managing information, developing / modifying legislation, inspection, observer coverage, participation in science programmes – which is altogether positive. But the project was not designed to accomplish fundamental reform and restructuring of fisheries administrations, and inconsistencies in this area continue to undermine the full worth of project achievements, and challenge the sustainability of many of its outcomes and future impacts.

Recommendations

Case study material: There are a number of features of this project that should be captured in case study material:

- ❑ Much of the success of the project is down to the experience and professionalism of the two regional organisations responsible for delivering project services, the FFA (also the executing agency) and SPC. The large portfolio of development projects managed by these agencies, and the relevance of many of these projects to the aims and ambitions of this project, has created synergistic benefits and greatly enhanced the sustainability of project outcomes.
- ❑ Whilst there are unlikely to be many, if any, more opportunities to establish a Regional Fisheries Management Organisation (RFMO), the mechanisms designed into this project will have relevance to the establishment of other regional, member driven, organizations.
- ❑ In the context of empowering Small Island Developing States (SIDS) in their engagement with much larger countries, and with international organizations, this project has been very enlightening. Every effort should be made to capture the key features of this project – in its design, context and implementation – as a case study for international distribution.

Moderating the scale of LogFrames: A large and detailed LogFrame was purposely developed for this project, in line with many other GEF-3 projects. This has proved very effective in guiding the operational side of project implementation, but has proved unhelpful in effecting appropriate project Monitoring and Evaluation. A range of circumstances, including overly-complex reporting formats, have lead to a position where the various efforts to scale down the M&E system to a usable format have come to nothing. Despite this the project has performed well, but for future project design a more concise LogFrame, and earlier clarification and full testing of the M&E system, is indicated.

Early testing of M&E systems: The complexity of the project, and of UNDP and GEF reporting systems, has led to confusion, to the point where it has been easy to lose sight of the logic and coherence of the links between project activities and project development and environmental objectives. This has acted as a distinct disincentive to early examination of the practicality of the M&E system, with the result that the M&E system has been only partially utilised. Confusion over what GEF and UNDP

performance assessment formats to use have only complicated matters further. Some clearer guidance to implementing and executing agency officers on these matters is indicated.

Better integration of GEF projects with other donor projects: The project has used a regional delivery route to facilitate common institutional change at the national level, in which it has been successful. But the sustainability of these achievements is challenged by weaknesses in the core structure within which these common institutional changes have been engineered – strengthening of which would require a nationally oriented delivery system. Linking this project to a parallel programme of national institutional reform could have obviated this. On a number of fronts project activities requiring delivery at the national level have under-performed – which is in part a weakness in project design. But the GEF/UNDP funding and project design policies do not necessarily encourage such functional linkages between projects – an area that is worthy of further investigation.

Project summary

Duration: The Pacific Islands Oceanic Fishery Management Project (OFMP) has run from 2005 to 2011.

Agencies: It is a project funded by the GEF (Global Environment Facility), an agency seeking to bring about changes in behaviour in support of major environmental improvements of global significance. The project is implemented by UNDP, a development agency.

Environmental focus: At the core of this initiative is the intention to improve the environmental characteristics of the West Pacific Warm Pool Large Marine Ecosystem, and as part of this to strengthen the management of transboundary fisheries exploiting large pelagics and associated bycatch.

Institutional change and capacity development: The project seeks to leverage these changes in behaviour and outcomes through the development and strengthening of regional and national institutions and associated capacities. A particular focus of capacity development is the establishment and operation of the WCPFC, and ensuring the active and appropriate participation of the fifteen PacSIDS embraced within the project, both directly, and through existing regional technical institutions, the FFA and SPC Fisheries.

Project delivery: Project activities are coordinated through the Project Coordination Unit located within FFA in Honiara. Project delivery is achieved through work programmes at the FFA, the SPC, national governments, and participating eNGOs and other stakeholders (IUCN, WWF, PITIA).

Participating Small Island Developing States (SIDS) are:

Cook Islands	Nauru	Solomon Islands
Fed. States of Micronesia	Niue	Tonga
Fiji	Palau	Tokelau
Kiribati	Papua New Guinea	Tuvalu
Marshall Islands	Samoa	Vanuatu

1. Introduction to the evaluation

1.1 Introduction

This report presents the findings of the Terminal Evaluation of the GEF-UNDP Pacific Oceanic Fisheries Management (PIOFM) project, a regional project running from November 2005 to September 2011. The evaluation has been undertaken by Crick Carleton¹, Team Leader, and Dr Veikila Vuki², Regional Consultant.

Field work was undertaken between 1st February and 8th March 2011. During this period the consultants met:

- with the officers of the Project Coordination Unit (PCU) in Honiara, Solomon Islands,
- with representatives of the key regional participating institutions – the South Pacific Forum Fisheries Agency (FFA), the Secretariat of the Pacific Communities (SPC), the Western Central Pacific Fisheries Commission (WCPFC), the International Union for the Conservation of Nature (IUCN) and the Worldwide Fund for Nature (WWF)
- with representatives of the governments of participating countries, and associated stakeholders – through visits to the Solomon Islands, Fiji, FSM, Marshall Islands, Samoa and Tonga, and attendance at the 2011 SPC Heads of Fisheries meeting in Noumea, New Caledonia.

In addition they were in contact with a range of other interested parties by email, phone and use of VOIP³.

1.2 Terms of Reference

The detailed Terms of Reference are shown as **Appendix 1** to this report.

The main elements of the evaluation are as follows:

- ❑ The objective of the final evaluation is to enable Global Environment Facility (GEF), UNDP, and FFA, SPC, IUCN and the Government bodies in the participating countries to assess the **relevance, efficiency, effectiveness, impact** and **sustainability** of the PIOFM Project.
- ❑ The scope of the final evaluation covers all activities undertaken in the framework of the project.
- ❑ The evaluation should
 - assess achievements of the project against its **objectives**, including a re-examination of the relevance of the objectives and project design; it will identify factors that have facilitated or impeded the achievement of the objectives.
 - determine the likely **outcomes** and **impact** of the project in relation to the specified goals and objectives of the project.
 - compare planned outputs of the project to actual **outputs** and assess the actual results to determine their contribution to the attainment of the project objectives.
 - evaluate the efficiency of **project management**, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency.

¹ Managing Director, Nautilus Consultants Ltd - www.nautilus-consultants.co.uk

² Principal Consultant, Oceania Environment Consultants

³ VOIP – Voice Over Internet Protocol

While a thorough review of the past is in itself very important, the in-depth evaluation is expected to lead to detailed overview and lessons learned for the future.

The key questions to be addressed within the evaluation are as follows:

High level

High level against overall objectives

a summary evaluation of the project and all of its major components undertaken and a determination of progress towards achievement of its overall objectives;

Outcomes (GEF)

a prognosis of the degree to which the overall objectives and expected outcomes of the project were met;

Sustainability

the financial sustainability of the WCPFC;

the progress made by Pacific SIDS in legal, policy, institutional reforms and compliance programme strengthening;

Project level

Formal assessment against Logframe

an evaluation of project performance in relation to the indicators, assumptions and risks specified in the logical framework matrix and the Project Document;

Outcomes (UNDP)

a prognosis of the degree to which the overall objectives and expected outcomes of the project were met;

Output analysis

an assessment of the scope, quality and significance of the project outputs produced to date in relation to expected results;

Operational issues

Institutional arrangements for project delivery

an assessment of the functionality of the institutional structure established and the role of including the Project Regional Steering Committee (RSC) and the National Consultative Committee (NCC) and working groups;

Extent of national and regional collaboration

an analysis of the extent of co-operation engendered and synergy created by the project in each of its component activities, between national and regional level activities and the nature and extent of commitment among the countries involved;

Additionality

identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the Project Document;

Management

Project management

an evaluation of project co-ordination, management and administration provided by the PCU. This evaluation should include specific reference to:

Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;

The effectiveness of the monitoring mechanisms employed by the PCU in monitoring on a day to day basis, progress in project execution;
Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project and present recommendations for any necessary operational changes; and
Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.

Design issues

Design

assess whether the project design is clear, logical and commensurate with the time and resources available;

Consequences of any programme re-orientation

identification of any programmatic and financial variance and/or adjustments made during the project period, and an assessment of their conformity with decisions of the PSC and their appropriateness in terms of the overall objectives of the project;

Scientific and technical feedback to project

an assessment of the extent to which scientific and technical information and knowledge have influenced the execution of the project activities;

Scientific credibility

a qualified assessment of the extent to which project outputs have scientific credibility.

Lessons for the future

lessons learned during project implementation;

recommendations regarding key lessons learned and identify best practices as well as recommendations, based on the experience of this project, for the design and execution of future GEF/UNDP projects

Note: these are simply a re-organisation of the elements laid out in the ToR.

1.3 Dealing with complexity

Minimising use of jargon

A key purpose of monitoring and evaluation exercises is to achieve clarity – in identifying the key structure and logic of a project, identify the key elements of project management and delivery, and in identifying outputs, outcomes and impacts. This point is emphasized here in the context that:

- few readers of this evaluation will be easily familiar with the institutional complexities attaching to the environment within which this project has been designed and implemented or with its many accompanying acronyms; and
- outside a core group of technical specialists dealing with GEF and UNDP project cycle management, and those involved with the management of this project, few will be familiar with the particular jargon and acronyms used as “short-cuts” in discussing these issues.

Further, at the institutional level, the broad governance and decision-making environment in which this project is located is complex:

- the funding strategies and protocols of the Global Environment Facility, and the project cycle planning, management, reporting and monitoring and evaluation procedures required by both GEF and UNDP, are complex, often obtuse, and make generous use of acronyms;
- planning, governance and decision-making systems in the South Pacific - an area comprising some 16 small island countries and territories, and fringed by a further 16 “metropolitan”

countries – also involve a range of regional policy and planning bodies, with policies and strategic direction captured in a wide range of declarations and agreements, all with their accompanying codes, tag-lines and acronyms;

- a similar level of complexity is evident in the planning, management and strategic alliances that go to make up the regional tuna industry.

As an aid to increasing the **accessibility** of this report, every effort has been made to minimize the use of jargon and acronyms, and to present discussion and findings in plain English. An extensive listing of acronyms and their long-hand equivalent has been included at the front of this report. In addition, simple graphics have been used to illustrate systems and issues where appropriate.

1.4 Report layout

In **Chapter 2** is presented a brief introductory overview of the project, its achievements, and actual performance against planned performance. In **Chapter 3** the essential context in which the project has been designed and executed is described, plus presentation of further detail on project structure and its Monitoring and Evaluation system.

Chapter 4 summarises assessment of project performance against GEF International Waters performance indicator sets. Analysis of project performance against the project LogFrame is presented in **Chapter 5**, where **outcome** performance is presented, and in **Chapter 6**, where **outputs** performance is presented.

Chapter 7 explores the sustainability of project outcomes, and **Chapter 8** the design, deployment and effectiveness of the project Monitoring and Evaluation system.

In **Chapter 9** is presented an assessment of each of a range of project processes are considered to have affected project results, and in **Chapter 10** are presented details of lessons, recommendations and examples of good practice.

2. The project and its performance

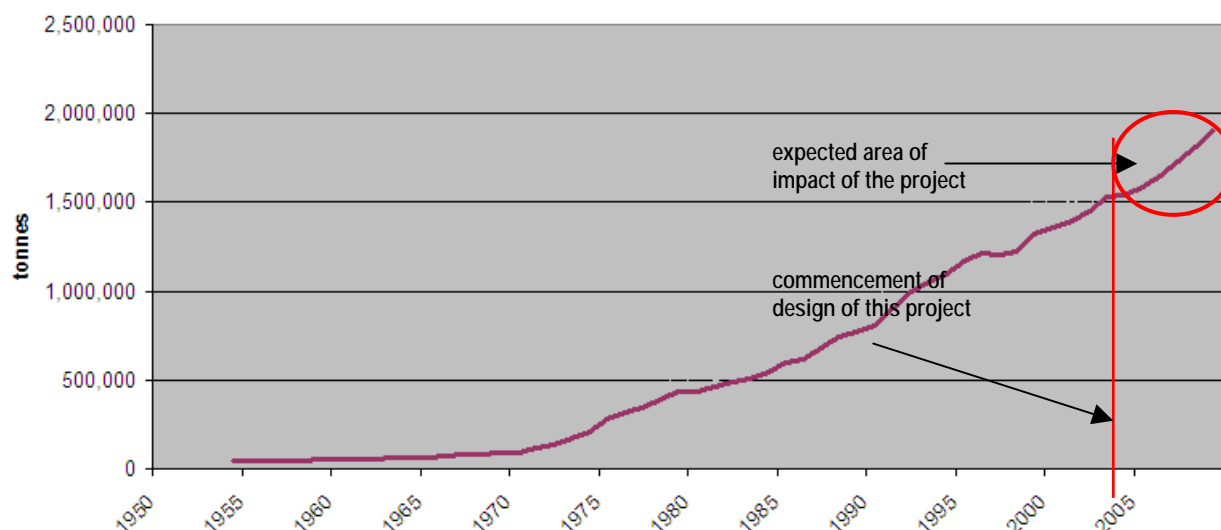
This project is, in many ways, part of a continuum of development assistance to the South Pacific island countries starting back in the 1970s when the Pacific Island States began seriously to consider the opportunities (and threats) associated with international interest in expanded exploitation of the region's extensive oceanic tuna resources, paired with the emergence of the concept of Exclusive Economic Zones, and the movement towards the unilateral declaration of EEZs out to 200 nm.

The project focuses on the institutional arrangements relating to tuna management in the region, the capacities to undertake oceanic and tuna research, and to monitor and manage exploitation; and the feedback loops necessary for effective and sustainable management and exploitation of this resource – improved understanding of the underlying natural systems on which these stocks depend, and improved governance of the exploitation.

2.1 Project overview

The 1997 South Pacific GEF International Waters Strategic Action Programme (SAP) identified that the biggest threat to the environmental integrity of the waters of the western and central Pacific, and the island countries dependent on this environment, was the actual or potential over-exploitation of the region's oceanic fishery resources (illustrated in Fig 1).

Fig 1 - Evolution of tuna* catches from the Western Central Pacific, 1950-2008, smoothed as a 5 year moving average

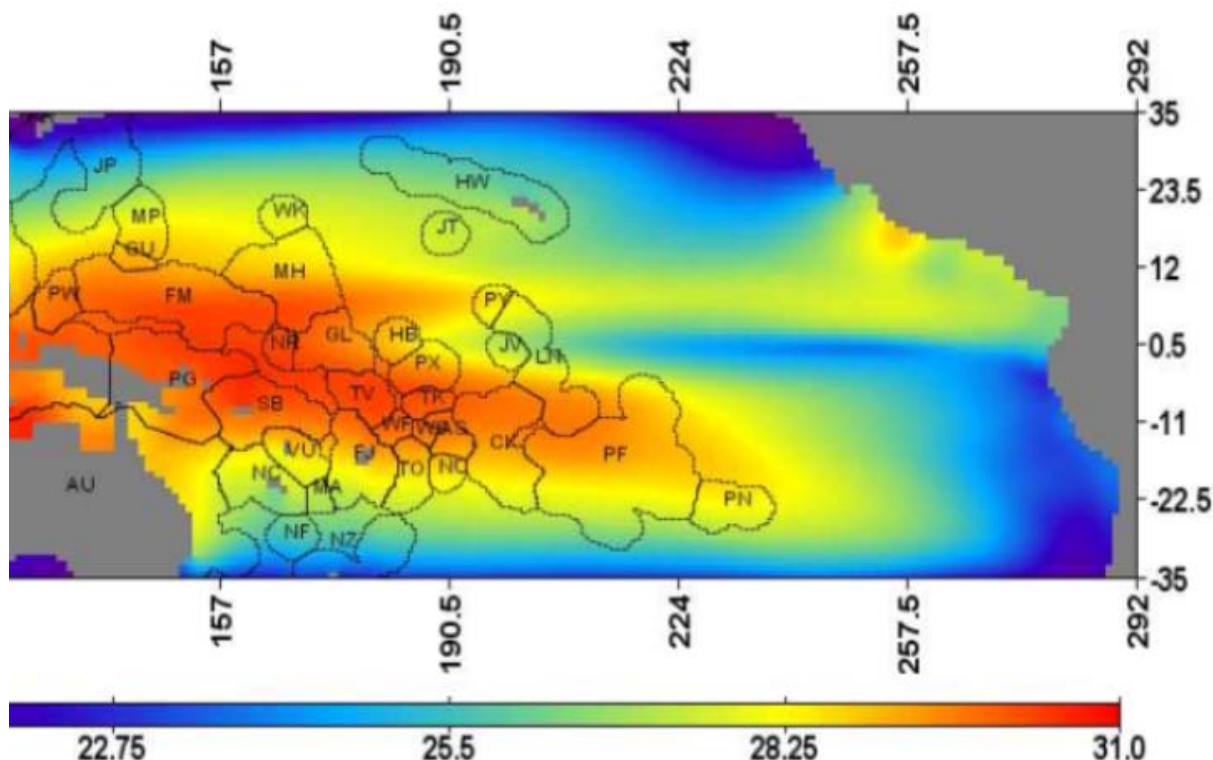


Note: * catches of skipjack, yellowfin, bigeye and albacore only

The SAP identified systemic weaknesses in the extent to which senior decision-makers were able to access information needed by them to understand the root causes of unsustainable conditions and actions, and to respond to imminent threats. Particularly important was the lack of strategic information presented in an appropriate manner to decision-makers, resource users, managers and communities which could allow them to evaluate costs and benefits of alternate activities, and allow them to decide between different actions.

The root cause of this threat was identified as weakness in regional fishery governance, and limitations in understanding the inter-relationship between fish stock condition and the Western and Central Pacific Warm Pool Large Marine Ecosystem (LME) (illustrated in Fig 2).

Fig 2 - An illustration of the West Pacific Warm Pool



Note - Location of the Warm Tropical Pacific Large Marine Ecosystem in neutral El Nino conditions (as measured by average December Sea Surface Temperatures)

Remedies to this threat were explored during the (Phase I) GEF / UNDP Oceanic Fisheries Management Project, 2000-2004. A key element of this was the largely regional initiative to draft the Western and Central Pacific Fisheries Convention, ratification of which would bring into being the last of the Regional (tuna) Fisheries Management Organisations (RFMOs)⁴.

A Phase II project was then developed:

- ☐ to achieve ratification of the Western and Central Pacific Fisheries Convention
- ☐ to facilitate the establishment of the Western and Central Pacific Fisheries Commission (WCPFC),
- ☐ to support the South Pacific Small Island Developing States (PacSIDS) in engaging with and meeting the obligations of membership of the WCPFC, and
- ☐ to contribute to the knowledge and understanding necessary for the Commission and its membership to assess fish stock condition and to make informed and responsible decisions about the management of those stocks.

This is the South Pacific Oceanic Fisheries Management Project, running from 2005 to 2011 – and it forms the subject of this Terminal Evaluation.

Recognising that the continuous and significant growth in landings of tuna from this region over the last thirty years (see Fig 1) had reached a point where further expansion of these fisheries was likely to lead to over-exploitation, conceptually the project is about reining in this continuous upwards trajectory using

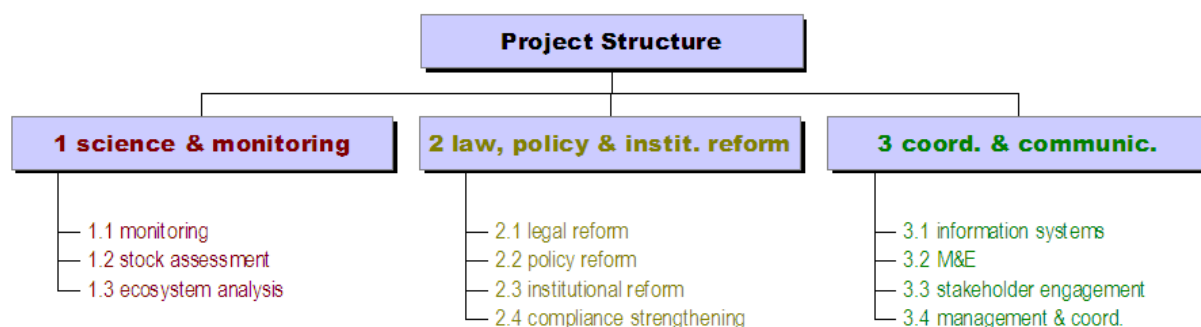
⁴ the other tuna RFMOs are ICCAT (Atlantic Ocean), IATTC (eastern tropical Pacific Ocean), the IOCT (Indian Ocean), CCSBT (southern oceans)

best scientific advice, appropriate regional management decision-making infrastructure, and the structures and systems to ensure that management agreements are implemented and upheld.

At its core the project seeks to develop and strengthen the capacities of the regional and national institutions needed to achieve this – and particularly to ensure that PacSIDS, most of which are disadvantaged in the economic and human resources that they can call on, to fully participate in these processes.

The basic **structure** of the project, as captured in the Project Document (ProDoc), is shown as **Fig 3**.

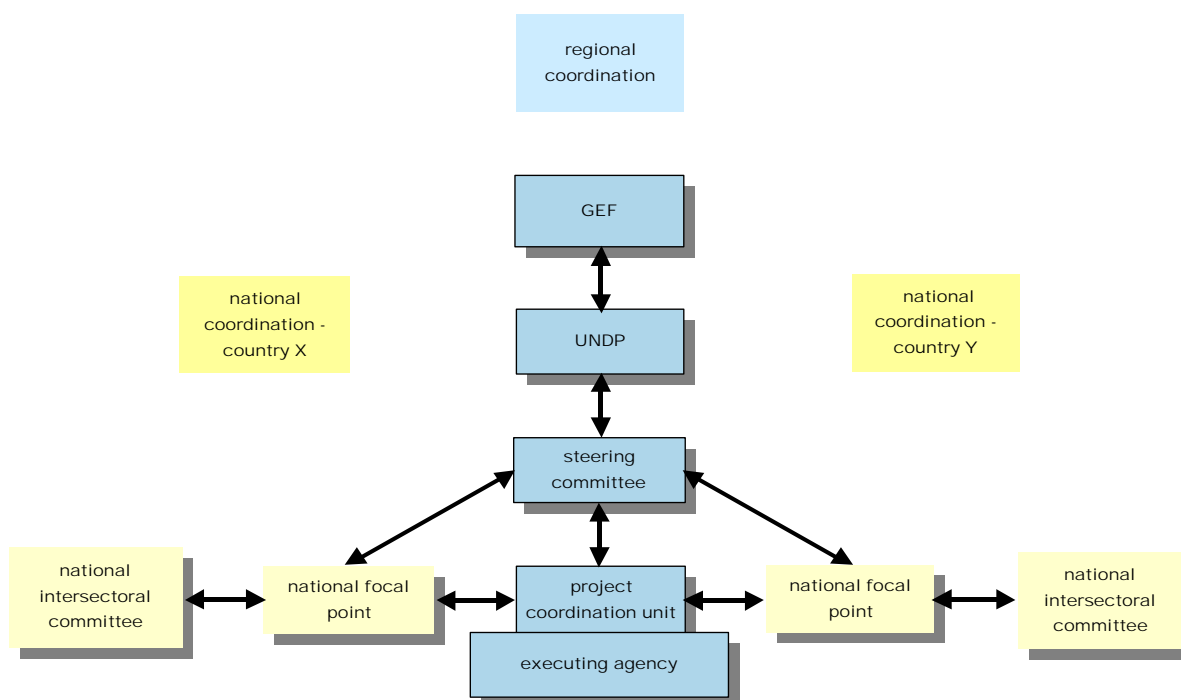
Fig 3 – Schematic showing structure and sub-components of project



Key features of this are:

- ☐ facilitation of the ratification of the WCPF Convention, establishment of the Commission, and the setting up of an appropriate mix of standing and *ad hoc* committees
- ☐ a combination of scientific research and monitoring and analysis of fishing activity sufficient to inform the Commission in its work to achieve responsible and sustainable management of the stocks and fisheries under its aegis
- ☐ support to PacSIDS in the reform, realignment and strengthening of national arrangements for

Fig 4 - Schematic illustrating the management arrangements governing the project



the conservation and management of transboundary oceanic fishery resources – addressing issues of policy, planning, legislation, licensing, data collection, data management, and monitoring, control and surveillance (MCS).

The project is managed through a Project Coordinating Unit located within the main Executing Agency, the FFA. These and other management relationships are illustrated in Fig 4.

2.2 Key project achievements

Component 2 (FFA) – Law, Policy and Institutional Reform, Realignment and Strengthening

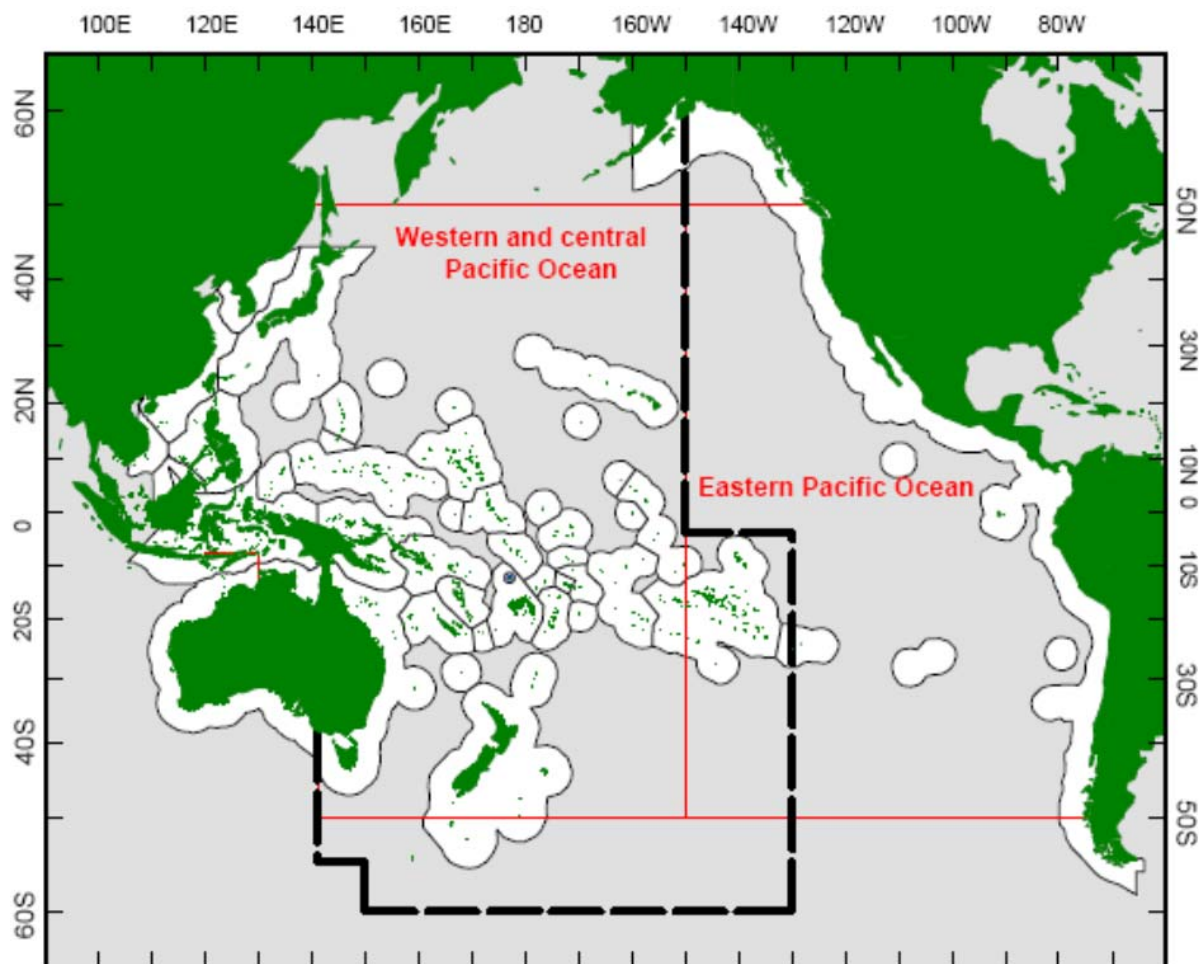
- ☐ The project has facilitated the ratification and early entry into force of the Western & Central Pacific Fisheries Convention
- ☐ The project has facilitated the establishment of the Western & Central Pacific Fisheries Commission (WCPFC) (see Fig 5) and its complement of standing and *ad hoc* committees
- ☐ The project has facilitated the full and active involvement of all participating PacSIDS in the work of the Commission, and has also facilitated the involvement of a number of eNGOs and other islands stakeholders in the work of the Commission
- ☐ The project has facilitated the review and realignment of PacSIDS' fisheries and other legislation in conformity with the requirements of, and member country commitments to, the Commission
- ☐ The project has strengthened PacSIDS vessel registers and licensing systems
- ☐ The project has strengthened the national and regional Vessel Monitoring System, and the use of information so generated for the purposes of MCS
- ☐ The project has strengthened landing and transshipment inspection capabilities amongst PacSIDS
- ☐ The project has facilitated the development of national tuna industry development overviews and strategies for each PacSID

Component 1 (SPC Fisheries) – Scientific Assessment and Monitoring Enhancement

- ☐ The project has facilitated and strengthened PacSIDS' capacities to interrogate information and assess positions with regard to regional management of fish stocks, and the evolution of the WCPFC
- ☐ The project has supported the establishment and/or strengthening of catch and landing data collection, management and analysis in all PacSIDS
- ☐ The project has strengthened fishery monitoring capacity at regional and PacSIDS levels
- ☐ The project has greatly improved national comprehension of stock assessment procedures, and the role of fishery related data in such assessments, understanding that has been used in PacSIDS' contribution to WCPFC deliberations
- ☐ The project has facilitated a range of research and modeling that contributes to improved assessment of the state and health of the stocks of tuna and other large pelagic species in the South Pacific
- ☐ The project has facilitated the further development of ecosystem-based modeling and its use in improving understanding of the interpretation of stock assessment models, and in evaluating the likely implications of different management measures.
- ☐ The project has facilitated substantial improvements in the range and depth of information recorded by fishing skippers and scientific observers, with improvements in data quality, and incorporation of data on bycatch and interaction with endangered, threatened or protected species

- ☐ The project has facilitated a range of research into seamounts, fish aggregations associated with seamounts, and fishing behaviour in relation to seamounts

Fig 5 – The FAO designation of the Western and Central Pacific Ocean (black dotted line), and the area covered by the WCPFC (red line)



2.3 Summary of project performance

Overview

At its highest level, project performance is measured against two yardsticks – the UNDP LogFrame, and the GEF indicator matrix. These stipulate the following high-level objectives.

The global **environmental goal** of the Project is:

- ☐ to achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem.

The broad **development goal** of the Project is:

- ☐ to assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally.

The **immediate objectives** of the Project address the two root causes of the threats to the sustainability of use of the region's oceanic fish resources, as identified in the SAP.

The **Information and knowledge** objective (primarily captured in Component 1 of the project):

- ❑ to improve understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem.

The **Governance** objective (primarily captured in Component 2 of the project):

- ❑ to create new regional institutional arrangements and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources.

High-level results

Environment goal (part 1) - Conservation and management of transboundary oceanic fishery resources in the Pacific Islands region have been substantially improved as a result of this project, with a halt to the upward trajectory of regional tuna landings being achieved (though not necessarily resulting directly from the work of this project), and mechanisms to achieve responsible and sustainable harvesting of these key stocks established, though not as yet fully incorporated into the decision-making systems of the WCPFC.

Environment goal (part 2) - In terms of the protection of the biodiversity of the Western Tropical Pacific Warm Pool LME, much has already been achieved through the slowing down or reversing of increases in tuna landings but, critically, still more has been achieved, immediately and into the future, through the introduction of a range of Conservation and Management Measures (CMMs) by the WCPFC which give specific protection to threatened species and some aspects of key habitats.

Development goal (part 1) - Much has been achieved through the project in cementing the role of the PacSIDS at the centre of tuna management in the region, and through this the strengthening of the position of PacSIDS in their negotiations with distant water fishing nations (DWFNs) on the terms of access to fishing resources within the EEZs of the PacSIDS.

Development goal (part 2) - The strengthening of regional and national tuna management capacities has created an environment more conducive to development of national tuna related enterprise than has been the case up till now, and PacSIDS, with the assistance of regional organizations and utilizing re-energised regional trade groupings, are now starting to seriously explore greater domestic investment in this sector.

Information and knowledge – the fishery monitoring, data management, scientific research and survey work undertaken within this project has greatly added to understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem, which in turn has contributed to more informed decision-making at international, regional and national levels aimed at improving management and conservation.

Governance – the work of this project in facilitating the establishment and operation of the WCPFC (and arguably bringing it into operation far earlier and faster than would otherwise have been the case), together with strengthening the machinery of fishery governance at national and regional levels, has been the single most important outcome of this project – and underpins the future responsible and sustainable management of the oceanic fish resources and related features of the Western and Central Pacific Warm Pool LME.

Conclusions

- ❑ This project forms but one of a range of regional and national projects aimed at improving the management of regional tuna resources, and improving the economic benefits that PacSIDS derive from this regionally and internationally valuable resource.
- ❑ This project could not have taken place without the considerable long-term efforts to develop national and regional capacity in these areas.
- ❑ Crucially the very significant and on-going changes in the regional management and governance of tuna stocks and fisheries in the western and central Pacific would not have taken place as **quickly** as they have done without the intervention of this project.

- ❑ The particular features that limit the availability and application of GEF funding – constraints such as the need to address global environmental issues; the need to, in the context of international waters, have clear transboundary dimensions; and that GEF funding can only be used to meet incremental costs – have been particularly well used in the design of this project to channel funding and intervention to areas of need that generally fall outside the mandate of other sources of funding.

So said, this project does appear to have unique features in comparison to other GEF funded projects, engaging as it does in the improved management of a hugely economically valuable and internationally traded marine resource, and one where there are large established vested interests that seek to exercise influence through commerce, economic policy and politics – i.e. intervening in an economic arena as a means of achieving environmental gain. Whilst there are other GEF projects focused on institutional change and capacity building, it is the significant success of this project in catalyzing institutional change in such a high profile and economically and commercially important sphere that sets it apart from other projects. It is not clear that this type of project sits well with the ethos and normal operating parameters of GEF, but it is difficult to dismiss the success of this project, and the scale and altogether beneficial long-term impacts of the project on the marine environment. Which begs the question for GEF – “Is this project a one-off, or is it of a form and focus that can be repeated, and one that should be further developed and supported by GEF?”.

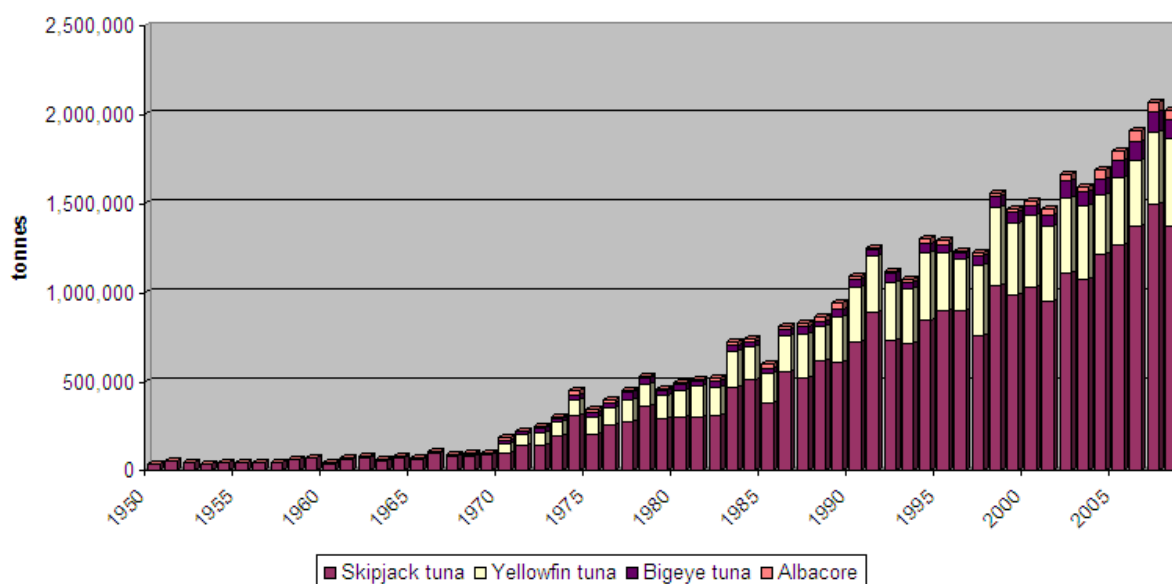
3. Project context

3.1 Western and central Pacific tuna fisheries

The natural system at the centre of this project is the Western Pacific Warm Pool Large Marine Ecosystem – representing an area that currently provides between 50 and 60 per cent of global tuna harvests, and which is integrally involved in the El Niño / El Niña phenomenon.

The Pacific Islands region is the most important tuna fishing area of the world. Between a third and half of all tuna in the world comes from this region, and its tuna fisheries dwarf those of the other three main tuna fishing areas both in volume and value. From a regional perspective, tuna harvests amount to 90 per cent of all fish caught in the region. In terms of value, the tuna fishery is worth over six times that of all other Pacific Island fisheries combined.

Fig 6 - Evolution of tuna catches in the Western Central Pacific – 1950 to 2008



Source: FAO FishStat+

The twenty-two countries and territories of the Pacific Islands region consist of only 550,000 km² of land with 5.2 million inhabitants spread across 29 million km² of ocean. If Papua New Guinea is excluded, the figures drop to 87,587 km² and 2.2 million people. In contrast, the EEZs of these island countries occupy more than 30 million km² - an area three times larger than either the USA or China.

This area is encompassed within the oceanic region identified as the Western Pacific Warm Pool, an area that is designated an "oceanic LME". The borders of this oceanic phenomenon and regime correspond almost precisely to those of the Western Pacific tuna fishery, and appear to encompass a functional physical and ecological unit that is of global significance.

The oceanic fishery in this region produces in excess of 2 million tonnes of tuna a year and an unknown quantity of by-catch per year, most of which is harvested by about 1,300 fishing vessels from 21 countries.

About 7% of the catch is taken by Pacific Islanders, and around 400 industrial-scale tuna vessels are based in Pacific Island countries. The annual expenditure of these locally based vessels is estimated at about \$100 million.

Table 1 - Key indices concerning participating PacSIDS

	"high" islands	"low" islands	land area	EEZ area	Population	total value - all fish	access fees (2007)	as % foreign catch value	fishery sector employment		location of regional HQ	Visited as part of TE
			sq km	M sq km		US\$M	US\$M	%	% at sea	% on		
Micronesia												
Palau		*	500	0.6	19,907	24.1	1.1	6%	0	20		
FSM		*	702	3.0	112,000	224.5	14.8	8%	25	140	WCPFC	*
Marshalls		*	720	2.1	54,000	108.1	2.0	6%	25	116	PN Agreement	*
Kiribati		*	726	3.6	92,533	244.2	21.4	11%	15	70		
Nauru	*		21	0.3	9,233	81.5	5.1	6%	0	0		
Polynesia												
Samoa	*		2,934	0.1	180,741	42.9	0.3		255	40	SPREP	*
Tonga	*		696	0.7	101,991	20.6	0.1	large	45	35		*
Cook Islands	*	*	180	1.8	19,569	10.3		large	12	10	Te Vaka Moana	
Tuvalu		*	26	0.9	10,000	43.8	3.4	8%	65	10		
Niue		*	258	0.4	1,625	2.5	0.3	large	0	18		
Tokelau		*	12	0.3	1,413	1.1			0	0		
Melanesia												
PNG	*				5,190,786	812.1	15.0	4%	440	8,550		
Solomons	*		29,785	1.3	450,000	202.0	11.8	8%	107	827	PCU, FFA	*
Vanuatu	*		12,189	0.7	204,000	34.4	1.4	6%	30	30		
Fiji	*		18,376	1.3	837,271	103.4	0.3		150	1,250	UNDP, IUCN	*
New Caledonia	*		19,103	1.7							SPC	*

Source: adapted from Gillett R (2009) Fisheries in the economies of the Pacific island countries and territories. Asian Development Bank.

The international tuna fishery provides the region with an important source of export revenue, largely through access license fees, although these are a small proportion (about 3.7% or USD\$68 million) of the total value of the regional tuna catch, which was USD\$1.7 billion in 1995, up from about USD\$375 million in 1982.

The tuna catch now represents around 10% of the combined GDP of all the nations of the region, and a third of the value of all exports from the region. It provides 6-8% of all wage employment in the region. About 10,000 Pacific Islanders are formally employed on tuna vessels and in tuna processing plants; direct and indirect tuna-related employment is estimated at between 21,000-31,000 people. In terms of actual food, however, less than 0.25% of the international tuna catch enters the domestic food supply of the islands.

As indicated in **Fig 6**, skipjack has dominated regional catches throughout the last fifty years, but its catch increased six-fold between 1980 and 2007. Over the same period, however, whilst overall volumes have been substantially smaller the increases in catches of the other key commercial species have been even more dramatic – a ten-fold increase in yellowfin, a 24-fold increase in albacore, and an 87-fold increase in bigeye.

3.2 Project Summary (as in PIMS and Project Document)

Small Island Developing States (SIDS) have special conditions and needs that were identified for international attention in the Barbados Programme of Action for the Sustainable Development of Small Island Developing States (1994) and in the World Summit for Sustainable Development's Johannesburg Plan of Implementation (2002). Throughout these instruments, the importance of coastal and marine resources and the coastal and marine environment to sustainable development of SIDS is emphasised, with the Plan of Implementation specifically calling for support for the Western and Central Pacific Fisheries Convention (the WCPF Convention).

The Global Environmental Facility (GEF) identifies sustainable management of regional fish stocks as one of the major environmental issues SIDS have in common and as a target for activities under the SIDS component of OP 9 (GEF-3), the Integrated Land and Water Multiple Focal Area Operational Program.

In addition, the GEF promotes the adoption of an ecosystem-based approach to addressing environmental problems in Large Marine Ecosystems, and it does this through activities under the Large Marine Ecosystem Component of OP 8, the Waterbody-Based Operational Program.

Consistent with this framework, GEF financing for the International Waters (IW) South Pacific Strategic Action Programme (SAP) Project (the Phase I pilot project) from 2000 supported the implementation of an IW Pacific Islands SAP, including a pilot phase of support for the Oceanic Fisheries Management (OFM) Component, which underpinned successful efforts to conclude and bring into force the WCPF Convention.

Subsequent to this pilot phase project GEF assistance was sought for a new Pacific Islands OFM Project to support Pacific SIDS' efforts as they participate in the setting up and initial period of operation of the new Commission that is at the centre of the WCPF Convention, and as they reform, realign, restructure and strengthen their national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPF Convention creates and discharge the new responsibilities which the Convention requires.

The goals of the Project combine the interests of the global community in the conservation of a marine ecosystem covering a huge area of the surface of the globe, with the interests of some of the world's smallest nations in the responsible and sustainable management of resources that are crucial for their sustainable development.

To achieve this the Project has two major technical components:

- **Component 1**, the Scientific Assessment and Monitoring Enhancement Component, is aimed at providing improved scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTP LME) and at strengthening the national capacities of Pacific SIDS in these areas. This work will include a particular focus on the ecology of seamounts in relation to pelagic fisheries and the fishing impacts upon them.
- **Component 2**, the Law, Policy and Institutional Reform, Realignment and Strengthening Component, is aimed at assisting Pacific Island States as they participate in the earliest stages of the work of the new WCPF Commission and at the same time reform, realign and strengthen their national laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries and protection of marine biodiversity.

The third component primarily addresses project management issues, but extends to issues of communication, promotion and engagement

- **Component 3**, the Coordination, Participation and Information Services Component, is aimed at effective project management, complemented by mechanisms to increase participation and raise awareness of the conservation and management of oceanic resources and the oceanic environment.

The design of the Project has involved a substantial consultative process, which has been warmly supported throughout the region. Reflecting outcomes of this process, the Project seeks:

- to apply a regional approach in a way that recognises national needs;
- to strike a balance between technical and capacity-building outputs by twinning technical and capacity building activities in every area; and
- to open participation in all project activities to governmental and non-governmental stakeholders.

The structure for implementation and execution of the Project builds on a record of successful collaboration between the United Nations Development Programme (UNDP), regional organisations and PacSIDS in past activities in oceanic environmental management and conservation, strengthened by planned new partnerships with The World Conservation Union (IUCN), a regional environmental non-governmental organisation (eNGO) and a regional industry non-governmental organisation (iNGO).

3.3 Institutional landscape

In addition to the many technical and institutional development elements of the project, it is also focused on supporting improved capacity and engagement amongst fifteen small island states and one territory, each of which claims control over very large areas of sea and the natural resources found in these seas, but which has limited human capital with which to promote and defend these interests against the significantly greater scale of metropolitan countries interested in securing rights for their fleets to exploit the resources of these areas.

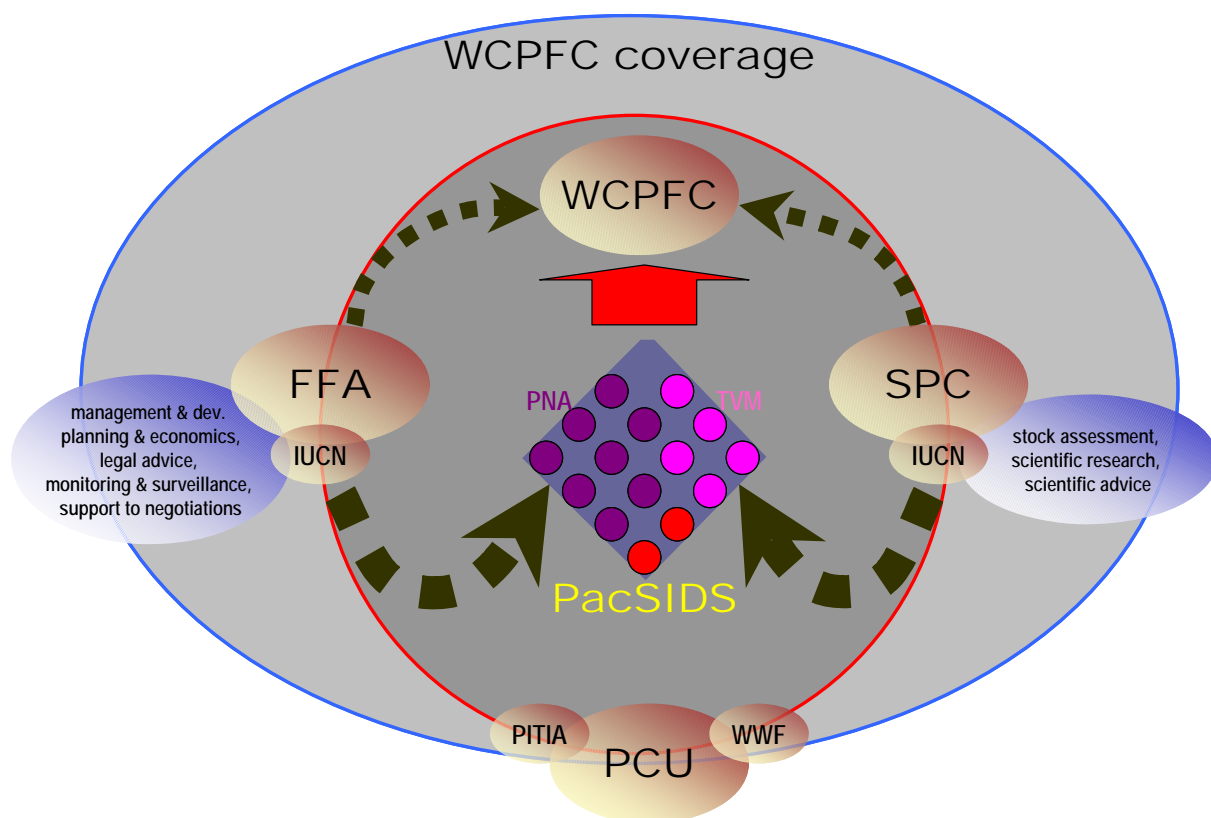
At its foundation it is a very unequal line-up, but with two key constraints:

- the metropolitan countries have a keen interest in deriving economic reward from the exploitation of these resources; and
- the small island states have the might of UNCLOS (the United Nations Convention on the Law of the Sea) on their side, where the weight of international law gives preference to the coastal state in the control, management and exploitation of the resources within its EEZ.

Ensuring that even the smallest of these island states is able to exercise this right, both in meeting its international obligations towards responsible management, and in reaping the economic rewards from such stewardship, is a key additional component of the GEF / UNDP Oceanic Fisheries Management Project.

An outline of the institutional landscape as it relates to tuna and the project is illustrated in **Fig 7**. At the centre of this schematic is placed the 15 PacSIDS (14 island countries and one territory) participating in the project.

The two shaded circles represent the spatial coverage of the WCPFC and the area covered by the PacSIDS membership (14 island countries, and 7 participating island territories) respectively. The project focuses on the latter of these, and particularly on the relationship between the WCPFC and the island countries.



The two regional institutions at the centre of providing specialist research and development services to island countries are the Forum Fisheries Agency (FFA) and the oceanic fisheries programme of the Secretariat of the Pacific Communities (SPC). It should be noted that the membership of the SPC is broader than that of the FFA, and that those countries participating in this project are members of both the FFA and the SPC. Neither FFA nor SPC are members of the WCPFC. The two regional organizations have collaborated successfully for many years on issues related to oceanic fisheries management, particularly tuna resources.

The primary purpose of the FFA and the oceanic fisheries programme of the SPC is to provide services to their respective memberships. Since the establishment of the WCPFC both institutions have been contracted by the WCPFC to provide limited services to the WCPFC – the FFA is a consolidator of members' fishery data, including analysis of Vessel Monitoring System (VMS) data, and is contracted by members and the WCPFC to provide some limited elements of this information to the WCPFC on their behalf; the SPC is contracted by the WCPFC to provide advice on the state of key fish stocks under the management of the WCPFC, including those of bigeye, yellowfin, albacore and skipjack.

The project is managed through a Project Coordination Unit (PCU) that is located in the offices of the FFA, and makes use of FFA administrative systems (for accounting, payroll, communications, etc.). Under the project the PCU manages services provided primarily by FFA and SPC to the participating island countries. The FFA is the nominated executing agency for the project – taking overall responsibility for project delivery. In operational terms SPC is responsible for most of the "scientific assessment and monitoring enhancement" elements that go to make up Component 1 of the project,

and the FFA is responsible for most of the “law, policy and institutional reform, realignment and strengthening” elements that go to make up Component 2 of the project. The PCU is responsible for most of the elements that fall under the category of “coordination, participating and information services”, making up Component 3 of the project. The IUCN is responsible for the seamounts research element of the project that falls mainly under the SPC managed Component 1, with some under the FFA managed Component 2. WWF and the Pacific Islands Tuna Industry Association (PITIA) have sub-contracts for awareness raising that falls within Component 3 managed directly by the PCU. All these elements are shown within the Fig 7 schematic.

The 15 PacSIDS represented at the centre of the diagram are colour coded to indicate the levels of participation in regional sub-groupings relating to tuna. The nine countries represented in dark purple are members of the Parties to the Nauru Agreement (the PNA). The five countries represented in mauve are members of the newly formed Te Vaka Moana (TVM) (membership of which also includes New Zealand). A third trade grouping that is not specifically represented here, and which has a broader focus than just tuna, is the Melanesian Spearhead Group (MSG) – comprising PNG, the Solomon islands, Vanuatu and Fiji. The two countries colour coded as red are Fiji and Vanuatu – which are not members of either the PNA or the TVM, but are members of the MSG and the FFA Sub-Committee on the Southern Pacific Tuna and Billfish Fisheries (SC-SPTBF).

Fig 8 – Member countries of the Forum Fisheries Agency, showing indicative areas of EEZs



Source: FFA Strategic Plan 2005-2020

3.4 “Peculiarities” of GEF funding

But the project has other characteristics that contribute to its uniqueness. What makes the project very special is that it is funded under a relatively narrow focused international instrument, the Global Environmental Facility (GEF). Aside from core funding objectives associated with achievement of large-scale environmental benefits of global (rather than national, or even regional) significance, GEF only

funds the “incremental costs” of intervention i.e. highly leveraged interventions that generate high “additionality” – benefits that would not have otherwise occurred without such funding.

At its core, GEF funding requires that the core elements of relevant administrative, management and development capacity are already in place or are being supported under other national, regional and donor programmes. Thus the success of any GEF intervention can only be achieved where institutional capacity already exists – and the quality of GEF outcomes is in part a result of the quality of past and current development efforts. This idiosyncrasy can prompt questions such as “why can’t the GEF project do x, y & z?”, and “why didn’t the GEF project focus on building long-term administrative capacity?”.

The simple answer is that it is not intended for such use, and there are plenty of other programmes that are, or could be, put in place to do this. By the same token, it is not always clear what the programme does fund – many beneficiaries of the programme see its input to their particular area of interest, but do not see the many other project inputs in areas that they are not directly involved in.

Despite considerable effort to identify and promote the inputs and achievements of the project, there is a widespread tendency to underestimate the scope of the project and its achievements. Commercial fisheries in the South Pacific is a large and complex area of economic activity and associated governance, involving the engagement of several ministries in each country, and inputs from most multi-lateral and bi-lateral development agencies. It is not always easy to identify which parts of capacity development – for example in data handling – are supported by which project or donor.

3.5 Changes in M&E systems

The project Monitoring and Evaluation system typically comprises:

- ☐ an established formal project design process, resulting in a project document mixing analysis and descriptive text with a LogFrame developed along the principles of Logical Framework Analysis;
- ☐ half yearly or quarterly progress reporting – focusing on project administration, activity planning and resource application, plus identification of problem areas and proposals for their remediation;
- ☐ detailed annual reporting requirements – focusing on project administration, progress against planned, and nature and timing of outputs achieved; this is normally accompanied by formal review procedures including a meeting of the Regional (project) Steering Committee (RSC) and an exchange of information and views between project managers and the funding (GEF), implementing (UNDP) and executing (FFA) agencies;
- ☐ a formal mid-term review to establish progress against the ProDoc and LogFrame, to establish the continuing relevance of project design (and propose and defend changes if appropriate), and to identify problems in the timing, quality and delivery of project activities and outputs (and propose remedies where appropriate);
- ☐ a formal terminal evaluation to establish project outputs, outcomes and impacts against project objectives and the original (and where appropriate modified) ProDoc and LogFrame, and to assess the relevance, efficiency, effectiveness, impact and sustainability of the project.

In the case of the PIOFMP a comprehensive ProDoc and LogFrame was prepared at the outset of the project. Building on the experience of the Phase I (pilot) Oceanic Fisheries Management project, where it was identified that a lack of prescription in what was to be undertaken provided limited guidance on how the project was to be implemented, a more prescriptive approach was followed in drafting this current ProDoc.

Thus the ProDoc included a detailed LogFrame providing descriptions of expected activities, outputs and outcomes, the indicators to be used in measuring progress, as well as some analysis of the conditions prevailing at the outset of the project, plus provision of some additional baseline data. In

addition, Annex L provided an assessment matrix against which GEF “process”, “stress reduction” and “environmental status” progress indicators were to be scored.

Annual reporting obligations comprised the completion of a UNDP Annual Project Review (APR) and Project Implementation Review (PIR) document (with a focus on outputs) and a GEF International Waters Annual Project Performance Results (PPR) report (with a focus on outcomes). The format of these documents changed across the term of the project, first as stand-alone documents, then combined into a single format by 2007, and then shifted from an MS Word format to an MS Excel format in 2009. Through this process the reporting format grew in complexity, and backward linkage to the M&E process became obscured. These reports retained the core information required to satisfy funding and implementing agency administrators, but departed from key requirements of the Project Monitoring and Evaluation system – the LogFrame and Annex L.

Part of these changes relate to the evolution across the project of the APR / PIR / PPR annual reporting formats, part to the complexity of the project and its LogFrame and GEF performance matrix, and part to the efforts by project management to simplify and clarify progress monitoring and reporting as recommended in the Baseline Study published in November 2008.

In consequence:

- ❑ monitoring of LogFrame outputs is only reported on as in-year progress – nowhere are outputs assessed on a cumulative basis;
- ❑ LogFrame outcomes are only monitored at headline level; a slimmed down outcome indicator set was developed as part of the Baseline Study, based on functional outcomes from the project, and progress against this indicator set is given in the annual reports; but without a translation table to show equivalence to the indicator set developed along the lines of project logic (as appears in the LogFrame), it is very difficult to relate these annual reports to progress against the ProDoc and LogFrame – progress monitoring is thus general rather than specific;
- ❑ no systematic assessment of project progress against ProDoc and LogFrame was undertaken at the time of the mid-term evaluation, and all other project reporting formats have focused on high-level (i.e. potentially superficial in the absence of corroborating detail) assessment of progress against expected outcomes, and in-year assessment of progress in achievement of outputs;
- ❑ the GEF indicator set used in annual reporting (see **Appendix 9**) differs from that shown as Annex L of the ProDoc – both in content and layout – and in consequence disguises much of the logic behind the indicator set, and reduces its value as a monitoring and evaluation tool.

As should be clear from the above, these changes have hardly contributed to clarity or transparency in guiding the management, monitoring or evaluation of project progress. The actions taken by project managers to circumvent these weaknesses are discussed later in this report, but it is appropriate at this point to define the basis on which this Terminal Evaluation has been undertaken. At its core the evaluation team has taken the ProDoc and the LogFrame as its essential reference point. Assessment of progress against planned outputs and outcomes has been conducted against the logical formats presented in the original LogFrame. Recognising that the reduced outcome indicator set drawn up along functional grounds in the Baseline Study has been used as the basis of annual reporting, assessment of outcome progress against this indicator set has also been undertaken. An equivalence table between this and the LogFrame indicator set has been developed and is shown as **Appendix 8** to this report.

For the GEF International Waters indicator set the evaluation team has retained use of the set described in the ProDoc as Annex L. In discussing findings, reference is also made to the formats used in the annual reports (a consolidated resumé of which is shown as **Appendix 10**).

4. Assessment against GEF indicators of success

4.1 Rating project success – GEF-IW method

The GEF Monitoring and Evaluation Unit has developed an International Waters Program Monitoring Questionnaire as a means of rating project performance. The key elements of this are to assess the project against eleven functional categories of project performance. Each category is awarded a percentage success rate that is then transcribed into a quality of success identifier on a five-point scale.

A summary of project achievement is presented in the following table (Table 2) and accompanying graphic (Fig 9)

Table 2 - Scoring of project performance against GEF-IW program monitoring scale

	5=Unsatisfactory (49 % & <)	4=Satisfactory (50 % - 59 %)	3=Good (60 % - 74 %)	2=Very Good (75 % - 89 %)	1=Excellent (90 % -100 %)
Achievement of objectives and planned results					90
Attainment of outputs and activities				80	
Cost-effectiveness				85	
Impact			70		
Sustainability				75	
Stakeholders participation				85	
Country ownership		55			
Implementation approach				85	
Financial planning					90
Replicability			60		
Monitoring and evaluation				85	

Note – GEF-IW Program Monitoring format provided by the GEF M&E unit

Against these general indicators of project performance the project has been assessed as being “very good” in six out of eleven indicators, “good” in two indicators, and “satisfactory” in one indicator only. It is assessed as being “excellent” against two indicators, noteworthy as these cover meeting project objectives and planned results, and in terms of financial management.

Overall, the project can be assessed as being particularly successful, achieving an average score against indicators of 78% - which registers as “very good”. Abbreviated argumentation in support of each score is presented below.

Achievement of objectives and planned results

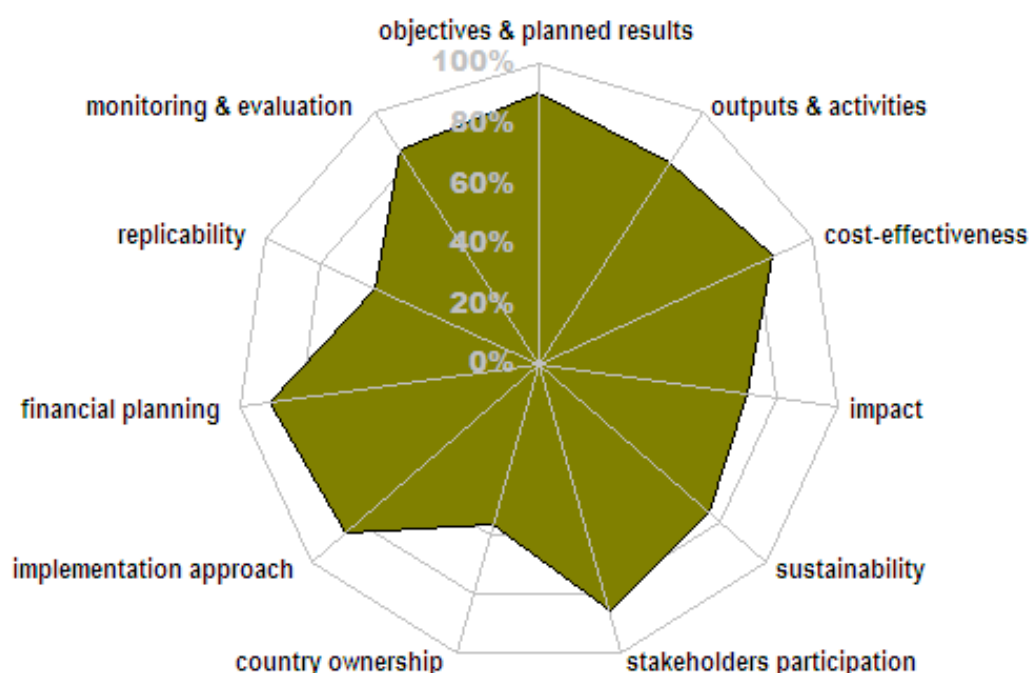
The early establishment and functionality of the WCPFC is a significant achievement against project objectives, followed by significant progress, largely in line with planned results, in facilitating the full participation of PacSIDS in the proceedings of the Commission and in meeting their obligations as members of the Commission. Supporting these achievements is an array of data collation and

handling, scientific and capacity building interventions, which have also contributed to planned results. Against this should be set weaknesses in achieving greater gains in institutional strengthening and greater stakeholder engagement at national levels – but set against the main achievements of the project these are proportionately relatively minor issues. Within the context of what could reasonably be achieved within the term of the project, results are very positive. **Assessed score of 90%.**

Attainment of outputs and activities

Project managers have been very assiduous and successful in implementing planned activities, and these have contributed well to expected outputs. But in a number of areas outputs have fallen short of the high levels achieved in most project areas. It is considered that this is more a consequence of weaknesses in design – specifically, limitations in the ability of the project to deliver more fundamental institutional change at the national level – than any failure in project performance. **Assessed score of**

Fig 9 - Graphical representation of the assessment of project performance against eleven indicators



Source: format and scores developed by the evaluation team

80%.

Cost-effectiveness

At the level of investigation undertaken as part of this evaluation there is nothing to suggest that the purchase of services has been over-priced, or the quality of services provided short of specification. Three core areas of project delivery are considered to have proved particularly cost-effective – facilitating the full engagement of PacSIDS in the work of the Commission (funding pre-meeting strategy sessions, funding attendance at meetings, and building the competence and confidence of PacSIDS attendees); building the regional and national systems to monitor and manage fishing activity and compliance; undertaking research and consolidating research outputs in the provision of timely and apposite advice on stock management, bycatch and ecosystem management. Overall the cost-effectiveness of this project is rated highly. **Assessed score of 85%.**

Impact

With a project focused on institutional change and strengthening, much of the project impact is likely to be developed after the completion of the project. Nonetheless there is strong evidence of significant institutional change in the key institutions at the centre of the project – notably the WCPFC and the

fisheries administrations of the PacSIDS. But most of the changes achieved in PacSIDS fisheries administrations may be categorised as technical (building systems and skills around particular functions) rather than a more fundamental change in the way the institution operates, in its core structure or in its inter-connectivity with the rest of government. This said, however, the extent to which change has been effected through the project in building improved functionality, has resulted in improved skills levels, and through these is building greater transparency in the activities of fisheries administrations. This is encouraging the development of an environment in which greater and more fundamental change is likely to occur in the future. At the level of the WCPFC and the management of regional tuna resources, the project has had substantial and immediate impact in contributing to the achievement of the main environmental objectives of the project. But it has been less successful in achieving change at the national level, a concomitant requirement for improved regional management of, and benefit from, tuna resources. **Assessed score of 70%.**

Sustainability

The WCPFC is now established, has secure funding and a full complement of administrative structures. Crucially, it has the full and active support of its PacSIDS members, who actively participate in its decision-making forums, and in some cases chair these deliberations. Science, law, policy and planning, and fishery MCS systems are now well developed and established in the region and in each PacSIDS. There is not yet the level of cost-recovery from the fishery to cover the costs of all these management systems, but the environment developed as a result of the project substantially strengthens the likelihood that higher levels of cost-recovery will be achieved in the medium term. At national level sustainability is less secure. Combining decision-making, policy making, access negotiations, fisheries management and MCS systems into a single coherent unit has not been achieved in most PacSIDS, with the key consequential weakness that insufficient resources are committed to fisheries management and MCS systems, and high level decision-making is in many cases still undertaken by those (primarily politicians) with limited understanding of the issues and in the absence of clear advice on the consequences of different decision outcomes. The project has done much to alter for the good the latter situation, but the lack of coherence across governments continues to pose a serious threat to sustainability. **Assessed score of 75%.**

Stakeholders participation

The project has been very successful in supporting and achieving the participation of the key stakeholders in project activities – the senior managers of the PacSIDS fisheries administrations, PacSIDS legal advisors, and PacSIDS technical staff involved with vessel registration and licensing, MCS, data management and observer programmes. The project has also facilitated the involvement of WWF and PITIA in the deliberations of the WCPFC. But the project has been less successful in securing the engagement of national environmental interests – ministries / departments of the environment, and local eNGOs and other civil society bodies – in project activities. On balance the level of engagement has been extremely positive, but limitations in engagement with non-fishery stakeholders is a persistent niggle rather than a major problem. **Assessed score of 85%.**

Country ownership

In terms of project design, management and implementation, the main drivers of this are the FFA and SPC Oceanic Fisheries Programmes. National fisheries administrations have been the major beneficiaries of project activities and outputs, but their roles have been as receivers of services rather than as directors or managers of services. Country representatives do play a full role in the oversight mechanisms of the project through the annual meetings of the Regional Steering Committee of the project, but the nature of the debate is very much oriented to the agendas set by the project managers and the FFA and SPC work programmes. In addition, the services provided by the project at a country level form but a small part of the overall services provided by the FFA and SPC to those countries. Thus the countries predominantly view these services in functional terms, rather than in terms of what project or funding agency is supporting each element of service delivery. As a result country beneficiaries are not always, or indeed often, aware that it is the project that is providing certain services. Taking both of the above elements into consideration it is difficult to argue that at the

operational level the countries have strong or overall ownership of the project and its activities, even though at a formal level they are clearly fully committed to the project. **Assessed score of 55%.**

Implementation approach

The project design focuses on delivery of project development services by the FFA and SPC, facilitating fishery monitoring and management activities by national fisheries administrations. A component programme of seamount research has been undertaken by IUCN (though in practice, the unavailability of a research vessel – beyond the control of IUCN or the project – required re-modelling of this element, with some tasks passed to SPC), and WWF and PITIA were sub-contracted by the PCU to provide a range of awareness raising and communication services. This approach places a great deal of emphasis on regional over the national, and the larger part of project resources is allocated to service provision by the FFA and SPC. Getting the balance between regional and national implementation is difficult. In this project it is assessed that the balance is about right, but accelerated reform and restructuring of national institutions and institutional capacity could, to a degree, have benefited from provision of a sub-set of advisory services that were independent of both FFA and SPC (even though some project funding was available at the national level to assist in managing project engagement, little of this was taken up). This was not part of the project design or implementation approach – which was appropriate at the time, but which might be seen in a different light retrospectively. In any further interventions of this kind, there should be greater focus on, and consideration of, this element. **Assessed score of 85%.**

Financial planning

Financial planning has been of a high order throughout the project, benefiting greatly from use of the pre-existing FFA financial administration and management systems, and from a member of the two-person project coordination unit being dedicated to managing its finances. Some difficulties in respect of cash flow and disbursement were experienced in the early parts of the project as both UNDP and the PCU (and FFA) worked through difficulties and misunderstandings relating to project and institutional requirements. Differences in the detail of UNDP and FFA accounting practices continued to have some, though minor, repercussions throughout the project – mainly relating to incompatibilities in automated audit systems. On balance, given that UNDP has well-established rules on project accounting and considerable experience on overseeing GEF/UNDP projects such as this, rather more guidance on these matters could have been given and might have been expected. **Assessed score of 90%.**

Replicability

In the sphere of GEF projects in general, and those projects implemented by UNDP, this project appears to display a range of unique features – mainly along the lines that it does not follow the normal lines of a GEF project (direct environmental / biodiversity focus), and the scale of the potential benefits of intervention in halting over-exploitation of tuna stocks greatly over-shadows the scale of most other GEF interventions in this field. But this project appears to have been particularly successful in contributing to its key objectives (and further development in this direction should be expected in the years following project completion) and so should be one that both GEF and UNDP should be keen to replicate. On the downside, however, it is not often than a project such as this can play such an influential part in the establishment of an RFMO – i.e. this particular circumstance of the project may not be easy to replicate. But there are a range of very positive elements to this project that do appear to offer opportunities for replication (regional / national delivery; balancing split between regional and national infrastructures; active support of national engagement with regional structures), and every effort should be made to “package” the core features of these elements for replication in other projects. **Assessed score of 60%.**

Monitoring and evaluation

The project has established an appropriate and largely effective monitoring and evaluation system – through a well developed ProDoc, LogFrame, and GEF evaluation matrix, a quarterly reporting system, production of annual APR / PIR / PPR reports and convening of annual RSC meetings, and contracting of mid-term and terminal evaluations. The complexity of the project has been compensated for by detailed planning in the ProDoc and LogFrame, and this has greatly assisted the operational

requirements of day to day management. To better deal with conceptual and operational problems, the project management contracted its own consultant to provide oversight and guidance through three annual reviews intended to focus on the identification and remediation of problems. This has proved particularly effective, and may provide a model for other projects. Further, as a means of strengthening the M&E function, and finding ways of dealing with project complexity, the project commissioned a consultant to undertake a Baseline Study to revisit the basis of monitoring project progress. This proved an insightful document, but its findings and proposals were not given the credit that they deserved, and rather than the simplification of M&E processes that should have emerged from consideration of this report, a range of progress assessment formats were allowed to co-exist, further undermining M&E functionality. These inconsistencies were picked up in the final Annual Review report. On balance the project has done much to overcome the underlying complexity of the project, and through its efforts has achieved at least some coherence in M&E. **Assessed score of 85%.**

4.2 Assessment against GEF environmental indicators

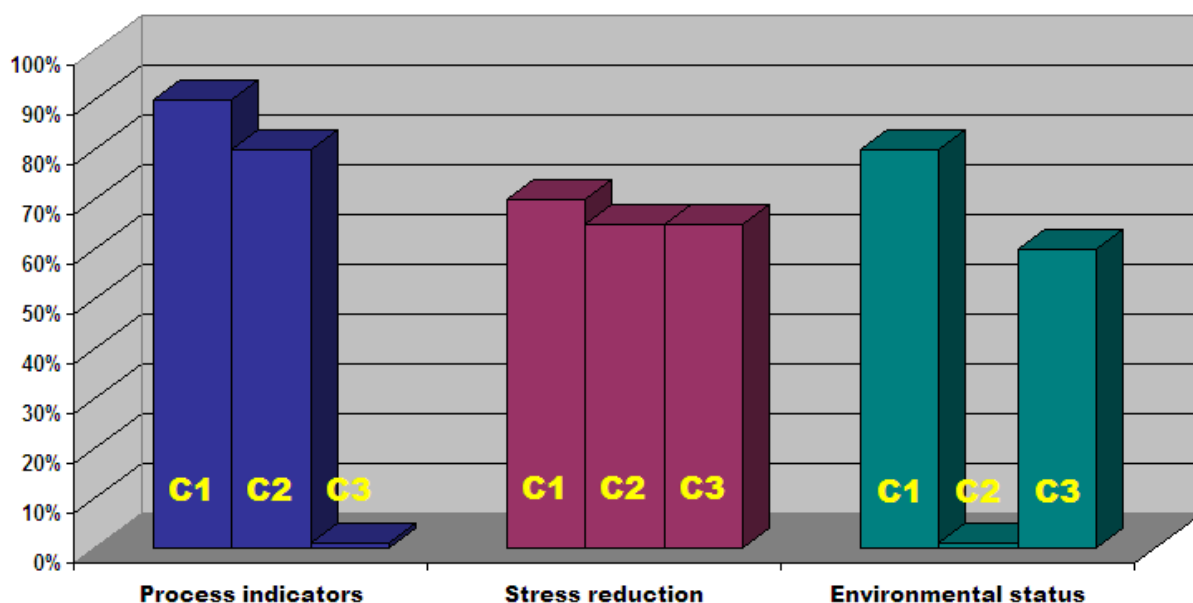
In 1996 the GEF International Waters Task Force developed a series of three types of indicators reflecting important elements of OP8 and OP9 projects. These were subsequently developed into an operational assessment matrix incorporating:

- ☐ Process indicators
- ☐ Stress reduction indicators
- ☐ Environmental status indicators.

This matrix was used in the ProDoc as the basis for a project specific indicator set – which was included in the ProDoc as Annex L. This indicator set is reproduced as **Appendix 7** to this report.

Given that this project focuses on institutional and capacity development, there is an expectation that there would be significant progress against the **process** indicator set, some progress against the **stress reduction** set, and little if any progress against the change in **environment status** set. Actual turnout for this project is assessed as illustrated in Figs 4 & 5.

Fig 10 - Summary of headline assessment scores per Project Component (C1, C2, C3)



Source: Evaluation team scores

Overall, progress was considered good to very good in 19 out of 24 process indicators, 19 out of 22 stress reduction indicators and 6 out of 11 environmental status indicators. No process indicators were

relevant for Component 1 and no environmental status indicators were relevant for Component 2. Against any measure this has to be recognized as a good result, and a clear indication that the project has achieved most of what it was designed to do.

This level of achievement is to be applauded – and applies to perhaps 90 per cent of project activities undertaken. But it is also quite telling in what areas the project has fallen short.

Against the “process” indicator set, poor performance was registered in respect of limited establishment of national stakeholder consultative processes, and limited undertaking of institution reviews. Similarly, weaknesses were also registered in the establishment of national project committees; the facilitating of the establishment of clear procedures for NGO participation in Commission dealings; and the binding of NGO and other stakeholders into national consultative processes.

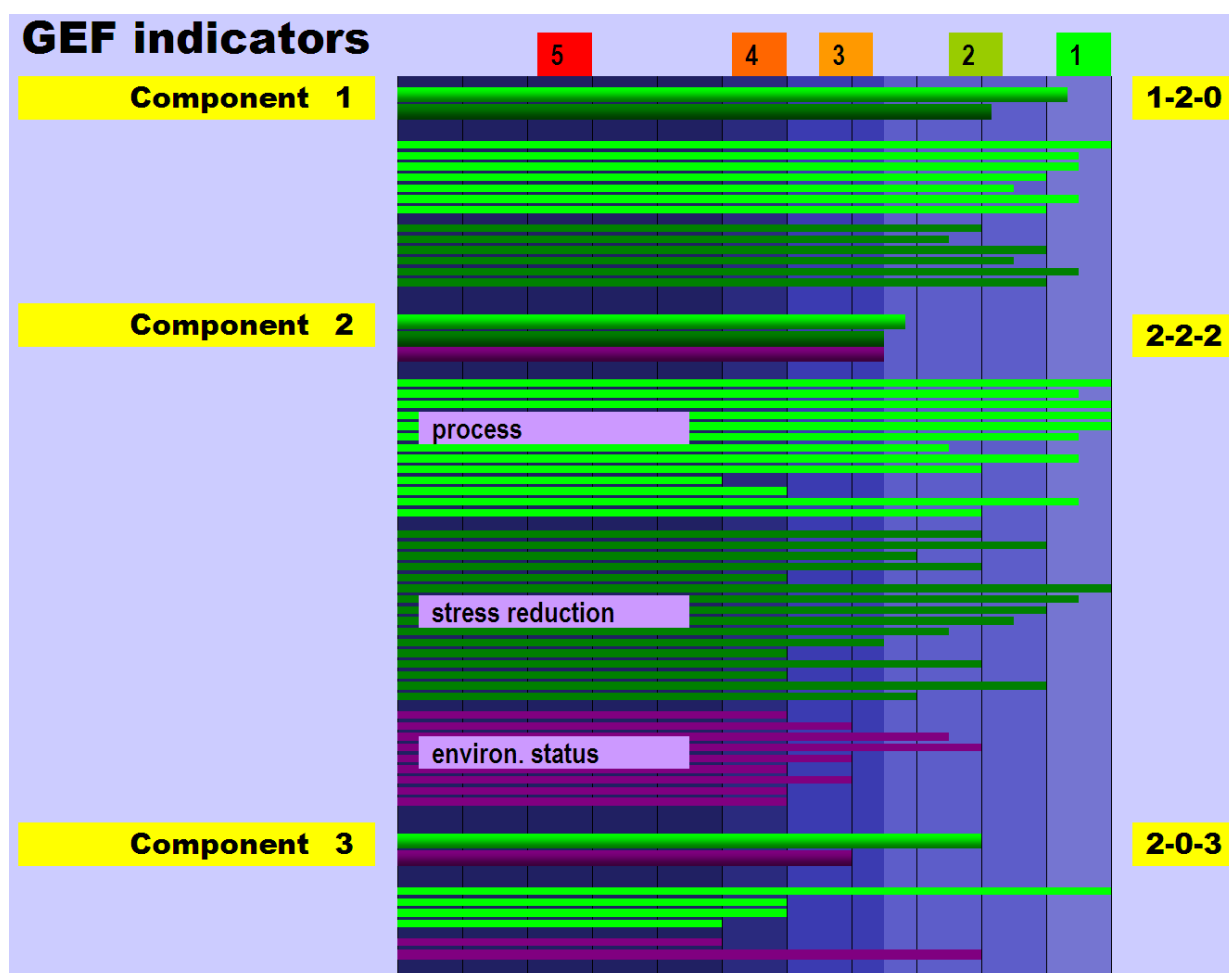
Against the “stress reduction” indicator set, weaknesses were registered in the establishment and application of sanctions against vessels, persons and states failing to comply with Commission measures; the reform of national institutions; and the adequate and sustainable funding and staffing of national institutions and relevant programmes.

In relation to the “environmental status” set, where expectations of achievement were low, weaknesses were identified in the contribution of oceanic fisheries to PacSIDS’ sustainable development; control of marine pollution; and the participation of stakeholders in national management processes, and in national consultative mechanisms. To a lesser extent, weaknesses were identified in the failure to use reference points in stock management decision-making; and the impact of Illegal, Unreported and Unregulated (IUU) fishing in national waters.

A common feature of the weaknesses identified and listed above is inadequacies in the development of national structures and institutions, and inadequacies in the binding of non-fishery stakeholders into management and consultative processes. These issues are analysed and discussed in some detail elsewhere in the report, but some preliminary comments are relevant.

The project has done much to develop and strengthen national institutional capacity in key technical areas, but has not at any point sought to, nor been mandated to, assess or institute change within the institutions themselves (fishery ministries, departments or authorities). PacSIDS’ whole institution capacity – structure, organization, skills, staffing and budget – and the connection of these institutions to the central machinery of government, remain weak in many Pacific Island countries, and present a major impediment to the productive and sustainable management of the oceanic fishery resources of the region. This state has posed a moderate risk to project success that has been greatly underestimated, and one that the project has been poorly equipped to control or manage.

Fig 11 – Scoring of GEF International Waters process, stress reduction and environmental status indicators (%)



In relation to weaknesses in facilitating and achieving wider stakeholder engagement in oceanic fishery resource management decision-making at national and regional levels, and in national consultative processes, the main impediments have been the fragility of many stakeholder organizations, particularly at the national level. Notable exceptions to this state are the regional, though still modest, offices of the international organisations of IUCN and WWF. Alongside this there is also a worrying weakness in the limited size and capacity of the regional tuna private sector interests, primarily represented through the Pacific Islands Tuna Industry Association (PITIA) (though this is likely to change with increased focus on the domestication of tuna economic activities). This is not an issue that the project was to address, but again represents an under-estimated risk in the achievement of project economic development expectations.

At a slightly different level, the general failure of the project and project participants to establish National Consultative Committees (NCCs) is registered as a project failing, but should be considered to more realistically represent another facet of the poor linkage between national fishery administrations and the central machinery of government. Fisheries administrations have been able to call on other parts of government and civil society where necessary, but other parts of government and civil society have not considered it necessary or appropriate to interact with this important regional project; and part of this may reflect the idea that fishery matters should be dealt with by fishery professionals. But two points arise - fishery professionals are less likely to ask difficult questions about conservation and biodiversity than environmental and civil society interests; and fisheries issues may not be taken as seriously as perhaps they should be if other parts of government are not routinely aware of, and engaged in debate over, those issues.

Terminal Evaluation of GEF/UNDP Oceanic Fisheries Management Project

This issue was raised in the Mid-term Evaluation, and further investigations were agreed at RSC5 held in November 2009, when the findings of the Mid-term Evaluation and the Baseline Study were addressed by the RSC. A review of NCCs was called for, to be presented at the next meeting of the RSC – but since no further meeting of the RSC has taken place, this issue remains in limbo.

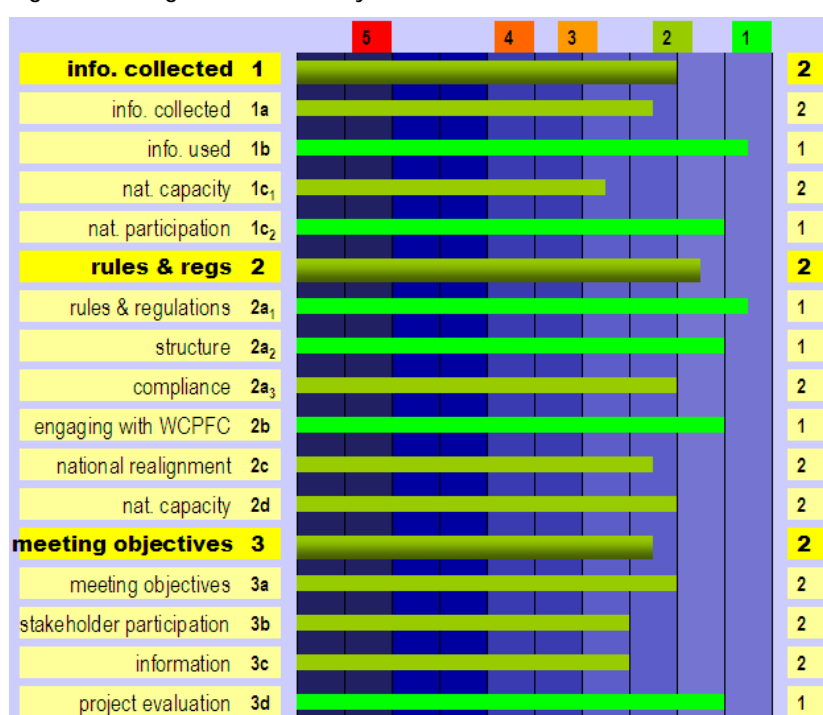
5. Project outcomes against performance indicators

5.1 UNDP outcome indicators

Functional indicators

Using the slimmed down outcome indicator set (developed as part of the 2007 Project Baseline Study – see **Appendix 8**) – which focuses on a functional representation of project performance - from this high-level outcome perspective outcome levels achieved within the period of the project are fairly positive, though a number of indicators register in the range of only 65% to 75% achievement.

Fig 12 – Scoring of Baseline Study functional outcome indicators



Source: Evaluation Team assessments

GEF rating: 1 = 90-100%; 2 = 65-89%; 3 = 50-64%; 4 = 40-49%; 5 = 0-39

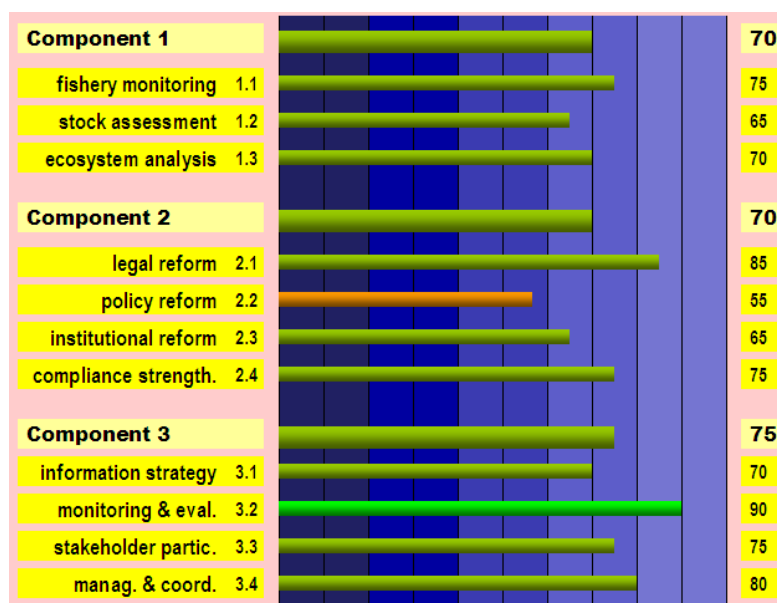
project and project progress, though significant improvements in the latter have been achieved in the last year.

Whilst on the one hand there should be reasonable expectation that project outputs will contribute to and achieve planned outcomes, there are limits to what can be achieved within the period of project execution. This said, however, the way that the outcomes have been drafted is such that little further development against these indicators can be expected in the years immediately following the project (it can be argued that the relationship between outputs and outcomes is overly mechanistic, and lacks qualitative dimensions). In terms of outcomes leading to impacts, there is little doubt that the foundations laid during the project will continue to lead to structural and capacity improvements over time, and that these will lead to improvements in the conservation and sustainability of the regional oceanic fishery resources. There remains the question, however, as to whether or not the specific descriptions of outcomes and their associated OVIs should not have captured qualities that extended beyond simply whether or not a thing had happened or been produced. Should there be further work in

As with the GEF indicator set, weaknesses are identified in national capacities – in collecting and using scientific information, in realigning institutions and systems to meet new challenges, and in developing capacities appropriate to those challenges. At the regional level some weaknesses remain in terms of achieving compliance.

Internal to the project, weaknesses are registered in respect of project engagement with other stakeholders, and in the area of the dissemination of information on the

Fig 13 – Summary of LogFrame outcome indicator scores (% achievement)



Source: Evaluation Team assessments

this area, any measurement of progress should focus more on qualitative achievements – not to the exclusion of quantity, but as an adjunct.

Indicators by sub-component

Assessed against the outcome performance indicators arising from the LogFrame, i.e. following the logical component and sub-component structure of the project, actual outcomes against expected outcomes are slightly less impressive,

though in this case further development of outputs is likely to occur in the years following the project.

The headline assessments are shown in Fig 13, and the fuller, disaggregated, assessments are shown in Fig 14.

Commendable and highly significant outcomes have been recorded under the establishment of the Commission, reform of national legislation, and improvement in national and regional compliance infrastructure under component 2, and more widely across components 1 (science and understanding) and 3 (project management, coordination and communication).

These are at the core of project deliverables and reasonably account for as much as 90 per cent of the expected impact of project outputs and outcomes.

Relative to these major achievements there are some minor weaknesses. The key areas of weakness are recorded under Component 2. Chief amongst these is the sub-component dealing with policy reform. Examined at constituent level (2.2) the key areas of weakness are:

- lack of joined up government,
- poor communication of fishery policy issues across government and other stakeholders,
- poor implementation of policies, plans and strategies, and
- limited capacity, beyond one or two people in each country, to establish national policies for sustainable and responsible fisheries (unavoidable in the smallest countries, but nonetheless a weakness).

These weaknesses are focused at the national rather than regional level.

The second most evident area of weakness is institutional reform (2.3), where the main problems relate to:

- failure to achieve reform, realignment and strengthening of the fishery administrations, and
- failure to engage with and strengthen national NGOs (though this is primarily because they are poorly developed at the national level and, where developed, their limited resources tend to be applied to other interests – such as coastal fisheries).

Again, these weaknesses are focused at the national rather than regional level.

5.2 Overall assessment

At outcome level, this project has proved fairly to very successful and effective, with outcomes likely to result in durable impacts in line with the environmental and development objectives that guided the project's design.

The capacity building elements of the project have helped give PacSIDS' fishery representatives the enhanced confidence to present and negotiate their positions at Commission meetings, to be actively involved in the technical meetings of the Commission, and to sit as equals at the same table as DWFN. This is a major project benefit.

Indeed, the successful establishment of the WCPFC and the enabling of PacSIDS to participate fully in its deliberations has created an environment (that did not exist before) where the PacSIDS, within whose EEZs most of the region's tuna is caught, have now moved on to giving serious consideration to how they can leverage greater economic benefit from this resource. Whilst in essence this is not new thinking, it is the structure and formality that the WCPFC brings to management of the region's oceanic resources that has enabled the PacSIDS to take this next step. Without the project, it would have taken several more years for the WCPFC to have reached fully functional operation, and more years yet before the PacSIDS could have reached their current position.

There are, however, two negative consequences of this development:

- ❑ the speed at which the WCPFC was established and went into operation has to some extent caught people, and the project, on the hop, and so many now consider that the project should have delivered more – particularly in the way of advancing domestication of the tuna economy; this was not foreseen, was not planned for, and is an unrealistic position; most elements of the project necessarily required the full term of the project for their implementation – the fact that the evolution of the Commission has been achieved rather faster than expected is more of a complication than an overt benefit (see below);
- ❑ the establishment of the WCPFC and its full array of sub-committees has proved so successful that it has allowed the Commission to move rapidly ahead to tighten up compliance and establish a range of far-reaching Conservation and Management Measures (CMMs), including 100% observer coverage of purse seine fishing, and the soon to be introduced 5% coverage of long line fishing; this, however, has the inadvertent effect of further stressing the already over-stretched capacities of PacSIDS to legislate, resource, implement and manage the obligations that these CMMs place, disproportionately, on the PacSIDS.

The recurrent area of less successful project performance relates to the significant void in the design of the project in providing mechanisms for the securing of more fundamental restructuring and strengthening of core national fishery administrative capacity. Continuing weakness in national administrative capacity has and will pose a risk to achieving the maximum impact of project outputs and outcomes. But it can be reasonably asserted that there is doubt that a project such as this could have, within the project, done a great deal to remedy this weakness – project design focuses on using service delivery systems that can be delivered at a national level but, crucially, through a regional delivery system. Restructuring and strengthening of core national fishery administrative capacity requires national and bespoke delivery.

The project has not been idle in this area, but the circumstances require more than the project is able to, or designed to, achieve. The project has undertaken some analysis of institutional capacity at national level at various times in the life of the project, including organisation of a workshop on "Experiences and Lessons Learned From Fisheries Institutional Reform (IR) and Institutional Strengthening (IS) Activities" in May 2007, and the commissioning of a report on IR/IS issues⁵, published in August 2007. Based on this report the PIOFMP supported the undertaking of Institutional Development Scoping Studies in Nauru, Kiribati and Tuvalu, which in turn led to the approval by AusAID of the Nauru Fisheries

⁵ Ferraris, R (2007) *Review of institutional reform and institutional strengthening in Pacific fisheries; for FFA, Aug 2007*

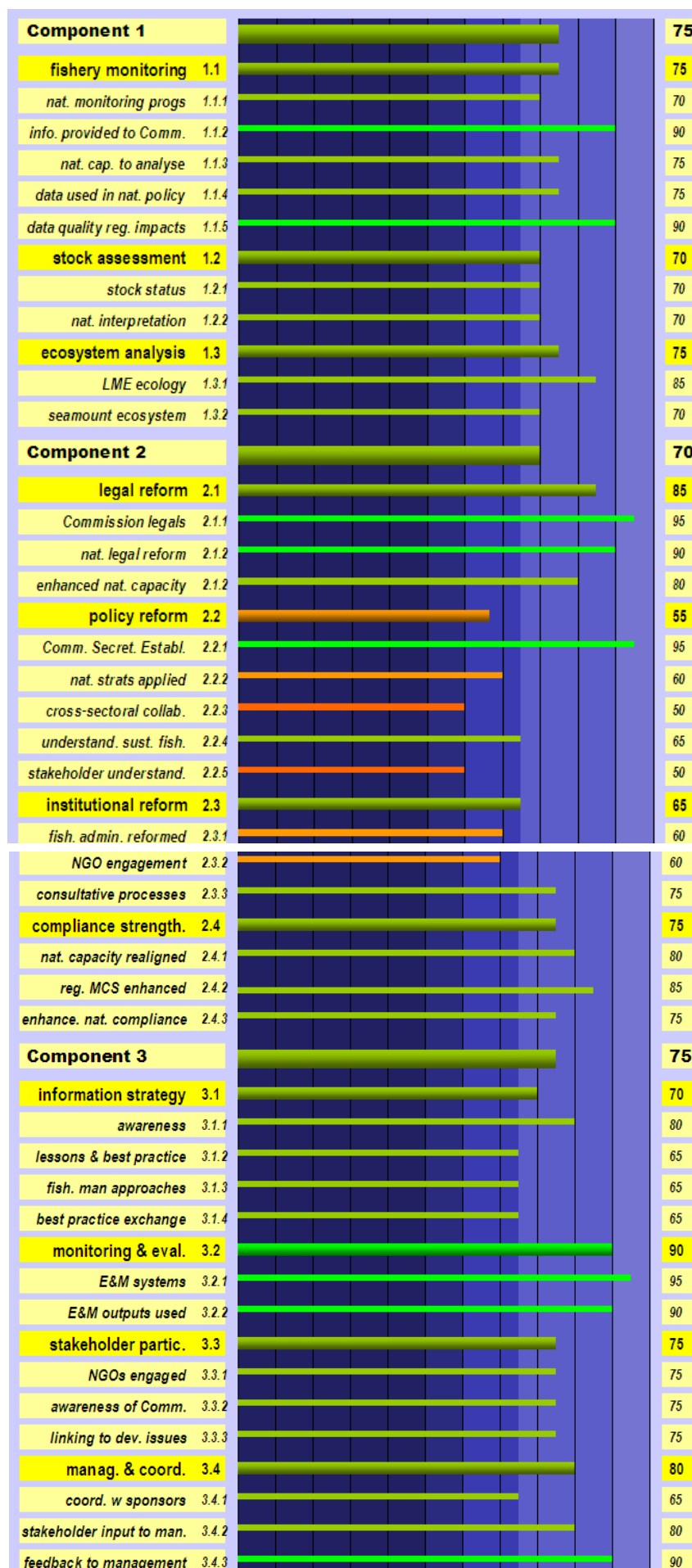
Institutional Strengthening Project. It also led to increased levels of awareness of the gaps and issues facing the fisheries sector government-wide, and the use of the feasibility study outcomes in bilateral donor programming talks – notably with AusAID and NZAid in the design of similar projects for Kiribati and Tuvalu. In addition, IR/IS programmes have been undertaken in recent years in Cook Islands and Solomon Islands (NZAid) with which the PIOFM has worked closely, and prior to that in Samoa and Tonga (AusAID), and in the Marshall Islands and Papua New Guinea (ADB). In general, these programmes have also worked closely with FFA and SPC.

Nonetheless, despite these efforts there remains institutional weakness in many islands' fisheries administrations. More needs to be done in this area, but it is unclear what more a project such as the PIOFMP could do – a question to be considered in designing any follow-up project. More formal linkage of donor programmes in this area might be appropriate - such as a sectoral planning mechanism⁶, or a donor round table. In addition, however, more could be achieved in helping governments identify gaps and issues facing their fisheries sectors government-wide – through the strategy and briefing sessions coordinated by FFA and the modelling, profiling and simulation work undertaken by SPC.

⁶ *such a planning body does exist in the form of the Marine Sector Working Group, but this comprises CROP (Council of Regional Organisations in the Pacific) agencies only, and excludes the donor community*

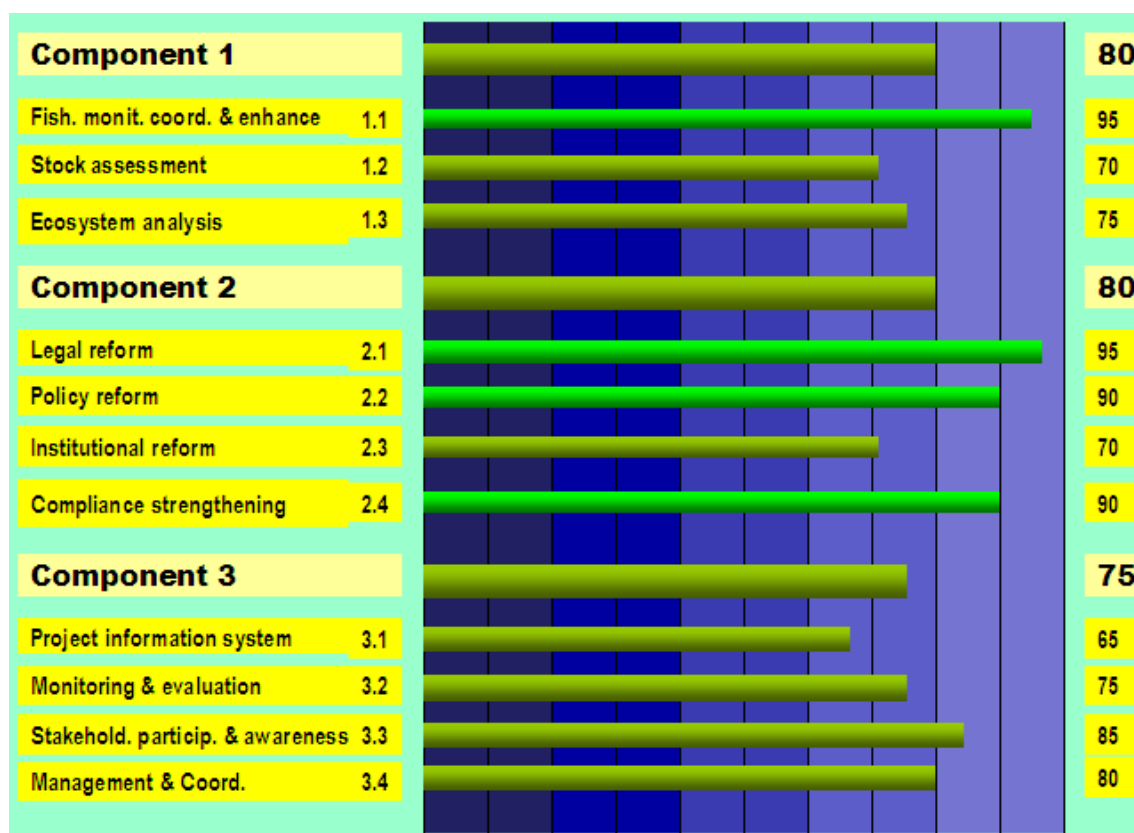
Fig 14 – LogFrame outcome indicator scores (% achievement)

Source: Evaluation Team assessments



6. Operational analysis

Fig 15 – Summary of LogFrame output indicator scores (% achievement)



Source: Evaluation Team assessments

6.1 LogFrame output analysis

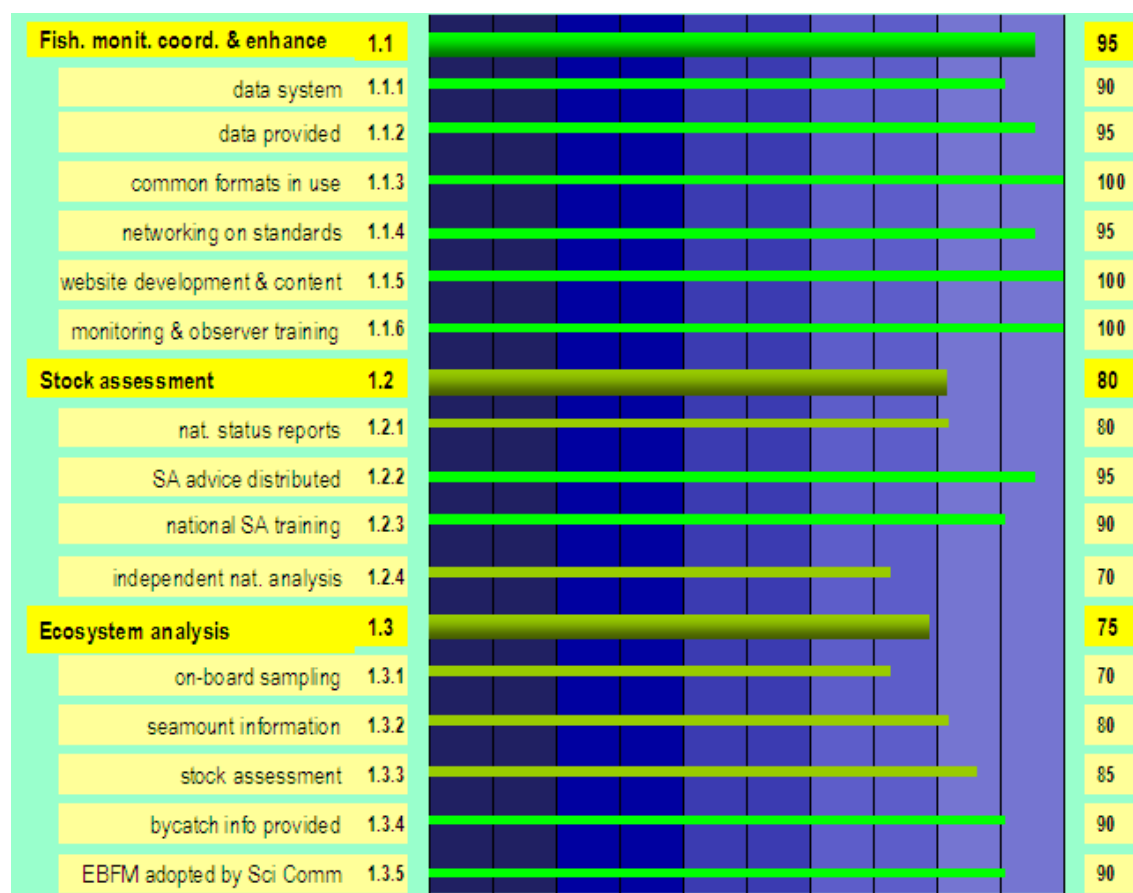
Sub-component 1.1 Fishery monitoring, coordination & enhancement

A standard system of national integrated monitoring programme on catch and effort, observer, port sampling and landings are in place in all the Pacific SIDS. Data collections are occurring in all Pacific SIDS. Database and software have been developed and installed. Tufman (Tuna Fishery Data Management System) and tuna database training have been provided to all participating countries. The training of all national monitoring staff via attachments and national observers training workshops for coordinators, observers and port samplers were assessed as excellent.

Common reporting formats are being used by the countries. Data handling and capacities have been strengthened in all Pacific SIDS. All Pacific SIDS are meeting the Commission's standards for provision of monitoring data by submitting data reports as requested by the Commission. Both the Commission's compliance report and the Commission Data Gap Annual report show all Pacific SIDS are submitting data reports as required by the Commission. Effective regional networking on quality and standard of data has been achieved through newsletters, fishery monitoring websites and workshops.

6.2 Component 1 outputs: scientific assessment & monitoring enhancement

Fig 17 – LogFrame Component 1 output indicator scores (% achievement)



Source: Evaluation Team assessments

Sub-component 1.2 Stock assessment

The national tuna fisheries reports have detailed information on the status of national tuna stocks, oceanographic variability, impacts of fishing, impacts of climate change and fishing performances. It is also linked to the ecosystem-based national tuna management plans. The national capacity to use and interpret fisheries and oceanographic data is still limited and there is still a lack of independent of technical and scientific analyses produced by Pacific SIDS

Scientific advices to a wide range of national and regional meetings have been very rewarding at the national, regional and Commission levels. The regional stock assessments workshops for training of national technical and scientific staff to understand regional stock assessments methods have been strengthened but require further development.

Sub-component 1.3 Ecosystem analysis

There is a good understanding and knowledge of the dynamics of trophic relationships in WTP LME pelagic ecosystems. Quantitative estimates of trophic interactions are used in ecosystem models. The development of SEAPODYM (Spatial Ecosystem & Population Dynamic Model) has enhanced ecosystem understanding of pelagic species and their interaction with their environment. This has enhanced ecosystem-based scientific advice to the Commission and to the Pacific SIDS. There were substantial increases in reporting of by-catch and species of special interest from all Pacific SIDS.

Newsletters were produced and disseminated. The mapping of seamounts and interpretation of their role in pelagic species aggregations and movement of pelagic species has enhanced knowledge of ecosystem role of seamounts in WCP.

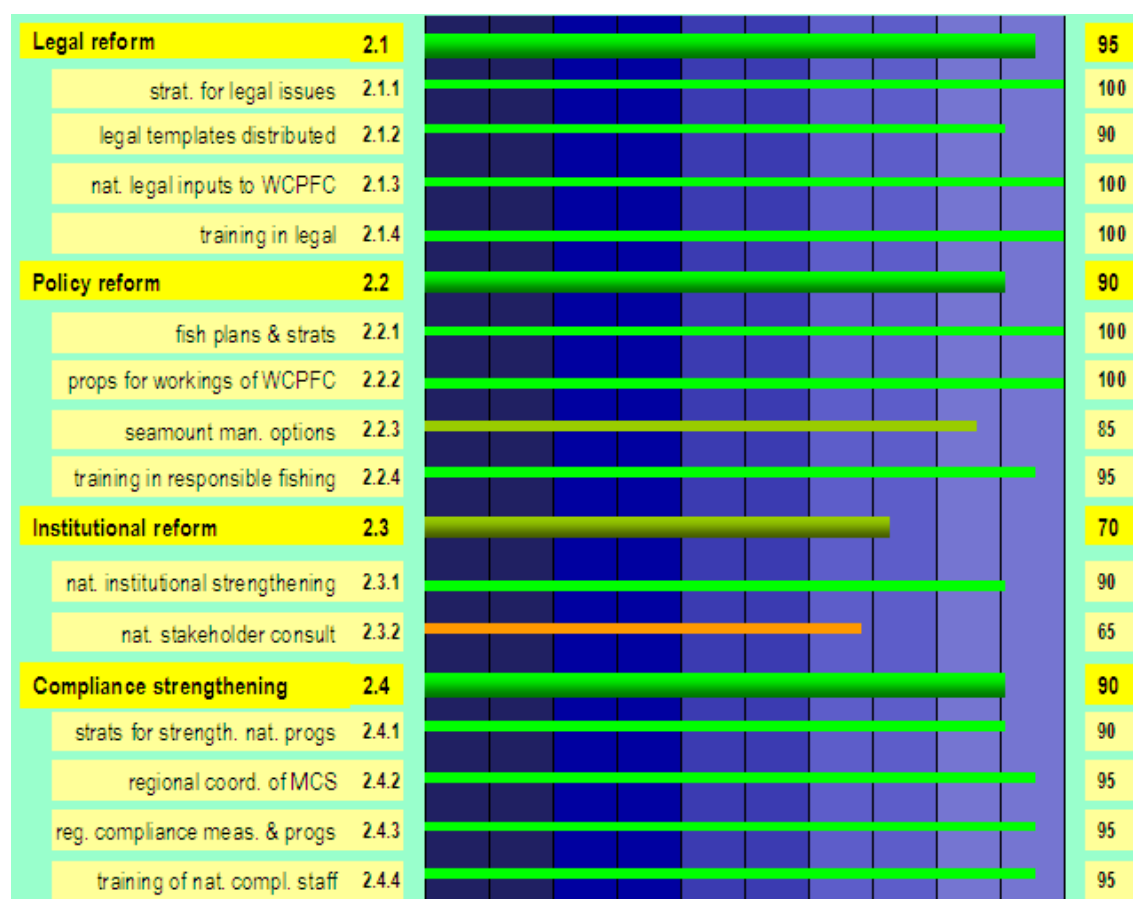
6.3 Component 2 outputs: Law policy, institutional reform, realignment & strengthening

Sub-component 2.1. Legal reform

There were wide ranges of legal reform activities undertaken in all Pacific SIDS. Most countries required significant assistance to review and reform legislations to implement WCPF Conventions and other relevant legal instruments at national and regional levels. The legal reforms extended beyond expectations of this output. The legal advice to Pacific SIDS was comprehensive during pre-Commission meetings and briefings.

Sub-component 2.2 Policy Reform

Fig 18 - LogFrame Component 2 output indicator scores (% achievement)



Source: Evaluation Team assessments

The policy reform and tuna management plan implementation have met and exceeded output targets though not all countries have completed development of policy management plans. Significant policy reforms at least in 50% of the Pacific SIDS. A wide range of training and workshops for building capacity prior to WCPFC's annual sessions.

The Commission is now established and has a functioning secretariat and technical committees. The Pacific SIDS contributions to the establishment of the Commission's secretariat are substantial and

effective. Conservation and Management Measures (CMM) are being adopted by national plans, policies and strategies. The technical studies related to seamounts were undertaken though no management options were implemented.

Sub-component 2.3. Institutional reform

The fisheries administrations were realigned and strengthened through a participatory approach in all Pacific SIDS. Strategic planning workshops on lessons learned and best practices on institutional reforms were undertaken to identify and assess Pacific SIDS that require institutional reform. There is still a lack of comprehensive review of best practices in institutional reform on national fisheries administrations and assessments of institutional capacity to meet WCPFC obligations. There is also very little enthusiasm for the establishment of NCC in the Pacific SIDS.

Sub-component 2.4 Compliance strengthening

The national compliance programs were realigned, reformed and strengthened. An improved regional and national MCS coordination have strengthened and realigned national compliance programs through workshops. There are substantial changes in national capacity in the area of compliance for all Pacific SIDS. They have enhanced national compliance capacities in inspections, observations, patrols, VMS and investigations. They also have MCS capacities and effective participations on Commission compliance issues.

6.4 Component 3 outputs: Coordination, participation & information services

Sub-component 3.1 Information Strategy

In all the Pacific SIDS there has been enhanced awareness of project and a greater understanding of the project objectives and progress. The lessons learned and best practices have been well documented and linked to global initiatives in global fisheries. There has been good advice and innovative fisheries management strategies and approaches that have been linked to the Commission.

Sub-component 3.2 Monitoring & evaluation

There have been excellent monitoring and evaluation of project progress and performances. A significant aspect of monitoring includes monitoring of the process, stress reduction and environmental status indicators to assess the effectiveness of Commission measures and outputs evaluations in project management. The annual progress reports, two Annual Reviews, and the Mid-term Evaluation have been very useful in evaluating project progress and performances.

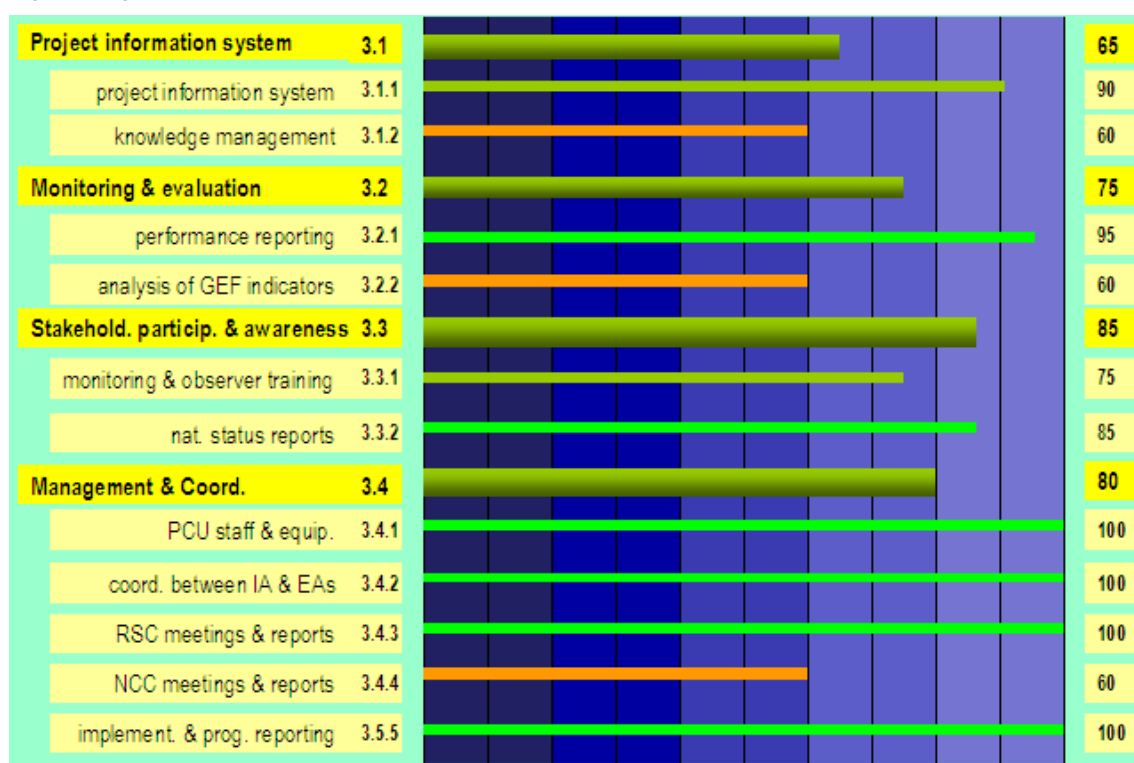
Sub-component 3.3 Stakeholder participation & awareness

Non-government stakeholders workshops and forums have enhanced discussions and promoted national and regional awareness of oceanic fisheries management issues and WCPF Convention. Excellent awareness raising materials were produced to help Pacific SIDS take ownership of tuna resources.

Sub-component 3.4 Management & coordination

The project was effectively coordinated and managed between implementing and executing agencies and other project partners. This has strengthened regional cooperation between regional stakeholders and Pacific SIDS. Participations of other project stakeholders in project management have been effective. Excellent project progress and performances and these have been effective because of excellent teamwork and good collaborations in project management by all stakeholders.

Fig 19 - LogFrame Component 3 output indicator scores (% achievement)



Source: Evaluation Team assessments

7. Assessment of Sustainability of Project Outcomes

7.1 Assessment of Project Outcomes

A simple test of project sustainability is to consider what elements of project outcomes would persist once the project has been completed and/or funding ceased.

The two project outcome indicator sets in use by the project are the 35 indicator set derived from the LogFrame and the reduced 11 indicator set developed as part of the Baseline Study. Whilst it is clear that a certain amount of detail is inevitably lost in converting from the larger to the smaller indicator set, the latter (shown as **Table 3**) is considered appropriate to the task of assessing project sustainability.

In **Table 3** the likely sustainability of project outcomes is assessed. The individual scoring is discussed in the paragraphs below.

Table 3 - Assessment of the likely sustainability dimensions of project outcomes

OUTCOME 1:	rating
Improved quality, compatibility & availability of scientific information & knowledge on the oceanic transboundary fish stocks & related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries, & the fishing impacts upon them.	MU
This information being used by the WCPFC & PacSIDS to assess measures for the conservation & management of transboundary oceanic fishery resources & protection of the WTP LME.	L
National capacities in oceanic fishery monitoring & assessment strengthened, with PacSIDS meeting their national & WCPFC-related responsibilities in these areas.	MU
OUTCOME 2:	
The WCPFC established & beginning to function effectively.	L
Pacific Island nations playing a full role in the functioning & management of the WCPFC, & in the related management of the fisheries & the globally-important LME.	MU
National laws, policies, institutions & programmes relating to management of transboundary oceanic fisheries reformed, realigned & strengthened to implement the WCPF Convention & other applicable global & regional instruments.	MU
National capacities in oceanic fisheries law, fisheries management & compliance strengthened.	ML
OUTCOME 3:	
Effective project management at the national & regional level.	ML
Major governmental & non-governmental stakeholders participating in project activities & consultative mechanisms at national & regional levels.	ML
Information on the project & the WCPF process contributing to increased awareness of oceanic fishery resource & ecosystem management.	ML
Project evaluations reflecting successful & sustainable project objectives.	ML
OVERALL RATING	ML

Note - Sustainability is rated as follows: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U).

The overall assessment is mixed, though the durability of most skills and capacities developed as a result of the project are considered good. The main problem is more one of assessment – long-term donor support forms a significant component in the operations of each of these institutions, including national fisheries administrations. Therefore it may not be realistic to evaluate sustainability on the basis of simply removing project related funding – since in the past, as in the future, it will simply be replaced by other donor funding. A partial rationale for this is that the majority of PacSIDS have small populations, and small and fragile economies – though the project has managed to make some headway here (increasing staff numbers by 28 in the 6 smallest PacSIDS) using partial cost recovery systems. But this does not get around the logic that, given the economic worth of the regional tuna fisheries (captured to some effect in ADB reports on the subject, in part funded through this project), the majority of fishery administrations should be capable of being sufficiently funded from central government budgets to undertake the tasks required to sustainably manage those tuna fisheries and the income streams attaching to those fisheries. This is an element of institutional change and realignment that has yet to be achieved, and one that the project has been relatively unsuccessful in impacting.

The assessment shown in **Table 3** presents mixed sustainability results:

- ❑ The WCPFC has been established, and it is functioning as an RFMO. It has a full committee structure, but is still building its core systems, and expanding its staff complement. Its activities are, however, fully funded from membership subscriptions (a fixed component, plus a variable component linked to tonnage of fish caught), and these subscriptions are sufficient to fund the Commission and its corollary work for the foreseeable future. For example, the Commission contracts both SPC and FFA to provide specific services on the basis of fully commercial contracts. [outcome 2a]
- ❑ There is a range of information that forms the basis on which the Commission operates, and because this is so fundamental to the operations of the Commission it is difficult to foresee a time when such information would not be provided, as a matter of course, by subscribing countries. There is some information, however, that is not collected as quite the normative function as core catch and effort data, and some administrations may be less able to provide such information, though already the extent of what is considered normative has been substantially expanded by making cost-recovery for some services a condition of fishing licence. [outcomes 1b & 1c]
- ❑ Extending the above assessment, there is a range of information that is not typically collected at the national level, but is generated through regional research initiatives. This has been traditionally funded largely from donor funding complemented by in-kind commitments from national institutions. If donor funding were terminated in this area, the specialist staff heading up this kind of work, who are generally not nationals of the PacSIDS (the small population pool of the PacSIDS is unlikely to generate more than one or two such specialists, who will access a global job market), would no longer be funded, and the level of research undertaken would be substantially cut back. [outcome 1a]
- ❑ The financial and technical support provided by the project to PacSIDS has been instrumental in securing the full engagement of PacSIDS in the work of the Commission, and in bringing their systems into alignment with the requirements of the Commission. Withdrawal of financial support will have significant impact on the sustainability of this engagement, but the skills developed through this process will be retained and deployed. But the very purpose of the regional organizations – most notably FFA, but also SPC – is to provide regional support that individual countries might be hard-pressed to generate themselves (or, in the case of the smallest PacSIDS, will never realistically be able to provide). Part of this support is funded from membership contributions, but certainly not all. Nonetheless, the importance of PacSIDS' full involvement with the Commission is widely recognized and is likely to be given considerable priority by most country governments. [outcomes 2b & 2c]

- ❑ National capacities in oceanic fisheries law, fisheries management & compliance have been substantially strengthened as a result of project activity, but the sustainability of this capacity is threatened by the fact that only very few individuals in each country are the focus of such capacity development, and these capacities and associated skills may not be given the recognition by central government that is commensurate with the role they play in protecting the revenue and economic benefits streams that the tuna resource can provide. [outcome 2d]
- ❑ Component 3 outcomes primarily relate to project management issues, which are rather bound to the duration of the project itself. Some of the skills present and developed within these roles will be retained – for example in FFA and SPC – but it is also the case that the project greatly benefited from the presence of these skills within these institutions prior to project commencement. [outcomes 3a & 3d]
- ❑ Stakeholder engagement with issues relating to tuna fisheries management relates more to the status of the NGO community than to anything the project has or has not done. Awareness relating to tuna resource management has been raised as a result of project activity (by WWF, FFA and SPC), and will continue to be raised after completion of the project. [outcomes 3b & 3c]

7.2 Assessment of Four Dimensions of Sustainability

Sustainability can also be examined against four core dimensions of sustainability – financial, socio-political, institutional / governance, and environmental sustainability, as shown in Table 4.

Table 4 - Assessment of the Four Dimensions of Sustainability

Dimension of Sustainability	Where should the process be?	Where is it?	Rating
Financial	Regional: The WCPFC should be established, fully functional and fully and sustainably funded.	Subscriptions to the Commission are based on a base rate and a variable rate relating to tuna catches. Subscription revenue streams are in place, are substantially greater than originally envisaged, and funding levels are considered to be more than adequate to cover foreseeable costs.	L
	Regional: Regional service providers such as FFA the SPC continue to provide demand driven services of a high order, and in doing so attract the continued support of member countries, and additional funding from the donor community.	Both the FFA and SPC have been very successful in meeting regional requirements. They remain flexible in programming, and evidently responsive to regional and international needs – and as a result medium-term funding is secure. At times, however, their dominant regional position in originating and managing programming can be overly self-serving, and this is not always quickly brought into equilibrium because of competition to commit funding from within the donor community, whilst the PacSIDS could reasonably be more outspoken about their needs and service delivery models.	L
	National: National capacity to undertake effective oceanic fisheries management should be fully and adequately funded and resourced from national coffers, supplemented where appropriate with cost-recovery	Most fisheries administrations remain under-resourced relative to the tasks they are required to undertake – and little relationship has been established between the scale of the sector they administer and the role governments require of them. Cost-recovery mechanisms have been well established for such elements as observer	U

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Dimension of Sustainability	Where should the process be?	Where is it?	Rating
	from principle economic beneficiaries.	coverage, but provision of these additional services is for many only further over-stretching under-resourced administrations.	
Socio-political	Regional: High-level political support for the WCPFC and regional agencies (FFA & SPC).	There is high-level political support for the work of the WCPFC and the regional agencies, and enthusiastic engagement with the work of the WCPFC. National oversight of, and inputs into, the programming and outcomes of the work plans of the regional agencies could be more robust and demanding.	ML
	Regional: Well established regional stakeholder engagement with tuna management and related issues.	Industry organisations such as PITIA are currently relatively poorly supported, but this is likely to change as the development opportunities arising from the work of the WCPFC are acted upon. In addition, regional trade groupings are also likely to play a larger part in molding the future development of the sector. As to regional / international eNGOs, there is modest engagement, but their regional capacities are limited, and with a greater focus on coastal and terrestrial issues – more in line with the projects and priorities they are closely engaged with.	MU
	National: High-level political support for the work of the fishery administration, and coherence between policy and practice across government.	In most PacSIDS there is little coherence across government, with tendency to marginalise role and capacity of fisheries administrations, and tendency to apply policy on basis of political expediency.	U
	National: Engagement of others stakeholders in issues of tuna management and national policy.	Limited engagement of ministries or departments of the environment in tuna related issues. Local eNGOs and other civil society organisations are poorly developed, and more likely to have focus on terrestrial and coastal issues.	U
Institutional Governance /	National laws and institutions have been restructured and realigned to support the WCPFC in its work and to achieve management and control of fishing activity in support of national interests.	Substantial realignment of national legislation has been achieved as a direct result of project activity and support. The pace at which the WCPFC Technical and Compliance Committee is drawing and approving new Conservation and Management Measures (CMMs) is placing unrealistic pressure on the capacities of national administrations to enact them. A major problem across most of the PacSIDS is that core institutional change (structure, management and administrative systems and skills, staffing, institutional culture, and funding) and the political backing to achieve effective governance through such change still lags well	U

Dimension of Sustainability	Where should the process be?	Where is it?	Rating
		behind that needed to meet commitments to the WCPFC and the emerging economic expectations of the PacSIDS themselves.	
Environmental	Continuation of the long-term upward trajectory of regional tuna exploitation has been identified as likely to lead to over-exploitation of key stocks; towards the end of the project levels of exploitation should have been brought under control - slowed or reversed – based on best scientific advice and responsible rules-based management systems.	Some headway has been achieved in bringing rising exploitation levels on each of the four main tuna stocks under control, primarily through increased and more effective MCS, but also based on improved information as to the status of the stocks. Stock assessments are regularly undertaken, and reference points derived from the stock models, but these are not as yet translated into the decision-making rules that govern agreements on exploitation levels – though there is rising regional and international pressure to do so.	ML
	Knowledge of the inter-linkages between tuna stocks, the phenomenon known as the West Pacific Warm Pool, and the underlying ecology of this region and the role played by the seamounts should have been substantially strengthened, and this information used to inform decision-making at the WCPFC on tuna management, and Conservation and Management Measures (CMMs).	The work of this and other related projects has done much to increase knowledge and understanding of the oceanic ecosystem and the role of tuna stocks within this. This includes increased knowledge concerning the ecology of seamounts. This knowledge has been put to good use within the infrastructure of the WCPFC to inform and develop new protocols (for example in data collection) and Conservation and Management Measures (on reporting, bycatch, fishing restrictions, observer coverage), with significant immediate and future positive impacts on the environment and ecosystem.	L
Overall Rating			ML/MU

7.3 Conclusion

As in other analyses undertaken as part of this evaluation, assessment against the four pillars of sustainability highlights some of the strengths deriving from the establishment of the WCPFC, but also points up the institutional weaknesses evident at a national level. But the project has actually achieved rather more than was planned, even at the national level. The work of the project has done much to establish and strengthen national systems and skills in planning, managing information, developing / modifying legislation, inspection, observer coverage, participation in science programmes – which is altogether positive. But the project was not designed to accomplish fundamental reform and restructuring of fisheries administrations, and inconsistencies in this area continue to undermine the full worth of project achievements, and challenge the sustainability of many of its outcomes and future impacts.

8. Monitoring and Evaluation (M&E) System

8.1 M&E Planning and Design

The basics of the project Monitoring and Evaluation system were outlined in Section 3.7. In summary, the basis of the M&E system is the ProDoc, and its attached LogFrame (UNDP structure) and Annex L (GEF impact assessment framework). The main elements of LogFrame structure, which form the core of the evaluation system, are illustrated in **Fig 21**.

The project monitoring & evaluation framework comprises:

- ☐ quarterly narrative & financial reporting
- ☐ annual reporting combining the Annual Performance review (PPR) of the GEF and the Performance Implementation Review of UNDP (the APR/PIR)
- ☐ annual Regional Steering Committee meetings to consider the APR/PIR
- ☐ annual GEF Performance Results framework
- ☐ annual reviews
- ☐ mid-term review
- ☐ terminal report
- ☐ terminal evaluation
- ☐ post-project evaluation.

8.2 M&E Implementation

The project M&E system has been implemented according to design. The RSC has met every year of the project (excepting 2010). The formal mid-term review of the project was undertaken in 2008, and the terminal evaluation commissioned in the 1st quarter of 2011. Annual reviews, a mechanism introduced by the executing agency to provide short-term guidance on operations and overall project form, have been conducted in 2007 and 2009.

A Baseline Study was undertaken in 2008 to:

- ☐ review the applicable GEF International Waters Operational Strategy, describe the GEF International Waters process, stress-reduction and environmental status indicators framework at a project level and suggest any appropriate revisions;
- ☐ describe the baseline situation in mid-2005 before PIOFMP implementation in relation to:
 - o measures in place at national, sub-regional and regional level for the conservation and management of the oceanic fish stocks of the WCPO and the protection of the WTP WP LME (Western Tropical Pacific Warm Pool Large Marine Ecosystem) from fisheries impacts;
 - o the status of the fisheries, the target stocks and the ecosystem including trophic status and status of key non-target species; and
 - o initial measures of the GEF monitoring and evaluation indicators outlined in the project LogFrame Matrix (Annex L).

The need to commission a Baseline Study was in part a response to the need to better understand the intricacies of the GEF indicator requirements, and to get a better grip on the UNDP-related progress monitoring system, and in part to replicate a similar baseline study undertaken in the early stages of the OFM component (pilot) phase of the GEF IW SAP project coordinated by SPREP.

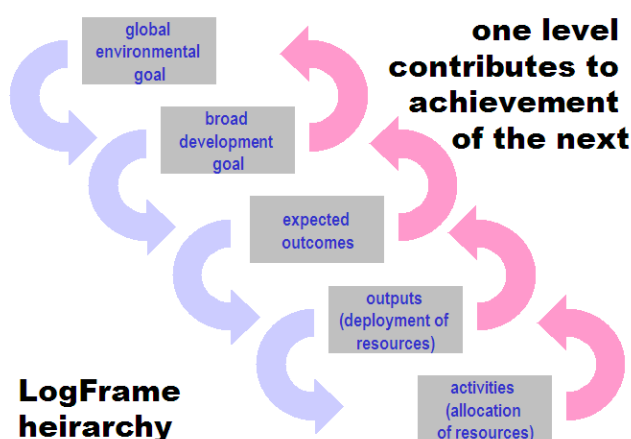
At an operational level the M&E system has worked well, with quarterly reports establishing and maintaining administrative discipline, and annual reports maintaining the basis of reviews of progress. Together these have largely provided the basis for discussions at annual RSC meetings.

At a higher-level, however, the M&E system has been less successful. The PCU and executing agency have done everything to fulfill their M&E obligations, but there is little evidence that, other than within the PCU and the executing agency, any of this has led to critical appraisal of overall project design, progress, outcomes, and contribution to project objectives. Part of this may be a matter of timing. The Mid-term Evaluation was delivered in August 2008, and the Baseline Study in November 2008. RSC4 was convened in June 2008, and RSC5 in November 2009, when these studies were presented for consideration – four years into execution of a five year project.

One exception to the above statements is, however, the re-formulation of the seamount research component of the project. By early 2008 the IUCN had accepted that it could no longer meet its commitment to undertake the research cruise and, with the help of the Mid-term Review, the various parties were able to reach agreement on the productive restructuring of this component of the project.

It is the case that the implementation of this project has proved to be very successful, but this is not universally so. It is unclear that if the project had been less successful that the M&E and project oversight systems would have picked problems up and dealt with them. Key to this has been the failure of all systems to identify that there has been no realistically coherent monitoring of progress against project outputs or UNDP and GEF outcome indicators until now, the Terminal Evaluation.

Fig 21 - The typical structure of the Logframe heirarchy



The safety net in all this has been provided by a particularly high level of project management by the Project Coordinator, and the hands-on role played by the key project advisor and author of the two Annual Reviews (in which a number of key high-level issues have been identified and addressed). Further, many potential operating difficulties that could have arisen (or have arisen and been dealt with), have been headed off as a result of the well developed and professional structures of the two regional executing agencies, the FFA and SPC Fisheries, and the normative coordinating infrastructures that

exist between these two agencies.

To improve the quality and effectiveness of RSCs, maybe consideration should be given to providing independent advisors to assist at RSC meetings, and/or maybe the practice, as a cost-saving measure, of linking RSC meetings to other regional meetings should be stopped – but neither of these measures should really be necessary.

8.3 M&E Funding

M&E funding has been more than adequate for the requirements of the project. But the complexity of the project, and the level of detail presented in the LogFrame (which then carries over to the format for M&E reporting), has meant that the task of reporting has placed a particular, and possibly avoidable, burden on the Project Coordinator – one of only two PCU staff involved in the management of this large and complex project.

The complexity of the project, the level of detail presented in the LogFrame, and the overly onerous nature of UNDP and GEF reporting, may also have acted as a disincentive to fuller engagement with the oversight functions attaching to the M&E system. To some extent this was recognized by the project, particularly in the first Annual Review, which also led to the commissioning of the Baseline Study. In part this was an effort to reduce the scale and complexity of the M&E process, and in part to reflect, it is suggested, a move by UNDP to shift from focusing on outputs to more of a focus on outcomes as a high-level indicator of project progress and accomplishment. But in reality little attention was paid to this effort, and an array of different progress indicator sets were allowed to stay in play across the life of the project, though none were used effectively to monitor project performance.

8.4 Long Term Monitoring

The areas of impact of this project are so central to the interests of the PacSIDS and to the work of the WCPFC that there is no doubt that the main elements that go to make up the outcome indicator sets for this project will continue to be monitored into the future. In addition, this is one of many donor funded projects seeking to address these issues, all of which will require progress tracking against project-specific indicator sets.

But this is not to say that the continued monitoring of these outcome sets will actually be reported in any coherent form. Accordingly, there may be some purpose to seeking to incorporate these various project indicator sets into a single coherent PacSIDS and / or tuna management annual "Score Board", that can be published as a stand-alone document and incorporated into the annual reporting formats of the FFA, SPC Fisheries and the WCPFC.

9. Processes that Affected Project Results

9.1 Preparation and readiness

❑ Were the project's objectives and components clear, practicable and feasible within its timeframe?

Given that this project took place within the context of long-running programmes of support to achieving improved long-term management of South Pacific tuna resources, much was already known about the development environment in which the project was to operate and the areas of focus of the project. On top of this a Phase I (pilot) project had been undertaken, and the experience gained from this project was incorporated into the planning of this project.

Further, in the planning phase for this project, considerable time, effort and resources were invested into building stakeholder involvement in the planning of this project, and this was reflected in the wide and active commitment to the project.

❑ Were the capacities of executing institutions and counterparts properly considered when the project was designed?

Both FFA and SPC were and are actively engaged in soliciting donor support, in association with PacSIDS, for a range of activities aimed at building and delivering support to regional and national fishery management capacity. Both institutions head-up and manage a wide array of donor and country-funded projects and have well-established management and administrative systems that this project has greatly benefited from.

These institutions invest substantial time and effort in packaging projects to both address regional and national needs, but also to address the particular policy ambitions of bi-lateral and multi-lateral donors. The experience gained by these institutions through the Phase I GEF / UNDP Oceanic Fisheries Management project allowed them to better tailor the current project to the particular policy and operational parameters of GEF and its International Waters Programme. This has greatly benefited not just the donor agencies funding and implementing this project, but the key beneficiaries of the project, the PacSIDS, and the WCPFC, and the FFA and SPC Fisheries themselves.

But it should also be noted that the same expectations of institutional capacity were not applied to inclusion of IUCN in the project. At the time the project commenced, IUCN did not have representation in the region.

❑ Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?

These elements were all considered at the outset of the project, as well as forming a key subject of project service provision, support and development.

There was recognition of the varying and often constrained capacities of national fisheries administrations, and this was built in to the design and nature of services to be delivered under the project. The language used in the ProDoc may, however, have over-stated the ability of the project to bring about (fundamental) restructuring and realignment of the national infrastructures, bearing in mind that the project did not include the components designed to deliver such core changes, but rather focused on building add-on systems and skills, and the restructuring of fisheries administrations is a necessarily a national, not a regional, issue.

❑ Were lessons from other relevant projects properly incorporated in the project design?

Lessons from many years of prior involvement, by the core delivery institutions and the beneficiary fishery administrations, meant that many features learnt from long experience could be incorporated into the design of this project. In addition, the experience gained from execution of the Phase I (pilot) Oceanic Fisheries Management project could also be transferred into the planning of this project.

Taking on board such experience, and incorporating the advice and assistance of UNDP/GEF expertise,

particular effort was put into defining activities and project outputs at a detailed level, where the Phase I project had been assessed as suffering from overly loose descriptions of the same. In practice this led to the development of an overly cumbersome LogFrame that did provide the planned operational guidance, but posed something of a drawback when carried forward as the basis of the M&E system. This was further complicated by the additional, contrasting, M&E requirements of the GEF system.

Some efforts were made to rationalize and scale down the basis of the M&E system (including potential application of the UNDP concept of "Adaptive Management", which was brought to the attention of the project team during the 2008 RSC), but lack of focus on the higher level of project oversight meant that little if any of this was really picked up and acted upon. In practice this has had relatively minor impact on this project, though it has placed a much higher management and reporting burden on the Project Coordinator than was necessary, and thus pulled resources away from other activities. Allowance for recruitment of a third staff member of the PCU might have alleviated or even avoided this position.

Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project approval?

SPC / FFA The FFA and SPC Fisheries have been cooperating in the delivery of services to their respective member countries over several decades, and have well developed systems to manage such cooperation – through annual coordination meetings, through project coordination meetings, through the board structures of the respective agencies, and through regular engagement between agency staff and fisheries administrations across the region. The agencies also participate as key members of the annual Marine Sector Working Group, a meeting of relevant CROP (Council of Regional Organisations of the Pacific) agencies to coordinate activities in the marine sector.

Against this background, it was a relatively straightforward process to allocate project roles and tasks between the two main executing agencies and beneficiary countries. These have proved both appropriate and effective.

IUCN Towards the end of the project planning phase a high level decision was made at GEF to combine another project application with the Oceanic Fisheries Management project, incorporating an IUCN seamount research project. Whilst in the end the outcomes of the IUCN component have made a very useful contribution to the overall outcomes of the project, this success was rather despite the arrangements negotiated at the outset of the project.

At the core of the Oceanic Fisheries Management project was a coherent institutional development argument, one component of which required the provision of information on fishing activity, stock status and research-based findings on ecosystem linkages that would allow better understanding of stock and ecosystem interactions. The activities required under this latter component were developed and allocated primarily within the SPC Fisheries programme, and dovetailed with the many other activities being undertaken within the SPC Fisheries Oceanic programme. Seamounts research, and the particular (benthic) biology associated with these oceanic features, did not figure in this work, and had not figured in work on other tuna fisheries around the globe. But IUCN had started seeking to build up its global marine and oceanic programme, and one area it was focusing on was the biology of seamounts. At the core of this work was the deployment of a research vessel to facilitate underwater research work. IUCN was also seeking to develop its regional presence in the Pacific, and to open its Oceania office in Fiji.

IUCN had been offered the use of a research vessel at no cost to itself or the project, and this was to form the basis of its South Pacific seamounts research project. In practice shortly after commencement of the project the research vessel was unavoidably taken out of service (it was damaged as a consequence of hurricane Katrina in 2005), and most of the IUCN programme had to be remodeled. As a consequence of the limited regional capacity of IUCN, most of the available funds were reallocated to the SPC to bolster work that they were already doing under the project. But further, there was limited institutional coherence between the IUCN international and regional structures (the IUCN programme was initially managed from outside the region, and only subsequently through the IUCN Oceanic office) and SPC Fisheries, and these institutions, and the FFA, struggled in the early years to establish the necessary level of communication and cooperation.

At the end of the project the seamounts research work has made a significant contribution to the understanding of the oceanic and seamount ecosystem, but this is more to do with the scale of associated research work already being done by SPC Fisheries (i.e. seamounts work could be incorporated into, and interpreted as part of, a range of other work being undertaken by SPC), than anything specific to the IUCN project proposal. IUCN was able to play a full part in this work, and contributed to the success of the work. But along the way, in its efforts to retain the scale of its involvement in the project a number of other proposals were rejected by project management on the basis that they duplicated work that was already being undertaken with the project by FFA and SPC. It should, nonetheless, be noted that the IUCN Oceania office has, since the outset of this project, grown significantly in size and capacity, and is now well-established within the region.

At the project design stage there were sufficient signals of inconsistency at an institutional capacity level between IUCN and the FFA and SPC Fisheries, and between the ecosystem research already built into the project and the seamount research being proposed by IUCN, to ring alarm bells. Rather more should have been done at the time to manage the additional risks that this inconsistency presented.

WWF (& PITIA) Another area of project of institutional interaction was that between the project and the WWF. One of the intended outputs of the project was to facilitate the engagement of regional non-government stakeholders with the work of the WCPFC, and this it achieved in funding WWF and PITIA (the Pacific Islands Tuna Industry Association) to attend meetings of the WCPFC. In addition, project design included a role for WWF (& PITIA) to head up a programme of information dissemination and awareness raising, focused primarily on other stakeholders. The terms of this arrangement were clearly established at the time of project preparation, and this has worked well.

Where lessons may be learned relates to implementation. It was raised in the findings of the Mid-term Evaluation that the project was well behind in its dissemination of information on the project, and its promotion of the project and its work. In the intervening years there has been a substantial increase in activity in this area – with some considerable success. Part of this relates to the activities of the PCU itself (with inputs from FFA – for example from FFA's communications officer), and part of the work of the WWF. Part of this information provision has been targeted at project participants (particularly through the project web-site), but much has been targeted at the wider public and other stakeholders not directly associated with the project. Because project activities are involved with so many different aspects of fisheries management, and because they are interwoven within larger overall programmes of work within FFA and SPC Fisheries, it has been very difficult for many beneficiaries of project services to identify which programme and funder has underwritten the service provision. As a result, many beneficiaries are unaware that they have benefited from, or have been involved with, the project, and general recognition of the project as distinct from FFA and SPC Fisheries service provision is poor. This is particularly so when compared with such projects as The Coral Triangle (where brand recognition is high, but knowledge of project details is low) and SPC/FFA's DEVFISH (where brand recognition is high, and there is good recognition of project components). In retrospect, a larger part of the work of both the PCU (FFA) and the WWF could have been usefully targeted at informing participating governments and fisheries administrations in the work of both the project and the WCPFC (well covered by PCU-originated information sheets).

9.2 Country ownership/driven-ness

As described in many other areas of this report, the level of national commitment to the work of the project and engagement with the WCPFC has been considerable, but this has not been matched with adequate resourcing of many fisheries administrations, or integration of decision-making across government. The former can be said to be very healthy, and a major element in the achievement of the project's many successes. The latter is less a problem of project execution, and more an issue relating to the sustainability of project outcomes and impacts.

Many fishery departments remain under-resourced relative to the tasks that they are required to undertake, and fisheries professionals can be somewhat removed from the largely political nature of decision-making concerning policy and planning. This has particular importance in the context of both this sector and this project where there remain inconsistencies between negotiation and allocation of

access rights, monitoring of fishing activity, the confirmation of compliance, and the leveling of sanctions in cases of non-compliance. At the bottom of this is the fact that all participating countries recognize the role and importance of marine resources and tuna fisheries to the economies and livelihoods of the PacSIDS, but this is not always reflected in the importance given to the establishment and maintenance of effective fisheries management.

In a related issue, there is extraordinary call on the senior managers in these fisheries administrations to represent their countries at numerous regional meetings, ranging from meetings of the WCPFC, the governing body meetings of the various regional agencies, and project meetings. This is an issue that has the potential to severely disrupt service provision, but is one for which, in most cases, no satisfactory alternative system has been devised or put in place. Rationalisation of these weaknesses needs to be addressed head-on in how fisheries administrations operate. For the smallest of PacSIDS administrations there is recognition that they will inevitably be more reliance on the support services provided by regional organisations.

9.3 Stakeholder involvement

The project has successfully funded the engagement of PITIA and WWF in the affairs of the WCPFC, and this has proved of significant value to both organizations, as well as allowing them to contribute (to the extent that protocols allow) in the debates and decision-making activities of the Commission.

IUCN has been a limited partner in project delivery (see descriptions in under Section 9.1), and this participation has contributed to the strengthening of its Oceania office in Fiji, and its knowledge of and engagement with oceanic fisheries. In addition, WWF has been responsible, within the project, for developing and delivering a communication and stakeholder awareness strategy, involving the production and distribution of newsletters and fact sheets.

But set against these relatively minor successes, the project has been distinctly unsuccessful in establishing effective engagement with non-fishery sections of national governments (for example the relevant ministries or departments of the environment – including each country's GEF focal point), and with national NGOs. In the latter case this can be put down to the limited extent to which relevant national NGOs are present in PacSIDS. In the former situation the explanation is less clear. The simplest explanation is that much of the work of the project has a narrow, and relatively uncontroversial, technical focus, and engagement is primarily with fishery professionals. But this does not apply to all aspects of the project's work. It is telling that the project has struggled to get national project focal points to establish and operate National Consultative Committees (NCCs), but that in those countries participating in Coral Triangle projects (PNG, Solomon Islands, Vanuatu) such NCCs provide a key committee structure in project delivery. Other reasons for the failure to establish NCCs could include: disinterest from either the fishery side or the environmental side or both; a lack of relevance, given that most of the project focus is on the development of regional capacity, even though much of such capacity is located within national institutions; insufficient pressure to establish NCCs; or recognition that any discussions or decisions at the level of NCCs are unlikely to impact on fishery management decisions, because these tend to be undertaken at a political level divorced from core fishery administration. Project execution and impact does not appear to have been unduly impacted by this failing, but the lack of success of a consultation and management structure that is used so widely in other GEF projects is worrying, and worthy of further deliberation.

9.4 Financial Planning

Considerable work was put into the development of the project budget and financial allocations against each project sub-component and delivery agency. This has formed the basis of project financial planning, scheduling of disbursements, and monitoring of actual against planned expenditure. A summary of project budget, revisions and disbursements are shown at **Table 5**.

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Table 5 – Tabulation of project budget against disbursement (US\$)

	original	revised	actual	orig.	rev.	act.
1. Scientific Assessment and Monitoring Component						
1.1 Fishery Monitoring	1,235,000	1,235,000	1,226,823	11%	11%	12%
1.2 Stock assessment	880,000	880,000	625,205	8%	8%	6%
1.3 Ecosystem Analysis	2,551,000	2,504,561	2,483,967	23%	23%	24%
Data processing/management	150,000	150,000	159,547	1%	1%	2%
SPC Audit	25,000	25,000	23,288	0%	0%	0%
Misc - exchange loss			192,361	0%	0%	2%
SPC Project Support	306,251	306,251	333,887	3%	3%	3%
	5,147,251	5,100,812	5,045,078	47%	47%	49%
2. Law, Policy and Compliance Component						
2.1 Legal Reform	679,000	679,000	563,287	6%	6%	5%
2.2 Policy Reform	1,849,000	1,807,360	1,739,160	17%	17%	17%
2.3 Institutional Reform	392,000	311,079	256,926	4%	3%	3%
2.4 Compliance Strengthening	729,000	729,000	659,560	7%	7%	6%
FFA Project Support	234,850	234,850	243,558	2%	2%	2%
	3,883,850	3,761,289	3,462,491	35%	34%	34%
3. Coordination, Participation and Information Services Component						
3.1 Information Strategy	35,000	35,000	48,521	0%	0%	0%
3.2 Monitoring and Evaluation	222,000	222,000	93,011	2%	2%	1%
3.3 Stakeholder Participation & Awareness Raising	400,000	400,000	326,650	4%	4%	3%
3.4 Project Management & Coordination	1,158,999	1,327,999	1,173,203	11%	12%	11%
Interest			-5,664	0%	0%	0%
FFA Project Support	99,120	99,120	130,477	1%	1%	1%
	1,915,119	2,084,119	1,766,198	17%	19%	17%
TOTAL	10,946,220	10,946,220	10,273,767			94%

Administration of project finances has been overseen by a dedicated financial administrator within the PCU, and the project has benefited greatly from use of the established and proven financial accounting and management systems used by both FFA and SPC Fisheries.

Overall, financial management and financial planning in this project is considered to have been of a high order. As can be seen from **Table 6** actual against planned expenditure was slow to develop in the early years, but by mid-project was reasonably close to planned, particular for Component 1. Overall, a high level of disbursement has been achieved, and most of the remaining funds are due to be used during remainder of the project in 2011.

Table 6 - Proportion of planned budget spent as the project evolved

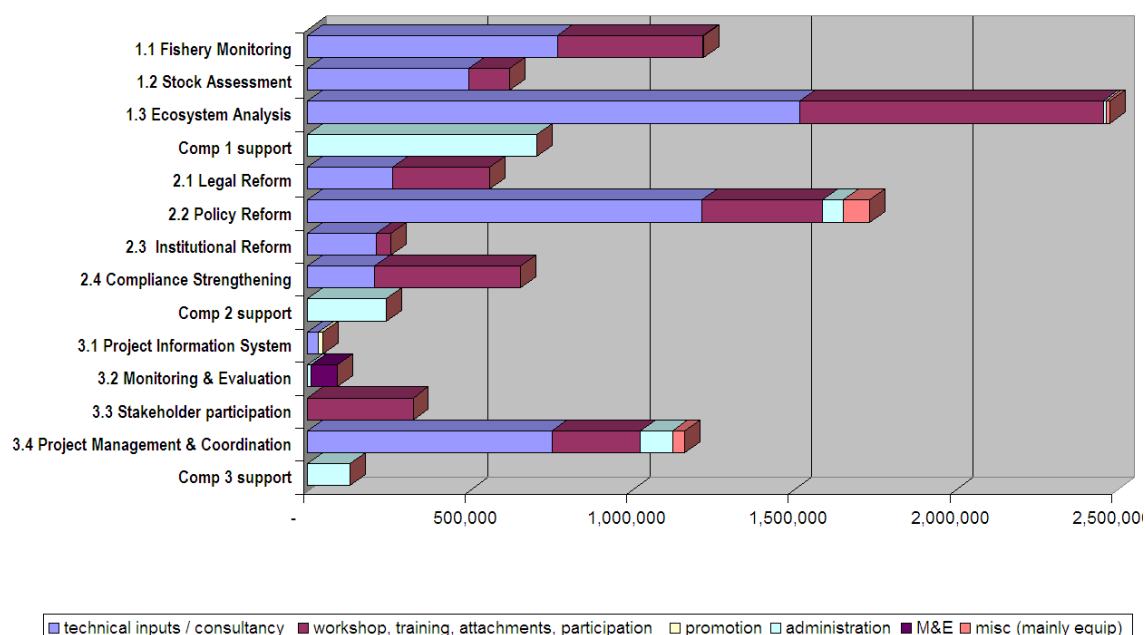
	2005	2006	2007	2008	2009	2010
Component 1	28%	73%	92%	95%	98%	98%
Component 2	35%	65%	71%	80%	83%	89%
Component 3	46%	53%	73%	82%	81%	95%
	33%	68%	82%	88%	90%	94%

Only one revision of the budget was required during the project period, and this related to the re-programming of the IUCN seamount research programme once it became clear that it would not be possible to undertake some of the planned research. Whilst the planning and negotiation of a modified programme took some time, there was good adherence to planned expenditure during the remainder of the project.

With a project planned and executed via regional technical agencies, albeit focusing services on institutional change at the national level, there is a risk that a disproportionate amount of the budget is allocated to the purchase of services from the regional organizations themselves. To check out the overall balance of financial allocations, disbursements have been examined on the basis of type – broadly technical services (including salaries and fees), enablement (training, workshops, etc.), promotion, administration, M&E, and miscellaneous (largely equipment purchase). These are illustrated in **Fig 22**. This suggests that the proportion of project funds going to the regional technical agencies does not appear to be disproportionate.

A key feature evident from this simple examination is the relatively high proportion of expenditure allocated to training, workshops, attachments, and participation in WCPFC meetings. This is an area that national participants have found particularly beneficial and rate highly, and one that most believe is a unique feature of GEF funding to this project. Allocations to technical inputs / consultancy have been high, but probably at lower levels than might have been expected without access to the figurework. The only other significant feature of this exercise is the very low level of expenditure on promotion – which was in part limited by the small budget originally allocated to this area of project activity. Whilst **Fig 22** may under-represent actual expenditure on promotion (some elements of promotion would have been incorporated under other expenditure heads), this does rather emphasise that the conclusion described elsewhere (in the Mid-term Evaluation and elsewhere in this evaluation) - that rather more could have been done to promote the project and its outcomes, and maybe more should have been done to establish the identity of the project in the eyes of beneficiaries.

Fig 22 – Project expenditure assessed against functional cost headings



9.5 Implementing and Executing Agency (IA/EA) Supervision and Backstopping

UNDP officers have proved attentive and helpful in addressing issues raised by the project, but some lack of familiarity with this particular project, with GEF/UNDP projects in general, and with established procedures, compounded by general lack of experience and changes in personnel, have all too often meant that supervision and backstopping have been limited, and reactive rather than proactive. As a result the PCU and the FFA (the executing agency) have had to work out procedures for themselves, and find solutions and make decisions on their own. Despite this the project has worked out well.

The executing agency, the FFA, and its partner regional organization, SPC Fisheries, have provided extensive and very valuable supervision and backstopping services to the PCU and Project Coordinator, and the well-established and fully functioning internal management and administrative systems used by these agencies have under-pinned much of project delivery and administration, and have greatly assisted the two staff comprising the PCU in their day to day work, and in their progress reporting functions.

9.6 The quality & value of the project science

Quality of the science

One part of the project focuses on institutional development, restructuring and realignment to support responsible and sustainable management and governance of oceanic fishery resources and fisheries. The other focuses on providing the knowledge and information that will allow decision-makers to make considered and informed decisions – on how best to manage the fish stocks, and on how best to manage fisheries. At the core of this is the project's science programme, headed by SPC Fisheries.

SPC Fisheries has been undertaking this type of research work since its outset, and employs a body of experienced scientists specializing in a wide range of scientific disciplines - marine biology, marine ecosystems, fish biology, stock assessment, remote sensing, modeling and computing. Many of these are of international standing, and these and others regularly publish their work in peer-reviewed journals. This provides a degree of oversight and critique of their work. In addition to this, SPC draws on the work of outside specialists – under contract, or as collaborating or visiting scientists – again exposing the work of the organization to additional scrutiny, as well as ensuring regular transfer of ideas into and out of the organization.

The staff of SPC Fisheries also regularly present the findings of their work at international conferences, not just within the Pacific, but worldwide. This presents their work for the scrutiny of their peers, and also encourages the exchange of views with and amongst fellow scientists, policy makers and fishery managers.

Supporting this work is a range of services and service providers – most notably in data management, computer programming, communications (remote sensing / VMS), and data analysis, but also the design and application of the surveys that form an integral part of the work of the organisation (sampling surveys, tagging surveys, observer programmes, etc.).

SPC Fisheries has particular expertise in the area of modeling of tuna and other fish populations, and the modeling of the impacts of fisheries and climate change on the oceanic and coastal ecosystems. It is contracted by WCPFC to prepare tuna stock assessments and to advise the Commission on stock management. As a means of ensuring that the quality of the science and the advice given is of international standing, the Commission has contracted an independent review of the yellowfin tuna stock assessment, which has recently been completed. A second independent review, of the bigeye stock assessment, is in the pipeline. It should also be noted that all members of the WCPFC – not just PacSIDS – have agreed to the contracting of SPC Fisheries to undertake these tuna stock assessments.

In these areas the work of SPC Fisheries is at the forefront of research – both in deploying state-of-the-art modeling, but also in developing and testing refinements and extensions of these modeling techniques. The scientists of SPC Fisheries participate as advisors in the deliberations of the WCPFC Scientific and Technical Committee, and in the meetings of the Scientific and Technical Committee meetings of the other RFMOs. Their work is also subject to scrutiny through the Joint Tuna RFMO meetings (meetings of the six global tuna RFMOs), two of which have taken place, and third is scheduled for later in 2011.

All of the above theoretical and applied research is considered to be of a high order and meets international standards. Whilst there is no individual oversight tool that confirms the quality of the work, there are in place a range of oversight mechanisms that ensures that the science conducted is of a high order, and where it falls short of requirements or expectations it can be identified as such, and remedial action taken.

Use of the science within the project

Scientific and technical feedback to the project has and remains a major element in directing project activities, and in particular the work undertaken as part of Component 2. In addition, through the participation of the PacSIDS in the work of the WCPFC, the outputs of the science and technical work undertaken by the project, and the other projects that complement the work of the project, are transmitted to the Commission through its plenary sessions and through its Scientific and Technical and Compliance Committees.

Together these feedback systems have major influence on the design and implementation of most project elements, on the activities undertaken by the PacSIDS, and on the programmes of the Commission – most notably in the areas of formation of national fisheries policy, establishment of limits to fishing (catch limits, data at sea limits), access negotiations and negotiating strategies, the work of legislative reform, VMS, observer programmes, inspection programmes, catch sampling protocols, and the drawing up of Conservation and Management Measures (CCMs).

Without the scientific and technical feedback derived from Component 1 of the project, and its incorporation into project planning, delivery of Component 2 would be greatly compromised – in scale, focus and impact. This would have major negative impact on the extent to which the project is able to contribute to project objectives, on improving the fishery management capacities of PacSIDS, and on the work and standing of the WCPFC.

9.7 Co-financing

A key feature of GEF funding is that it cannot be used to provide core funding for government or institution services, or for development services – loosely defined as salaries, overheads, etc.. Instead funds can only be used to meet “incremental” costs, those costs that would not otherwise have been met by governments, or by other donor agencies. In addition, GEF funding requires that project impact should have a clear environmental focus. These limitations to GEF funding necessarily mean that others – government and the donor community – must already be funding core institutional infrastructure and development. GEF funding is then used to leverage additional gains from such investment.

The GEF funding committed to this project is just short of US\$11M. The co-funding element of the project is captured in the ProDoc as shown in **Table 7**, where a number of other parties confirm that they have and are committing funds to meet core institutional infrastructure and development. The incremental costs component amounts to US\$79M.

Table 7 - Summary of GEF and co-funding, as used in the ProDoc

	planned	actual
Total budget:	US\$90.7	\$147.4
Allocated resources:		
GEF:		
Project	US\$10.9	\$10.3
PDF-B	US\$0.7	\$0.7
Subtotal GEF	US\$11.6	\$11.0
Endorsed co-financing		
Governments (in cash & kind)	US\$17.3	\$43.3
New Zealand Aid (in cash)	US\$0.4	\$0.4
Regional Organisations (FFA & SPC) (in cash &	US\$7.5+US\$6.9	\$22.1+\$17.2*
IUCN (in kind)	US\$0.6	\$0.3**
NGOs (in cash and kind)	US\$0.4	\$0.2**
Other WCPF Commission Members	US\$6.5	\$13.4
Total Endorsed Co-Financing	US\$39.6	US\$96.9
Other estimated co-financing:		
Fishing States (in kind regulation costs)	US\$32.3	\$32.3
Surveillance Partners (in kind)	US\$7.2	\$7.2***
Subtotal co-financing	US\$79.1	\$136.4

Note: ok

* - including US\$4.8M tagging programme

** - estimated

*** - VMS systems have been upgraded to handle at least 2,000 vessels; since the beginning of this project, vessel

numbers actually tracked have increased from 1,000 to 2,227

This funding is allocated across the project components as shown in Table 8.

Table 8 - Incremental cost analysis and project financing by component

Component title	baseline	Co-funding	GEF	increment
1. Scientific assessment and monitoring	\$8,977,384	\$23,755,033	\$5,147,250	\$28,902,283
2. Policy, legislation and compliance	\$60,488,145	\$50,991,233	\$3,883,850	\$54,875,083
3. Information, coordination and participation	\$3,964,616	\$4,345,667	\$1,915,120	\$6,260,787
TOTALS	\$73,430,146	\$79,091,932	\$10,946,220*	\$90,038,152*

Note: * - does not include GEF PDF funding

When examined against estimated actual expenditure, overall co-funding is much higher than projected. The funding of the WCPFC from membership subscriptions has substantially exceeded original projections, with annual subscriptions rising rapidly across the five-year period of the project. Supporting funding from the FFA and SPC – from core funding and from additional project funding – has seen an almost three-fold increase across the period of the project. Because the research vessel at the core of the IUCN project element was not ultimately available to the project (through unavoidable circumstances) the IUCN in-kind contribution was substantially reduced. Limited engagement with NGOs also meant that this in-kind component was also less than planned.

Overall it is considered that actual co-funding of the project substantially exceeded that listed in the ProDoc, and that the ratio of GEF funding to co-funding elements was in the order of a very healthy 1:8 to 1:10.

This conforms with GEF funding requirements, but the concept of co-funding as used in this argumentation alludes to a functional linkage between the application of GEF funds and that of co-funding. For much of the co-funding element, this linkage is tenuous. There is no doubt that there is considerable synergy between the application of GEF and co-financing funds, but the actual amount of co-funding integrally linked to the activities funded under GEF are substantially lower. To claim greater linkage would require evidence of functional connection – for example that there was coordination of the activities funded under GEF and those funded from application of co-financing funds. This is not strictly the case. What happens is that the key regional organizations of the FFA and SPC Fisheries act as the main gatekeepers for most funding of regional projects in the fishery / marine sector, and individual countries interact with donors when it comes to bilateral projects. The FFA and SPC Fisheries do actively seek to mold their overall engagement with donors to the requirements of the region, acting both on behalf of the interests of their members, and in the interests of the institutions themselves, but this is a juggling activity rather than a strategic process.

The GEF (and UNDP) interests associated with the funding of the Oceanic Fisheries Management project have been greatly served and enhanced and underpinned by the wide range of other, primarily donor-funded, activities undertaken at regional and national levels in the South Pacific. There would be much to be gained, for all parties, if a more coordinated approach were to be taken to development funding in the fisheries / marine sector – for example through a donor round table. The various regional agencies and national governments do try to take a strategic approach to identifying their needs, but it is then left primarily to the agencies and individual governments to navigate a path through the often

competing and over-lapping policies and priorities of the donor community. GEF funding is viewed as an important and valuable resource in this overall mix, with a mixture of characteristics (one being that it is politically neutral) and constraints that suit it to supporting certain types of activity. The success of this project, and the opportunities that have been created as a result of the establishment and functioning of the WCPFC, have created fertile ground for further donor investment. But there is a significant risk that a lack of coordination in matching funding with needs will undermine the momentum that has already been developed as a result of this and related projects.

9.8 Delays

The project has progressed at a fair and consistent pace (for example, **Table 6** indicates the evolution of expenditure across the project). Early delays due to problems between the implementing and executing agencies with regard to the procedures for facilitating payments were eventually resolved. The re-programming of the IUCN seamount research was delayed as IUCN sought, unsuccessfully, to find a replacement research vessel, but was finally resolved during 2008 with inputs from all parties and the Mid-term Evaluation team. All scheduling problems have been resolved through the project administration and management systems, through discussions between the PCU and the executing agency and its partner organization (FFA and SPC Fisheries). Where appropriate, planning and scheduling issues have been brought up for discussion at annual RSC meetings, or brought to the attention of the implementing agency. Evidence of the consistent progress made across the project can be seen in the annual reports, and the evidence base presented in the output and outcome assessments (**Appendices 9 & 10**).

There is imprecision as to the mechanisms to be used for taking forward the planning of a potential follow-on project. Sanction was given to the FFA by UNDP to start the planning process in late 2009/early 2010, but this had largely come to a halt in late 2010 as it became unclear as to whether or not UNDP and/or GEF wished to take this forward. Continuing uncertainty as to how to proceed is creating difficulties within the project. A second no-cost extension has recently been granted, taking the project to September 2011, but there is now every likelihood that the momentum generated by the success of the project will be brought to an abrupt halt. Whilst some of the initiatives begun within the project are now being carried forward under other projects and donor arrangements, there remains an important role for further GEF support – particularly in bedding-in the links and engagement between PacSIDS and the Commission, and PacSIDS' meeting of emerging CMM commitments – but there is now likely to be a gap between this and any follow-on project of a year or more.

10. Lessons, Recommendations and Examples of Good Practice

10.1 Recommendations and Lessons Pertaining to Future GEF Projects

Good basis for case study: This project has been extremely successful in facilitating the establishment of the WPCFP, and accelerating the process of bringing the Commission in to full functionality. This has been largely achieved by the directing of executing agency resources to intense and focused support of PacSIDS in their engagement with the Commission. Whilst there are unlikely to be many, if any, more opportunities to establish a Regional Fisheries Management Organisation (RFMO), the mechanisms designed into the project will have relevance to the establishment of other regional, member driven, organizations. Further, in the context of empowering Small Island Developing States (SIDS) in their engagement with much larger countries, and with international organizations, this project has been very enlightening. Every effort should be made to capture the key features of this project – in its design, context and implementation – as a case study for international distribution.

Need for slimmed down LogFrame: The ProDoc and accompanying LogFrame for this project was developed in considerable detail, and with a particular focus on detailed specification of activities and expected outputs. This was a logical and positive response to the drawbacks experienced in relation to the relatively less focused LogFrame used in the Phase I (pilot) Oceanic Fisheries Management project. But whilst the detail presented has been of great assistance in guiding the operational elements of project implementation, it has created difficulties of scale and complexity when it comes to progress reporting and the project M&E system. Whilst it remains entirely reasonable that detailed planning of activities and related expected outputs is undertaken, for higher level oversight and management of the project a substantially slimmed down LogFrame should be produced and used as the basis for the M&E system. In the same context, a similar approach should be taken to nominating the outcomes and indicators of achievement to be used in M&E processes. It is evident that much more concise and outcome focused LogFrames have been developed in more recent transboundary GEF projects, but it is appropriate that greater clarity is provided to project designers as to the logic of such an approach, and the implications of such an approach.

Guidelines for RSC oversight: The role and effectiveness of the RSC has at times been constrained as a result of there being insufficient time for delegates to prepare for and address issues facing the project. A key element of this has been the practice, as a cost-saving measure, of scheduling RSC meetings to coincide with other meetings that representatives are already attending. It is suggested that consideration should be given to scheduling future RSC meetings for this size of project over two days, and as stand-alone meetings. In addition, as a further move to strengthen RSC meeting effectiveness, consideration could be given to making greater use of project process specialists in the preparation for these meetings, either drawing more on the expertise of FFA or SPC familiar with both the project and this area, or on specialist consultancy inputs.

Use of baseline studies: The commissioning of a Baseline Study was an example of good practice in the context of M&E processes. It was focused on clarifying and developing appropriate evaluation indicators and criteria, and developing additional baseline data against which project progress could be assessed. Unfortunately what was started within this study was not taken up and further developed by the project or its oversight structures, and in practice it may have lead to further confusion rather than a clarification of M&E processes. This was perhaps compounded by the fact that the Baseline Study was undertaken just after the Mid-term Evaluation was undertaken. Further, in the absence of a systematic assessment of project outputs and outcomes, the project M&E system has not been fully tested until now, the Terminal Evaluation.

Annual Review mini-evaluations: But in contrast to this, the project executing agency internally commissioned two Annual Reviews, in 2007 and 2009. These were in effect mini-evaluations, intended

to achieve rapid identification and resolution of operational problems. These were not a substitute for the formal Mid-term and Terminal Evaluations, nor a replacement for the oversight functions of the implementing agency or the RSCs, but were able to provide guidance on over-coming operational problems in forms that were not otherwise available, and to raise higher level issues. The commissioning of such Annual Reviews is not a typical complement to project management, but in this case has proved of particular and unusual value. Whilst not a replacement for other oversight procedures, consideration should be given to using this vehicle in other complex projects.

Regional projects / national intervention: This project is focused on achieving institutional change at a regional level, including changes in each participating country at national level. The delivery mechanism is explicitly regional in nature, and the project is very limited in the extent to which it can provide bespoke services on a national basis. But if core institutional change is not effected at the national level, then much of the value of the technical systems, skills and mechanisms that are introduced within the project at a national level will be sub-optimal, and the sustainability of these systems at risk. A regional delivery mechanism is not an appropriate channel for delivery of core institutional change, but coordination with a more appropriate intervention system (for example bi-lateral donor supported project at the national level), or establishment of a project component that deploys independent advisors or teams of advisors to provide such bespoke interventions could address this issue. The key issue here is that individual nations need to be able to brief and oversee work targeting core institutional change, knowing that the advice given is confidential and meets their particular requirements. Regional delivery agencies such as FFA and SPC Fisheries are really not well-placed to provide such services, though they are well-placed to manage the processes associated with the delivery of such services. In the case of this project, project outcomes and sustainability could have benefited from linkage to a delivery element that addressed this requirement. This is an issue that should be taken up if a follow-up project it being considered.

10.2 Recommendations and Lessons Pertaining to OFMP Project Stakeholders

The project has done well to facilitate the engagement of the likes of WWF and PITIA into the systems of the WCPFC, and this intervention will greatly improve the sustainability of this linkage, and strengthen, indirectly, the evolution of the capacities of these NGOs. This is unlikely to have occurred in the short- and medium-terms without project intervention.

The inclusion of an IUCN seamount research component into this project was problematic when this did not form a natural part of the coherent logic of the project, and when the institution itself had very limited presence in the Pacific. The research that has been undertaken has made a positive contribution to the project, and the IUCN presence in the South Pacific has strengthened. But this could have resulted in a less positive outcome.

The project has been relatively unsuccessful in achieving relevant engagement with NGOs at a national level. On balance this is considered to be more a reflection of the small-scale and under-developed nature of these NGOs than any particular action taken or not taken by the project. NGOs have an important role to play in contributing to the development of natural resource policy and practice. Perhaps this an area where more targeted resources could and should have been applied.

The project has been relatively unsuccessful at establishing "brand" recognition, not just with individuals and organizations not directly involved with the project, but also with the very beneficiaries of its services. Because many of the services provided by the project are similar to or integrated with services provided under many other projects implemented by the FFA and SPC Fisheries, seeking to separate functional and project identity is going to be difficult, and may in the end be counter-productive from a beneficiary perspective. But from a project management perspective, "brand" recognition and association with that "brand" can simplify and improve many aspects of project management, but also raise and maintain morale amongst project stakeholders. The project did invest in "branding" and dissemination of information, albeit at a later stage in the project than planned. But it could probably have done more to promote its interests. In addition, however, most of its promotional activities were

outward looking; it is probable that it would have achieved a greater pay-off if these activities had instead been inward looking – promoting the project and its outputs and outcomes to fishery department staff, and to the individuals directly or indirectly associated with the project in foreign affairs, legislation and the political machinery of government.

10.3 Examples of Best Practice

From the perspective of effective M&E it is necessary that there is a clear statement of expected outputs and outcomes, and the indicators that can be used to measure achievement of same. Baselines need to be established, and the M&E systems need to be regularly tested and interrogated, and the findings fed back into modifying project direction and management. In the case of this project, all the right moves were made in establishing an effective M&E system, but failure to fully and regularly test it, including the closing of the loop through feedback, meant that the good practices followed in setting up the system were never taken forward in using the system.

Meeting the travel costs, and providing the appropriate briefing, of stakeholders to participate in key regional decision-making forums, such as the WCPFC, is a relatively small financial cost that has resulted in huge pay-off. Without the GEF funding for these activities, the PacSIDS would never have engaged to the degree that they have in the working of the WCPFC, and indeed it can be surmised that the WCPFC might not now be in existence if the PacSIDS had not been actively facilitated in undertaking early ratification of the Western and Central Pacific Fisheries Convention. This has been accomplished by the bringing together of a well-designed project, GEF funding, UNDP implementation, and the happy marriage of regional specialist delivery organizations that are specifically empowered by their PacSIDS membership to provide services to those same PacSIDS.

PacSIDS – small island countries – now have the confidence to present their arguments and defend their positions in international fishery forums, and on a par with large metropolitan countries that can commit many times over the level of resources that are available to PacSIDS. It is not evident that any other donor agency would have provided the funds to achieve this. It is a testimony to the success of this intervention that members of PacSIDS delegations both chair technical committees of the WCPFC and actively participate in its most technical of debates.

The form and certainty provided through the establishment and functionality of the WCPFC has now created the circumstances where PacSIDS can once again consider major strategic initiatives to strengthen and further the economic contribution of the marine resources within their jurisdiction to their respective economies and the well-being of their people.

Appendix 1 – Terms of Reference

Title: UNDP/GEF Final Project Evaluation

Project: Pacific Islands Oceanic Fisheries Management (PIOFM) Project

Supervisor(s): UNDP Multi Country Office; UNDP Asia Pacific Regional Centre in coordination with FFA Project Management Office

Duty Station: Solomon Islands

Project Background

The PIOFM Project seeks to address concerns that Pacific Islands Small Developing States (Pacific SIDS) have for the unsustainable use of trans-boundary oceanic fish stocks of the Pacific region and unsustainable levels and patterns of exploitation in the fisheries that target those stocks. At the centre of these concerns is the trans-boundary nature of the stocks. The stocks are highly migratory, with their range extending through waters under the jurisdiction of Pacific coastal States and into large areas of high seas requiring multi country cooperation for the implementation of conservation and management measures to ensure sustainability as is required by international law. Without a coherent and legally binding framework to establish and apply measures throughout the range of the stocks, including the high seas, the efforts made by individual countries in their own waters can be undermined by unregulated fishing on the high seas and by inconsistencies in measures in different national zones.

The **global environmental goal** of the Project is to achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem. The **broad development goal** of the Project is to assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally.

The Pacific Islands Oceanic Fisheries Management Project (OFM Project) is a multi- governmental five-year initiative by 14 independent islands nations and one territory to address the sustainable management of regional fish stocks in the Pacific region. The project is implemented by the United Nations Development Programme (UNDP) through its Fiji country office and executed by the Pacific Islands Forum Fisheries Agency (FFA), the Secretariat for the Pacific Community (SPC) and the World Conservation Union. A Project Coordination Unit (PCU) based at the FFA administers the project.

Project Objectives and Expected Outputs

The broad development goal of the Project is to assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally. The PIOFM Project seeks to address threats to sustainability of the region's oceanic fish resources of unsustainable use and exploitation. The underlying root causes have been determined to be management deficiencies relating to governance and lack of understanding. The project's immediate objectives are to:

- a) improve understanding of the trans-boundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem; and to
- b) create new regional institutional arrangements and reform, realign and strengthen national arrangements for conservation and management of trans-boundary oceanic fishery resources.

Proposed Methodology and Timelines

Two consultants shall be engaged jointly to undertake the evaluation working concurrently according to a planned schedule to be completed by February 2011. The Team Leader will have the overall responsibility of organizing and completing the review, and submitting the final report.

The team leader is expected to propose a work layout, plan, budget and timelines to achieve the expected outputs with the appropriate methodology.

Objectives

The consultants are expected to conduct a Terminal Evaluation of the Pacific Island Oceanic Fisheries Management (PIOFM) Project.

The objective of the final evaluation is to enable Global Environment Facility (GEF), UNDP, and FFA, SPC, IUCN and the Government bodies in the participating countries to assess the relevance, efficiency, effectiveness, impact and sustainability of the PIOFM Project. The evaluation will assess achievements of the project against its objectives, including a re-examination of the relevance of the objectives and project design. It will also identify factors that have facilitated or impeded the achievement of the objectives. While a thorough review of the past is in itself very important, the in-depth evaluation is expected to lead to detailed overview and lessons learned for the future.

Scope of Final Evaluation

The scope of the final evaluation will cover all activities undertaken in the framework of the project. The evaluators will compare planned outputs of the project to actual outputs and assess the actual results to determine their contribution to the attainment of the project objectives. It will evaluate the efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency. The evaluation will also determine the likely outcomes and impact of the project in relation to the specified goals and objectives of the project.

The evaluation will comprise the following elements.

- (i) Assess whether the project design is clear, logical and commensurate with the time and resources available;
- (ii) A summary evaluation of the project and all of its major components undertaken and a determination of progress towards achievement of its overall objectives;
- (iii) An evaluation of project performance in relation to the indicators, assumptions and risks specified in the logical framework matrix and the Project Document;
- (iv) An assessment of the scope, quality and significance of the project outputs produced to date in relation to expected results;
- (v) An analysis of the extent of co-operation engendered and synergy created by the project in each of its component activities, between national and regional level activities and the nature and extent of commitment among the countries involved;
- (vi) An assessment of the functionality of the institutional structure established and the role of including the Project Regional Steering Committee (RSC) and the National steering Committee (NSC) and working groups;
- (vii) Identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the Project Document;
- (viii) Identification of any programmatic and financial variance and/or adjustments made during the project period, and an assessment of their conformity with decisions of the PSC and their appropriateness in terms of the overall objectives of the project;
- (ix) An evaluation of project co-ordination, management and administration provided by the PCU. This evaluation should include specific reference to:
 - Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;
 - The effectiveness of the monitoring mechanisms employed by the PCU in monitoring on a day to day basis, progress in project execution;
 - Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project and present recommendations for any necessary operational changes; and

Terminal Evaluation of GEF/UNDP Oceanic Fisheries Management Project

- Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.

(x) Examine some of the sustainability achievements of the project in the context of:

- The financial sustainability of the WCPFC, and
- The progress made by Pacific SIDS in legal, policy, institutional reforms and compliance programme strengthening.

- (xi) A qualified assessment of the extent to which project outputs have scientific credibility;
- (xii) An assessment of the extent to which scientific and technical information and knowledge have influenced the execution of the project activities;
- (xiii) A prognosis of the degree to which the overall objectives and expected outcomes of the project were met;
- (xiv) Lessons learned during project implementation;
- (xv) Recommendations regarding key lessons learned and identify best practices as well as recommendations, based on the experience of this project, for the design and execution of future GEF/UNDP projects

In addition, the scope of the evaluation will follow the GEF guidelines for final evaluation referred to in the next section. The appropriate UNDP guidelines will also be followed.

Appendix 2 – Project fact sheet

Milestone	Expected date	Actual date
CEO endorsements / approval		May 24 2005
Agency approval date		
Implementation start	March 2005	1 October 2005
Midterm evaluation		16 July 2008
Project completion	31 October 2010	30 September 2011 <i>1st no-cost extension ends 31 March 2011, 2nd no-cost extension ends 30 September 2011</i>
Terminal evaluation completion		13 May 2011
Project closing		30 September 2011

Project data	
Project Title:	Pacific Islands Oceanic Fisheries Management Project
Programme Period:	GEF-3 -
Programme Component:	OP9
Management Project.	
Project ID:	PIMS 2992
Project Duration:	5 Years
Management Arrangement:	NEX
GEF agency:	UNDP
other executing agency:	FFA
GEF focal area:	International Waters
GEF strategic priority:	IW1, IW2
GEF operational program:	OP9-Integrated Land and Water Multiple Focal Areas, SIDS Component
country:	Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon slands, Tonga, Tokelau, Tuvalu, Vanuatu

Project co-funding		
	planned	actual
Total budget:	US\$90.7	\$147.4
Allocated resources:		
GEF:		
Project	US\$10.9	\$10.3
PDF-B	US\$0.7	\$0.7
Subtotal GEF	US\$11.6	\$11.0
Endorsed co-financing		
Governments (in cash & kind)	US\$17.3	\$43.3
New Zealand Aid (in cash)	US\$0.4	\$0.4
Regional Orgs (FFA & SPC) (in cash & kind)	US\$7.5+US\$6.9	\$22.1 + \$17.2*
IUCN (in kind)	US\$0.6	\$0.3**
NGOs (in cash and kind)	US\$0.4	\$0.2**
Other WCPF Commission Members	US\$6.5	\$13.4
Total Endorsed Co-Financing	US\$39.6	US\$96.9
Other estimated co-financing:		
Fishing States (in kind regulation costs)	US\$32.3	\$32.3
Surveillance Partners (in kind)	US\$7.2	\$7.2***
Subtotal co-financing	US\$79.1	\$136.4

Notes:

* - including US\$4.8M tagging programme

** - estimated

*** - VMS systems have been upgraded to handle at least 2,000 vessels; since the beginning of this project, vessel numbers actually tracked have increased from 1,000 to 2,227

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Project funding						
	original	revised	actual	orig.	rev.	act.
1. Scientific Assessment and Monitoring						
1.1 Fishery Monitoring	1,235,000	1,235,000	1,226,823	11%	11%	12%
1.2 Stock assessment	880,000	880,000	625,205	8%	8%	6%
1.3 Ecosystem Analysis	2,551,000	2,504,561	2,483,967	23%	23%	24%
Data processing/management	150,000	150,000	159,547	1%	1%	2%
SPC Audit	25,000	25,000	23,288	0%	0%	0%
Misc - exchange loss			192,361	0%	0%	2%
SPC Project Support	306,251	306,251	333,887	3%	3%	3%
	5,147,251	5,100,812	5,045,078	47%	47%	49%
2. Law, Policy and Compliance						
2.1 Legal Reform	679,000	679,000	563,287	6%	6%	5%
2.2 Policy Reform	1,849,000	1,807,360	1,739,160	17%	17%	17%
2.3 Institutional Reform	392,000	311,079	256,926	4%	3%	3%
2.4 Compliance Strengthening	729,000	729,000	659,560	7%	7%	6%
FFA Project Support	234,850	234,850	243,558	2%	2%	2%
	3,883,850	3,761,289	3,462,491	35%	34%	34%
3. Coordination, Participation and						
3.1 Information Strategy	35,000	35,000	48,521	0%	0%	0%
3.2 Monitoring and Evaluation	222,000	222,000	93,011	2%	2%	1%
3.3 Stakeholder Participation & Awareness Raising	400,000	400,000	326,650	4%	4%	3%
3.4 Project Management & Coordination	1,158,999	1,327,999	1,173,203	11%	12%	11%
Interest			-5,664	0%	0%	0%
FFA Project Support	99,120	99,120	130,477	1%	1%	1%
	1,915,119	2,084,119	1,766,198	17%	19%	17%
TOTAL	10,946,220	10,946,220	10,273,767	94%		

Appendix 3 – Itinerary

	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	1	2	3	4	5	6	7	8	
	February																												March									
	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	
Crick																																						
Suva	X	X	X	X	X	X	X	X													X	X	X	X	X	X												
Nadi																																						X
Honiara								X	X	X	X	X	X	X																								
Apia															X	X	X	X	X																			
Nukualofa																																						
Noumea																											X	X	X	X	X	X	X	X	X	X	X	

Veikila																																						
Suva	X	X	X	X	X	X									X	X	X				X	X	X	X	X													
Nadi																																					X	
Pohnpei							X	X	X	X																												
Majuro										X	X	X	X	X																								
Nukualofa																	X	X	X																			
Noumea																										X	X	X	X	X	X	X	X	X	X	X		

Appendix 4 – List of Persons Interviewed

Regional Organisations

UNDP (Suva & Bangkok offices)

Floyd Robinson	Project Officer, UNDP, Suva, Fiji
Ema Sale Mario	Environment Officer, UNDP, Suva, Fiji.
Joe Padilla	UNDP GEF Technical Adviser, Bangkok, Thailand.

PCU, Honiara

Barbara Hanchard	FFA, Honiara
Roydan Gholomo	FFA, Honiara

FFA, Honiara

Dan Sua	FFA Director
Les Clark	FFA Backstopping Consultant
Len Rodwell	Fisheries Management
Samasoni Sauni	Fisheries Management
Hugh Walton	FFA Fisheries Development Advisor
Mark Young	FFA director of fisheries operations
Lamillar Pawut	Surveillance Operations Officer
Martin Campbell	FFA VMS
Alan Rahari	FFA VMS
Manu Tupou-Roosen	FFA Legal Counsel
William Edeson	FFA Legal
David Rupokets	FFA head of administration

SPC

Mike Batty	SPC Fisheries Director
John Hampton	Manager Fisheries Science
Shelton Harley	Principal Fisheries Scientist, Stock Assessment
Simon Nicol	Ecosystem Research
Valerie Allain	Fisheries Scientist (ecosystem analysis)
Donald Bromhead	Fisheries Scientist (national level support)
Tim Lawson	Fishery Management
Deirdre Brogan	Fisheries Monitoring Supervisor
Peter Williams	Data Management
Collin Millar	Data analyst (national level support)
Bryan Scott	Fisheries IUU Liaison Officer

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	Tim Pickering	Inland Aquaculture Officer
The Nature		
	Dr Andrew Smith	Pacific Coordinator
WCPFC Pohnpei		
	Glenn Hurry	Executive Director
	Sam Taofau	ICT Manager
	Donald David	Compliance
IUCN, Suva		
	Bernard O'Callaghan	Oceania Programme Coordinator
	Dr Jan Steffen	Regional Marine Programme Coordinator
	Etika Rupeni	Roundtable Consultant
WWF, Suva		
	Seremaia Tuqiri	Fishery Policy Officer
	Josua Turaganivalu	Fisheries Advocacy Officer
SPREP, Apia		
	Joe Stanley	GEF Support Adviser
	Louis Bell (Lui Bell)	Marine conservation officer
Parties to the Nauru Agreement		
	Dr Transform Aqorau	Director of PNA office, Majuro
USP		
	Prof William Aalbersberg	Director, Institute of Applied Science

National representatives

Australia

Edward Smith	Pacific Fisheries, AusAID
Garry Preston	Fisheries Consultant
Peter Cusack	consultant, formerly IFC PNG

Cook Islands

Ben Ponia	Secretary, Fisheries
Koroa Raumea	Director of Fisheries

Fiji

Sanaila Naqali	Director of Fisheries
Jone Amoe	Scientific Officer
Eon Bola	Fishery Officer, permitting
Timotei Tabusa	Fishery Officer, Observer prog.
(Neomai Ravitu)	Fisheries Compliance
****	data entry clerk
****	data entry clerk
Robert Gillett	Fisheries Consultant, Fiji
Hugh Govan	Fisheries Consultant, Fiji
Crystelle Pratt	Oceans Consultant (formerly Dir. SOPAC)

France

Dr Patrick Lehody	remote sensing and oceanic ecosystem modeling
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FSM

Eugene Pangelinan	Acting Director of NORMA
Rhea Moss	Compliance
Mitura ***	Licensing, NORMA

Kiribati

Beero Tioti	Principal Fisheries Officer
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Marshall Islands

Glen Joseph	Director MIMRA
Sam Lanwi Jnr.	Deputy Director Oceanic Fisheries
Yumi Crisistomo	GEF Focal Point
Deborah Manaseh	Director EPA

Nauru

Debbie Muller	Oceanic Fisheries Manager
Monte Depaune	Ag. Dep. Chief Fisheries Officer
Dr Tim Adams	Instit. Strength. Project Officer

Niue

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Papua New Guinea

Priscilla Maigu PR Officer, Corporate Services Unit

Samoa

Tony Mulipola Director of Fisheries
 Ueta Fa'asili Jnr Principal Fisheries Officer
 Joevi VMS
 Mose Senior Fisheries Officer, Management
 Fitou Senior Fisheries Officer, Development
 Peter Zwart First Secretary Development, NZaid
 Steve Brown Asst. CEO of GEF programmes, Min of Nat Res & the Environ.

Solomon Islands

Dr. Chris Ramofafia PS Ministry of Fisheries
 Sylvester Diake PS Ministry of Fisheries
 Ferral Lasi Scientist
 Rence Sore PS Min. of Environment
 Shabnam Mallick acting head, UNDP
 Lynelle Popot Environment specialist

Tokelau

Jovilisi Suveinakama Gen. Man., Tokelau Apia liaison office
 Feleti Tulafono VMS & licensing officer
 Ailani Tanielu Economic Development
 Lise Suveinakama Legal

Tonga

Dr. Sione Matoto PS Ministry of Agriculture and Fisheries
 Silivenusi Ha'unga Fisheries Licensing
 Tima Tupou Secretariat Officer, PITIA

Tuvalu

Samasoni Finikaso Director Fisheries

Vanuatu

Moses Amos Director of Fisheries

Appendix 5 – List of documents reviewed

Fisheries overviews

2008-2010FAO (2008-2010) National fishery & aquaculture country profiles - separately for each Pacific Island country; FAO

2010FFA (2010) Maximising the sustainable returns from fisheries resources in the Pacific - Session 1 paper to the Forum Economic Ministers' Meeting, Oct 2010, Alofi, Niue

2010Gillett, R & I Cartwright (2010) The future of Pacific Islands fisheries; SPC & FFA

2009FFA (2009) Regional Tuna Management and Development Strategy 2009-2014

2009Aylesworth L & L Campbell (2009) Pacific Island Fisheries and Interactions with Marine Mammals, Seabirds and Sea Turtles; a Project Global (Global bycatch assessment of long-lived species) publication

2009Gillett R (2009) Fisheries in the Economies of the Pacific Island Countries and Territories; ADB

2008Various (2008) National Reports presented to the 2008 OFMP Regional Steering Committee meeting (RSC4), Apia, Samoa; OFMP Project

2008Gillett R (2008) A Study of Tuna Industry Development Aspirations of FFA Member Countries; FFA

2006Clark L (2006) Pacific 2020: fisheries background paper; AusAID

2004Cartwright I & S Tuqiri (2004) Outline SAP II project: national project preparation reports - Fiji; FFA

2004Clark L & C Brown (2004) Outline SAP II project: national project preparation reports - Niue; FFA

2004Gillett R (2004) Tuna for Tomorrow? Some of the Science Behind an Important Fishery in the Pacific Islands; ADB & SPC

2001Gillett R, M McCoy, L Rodwell & J Tamate (2001) Tuna, a key economic resource in the Pacific Islands; ADB & FFA

Governance & management capacities

2008Ferraris R (2008) Review of institutional reform and institutional strengthening in Pacific fisheries: experiences and lessons learned; report to FFA under GEF OFMP

2008 Hanich Q, F Teo & M Tsamenyi (2008) Closing the Gaps: Building Capacity in Pacific Fisheries Governance and Institutions; ANCORS, University of Wollongong

2003 McConnell (2003) Constraints Affecting the Implementation of the 1982 UNCLOS in the Pacific Island States; for FFA (confidential)

2000 Binger A (2000) Country capacity development needs and priorities: report for Small Island Developing States; UNDP-GEF Capacity Development Initiative

Regional planning

2007 PIF (2007) The Pacific Plan - for strengthening regional cooperation and integration; Pacific Islands Forum Secretariat

Project planning

2006-2010 PCU (2006-2010) Documents associated with annual Regional Steering Committee meetings

2007 Aqorau T (2007) Pacific Islands Oceanic Fisheries Management Project; GEF 4th biennial International Waters Conference

2007 Clark L (2007) Oceans governance and the WCPO tuna fisheries; GEF 4th biennial International Waters Conference

1997 PacSIDS National Task Forces for International Waters (1997) Strategic Action Programme for International Waters of Pacific Islands; SPREP / AusAID / NZAID / GEF / UNDP

2005 FFA (2005) Project Document - Pacific Islands Oceanic Fisheries Management Programme

2004 Tortell P & S Tarte (2004) Terminal evaluation of the Oceanic Fisheries Management component IWP-Pacific Technical Report (International Waters Project) no. 4

Miscellaneous

2010 MECM/MFMR (2010) Solomon Islands Coral Triangle Initiative National Plan of Action; Solomon Islands Government, Honiara, Solomon Islands

2008 FAO (2008) Part 1: the ecosystem approach to Fisheries - an introduction; Training Workshop on Ecosystem-based Management in East Africa; Mombasa Oct/Nov 2008

2006 GEF (2006) Proposal to enhance capacity of SIDS in the Pacific region to better address management of the global environment; Agenda item 8 to the GEF Special Council Meeting, Cape Town, Aug 2006

Appendix 6 – LogFrame

This Appendix presents the Logical Framework Matrices for the overall project objectives and then for each Component. The outcome from the overall objectives and then for each component is shown at the head of each table. The LogFrame identifies the results that would verify the objectives of each outcome and activity, how this will be realistically measured and ascertained as part of an effective monitoring process, and what assumptions this process makes and the potential risks which might present barriers to the process. After each Component the assumptions and risks are reviewed and explanations given as to how the project intends to resolve or bypass such assumptions or risks.

Revised Logframe⁷ for the Pacific Islands Oceanic Fisheries Management Project (2009)⁸

⁷ Annex B of the OFM Project Document is the Logical Framework Analysis (p112).

⁸ Revised in consultation between FFA, SPC and UNDP Fiji and Bangkok only but based on recommendations in the Mid-Term Review (Adaptive Management) and Baseline Study

ANNEX B LOGICAL FRAMEWORK ANALYSIS

This Annex presents the Logical Framework Matrices for the overall project objectives and then for each Component. The outcome from the overall objectives and then for each component heads each table. The LogFrame identifies the results which would verify the objectives of each outcome and activity, how this will be realistically measured and ascertained as part of an effective monitoring process, and what assumptions this process makes and the potential risks which might present barriers to the process. After each Component the assumptions and risks are reviewed and explanations given as to how the project intends to resolve or bypass such assumptions or risks.

LOGFRAME MATRIX: OVERALL PROJECT OBJECTIVES

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
<p>Global Environmental Goal To achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem.</p> <p>Broad Development Goal To assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally</p>	<p>WCPF Commission has adopted measures to regulate fishing in the high seas, and has formulated and assessed proposals for the conservation and management of fishing for globally important transboundary oceanic stocks throughout their range. These proposals include measures to address the impacts on other species in the globally important WTP LME. PacSIDS have undertaken reforms to implement the WCPF Convention and related multilateral environmental agreements (MEAs) and have strengthened the management of fishing for transboundary oceanic fish in their waters.</p>	<p>Legally binding Commission resolutions establishing controls over fishing in the high seas including catch and effort reporting, boarding and inspection, satellite-based monitoring, and regulation of transshipment adopted by the end of the Project. Commission reports showing that the Commission has by the end of year 4 i) identified the major concerns relating to sustainability of transboundary oceanic fisheries; ii) considered proposals for management measures to address those concerns, and those proposals address ecosystem-based aspects; iii) undertaken scientific and technical analyses of the effects of the proposals; and iv) is considering the adoption and implementation of measures throughout the range of the stocks. Project documentation showing systematic reform and strengthening of oceanic fisheries management by PacSIDS including improved consultative processes with stakeholders.</p>	<p>Commission Members make good faith efforts to implement the WCPF Convention and other relevant MEAs. PacSIDS have the capacity to effectively participate in the Commission, and to support the development and operation of the Commission in a way that fulfils the WCPF Convention. PacSIDS governments and civil societies have the necessary awareness and commitment to take the hard decisions involved in limiting fishing in their waters.</p>

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
Information and Knowledge Objective To improve understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem.	Improved information on the biology and ecology of target fish stocks, including their exploitation characteristics and fishery impacts, the fishery impacts on non-target, dependent and associated species and on the pelagic ecosystem as a whole. Substantially improved understanding of Seamount ecosystems, especially their relation to migratory pelagic fisheries.	Reports from the scientific structure of the Commission show improved information and assessment methods are providing a credible basis for the formulation and assessment of conservation and management measures, including measures to address broader ecosystem effects. Commission reports and project documentation show that the information is being used in the Commission; is reaching a broad range of stakeholders; and is contributing to improved awareness and understanding of issues associated with transboundary oceanic fisheries conservation and management.	Commission Members can establish, resource and manage effective data and research programmes. Project mechanisms contribute effectively to raising awareness and improving understanding within PacSIDS about oceanic fisheries management.
Governance Objective To create new regional institutional arrangements, and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources	The WCPF Commission established and functioning. PacSIDS amend their domestic laws and policies and strengthen their national fisheries institutions and programmes, especially in the areas of monitoring and compliance, to implement the WCPF Convention and apply the principles of responsible and sustainable fisheries management more generally.	Commission reports document the development of the Commission, its Secretariat and its compliance and science structures. Project documentation, including an independent review, shows measurable progress in PacSIDS national capacities in oceanic fisheries management.	The WCPF Convention is ratified by sufficient states to make the Commission effective. PacSIDS are able to secure financing and sufficient political commitment to make necessary legal, institutional and policy changes.

LOGFRAME MATRIX: COMPONENT ONE - SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
COMPONENT OUTCOME: Improved quality, compatibility and availability of scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries, and the fishing impacts upon them. This information being used by the Commission and PacSIDS to assess measures for the conservation and management of transboundary oceanic fishery resources and protection of the WTP LME. National capacities in oceanic fishery monitoring and assessment strengthened, with PacSIDS meeting their national and Commission-related responsibilities in these areas.		Substantial, relevant and reliable information collected and shared between stakeholders with respect to transboundary oceanic fish stocks and related ecosystem aspects, (particularly for seamounts). The Commission using this information as the basis for its discussions and policy decisions on WCPF management. National technical capacity and knowledge greatly improved	Commission Reports, especially from the Scientific Committee show that the Commission has access to, and is using, on-going reliable statistics and scientific advice/evidence by end of project to formulate and amend policy on oceanic fisheries management within the WCPF system boundary. These reports show particular progress in relevant ecosystem analysis, including results of the seamount-related work undertaken in the Project. The reports also show that the results of the ecosystem analysis are being used to begin to operationalise an ecosystem approach to conservation and management. PacSIDS national scientific capacities improved to level whereby each national lead agency can supply relevant and effective data to SPC and the Commission, and can interpret and apply nationally results of regional data analyses and scientific assessments.	Commission membership prepared to accept scientific findings and statistical evidence in formulating what may be difficult policy decisions on management of the fisheries, and difficult management proposals for the ecosystems. Sufficient sustainability available or identified through project to support national capacity improvements in technical and scientific functions as well as to support continued regional data coordination and analyses.
1.1	Fishery Monitoring, Coordination and Enhancement			
	A template for national integrated monitoring programmes and provision of data to the Commission	Database and associated software developed. Reporting modules available for Commission data.	Project documentation shows software and training to implement regional template made available to all PacSIDS by end of 3rd year.	

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	National monitoring systems based on the regional template for integrated monitoring, customised to meet national needs	National monitoring systems, including port sampling and observer programmes in place. All PacSIDS reporting regularly to Commission.	Commission compliance reports show all PacSIDS meeting Commission standards for provision of monitoring data within 2 years of the standards being adopted by the Commission.	National commitment sufficiently strong to ensure allocation of staff
	A regional monitoring coordination capacity, to develop regional standards such as data formats, and to provide a clearing house for information on fishery monitoring	Common data formats made available to PacSIDS, and adopted by each country to provide comparable data. Information on fishery monitoring including best practice examples, being shared between stakeholders through newsletters, website and regional workshops.	Reports on data quality to Scientific Committee Statistics WG, DCC and PCU show effective regional coordination of monitoring, including provision and use of common data reporting formats by end of year 3; Newsletter distributed to all stakeholders at least annually Reports from Workshops (minimum 2) available by year 3. Website running and accessed by end of year 1. Newsletters, workshop reports and website provide evidence of networking between stakeholders on fishery monitoring	All countries can agree on data reporting formats (some may have to change existing formats). Staff available to maintain website. Countries willing to network with Commission on a regular basis, and each country agrees on a focal point for this networking.
	Training of national monitoring staff, particularly monitoring coordinators, observers and port samplers	In-country Courses and training activities conducted. Two regional workshops undertaken. National monitoring personnel attached to SPC/OFP	Reports of in-country observer and port sampling training activities, and attachments provided to PCU (2 national courses and 2 national monitoring personnel attached to SPC/OFP per year)	Countries can afford to release staff for training and attachments.
1.2	Stock Assessment			
	National oceanic fisheries status reports prepared collaboratively with national scientific staff	Collaborative work undertaken on National Tuna Fishery Status in 6 countries annually, including presentations at in-country national workshops.	National Status Reports; staff national mission reports and Workshop reports filed with PCU show work completed in 6 countries per year.	Countries have scientific and technical staff available and willing to undertake national fishery status reports and workshops (with GEF funding assistance)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Advice to Pacific SIDS on scientific issues in the work of the Commission	Advice on scientific issues provided in briefing papers to PacSIDS before each meeting of the Scientific Committee and the Commission, and presented to PacSIDS preparatory meetings.	Reports of PacSIDS consultative meetings record consideration of scientific briefing papers. Reports of the meetings of the Scientific Committee and Commission record PacSIDS contributions reflecting the scientific briefing papers.	PacSIDS able to find the financial human resources to participate effectively in the scientific processes of the Commission
	Training of national technical and scientific staff to understand regional stock assessment methods, and interpret and apply the results; and to use oceanographic data	Regional Workshops carried out. National technical and scientific staff trained through attachments and in-country counterpart training. Technical and scientific counterparts producing independent technical and scientific analyses by the end of the Project.	Reports from Regional Workshops available – the first one by end of year 2. Reports of attachments of 3 national technical staff each year.	PacSIDS can afford to release staff for training and attachments (national human resource limitations)
1.3	Ecosystem Analysis			
	Observer sampling and analysis of commercial fishery catches to determine trophic relationships of pelagic species in the WTP LME	Observer-based data collections and lab analyses undertaken in accordance with a workplan for the ecosystem analysis component established in year 1.	OFP technical reports, and reports to the Ecosystem & Bycatch Working Group of the Commission reflect the contribution to ecosystem analysis from data from observers and lab analyses	National and regional observer programmes, including a Commission programme, are running and providing data for ecosystem analysis. Sufficient observers available.

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Collection and analysis of information on seamounts in the WTP warm pool	Seamount planning and review workshops carried out. Seamounts described, historical fishing patterns around seamounts analysed, and seamounts selected as sites for field work. Field data collected at selected seamounts, including tagging, trophic sampling and analysis - 2 cruises per year in years 2, 3, plus 1 cruise to research benthic biodiversity. Participation by national scientists in field work supported (2 participants per cruise). Reports on seamount-associated field data prepared.	Report from workshop on seamount activity planning and review available by end year 1. Descriptive report on seamounts and historical fishing activities available by end of 18 months. Cruise reports within 12 months of completion of cruises.	Sufficient sea-time available to be able to undertake surveys and complete reports effectively and on-time. National scientists available to take part (human resource limitation issues)
	Model-based analysis of ecosystem-based management options	Data incorporated into ecosystem models. Models enhanced and used to assess management options, including options related to fishing around seamounts.	Documentation for meetings of the Scientific Committee and its Ecosystem & Bycatch WG including reports on ecosystem data and model refinement, and on ecosystem model-based assessment of specific management options.	Agreement can be reached on realistic options for management to be assessed. Effective models available and sufficient data collected to drive models and reach a scientifically justifiable conclusion

LOGFRAME MATRIX: COMPONENT TWO - LAW, POLICY AND INSTITUTIONAL REFORM, REALIGNMENT AND STRENGTHENING

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
COMPONENT OUTCOME: The WCPF Commission established and beginning to function effectively. Pacific Island nations playing a full role in the functioning and management of the Commission, and in the related management of the fisheries and the globally-important LME. National laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries reformed, realigned and strengthened to implement the WCPF Convention and other applicable global and regional instruments. National capacities in oceanic fisheries law, fisheries management and compliance strengthened		WCPF Commission operating with a formally adopted framework of rules and regulations. Commission Secretariat has been established and the core science and compliance programmes and Committee structures are operational. PacSIDS are participating effectively in provision of information and in decision-making and policy adoption process for WCPF fisheries management. National institutions and supportive laws and policies have been reformed effectively to support national roles in Commission and to meet national commitments both to WCPF Convention, and to other relevant MEAs, and global treaties and conventions.	Reports of the Commission and its Committees show that within 30 months of the Project inception the Commission is functioning with a full programme of work in compliance and science. Commission reports show PacSIDS are effectively participating in Commission decision-making processes. Independent assessments show that national capacities significantly improved to meet commitments to Convention and to undertake MCS responsibilities.	Commission remains effective throughout project lifetime and beyond. Countries continue to meet financial commitments to Commission to ensure its sustainability. Enormous Convention area and project system boundary can be effectively monitored to ensure compliance. Programmes of information collection and data analyses can be sustained throughout and beyond project lifetime. PacSIDS able to participate in the Commission effectively.
2.1	Legal Reform			
	A strategy and workplan for activities on regional and national legal issues	Legal and technical reviews (regional and national) undertaken and results available to regional Legal Consultation. Consultation carried out.	Report of initial Legal Consultation (including review of national and regional legal status and structures) distributed to participants by month 20.	Appropriate legal consultants available within timescale.
	New draft laws, regulations, agreements & license conditions in line with WCPF Convention prepared and shared with PacSIDS	Templates for legal provisions necessary to implement Convention provided to PacSIDS. Legal reviews undertaken in PacSIDS which have not already updated their legislation.	Reports of national legal reviews show regional templates amended to reflect different national situations being applied for implementation of the WCPF Convention.	Country commitment to legal reviews (consultants cannot be effective without national support and transparency)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Proposals for the Commission from Pacific SIDS for legal arrangements to implement the Convention	Legal reviews and studies on Commission and Convention issues undertaken and legal briefs for discussion in Commission and related bodies prepared and lodged with countries. Briefs discussed in PacSIDS consultations (see 2.1.1)	Briefs on WCPF legal issues provided to PacSIDS by 30 months. Reports from regional Legal Consultations available by month 20. Records of PacSIDS consultations document discussion of Briefs and conclusions on PacSIDS policy for discussion of legal issues in Commission meetings.	Countries willing to share national legal position and information with Commission. PacSIDS prepared to make submissions to Commission on legal policy issues following this consultative process
	Training of policy makers and legal personnel in oceanic fisheries management legal issues	National and Regional legal training workshops carried out and assessed. Legal staff attached to relevant institutions and participating in analyses.	Reports of 2 regional legal workshop reports. Reports of 3 National legal training workshops carried out in each year of project, and 2 national legal staff attached to relevant institution per year.	Countries willing to host and participate in workshops. Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)
2.2	Policy Reform			
	National oceanic fisheries management plans, policies and strategies	Plan/policy/strategy documents prepared, implemented and reviewed based on feedback and lessons	Management plans and policy/strategy documents prepared or revised in at least 6 PacSIDS by month 30. Project documentation shows significant policy reforms in at least 50% of PacSIDS by end of Project.	Fisheries Management Adviser appointed to oversee the Policy Reform sub-Component. National policy-makers accept and adopt strategies and prepared to make necessary reforms to implement.
	Strategies and specific proposals for the overall development of the Commission, including its Secretariat and technical programmes, and for Commission conservation and management measures	Briefing papers provided to PacSIDS on establishment of the commission and on regional conservation and management measures. Regional consultations and workshops on Fisheries Management undertaken annually.	Reports of PacSIDS consultations show i) advice provided to PacSIDS on the development of Commission Secretariat and programmes annually in the first 3 years, and ii) advice provided annually to PacSIDS on regional conservation and management measures. Reports of Commission meetings document PacSIDS playing a major role in decisions relating to establishment of Commission Secretariat and programmes, and adoption of regional conservation and management measures.	Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Identification of possible management options for seamounts, including compliance options	Technical studies on management of oceanic fisheries related to seamounts undertaken completed and circulated to stakeholders. Workshops undertaken for stakeholders on seamount management issues. Proposals based on outcomes of seamount policy and technical analyses considered by PacSIDS, and if appropriate, the Commission.	Reports of technical studies sent to stakeholders by month 24. Reports of regional workshops document consideration of proposals for seamount-related management measures by end of year 4.	Technical capacity available to undertake studies within timeframe. Commission continues to operate effectively. Pac SIDS Stakeholders can agree on management measures in order to make proposals.
	Training of policy makers, technical personnel and other Pacific SIDS stakeholders to increase understanding of sustainable and responsible fisheries	Regional Policy Consultation workshops carried out. TSC/USP training course developed and on offer. National Fisheries Management Seminars available and workshops carried out. Fisheries Management personnel on attachment to FFA. Study tours arranged to other Fisheries Commissions. Support given to relevant Ministerial meetings.	Regional workshops completed by end of year 2. At least 4 training courses subscribed to by end of year 3. 6 National workshops and/or seminars on fisheries management completed by end of year 3. Project progress reports and technical reports lodged with PCU show 4 national fisheries management personnel attachments undertaken with FFA by end of year 3; 6 study tours completed to other fisheries commissions by end of year 4; and 2 Ministerial meetings relevant to Fisheries Management supported by end of year 4.	Countries willing to host and participate in workshops. Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)
2.3	Institutional Reform			
	Strategies, plans and proposals for the reform, realignment and strengthening of national oceanic fisheries management administrations	Review the lessons and best practices in institutional reform carried out. Reviews of national fisheries management institutions carried out. National institutional reform workshops prepared and undertaken.	Report made available to PacSIDS and to PCU on lessons and best practices in institutional reforms along with reviews of national institutions by end of month 30. Reports of 2 national reform workshops completed per year.	Conditions in PacSIDS are sufficiently common for national best practices to be replicable.

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Processes for national consultation between stakeholders in oceanic fisheries management	National consultative process carried out between stakeholders. National ENGOs and INGOs given support to empower their participation in oceanic fisheries management	NCC reports show some form of consultative process in place in all PacSIDS by the end of the Project. Feedback from ENGOs and INGOs confirm that their participation has been strengthened in 50% of PacSIDS by end of year 3,	PacSIDS govts prepared to continue to improve transparency. National ENGOs & INGOs exist & have the capacity to participate. Consultation fatigue does not unduly constrain their participation
2.4	Compliance Strengthening			
	Strategies, plans and proposals for realigning and strengthening national oceanic fisheries compliance programmes	Review the national compliance implications inherent in the Convention, and identify strengthening requirements for national compliance to meet these implications	Report on national compliance implications of the Convention circulated to PacSIDS and presented to MCS WG by month 18. National reports provided to MCS WG show strengthening of compliance programmes in at least 50% of PacSIDS by end of Project.	PacSIDS willing to provide transparent information on compliance procedures and data.
	Arrangements for regional coordination of monitoring, control and surveillance activities	Regional consultations to coordinate patrols (air and sea). Advice given on MCS coordination between PacSIDS and other stakeholder countries. Niue Treaty subsidiary arrangements prepared	Reports available of annual MCS WG meetings showing work on MCS coordination. Technical reports lodged with PCU document proposals for application of the Niue Treaty on MCS cooperation.	Sufficient regional capacity and willingness to undertake an effective level of air and sea patrols
	Strategies and proposals for regional compliance measures and programmes	Technical studies undertaken on compliance issues relevant to Convention. Meetings of PacSIDS MCS Working Group held. Reports on regional compliance issues prepared and presented to PacSIDS. PacSIDS follow up those reports with proposals in the Commission & its Technical & Compliance Committee.	Technical reports on compliance submitted annually to PacSIDS MCS WG. Reports of meetings of the PacSIDS MCS WG, the Technical and Compliance Committee and the Commission document PacSIDS participation in establishing Commission compliance arrangements.	Commission Members can find basis for agreement on compliance measures to regulate fishing in the high seas

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Training of national compliance staff, especially in inspection and VMS	National courses and training on inspection, VMS and other MCS issues undertaken. National compliance staff attached to FFA and/or other established PacSIDS compliance and monitoring agencies.	Reports provided to the PCU of 3 national courses provided each year on MCS issues, and 2 national staff attachments each year.	Appropriate national personnel available for attachments and permitted to attend. National specialists available to take part (human resource limitation issues)

LOGFRAME MATRIX: COMPONENT THREE - COORDINATION, PARTICIPATION AND INFORMATION SERVICES

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
COMPONENT OUTCOME: Effective project management at the national and regional level. Major governmental and non-governmental stakeholders participating in project activities and consultative mechanisms at national and regional levels. Information on the Project and the WCPF process contributing to increased awareness of oceanic fishery resource and ecosystem management. Project evaluations reflecting successful and sustainable project objectives.		Project achieving its objectives. Project implementation and management is fully participatory with appropriate involvement of stakeholders at all levels. Information access is transparent and simple. Information available is relevant and significant. Public awareness raising at national and regional policy level is effective. High project evaluation ratings.	Project Implementation Reviews and Project Performance Evaluations provide justification that project is successfully achieving its objectives and deliverables. These are supported by findings of the Independent Evaluations (Mid and Terminal). Stakeholders confirm transparent participation in the Project, and improvements in knowledge and awareness across all levels and sectors.	National commitment needs to be high to ensure fully participatory involvement in project over lifetime. Stakeholder commitment also needs to be high to ensure continued contributions, sometimes at own cost. Policy-makers are receptive to awareness-raising information and presentations.
3.1	Project information System			
	Project Information System for capture, storage and dissemination of project data, lessons and best practices, and provision of information products	Project branding, webpage and document catalogue system developed. Webpage operational and updated. Project information materials available.	Webpage operational by month 6. Document catalogue functional on webpage by month 8. Webpage updated at least quarterly thereafter. Information downloadable from webpage.	Staff available to operate and update website, Sufficient interest among stakeholders to make website effective means of communication and information dissemination
	Knowledge management process identifying innovative, best practice and replicable ideas within the Project and relevant to the Project	Knowledge management strategy prepared and adopted.	Steering Committee reports show knowledge management strategy adopted by Steering Committee in year 2. Best practices etc, available on website by month 30.	Sufficient information and examples of best practices to drive a knowledge management strategy, or resources available to develop them.
3.2	Monitoring and Evaluation			
	Measures of, and reports on, overall project performance and delivery, including independent evaluations of the Project	Regular assessment and evaluations of performance and delivery as per UNDP and GEF requirements	Annual Review reports available. Independent evaluation in progress by end of year 3.	PCU adheres to reporting and evaluation requirements (responsibility of IA)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Analysis of process, stress-reduction, and environmental status indicators as per the GEF International Waters Operational Strategy	Process, Stress Reduction and Environmental Status indicators adopted. National review and assessment mechanisms in place by end of year 1.	IW indicators assessed at national and regional level on annual basis. Information used in relevant reports to Commission to assist in assessment of national capacity building and response to Convention needs.. IW Indicator assessment reviewed by Independent Evaluators by end of year 3.	IW indicators developed for project are effective and comprehensive. Sufficient national and regional capacity to collect information on status of IW indicators. Effective support from project.
3.3	Stakeholder Participation and Awareness Raising			
	ENGO participation and awareness raising in Convention-related processes	Co-financing agreements in place with Pacific ENGO. An ENGO participating in Commission. Information packages circulated to ENGOs (including access to website). National and regional ENGO workshops carried out. Public Awareness materials developed and distributed. National fora for civil society participation organised.	LoAs agreed and signed with ENGO by end of first year. ENGO participating in Commission by end of year 1. Distribution lists for project information include ENGOs, and ENGOs and given access to website. Reports available for 2 ENGO workshops completed in year 2 and year 3. Public awareness material prepared by end of year 2 in coordination with ENGOs (and with their 'in-kind' input). 2 National meetings per year (after year 1) to involve civil society in oceanic fisheries management	Commission members agree to ENGO participation. ENGO identified that is appropriate willing to participate. Civil society has sufficient interest in oceanic fisheries to participate.
	Support industry participation and awareness raising in Convention-related processes	Co-financing agreements in place with Pacific Industry NGO. An INGO participating in Commission. Information packages circulated to INGOs (including access to website) and national/regional INGO workshops carried out as appropriate.	LoAs agreed and signed with INGO by end of first year. Reports of Commission meetings show INGO participating in Commission by end of year 1. Distribution list for project information includes INGO and INGO and given access to website. Reports available for 2 INGO workshops completed in year 2 and year 3.	Commission members agree to INGO participation. INGO identified that is appropriate willing to participate.
3.4	Project Management and Coordination			

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Project Coordination Unit staffing and office	Project Coordinator and other PCU staff appointed. Necessary PCU support equipment procured.	Project Progress reports show Project Coordinator hired by end of month 3 of project implementation; all project staff on-board or hiring plan-strategy agreed ready for appropriate time by end of month 6; and equipment procurements agreed and processed (as appropriate and in accordance with budget) by end of month 6.	Effective and acceptable Project Coordinator identified within timeframe Project staff hired at appropriate time to suit workplan (and not too late to be of use). Realistic equipment procurement plan developed and adopted by PCU at earliest opportunity. IA and EA efficient in authorising expenditure of funds for procurement.
	Arrangements for coordination between Implementing and Executing Agencies	Initial EA/IA consultations carried out. Necessary LoA finalised between EAs and IA. On-going consultations between EAs and IA throughout project lifetime	LoAs signed by end of month 3. Records show regular communication between EAs and IAs as necessary on a day-to-day basis, including regular meetings of EAs and IAs in association with Steering Committee meetings	Appropriate EAs and IAs in project. Clear understanding of importance of on-going consultative process
	Regional Steering Committee Meetings and Reports	Inception workshop carried out to begin project. Regular Steering Committees thereafter	Report of Inception workshop held within 4 months of project signature. Reports of annual Project Steering Committee meetings	All attendees committed to attending Inception Workshop. Appropriate presentations to ensure good understanding of project process.
	National Consultative Committee Meetings and Reports	National Focal Points nominated and approved. National Consultative Committees active	PCU records confirm nomination of NFPs and advice of membership of NCCs NCC records also show NCCs meeting annually or more as required by each country.	Appropriate NFPs adopted by countries. Country commitment to NCCs. Appropriate level of membership on NCCs.
	Reports on Project implementation, workplan and finances	Regular reporting as required by GEF, IAs and Steering Committee	UNDP and PCU records confirm timely preparation of Project Reports in accordance with project requirements	PCU fully aware of reporting requirements (assisted and advised effectively by IA)

Appendix 7 – Annex L from ProDoc, including scoring against indicators

Outcomes	Process Indicators	Stress reduction indicators	Environmental status indicators
Component 1 outcomes			
improved quality, compatibility and establishment of Scientific Committee and measures of target stock status in relation to agreed availability of scientific information and subsidiary bodies including bodies for statistics and management reference points - 80% (available but knowledge on the oceanic Ecosystem/Bycatch work - 100%		not adopted by Comm.)	
transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries and the impacts of fishing upon them	binding agreement on protocols for fisheries data collection and provision, including catch and effort logs, and port and onboard sampling - 95%	measures of status of ecosystem including trophic status and status of key non-target species - 75%	
	establishment of Commission data management structure and databases - 95%	provision of scientific advice to the Commission including information and recommendations on TACs and other management measures from the Scientific Committee to the Commission: measures of the impact of environmental variability on target species abundance and distribution - 90%	
	appointment of science staff and/or contracting of experts for the provision of scientific services - 90%		
this information being used by the Commission and SIDS to adopt and apply measures for the conservation and management of transboundary oceanic fishery resources and protection of the WTP LME.	agreement on scientific work programme, including forms of stock assessment analysis - 90%	assessments of the impact of fishing on analysis of impact of possible conservation measures - 85%	
national capacities in oceanic fishery monitoring and assessment strengthened, with Pacific SIDS	programme in SPC to train SIDS national science personnel - 85%	level of participation by SIDS in Commission scientific and data activities - 95%	

meeting their national and Commission-related responsibilities in these areas.	arrangements for financing of SIDS participation in Commission activities - 95%	level of resources and pattern of Commission programmes, and of other agencies for building capacity of SIDS to participate in Commission scientific activities - 90%
	arrangements for recognition of special requirements of SIDS in science and other technical areas - 90%?	

Component 2 outcomes

the WCPF Commission established entry into force of WCPF Convention - 100%	adoption of conservation and management measures by the Commission including limits on catches, fishing effort and capacity and/or technical measures such as closed seasons, limits on fishing gear etc - 80%	level of contribution from transboundary stocks to sustainable development, as measured by economic and social parameters, including incomes and food security - 50%
adoption of Rules of Procedure & Financial Regulations - 95%		
appointment of Commission Secretariat - 100%		
adoption of arrangements for sustainable funding - 100%	these measures targeting conservation of target species and other species affected by pelagic fishing - 90%	measures of target stock status in relation to agreed management reference points - 60%
establishment of Technical & Compliance Committee - 100%		measures of status of ecosystem including trophic status and status of key non-target species - 75%
appointment of compliance staff - 90%	the measures address fishing around seamounts consistent with results of seamount-related research	
agreement on compliance programmes including observers, boarding & inspection and VMS, flag state authorisation, notification and vessel register - 90%		levels of fleet capacity, fishing effort and catch of target and mortality of related species, including bycatch and seabirds in SIDS waters - 80%
	measures adopted to deter IUU fishing - 80%	

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	steps taken against vessels, persons and stateslevel of IUU fishing in the high seas - 60%	
	failing to comply with Commission measures - 50%	
adoption of processes for reporting of infringements and application of sanctions - 75%		level of marine pollution from fishing activities - 50%
national laws, policies, institutions and programmes relating to management of transboundary oceanic fisheriesreformed, realigned and strengthened instruments - 80%	conducting of reviews of national laws - 95%	no. of SIDS that are Commission Members - 100%
to implement the WCPF Convention and other applicable global and regional instruments.	undertaking of ratification process for other no. of SIDS that are parties to the UN Fish Stocks Agreement - 95%	application of above environmental status indicators in SIDS water - 60%
	establishment of national Stakeholder consultativeundertaking of ratification processes of WCPF participation by stakeholders in national management processes - 50%	impact of IUU fishing in national waters - 50%
	processes - 40%	
	undertaking of Institutional reviews - 50%	
	status of national laws - 85%	
	status of national acceptance of other legal instruments - 75%	
	status of national management plans - 65%	
	patterns of reform of national institutions - 50%	
	status of national legal, economic, statistics, science and compliance programmes, particularly observer, port sampling, VMS and inspection programmes - 80%	
	levels of budgets and staffing for these programmes - 50%	
Pacific Island nations taking a lead rolein the functioning and management of the Commission and in the related	arrangements for financing of SIDS participation inlevel of participation by SIDS in Commission compliance and decision-making activities - 90%	

management of the fisheries and the activities - 95%
globally-important LME.

recognition of special requirements of SIDS - 80%

level of resources and programmes of Commission
and other agencies for building capacity of SIDS to
participate in Commission compliance activities -
70%

national capacities in oceanic fisheries
law, fisheries management and
compliance strengthened

Component 3 outcomes

effective project management at the PCU established - 100%
national and regional level;

national and regional Project committees
established - 50%

major governmental and procedures for NGO participation adopted by the
nongovernmental stakeholders Commission - 50%
participating in Project activities and
consultative mechanisms at national
and regional levels;

national consultative mechanisms in SIDS include
NGO and broad governmental participation - 40%

level and pattern of NGO participation in the work of
the Commission and national consultative
mechanisms - 40%

information on the Project and the
WCPF process contributing to
increased awareness of oceanic
fishery resource and ecosystem

availability of information on the Convention and the
Commission - 80%

management;

project evaluations reflecting
successful and sustainable project
objectives

Appendix 8 – Interpolated transcription of LogFrame and Baseline Study outcome indicators

(Figures are the percentage achievement of outcomes as assessed by the Terminal Evaluation team)

from the LogFrame		from the Baseline Study	
Sub-Component 1.1. Fishery Monitoring, Coordination and Enhancement		80	83
nat. monitoring programmes	integrated and economically sustainable national monitoring programmes in place including catch and effort, observer, port sampling and landing data;	70	<p>1a) Improved quality, compatibility & availability of scientific information & knowledge on the oceanic transboundary fish stocks & related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries, & the fishing impacts upon them. 75</p> <p>1b) This information being used by the WCPFC & PacSIDS to assess measures for the conservation & management of transboundary oceanic fishery resources & protection of the WTP LME. 90</p>
info. provided to Commission	Pacific SIDS providing data to the Commission in the form required;	90	
nat. data analysis enhanced	national capacities to process and analyse data for national monitoring needs enhanced;	75	
nat. information used to inform nat. policy	improved information on fishing in national waters and by national fleets being used for national policy making, and to inform national positions at the Commission.	75	
data quality improving Commission decision-making	enhanced quality and accessibility of fisheries information and data leading to more effective development and improvement of the Commission's policy and decision-making process.	90	
Sub-Component 1.2. Stock Assessment		65	65

stock status	detailed information available on the status of national tuna fisheries, including the implications of regional stock assessments, and the impacts of local fisheries and oceanographic variability on local stocks and fishing performance;	70	1c) National capacities in oceanic fishery monitoring & assessment strengthened, with PacSIDS meeting their national & WCPFC-related responsibilities in these areas.	65
nat. interpretation	strengthened national capacities to use and interpret regional stock assessments, fisheries data and oceanographic information at the national level, to participate in Commission scientific work, and to understand the implications of Commission stock asse	60		
Sub-Component 1.3. Ecosystem Analysis		73		
ecosystem dynamics	Ecosystem Analysis Enhanced understanding of the dynamics of the western Pacific warm pool pelagic ecosystem, with particular focus on trophic relationships;	85		
seamount ecology	enhanced understanding of the ecology of seamounts, in particular their impacts on aggregation and movement of pelagic species, and the fisheries impacts thereon; provision of ecosystem-based scientific advice to the Commission and to Pacific SIDS;	60		
Sub-Component 2.1. Legal Reform		88		
Commission legals	major Commission legal arrangements and mechanisms in place, including provisions relating to non-Parties and sanctions for non-compliance;	95		
nat. legal reform	national laws, regulations, license conditions reformed to implement the WCPF Convention and other relevant international legal instruments;	90		
enhanced nat. legal capacity	enhanced national legal capacity to apply the Convention and national management regimes, including domestic legal processes for dealing with infringements;	80		

Sub-Component 2.2. Policy Reform		64	93
Comm. established	Sec. Commission Secretariat and technical programmes established and conservation and management measures beginning to be adopted;	95	2a) The WCPFC established & beginning to function effectively. 95
nat strats applied	national oceanic fisheries management plans, policies and strategies prepared, implemented and reviewed;	60	2b) Pacific Island nations playing a full role in the functioning & management of the WCPFC, & in the related management of the fisheries & the globally-important LME. 90
cross-sectoral collaboration	adoption of a more integrated and cross-sectoral approach and, improved coordination between government departments (Fisheries, Environment, Development, Economy, etc);	50	
understanding of sust. fish.	enhanced understanding by policy makers and enhanced national capacities in regional and national policy analysis for sustainable and responsible fisheries;	65	
stakeholder understanding	enhanced stakeholder understanding of Commission and national policy issues, especially private sector.	50	
Sub-Component 2.3. Institutional Reform		65	75
fish admin reformed	public sector fisheries administrations reformed, realigned & strengthened;	60	2c) National laws, policies, institutions & programmes relating to management of transboundary oceanic fisheries reformed, realigned & strengthened to implement the WCPF Convention & other applicable global & regional instruments. 75
NGO engagement	capacities of national non-governmental organizations to participate in oceanic fisheries management enhanced;	60	

consultative processes	consultative processes enhanced to promote a more integrated approach to fisheries management and administration that encourages coordination and participation between diverse government, and non-government stakeholders.	75		
Sub-Component 2.4 Compliance Strengthening		80		80
nat compliance realigned	realigned and strengthened national compliance programmes;	80	2d) National capacities in oceanic fisheries law, fisheries management & compliance strengthened	80
reg MCS enhanced	improved regional MCS coordination;	85		
enhanced compliance	nat strategies for Commission compliance programmes; enhanced national compliance capacities (inspection, observation, patrol, VMS, investigation).	75		
Sub-Component 3.1. Information Strategy		69		
awareness	Enhancement of awareness about the Project, and understanding of its objectives and progress.	80		
lessons & best practice	Establishment of a Clearing House for lessons and best practices within the Pacific SIDS, as well as through linkages to other global fisheries and their issues.	65		
info on fish manag approaches	Capture of up-to-date information and advice on related ecosystem management and innovative fisheries management approaches.	65		
best practice exchange w Comm		65		
Sub-Component 3.2. Monitoring and Evaluation		93		90
E&M project & Comm performance	Effective monitoring and evaluation of progress and performance, including monitoring of process, stress reduction and environmental status indicators;	95		

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E&M outputs used to inform man.	monitoring and evaluation outputs used in Project management and in assessing the effectiveness of Commission measures.	90	3d) Project evaluations reflecting successful & sustainable project objectives.	90
Sub-Component 3.3. Stakeholder Participation and Awareness Raising		75		70
NGOs linked to tuna man.	Non-governmental stakeholder participation in national and regional oceanic fisheries management processes, including the Commission, enhanced.	75	3b) Major governmental & non-governmental stakeholders participating in project activities & consultative mechanisms at national & regional levels.	70
stakeholder awareness of WCPFC workings	Awareness of oceanic fisheries management issues and the WCPFC Convention improved. Specific forums developed for NGO participation and discussion process.	75		
linking reg & nat dev. planning to fish man.	Promotion of awareness of national and regional development and economic priorities and how these relate to sustainable fisheries management.	75	3c) Information on the project & the WCPFC process contributing to increased awareness of oceanic fishery resource & ecosystem management.	70
Sub-Component 3.4. Project Management and Coordination.		78		80
implement. & execut. Agency coord.	Project effectively managed and coordinated between implementing and executing agencies and other participants in the Project;	60	3a) Effective project management at the national & regional level.	80
stakeholder involvement in proj. man.	effective participation in Project management and coordination by stakeholders;	85		
feedback reporting & decision-making	reports on Project progress and performance flowing between Project participants and being used to manage the Project.	90		

Appendix 9 – GEF III. B International Waters Results Template – SAP Implementation Projects

International Waters Results Template

Project no. 2992 – Pacific Islands Oceanic Fisheries Management Project

III. B International Waters Results Template – SAP Implementation Projects

Ratings:

Highly Satisfactory	HS	The outcome is likely to be achieved or exceeded, efficiently with no significant shortcomings
Satisfactory	S	The outcome is likely to be achieved, efficiently with only minor shortcomings
Moderately Satisfactory	MS	The outcome is likely to be achieved, efficiently with moderate shortcomings.
Moderately Unsatisfactory	MU	The outcome has moderate shortcomings that limit or jeopardize its achievement, but resolution is likely.
Unsatisfactory	U	The outcome has significant shortcomings that limit or jeopardize its achievement, and resolution is uncertain.
Highly Unsatisfactory	HU	The outcome has major shortcomings that limit or jeopardize its achievement, and resolution is unlikely.

Process outcomes and indicators															
Process OUTCOMES											Process INDICATORS				
Project	Rating					Catalytic					Project				
	06	07	08	09	10	06	07	08	09	10	06	07	08	09	10
Effective national	Not rated					Information on this issue from the 15 Pacific SIDS not yet available to the Project									

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inter-ministry coordination	MU		Existence of inter-ministry coordination mechanisms.
			Nos. of meetings/contacts of inter-Ministry coordination. Data yet to be collected
	MU		Contacts at the national between relevant national government institutions dealing with fisheries management issues have been enhanced particularly on the WCPFC issues relating to compliance of the Conservation and Management Measures
		MU	Analysis of inter-ministry cooperation still outstanding. Fisheries management processes at national levels are progressively inclusive through processes such as EAFM and Sub-regional WCPFC working group meetings
			An analysis of the participation at sub-regional WCPFC working group meetings would reflect the participation of representatives from relevant ministries in the efforts to ensure that legislation and policy allows Pac SIDS to met their international fisheries obligations. Further the level or status for realignment of laws, regulations and policy would serve as a indication of the inter-ministry coordination. A comprehensive study of this has not yet occurred although data is available.
		MU	
Stakeholder involvement in SAP implementation	S	Eight NGOs accorded observer status and participated in the WCPF Commission (WCPFC) meetings in the reporting period	All Pacific SIDS participated in the meetings of the WCPFC, and its Scientific Committee (SC) and Technical & Compliance Committee (TCC), with 1 participant each financed from the WCPFC budget, additional participants nationally funded – also supported by technical advice from the Project.
			ENGO & INGO representatives have participated in most national and regional Project activities including pre-WCPFC, SC & TCC meetings and Project National Consultative Committees
	S		High level of participation by PacSIDS in WCPFC (100%), SC & TCC meetings (80%) maintained
			ENGOS (WWF) & INGOs (PITIA) are involved in Project execution
		S	Pacific fisheries agenda close to saturation but Pac SIDS still maintain high levels of participation at WCPFC4 (100%) SC3 & TCC (90% respectively). ENGO (WWF) & INGO (PITIA) attend WCPFC meetings and undertake awareness raising project activities.
		HS	Level of participation by Pac SIDS, NGOs & INGOs in the meetings of the WCPFC remains high.

HS				
Newly established and/or strengthened transboundary waters institutions				
The WCPFC established and beginning to function effectively;	HS	WCPFC established and adopted Rules of Procedure and organizational structure at its First Session in December 2004.	<p>SC established & first regular session held in August 2005.</p> <p>The SC</p> <ul style="list-style-type: none"> established specialist WGs in Fishing Technology, Methods, Statistics, Biology, Stock Assessment and Ecosystem and Bycatch; agreed on the future work programme for the SC and provided advice to the WCPFC on the status of major stocks and impacts of conservation and management measures TCC established & first regular session held in Dec 2005. The TCC began establishment of: a compliance programme including observer, boarding & inspection, VMS schemes and a process for identifying infringements and applying sanctions <p>Executive Director and other key WCPFC staff appointed by December 2005</p> <p>WCPFC & subsidiary bodies operating with a complete set of Rules & Regulations & a Secretariat, with sustainable financial arrangements (by Dec 2007) - Draft Rules for subsidiary bodies being considered by SC & TCC</p> <p>Staff Regs adopted & Secretariat posts all filled. (by Dec 2007) - Staff Regs adopted. Secretariat posts being filled with some difficulty.</p> <p>TCC operational (by Dec 2007) - Achieved 2005</p> <p>Most staff positions filled at WCPFC Sec. Subsidiary bodies have yet to adopt individual rules of procedure</p>	
	HS			
	S			

Adoption of national and regional legal, policy and institutional reforms that address priority transboundary concerns				
The WCPF Convention being implemented	HS	All major fishing states except the US have ratified the Convention at June 2006	WCPFC Convention entered into force in June 2004, with 12 of the 13 Convention ratifications to bring the Convention into force from Pacific SIDS, following PDF-B support.	
	HS		WCPFC Convention ratified for 33 of 34 States & Territories participating in WCPFC process. This includes all major coastal & fishing states except Indonesia (Depends on US ratifying as announced by June)	
	HS		Convention entered in force for the USA 27 July 2007. Indonesia was granted a continuance of its status as a Co-operating Non-member at WCPFC4, Dec 2007. Founding members encouraged Indonesia to move quickly towards full membership.	
	HS		Indonesia yet to achieve full membership	
	HS			
Regional institutional arrangements for oceanic fisheries management strengthened	HS	Pacific Island Forum Heads of State established a Ministerial committee to oversee regional fisheries affairs which met in May 2004 and May 2005		
	HS		WCPFC-related legal, policy and institutional reviews under way in many Pacific SIDS, supported from the Project by national fishery status reports (2 in 2005-06) legal reviews (4 in 2005-06) and reviews of management plans based on EAFM, and by regional scientific, legal, compliance and policy workshops and consultations.	
	HS		Fisheries ministers continue to meet annually (Wellington NZ 2006 & Palau 2007) and issues relating to oceanic fisheries are addressed at the Pacific Islands Forum Heads of State meetings. WCPFC related legal, policy & institutional reviews progressed further in Pac SIDS. National fisheries Status reports (5 reports 2007-08), legal reviews (XX in 2006-07) reviews of TMPs & EAFM, & by regional scientific, legal, compliance and policy workshops and consultations	

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<p>HS</p>	<p>Fisheries Ministers met in Niue and high level sub-regional (PNA) ministerial meetings have taken place resulting the implementation of in-zone CMMs to address the Commission wide concerns for juvenile bigeye and yellowfin.</p> <p>Sub-regional WCPFC, EAFM workshops have taken place and several reviews of TMPs. Regional scientific, legal, compliance and policy workshops and consultations are conducted at the same levels as previous years. National fisheries Status reports (2 reports 2008-09), legal reviews (4 in 2008-09).</p>
<p>HS</p>	<p>National laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries reformed, realigned and strengthened to implement the WCPF Convention and other applicable global and regional instruments</p> <p>S</p> <p>S</p> <p>S</p> <p>S</p> <p>WCPFC-related legal, policy and institutional reviews under way in many Pacific SIDS, supported from the Project by national fishery status reports (2 in 2005-06) legal reviews (4 in 2005-06) and reviews of management plans based on EAFM, and by regional scientific, legal, compliance and policy workshops and consultations.</p> <p>PacSIDS are implementing WCPFC measures & national conservation & management measures – Assessment yet to be completed.</p> <p>Status remains unchanged</p> <p>Assistance to identify and address gap in legislation for the effective implementation of WCPFC CMMs, adoption of EAFM and reviewed TMPs ongoing. Overall assessment pending</p>
<p>Financial sustainability of joint transboundary waters institutions</p> <p>HS</p> <p>HS</p>	<p>WCPFC has begun to finance oceanic SPC fisheries monitoring and science activities previously funded by donors</p> <p>Japan pledged \$2m over 5 years to the WCPFC for technical assistance (implementation to be coordinated with the GEF PIOFMP). Voluntary extra-budgetary assistance for specific WCPFC activities provided by other Commission Members.</p> <p>WCPFC adopted Financial Regulations and schedule of financial contributions at its First Session in December 2004, based largely upon the principle of "those who fish should pay" (70% of contributions based on catches with discount for developing countries)</p> <p>Financial Regulations include provision for a Special Requirements Fund for SIDS. Permanent HQ jointly donated by FSM and China.</p> <p>Satisfactory level of payment of CCM financial contributions – The failure to pay three consecutive annual contributions results in the withdrawal of voting privileges. Some instances of arrears to date</p> <p>WCPFC core programmes not blocked by lack of funding - To date there are no programme implementation demands attributed to lack of funding.</p>

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	HS		<p>Some instances of arrears to date</p> <p>Significant contributions by New Zealand (Tagging – NZD5m) and others towards Commission work programmes over and above financial contributions</p>
<p>Improved information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME being used by the WCPFC and Pacific SIDS to adopt and apply measures to enhance the conservation and management of transboundary oceanic fishery resources and protection of the biodiversity of the WTP LME</p>	<p>S</p> <p>S</p>	<p>WCPFC has established arrangements with ISC or data services and scientific services related to northern WCPO stocks and with IATTC relating to WCPO/EPO cooperation</p>	<p>MOU between SPC and the WCPFC provides the basis for provision of data management and scientific services by SPC to the WCPFC.</p> <p>WCPFC adopted standards for provision of WCPFC data</p> <p>SPC oceanic fisheries data and scientific programmes, including SIDS capacity building, strengthened by resources from the Project, the EU and the WCPFC</p> <p>Tuna Fishery Data Management System installed & operation in 7 Pacific SIDS, national Observer Programmes established in 10 of the 15 Pacific SIDS,</p> <p>Establishment of SC & subsidiary bodies including bodies for statistics & Ecosystem/Bycatch work (by Dec 2007) - achieved 2005</p> <p>Binding agreement on protocols for fisheries data collection & provision, including catch & effort logs, & port & onboard sampling (by Dec 2007) - catch & Effort Protocol in place.</p> <p>Establishment of Commission data management structure and, databases (by Dec 2007) - Port & onboard sampling sampling protocols still under consideration</p> <p>Appointment of science staff and/or contracting of experts for the provision of scientific services (by Dec 2007) - Interim arrangements in place</p> <p>Agreement on scientific work programme, including forms of stock assessment analysis (by Dec 2007) – Staff appointed, interim arrangements agreed for scientific experts, subject to review in 2007</p> <p>(a) seamount occurrence documented using available data</p> <p>b) Impacts of seamounts on physical/biological oceanography and pelagic fisheries better understood - The occurrence of seamounts has been documented using available data, but further work is required</p> <p>The occurrence of seamounts has been documented using available data, but further work is required.</p>

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	S	<p>Establishment of SC & subsidiary bodies which include Specialist working groups for biology, Ecosystem & By-catch, Fishing Technology, Methods, Statistics and Stock Assessment as at Dec 2007.</p> <p>Establishment of an Indonesia & Philippines Data Collection Project to address the gaps</p> <p>MOUs to establish formal relations with IATTC & other organizations drafted & being reviewed by the Commission, SC & TCC</p> <p>Regional Tagging Programme Phase II – Commission sponsored research project</p> <p>Commission adopted data submission protocols outlined in "Scientific Data to be Provided to the Commission" (Binding agreement on protocols for fisheries data collection & provision)</p> <p>Port & onboard sampling protocols still under consideration</p> <p>Agreement on scientific work programme, including Investigation of alternative stock status reference points and the development of a management strategy evaluation</p> <p>(a) seamount occurrence documented using available data</p> <p>b) Impacts of seamounts on physical/biological oceanography and pelagic fisheries better understood - The occurrence of seamounts has been documented using available data, but further work is required</p>
Information on the Project and the WCPF process contributing to increased awareness of oceanic fishery resource and ecosystem management;	S S S	<p>OFM Project webpage established April 2006</p> <p>IWLEARN participation, publications</p> <p>Project newsletter published and collaboration with ENGO of lay documentation (awareness raising)</p>
Pilot/demo projects demonstrate stress reduction measures on priority concerns		

S

PacSIDS are implementing WCPFC measures & national conservation & management measures – Assessment yet to be completed.

Status remains unchanged

Assistance to identify and address gap in legislation for the effective implementation of WCPFC CMMs, adoption of EAFM and reviewed TMPs ongoing. Overall assessment pending

Stress Reduction Outcomes and Indicators

Process OUTCOMES											Process INDICATORS				
Project	Rating					Catalytic					Project				
	06	07	08	09	10	06	07	08	09	10	06	07	08	09	10
Improved information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME being used by the WCPFC and Pacific SIDS to adopt and apply measures to enhance the conservation and management of transboundary oceanic fishery resources and protection of the biodiversity of the WTP LME	HS										SPC and the SC provided advice to WCPFC1 and 3 identifying stocks requiring management attention and assessing the projected impacts of a range of conservation and management measures. WCPFC1 (Dec 2004) adopted conservation and management measures barring vessels of states that were not WCPFC Members or cooperating non-Members (CCMs) from operating in the region and establishing a record of vessels authorised to operate in the WCPO WCPFC2 (Dec 2005) adopted conservation and management measures requiring Members to : <ul style="list-style-type: none">• not increase fishing effort for bigeye & yellowfin beyond current levels;• cap purse seine effort at 2004 levels or an average of 2001 to 2004;• limit the longline catch of bigeye generally to 2001-04 average levels• not increase numbers of fishing vessels targeting South Pacific albacore;• keep fishing effort for North Pacific albacore north of the equator not greater than current levels. WCPFC2 also adopted resolutions to apply the FAO International Plan of Action to Reduce the Incidental Catch of Seabirds, and the FAO Guidelines to Reduce Turtle Mortality, reduce incidental catches of other non-fish species and avoid vessel transfers that contribute to over-capacity.				

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<p>HS</p> <p>HS</p> <p>HS</p> <p>HS</p>		<p>Measures of target stock status in relation to agreed management reference points available Stock status measures available, but no agreed reference points</p> <p>Measures of status of ecosystem including trophic status & status of key non-target species Proposal under consideration</p> <p>Provision of scientific advice to the Commission including information & recommendations on TACs & other management measures from the Scientific Committee to the Commission - Achieved, ongoing</p> <p>Measures of the impact of environmental variability on target species abundance & distribution - Achieved, ongoing</p> <p>Assessments available of the impact of fishing on target & non-target species - Achieved & ongoing for target species, less progress for non-target species</p> <p>Analysis made of impact of possible conservation measures - Achieved & ongoing</p> <p>Status of stock available but alternative stock status reference points to be investigated.</p> <p>Provision of scientific advice to the Commission for management measures from the Scientific Committee - Achieved, ongoing</p> <p>Measures of the impact of environmental variability on target species abundance & distribution - Achieved, ongoing</p> <p>Assessments available of the impact of fishing on target & non-target species - Achieved & ongoing for target species. (Requirements for data collection & reporting of shark catches to the lowest possible taxonomic level now imposed.</p> <p>Analysis made of impact of possible conservation measures -Achieved & ongoing</p> <p>Development of an Ecological Risk Assessment – on going</p>
<p>National laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries reformed, realigned</p>	<p>S</p> <p>Fiji introduced a lower limit on the number of longliners it will licence. Samoa adopted a revised Tuna Plan 2005-2009. Other Pacific SIDS reviewing policies on limits to fishing based on the application of the ecosystem approach to fisheries</p>	<p>Pacific SIDS stopped numbers of non-CCN fishing vessels, carriers and other support vessels from operating</p> <p>Pacific SIDS whose waters are the major purse seine fishing grounds adopted a Vessel Day Scheme to limit purse seine effort in accordance with the WCPFC decision from December 2007</p>

and strengthened to implement the WCPF Convention and other applicable global and regional instruments

Environmental Status Outcomes and Indicators

Process OUTCOMES											Process INDICATORS				
Project	Rating					Catalytic					Project				
	06	07	08	09	10	06	07	08	09	10	06	07	08	09	10
Information on the Project and the WCPF process contributing to increased awareness of oceanic fishery resource and ecosystem management;	S					At the 2004 Pacific Islands Forum, Leaders called for strengthened oversight of regional fisheries matters," while enhancing the role of FFA vis-a-vis the WCPFC					FFA produced a first report to measure indicators of socio-economic contributions of oceanic fisheries				
		S				The Pacific Islands Regional Ocean Framework for Integrated Strategic Action was launched (Jan 2005)					Target stocks within limits agreed by the WCPFC. Limits yet to be agreed.				
			S								Significant reductions in mortality from fishing on non-target species. High priority being given to improving data on mortality. Impacts not yet measurable				
											Target stocks within limits agreed by the WCPFC but a reduction in fishing mortality rate for bigeye & yellowfin is proposed. Limits yet to be agreed				
Improved information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME being used by the WCPFC and	S										SPC and the SC provided estimates to the Commission of:				
											<ul style="list-style-type: none"> • key indicators of status of four major tuna stocks • estimates of mortalities of non-target species from fishing (including sharks, seabirds and turtles) 				
											and, inter alia, a proposal for ecosystem monitoring, measuring of ecosystem indicators and ecosystem reference points and ecosystem model development				
											Positive results for broader ecosystem indicators (yet to be identified). Proposal for monitoring ecosystem indicators presented. Impacts not yet measurable				

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Pacific SIDS to adopt and apply measures to enhance the conservation and management of transboundary oceanic fishery resources and protection of the biodiversity of the WTP LME	S	Positive results for broader ecosystem indicators (yet to be identified). Proposal for monitoring ecosystem indicators presented (Ecological Risk Assessment). Impacts not yet measurable
	S	Reductions for fishing mortality of bigeye and North Pacific striped marlin. No increases permitted in fishing mortality for Sth Pac albacore, Sth Pac swordfish and Pacific bluefin tuna. Reference points not yet determined and will be investigated along with management options and allocation issues.
	S	Recommendations concerning seabirds, sharks, small tuna on floating objects, sea turtles and by-catch mitigating and data and information adopted.

Ratings:

Highly Satisfactory	HS	The outcome is likely to be achieved or exceeded, efficiently with no significant shortcomings
Satisfactory	S	The outcome is likely to be achieved, efficiently with only minor shortcomings
Moderately Satisfactory	MS	The outcome is likely to be achieved, efficiently with moderate shortcomings.
Moderately Unsatisfactory	MU	The outcome has moderate shortcomings that limit or jeopardize its achievement, but resolution is likely.
Unsatisfactory	U	The outcome has significant shortcomings that limit or jeopardize its achievement, and resolution is uncertain.
Highly Unsatisfactory	HU	The outcome has major shortcomings that limit or jeopardize its achievement, and resolution is unlikely.

Appendix 10 – Scoring of LogFrame **outcome** achievements

		Outcome	Target	
COMPONENT 1: SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT				
<p>Component 1 Outcome: Improved quality, compatibility and availability of scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries, and the fishing impacts upon them. This information being used by the Commission and Pacific SIDS to adopt and apply measures for the conservation and management of transboundary oceanic fishery resources and protection of the WTP LME. National capacities in oceanic fishery monitoring and assessment strengthened, with Pacific SIDS meeting their national and Commission-related responsibilities in these areas.</p>				
Sub-Component 1.1. Fishery Monitoring, Coordination and Enhancement			Terminal Evaluation Assessment of Performance	
Outcome 1.1.				
nat. monitoring programmes	integrated and economically sustainable national monitoring programmes in place including catch and effort, observer, port sampling and landing data;	monitoring programmes in place, but they are not fully integrated, and in very few cases if any could they be termed as economically sustainable		70
info. provided to Commission	Pacific SIDS providing data to the Commission in the form required;	this is now being accomplished by each member country, but differences in reporting quality across PICS		90
nat. data analysis enhanced	national capacities to process and analyse data for national monitoring needs enhanced;	certainly enhanced, but countries a little frustrated that cannot make more use of data - which up to now has really been generated to meet Commission obligations, rather than improved management at national level		75
nat. information used to inform nat. policy	improved information on fishing in national waters and by national fleets being used for national policy making, and to inform national positions at the	certainly being used to inform national positions at the Commission, but less evidence that it is being used extensively for national policy formation, the more so in the smaller countries, and those with smaller EEZs		75

Commission.				
	data quality improving Commission decision-making	enhanced quality and accessibility of fisheries information and data leading to more effective development and improvement of the Commission's policy and decision-making process.	major advances in the workings of the Commission from the time of its inception to today, based on effective data definition, collation and management, and leading to improved and informed decision-making	90
	Sub-Component 1.2. Stock Assessment			
Outcome 1.2.				
	stock status	detailed information available on the status of national tuna fisheries, including the implications of regional stock assessments, and the impacts of local fisheries and oceanographic variability on local stocks and fishing performance;	detailed stock assessment information is generated and distributed, but not clear that regional information is really fully utilised in a national / local context; pre-Commission meeting briefings by SPC and FFA help prepare country positions, and to a degree facilitate improved understanding of the issues attaching to access negotiations, but most countries likely to struggle to undertake assessments without regional support	70
	nat. interpretation	strengthened national capacities to use and interpret regional stock assessments, fisheries data and oceanographic information at the national level, to participate in Commission scientific work, and to understand the implications of Commission stock assessments.	to an extent; national capacity to utilise data and information is limited by scale of department, staff training, and internal structures - tends to be senior officers that attend meetings, but junior officers that handle data	60
	Sub-Component 1.3. Ecosystem Analysis			
Outcome 1.3.				
	ecosystem dynamics	Ecosystem Analysis Enhanced understanding of the dynamics of the western Pacific warm pool pelagic ecosystem, with particular focus on trophic relationships;	in the relatively narrow context of stock assessment modelling, information from tagging, catch sampling, analysis of stomach contents, combined with information on catch and catch and effort and oceanographic information is greatly enhancing stock modelling work; but it would be difficult to interpret this as wider understanding of the dynamics of the western Pacific warm pool pelagic ecosystem	85

seamount ecology	enhanced understanding of the ecology of seamounts, in particular their impacts on aggregation and movement of pelagic species, and the fisheries impacts thereon; provision of ecosystem-based scientific advice to the Commission and to Pacific SIDS;	the seamounts related work under the project has been rather less extensive than originally planned; but, work has been done on capturing fishermen's experience and examining longlining interactions with seamounts, and this has lead to improved understanding of seamount ecology, but to a limited extent.	60
	enhanced information on the magnitude of by-catch in WCPO oceanic fisheries.		
COMPONENT 2: LAW, POLICY AND INSTITUTIONAL REFORM, REALIGNMENT AND STRENGTHENING			
Component 2 Outcome: The WCPF Commission established and beginning to function effectively. Pacific Island nations taking a lead role in the functioning and management of the Commission, and in the related management of the fisheries and the globally-important LME. National laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries reformed, realigned and strengthened to implement the WCPF Convention and other applicable global and regional instruments. National capacities in oceanic fisheries law, fisheries management and compliance strengthened.		WCPF Commission operating with a formally adopted framework of rules and regulations. Commission Secretariat has been established and the core science and compliance programmes and Committee structures are operational. PacSIDS are participating effectively in provision of information and in decision-making and policy adoption process for WCPF fisheries management. National institutions and supportive laws and policies have been reformed effectively to support national roles in Commission and to meet national commitments both to WCPF Convention, and to other relevant MEAs, and global treaties and conventions.	
Sub-Component 2.1. Legal Reform			
Outcome 2.1.			
Commission legal codes	major Commission legal arrangements and mechanisms in place, including provisions relating to non-Parties and sanctions for non-compliance;	most Commission legal arrangements in place and actively updated following annual meetings	95
national legal reform	national laws, regulations, license conditions reformed to implement the WCPF Convention and other relevant international legal instruments;	substantial reformation of national legal and regulatory systems, with many major legal revisions still in the processes of ratification	90

	enhanced national legal capacity	enhanced national legal capacity to apply the Convention and national management regimes, including domestic legal processes for dealing with infringements;	many of legal instruments in place, but capacity / inclination to fully apply laws still limited	80
	Sub-Component 2.2. Policy Reform			
	Outcome 2.2.			
	Commission Secretariat established	Commission Secretariat and technical programmes established and conservation and management measures beginning to be adopted;	Commission Secretariat and technical programmes established and conservation and management measures beginning to be adopted	95
	national strategies applied	national oceanic fisheries management plans, policies and strategies prepared, implemented and reviewed;	national oceanic fisheries management plans, policies and strategies developed to varying degrees across region, with relatively limited implementation and review	60
	cross-sectoral collaboration	adoption of a more integrated and cross-sectoral approach and, improved coordination between government departments (Fisheries, Environment, Development, Economy, etc);	limited evidence of integrated and cross-sectoral approach or coordination / collaboration between government departments	50
	understanding of sustainable fisheries.	enhanced understanding by policy makers and enhanced national capacities in regional and national policy analysis for sustainable and responsible fisheries;	at the most senior fisheries levels, substantially enhanced analytical capacity, but not integrated within national policy or administrations	65
	stakeholder understanding	enhanced stakeholder understanding of Commission and national policy issues, especially private sector.	other stakeholder involvement rather limited; private sector representation is institutionally weak	50
	Sub-Component 2.3. Institutional Reform			
	Outcome 2.3.			

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fisheries administration reformed	public sector fisheries administrations reformed, realigned & strengthened;	many of the elements promoted by the project have resulted in national reform and realignment, but these are essentially bolt-ons to a core structure which has been largely unaffected by the project, and generally remains weak across most island countries	60
NGO engagement	capacities of national non-governmental organizations to participate in oceanic fisheries management enhanced;	there has been relatively limited involvement of NGOs in the oceanic fisheries management debate, and the project has been relatively unsuccessful in encouraging fisheries administrations to seek more inclusive debate	60
consultative processes	consultative processes enhanced to promote a more integrated approach to fisheries management and administration that encourages coordination and participation between diverse government, and non-government stakeholders.	at regional and Commission levels there has been substantial headway made in encouraging a more integrated approach through wide consultation, but this has been much less successful at a national level	75
Sub-Component 2.4 Compliance Strengthening			
Outcome 2.4.			
national compliance realigned	realigned and strengthened national compliance programmes;	national compliance programmes realigned and strengthened, but sustainable capacity is fragile to weak	80
regional MCS enhanced	improved regional MCS coordination;	substantial regional coordination achieved, but still relatively early in terms of functional integration of systems	85
enhanced national compliance	strategies for Commission compliance programmes; enhanced national compliance capacities (inspection, observation, patrol, VMS, investigation).	Commission compliance strategies in place; national compliance capacities structurally in place, but functionally fragile	75
COMPONENT 3: COORDINATION, PARTICIPATION AND INFORMATION SERVICES			

Component 3 Outcome: Effective project management at the national and regional level. Major governmental and non-governmental stakeholders participating in project activities and consultative mechanisms at national and regional levels. Information on the project and the WCPF process contributing to increased awareness of oceanic fishery resource and ecosystem management. Project evaluations reflecting successful and sustainable project objectives.		Project achieving its objectives. Project implementation and management is fully participatory with appropriate involvement of stakeholders at all levels. Information access is transparent and simple. Information available is relevant and significant. Public awareness raising at national and regional policy level is effective. High project evaluation ratings.	
Sub-Component 3.1. Information Strategy			
Outcome 3.1.			
awareness	Enhancement of awareness about the Project, and understanding of its objectives and progress.	a very complex project, and difficult to convey project composition to all comers; project website established early in the project, but initially slow to generate and distribute publicity material on the project; in the latter years of the project, promotion of the project substantially strengthened, but lack of relevant budget line has remained a major draw-back	80
lessons & best practice	Establishment of a Clearing House for lessons and best practices within the Pacific SIDS, as well as through linkages to other global fisheries and their issues.	not much evidence of a formal mechanism allowing the project to act as a clearing house for best practice information; experience has been circulated through the many workshops organised under the project, but primarily targeted at specialist groups; reports to and through the Commission have been of value, but there is no direct linkage between SPC (except in provision of stock advice), FFA and the Commission, so limited opportunity for best practice dissemination	65
info on fish management approaches	Capture of up-to-date information and advice on related ecosystem management and innovative fisheries management approaches.	not really a formal mechanism for capture and dissemination of ecosystem and fisheries management advice; website provides best available route, with reports, news items, etc. posted to the site on regular basis, particularly after some criticism at time of the mid-term evaluation, but falls a little short of any real "push" programme to disseminate advice and innovation	65
best practice exchange w Commission		no real evidence of a formal mechanism for transfer of lessons learnt and replication of best practice through the Commission; island countries have achieved, through the support of the project, very high levels of input into the Commission and its Working Groups, but no really focused effort to convey lesson and replication	65
Sub-Component 3.2. Monitoring and Evaluation			
Outcome 3.2.			

E&M project & Commission performance	Effective monitoring and evaluation of progress and performance, including monitoring of process, stress reduction and environmental status indicators;	E&M processes have been effective - through quarterly and annual reporting, reporting to the annual Regional Steering Committee (RSC), and the contracting of mid-term and terminal evaluations; but a key and very valuable innovation has been the commissioning of three project reviews focused on trouble-shooting, plus a baseline study to compensate for gaps in the basis of M&E assessment; in part these latter interventions have been predicated on the absence of clear and regular feedback from implementing and executing agencies - i.e. because there appeared to be relatively limited external project oversight, the project had to develop internal mechanisms to compensate for this.	95
E&M outputs used to inform man.	monitoring and evaluation outputs used in Project management and in assessing the effectiveness of Commission measures.	M&E outputs have been regularly and productively fed back into project management and, where appropriate, re-alignment, but there has been no formal linkage between the project and the Commission, and no formal process of assessing the effectiveness of Commission measures; insofar as the Commission is a membership organisation with membership far beyond simply the island countries participating in this project, it would seem inappropriate for the project to undertake such appraisal other than as a part of its activities in supporting regional briefing of island countries in advance of Working Group and plenary sessions of the Commission	90
Sub-Component 3.3. Stakeholder Participation and Awareness Raising			
Outcome 3.3.			
NGOs linked to tuna man.	Non-governmental stakeholder participation in national and regional oceanic fisheries management processes, including the Commission, enhanced.	the project has actively engaged WWF and IUCN (both essentially regional and international eNGOs) within the project, and has encouraged industry participation through PITIA (even though this organisation has very limited membership and support); but the project has been markedly less successful at encouraging wider engagement of NGOs and civil society in debate about management of oceanic fisheries, either at the regional level or at the national level - in part because national project focal points have not been enthusiastic about this (few if any NCCs have actually been established), in part because there has been very limited engagement between national GEF focal points and the project, and in part because for most of the activities of the project, wider direct stakeholder engagement may not have been as relevant as for other regional marine issues - e.g. coastal fisheries; fundamentally the in project has not been very successful at engaging wider stakeholder involvement in debating management of oceanic fisheries - whether or not this is a project failing is a matter for discussion elsewhere.	75

	stakeholder awareness of WCPFC workings	Awareness of oceanic fisheries management issues and the WCPF Convention improved. Specific forums developed for NGO participation and discussion process.	the project has organised some specific forums for wider stakeholder engagement in the management of oceanic fisheries, but since this has not been accompanied by establishment of any structural mechanism for continuation of such engagement, this can hardly be recorded as meeting the spirit of this outcome; greater effort in this regard could and should have been entertained, but this may have as much to do with project design and delivery mechanisms as any lack of project enthusiasm for this activity.	75
	linking regional & national dev. planning to fish man.	Promotion of awareness of national and regional development and economic priorities and how these relate to sustainable fisheries management.	the project has actively engaged in debating management and development strategies and implications with national representatives through a range of national and regional workshops and pre-meeting briefings, but these may not have been viewed as quite as central to project processes or national needs as this outcome describes; but latterly national interest in this sort of debate has increased substantially, raising criticism that the project has not done more in this area; this may indeed be a project weakness, but it may also simply be a symptom of the evident success of both the Commission and the project that countries are now expressing more interest in the development and economic priorities arising from improved management of oceanic resources; this is reflected to some extent in the recent re-energising of the PNA and the establishment of the TVA.	75
	Sub-Component 3.4. Project Management and Coordination.			
	Outcome 3.4.			
	implementing & executing Agency coordination.	Project effectively managed and coordinated between implementing and executing agencies and other participants in the Project;	the project has been effectively managed by the small (two person) PCU located within FFA; coordination with UNDP and GEF has been accomplished through direct contact by project managers, through completion of annual reporting formats (APR and PIR and latterly a combined APR/PIR), and through the annual Regional Steering Committee (RSC) meetings; this said, there has been very little feedback from either UNDP or GEF to any of these reporting formats, and interaction between UNDP/GEF has been limited (in part due to UNDP/GEF staff turnover); this has meant that the level of engagement between the project and its sponsors has been limited, and the project has had to rely more on its own efforts to deal with issues than on guidance from either UNDP or GEF; interaction with regional interests - through the RSC and project activities - has been altogether more established and more productive.	60

stakeholder involvement in project management.	effective participation in Project management and coordination by stakeholders;	stakeholder participation in project management has been good, notably through the annual RSC process, plus day-to-day interaction with regional and national interests through project activities; coordination of FFA and SPC inputs to the project has been effected through regular planning and coordination meetings - a format already established for coordination of their various inputs to regional fisheries management, development and research (i.e. this is not a format specially established for the purposes of this project).	85
feedback between reporting & decision-making	reports on Project progress and performance flowing between Project participants and being used to manage the Project.	reports on project progress and performance have been assiduously produced and distributed between project participants; feedback from the RSCs has been useful, but there has been significantly less feedback from UNDP and GEF on project progress and performance; all guidance and feedback has been used by project managers, but rather greater reliance has had to be placed on management judgement than might otherwise be thought necessary or appropriate; of particular note the project management has commissioned three troubleshooting reports which have been instrumental in identifying, debating and making recommendations for addressing project management issues in a timely and appropriate manner - in part of make up for the absence of external guidance.	90

Appendix 11 – Measurement of LogFrame **output** indicators

Project Strategy		Objectively Verifiable Indicators	Means of verification
Goal	<p>Global Environmental Goal</p> <p>To achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem.</p> <p>Broad Development Goal</p> <p>To assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally</p>	WCPF Commission has adopted measures to regulate fishing in the high seas, and has formulated and assessed proposals for the conservation and management of fishing for globally important transboundary oceanic stocks throughout their range. These proposals include measures to address the impacts on other species in the WTP LME. PacSIDS have undertaken reforms to implement the WCPF Convention and related multilateral environmental agreements (MEAs) and have strengthened the management of fishing for transboundary oceanic fish in their waters.	Legally binding Commission resolutions establishing controls over fishing in the high seas including catch and effort reporting, boarding and inspection, satellite-based monitoring, and regulation of transshipment adopted by the end of the Project. Commission reports showing that the Commission has by the end of year 4 i) identified the major concerns relating to sustainability of transboundary oceanic fisheries; ii) considered proposals for management measures to address those concerns, and those proposals address ecosystem-based aspects; iii) undertaken scientific and technical analyses of the effects of the proposals; and iv) is considering the adoption and implementation of measures throughout the range of the stocks. Project documentation showing systematic reform and strengthening of oceanic fisheries management by PacSIDS including improved consultative processes with stakeholders.
Objective of the project⁹	<p>The Information and Knowledge objective</p> <p>To improve understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem.</p>	Improved information on the biology and ecology of target fish stocks, including their exploitation characteristics and fishery impacts, the fishery impacts on non-target, dependent and associated species and on the pelagic ecosystem as a whole. Substantially improved understanding of Seamount ecosystems, especially their relation to migratory pelagic fisheries.	Reports from the scientific structure of the Commission show improved information and assessment methods are providing a credible basis for the formulation and assessment of conservation and management measures, including measures to address broader ecosystem effects. Commission reports and project documentation show that the information is being used in the Commission; is reaching a broad range of stakeholders; and is contributing to improved awareness and understanding of issues associated with transboundary oceanic fisheries conservation and management.
	<p>The Governance objective</p> <p>To create new regional institutional arrangements and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources.</p>	The WCPF Commission established and functioning. PacSIDS amend their domestic laws and policies and strengthen their national fisheries institutions and programmes, especially in the areas of monitoring and compliance, to implement the WCPF Convention and apply the principles of responsible and sustainable fisheries management more generally.	Commission reports document the development of the Commission, its Secretariat and its compliance and science structures. Project documentation, including an independent review, shows measurable progress in PacSIDS national capacities in oceanic fisheries management.

⁹ OFM Project has two objectives

COMPONENT ONE - SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT			
Outcomes	Target	Sources of Verification	Risks
Outcome 1 Improved quality, compatibility and availability of scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries, and the fishing impacts upon them. This information being used by the Commission and PacSIDS to assess measures for the conservation and management of transboundary oceanic fishery resources and protection of the WTP LME. National capacities in oceanic fishery monitoring and assessment strengthened, with PacSIDS meeting their national and Commission-related responsibilities in these areas	Substantial, relevant and reliable information collected and shared between stakeholders with respect to transboundary oceanic fish stocks and related ecosystem aspects, (particularly for seamounts). The Commission using this information as the basis for it discussions and policy decisions on WCPF management. National technical capacity and knowledge greatly improved	Commission Reports, especially from the Scientific Committee show that the Commission has access to, and is using, on-going reliable statistics and scientific advice/evidence by end of project to formulate and amend policy on oceanic fisheries management within the WCPF system boundary. These reports show particular progress in relevant ecosystem analysis, including results of the seamount-related work undertaken in the Project. The reports also show that the results of the ecosystem analysis are being used to begin to operationalise an ecosystem approach to conservation and management. PacSIDS national scientific capacities improved to level whereby each national lead agency can supply relevant and effective data to SPC and the Commission, and can interpret and apply nationally results of regional data analyses and scientific assessments.	Commission membership prepared to accept scientific findings and statistical evidence in formulating what may be difficult policy decisions on management of the fisheries, and difficult management proposals for the ecosystems. Sufficient sustainability available or identified through project to support national capacity improvements in technical and scientific functions as well as to support continued regional data coordination and analyses.

Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
1.1 Fishery Monitoring, Coordination and Enhancement						

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
A template for national integrated monitoring programmes and provision of data to the Commission	Database and associated software developed. Reporting modules available for Commission data.	Data collection occurring in all PacSIDS with gaps in the quality of data from domestic fleets. Data forms/formats not fully consistent	Robust programmes and software for the collection of consistent, compatible, relevant & reliable information by national administrations	Project documentation shows software and training to implement regional template made available to all PacSIDS by end of 3rd year.	Standard software package TUFMAN (Tuna Fishery Data Management System) developed and installed in 12 Pacific Islands SIDS project countries by 2010, with 2 further installations planned in early 2011. Tufman and tuna database training provided to all participating countries by year 3.	1.1.1 Standard system in place and available to all countries; software installed in 12 out of 15 countries, with further two by end of project (one territory has access to its own compatible software suite) ; training provided to all participating countries – 90%
National monitoring systems based on the regional template for integrated monitoring, customised to meet national needs	National monitoring systems, including port sampling and observer programmes in place. All PacSIDS reporting regularly to Commission.	National monitoring systems in various states of functioning and integration of monitoring customised for Commission reporting required	All PacSIDS meeting Commission standards for provision of monitoring data within 2 years of the standards being adopted by the Commission	Commission compliance reports show all PacSIDS meeting Commission standards for provision of monitoring data	Commisison Data Gaps Annual Report shows all Pac SIDS submitting data reports as required by the Commission	1.1.2 Commission Data Gaps Annual Report shows all Pac SIDS submitting data reports as required by the Commission – (95%)
A regional monitoring coordination capacity, to develop regional standards such as data formats, and to provide a clearing house for information on fishery monitoring	Common data formats made available to PacSIDS, and adopted by each country to provide comparable data. Information on fishery monitoring including best practice examples, being shared between stakeholders through newsletters, website and regional workshops. Quantity and quality of feedback about data formats and information sharing	Wide variability in performance, with some PacSIDS having well developed data management systems, while others require assistance. Limited data processing/query capability	Data handling and management capability strengthened in all 15 PacSIDS and information and best practices collated and shared across the region	Reports on data quality to Scientific Committee Statistics WG, DCC and PCU show effective regional coordination of monitoring, including provision and use of common data reporting formats by end of year 3;	Common data forms for logsheets, observers, port sampling and unloading in use throughout the region. Forms available from http://www.spc.int/oceanfish/en/data-collection/241-data-collection-forms .	1.1.3 common reporting formats being used by all countries – 100%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
				Newsletter distributed to all stakeholders at least annually Reports from Workshops (minimum 2) available by year 3.	9 editions of the newsletter "Fork Length" Tuna Data Workshop Oct 2006 (26 participants, 17 OFMP funded) 2 nd Tuna Data Workshop, April 2008 3 rd Tuna Data Workshop, March 2009 4 th Tuna Data Workshop, March 2010	1.1.4 networking on standards and quality achieved through newsletters, workshops, and standards of reporting to the Commission – 95%
				Website running and accessed by end of year 1. Newsletters, workshop reports and website provide evidence of networking between stakeholders on fishery monitoring	Fishery monitoring website created & on-line at the same time as the new OFP website. See http://www.spc.int/oceanfish/en/ofpsection/fisheries-monitoring/national-support .	1.1.5 website up and running; newsletters distributed – 100%
Training of national monitoring staff, particularly monitoring coordinators, observers and port samplers	In-country courses and training activities conducted. Two regional workshops undertaken. National monitoring personnel attached to SPC/OFP	Heavy reliance on SPC for the provision of advice and assistance with data collection, handling and analysis	Greater self sufficient by PacSIDS to understand and use fisheries information, and data X no of national staff trained	Reports of in-country observer and port sampling training activities, and attachments provided to PCU (2 national courses and 2 national monitoring personnel attached to SPC/OFP per year)	Attachments 2006 (6), 2007 (6), 2008 (2), 2009 (2) 2010 (5) National Observer Training Workshops 2006(4), 2007 (4), 2008 (7), 2009 (10). 2010 (7)	1.1.6 21 training attachments and 32 training workshops – 100%
1.2 Stock Assessment						

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
National oceanic fisheries status reports prepared collaboratively with national scientific staff	Collaborative work undertaken on National Tuna Fishery Status in 6 countries annually, including presentations at in-country national workshops.	Limited national capacity to undertake fisheries status reviews	Completed National Oceanic Fisheries Status Reports for all PacSIDS linked to ecosystem-based national tuna management plans	National Status Reports; staff national mission reports and Workshop reports filed with PCU show work completed in 6 countries per year.	NTFSRs – 2006 (8 completed/in progress), 2007 (6 completed/in progress), 2008 (8 –completed,/ in progress), 2009 (5 completed/ in progress), 2010 (6 completed/in progress)	1.2.average of 6.6 reports completed or in progress per year, but fact that some are only on progress is disappointing – 80%
Advice to Pacific SIDS on scientific issues in the work of the Commission	Advice on scientific issues provided in briefing papers to PacSIDS before each meeting of the Scientific Committee and the Commission, and presented to PacSIDS preparatory meetings.	Some availability of model and other fisheries assessment outputs to inform national and Commission strategies/approaches	Availability of fisheries status/stock assessment information to assist fisheries development and management arrangements nationally and at the Commission	Reports of PacSIDS consultative meetings record consideration of scientific briefing papers. Reports of the meetings of the Scientific Committee and Commission record PacSIDS contributions reflecting the scientific briefing papers.	Scientific advice and contributions to FFA Management Options Workshops, Science Working Group meetings, SC-SPTB, US Treaty meetings, Consultations on LL VDS, FFC, PNA Ministerial, Commission Scientific Committee and Annual Sessions preparatory meetings & associated briefs prepared for Pac SIDS Scientific advice at in-country EAFM Consultations	1.2.2 provision of scientific advice to wide range of national and regional meetings and purposes – 95%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Training of national technical and scientific staff to understand regional stock assessment methods, and interpret and apply the results; and to use oceanographic data	<p>Regional Workshops carried out. National technical and scientific staff trained through attachments and in-country counterpart training.</p> <p>Number of PacSIDS nationals with capability to understand and use fisheries information and data and stock assessments, to inform national and regional (WCPFC) fisheries management. Clearly identified as a gap in the PDF-B study</p>	National level experience and scientific knowledge relating to stock assessment requires further development	<p>Training and regional workshops on stock assessment delivered and audited</p> <p>X no of national staff trained in X no of workshops</p>	Reports from Regional Workshops available – the first one by end of year 2. Reports of attachments of 3 national technical staff each year.	<p>Regional Stock Assessment Workshop, April 2006 (17 attended)</p> <p>Regional Stock Assessment Workshops June & July 2007 (20 attended)</p> <p>Post SA workshop online revisions to maintain workshop participants SA knowledge & understanding via SPC website (2007 & 2010)</p> <p>Attachments</p> <p>2006 (2), 2007 (1), 2008 (4), 2009 (NC Visa regs obstacle – 1 remote SA attachment), 2010 (1)</p> <p>Informal in-country training on SA</p>	1.2.3 three workshops and two online workshops undertaken; face to face workshops attended by 37 participants; 9 attachments across project duration – 90%
	Technical and scientific counterparts producing independent technical and scientific analyses by the end of the Project.	Limited number of independent technical and scientific analyses produced by PacSIDS	Greater number (how many or how many % increase?) of technical and scientific reports prepared by PacSIDS			1.2.4 ???? – need to check with SPC – 60%
1.3 Ecosystem Analysis						

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Observer sampling and analysis of commercial fishery catches to determine trophic relationships of pelagic species in the WTP LME	Observer-based data collections and lab analyses undertaken in accordance with a workplan for the ecosystem analysis component established in year 1. Number of biological samples collected and analysed to inform trophic relationships	Knowledge base and understanding of trophic relationships in the WTP LME remains at a low level	Quantitative estimates of trophic interactions among key species are used in ecosystem models; utility of ongoing monitoring of top predator diets for long-term ecosystem monitoring evaluated	OFP technical reports, and reports to the Ecosystem & Bycatch Working Group of the Commission reflect the contribution to ecosystem analysis from data from observers and lab analyses	Samples collection programme using Observer Programme 7,002 stomach contents analysed from 78 species 354 tissue samples- isotopes analysis 16 issues of Biological Sampling Newsletter (2006 – 2010)	1.3.1 work undertaken and newsletter produced & distributed, but relatively limited evidence of functionally increased understanding of trophic relationships and ecosystem structure (check) 70%
Collection and analysis of information on seamounts in the WTP warm pool	Seamount planning and review workshops carried out. Seamounts described, historical fishing patterns around seamounts analysed, and seamounts selected as sites for field work. Field data collected at selected seamounts, including tagging, trophic sampling and analysis	Little knowledge of confirmed seamount occurrence in the region or their significance to the pelagic ecosystem	Understanding of fisheries and ecosystem role of seamounts in WCPO Documentation/mapping of important seamount areas in the region	Report from workshop on seamount activity planning and review available by end year 1. Descriptive report on seamounts and historical fishing activities available by end of 18 months.	Seamount Planning Workshop, March 2006 Seamount geographical position & oceanographic dataset screened, validated and loaded in GIS 2006 – 2007 6,825 cross checked underwater features Report - "Enhanced Seamount Location Database for the WCPO" Seamounts identified & classified & historical fishing patterns by LL & PS around seamounts analysed Oct 2008 – Oct 2009 Data collection on seamounts including tagging (Aug- Nov 2006, Feb – May 2007, Oct –Nov 2007, April & June – Nov 2008), trophic sampling (SPC) Research cruise (IUCN) for the collection of benthic samples on seamounts did not occur	1.3.2 crucially the seamount sampling cruise did not take place; activities reworked to get around this. Mapping of seamounts, and interpretation of their role undertaken, if somewhat delayed, but limited contribution to understanding of tuna / ecosystem dynamics (check) – 80%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Model-based analysis of ecosystem-based management options	Data incorporated into ecosystem models. Models enhanced and used to assess management options, including options related to fishing around seamounts.	EBFM approach not yet given effect and no baselines for ecosystem monitoring and operation yet developed	EBFM approach used by the WCPFC Scientific Committee the By-catch Working Group	Documentation for meetings of the Scientific Committee and its Ecosystem & Bycatch WG including reports on ecosystem data and model refinement, and on ecosystem model-based assessment of specific management options.	<p>Ecological Risk Assessment (ERA) identifies several indicators of species susceptibility & productivity to be used to evaluate EBM options</p> <p>Paper on Trophic structure qualitative models of pelagic ecosystems</p> <p>Development of SEAPODYM (Spatial ecosystem & population dynamics model) – publication</p> <p>Development of PISCES-ROMS bio-geochemical model for use as environmental forcing grid for SEAPODYM</p> <p>SEAPODYM – adjusted for simulations of the impacts of climate change on BET & SKJ (Report)</p> <p>SEAPODYM used for simulation of distribution of tunas – averaged data used to estimate EEZ TAC for NTFSRs</p> <p>Enhanced models & data to assess EBM options - paper presented to SC4 2008</p> <p>Ecosystems Modelling Workshop March 2007 – report circulated to August 2007 SC</p>	<p>1.3.3 EBFM is used by the Commission – notably the incorporation of SEAPODYM into stock models, but difficult to judge its efficacy –</p> <p>85%</p>

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Estimates of levels of by-catch in WCPO oceanic fisheries	Estimates of levels of bycatch, especially for species of special interests, reported to the Scientific Committee.	Information lacking for by-catch species particularly species of interest	Increased data and information for by-catch and species of special interest. – from all PacSIDS?	Reports to the Ecosystem & Bycatch Working Group and Scientific Committee of the Commission.	By-catch estimates & prelim ERA –papers to SC August 2006 Estimate levels of bycatch reported to SC3 Nat level work on estimates of catches of non-target species Provisional bycatch estimates for sharks & billfish – 2008 SC Analysis of by-catch species assoc with seamounts Summary of Bycatch from WCPO SC6 2010	1.3.4 substantial increase in reporting on bycatch from all countries; this information made available to the Commission – 90%
Results of ecosystem analysis and proposals for long-term ecosystem monitoring and operationalisation of the ecosystem-based approach for use by the Commission's Scientific Committee, especially its Ecosystems and Bycatch Working Group and by Pacific SIDS	Ecosystem analysis results, and proposals for ecosystem monitoring and the application of the ecosystem approach presented to the Scientific Committee.	EBFM approach outlined in the WCPF Convention not yet given effect	Application of EBFM by the Commission and sustainable ecosystem monitoring adopted	Documentation for meetings of the Scientific Committee and its Ecosystem & By-catch WG.	Preliminary ERA presented to SC2 resulting in Commission providing funding to progress this work thru 2007/08. Productivity-susceptibility analysis presented to Ecosystems & By-catch Working Grp SC3, 5 papers presented to SC5 EBWG, 4 papers to SC6 EBWG Workshop on ERA prior to SC3, Aug 2006 7 Auckland 2009, 1 day workshop 2010 "Progress in the study of pelagic ecosystem trophic dynamics" – SC5 Training workshop in ERA -methods in ERA part of the SA Workshops Nat level ERA for EAFMs IUCN - study & report on LL fishing around seamounts	1.3.5 EBFM incorporated into normal procedures of Commission Scientific Committee – 90% *A part of this component of this output involves capacity building (attachments to participate in Ecosystem Analysis)

COMPONENT TWO – LAW, POLICY AND INSTITUTIONAL REFORM, REALIGNMENT AND STRENGTHENING			
Outcomes	Target	Sources of Verification	Risks
Outcome 2 The WCPF Commission established and beginning to function effectively. Pacific Island nations playing a full role in the functioning and management of the Commission, and in the related management of the fisheries and the globally-important LME. National laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries reformed, realigned and strengthened to implement the WCPF Convention and other applicable global and regional instruments. National capacities in oceanic fisheries law, fisheries management and compliance strengthened	WCPF Commission operating with a formally adopted framework of rules and regulations. Commission Secretariat has been established and the core science and compliance programmes and Committee structures are operational. PacSIDS are participating effectively in provision of information and in decision-making and policy adoption process for WCPF fisheries management. National institutions and supportive laws and policies have been reformed effectively to support national roles in Commission and to meet national commitments both to WCPF Convention, and to other relevant MEAs, and global treaties and conventions.	Reports of the Commission and its Committees show that within 30 months of the Project inception the Commission is functioning with a full programme of work in compliance and science. Commission reports show PacSIDS are effectively participating in Commission decision-making processes. Independent assessments show that national capacities significantly improved to meet commitments to Convention and to undertake MCS responsibilities.	Commission remains effective throughout project lifetime and beyond. Countries continue to meet financial commitments to Commission to ensure its sustainability. Enormous Convention area and project system boundary can be effectively monitored to ensure compliance. Programmes of information collection and data analyses can be sustained throughout and beyond project lifetime. PacSIDS able to participate in the Commission effectively.

Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
2.1 Legal Reform						

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
A strategy and workplan for activities on regional and national legal issues	Legal and technical reviews (regional and national) undertaken and results available to regional Legal Consultation. Consultation carried out.	<p>Most countries require significant assistance to review and reform their legislation to achieve compliance with Commission obligations. The legislation of 9 PacSIDS requires updating through the use of regulation and the remaining 6 will require a new act and regulations for this purpose.</p> <p>There is a lack of capacities in fisheries law and compliance.</p>	Legal reviews for all PacSIDS identifying the gaps which need to be addressed to ensure compliance with the Commission	Report of initial Legal Consultation (including review of national and regional legal status and structures) distributed to participants by month 20.	<p>Initial Regional Legal Workshop to develop a legal strategy of assistance, Port Vila November 2005</p> <p>Legal Reviews/Matrices with WCPFC implementation gaps analysis for all PacSIDS prepared for Annual SRMOWs 2007-9</p> <p>Regional Conference on Legal & Policy Trends in the Implementation of Int Fisheries Legislation, April 2008</p> <p>Regional Judicial Seminar, Palau, 2007</p> <p>Analysis of legal implications from decisions adopted by the Commission</p> <p>Guidelines for reviewing Fisheries Legislation</p> <p>Sub-regional PNA Legal Workshop 2009</p> <p>Legal Options for giving effect to WCPFC Obligations, Workshop, 2009</p> <p>Regional Port State Workshop & Niue Treaty Subsidiary Agreement Consultation, 2010</p> <p>Tuvalu Legislation & WCOFC Workshop, 2010</p> <p>National Legal Country Reports</p>	2.1.1 Wide range of activities undertaken, in some degree extending beyond the limited expectations of this output – 100%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
New draft laws, regulations, agreements & license conditions in line with WCPF Convention prepared and shared with PacSIDS	Templates for legal provisions necessary to implement Convention provided to PacSIDS. Legal reviews undertaken in PacSIDS which have not already updated their legislation.		Regional legislative template available for use by PacSIDS	Reports of national legal reviews show regional templates amended to reflect different national situations being applied for implementation of the WCPF Convention.	<p>Templates for legal provisions under preparation</p> <p>WCPFC Regulations templates for national legislative reviews</p> <p>National Reports on how to implement recent decision of the Commission available for XX all? countries</p> <p>Guidelines to legislate for sustainable fisheries</p> <p>Legislative Matrices for WCPFC outcomes</p>	2.1.2 Have not gone down the template route – too many differences between island states; instead have gone down a more bespoke route, with more generic guidelines; despite this, significant progress in all island countries in updating legislation and regulatory reform – 90%
Proposals for the Commission from Pacific SIDS for legal arrangements to implement the Convention	Legal reviews and studies on Commission and Convention issues undertaken and legal briefs for discussion in Commission and related bodies prepared and lodged with countries. Briefs discussed in PacSIDS consultations (see 2.1.1)	Comprehensive advice to PacSIDS during the negotiation of the WCPF Convention allowed for effective participation. This is expected to continue during the initial operation of the WCPF Commission	Effective participation by PacSIDS at the WCPF Commission	<p>Briefs on WCPF legal issues provided to PacSIDS by 30 months. Reports from regional Legal Consultations available by month 20.</p> <p>Records of PacSIDS consultations document discussion of Briefs and conclusions on PacSIDS policy for discussion of legal issues in Commission meetings.</p>	<p>Briefs on legal issues (Convention & CMM, interpretation, CNMs, observer status, sanctions process, status of AWs, IUU listing procedures) included in overall FFA briefs prepared for 6 WCPFC sessions and 5 TCC sessions as well as some SC issues.</p> <p>Briefs on legal issues also presented to 5 Annual MOCs and 9 SR-MOWs</p>	2.1.3 full continuation of support to Pacific SIDS on pre-Commission meeting briefings and much more – 100%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Training of policy makers and legal personnel in oceanic fisheries management legal issues	National and Regional legal training workshops carried out and assessed. Legal staff attached to relevant institutions and participating in analyses.	Limited capacity and few opportunities to discuss and develop national and regional positions on WCPFC issues	Greater number (X% increase?) of PacSIDS nationals versed in the oceanic fisheries and WCPFC issues	Reports of 2 regional legal workshop reports. Reports of 3 National legal training workshops carried out in each year of project, and 2 national legal staff attached to relevant institution per year.	Two regional Legal Workshops held (2005 and 2008) National Legal Workshops supplemented by SR-MOWs with major legal component - 9 workshops over 3 years, with all PacSIDS legal officials attending 3 SR-MOWs In-country Prosecutions & Dockside Boarding workshops, 2006 (2), 2007 (3), 2008 (2) National workshops on implications of the CMM (conservation & management measures), 2006 (5), 2007 (3), 2008 (3) , 2010 (2) Port State Enforcement workshop, 2006 Attachments 2006 (4), 2007 (1), 2008 (?), 2009 (6)	2.1.4 broadly the number of regional and national workshops, training and attachments has exceeded planned targets – 100% *Some gaps, missing data in quarterly reports
2.2 Policy Reform						
National oceanic fisheries management plans, policies and strategies	Plan/policy/strategy documents prepared, implemented and reviewed based on feedback and lessons	The implementation of Tuna Management plans varies across PacSIDS, many past due for review. The introduction of EBFM approaches will present further requirements in terms of management planning, policies and strategies	Policy reform and national policy management plans in at least half the PacSIDS	Management plans and policy/strategy documents prepared or revised in at least 6 PacSIDS by month 30. Project documentation shows significant policy reforms in at least 50% of PacSIDS by end of Project.	EAFM analyses and TMP revisions prepared in 13 of the 15 PacSIDS. (19 in-country session). Sol Is chose not to, PNG funded elsewhere and Fiji to be completed. Regional POA for sharks, generated NPOAs (PNG, Fiji) In-country advice on FM & deve issues in relation to CMMS, 2006 (3) In-country workshops on WCPFC. 2008, (3), 2010 (1)	2.2.1 project has met and exceeded target outputs, though not all countries have completed development of policy management plans – 100% * some gaps in data

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Strategies and specific proposals for the overall development of the Commission, including its Secretariat and technical programmes, and for Commission conservation and management measures	Briefing papers provided to PacSIDS on establishment of the commission and on regional conservation and management measures. Regional consultations and workshops on Fisheries Management undertaken annually.	Rules of Procedure and Financial Regulations adopted at the 1 st meeting of WCPFC following inputs from SAPI Project. No appointments to the WCPFC Secretariat, no WCPFC staff regs, subsidiary bodies, compliance, data or science programmes	Functioning WCPFC Commission	Reports of PacSIDS consultations show i) advice provided to PacSIDS on the development of Commission Secretariat and programmes annually in the first 3 years, and ii) advice provided annually to PacSIDS on regional conservation and management measures. Reports of Commission meetings document PacSIDS playing a major role in decisions relating to establishment of Commission Secretariat and programmes, and adoption of regional conservation and management measures.	Advice provided to PacSIDS in Briefs for 5 sessions of the WCPFC, 4 sessions of the Finance and Admin Committee, and 5 sessions of the SC and TCC covering i) Every aspect of the establishment of the Commission, including application of the Financial Regs, Staff Regs, Work Programme, Budget, Contributions, key appointments, strategic plan, etc. ii) Every conservation and management issue raised in the Commission including submission of 29 draft CMMs submitted to WCPFC sessions Reports on By-catch mitigation options for seabirds, turtles and sharks, options for bigeye and yellowfin & FAD management, striped marlin and bluefin, charter vessel control, PS closures & albacore & swordfish conservation, Special Requirements funds, catch	2.2.2 the Commission was up a running very quickly, and has a functioning, though lean, secretariat and suite of functional committees; the contribution of the PacSIDS to the operations of the Commission and its structures, the focus of output success, are substantial and effective – 100%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
					<p>retention, transshipment, VDS, LL fishery management, Regional Observer Prog, IUU fishing,</p> <p>Commission Record of Fishing Vessels, Cooperating Non-members, High Seas Pockets compliance, Charter Arrangements, Transshipment, Control of nationals (2006 - 10)</p> <p>Annual Management Options Consultations (2006 – 2010) including the development of SIDS proposals for CMMs at the Commission</p> <p>Southern Tuna (albacore) Management Workshop – WCPFC decisions, 2006</p> <p>Sub-regional WCPFC Workshops, 2007 (3) 2008 (3) 2009</p> <p>Analysis of management options for Pac SIDs input to the Commission, SC & TCC</p> <p>Advice of the establishment of the SPRFMO</p> <p>PNA papers on LL, PS fishery closures and overcapacity (2006)</p>	

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Identification of possible management options for seamounts, including compliance options	Technical studies on management of oceanic fisheries related to seamounts undertaken completed and circulated to stakeholders. Workshops undertaken for stakeholders on seamount management issues. Proposals based on outcomes of seamount policy and technical analyses considered by PacSIDS, and if appropriate, the Commission.	Technical & scientific studies to address the little knowledge of seamount occurrences in the region or their significance to the pelagic ecosystem pending. No seamount related management, policies or strategies have been discussed.	Development of management options for seamounts	Reports of technical studies sent to stakeholders by month 24. Reports of regional workshops document consideration of proposals for seamount-related management measures by end of year 4.	Commenced 2008 – revised activities & transfer of funds to SPC to engage a spatial analyst Literature review on pelagic LL around seamounts Information paper on options for management of pelagic LL fisheries around seamounts (2008) IUCN Technical Report on LL survey IUCN Technical Workshop Nadi 2010 (IUCN) Fact Sheets on Seamounts (incomplete)	2.2.3 Output remodelled when no-cost research vessel unavailable; remodelled workplan implemented and seamount management issues discussed at workshop – 85% *IUCN delayed start mid 2008. Work programme revised with the cancellation of the research cruise

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Training of policy makers, technical personnel and other Pacific SIDS stakeholders to increase understanding of sustainable and responsible fisheries	Regional Policy Consultation workshops carried out. TSC/USP training course developed and on offer. National Fisheries Management Seminars available and workshops carried out. Fisheries Management personnel on attachment to FFA. Study tours arranged to other Fisheries Commissions. Support given to relevant Ministerial meetings.	Limited opportunities (including academic) to promote the understanding sustainable and responsible oceanic fisheries wider amongst PacSIDS to build capacity	A wider and improved understanding of oceanic fisheries management and the ability to align national commitments to the Commission and other international treaties and conventions (in all PacSIDS?)	<p>Regional workshops completed by end of year 2. At least 4 training courses subscribed to by end of year 3. 6 National workshops and/or seminars on fisheries management completed by end of year 3. Project progress reports and technical reports lodged with PCU show 4 national fisheries management personnel attachments undertaken with FFA by end of year 3; 6 study tours completed to other fisheries commissions by end of year 4; and 2 Ministerial meetings relevant to Fisheries Management supported by end of year 4.</p> <p>Post workshop evaluation to indicate success of trainees in applying skills/knowledge gained from training</p>	<p>Experts Workshop, on WCPFC resolutions & obligations for SIDS, 2006</p> <p>Train Sea Coast Fisheries Management Course (USP) May 2007 & additional course July 2010</p> <p>EAFM Review Workshop 2009</p> <p>Special FFC (SIDS) Ministerial Meetings prior to WCPFC Annual session 2006 – 2010</p> <p>Management Options Workshops (2006 – 2010)</p> <p>Sub-regional WCPFC Workshops, 2007 (3) 2008 (3) 2009</p> <p>National Workshops, 2006 (4), 2007 (6) 2008 (2) 2009 (5)</p> <p>Attachments/study tours</p> <p>2006 (1) 2007 (6) 2008 (3) 2009 (5) 2010 (3)</p>	2.2.4 Wide range of training and workshop opportunities, strategy workshops, and ministerial meetings prior to WCPFC annual sessions; also attachments to FFA achieved and study tours, but not to other RFMOs – 95%
2.3 Institutional Reform						

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Strategies, plans and proposals for the reform, realignment and strengthening of national oceanic fisheries management administrations	Review the lessons and best practices in institutional reform carried out. Reviews of national fisheries management institutions carried out. National institutional reform workshops prepared and undertaken.	Lack of a comprehensive review of best practices in institutional reform in national fisheries administration and assessments of institutional capacity to meet WCPFC obligations	Identify and make preliminary assessments of PacSIDS that require institutional reform	Report made available to PacSIDS and to PCU on lessons and best practices in institutional reforms along with reviews of national institutions by end of month 30. Reports of 2 national reform workshops completed per year.	Report for Strategic Plan Workshop on lessons learned/best practices in Institutional Reform/strengthening of fisheries management agencies in the Pacific (2007) Scoping Reviews, extensive consultations, exit reports and Feasibility studies concluded in Nauru (with AusAID), Kiribati (Bilateral talks with AusAid) Fiji (Govt generated processes - partial funding) and Tuvalu (NZAid follow on?) NZAid IS/IR projects already commenced in SI & Cook Is (Note: institutional strengthening were wound down after departure of FMA and because of increased bilateral support)	2.3.1 workshop and in-country studies undertaken relating to 4 countries, and institutional strengthening projects initiated under other un-related programmes in Cook Islands and Solomon Islands; the output target materially met, but limited follow-on, and thus limited impact on development of institutional capacity – 90% - * Coordinating staff FM Advisor departs after 3 yr contract

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Processes for national consultation between stakeholders in oceanic fisheries management	National consultative process carried out between stakeholders. National ENGOs and INGOs given support to empower their participation in oceanic fisheries management	Systematic consultative processes for wider stakeholder participation in oceanic fisheries management generally weak across PacSIDS	Inclusive consultative processes for oceanic fisheries management addressed during institutional reform efforts (Which main stakeholder groups will be consulted? This could provide an opportunity to include a gender sensitive indicator, as requested by the MTR)	NCC reports show some form of consultative process in place in all PacSIDS by the end of the Project. Feedback from ENGOs and INGOs confirm that their participation has been strengthened in 50% of PacSIDS by end of year 3,	No NCC reports available. One was prepared in Nauru but is not on file. Vanuatu Fisheries consultations includes ENGOs & INGOs (2006) also invited participants from Tonga and Palau FSM, Tonga & Vanuatu national consultative processes Vanuatu Provincial Stakeholder Consultations Kiribati IS Workshop (including outer islands) - (2008) Planning meetings Fiji & Vanuatu Fisheries (2009) Review of Fiji Fisheries Organisational Structure Vanuatu Workshop (2009) Equipment/infrastructure support for small administrations only (Niue, Tokelau, Palau, Kiribati, Nauru & Tuvalu)	2.3.2 Little national enthusiasm for establishment of NCCs; some countries have held workshops that seek to widen consultative process, but these are the minority; some effort to support the smallest of the island countries – but mainly material support; there has been wider engagement with eNGOs and iNGOs, but these have not been systematised, or bedded in – 65%
2.4 Compliance Strengthening						

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Strategies, plans and proposals for realigning and strengthening national oceanic fisheries compliance programmes	Review the national compliance implications inherent in the Convention, and identify strengthening requirements for national compliance to meet these implications	Implications inherent in the Convention for national compliance unknown. WCPFC compliance programmes not yet operational	Strengthen national compliance programmes in some (Approx how many – this is too vague) PacSIDS taking into account requirements to meet obligations to the Commission	Report on national compliance implications of the Convention circulated to PacSIDS and presented to MCS WG by month 18. National reports provided to MCS WG show strengthening of compliance programmes in at least 50% of PacSIDS by end of Project.	<p>Strengthening Regional MCS Strategy preparation included national assessments for all Pacific SIDS of MCS effectiveness and priority needs</p> <p>Regional MCS Strategy adopted with major elements to enhanced MCS, integrated with FM planning and implementation and contribute to other strategic objectives in the Regional Tuna and Management Development Strategy</p> <p>*MCS programmes strengthen in XXX countries by over 50%</p> <p>Strengthening & realignment of national compliance programmes through combined legal & compliance workshops, 2006 (4) 2007 (4)</p> <p>Annual Briefs (2007 – 2010) analysis of compliance & technical related management options for PI input into the Commission</p>	<p>2.4.1 Plenty of relevant activity, and country reports to Commission indicate substantial changes in national capacity in area of compliance more than meeting the required output target – 90% -</p> <p>* further examination of national reports & other baseline data required to determine if this object/indicator has been met</p>

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
					<p>MCS managers take part in legal review workshops looking at existing laws governing national compliance</p> <p>MCS component of sub-regional WCPFC meetings (2006 – 2010)</p> <p>Development of National Plan of Action for IUU Cocks 2006</p> <p>Pacific Islands Evidence & investigation course (2007 – 13 FFA reps accredited)</p> <p>National workshops 2007 (2)</p> <p>FFA Business Plan incorporates development of regional placement plan (in response to the demand for 100% PS observer coverage PNA/Commission requirements) 2009</p> <p>National Implementation of WCPFC CMM 2008-01 on observers</p> <p>National reviews completed in countries where EAFM interventions made.</p>	

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Arrangements for regional coordination of monitoring, control and surveillance activities	Regional consultations to coordinate patrols (air and sea). Advice given on MCS coordination between PacSIDS and other stakeholder countries. Niue Treaty subsidiary arrangements prepared	Limited national capacity and shifting priorities of donor assistance for MCS activities including sea and air patrol capacity creates uncertainty for MCS programmes	Annual meetings of the Monitoring, Control and Surveillance working group and decisions on coordination of MSC regionally	Reports available of annual MCS WG meetings showing work on MCS coordination. Technical reports lodged with PCU document proposals for application of the Niue Treaty on MCS cooperation.	Annual MCSWG meetings held from 2006 – 2010 Sub-group of countries coordinating surveillance operations across national jurisdictions 2006 – 2010) Support for fisheries multilateral operations and aerial surveillance 2006 (3) Preparation of subsidiary agreements under the Niue Treaty (Palau, FSM, RMI, PNG, Kiribati, Cooks, Samoa, Vanuati, Ne Caledonia, Nauru, Tonga, Fiji, Tuvalu) Niue Treaty Subsidiary Agreement (revised) presented to FFC (2009) Multilateral subsidiary agreements for Niue Treaty endorsed (2007)	2.4.2 regular meetings of the MCS WG and presentation of reports confirming cooperation and coordination between PacSIDS and within the Niue Treaty; more recent integration of VMS, license and logbook data in system starting to be implemented by FFA – 95%
Strategies and proposals for regional compliance measures and programmes	Technical studies undertaken on compliance issues relevant to Convention. Meetings of PacSIDS MCS Working Group held. Reports on regional compliance issues prepared and presented to PacSIDS. PacSIDS follow up those reports with proposals in the Commission & its Technical & Compliance Committee.	Limited capacity to analyse compliance issues relevant to the Commission	Timely advice and assistance for PacSIDS on compliance issues in relation to the Commission and the regulation of fishing on the high seas	Technical reports on compliance submitted annually to PacSIDS MCS WG. Reports of meetings of the PacSIDS MCS WG, the Technical and Compliance Committee and the Commission document PacSIDS participation in establishing Commission compliance arrangements.	Development and implementation of a Regional MCS Strategy (takes into account emerging compliance issues at the Commission) Reports to 5 Pre TCC Commission FFC meetings (2006 – 2010) Reports to Pre FFC meeting on VMS & Data sharing (2006) Reports to 5 annual meetings for coordination of aerial surveillance in the Pac (part of MCSWG meetings) IUU Prosecutions Workshop (2006) Technical Studies completed on VMS support to the Commission & Observes (2009) Reports & advice to WCPFC subregional workshops on compliance issues in relation to the Commission (2007 – 2010)	2.4.3 regular meetings of MCS WG including presentation of reports on national and regional actions taken, and increasing coordination of responses; PacSIDS, supported by FFA and SPC, able to contribute fully to discussions and decision-making at Commission forums – 95%

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Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
Training of national compliance staff, especially in inspection and VMS	National courses and training on inspection, VMS and other MCS issues undertaken. National compliance staff attached to FFA and/or other established PacSIDS compliance and monitoring agencies.	Project design work identified lack of capacity in compliance as important constraints to achieving project objectives	Improved PacSIDS MCS capacity and effective participation on Commission compliance issues X national staff from Y PacSIDS trained	Reports provided to the PCU of 3 national courses provided each year on MCS issues, and 2 national staff attachments each year.	In-country Dockside Boarding & Inspection workshops to build national capacity in maritime enforcement 2006 (4), 2007 (4), 2008 (1) 2009 (1) National Fisheries Officers Surveillance Course (9 reps) 2009 Attachments 2006 (4) 2007 (1) 2008 (1) 2009 (2) 2010 (4)	2.4.4 workshops and attachments undertaken exceeding target requirements; national MCS capacities substantively improved – 95%

COMPONENT THREE - COORDINATION, PARTICIPATION AND INFORMATION SERVICES			
Outcomes	Target	Sources of Verification	Risks
Component Outcome 3 Effective project management at the national and regional level. Major governmental and non-governmental stakeholders participating in project activities and consultative mechanisms at national and regional levels. Information on the Project and the WCPF process contributing to increased awareness of oceanic fishery resource and ecosystem management. Project evaluations reflecting successful and sustainable project objectives.	Project achieving its objectives. Project implementation and management is fully participatory with appropriate involvement of stakeholders at all levels. Information access is transparent and simple. Information available is relevant and significant. Public awareness raising at national and regional policy level is effective. High project evaluation ratings.	Project Implementation Reviews and Project Performance Evaluations provide justification that project is successfully achieving its objectives and deliverables. These are supported by findings of the Independent Evaluations (Mid and Terminal). Stakeholders confirm transparent participation in the Project, and improvements in knowledge and awareness across all levels and sectors.	National commitment needs to be high to ensure fully participatory involvement in project over lifetime. Stakeholder commitment also needs to be high to ensure continued contributions, sometimes at own cost. Policy-makers are receptive to awareness-raising information and presentations.

Outputs	Indicator	Baseline	Target	Sources of Verification	Achievements	Assessment
3.1 Project information System						
Project Information System for capture, storage and dissemination of project data, lessons and best practices, and provision of information products	Project branding, webpage and document catalogue system developed. Webpage operational and updated. Project information materials available.	No systems in place.	Project information dissemination infrastructure in place	Webpage operational by month 6. Document catalogue functional on webpage by month 8. Webpage updated at least quarterly thereafter. Information downloadable from webpage.	http://www.ffa.int/gef/ operational from April 2006 & modified in 2008/09 Information or weblink uploaded on an as available basis	3.1.1 fully functional web presence up and running and upgraded; project information available on request; not so much focus on lessons learnt and best practice – 85%

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Knowledge management process identifying innovative, best practice and replicable ideas within the Project and relevant to the Project	Knowledge management strategy prepared and adopted.	No system in place for systematic dissemination of relevant information	Development of Knowledge management strategy adequately funded	Steering Committee reports show knowledge management strategy adopted by Steering Committee in year 2. Best practices etc, available on website by month 30.	Knowledge Management Strategy developed, Oct 2007 RSC Oct 2007 Cook Islands endorsed the implementation of recommendations in the KM Strategy for which there were sufficient funds	3.1.2 strategy developed, but little operational evidence of wide knowledge management and dissemination outside specific activity outputs – 60%
3.2 Monitoring and Evaluation						
Measures of, and reports on, overall project performance and delivery, including independent evaluations of the Project	Regular assessment and evaluations of performance and delivery as per UNDP and GEF requirements	Not applicable	Timely completion of all reporting and evaluation requirements Timely dissemination of results of monitoring and evaluation to stakeholders	Annual Review reports available. Independent evaluation in progress by end of year 3.	Annual Report March 2007 Annual Report, December 2009	3.2.1 Annual reviews prepared to check progress, plus Mid-Term Evaluation, plus Terminal Evaluation – 95% (I would rate it lower because one would like to see some data collation on outputs and outcomes following the logframe)
Analysis of process, stress-reduction, and environmental status indicators as per the GEF International Waters Operational Strategy	Process, Stress Reduction and Environmental Status indicators adopted. National review and assessment mechanisms in place by end of year 1.	IW Indicators yet to be adopted and assessed	Annual assessment and an independent review of the project IW indicators.	IW indicators assessed at national and regional level on annual basis. Information used in relevant reports to Commission to assist in assessment of national capacity building and response to Convention needs. IW Indicator assessment reviewed by Independent Evaluators by end of year 3.	Baseline Study & Performance Indicators for OFMP, November 2008 Revision of the Logical Framework Analysis, May 2009 Annual Report of Outputs (up until UNDP/GEF reporting format changed in 2009)	3.2.2 Baseline plays crucial role in updating and verifying indicator sets, and regular output reporting to RSCs; no real focus on using GEF indicators as at a national level to monitor capacity building and response to WCPFC needs – 60%
3.3 Stakeholder Participation and Awareness Raising						

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<p>ENGO participation and awareness raising in Convention-related processes</p> <p>Will media be involved in awareness raising?</p>	<p>Co-financing agreements in place with Pacific ENGO. An ENGO participating in Commission. Information packages circulated to ENGOs (including access to website). National and regional ENGO workshops carried out. Public Awareness materials developed and distributed. National fora for civil society participation organised.</p>	<p>No agreements in place</p>	<p>Concluded co-financing agreement completed with a regional ENGO</p>	<p>LoAs agreed and signed with ENGO by end of first year. ENGO participating in Commission by end of year 1. Distribution lists for project information include ENGOs, and ENGOs given access to website. Reports available for 2 ENGO workshops completed in year 2 and year 3. Public awareness material prepared by end of year 2 in coordination with ENGOs (and with their 'in-kind' input). 2 National meetings per year (after year 1) to involve civil society in oceanic fisheries management</p>	<p>LoA signed with WWF 21 November 2006 Attendance at WCPFC Annual Sessions and Technical Meetings (Meeting records) Fiji Workshop, April 2007 Solomon Islands Workshop January 2009 PNG Workshop, Jan 2009 Tuvalu Workshop, November 2010 Established OFM website Tuna Fact Sheets @ http://www.wwfpacific.org.fj/what_we_do/offshore_fisheries/</p>	<p>3.3.1 Formal linkage to WWF, and engagement in workshop programme; appropriate information exchange and participation in workshops and attendance at annual WCPFC meetings; rather less engagement with other eNGOs –75% (I would rate this lower because I would have expected national workshops for national fisheries & with the amount of money available there should be enough workshops and awareness regionally and nationally)</p>
<p>Support industry participation and awareness raising in Convention-related processes</p>	<p>Co-financing agreements in place with Pacific Industry NGO. An INGO participating in Commission. Information packages circulated to INGOs (including access to website) and national/regional INGO workshops carried out as appropriate.</p>	<p>No agreements in place</p>	<p>Concluded co-financing agreement completed with a regional INGO</p>	<p>LoAs agreed and signed with INGO by end of first year. Reports of Commission meetings show INGO participating in Commission by end of year 1. Distribution list for project information includes INGO and INGO and given access to website. Reports available for 2 INGO workshops completed in year 2 and year 3.</p>	<p>LoA signed with PITIA 29 August 2007 (PITIA operating in correspondence mode between 2007 and 2009) Attendance at the annual Commission and technical sessions AGM Meeting/Workshop Wellington New Zealand, May 2007 AGM/WCPFC Workshop, Nadi Fiji, July 2010</p>	<p>3.3.2 Engagement with industry body PITIA, and support to them to attend WCPFC meetings and workshops; but PITIA in reduced circumstances across much of this time, so questions about representativeness –85%(Could have been more involvement with the industry)</p>

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3.4 Project Management and Coordination						
Project Coordination Unit staffing and office	Project Coordinator and other PCU staff appointed. Necessary PCU support equipment procured.	No staff recruited or equipment purchased	Full PCU staff appointments and equipment procurement complete	Project Progress reports show Project Coordinator hired by end of month 3 of project implementation; all project staff on-board or hiring plan-strategy agreed ready for appropriate time by end of month 6; and equipment procurements agreed and processed (as appropriate and in accordance with budget) by end of month 6.	PC commenced 31 December 2005 & PFAO 6 February 2006. Equipment procurement completed within 6 months	3.4.1 targets met – hiring and equipment in place; a staff of two may not have been sufficient for this size and complexity of project – 100%
Arrangements for coordination between Implementing and Executing Agencies	Initial EA/IA consultations carried out. Necessary LoA finalised between EAs and IA. On-going consultations between EAs and IA throughout project lifetime	Consultations between IA & EA have not occurred	Consultations completed with record of meeting showing agreed actions.	LoAs signed by end of month 3. Records show regular communication between EAs and IAs as necessary on a day-to-day basis, including regular meetings of EAs and IAs in association with Steering Committee meetings	LoA signed between FFA and UNDP 13 July 2005 LoA signed with SPC (August, 2005) & IUCN (Jan, 2006) Regular communication between EAs and with IA. All attend RSC (see list of participants RSC records)	3.4.2 targets substantively met; not clear where co-financing partners come into the coordination arrangements – 100%

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Regional Steering Committee Meetings and Reports	Inception workshop carried out to begin project. Regular Steering Committees thereafter Level/quality of participation of participants at meetings and endorsement of committee meeting reports/minutes	No inception workshop or regional steering committees have convened.	Completed inception workshop and the annual convening of the project regional steering committee	Report of Inception workshop held within 4 months of project signature. Reports of annual Project Steering Committee meetings	Inception workshop held 31 August 2005 (record of proceeding) 5 Records of Proceedings for annual meeting of the regional steering committee (& records Approved Work Plans and Budget)	3.4.3 target substantively met – first indicator where a qualitative element is cited – 100%
National Consultative Committee Meetings and Reports	National Focal Points nominated and approved. National Consultative Committees active	No national focal points nominated and NCC not yet formed	National Focal point nominated and NCCs	PCU records confirm nomination of NFPs and advice of membership of NCCs NCC records also show NCCs meeting annually or more as required by each country.	National Focal Points nominated for all 15 Countries in 2005. No reports of NCC provided to the PCU	3.4.4 national focal points nominated for each participating country, but few if any NCCs formed, and very limited stakeholder consultation at national level – 60%
Reports on Project implementation, workplan and finances	Regular reporting as required by GEF, IAs and Steering Committee	No reports	Paper trail of completed implementation work plans and reports	UNDP and PCU records confirm timely preparation of Project Reports in accordance with project requirements	21 Quarterly Narrative Reports and financial acquittals and quarterly work plans submitted to UNDP 5 APR/PIR completed and submitted to UNDP/GEF	3.4.5 overly complex reporting obligations, but clear and complete reporting provided through quarterly reports and annual APR / PIRs – 100%