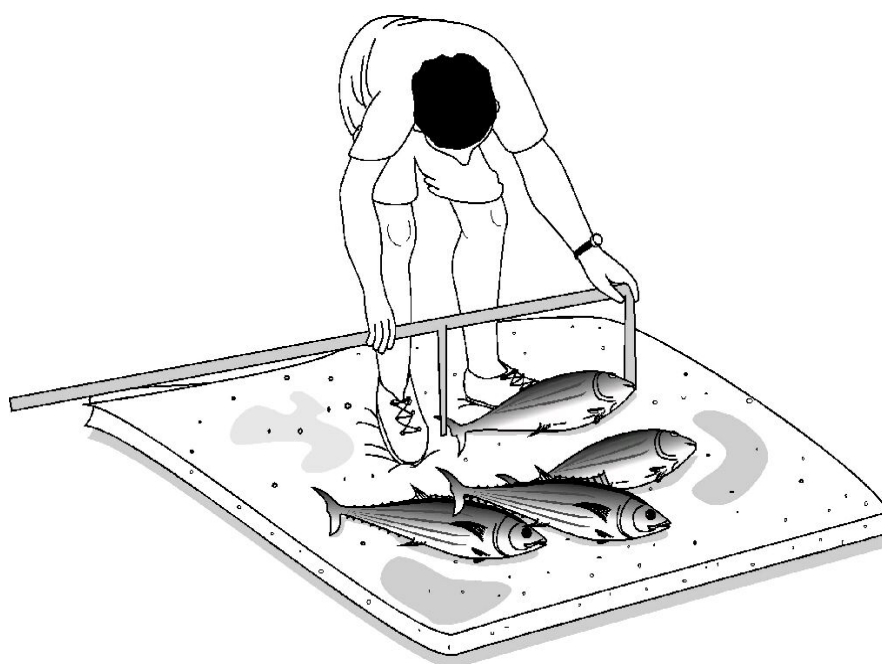


# **West Pacific East Asia Oceanic Fisheries Management**

## **Final Independent Evaluation Report**

**January 2013**



**Robert Gillett  
Gillett, Preston and Associates**

# Suva, Fiji

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## Project Information

Project Title:	West Pacific East Asia Oceanic Fisheries Management Project
GEFSEC project ID:	00071925
Countries:	Indonesia, Philippines, Vietnam
GEF Agency:	UNDP
GEF agency project ID:	4084
Executing partner:	UNOPS/WCPFC
GEF focal area:	International Waters
Evaluation time frame:	Late November 2012 to early January 2013
Date of evaluation report:	Draft report submitted January 4, 2013
Evaluation team:	Robert Gillett

## Project Summary

**Duration:** West Pacific East Asia Oceanic Fisheries Management Project (WPEA Project) officially commenced in January 2010, and will run through early 2013.

**Agencies:** The project funded by the Global Environment Facility, implemented by the United Nations Development Programme, and executed jointly by the United Nations Office for Project Services and the Western and Central Pacific Fisheries Commission. There is a substantial amount of co-funding (both grant and in-kind) from a variety of agencies.

**Environmental focus:** At the core of this initiative is the intention to improve the condition of the globally significant oceanic fish stocks and associated ecosystems of the western Pacific Ocean.

**Institutional change and capacity development:** The project seeks to promote these changes chiefly by improving the availability and quality of tuna fishery data in the three participating countries, upgrading national capability to handle and analyse the data, enhancing national fisheries governance institutions, and facilitating their participation in the competent international management regime. The project has a very strong capacity development focus.

**Project delivery:** The project is managed on a part-time basis by the Science Manager of the Western and Central Pacific Fisheries Commission. There are no full-time project staff.

## Acknowledgements

The author of this report wishes to express his gratitude to all who contributed their thoughts on the project and participated in the interviews associated with this evaluation. Special thanks for contributions above and beyond the call of duty to Antony Lewis (Project Technical Adviser), SungKwon Soh (Project Manager), Jose Padilla (UNDP Regional Technical Adviser), and Peter Williams (project consultant).

## **Abbreviations Used in this Report**

APR	Annual Project Report
AWP	Annual Work Plan
CO	Country Officer
EA	Executing Agency
EU	European Union
FAO	Food And Agriculture Organization of the United Nations
FAO	Fisheries Administrative Order
FFA	Forum Fisheries Agency
GEF	Global Environment Facility
IA	Implementing Agency
IPDCP	Indonesia & Philippines Data Collection Project
IUU	Illegal, Unreported, Unregulated (Fishing)
IW	Inception Workshop
IW	International Waters
IWP	International Waters Project
KLM	Knowledge Management
LME	Large Marine Ecosystem
Logframe	Logical Framework
M&E	Monitoring and Evaluation
MSP	Medium-Sized Project
OFP	Oceanic Fisheries Programme (of the SPC)
PIR	Project Implementation Review
PSC	Project Steering Committee
RFMO	Regional Fisheries Management Organization
SPC	Secretariat of the Pacific Community
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNOPS	United Nations Office for Project Services
WCPFC	Western and Central Pacific Fisheries Commission
WCPO	Western and Central Pacific Ocean
WPEA Project	West Pacific East Asia Oceanic Fisheries Management Project
WWF	World Wide Fund for Nature

## Executive Summary

### The evaluation

The objective of this evaluation of the West Pacific East Asia Oceanic Fisheries Management Project (WPEA Project) is to enable the GEF, UNDP and UNOPS to assess the project's relevance, efficiency, effectiveness, impact and sustainability.

The evaluation work commenced on 26 November 2012 and continued for 30 days, including a 10 day trip to Manila. All field work for the evaluation occurred in Manila during a series of meetings related to the Western and Central Pacific Fisheries Commission (WCPFC).

### Evaluation methodology

The Manila meetings enabled face-to-face interviews with many of the government project stakeholders in the three countries covered by the WPEA Project. In addition, it was possible to carry out discussions with WCPFC staff, UNDP staff, several of the consultants employed by the project, staff of relevant NGOs, specialists in monitoring/assessing Pacific tuna stocks, individuals involved in tuna fisheries from countries adjacent to the three project countries, and people closely involved in implementing a related GEF/UNDP project in the Pacific Islands. The interviews at the Manila fisheries meetings were subsequently complemented by telephone interviews with key people.

Much of the analysis of the this evaluation involved examining each of the seven stated outcomes of the project with respect to several factors:

- The key activities in support of achieving the outcome
- The associated logframe indicators/outputs
- Relevance
- Effectiveness
- Efficiency
- Long-term impact of project on the outcome

### Background context of project

The major threats to the globally significant tuna stocks in the western and central Pacific Ocean and their associated ecosystems are: (a) A high and expanding tuna catch in the area but incomplete scientific knowledge to make accurate assessments, with insufficient data from Indonesia, Philippines, and Vietnam being especially critical; (b) Fisheries governance mechanisms in the region which may be unable to prevent overfishing; and (c) Ineffective international coordination in fisheries management, at least partially due to insufficient participation by the three countries in the WCPFC.

It has long been recognized that a major constraint for the accurate assessment of stocks in the entire western and central Pacific Ocean (WCPO) is the lack of good data from the far western Pacific. The Scientific Committee of the WCPFC, which reviews stock assessments of the major species in the region, has repeatedly noted that the incomplete catch, effort and biological data for the Indonesia and Philippines components of the fishery remain the single largest source of uncertainty in assessing WCPO tuna, a major issue considering the global importance of those fish stocks. Although obtaining better data from Indonesia, Philippines, and Vietnam would permit the Commission to make better stock assessments in the larger WCPO area, it is critically important that those three countries develop management processes and institutions for their own purposes, such as resource conservation, food security, and economic development.

### Summary project

**of** The WPEA Project, funded by the GEF and several co-financing partners, is executed by UNOPS and WCPFC. It is aimed at building capacity in Indonesia, Philippines and Vietnam to fully engage in regional initiatives to conserve and manage fisheries for highly migratory fish stocks, by addressing tuna catch data gaps in the tuna fisheries of the WCPO, and by addressing compliance shortfalls through reforming policy, legal and institutional arrangements as per the various requirements of the WCPFC.

The objective of the WPEA Project was established to be: *“To strengthen national capacities and international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia (Indonesia, Philippines and Vietnam)”*.

To accomplish this objective the project was designed to encompass two main areas: (1) monitoring, data enhancement and fishery assessment, and (2) policy, institutional strengthening and fishery management.

**Rating the achievement of the project's stated outcomes**

Using relevance, effectiveness, and efficiency as criteria, each of the seven outcomes established for the WPEA Project were rated on a scale given in the evaluation's terms of reference. The results of this rating are:

1. Improved knowledge of oceanic fish stocks and related ecosystems: "highly satisfactory".
2. Reduced uncertainty in stock assessments: "highly satisfactory".
3. National capacities in oceanic fishery monitoring and assessment strengthened: "highly satisfactory".
4. Participant countries contributing to management of shared migratory stocks: "highly satisfactory".
5. National laws, policies and institutions strengthened to implement applicable global and regional instruments: "highly satisfactory" for the Philippines, and "satisfactory" for Indonesia and Vietnam.
6. Key stakeholders participating in the project: "highly satisfactory".
7. National capacities in oceanic fisheries management strengthened: "highly satisfactory".

**Overall effectiveness, efficiency, and relevance**

In examining effectiveness, efficiency, and relevance across all project outcomes, the evaluation concludes:

- The project has been extremely effective at achieving the outcomes established in the project document, certainly surpassing what could have been expected prior to the start of the project. The only disappointment involved the knowledge management systems – but this was to support an outcome that was effectively achieved by other means.
- With respect to efficiency of achieving the seven outcomes, the project was very cost effective. An important cost efficiency aspect of the WPEA Project that repeatedly emerged in the evaluation was taking advantage of experience of setting up similar monitoring and management programmes in the Pacific Islands area.
- A notable feature about outcomes established for the WPEA Project is that they were and remain all highly relevant to the country priorities. To a degree, the high relevancy was due to the talent of the architects of the WPEA project document, not the least of which is balancing country priorities with funding institution requirements.

**Sustainability of outcomes**

The evaluation examined each outcome from the perspective of sustainability. For two of the project outcomes, the risk to their sustainability is currently low. For others, the risk to sustainability is likely to be low at the conclusion of a planned follow-up project.

**Major achievements of the project**

Major achievements were:

- The remarkable progress made in moving towards almost all of the outcomes
- The generation of awareness on the part of government decision makers of the importance of monitoring/assessing the tuna resources and of participation in the WCPFC management process
- Movement on bringing the tuna fisheries in the three project countries into an improved international management regime covering the entire WCPO

**Major shortcomings of the project**

The major shortcomings were related to:

- The project's monitoring and evaluation system
- The establishment of a knowledge management system

**Important factors facilitating achievement**

The most important factors facilitating achievement appear to be:

- A very sound project document – a manifestation of diligent planning for the project by a very competent team
- The complementary skills, experience, and personalities of the Project Manager and the Technical Adviser, especially the knowledge of the Adviser and the persistence of the Manager
- The association with WCPFC, which had much to do with establishing stature and credibility to the project
- The respect for, and competence of, the international consultants
- The use of experience from carrying out similar work in the Pacific Islands
- Appropriate support from the UNDP Regional Technical Advisor

<b>Factors impeding achievement</b>	<p>The most important factors impeding achievement appear to be:</p> <ul style="list-style-type: none"> <li>• The short project period of three years, bearing in mind that a similar project in the Pacific Islands covered 11 years.</li> <li>• Although there was substantial co-financing for the project, the fact that much of it was promised, rather than secured, meant that it was difficult to plan for activities to be supported by that funding.</li> <li>• In the project document, (a) the lines of communication and responsibility were not very clear, and (b) the knowledge management component was not well-articulated.</li> </ul>
<b>Monitoring and evaluation system</b>	<p>Although the project did have an M&amp;E system and the M&amp;E arrangements agreed at the project's Inception Workshop were followed, the project does not appear to meet the minimum M&amp;E requirements established by GEF and UNDP.</p>
<b>Project management</b>	<p>The day to day management of the WPEA Project was effective – especially considering that the Project Manager position is part-time and the isolation of the WCPFC office from the three project countries. Factors contributing to the effective management appear to be the attitude of the Project Manager, the sound administrative/finance procedures of the WCPFC, and ready access to the UNDP Regional Technical Adviser (for funding agency and admin matters), to the WPEA Project Technical Adviser (for tuna monitoring/management matters), and to the Oceanic Fisheries Programme of the SPC (for tuna data and stock assessment matters).</p>
<b>Conclusion on project formulation</b>	<p>The project was very well-formulated, as evidenced by the quality of the project document. As expressed by one stakeholder in the region: “the right medicine at the right time”. It appears that these favorable project preparations could be largely attributed to an appropriate skill mixture in the design team, especially having individuals with GEF experience, regional knowledge, and a great amount of technical expertise in tuna monitoring and management.</p>
<b>Conclusion on project implementation</b>	<p>Project implementation was reasonably smooth, with an absence of major difficulties, as evidenced by the discussions at the Project Steering Committee. Minor difficulties were expected, encountered, and effectively dealt with. The day to day management of the project was effective, with responsible factors being the attitude of the Project Manager, the administrative infrastructure of the WCPFC, and ready access to administrative and technical support from very competent individuals.</p>
<b>Conclusion on project results</b>	<p>Overall, it is concluded that the WPEA Project has made substantial progress towards its objective. The national capacities of the three project countries and their associated international cooperation in the management of fisheries are certainly far stronger now than when the project began</p>
<b>Recommendations</b>	<p>Recommendations mirroring the above points are put forward in three categories: (1) good practices of the WPEA Project that could be useful to GEF and UNDP in the design of future projects, (2) Recommendations useful in implementing similar projects, and (3) Those related to a follow-up project.</p>
<b>Key lessons learned</b>	<p>The main lessons learned that could be applicable to other projects are:</p> <ul style="list-style-type: none"> <li>• A good project document, being the manifestation of good planning, can lay a solid foundation for the subsequent success of the project.</li> <li>• A baseline study (in this case status reports on national tuna fisheries) can evolve into a very useful product which can be significant, durable, and effectively serve several purposes.</li> <li>• For best results, the best must be hired: project managers should strive to obtain consultant input of the highest quality, rather than that which is just adequate.</li> <li>• For hard-to-achieve outcomes, the best approach could be to attack the issue early in the life of the project and constantly focus attention on the issue through a variety of interventions over an extended period.</li> <li>• Knowledge management is a specialty that requires certain skills and experience that not everybody has (just as, for example, fishery stock assessment) - and professional advice may be required for effective knowledge management in a complex multi-country project.</li> </ul>



## 1.0 This Evaluation

The objective of the final independent evaluation of the West Pacific East Asia Oceanic Fisheries Management Project (WPEA Project) is to enable the GEF, UNDP and UNOPS assess the project's relevance, efficiency, effectiveness, impact and sustainability. Additionally, it is intended that this work will provide useful information that the project countries can draw upon when formulating a follow-up project.

The terms of reference for the assignment (given in full in Annex 1) are oriented to producing:

- An appraisal of the relevance, effectiveness, and efficiency of project outcomes and objectives.
- A determination of the extent of achievement and shortcomings in reaching project objectives, and an identification of factors that have facilitated or impeded the achievement of the objectives
- An assessment of the likelihood of sustainability of outcomes at project termination, together with an analysis of the various types of risks (financial, socio-political, institutional/governance, environmental). The risks to the sustainability of project outcomes will be rated.
- An assessment of the long-term impacts and sustainability of results, especially the contribution to capacity development and global environmental goals.
- A description of any catalytic effects of the project
- An assessment of the monitoring and evaluation system of the project
- An assessment of processes affecting attainment of project results
- A identification of lessons learned, especially on project design, implementation, and management
- Recommendations

The evaluation was undertaken by a Fiji-based fisheries specialist, Robert Gillett. The work commenced on 26 November 2012 and continued for 30 days, including a 10 day trip to Manila. All field work for the evaluation occurred in Manila during a series of meetings related to the Western and Central Pacific Fisheries Commission (WCPFC): (1) WCPFC Management Objectives Workshop, 28-29 November; (2) WCPFC Finance & Administration Committee, 1 December; and (3) 9th Regular Session of the WCPFC, 2-6 December.

These large meetings<sup>1</sup> enabled face-to-face interviews with many of the government project stakeholders in the three countries covered by the WPEA Project. In addition, it was possible to carry out discussions with WCPFC staff, UNDP staff, several of the consultants employed by the project, staff of relevant NGOs, specialists in monitoring/assessing Pacific tuna stocks, individuals involved in tuna fisheries from countries adjacent to the three project countries, and people closely involved in implementing the related GEF/UNDP Pacific Oceanic Fisheries Management Project. The interviews at the Manila fisheries meetings were subsequently complemented by telephone interviews with key people in Indonesia (WPEA Project National Co-coordinator), Australia (former WCPFC Executive Director), and Denmark (UNOPS Senior Portfolio Manager), in addition to frequent communication with the WPEA Project Manager based in Pohnpei, Federated States of Micronesia and the Project Technical Adviser based in Brisbane Australia. All persons interviewed during the evaluation are given in Annex 2.

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<sup>1</sup> The WCPFC Regular Session with over 700 registered participants was the largest tuna management meeting in history.

The methodology of the evaluation also involved studying the documentation related to the WPEA Project. The project has produced a large amount of reports, some 70 of which were examined during the evaluation (Annex 3).

With regards to analysis undertaken by the evaluation, the terms of reference for this assignment states that assessment of project outcomes should be a priority. The TORs also indicate that criteria for the assessment are relevance, effectiveness, and efficiency. Accordingly, in Section 3 below each of the seven project outcomes is scrutinized from the perspective of relevance/effectiveness/efficiency and a few other factors thought to be important. This is followed by sections which analyze aspects that are more associated with the overall project than with specific outcomes.

While this methodology results in some repetition of some salient features of the project, this reiteration may be useful as it gives emphasis to those repeated points.

A limitation of the evaluation was that it was not possible to visit project worksites (e.g. port sampling operations) and interact with local participants and stakeholders. This made it more difficult to come up with empirical evidence to support claims in the report or examples of catalytic effects of the project. Another limitation was that, with the exception of the Philippines, the interviews were necessarily oriented to government stakeholders - due to the evaluation's reliance on the participants the Manila meetings.

The Project's annual budgets and expenditure reports were reviewed, but it should be noted that the scope of the evaluation does not encompass a financial audit.

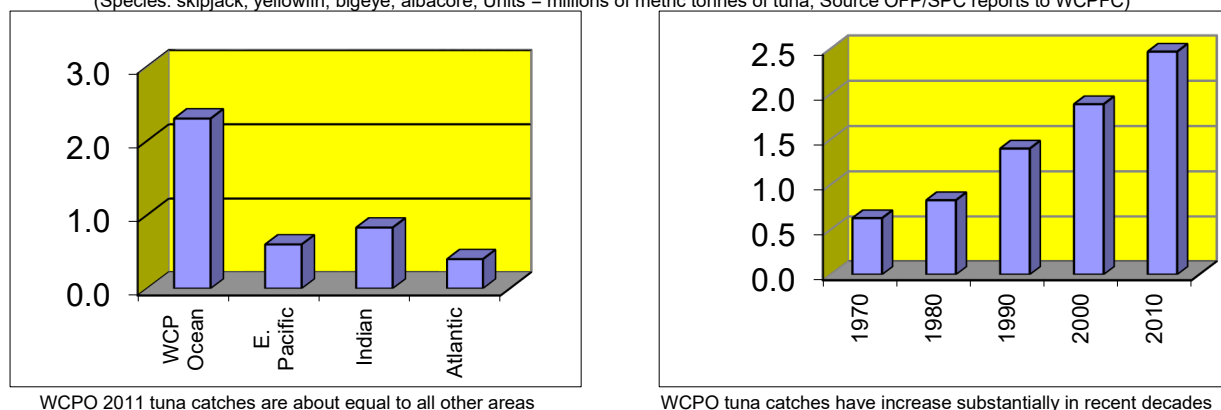
## 2.0 Introduction to the Project

### 2.1 Situation summary

The western and central Pacific Ocean (WCPO), including that of eastern Indonesia, Philippines and Vietnam is an oceanic region of great importance. Not only does this area have extremely high biodiversity, it also supports the greatest amount of tuna fishing in the world – which has been expanding rapidly over the past several decades. These features are reflected in Figure 1, showing that catches of principal market species of tuna in the WCPO approach those of all other regions in the world combined. The second graph shows another important aspect – that catches of those tunas have increased remarkably over the last four decades, causing some concern over the condition of the resource and adequacy of management mechanisms to assure sustainability.

**Figure 1: Tuna Catches: importance and growth of the WCPO tuna fishery**

(Species: skipjack, yellowfin, bigeye, albacore; Units = millions of metric tonnes of tuna; Source OFP/SPC reports to WCPFC)

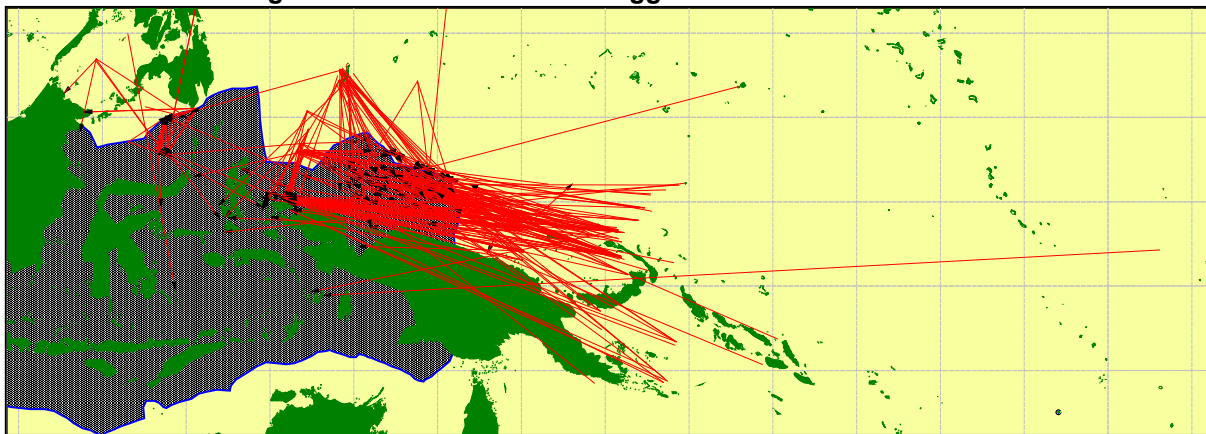


In the WCPO numerous efforts are underway to promote the conservation of the tuna resources and the associated ecosystems. A milestone was achieved when coastal states of the region and distant water fishing nations concluded the Convention on the Conservation and Management of Highly Migratory Fish Stocks in the WCPO, which entered into force in June 2004 - and established the Western and Central Pacific Fisheries Commission (WCPFC).

In recent years significant progress at national, regional, and international levels has been made to conserve the oceanic fishery resources of the central and western Pacific Ocean. This advancement has consisted of improvements to both scientific studies to monitor/assess the resources and to governance mechanisms to enable achieving conservation and other management objectives. This progress has not occurred evenly across the coastal states of the region – with the countries in the far west of the region lagging behind Pacific Island countries (PICs) and the developed countries of the Pacific rim.

Eastern Indonesia, Philippines and Vietnam are thought to be responsible for about 25% of the WCPO tuna catch – and there is strong evidence that tuna in these three Southeast Asian countries interact significantly with the fisheries of Pacific Island countries. The movement of tuna between these two groups of countries is demonstrated by tagging and subsequent recapture of fish (Figure 2).

**Figure 2: The Movement of Tagged Tuna in the Western Pacific**



Source: OFP/SPC; Straight lines between tagging point and capture (black arrow head).

Some important points related to the interaction of tuna fisheries in the region are:

- It has long been recognized that a major constraint for the accurate assessment of stocks in the entire WCPO region is the lack of good data from the far western Pacific. The Scientific Committee of the WCPFC, which reviews stock assessments of the major species in the region, has repeatedly noted that the incomplete catch, effort and biological data for the Indonesia and Philippines components of the fishery remain the single largest source of uncertainty in assessing WCPO tuna – a major issue considering the global importance of those fish stocks.
- Although obtaining better data from Indonesia, Philippines, and Vietnam would permit the Commission to make better stock assessments in the larger WCPO area, it is critically important that those three countries develop management processes and institutions for

their own purposes, such as resource conservation, food security, and economic development.

- Due to the amount of tuna resource interaction between Indonesia, Philippines, and Vietnam and those of the wider western Pacific, the tuna resources of those three countries cannot be efficiently managed in isolation from the larger WCPO stock that they form an important part of. International cooperation is therefore required.

The above points on the main species of tuna are also applicable to some degree to other components of the pelagic ecosystem, including the non-target species of fish, reptiles, birds and marine mammals, as well as fishery impacts on foodwebs and biodiversity.

With regards to the institutional situation, the WCPFC is the competent authority for international management arrangements for the tuna and related fishery resources of the central and western Pacific – but in varying degrees Indonesia, Philippines, and Vietnam are not fully compliant with requirements for membership in the Commission<sup>2</sup>. Another complexity is that in each of the three countries there is a national government agency with primary responsibility for fishery management, but this responsibility is shared with lower levels of government, creating jurisdictional issues that can complicate international management efforts. It should also be noted that there is a wide range in the capacity of the national/local agencies in the three countries to deal with tuna management issues.

Another important feature of the context of the project concerns the tangible incentives for achieving project outcomes. Enthusiasm for the project among stakeholders was bolstered by the realization that there are international tuna management obligations, that there are major gaps in satisfying those obligations, and (not the least) there is a possibility that commercial trade opportunities could be curtailed should the status quo with respect to resource management not be improved.<sup>3</sup>

To summarize, the major threats to the globally significant tuna stocks in the WCPO and their associated ecosystems are:

- A high and expanding tuna catch in the WCPO area but incomplete scientific knowledge to make accurate assessments, with insufficient data from Indonesia, Philippines, and Vietnam being especially critical.
- Fisheries governance mechanisms in the region which may be unable to prevent overfishing.
- Ineffective international coordination in fisheries management, at least partially due to insufficient participation by Indonesia, Philippines, and Vietnam in WCPFC, the regional management body dedicated to transboundary fishery resources.

## 2.2 Project history

The deficiencies of the tuna data from Indonesia, Philippines, and Vietnam have been long-recognized. In the early 2000s the Oceanic Fisheries Programme of the Secretariat of the Pacific

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<sup>2</sup> Philippines is a member of WCPFC (albeit with some membership requirement deficiencies), Indonesia is likely to become a member in a few months, and Vietnam aspires to membership (2015 has been stated by one government official as a target date).

<sup>3</sup> For example, the European Union's Council Regulation No 1005/ 2008 of 29 September 2008 establishes an EU system to prevent, deter and eliminate illegal, unreported and unregulated (IUU). That system can place sanctions (including import restrictions) on countries that contravene the rules of the competent regional fisheries management organisation, which in this case is the WCPFC.

Community (OFP/SPC) began some data enhancement work in the region under the Indonesia and Philippines Data Collection Project (IPDCP). In late 2005 the responsibility for that project was transferred to the newly formed Western and Central Pacific Fisheries Commission. Due to the magnitude and severity of the problem, it was decided that a larger initiative was required to improve the tuna data and management situation in Indonesia, Philippines, and Vietnam. An earlier GEF/UNDP project covering the Pacific Islands region of the WCPO (Box 1) generated considerable enthusiasm for a project with similar elements for Indonesia, Philippines, and Vietnam.

**Box 1: The GEF/UNDP Pacific Islands Oceanic Fisheries Management Project**

The GEF/UNDP Pacific Islands Oceanic Fisheries Management Project consisted of a Phase I (2000-2004) and a Phase 2 (2005 to 2011). Initially, the Project promoted regional inputs into drafting the Western and Central Pacific Fisheries Convention. Subsequently, the project assisted with:

- The ratification of the Western and Central Pacific Fisheries Convention
- The establishment of the Western and Central Pacific Fisheries Commission
- Supporting the South Pacific Small Island Developing States in engaging with and meeting the obligations of membership of the WCPFC, and
- Contributing to the knowledge and understanding necessary for the Commission and its membership to assess fish stock conditions and to making informed and responsible decisions about the management of those stocks.

The terminal evaluation of the Project was carried out in 2011. The report of the evaluation (Carleton and Vuki, 2011) indicated that the project's two greatest achievements were facilitating the establishment of the Commission and ensuring that Pacific Small Island Developing States were able to contribute fully to the deliberations of the Commission and to meet their membership obligations. The capacity building elements of the project have helped give representatives of those states 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 water fishing nations – and cited this as a major project benefit. Both of these achievements were underpinned by the stock assessment, scientific research and scientific advice provided through the project.

A proposal for a project covering Indonesia, Philippines, and Vietnam was submitted by the WCPFC Secretariat to the Global Environment Facility in late 2007. Following endorsement in principle, the GEF provided initial funding (US\$75,000), under their Project Preparatory Grant Facility, to support detailed design of the West Pacific East Asia Oceanic Fisheries Management Project (WPEA Project).

During 2008 under the supervision of an international consultant, national fishery resource specialists in each of the three participating countries developed a baseline profile of each country's tuna fishery. The main objective of that work was to identify critical gaps that could be addressed by a GEF-financed project. This enabled the preparation of a project document for the WPEA Project which was submitted to the GEF in late 2008. In March 2009 the WCPFC secretariat was advised of the approval of the project by the GEF with funding support totalling US\$1 million over three years commencing in 2009.

Other important events in the development and implementation of the project were:

- On July 3-4 2009 an inception workshop involving officials from the three participating countries and the WCPFC Secretariat was conducted at Cebu, Philippines.
- On 13 August 2009 the first meeting of the WPEA Project Steering Committee was held in Port Vila, Vanuatu.

- On 25 August 2009 an inception meeting was held with UNDP, Manila.
- On 6 January 2010 the project officially commenced when the last participating country signed the project document.
- In early January 2010 after lengthy consultations with each participating country the Project's annual work programme and budget was submitted by WCPFC to UNDP and UNOPS.
- On 15 September 2010 the UNOPS informed WCPFC that the UNOPS Contracts Committee accepted the WPEA Project annual work programme and budget and awarded a contract to WCPFC.
- The second to fourth annual meetings of the WPEA Project Steering Committee were held in August of 2010, 2011, and 2012 during annual sessions of the Scientific Committee of the WCPFC.
- In late November and December the terminal evaluation of the project was carried out.

## 2.3 Project activities

The activities of the project fall into several categories, generally corresponding to the specified outputs of the project. As each substantive activity was reported on, a list of the project activity reports (Annex 4) serves as an indicator of the numbers and types of activities carried out by the project. This is summarized in Table 1.

**Table 1: The Activities of the WPEA Project Grouped by Output Category**

Category of Activity	Number of Activities			
	Philippines	Indonesia	Vietnam	Total
Implementation of integrated fishery monitoring programmes for target and non-target species	15	14	19	48
Improved data for stock assessment	4	15	5	24
Training of national fishery monitoring and stock assessment staff	12	10	9	31
Review of policy and institutional arrangements for oceanic fisheries management <b>and</b> Strategy to support national reform	4	6	8	18
Implementation of the WCPF Convention and related instruments	1	2	2	5
Knowledge management system for dissemination of Project-related information, lessons and best practice <b>and</b> Establish Tuna Associations (Vietnam, Indonesia) to fully involve industry	2	4	2	8
Development of National Tuna Management Plans or revision of existing plans	3	5	3	11

Some notable features of the activities (to be elaborated later in the report) deserve to be mentioned. There was a large number of activities carried out in the period between the project's inception workshop (July 2009) and when GEF funds became available (September 2010). Another significant attribute of the activities is that many were oriented to enhancing national capacity. To underscore this point, the large number of meetings, workshops, conferences, and training courses conducted by the project are detailed in Annex 5. In summary, during the project:

- Indonesia carried out 31 such capacity-enhancing activities, with a total of 540 national participants
- Philippines - 19 activities and 478 participants

- Vietnam - 25 activities and 408 participants

The various activities of the WPEA Project are well documented – the project has produced a large number of reports, some 150 according to the Project Manager. The most substantive and/or enduring documents appear to be:

- National tuna fishery profiles These documents describe existing fishery monitoring capacity and data holdings, capacity to assess the status of stocks summarise national policy relating to the development, conservation and management of tuna stocks, outline institutional arrangements and summarise activities by government, non-government agencies, industry associations and others with an interest in the tuna sector. The profiles serve several functions including establishing project baselines, identifying gaps that need to be addressed, justifying budgets, and creating an awareness of critical issues (e.g. turtles, sharks).
- Reviews of policy, legal, and institutional arrangements These reviews are an important fundamental activity for improving both domestic and international fishery management arrangements.
- National tuna management plans Experience from other regions suggest that these plans provide a degree of transparency to the fisheries management process (which is often nebulous in many countries), as well as promoting a stable/reliable set of policy measures.

## 2.4 The WPEA Project Steering Committee

An important annual activity of the project at the policy/administrative level is the meeting of the Project Steering Committee. The results of those meetings are summarized in Table 2.

**Table 2: Summary of the Meetings of the WPEA Project Steering Committee**

	<b>Major Decisions/Announcements</b>
<b>First Meeting</b>  Aug 2009 Port Vila	<p>The meeting formally agreed to the re-designation of the IPDCP Steering Committee as the WPEA Project Steering Committee.</p> <p>A summary of Project-related activities during the last 12 months, including a summary of activities undertaken under the auspices of the Project Preparatory Grant (PPG) which was used to draft the Project Document, was available to the meeting.</p> <p>It was noted that outstanding work included the finalization of annual work plans by Indonesia, the Philippines and Vietnam, the establishment of financial, administration including audit arrangements for each country and the convening of a Project Appraisal Committee by UNDP (Manila).</p>
<b>Second Meeting</b>  Aug 2010 Nuku'alofa	<p>It was noted that the Project officially began on 6 January 2010.</p> <p>It was noted that countries need to submit draft 2011 work plans (based on the 2010 work plan templates) by the end of August 2010.</p> <p>It was recognized that the project would need to be continued in an expanded form through an application under the new GEF funding period. On that basis the WCPFC Secretariat will submit a project identification form, which is the first necessary step in seeking funding from the next International Waters Project funding tranche. The PIF has been circulated informally; this will need to be endorsed, and if approved by GEF, will lead to preparation of a full project document. The PIF, would need to be formally endorsed by the three WPEA countries in the near future.</p> <p>The representative from Australia commented that AusAID was very pleased to be able to contribute to the project, and would consider providing additional funding, especially for capacity building.</p>

	Major Decisions/Announcements
<b>Third Meeting</b>  Aug 2011 Kolonja	<p>The UNDP representative informed the Steering Committee of the need to report in-kind funding provided by the project countries. This is best achieved by providing dollar equivalents for in-kind services as appropriate. The Chair concluded that the project finances are sound but notes the need for further clarity in the reporting of in-kind funding by country partners.</p> <p>Regarding the financial audit of this project, the Commission's own independent annual audit investigated all projects including the WPEA Project. Noting that the current Commission audit finds the Commission finances (including those of this project) to be in good order, the Steering Committee considers that the audit requirements of GEF have been met.</p>
<b>Fourth Meeting</b>  Sept 2012 Busan	<p>Two questions were posed by UNDP to each country partner: 1) What is the status of the national tuna fisheries management plan? 2) Is the data collected in this project incorporated in national tuna statistics? Each country responded.</p> <p>The PSC agreed that the project will finish on schedule in early January 2013, and a no-cost to GEF extension will continue from 1 January 2013 until the second phase project begins, utilizing co-financing funds. WCPFC will administer and manage this activity. Since the bridge funding utilised non-GEF funding there was no requirement to report formally on the project progress during the carry over period, but there will be a final APR/PIR for the period July 2012 – June 2013.</p> <p>UNDP indicated that the proposed successor to WPEA Project will come under the umbrella of the East Asian Seas, and the objectives of each project should correspond to those of the umbrella project. The concept for the successor project to the WPEA Project may be submitted within 6 months after GEF Council approval of the EAS Regional Program, and a project preparation grant may be requested. This will provide funding for the design of project activities and finalization of a project document. The concept will have to be discussed with each country in the process of seeking formal endorsement from each country's GEF focal point.</p>

## 2.5 Project concept and design

Although the project is set in a complex situation with respect to the management of wide ranging oceanic resources, and associated threats, institutions, and international arrangements, the basic approach of the project was straightforward:

- Following from a general realization of poor knowledge of the oceanic fishery resources and inadequate governance mechanism in the three project countries, the project built upon the administrative infrastructure of a small data improvement project covering Indonesia and the Philippines that was associated with the WCPFC.
- Coordinated by an international consultant, national fishery resource specialists in each of the three countries developed a baseline profile of each country's tuna fishery. That work allowed the identification of threats and a shared understanding of how targeted intervention by a GEF-financed project could address the threats. It also created a high-level awareness in the three countries of the need to make improvements.

The above resulted in considerable insight into the needs, opportunities and realities of addressing on a regional basis the major threats to shared oceanic fish stocks in the three countries. Following from this knowledge, the objective of the West Pacific East Asia Oceanic Fisheries Management Project was established to be:

*"To strengthen national capacities and international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia (Indonesia, Philippines and Vietnam)".*



To accomplish this objective the project was designed to encompass two main areas: (1) monitoring, data enhancement and fishery assessment, and (2) policy, institutional strengthening and fishery management. Within these two areas, seven main outcomes were articulated:

1. Improved knowledge of oceanic fish stocks and related ecosystems
2. Reduced uncertainty in stock assessments
3. National capacities in oceanic fishery monitoring and assessment strengthened
4. Participant countries contributing to management of shared migratory stocks
5. National laws, policies and institutions strengthened to implement applicable global and regional instruments
6. Key stakeholders participating in the project
7. National capacities in oceanic fisheries management strengthened

At a higher level, it was intended that improving data/assessment and governance in the three project countries would allow for a more functional WCPFC – the management regime covering the entire western and central Pacific Ocean. Global environment benefits would accrue from improvements to the management of this globally significant fishery resource.

In terms of design changes, there were no formal alterations to the project document during the three-year life of the project. No major problems and no need for modification of the project design were brought to the attention of the WPEA Project Steering Committee.

## **2.6 Project administration arrangements**

The project is executed by UNOPS in cooperation with the Western and Central Pacific Fisheries Commission and its Secretariat. The day-to-day operations of the project are managed by the WCPFC Science Manager, on a part-time basis – assisted by the WCPFC Financial and Administrative Officer.

The project is guided by a Project Steering Committee. The Committee's mandate, according to the project document, involves (i) helping the project achieve its goal; (ii) developing and strengthening partnerships for the achievement of the project's goal, (iii) ensuring the project's results are taken up by the institutions represented in the PSC, (iv) supporting the identification and implementation of policy reforms as advocated by the project, and (v) promoting the project's results and lessons learnt at national, regional and international levels. The Committee meets annually at the margins of the WCPFC Scientific Committee meeting. The membership, as confirmed during the 2009 Committee meeting, includes the three participating countries (Indonesia, Philippines and Vietnam), the WCPFC Secretariat, UNDP, UNOPS, GEF, and partner governments/agencies (including nongovernmental organizations).

At the country level, the project has National Tuna Coordinators. Their project responsibilities include coordinating the development of annual work plans, facilitating implementation of project activities, and liaising with WCPFC.

On an annual basis work plans are developed in each of the three countries and discussed with the WCPFC Secretariat. A budget allocation is made for each activity. These plans are passed to UNOPS and UNDP for their review and subsequent approval.

### 3.0 Appraisal of Outcomes

Several approaches to evaluating project outcomes are possible. Considering the type of project and the amount of information available for the evaluation, in this report each outcome is examined with respect to several factors:

- The key activities in support of achieving the outcome
- The associated logframe indicators/outputs
- Relevance
- Effectiveness
- Efficiency
- Long-term impact of project on the outcome
- Rating the outcome

Next, in Section 3.8 these factors above are individually viewed across all seven outcomes to identify any notable points that emerge.

#### 3.1 Outcome 1: Improved knowledge of oceanic fish stocks and related ecosystems

The outcome was intended to be achieved primarily through improvements to basic tuna catch data: its collection, handling, and processing, including quality and coverage. As these improvements were considered a fundamental foundation upon which the success of other project initiatives depends, there was substantial initial and continuing focus in this area – from the first year through the last. Over sixty port samplers were supported by the project in three countries as full-time employees. The main country-level activities were:

- Philippines: 15 activities of the project including annual workshops to review tuna data, technical reviews (Palawan catches, profile of Eastern Samar, logbook awareness), observer manuals, training on debriefing, and compilation of data/research inventory.
- Indonesia: 14 activities of the project including recruitment/training of enumerators, revising sampling protocols, port sampling in Bitung/Kendari/Sorong, annual workshops to review data, reports on status of data, and reporting on status of observer programme
- Vietnam: 19 activities of the project, including data collection workshops, annual catch estimate workshops, reports on national tuna landings, report on data collection/management responsibilities, awareness workshop for the strengthening of the logbook programme, training of enumerators, production of guidelines for sampling, study tour to Philippines, observer training, and observer manuals printed/distributed

In terms of logframe indicators/outputs associated with this outcome, almost all were carried out during the project. An exception is the fisheries observer work anticipated for Indonesia<sup>4</sup>. On the other hand, for Vietnam (where no project observer work was anticipated according to the logframe), progress was made on an observer programme. All three countries have implemented logbook programmes. To a large extent, the logframe output was achieved: tuna fishery monitoring programmes have been established or enhanced/expanded in each of the three project countries. However, a fully functional integrated tuna fishery monitoring programme for each project country will require longer-term efforts. Additional progress is required for the observer programmes (e.g. development of strategic plans) and the logbook programmes (improving low return rate).

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<sup>4</sup> Soh (2012) states that for Indonesia “No observer training was conducted by WPEA because of budget constraints.... full implementation of this programme requires a legal framework first and then sufficient amount of funding support.”

Improving the knowledge of oceanic fish stocks and related ecosystems is highly relevant to the three countries. Tuna fishing is an important activity in all three countries, but it is recognized that knowledge of the stocks is insufficient for effective management for conservation and other purposes. The existing information on tuna fishing activity is generally insufficient to meet international obligations – something which the governments of all three countries have indicated they aspire to.

In assessing the degree that the project “improved knowledge of oceanic fish stocks and related ecosystems”, the ambitiousness of this outcome should be noted. Indonesia produces more tuna from its waters than any other country in the world. Vietnam started the project at a very low level of knowledge of its oceanic fish stocks: FAO (2011) indicated that in the mid-2000s “Tuna catch data from Vietnam is non-existent”. The reality is that improving knowledge of oceanic fish stocks in project countries is a very challenging and long-term activity.

Nevertheless, the project did make a substantial improvement to the knowledge of oceanic fish stocks, albeit from very different baselines in each of the countries. As examples:

- Vietnam: In the pre-project period hardly any tuna data was available whereas national officials are now able to present their own detailed data at annual tuna data workshops. This improvement is emphasized in a remark in a review of the global tuna industry<sup>5</sup> which stated that in the period just prior to the WPEA Project: “Statistical data for both production and trade in Vietnam are limited, and, in the case of tuna, are restricted to export data (volume and value)”. During the final meeting of the project steering committee, the delegate from Vietnam emphasized that even five years ago, virtually no information was available on tuna fisheries in the country, but now due to the project it is recognized nationally as one of the most important fishery resources, after shrimp and catfish.
- Indonesia: Port sampling data have recently been judged to be of sufficient quality to be used in the WCPO-wide stock assessments<sup>6</sup>. Tuna catch data by gear type have recently become available.
- Philippines: Both port sampling and logbook data have recently been judged to be of sufficient quality to be used in the WCPO-wide stock assessments. Tuna catch data by gear type have recently become available.
- In 2008 neither Indonesia nor Vietnam made their “Annual Report to WCPFC on Fisheries, Research, and Statistics”. In 2012 both countries did so.

The stated outcome is not restricted to improved knowledge of the target tunas, but also that for the “related ecosystems”. The monitoring systems established or enhanced by the project encompass non-target species, and therefore information is acquired that could be used to gain some understanding of the wider ecosystem. This should be considered a relatively modest contribution to improving knowledge of a complex subject.

The establishment of tuna fishery monitoring to improve knowledge of the stocks was very cost-effective. Due to the nature of tuna, stocks cannot generally be monitored directly so gaining knowledge is largely through information generated by the associated fisheries. The cost efficiency

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<sup>5</sup> Hamilton, A., A. Lewis, M. McCoy, E. Havice, and L. Campling (2011). Impact of Industry and Market Drivers on the Global Tuna Supply Chain. Forum Fisheries Agency, Honiara.

<sup>6</sup> The assertion that the Indonesia/Philippines data is to be used in the WCPO-wide stock assessments is from P. Williams, Principal Fisheries Scientist at OFP/SPC – the agency providing scientific services to WCPFC.

aspect of the WPEA Project was that it took advantage of the experience of setting up similar monitoring programmes in the Pacific Islands area, and used advisors highly skilled in those programmes – eliminating the trial/error that has plagued some past efforts at setting up fishery data collection programmes (e.g. previous efforts in Vietnam by FAO/DANIDA). Although GEF funds for implementation were delayed significantly, the co-financing arrangements of the project permitted activities to efficiently proceed on schedule. Another aspect of efficiency is on the recipient side. The Indonesian National Tuna Coordinator states that a port sampling scheme has been established (“good basic model”) that can easily be replicated for other ports.

The long-term impact of the project on improving knowledge of oceanic fish stocks has been substantial. Solid foundations have been created or enhanced in the countries that allow for the collection of information on the tuna resource over the long-term (i.e. fishery monitoring systems). Perhaps more important for the long-term (but harder to substantiate) is the sentiment expressed by stakeholders that an awareness has been created within the government decision making process of the value of the data and necessity of continuing the collection of the information.

The outcome achieved by the project in improving knowledge of oceanic fish stocks and related ecosystems in the three project countries is rated as highly satisfactory.

### **3.2 Outcome 2: Reduced uncertainty in stock assessments**

The outcome was intended to be achieved through the use of the data from the newly established/enhanced tuna monitoring mechanisms, in conjunction with database training, annual catch estimate workshops, data audits, national data coordination, and reconstructing tuna catch histories. In general, this project outcome is to enable project countries to fully comply with the Commission's data requirements. To facilitate this work, one or two national tuna coordinators were hired in each country. Also included was tuna tagging (promotion of tag returns, production/translation/distribution of tag posters). The main country-level activities included:

- Philippines: Audit of port sampling data, annual catch estimates review workshops, data quality control training workshop, production of a national inventory on tuna data and research, and production of summary of tuna tag recoveries.
- Indonesia: Database training at SPC, annual catch estimate workshops, port sampling audit and workshop, compilation of data inventory, data quality control training workshop, and tuna tagging activities.
- Vietnam: Data quality control training workshop, consultancy to re-estimate total catch of tuna fisheries in Vietnam, attendance at SPC tuna data workshop, national tuna data coordination, and production of tag recovery poster.

In terms of logframe output/indicators associated with this outcome, all were carried out during the project: there was a substantial amount of training for improving data quality, and the national tuna coordinators were appointed who helped systematize activities related to data and research. With respect to tuna tagging activity, in each country the WPEA Project supported efforts to return tags that were released by tagging in the WCPO (including in Indonesia and Philippines) during 2006-2009<sup>7</sup>.

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<sup>7</sup> To clarify a point that is unclear in the project's logframe: according to the WPEA FM Project Manager and the Technical Adviser, there was never any intention in the project design to actually tag tuna during the project. The large scale tagging programme in the WCPO was essentially concluded before the WPEA FM Project was scheduled to start.

Is this outcome (“Reduced uncertainty in stock assessments”) relevant to the three countries? As with Output 1 (“Improving the knowledge of oceanic fish stocks”), reducing the uncertainty is very relevant to the three project countries as it gives additional knowledge on an important fishery resource in countries where fishing is very important. Going further, information from quantitative stock assessments becomes much more valuable than less analytical descriptions (e.g. trends in catch per unit effort) as the stock becomes more fully exploited and in need of conservation measures. In all three project countries, full exploitation of at least some of the tuna stocks is a growing concern. Accurate stock assessments are very relevant to the countries now – and are likely to grow in importance in the future as resource limits are reached.

Was the project effective in “reducing uncertainties in stock assessments”? Strong evidence of effectiveness comes from comparing the pre-project situation (mid-2000s, as given in the project document) to that of 2011 (as given in the Report of the Third Session of the WPEA Project Steering Committee<sup>8</sup>):

- Mid-2000s: “The Scientific Committee of the WCPFC, which reviews stock assessments of the major species in the WCPO, has repeatedly noted that the incomplete catch, effort and biological data for the Indonesia and Philippines components of the fishery remain the single largest source of uncertainty in current regional stock assessments”.
- 2011: Two OFP/SPC research scientists “explained that data, previously unavailable to the Commission from the countries concerned, is very quickly assimilated in stock assessments, and in turn reduces uncertainty in the regional assessments, since data issues in Indonesia and Philippines in particular had been key ongoing sources of uncertainty in these assessments. Noting that the assessments are regional, these data are important because they represent a very high proportion of the catch. Catches of bigeye had previously been overestimated, and corrected estimates have had an impact on the reported status of bigeye tuna stocks”

In view of the above, the WPEA Project’s efforts to reduce uncertainties in stock assessment should be considered very effective.

The project was quite efficient at addressing this outcome. Although GEF funds for implementation were delayed significantly, the co-financing arrangements of the project permitted activities to proceed on schedule. As was the case stated previously for Outcome 1, large cost-efficiencies were achieved because the WPEA Project took advantage of the experience in similar work in the Pacific Islands area, and used advisors highly skilled in those programmes.

With regards to the long-term impact of the WPEA Project on reducing stock assessment uncertainties, it can be seen from the above Steering Committee quote, significant improvements have already been made. Further positive impacts could be made by various enhancements: expansion of the geographic distribution of the monitoring, establishment of an effective fishery observer programme, and expansion of fishery monitoring to cover small-scale tuna fishing. National government support is critical for these enhancements and therefore for more certain stock assessments. Section 7 below explores further this topic.

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<sup>8</sup> WCPFC (2011). Report of the Third Session of the WPEA OFP Project Steering Committee. Western and Central Pacific Fisheries Commission.

The outcome achieved by the project in reducing uncertainty in stock assessments is rated as highly satisfactory.

### **3.3 Outcome 3: National capacities in oceanic fishery monitoring and assessment strengthened**

The outcome was intended to be achieved primarily through two means: (1) support for national stock assessment staff to participate in SPC's stock assessment workshops and subsequently sharing that experience with others through local stock assessment workshops; and (2) support for staff to attend the meetings of WCPFC Scientific Committee. The compilation of national fishery status reports (as per WCPFC requirements) was also intended to help achieve this outcome. The main country-level activities were:

- Philippines: Participation in workshops: SPC's 4<sup>th</sup>, 5<sup>th</sup>, and 6<sup>th</sup> tuna data workshops, ecosystem monitoring and analysis workshop, local stock assessment workshop, tuna fishery management workshop. Compilation of WCPFC Annual Report for 2010, 2011, and 2012. Production of draft and final Philippine tuna fisheries profile.
- Indonesia: Participation in workshops: ecological monitoring and assessment workshop, local stock assessment workshop, and tuna data workshop. Compilation of WCPFC Annual Report for 2011, and 2012. Production of profiles: Indonesia's tuna fisheries, national tuna fishery profile on the Celebes Sea and Pacific Ocean.
- Vietnam: Participation in workshops: WCPO tuna stock assessment workshop, tuna data management training, SPC's 5<sup>th</sup> and 6<sup>th</sup> tuna data workshop, Stock Assessment Data and Ecosystem Monitoring Training Workshop. Compilation of WCPFC Annual Report for 2010, 2011, and 2012. Production of tuna fisheries profile for Binh Dinh, Phu Yen, and Khanh Hoa

In terms of logframe output/indicators associated with this outcome, all were carried out during the project: training of national fishery monitoring and stock assessment staff was accomplished through (a) Data analysis and stock assessment training, (b) Database and analytical training, and (c) Preparation of national fishery status reports. Other types of training also contributed to the outcome. In fact, many of the large number of the meetings, workshops, conferences, and training courses conducted by the WPEA Project (Annex 5) were oriented towards the enhancing of monitoring and assessment skills.

With regards to relevancy, the strengthening of national capacities in oceanic fishery monitoring and assessment is very germane to the three project countries. This is due to the importance of the tuna resource in conjunction with insufficient resource knowledge and inadequate skills to acquire that knowledge. The need to satisfy international requirements (i.e. reporting analyzed information to the WCPFC) also plays a role in the countries' interest in strengthening these national capacities.

The project appears to have been effective at strengthening of national capacities in oceanic fishery monitoring and assessment. Because this subject is somewhat intangible, empirical evidence is not easy to collect. Nevertheless, indications that skills have been strengthened include:

- Prior to 2008 neither Indonesia nor Vietnam made their "Annual Report to WCPFC on Fisheries, Research, and Statistics". In 2012 both countries did so.

- The Philippine participant in the stock assessment workshop stated that she has acquired considerable additional assessment skills. The SPC staff running the workshop concurred with this claim. The supervisor of the Philippine participant has indicated that she now has much more confidence in her work – and is able to effectively debate with industry.
- During the most recent project steering committee meeting, the representative from Vietnam indicated that the regional standard tuna database has been installed, staff trained, and is now fully functional.
- The Indonesian participant in the stock assessment workshop was able, on return, to produce useful distributions of tuna catches.

The project was efficient at addressing this outcome – chiefly for the reasons cited above for other outcomes: large cost-efficiencies were achieved because the WPEA Project took advantage of the experience in similar work in the Pacific Islands area, and used advisors highly skilled in those programmes.

Some mention should be made of one aspect of efficiency. The project faces some difficult realities with respect to strengthening capacity in tuna stock assessment. This is a highly technical subject, taking years of education/experience to acquire proficiency – so realistically the contribution that the WPEA Project can make is limited. Also to be considered is that once the assessment skills are acquired by an individual, that person is likely to become subject to employment offers outside of the fisheries sector, or be promoted to a position within the fisheries sector with no involvement in actual stock assessment. In balancing these realities with the needs of the project countries, the WPEA Project appears to have taken the appropriate course – doing what it can with the idea that at least some strengthening will endure.

The long-term impact of the project on the capacity to monitor/assess is open to speculation. Much has already occurred and future impact is likely to be substantial – if the trained staff are retained within the fisheries sector.

Because the project has done much in strengthening capacity in monitoring/assessment – and appears to have no significant shortcomings - the outcome achieved is rated as highly satisfactory, with the realization that development of stock assessment capacity is inherently a long-term endeavor.

### **3.4 Outcome 4: Participant countries contributing to management of shared migratory stocks**

The outcome was intended to be achieved by reviews of (a) national policy and legal instruments, and (b) institutional arrangements – and formulation of strategies to support the reform. These reviews were followed up by workshops. The main country-level activities were:

- Philippines: A review of policy, legal and institutional arrangements for Philippine compliance with the WCPF Convention and identifying any shortfalls. The production of a guide for Filipino fishermen on WCPFC management measures.
- Indonesia: A review of policy/legal arrangements for WCPFC related matters and checklists of compliance shortfalls, and a workshop to examine/validate the results of the review.
- Vietnam: A review of the country's legal, policy and institutional arrangements in light of WCPFC requirements, and identifying any compliance shortfalls – subsequently a progress

report. The production of manual for fishermen on implementing WCPFC management measures.

In terms of logframe output/indicators associated with this outcome, these were:

- Review of policy and institutional arrangements for oceanic fisheries management: (a) Review of policy and legal arrangements for WCPFC-related matters; (b) Review of institutional arrangements
- Strategy to support national reform: Identify reform necessary to existing arrangements

The anticipated reviews were all carried out. The strategy aspect was covered in both the reviews (e.g. in the Vietnam review report there is a chapter on “Strategies on supplement and amendment of legal and policy frameworks on tuna fisheries management”) and in the workshops.

This outcome is highly relevant to the three project countries. While meeting international obligations could be considered enough to make this outcome very important, there are additional reasons for countries to be very interested in this topic. The tuna management regime of the WCPO is tightening and commercial opportunities for both tuna fishing and tuna trade may be jeopardized in the future should countries not participate in the concerned regional fishery management organization. On a different level, having effective legal and institutional arrangements in place to manage shared stocks is important for maximizing benefits to the countries.

Was the project effective in promoting the outcome “Participant countries contributing to management of shared migratory stocks” ? Country attendance at important WCPFC management meetings could be considered as a surrogate indicator of those countries participation in the management process:

- At the 4th Regular Session of the WCPFC Technical and Compliance Committee in October 2008 there were two representatives from the Philippines and none from Indonesia or Vietnam. By the 8th Regular Session of the Technical and Compliance Committee in October 2012 there were six representatives from the Philippines, one from Indonesia, and two from Vietnam.
- During the recent 9th Regular Session of the Commission in December 2012 the delegation of the Philippines participated repeatedly and vigorously in debates on tuna management. For the first time at a regular session of the Commission the delegate from Indonesia was awarded a seat at the main negotiating table and made interventions. The delegation of Vietnam to the session consisted of 5 people.

Although hard to demonstrate empirically, a message heard time and again during the evaluation was that a major achievement of the WPEA Project (and one that many outcomes depend on) was the generation of awareness on the part of government decision makers of the need to participate in the WCPFC management process and the political will to do so. Because this sentiment was so prevalent in discussion with stakeholders in all three countries, it is assumed that it has considerable validity.

An aspect of effectiveness that deserves mention is the timing. Compared to other activities of the WPEA Project, the reviews/workshops associated with this outcome have occurred relatively recently – and have not had much time to be assimilated and acted upon.



With regards to whether the project was cost-effective in promoting country participation in the WFCPC management process, when questioned no stakeholder interviewed during the evaluation could articulate more efficient arrangements than that of the project. Comparisons of effectiveness of the GEF/UNDP WPEA Project (GEF contribution US\$925,000) to the GEF/UNDP Pacific Islands Oceanic Fisheries Management Project (GEF contribution just under US\$11million) in terms of promoting management participation are difficult to make. The latter project involved 15 countries and a wider scope of activities, including the creation of new regional institutional arrangements.

As to the long-term impact of the WPEA Project promoting country participation in the WFCPC management process, the initial participation catalyzed by the project will probably generate at least some momentum of its own. With greater participation, the countries will likely more fully realize the benefits of full and continual involvement in the WCPFC management process. This is especially true for Indonesia and Vietnam – whose participation at the beginning of the project was not very large.

The success achieved by the project in promoting the outcome “Participant countries contributing to management of shared migratory stocks” is rated as highly satisfactory.

### **3.5 Outcome 5: National laws, policies and institutions strengthened to implement applicable global and regional instruments**

The outcome was intended to be achieved by preparing checklists of shortfalls in compliance with WCPFC requirements, in conjunction with the legal reviews conducted under Outcome 4. The main country-level activities were:

- Philippines: development and review of a consultancy report giving a matrix of WCPFC member obligations and the associated Philippine policy/law/institutional arrangements and review of the progress in addressing compliance shortfalls.
- Indonesia: development and review of a consultancy report giving compliance shortfalls from the review of policy and legal arrangements, and a subsequent revision of that report.
- Vietnam: development and review of a consultancy report on the review of legal, policy and institutional arrangements to address any compliance shortfalls related with Vietnam’s tuna fisheries in light of WCPFC requirements.

In terms of logframe output/indicators associated with this outcome, these consisted of “Implementation of the WCPF Convention and related instruments: Prepare checklist of compliance shortfalls”. These were carried out in each of the three countries.

The outcome is highly relevant for the three countries for many of the same reasons cited above for other outcomes: the importance of the tuna resources in conjunction with the obligation to satisfy international management obligations, the need to conserve the resource, and the desire to continue the international trade in tuna.

Was the project effective in promoting the outcome of “strengthening national laws, policies and institutions strengthened to implement applicable global and regional instruments” ? This depends on the country. In Indonesia and Vietnam the activities associated with this outcome set in motion a process to revise policies/institutions and especially laws – but the process is slow and tangible evidence that the desirable changes are being made is not yet apparent. The situation in Vietnam has been summarized as “a broad awareness has been created on what has to be done to ensure

compliance with WCPFC requirements and work has begun on legal instruments for tuna fishery management.”<sup>9</sup> In Indonesia discussions with government stakeholders indicate that the legal/policy work of the project has just been recently concluded and there has not been sufficient time for impacts to become apparent. The Indonesian Government did, however, issue a ministerial decree on a project-promoted concept: vessel logbook requirements.

In the Philippines there has been a substantial realignment of national legislation as a direct result of project activity and support. According to government fisheries officials, the best indication that the Philippines has made progress in complying with WCPFC requirements is the number and type of Fisheries Administrative Orders (FAO) issued recently by the Department of Agriculture<sup>10</sup>. The rate at which FAOs involving tuna fisheries are issued is an indicator of improvements to the policy and legal basis in fisheries management in the country. Since the WPEA Project began, a relatively large number of FAOs have been issued involving tuna fisheries (7 FAOs according to Box 2).

#### **Box 2: Recent Fisheries Administrative Orders Involving Tuna Fisheries**

- **FAO 236 s.2010:** Rules and Regulations on the Operations of Purse Seine and Ring Net Vessels Using Fish Aggregating Devices (FADs) locally known as Payaos during the FAD Closure Period as Compatible Measures to WCPFC CMM 2008-01
- **FAO 236-1 s.2012:** Extension of FAO 236 series of 2012: Rules and Regulations on the Operations of Purse Seine and Ring Net Vessels Using Fish Aggregating Devices (FADs) locally known as Payaos during the FAD Closure Period as Compatible Measures to WCPFC CMM 2008-01
- **FAO 238 s.2012:** Rules and Regulations Governing the Implementation of Council Regulation (EC) No. 1005/2008 on the Catch Certification Scheme
- **FAO 240 s.2012:** Rules and Regulations in the Implementation of Fisheries Observer Program in the High Seas
- **FAO 241 s.2012:** Regulation and Implementation of the Vessel Monitoring System (VMS) in the High Seas
- **FAO 244 s.2012:** National Tuna Fish Aggregating Device (FAD) Management Policy
- **FAO 245 s.2012:** Regulations and Implementing Guidelines on Group Tuna Purse Seine Operations in High Seas Pocket Number 1 as a Special Management Area

Source: BFAR (2012). Philippine Tuna Fisheries Profile. Bureau of Fisheries and Aquatic Resources, Department of Agriculture. West Pacific East Asia Oceanic Fisheries Management Project.

The WPEA Project appears to be cost-effective in promoting the strengthening of national laws, policies and institutions – no better way can be seen of carrying out work that is characteristically time consuming and requires high-caliber expertise. A notable point is that the project made use of the relatively efficient practice of having national consultants carry out the legal, policy and institutional reviews<sup>11</sup>, apparently without sacrificing quality. By contrast, past reviews of, for example, fisheries legislation in Indonesia by the Food and Agriculture Organization of the United Nations have relied on relatively expensive expatriate consultants. Similarly, the WPEA Project made greater use of national expertise than did the GEF/UNDP Pacific Islands Oceanic Fisheries Management Project in their legal/policy work.

<sup>9</sup> Personal communication: E. Molenaar, Legal advisor, Directorate of Fisheries, Vietnam

<sup>10</sup> FAOs are considered regulations under the Philippine Fisheries Code.

<sup>11</sup> For example, M.Kamil for the Indonesian review, N.Anh for the Vietnam review, and J. Batongbacal for the Philippine review.

As to the long-term impact of the WPEA Project promoting the strengthening of national laws, policies and institutions, a critical point is reached when legislation is actually modified. That step has been taken in the Philippines. There are indications that it may occur in Indonesia and Vietnam (e.g. suggestions that a process is underway) but it may take considerable time – which is not a fault of the WPEA Project, but is a reality of such work in those countries.

The success achieved by the project in promoting this outcome is rated as highly satisfactory for the Philippines, and satisfactory for Indonesia and Vietnam.

### **3.6 Outcome 6: Key stakeholders participating in the project**

The outcome was intended to be achieved by reviewing and enhancing tuna industry associations and establishing knowledge management systems in each country for project-related information. The main country-level activities were:

- Philippines: Review of the National Tuna Industry Council and a workshop on that review. Establishment of website for project information.
- Indonesia: Review of national-level tuna association activities and a workshop on that review. Establishment of website for project information.
- Vietnam: Review of structures and functions of Vietnam's national tuna association, and a study tour to Korea to investigate structure and functions of fisheries associations in an advanced distant-water tuna fishing country. The subject of tuna associations was covered as part of a workshop on policy/legal/institutional reform. Establishment of website for project information.

In terms of logframe output and indicators associated with this outcome, these were:

- Knowledge management (KLM) system for dissemination of project-related information, lessons and best practice: Establish appropriate KLM in all countries
- Establish Tuna Associations (Vietnam, Indonesia) to fully involve industry: National body coordinating provincial and national work

As the actual outputs related to the tuna industry component were somewhat different than that given in the logframe, some description is required:

- In Vietnam the project did not establish an association, but rather it provided recommendations to reform the structure and functions of the existing national tuna association.
- In Indonesia the project carried out a review that profiled existing tuna associations, and made recommendations for strengthening them, including the establishment of a cooperation national forum at national level.
- In the Philippines the project carried out a review of the National Tuna Industry Council to make it more responsive and proactive to the needs and issues of the Philippine tuna industry.

The outputs relating to establishing a knowledge management system are not well documented. With respect to project reports, it can be determined that:

- About 70 reports relating to the project were made available to this evaluation (Annex 3 of this report).

- In December 2012 a list of 145 WPEA Project reports grouped by project output (Annex 4 of this report) was compiled by the Project Manager.
- The project's progress report for July-December 2012 states that all the reports on the list above "are available (except three outstanding documents which will be available in January 2013). Key documents are posted at the Commission's WPEA Project website".
- As of December 21 on the WPEA Project website<sup>12</sup> there were 51 reports, including 14 from the earlier IPDC Project.
- The national websites established by the project do not appear to be faring very well. According to the Project Manager, the Indonesia website was hacked and then closed. In the Philippines the server has not been functional since the hosting agency moved to a new building.

Both knowledge management and enhancement of tuna associations are quite relevant to the countries, as well as the stated outcome of key stakeholder participating in the project. The project has been involved in a wide variety of project activities and many are both well-documented and of considerable use (or even essential) to the range of tuna stakeholders. Examples of these are the impressive national tuna fishery profiles and the national tuna management plans (more on these two types of reports later). Well-organized tuna associations (especially at the national level) are an important element of an effective fisheries management regime (i.e. an industry body that the government can engage with is essential). Therefore the two outputs and the associated outcome appear to be very relevant to the project countries. Having stated this, two observations should be made on this particular outcome:

- It seems somewhat anomalous to lump two very different outputs together: the establishment of tuna associations and establishing a knowledge management system – in order to produce the outcome of promoting stakeholder involvement in the project.
- A more logical arrangement with respect to achieving the project's overall objective would be to have three outputs (1) establishment of tuna associations, (2) establishing a knowledge management system, and (3) promoting stakeholder involvement in the project - and have those three outputs supporting the more desirable/enduring outcome of "key stakeholder fully involved in the fishery management process".

The project was very effective in achieving the nominal outcome of "Key stakeholders participating in the project" - and there is good evidence to demonstrate this. The participants in the meetings, workshops, conferences, and training courses conducted by the WPEA Project numbered over 1,400 people (Annex 5 of this report) and in each country represented a wide-cross section of important stakeholders.

Ironically, the alternative outcome proposed above ("key stakeholder fully involved in the fishery management process") was also achieved, especially from the Philippines perspective. Several fishery officials from the Philippines offered their view on successful aspects of the WPEA Project, with virtually all positive examples flowing from the project involving industry embracing more fully the fisheries management process (e.g. greater government/industry collaboration, improved catch data from industry, greater participation of industry in WCPFC meetings). In support of this claim,

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<sup>12</sup> <http://www.wcpfc.int/west-pacific-east-asia-oceanic-fisheries-management-project>

there were over 50 listed representatives of the Philippine tuna industry at the December 2012 meeting of the WCPFC.

Some comments need to be made on the output concerning the knowledge management system:

- According to the logframe, the knowledge management system output was primarily intended to promote key stakeholder involvement in the project. While the system could certainly stimulate such involvement, there are many more significant ways that such knowledge could improve the management process. A partial list would include creation of public awareness, generation of political will, retention of knowledge acquired by the project, and making the fisheries management process more transparent. In summary, knowledge management is critically important in a variety of ways for a project such as this that generates much useful information.
- Considering the amount of project knowledge to be managed, in conjunction with the fact that the project has been administered on a part-time basis by the Science Manager of the WCPFC (with many non-WPEA responsibilities), a commendable amount of organizing project-generated information has occurred – to the credit of the heavily burdened WCPFC Science Manager.
- Overall, however, the project had shortcomings in its quest to establish a fully functional knowledge management system. From the information available to the evaluation, it appears that the system established was largely limited to creation of national e-mail address lists and a listing of project reports with a few dozen of those placed on the WPEA portion of the WCPFC website. More could and should be done in this area (Section 14.3 below).

The project was very cost-effective in promoting key stakeholder participation in the project. Quite simply, by having a large number of meetings, workshops, and conferences and encouraging broad participation, many of the key stakeholders were brought into the process – at minimal extra costs to the project. At least some stakeholders who were sponsored by the project to attend workshops, later attended WCPFC meetings on their own funding, with WWF/Philippines being an example of this.

As to the long-term impact of the WPEA Project promoting key stakeholder participation in the project, this appears to have already morphed into stakeholder participation in the management process – which is likely to be enduring, because it is inherently in their self-interest to be involved. At the resource conservation level, with multi-stakeholder participation in the management process, successful conservation of tuna resources is more likely to be achieved.

In promoting the outcome of “key stakeholders participating in the project”, a rating of highly successful is deserved. The associated output on knowledge management systems deserves some mention - as it promotes many project outcomes, and indeed the overall project objective. It should be considered only moderately satisfactory as it had some shortcomings in terms of effectiveness.

### **3.7 Outcome 7: National capacities in oceanic fisheries management strengthened**

The outcome was intended to be achieved through the formulation or revision of tuna management plans. There was also the Workshop on Tuna Management on a National Level held in Palawan,

Philippines, with over 30 participants including representatives from the three countries. The main country-level activities included:

- Philippines: A workshop on updating of the national tuna management plan of the Philippines, and the production of a draft and final tuna management plan.
- Indonesia: A workshop on the development of national tuna management plan, the formulation of a tuna management plan for the Celebes Sea and Pacific Ocean, and the formulation of a national tuna management plan.
- Vietnam: A workshop on development of national tuna management plan, a draft and final national tuna management plan (Vietnamese), and a final plan in English.

In terms of the logframe outputs and indicators associated with this outcome, this was simply “Development of National Tuna Management Plans (Indonesia, Vietnam) or revision of existing plans (Philippines)”. This work was accomplished.

The strengthening of national capacities in oceanic fisheries management is highly relevant to the three project countries. This is largely due to the importance of the tuna resources in conjunction with a pressing need to participate more fully/effectively in the international management of those resources (i.e. WCPFC).

Was the project effective in achieving the outcome? The management abilities and experience in each of the project countries seem to have been enhanced during the period of the WPEA Project. This claim is based on the observations of many of the stakeholders interviewed during the evaluation – something that is largely anecdotal. In terms of empirical evidence to support this claim, the acquisition of complex skills such as those related to fisheries management is not a feature that is easily proven. Information which supports the positive outcome includes:

- During the evaluation in discussions with government fisheries officials from the three countries, it was noticed that they were quite aware of even the complex fisheries management concepts and issues being discussed at the WCPFC.
- During the evaluation in discussions with a range of stakeholders, there was often mention by project staff, other national delegations, and WCPFC officials that the three project countries (especially the Philippines) “have come a long way” in recent years in terms of competence in oceanic fisheries management.
- At the 9th Regular Session of the WCPFC in December 2012 the delegations of the Philippines and Indonesia were able effectively engage in debates on subjects important to the two countries.
- Several Philippine fisheries officials and one Philippine tuna industry representative indicated that an individual who has been involved in several of the project’s activities is now able to vigorously and effectively debate aspects of tuna management with industry – whereas in the past this did not occur.
- In examining the national tuna management plans prepared during the project (those for Indonesia/Vietnam), it is apparent that considerable fisheries management skills were required to formulate the documents (or were acquired during the formulation). This appears to be an indicator of capacity development: (a) Indonesia has had other but unsuccessful attempts to produce a national tuna management plan, and (B) In Vietnam prior to the project there appeared to be no awareness of the need for, or benefits of, a tuna management plan.

The Philippines is mentioned frequently in the above paragraph. It should be recognized that (as with several other project outcomes) the three project countries started at very different levels in terms of fisheries management capacity, and it is the change over the project period that is of key importance to this evaluation. The change in Vietnam is considered by several individuals familiar with the fisheries management situation in that country to have been quite positive (and one of the major achievements of the project), but in the short period of this evaluation, compelling evidence of the change was not readily apparent.

The WPEA Project appeared to be cost-effective in promoting the strengthening of national capacities in oceanic fisheries management. On one level (i.e. that of the project's logframe) it could be stated that the production of a tuna management plan is a very efficient teaching tool and by formulating such a plan, skills related to oceanic fisheries management were imparted cost-effectively. On a more realistic level, many of the activities of the project besides the management plans (e.g. activities associated with Outcome 4 and Outcome 5, especially the national fishery profiles) contributed to strengthening national capacities in oceanic fisheries management – and that is where much of the cost effectiveness appears to have come from (i.e. several activities promoting more than one outcome). In addition, as mentioned in many of the comments above on other outcomes, the project was able to borrow the experience from successes obtained in similar work in the Pacific Islands region, eliminating the need for costly trial/error work.

One possible criticism in terms of cost-effectiveness should be mentioned. The WCPFC Management Objectives Workshop was held just prior to the 9th Regular Session of the WCPFC in December 2012. The latter was attended by delegations from all three project countries, whereas the workshop (of obvious interest to all three countries) was not attended by the delegations from Indonesia and Vietnam. It seems as though, without very much additional cost, the WPEA Project could have engineered attendance.

As to the long-term impact of the WPEA Project strengthening national capacities in oceanic fisheries management, the comment is similar as that for Outcome 4: the capacity enhancement will probably generate at least some momentum of its own. With some national oceanic fisheries management capacity (at least part of which was generated by the project), there is likely to be greater realization within the countries of the need for, and benefits of, continuing to strengthen capacity in this area.

No major shortcomings of the projects efforts in promoting this outcome are discernable. The success achieved by the project in “strengthening national capacities in oceanic fisheries management” is rated as highly satisfactory.

### **3.8 Examining features across all outcomes**

In Sections 3.1 to 3.7 above the seven outcomes of the project were examined with respect to the associated project activities, logframe indicators/outputs, relevance, effectiveness, efficiency, long-term impacts, and their rating. In this section, these factors are viewed individually across each of seven outcomes (e.g. examining the relevancy aspect for all outcomes, etc.). Notable features that emerge are highlighted.

### **3.8.1 Activities/indicators/outputs in support of achieving logframe outcomes**

Considering the size of the project there have been a very large number of activities, and most have been well-documented (in many cases, both in English and the national language). The groups of activities that support an outcome invariably include a significant capacity development component, and the list of project meetings, workshops, conferences, and training courses is quite impressive. Other important aspects of the activities/indicators/outputs of the WPEA Project are:

- With very few exceptions, the indicators listed in the logframe were implemented and/or achieved. The observer work in Indonesia and (to a degree) establishment of national knowledge management systems appear to be the only obvious ones where progress was less than anticipated in the project document.
- The activities fall into two categories, which are associated with very different approaches: (1) those that require long-term nurturing by the project (e.g. port sampling, stock assessment training), and (2) those that are of a one-time nature or that can be revised periodically by the countries (e.g. reviews of WCPFC legal requirements in the content of national laws, tuna management plans).
- It is noteworthy that for the above category (1) activities, the WPEA Project's manner of working is through starting the activity early in the project's life, and focusing attention on the task over an extended period, with constant reinforcement from workshops, visits of specialists, attention of project supervisors, etc. – rather than attempting a simpler one-time intervention.
- There has been a large number of activities carried out between the project's inception workshop (July 2009) and the release of GEF funding (September 2010). This is impressive and a tribute to the adaptive management skills of project management – and to the ability of management to attract co-financing.

### **3.8.2 Relevance**

A notable feature about the WPEA Project's outcomes is that they are all highly relevant to the country priorities. To a degree, the high relevancy is due to the talent of the architects of the WPEA project document, not the least of which is balancing country priorities with funding institution requirements.

All seven outcomes are relevant for similar reasons: a realization of the importance of tuna resources in the country, in conjunction with the urgent need to establish effective monitoring and/or management systems. Those systems are required because to the need to know more about an important national fishery resource, to satisfy international treaty obligations, to fulfill an obligation to cooperate more fully with neighboring countries, or to allow continued access to important markets.

Relevancy can also be defined in terms of consistency with focal areas (as in the TORs for this evaluation). As indicated in the GEF CEO Endorsement Document, "The Project is consistent with the first objective of the IW focal area to foster international, multi-state cooperation on priority transboundary water concerns through more comprehensive, ecosystem-based approaches to management".



### **3.8.3 Effectiveness**

In examining effectiveness of the project in achieving the outcomes, the information in Sections 3.1 to 3.7 above leads to the conclusion of considerable effectiveness. The comments on the effectiveness for each of the seven stated outcomes can be summarized as:

1. The project did make a substantial improvement to the knowledge of oceanic fish stocks, albeit from very different baselines in each of the countries.
2. The project's efforts to reduce uncertainties in stock assessment should be considered very effective.
3. The project appears to have been effective at strengthening of national capacities in oceanic fishery monitoring and assessment.
4. The project was effective in promoting the outcome "Participant countries contributing to management of shared migratory stocks" as indicated by project country attendance at important WCPFC management meetings.
5. In Indonesia and Vietnam the activities associated with this outcome set in motion a process to revise policies/institutions and especially laws – but the process is slow and tangible evidence that the desirable changes are being made is not yet apparent. In the Philippines there has been a substantial realignment of national legislation as a direct result of project activity and support.
6. The project was very effective in the nominal outcome of "Key stakeholders participating in the project" - but knowledge management systems (an output to support this outcome) fell short of what was expected.
7. The management abilities and experience in each of the project countries seem to have been enhanced during the period of the project.

From the above it can be concluded that the project has been extremely effective at achieving the outcomes established in the project document, certainly surpassing what could have been expected prior to the start of the project. The only disappointment involved the knowledge management systems – but this was to support an outcome that was effectively achieved by other means.

A point concerning effectiveness should be noted. The WPEA Project has two major components: (1) monitoring, data enhancement and fishery assessment, and (2) policy, institutional strengthening and fishery management. As (2) is less tangible, it is more difficult to produce empirical evidence to support effectiveness of the project. In addition, some types of changes associated with (2) that are promoted by the project may require a relatively long period of time – not as a result of project inefficiencies, but rather because of certain realities. An example would be the long time involved in making improvements in fisheries management regulations within the Indonesian and Vietnamese legal systems.

### **3.8.4 Efficiency**

The discussions of efficiency of achieving the seven outcomes (Sections 3.1 to 3.7 above) lead to the conclusion that the project was very cost effective. In addition, several points emerged repeatedly in the discussions. These were:

- An important cost efficiency aspect of the WPEA Project was that it took advantage of the experience of setting up similar programmes in the Pacific Islands area, and used advisors

highly skilled in those programmes – eliminating the trial/error that has plagued some past efforts at setting up tuna fishery data and management programmes.

- Although GEF funds for implementation were delayed significantly, the co-financing arrangements of the project permitted activities to proceed efficiently on schedule.
- The project made use of the relatively efficient practice of having national consultants carry out the legal, policy and institutional reviews, apparently without sacrificing quality.

### **3.8.5 Long-term impact of the project on the various outcomes**

Substantial progress has already been made in all seven of the outcomes. On a different level, the WPEA Project is not really about attaining a point where the outcome can be considered “achieved”, but rather the outcomes are desirable conditions that can be continually improved and/or strengthened. For the long-term, the important aspect is to establish processes for this to occur.

For the data/monitoring/assessment aspect of the project, solid foundations have been created or enhanced. Whether they endure to be able to produce benefits over the long term depends on government support to the fledging monitoring/assessment after WPEA Project assistance ends.

For the component on strengthening of oceanic fisheries management, a critical point for long-term impact is reached when legislation is actually modified. This has occurred in the Philippines and there are indications that a process (albeit slow) is underway in Indonesia and Vietnam to reform legislation. The participation of the wide range of stakeholders in national level oceanic fisheries management and the participation of project countries in WCPFC-level activities is important for strengthening of oceanic fisheries management. This has been catalyzed by the project and will probably generate at least some momentum of its own in the long-term: with greater participation, the stakeholders/countries will likely more fully realize the benefits of full and continual involvement in the management process.

The examination of long-term impacts across the seven outcomes in Sections 3.1 to 3.7 above contains suggestions that an awareness has been created on the part of government decision makers of the need to continue both of the components of the project: data/monitoring/assessment and fisheries management. To assure long-term impact, additional work on demonstrating to governments the benefits of these components is warranted.

## **3.9 Rating the project's outcomes**

The rating of the project's outcomes in the above sections can be summarized as:

1. “Improving knowledge of oceanic fish stocks and related ecosystems” in the three project countries: highly satisfactory.
2. “Reducing uncertainty in stock assessments”: highly satisfactory.
3. “Strengthening capacity in oceanic fishery monitoring/assessment”: highly satisfactory, with the realization that development of stock assessment capacity is inherently a long-term endeavor.
4. “Participant countries contributing to management of shared migratory stocks”: highly satisfactory
5. “Strengthening national laws, policies and institutions”: highly satisfactory for the Philippines, and satisfactory for Indonesia and Vietnam.

6. “Key stakeholders participating in the project”: highly satisfactory The associated output on knowledge management systems (although not an outcome) should be considered only moderately satisfactory as it had some shortcomings in terms of effectiveness.
7. “National capacities in oceanic fisheries management”: highly satisfactory.

## 4.0 Assessment of Other Aspects of the Project

In the above sections aspects of the project that are closely tied to individual outcomes have been examined. In the next sections features that are more general to the whole project are analyzed. These are:

- The project document
- Achievement and shortcomings in reaching the project objective
- Sustainability and associated risks
- Long-term impacts
- Catalytic effects of the project
- Processes affecting attainment of project results
- The monitoring and evaluation system
- Project management

This is followed by summary sections: findings & conclusions, recommendations, and lessons learned.

## 5.0 The Project Document

The project document was well-formulated: a suitable objective, logical outcomes, and practical/feasible activities. During the evaluation it gradually became apparent that much of the success of the WPEA Project was due to having a well-crafted and technically appropriate project document as a foundation. From discussion with the individuals involved with project formulation, it appears that this came about by having an appropriate skill mixture in the design team, especially GEF experience, regional knowledge, and a great amount of technical expertise in tuna monitoring/management. The formulation also benefited from the earlier GEF/UNDP Pacific Islands Oceanic Fisheries Management Project.

Some of the positive design features of the WPEA Project, whose significance became apparent during project implementation, are:

- Close association to the WCPFC – The Science Manager of the WCPFC was designated as the WPEA Project Manager and meetings of the WPEA Project Steering Committee were held in conjunction with the annual session of the Scientific Committee of the WCPFC.
- Substantial co-funding – It was planned that several agencies make grants to the project.
- Project coordination - (a) National coordinators were appointed in each of the three project countries, assisted by a high-level consultant coordinator, (b) An existing project coordination mechanism (IPDC Project Steering Committee) morphed into the WPEA Project Steering Committee.
- Large capacity enhancement component – Training activities were incorporated into almost all components of the project.

The lack of major problems in implementing the project (as evidenced by discussions in the project's steering committee, Table 2 in Section 2.4) are at least partially due to a sound project document.

Very few faults could be found in the project document. The only ones that became apparent in the evaluation were:

- "Knowledge management systems" feature in the project document (both as an output and an indicator), but they are not well-defined. Partly as a consequence of this, there was apparently not much progress on this item – or if there was, the entity that did progress was unclear.
- As detailed in Section 3.6 above, in Outcome 6 of the project's logframe it seems somewhat anomalous to lump two very different outputs together: the establishment of tuna associations and establishing a knowledge management system – in order to produce the outcome of promoting stakeholder involvement in the project. A more logical arrangement with respect to achieving the project's overall objective would be to have three outputs (1) establishment of tuna associations, (2) establishing a knowledge management system, and (3) promotion of stakeholder involvement in the project - and have those three outputs supporting the more desirable/enduring outcome of "key stakeholders fully involved in the fishery management process".
- Considering that the project has no full-time manager or other staff, a greater articulation of responsibilities and lines of communication in the project document would have been useful and would have contributed to project efficiency.

## **6.0 Achievements and Shortcomings in Reaching the Project Objective**

### **6.1 Achievements**

The greatest achievement of the project is the remarkable progress made in moving towards almost all of the established outcomes. This is especially true for:

- Improved knowledge of oceanic fish stocks and related ecosystems
- Reduced uncertainty in stock assessments
- National capacities in oceanic fishery monitoring and assessment strengthened
- Participant countries contributing to management of shared migratory stocks
- National capacities in oceanic fisheries management strengthened

With regard to project achievements that have implications for sustainability of outcomes, in several of the above sections of this report there is mention that a major achievement was the generation of awareness on the part of government decision makers of the importance of monitoring/assessing the tuna resources and of participation in the WCPFC management process.

With regard to project achievements that have implications for global environmental benefits, Eastern Indonesia, Philippines and Vietnam are thought to be responsible for about 25% of the tuna catch in the WCPO – the world's most important tuna fishing area. The progress being made on bringing the tuna fisheries in the three project countries into an improved international management regime covering the entire WCPO is an achievement of global scale.

With regard to project achievements in areas where initiatives by other donors have failed to produce satisfactory results, the Indonesia national tuna management plan and the Vietnam fishery data collection programme should be considered as significant accomplishments.

It should also be noted that the project has been relatively successful at achieving “brand recognition”. Most national WCPFC delegations are familiar with the project, as well as tuna industry stakeholders in the three project countries. The International Seafood Sustainability Foundation (based in Washington DC) has made a symbolic co-financing contribution to the WPEA Project based on what they have heard.

With regard to discrete outputs, the following should be considered as major achievements of the project:

- The upgrading of tuna data in Indonesia and the Philippines - to the point that it can be used for regional stock assessments.
- The tuna fishery profiles produced for all three project countries. These documents served as project baselines, consolidated information, identified gaps, focused attention, and created awareness of important issues.
- The formulation of tuna management plans for Indonesia and Vietnam. The formulation process was a learning exercise for many national stakeholders and the products are very likely to bring a degree of transparency and stability to the fisheries management process.
- The reform of fisheries legislation in the Philippines - as evidenced by the number of Fisheries Administrative Orders bringing the country closer to compliance with WCPFC requirements.
- The increase in knowledge of the Vietnamese tuna resources and fisheries. Virtually no information was available on tuna fisheries in the country at the start of the project, but now tuna is generally recognized nationally as one of the most important fishery resources.

## **6.2 Shortcomings**

There were no substantial problems encountered in implementing the project. This is reflected in the meetings of the project steering committee – the forum for discussion of major project difficulties (Table 2 in Section 2.4). Minor difficulties are to be expected, especially considering complexity of the project and having a part-time project manager with little experience in UNDP/GEF administrative procedures. Attention by project management, together with strong technical backup from international consultants paid off. A sound project design (Section 2.5) undoubtedly also played a role.

The project did have some shortcomings with the stated output of establishing knowledge management systems. At least part of the difficulties comes from the project document not clearly defining what such a system is (Section 5). The priorities of the Project Manager and national coordinators also appear responsible.

It was envisaged that observer work be carried out in Indonesia. According to the project document: (a) “a small observer programme would be developed later in the project” and (b) “A strategic plan for observer programme developed and implemented”. No such work occurred.

Although insufficient funds have been cited as one of the reasons<sup>13</sup>, at least part of the difficulty was on the national side: a desire to focus on port sampling before moving into observer work and subsequently running out of time before project completion.

Considering the achievements of the project, the above shortcomings with knowledge management and observer work are judged to be relatively minor.

### **6.3 Factors facilitating/impeding achievement**

To avoid unnecessary repetition, the factors facilitating/impeding achievement of the project objective are covered in Section 10.2 below on factors and processes affecting attainment of project results.

## **7.0 Sustainability and Associated Risks**

The likelihood of sustainability of outcomes at project termination is conceivably threatened by a number of risks. These risks can be placed in four categories: financial, sociopolitical, institutional/governance, and environmental.

A discussion of the sustainability of project outcomes after GEF support ends should be preceded by an acknowledgement that a follow-up project is quite likely. According to UNDP staff, another GEF-funded intervention is anticipated. It would seem logical that such a project would be at least partly oriented to reinforcing those outcomes where risks to sustainability are greatest.

It should also be noted that in the WPEA Project, there are some outcomes that require constant inputs to maintain the outcome (e.g. tuna monitoring to reduce uncertainties in stock assessment), some outcomes can be achieved by a one-time intervention (e.g. strengthening of national laws), while others are intermediate (strengthening national capacities in oceanic fishery monitoring). In general, those outcomes that require constant inputs are the most susceptible to discontinuation after project termination.

Another feature of sustainability and associated risks is that the situations to some degree vary between countries. The conditions in Indonesia, the Philippines and Vietnam can be quite different, so it may be difficult to make generalizations. Nevertheless, Table 3 is an attempt to analyze the risks to sustainability of the seven outcomes of the WPEA Project.

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<sup>13</sup> The project's "Progress Report for July-December 2012" states that for Indonesia "No observer training was conducted by WPEA because of budget constraints. All costs inclusive of observer's salary, insurance, and traveling to accommodate fishery observers were calculated and it was much higher than this project can afford. Therefore, the implementation of observer programme in Indonesia should rely on funding support from the government budget."

**Table 3: Outcomes and Risks to Sustainability**

Outcome	Considerations on Risks to Sustainability
Improved knowledge of oceanic fish stocks and related ecosystems	<ul style="list-style-type: none"> <li>Requires tuna fishery monitoring in perpetuity</li> <li>Main risk is financial: governments will be required to finance tuna monitoring programmes. Alternatively, the risk could be considered institutional/governance as this involves prioritizing the budgets of government institutions</li> <li>The risk to sustainability is considered moderately likely at present, decreasing to moderately unlikely at the end of a three year follow-up project</li> </ul>
Reduced uncertainty in stock assessments	<ul style="list-style-type: none"> <li>Requires tuna fishery monitoring in perpetuity</li> <li>Main risk is financial: governments will be required to finance tuna monitoring programmes. Alternatively, the risk could be considered institutional/governance as this involves prioritizing the budgets of government institutions</li> <li>The risk to sustainability is considered moderately likely at present, decreasing to moderately unlikely at the end of a three year follow-up project</li> </ul>
National capacities in oceanic fishery monitoring and assessment strengthened	<ul style="list-style-type: none"> <li>Requires considerable training input, tapering off as a pool of skilled individuals is acquired.</li> <li>The risk to sustainability could be considered sociopolitical or institutional/governance: when stock assessment skills are acquired by an individual, that person is likely to become subject to employment offers outside of the fisheries sector, or be promoted to a position within the fisheries sector with no involvement in actual stock assessment.</li> <li>The risk to sustainability is considered moderately likely at present, decreasing to moderately unlikely at the end of a three year follow-up project as a pool of skilled individuals is acquired.</li> </ul>
Participant countries contributing to management of shared migratory stocks	<ul style="list-style-type: none"> <li>The WPEA Project generated considerable awareness on the part of government decision makers of the need to participate in the WCPFC management process and the political will to do so.</li> <li>The risk to sustainability is institutional/governance: government perceptions of the need to participate could change.</li> <li>The risk to sustainability is considered unlikely because (1) there would be considerable pressure on governments from commercial interests should governments decide not to participate, and (2) the initial participation catalyzed by the project has generated some momentum of its own; with greater participation, the countries will likely more fully realize the benefits of full and continual involvement in the WCPFC management process.</li> </ul>
National laws, policies and institutions strengthened to implement applicable global and regional instruments	<ul style="list-style-type: none"> <li>A critical point is reached when legislation is actually modified and that step has been taken in the Philippines. Therefore the risk to sustainability of this outcome is non-existent in that country</li> <li>In Indonesia and Vietnam a process has been set in motion to revise policies/institutions and especially laws.</li> <li>The risk to sustainability is of the institutional/governance type.</li> <li>The risk to sustainability is considered moderately likely at present, decreasing to moderately unlikely at the end of a follow-up project.</li> </ul>
Key stakeholders participating in the project [Alternatively (Section 3.6) Key stakeholders participating in the management process]	<ul style="list-style-type: none"> <li>The project promoted considerable participation of stakeholders in the project and in the management process.</li> <li>This participation is likely to be enduring, because an awareness has been created that it is inherently in their self-interest to be involved.</li> <li>There is very little risk to the sustainability of the outcome.</li> </ul>
National capacities in oceanic fisheries management strengthened	<ul style="list-style-type: none"> <li>The management abilities and experience in each of the countries were enhanced considerably during the project.</li> <li>This capacity enhancement is likely to have generated some momentum of its own: with some national oceanic fisheries management capacity is now greater realization within the countries of the need for, and benefits of, continuing to strengthen capacity in this area.</li> <li>There is only moderate risk to the sustainability of the outcome, decreasing to very little risk at the end of a three year follow-up project.</li> </ul>

From the above it can be seen that for two of the outcomes, the risk to their sustainability is currently low. For others, the risk to sustainability is likely to be low at the conclusion of a follow-up project.

Some mention should be made of mechanisms to reduce the risks that outcomes will not be sustained. In this respect, the project seems to have engineered a commendable number of mitigation measures:

- As mentioned in several sections of this report, the project has generated considerable awareness on the part of government decision makers of the importance of monitoring/assessing the tuna resources and of participation in the WCPFC management process. Consequently, this has increased the possibility that essential activities will receive government support after GEF support is withdrawn.
- It has also been noted in above sections that some of the outcomes are now to the point that they generate some momentum of their own. In the areas of national oceanic fisheries management capacity and in participation in the management process, initial enhancement activities supported by the project have led to realization of the need for, and benefits from, continued involvement.
- For the period after completion of the WPEA Project (January 2013) and the start of a follow-up project (likely to be late 2013) a substantial amount of money from co-funding remains to continue essential tuna monitoring work (e.g. wages for port samplers).
- By involving the range of stakeholders (including commercial interests) in various project activities, there is now a constituency aware of the need to see that outcomes are sustained. As an example, commercial interests are now cognizant that to assure access to certain tuna markets, their governments need to continue to enhance their participation in the WCPFC process<sup>14</sup> – and would certainly bring this to government attention should there be decreased participation.

Some thought should be given to additional mechanisms to reduce the risks that outcomes will not be sustained. In Section 14.3 below a study is proposed on the costs and benefits of continuing the tuna monitoring.

## **8.0 Assessing Long-Term Impacts**

Section 3.8.5 above gives some observations on the long-term impact of the project on the various outcomes. This section is oriented to assessing long-term project impacts.

An important point in assessing long-term project impacts is that the project has been able to compile very good baseline information in the form of tuna fishery profiles for the three countries:

- BFAR (2012). Philippine Tuna Fisheries Profile. Bureau of Fisheries and Aquatic Resources, Department of Agriculture, West Pacific East Asia Oceanic Fisheries Management Project.

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<sup>14</sup> As an example, Vietnam is the leading exporter of tuna loins to the European market with about a 25% market share. Should Vietnam not fulfill its responsibilities to furnish data of a suitable quality to the WCPFC, EU import regulations (such as Council Regulation 1005/2008) could conceivably halt that large commercial opportunity.



- DGCF (2012). National Tuna Fishery Profile on the Celebes Sea (FMA -716) and Pacific Ocean (FMA 717) Directorate General for Capture Fisheries, Ministry of Marine Affairs And Fisheries, West Pacific East Asia Oceanic Fisheries Management Project.
- Nguyen, V. (2012). Vietnamese Tuna Fisheries Profile. Department of Capture Fisheries and Fisheries Resources Protection, West Pacific East Asia Oceanic Fisheries Management Project.

As the reports are substantive documents (used for a variety of purposes, Section 2.3), the information they contain is likely to remain in the public domain and available for use in monitoring in the future.

A second important point in assessing long-term impacts is that one of the two components of the entire WPEA Project is geared to monitoring, data enhancement and fishery assessment – precisely what is required to detect any long-term changes.

Two different types of monitoring are of concern to gauging long-term impacts of the project, but may be confused: (a) monitoring the impacts of the project on tuna, and (b) monitoring the impacts of the project on tuna monitoring. Type (a) impacts are very long-term in nature – but could conceivably be done with the baseline and other data. Type (b) impacts could also be considered long-term, but are already apparent.

As an example of (b), the catch of bigeye in the WCPO has been monitored for decades - catches since 1960 are given in WCPFC (2012)<sup>15</sup>. The WPEA Project has been enhancing the monitoring of catches of tuna, including bigeye. The project-improved data on bigeye in Indonesia and the Philippines have been analyzed by SPC and consequently it has been detected that in the past those catches have been overestimated. The corrected catch estimates have been used in assessments and have had an impact on the reported status of bigeye tuna stocks.<sup>16</sup>

With regards to detecting long-term global environment impacts of the project, Section 6.1 above indicates that the “big ticket item” is bringing the tuna fisheries in the three project countries into an improved international management regime. It can be stated that the required changes constitute a very complex process and that project-generated information (e.g. checklists of changes required for WCPFC compliance) can give indications of changes towards the goal – but the project has not set up a formal mechanism to monitor such changes.

## 9.0 Catalytic Effects of the Project

As mentioned in the introductory section to this report, a limitation of the methodology used in this evaluation was that it was not possible to visit project worksites and interact with local participants and stakeholders (i.e. the field work was limited to discussions at the Manila meetings). This made it more difficult to come up with examples of catalytic effects of the project. Nevertheless, some cases where project interventions encouraged related work were encountered:

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<sup>15</sup> WCPFC (2012). Tuna Fishery Yearbook 2011. Western and Central Pacific Fishery Commission.

<sup>16</sup> Source: J.Hampton and P.Williams of OFP/SPC as given in “Report of the Third session of the WPEA OFP Project Steering Committee”.

- Philippine fishery officials indicate that the project's work on (a) the monitoring of industrial tuna fishery landings has led to WWF carrying out similar work for tuna fishing in the archipelagic zone: "Extending the WPEA process to internal waters", according to BFAR's Assistant Director for Administrative Services; and (b) formulating a tuna fishery profile has led to several revisions - a 6<sup>th</sup> version is now being completed.
- Indonesian fishery officials indicate that the project's work on (a) tuna port sampling in Bitung has led to a government initiative to establish a fisheries research institute in Bitung<sup>17</sup>; and (b) a tuna management plan for eastern Indonesia (the area covered by WCPFC) has been extended to all of Indonesia, including the Indian Ocean portion.
- Vietnamese fishery officials indicate that the project's work on (a) enhancing stock assessment skills has led to a researcher choosing tuna stock assessment as a PhD topic, and (b) tuna fishery monitoring has led to similar monitoring of other fisheries.

In a more general sense, the project's efforts to encompass a wide range of stakeholders has spawned an increasing interest of the private sector in WCPFC fisheries management activities – as evidenced by company participation in recent Commission meetings.

## 10.0 Processes and Factors Affecting Attainment of Project Results

There are a number of different types of processes affecting attainment of project results. These have been categorized in the evaluation's terms of reference as: preparation & readiness, ownership/drivenness, stakeholder involvement, financial planning and co-financing, effectiveness of UNDP/UNOPS, and delays. Although most of these are considered in other sections of this report, some of the important points are worthy of reiteration in Section 10.1, along with noting the sections of the report where they are located.

In addition, following from Section 6 above on achievements & shortcomings, it is believed that specific factors that are important in facilitating/impeding achievement of the objective should be highlighted – and are done so in Section 10.2.

### 10.1 Processes

Preparation and readiness: As indicated in Section 5, the project was well-prepared, as evidenced by the project document with its appropriate objective, logical outcomes, and practical/feasible activities – obviously crafted by a team very knowledgeable on the project countries, GEF, and tuna monitoring/management. The lessons from similar work in the Pacific Islands (Box 1) played a major role in the preparations. The project timeframe of three years was short to fully accomplish the objective (a similar project in the Pacific Islands spanned 11 years) – but this shortcoming was a result of the available donor resources, and not bad planning. Overall, the planning for the project was exemplary.

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<sup>17</sup> This is confirmed by Soh (2012) who states "A Tuna Research Station, funded by the government, will be established in Bitung in late 2012."

Ownership & drivenness: Section 3.8.2 above discusses this subject. The striking feature of the WPEA Project's outcomes is that they are all highly relevant to the country priorities. All seven outcomes are relevant for similar reasons: a realization of the importance of tuna resources in the country, in conjunction with the urgent need to establish effective monitoring and/or management systems. The important government official were involved with the project, and one of the reasons for success is thought to be the concept of appointing appropriate senior government officials as national project coordinators. Civil society groups did not take a high profile in the project, with the possible exception of WWF in Vietnam. The degree to which regulatory frameworks that are in line with the project's objective have been established due to the project varies between project countries, with the most in the Philippines and the least in Vietnam.

Stakeholder involvement: This was an important aspect of the project. In fact, stakeholder involvement was one of the seven stated outcomes. As detailed in Section 3.6 the project was very effective in promoting such involvement and there is good evidence to demonstrate this. The participants in the meetings, workshops, conferences, and training courses conducted by the WPEA Project numbered over 1,400 people (Annex 5 of this report) and in each country represented a wide-cross section of important stakeholders, albeit somewhat thin on non-governmental organizations. Another important aspect of stakeholder involvement was the use of national consultants whenever possible (Section 3.8.4).

Financial planning: The establishment of financial procedures, including audit arrangements for each country, occurred very early in the project, at the first meeting of the Steering Committee in August 2009. As reported during the third meeting of the Steering Committee in August 2011, the WCPFC's independent annual audit investigated the WPEA Project and found the finances to be in good order. Financial planning was hindered to some degree by the uncertain nature of the substantial amount of promised co-financing.

Co-financing: The details of promised and actual co-financing of the project are given in Annex 6 of this report. In summary, the total amount of co-financing promised was US\$3,667,431 and the actual was US\$4,393,594. For just cash grants (i.e. without in-kind contributions) US\$580,000 was promised and the actual was US\$1,015,094. The increases in the cash grants were due to a grant of US\$220,000 from the Government of Korea (Yeosu Project Fund), and smaller amounts from the Government of the United States, the Government of the Netherlands, and the International Seafood Sustainability Foundation. The co-financing actually received by the project exceeded significantly the co-financing amounts stated in the project document.

Effectiveness of UNDP and UNOPS: The strong technical and administrative support from the UNDP Regional Technical Advisor was mentioned by several stakeholders as an important factor in the project's success – and the evaluation concurs with this assertion. Due to WCPFC carrying much of the load for execution of this project, UNOPS did not have a major role. According to the UNOPS officer responsible for this project, their involvement with the WPEA Project “was not a typical UNOPS engagement”. The long period to approve the WCPFC contract for the project and release GEF funding (early January 2010 to 15 September 2010) was at least partially due to administrative inefficiencies within UNOPS.

Delays: The only significant delay in project implementation has been mentioned above: the lapse between the official start of the project and release of GEF funding. There was, however, a large number of activities carried out in that period. This is impressive and a tribute to the adaptive

management skills of project management – and to the ability of management to attract the co-financing that enabled those activities.

## **10.2 Factors**

Following from Section 6 above on achievements & shortcomings, this section is an attempt to identify specific factors that are key in facilitating and impeding achievement of the project's objective.

The most important factors facilitating achievement appear to be:

- A very sound project document – this is actually a manifestation of diligent planning for the project by a very competent team.
- The complementary skills, experience, and personalities of the Project Manager and the Project Technical Adviser, especially the knowledge of the Adviser and the persistence of the Manager.
- The association with WCPFC, which had much to do with establishing stature and credibility to the project. If the project had been similarly associated with another agency, such as FAO or SEAFDEC, the result would probably not have been nearly as good.
- The respect for, and competence of, the international consultants employed on the project.
- The use of experience from carrying out similar work in the Pacific Islands.
- Appropriate support from the UNDP Regional Technical Advisor
- Fortuitous timing: the project was implemented just after the realization by stakeholders in the project countries of the absolute necessity of moving toward better management of their tuna resource and, more specifically, towards better compliance with WCPFC requirements.
- The concept of using appropriate senior government officials as national project coordinators.

The most important factors impeding achievement appear to be:

- The short project period of three years, bearing in mind that a similar project in the Pacific Islands covered 11 years.
- Although there was substantial co-financing for the project, the fact that much of it was promised, rather than secured, meant that it was difficult to plan for activities to be supported by that funding.
- In the project document, (a) the lines of communication and responsibility were not very clear, and (b) the knowledge management component was not well-articulated.
- The low level of expertise in some of the project countries resulted in a greater work burden on the project.

## **11.0 Monitoring and Evaluation**

Monitoring and evaluation (M&E) of the project is covered in the project document, which includes the provisions:

- The project's logframe will form the basis of the M&E arrangements.
- At the project's Inception Workshop, the M&E arrangements will be discussed and finalized, including the project's monitoring and evaluation plan.
- Risk management forms an intrinsic part of project management, monitoring and evaluation. Whenever risks are identified that might impede project implementation, the designated staff at WCPFC will alert UNDP and chair of the project's Steering Committee as necessary.

M&E was addressed in the project's Inception Workshop. The workshop document "Project Management and Reporting Requirements"<sup>18</sup> contains a section on the project's monitoring and evaluation process. The M&E activities are given as:

- Periodic monitoring of implementation progress: identification, classification, rating and reporting of risks through quarterly teleconferences with UNDP/GEF for a timely and remedial support and correction.
- Annual monitoring: PSC review WCPFC's Annual Project Report & Project Implementation Review and International Waters Results Template
- Field visit: UNDP Country Office and/or UNDP-GEF staff may visit field sites based on agreed schedules in the Inception Report/Annual Work Plan.
- Final external evaluation: implementing and executing agencies coordinate this at the end of the project.

In a sense, project reports could also be considered as part of the Project's M&E arrangements. These are given in the workshop document to be the inception report, annual project report, project implementation review, quarterly progress reports, periodic thematic reports, project terminal report, technical reports, and project publications.

The report of the Inception Workshop states "Table 1 in the Project Document will be retained as a default Project Monitoring and Evaluation Plan until it can be reviewed and refined at "transitional PSC" meeting in August 2009". The report of the meeting of the August 2009 Steering Committee<sup>19</sup> meeting makes no mention of such a plan, nor was it on the meeting agenda.

During the implementation of the project, the M&E arrangements agreed at the Inception Workshop appeared to be followed:

- The specified periodic and annual monitoring occurred.
- The project's Steering Committee met each year and reviewed annual progress, including any difficulties encountered.
- The UNDP Regional Technical adviser and chair of the Steering Committee were very actively engaged with the project, including implementation issues.
- The project could certainly not be faulted for quality and quantity of its reports (Annex 4).

Much of the time of the project manager was spent on project monitoring, judging from the large number of monitoring activities completed and the time required for those activities, especially the periodic progress reports, preparation for Steering Committee meetings, and site visits.

A total of US\$98,000 was budgeted for M&E activities - excluding project team staff time, UNDP staff, and travel expenses. This was for the inception workshop (\$33,000), final evaluation (\$32,000), and final project meeting (\$33,000), plus several activities that involved no cost. This budgeted amount appears to have been sufficient because the monitoring activities were carried out on schedule, bearing in mind that much of the time of the Project Manager (not included in the amounts above) was focused on monitoring. The actual expenditure on the three items above was

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<sup>18</sup> WCPFC (2009). Project Management and Reporting Requirements. Project Inception Workshop. WPEAOFMP-2009/IW-09.

<sup>19</sup> WCPFC (2009). WPEA Project Inception Workshop Report. Scientific Committee, Fifth Regular Session, WCPFC-SC5-2009/GN-WP06.

sufficient but less than anticipated. This is because the final project meeting was held in conjunction with the Project Steering Committee meeting which was held in conjunction with the WCPFC Scientific Committee – so no extra travel was required for representatives of project countries. In addition, the project evaluation cost about \$10,000 less than budgeted.

For the evaluation, three fundamental questions arise on the M&E arrangements of the WPEA Project:

- Is a formal M&E plan required ?
- Did the project have a formal plan ?
- Was the system used for M&E satisfactory?

Is a formal M&E plan required? There are indications that UNDP and GEF consider a formal M&E plan quite important. The project document states: (a) “The project's Monitoring and Evaluation Plan will be presented and finalized at the Project's Inception Workshop” and (b) “The monitoring of the project will be based on the project Monitoring and Evaluation Plan”. The UNDP-formulated TORs for the present evaluation state: (a) “The evaluation will assess.... the implementation of the project M&E plan”, (b) “The overall rating of M&E during project implementation will be based solely on the quality of M&E plan implementation”. Similarly, the GEF document “Guidelines for GEF Agencies in Conducting Terminal Evaluations” states: “Projects should have a sound M&E plan to monitor results and track progress toward achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results and adequate funding for M&E activities. The time frame for various M&E activities and standards for outputs should have been specified.” From this it is concluded that there is a requirement for the WPEA Project to have a formal M&E plan.

Did the project have a formal plan ? As indicated above, Table 1 in the Project Document could be considered as an M&E plan, albeit very rudimentary. However, during project implementation it does not appear that Table 1 actually served as a plan (based on project documentation) and in the evaluation interviews there was no mention of such a function. According to the Project Manager, the project did not have a formal plan, but rather the logframe was used for M&E purposes.

Was the system used by the project for M&E satisfactory? There are two perspectives on this question:

- From the GEF/UNDP perspective, it would appear to be unsatisfactory as the arrangements actually used by the project do not meet the requirements of those agencies:<sup>20</sup> There is no formal plan in place – and certainly not one with the stipulated components, such as a baseline, SMART elements, evaluation studies at specific times, and training to ensure that data will continue to be collected and used after project closure.
- From a different perspective, the project did have an M&E system, albeit informal. The M&E arrangements agreed at the Inception Workshop were followed – and was sufficiently budgeted for. Much of the time of the Project Manager was actually spent on project monitoring. The Project Steering Committee was satisfied with how the project was being

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<sup>20</sup> The project document states: “Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures”.

monitored and evaluated – as judged by the reports of those meetings. During the evaluation, no stakeholder (including UNDP) thought that the absence of a formal plan was significant enough to raise the issue themselves during interviews. When a few key stakeholders were questioned on the absence of a formal M&E plan, the usual reaction was that the project was adequately monitored, citing the Steering Committee and numerous reports – and additional monitoring would be at the expense of project activity. From this perspective, M&E arrangements of the project appear satisfactory.

In considering the above, although the evaluation is sympathetic to the second perspective, the consultant is bound by terms of reference which state that the task is to “assess whether the project met the minimum requirements for project design of M&E and the implementation of the project M&E plan”, with the assessment rating “based solely on the quality of M&E plan implementation”. It must therefore be concluded that there were significant shortcomings in the project M&E system and, in accordance with the established grading system (contained in the TORs, Annex 6), a rating of moderately unsatisfactory is assigned.

It is interesting to note that the evaluation of the GEF/UNDP Pacific Islands Oceanic Fisheries Management Project showed problems with its M&E system. Those were to some degree attributed to weak feedback to the project from UNDP and GEF (Carleton and Vuki, 2011).

The subject of M&E features in the recommendations of this report (Section 14).

## 12.0 Project Management

Several aspects of the elements encompassed by project management (as given in the TORs for this evaluation) have been covered in earlier sections of this report. Section 10.1 above covers ownership & drivenness, stakeholder involvement, financial planning, and support from UNDP/UNOPS. Section 11 covers monitoring plans.

The day to day management of the WPEA Project was effective – especially considering that the Project Manager position is part-time (his substantive position is the Science Manager for WCPFC<sup>21</sup>) and the isolation of the WCPFC office from the three project countries. Factors contributing to the effective management appear to be the attitude of the Project Manager, the sound administrative/finance procedures of the WCPFC, and ready access to the UNDP Regional Technical Adviser (for funding agency and admin matters), to the WPEA Project Technical Adviser (for tuna monitoring/management matters), and to the Oceanic Fisheries Programme of the SPC (for tuna data and stock assessment matters).

The strong points of project management seem to be:

- Dealing with progress slowdowns by gently but steadfastly nudging countries to complete tasks.
- A large degree of passion for the work, which is to some degree imparted to project stakeholders.
- The management style of starting initiatives in most project components early in the project and making gradual progress over the project life, rather than commencing initiatives later in the project with inefficient accelerated activity before project termination.

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<sup>21</sup> During the project period the Project Manager also served for several months as the WCPFC Interim Executive Director.

- Realization that the three project countries are at very different levels of development with respect to project outcomes – and maintaining some degree of flexibility to deal with each country as appropriate to their level.

The weak points of project management seem to be:

- Inexperience with GEF/UNDP administrative procedures
- Giving low priority to knowledge management
- Occasional lack of clarity in dealing with project partners

There were several cases of effective adaptive management<sup>22</sup> noted during the evaluation. An example was how the project dealt with the uncertain nature of a substantial amount of co-financing, especially the need to expand activities appropriately when extra funding became available. Another example involved realizing that the three project countries were at very different levels of development with respect to project outcomes (and different rates of progress) which required modifying approaches to countries. In a sense, dealing with critical risks would require adaptive management skills, however no such risks became apparent during the implementation period, and therefore management skills for dealing with such situations could not be reviewed.

One subtle point concerning effective project management became apparent during the evaluation. The predecessor of the WPEA Project was the Indonesia and Philippines Data Collection Project (IPDCP) – which was primarily about enhancing/extracting data from those countries for WCPFC stock assessment purposes – which at that time was quite distant from country priorities and the interests of fishery stakeholders in those countries (i.e. not at all country-driven). From previous sections of this report it can be seen that after three project years, there is considerable national stakeholder involvement in tuna monitoring and in interacting with WCPFC, and these subjects are perceived by project governments to be very relevant and high in national priority. Orchestrating this change should be considered a major achievement by those who participate in the management of the WPEA Project.

## **13.0 Findings and Conclusions on Project Formulation, Implementation, and Results**

### **13.1 Project formulation**

The project was very well-formulated, as evidenced by the quality of the project document. As expressed by one stakeholder in the region: “the right medicine at the right time”. It appears that these favorable project preparations could be largely attributed to an appropriate skill mixture in the design team, especially having individuals with GEF experience, regional knowledge, and a great amount of technical expertise in tuna monitoring and management.

Several positive features of the project’s design are mentioned in Section 5. Key aspects appear to be the project’s close association to the WCPFC, substantial co-financing, project coordination

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<sup>22</sup> This is taken to be an approach to project management whereby specific project components can be adapted or modified in response to new or changing circumstances.



at the national level by senior government officials, and especially having a significant capacity development element in each component of the project.

The major weakness in project design concerns the knowledge management component. A greater articulation of this element in the project document could have improved the result associated with this output.

## **13.2 Project implementation**

Project implementation was reasonably smooth, with an absence of major difficulties, as evidenced by the discussions at the Project Steering Committee. Minor difficulties were expected, encountered, and effectively dealt with.

The day to day management of the project was effective, with responsible factors being the persistence of the Project Manager, the administrative infrastructure of the WCPFC, and ready access to admin and technical support from very competent individuals.

There were no full-time staff on the project. This did not appear to negatively affect project implementation, although it placed considerable demand on the Project Manager. Such thin staffing arrangements were made feasible largely by the knowledge and experience of the Project Technical Adviser.

With very few exceptions, the indicators listed in the logframe were implemented and/or achieved. The observer work in Indonesia and (to a degree) establishment of national knowledge management systems appear to be the only obvious ones where progress was less than anticipated.

One important aspect of problem implementation is the approach used to achieve some of the more difficult project outcomes. The WPEA Project's manner of working in these situations involved starting the intervention early in the project's life, and focusing attention on the task over an extended period, with constant reinforcement from workshops, visits of specialists, attention of project supervisors, etc. – rather than going for a simpler one-time intervention or rushed interventions towards the end of the project. One person observed that this WPEA Project approach is the opposite of “throwing dollars at hard problems”.

## **13.3 Project results**

The project's objective is “to strengthen national capacities and international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia (Indonesia, Philippines and Vietnam)”. Overall, it is concluded that the WPEA Project has made substantial progress towards this objective. The national capacities of the three project countries and their associated international cooperation in the conservation and management of fisheries for highly migratory fish stocks are certainly far stronger now than when the project began.

The greatest achievement of the project is the remarkable progress made in moving towards almost all of the established outcomes. This is especially true for:

- Improved knowledge of oceanic fish stocks and related ecosystems
- Reduced uncertainty in stock assessments
- National capacities in oceanic fishery monitoring and assessment strengthened
- Participant countries contributing to management of shared migratory stocks
- National capacities in oceanic fisheries management strengthened

In this evaluation, three criteria were used in the evaluation to assess level of achievement of project outcomes: effectiveness, efficiency, and relevance. The evaluation concludes:

- The project has been extremely effective at achieving the outcomes established in the project document, certainly surpassing what could have been expected prior to the start of the project. The only disappointment involved the knowledge management systems – but this was to support an outcome that was effectively achieved by other means.
- With respect to efficiency of achieving the seven outcomes, the project was very cost effective. An important cost efficiency aspect of the WPEA Project that repeatedly emerged in the evaluation was taking advantage of experience of setting up similar monitoring and management programmes in the Pacific Islands area.
- A notable feature about outcomes established for the WPEA Project is that they were and remain all highly relevant to the country priorities. To a degree, the high relevancy was due to the talent of the architects of the WPEA project document, not the least of which is balancing country priorities with funding institution requirements.

Using relevance, effectiveness, and efficiency as criteria, each of the seven outcomes established for the WPEA Project was rated on a scale given in the evaluation's terms of reference. The results of this rating are:

1. Improved knowledge of oceanic fish stocks and related ecosystems: "highly satisfactory".
2. Reduced uncertainty in stock assessments: "highly satisfactory".
3. National capacities in oceanic fishery monitoring and assessment strengthened: "highly satisfactory".
4. Participant countries contributing to management of shared migratory stocks: "highly satisfactory".
5. National laws, policies and institutions strengthened to implement applicable global and regional instruments: "highly satisfactory" for the Philippines, and "satisfactory" for Indonesia and Vietnam.
6. Key stakeholders participating in the project: "highly satisfactory".
7. National capacities in oceanic fisheries management strengthened: "highly satisfactory".

The evaluation also examined each outcome from the perspective of sustainability. For two of the project outcomes, the risk to their sustainability is currently low. For others, the risk to sustainability is likely to be low at the conclusion of a planned follow-up project.

Project results that have implications for global environmental benefits were considered by the evaluation. Bringing the tuna fisheries in the three project countries into an improved international management regime covering the entire WCPO would be an achievement of global scale. Considerable progress has been made by the project in various aspects of this process, but the project has not set up a mechanism to formally monitor the evolving situation.

## **14.0 Recommendations**

The terms of reference for the current evaluation state that the recommendations should not be oriented to improving the WPEA Project, but rather to the type of project under evaluation or to the GEF's overall portfolio. In addition, special attention should be paid to recommendations related to factors that contributed to or hindered attainment of project objectives, sustainability of project benefits, innovation, catalytic effect and replication, and project M&E.

The recommendations put forward in this section of the report are in three categories:

- Recommendations related to good practices of the WPEA Project that could be useful to GEF and UNDP in the design of future projects. To some degree, they are oriented to the fisheries sector, but some have broader applicability. Bland recommendations that are likely to be overly-obvious to those agencies are avoided, while some are put forward that could be considered provocative.
- Recommendations related to good practices of the WPEA Project that could be useful to project managers and their supervisors in implementing similar projects.
- Recommendations related to a follow-up project. They are not put forward from the perspective of justifying a follow-up phase or suggesting activities that fit nicely into a specified theme of a follow-up phase, but rather bringing to the attention of project formulators relevant points from an independent perspective.

### **14.1 Recommendations that could be followed by GEF and UNDP**

In several sections of this report it is stated that much of the success of the WPEA Project was founded on a solid project document, especially the suitable objective, logical outcomes, and practical/feasible activities. The skill mixture of the design team and the use of experience of a similar GEF/UNDO project in a neighboring region were important in the formulation of the document – and these features could to some extent be replicated in the planning for other projects. It is recommended that GEF and UNDP use the WPEA Project document as a model for formulating project documents for similar projects.

The WPEA Project was very closely associated with the Western and Central Pacific Fisheries Commission, and to lesser (but still significant) extent, to the Oceanic Fisheries Programme of the Secretariat of the Pacific Community. Similarly, the GEF/UNDP Pacific Islands Oceanic Fisheries Management Project was very closely associated with the Forum Fisheries Agency and SPC. These associations had much to do with establishing stature and credibility to those projects. It is likely that, had those projects been closely associated with less respected agencies, results would probably not have been nearly as good. It is recommended that GEF and UNDP associate their similar projects with international agencies that are highly esteemed by professionals in the concerned field, rather than with agencies that are perceived by GEF/UNDP as having some special advantage.

This evaluation has judged the WPEA Project to be very successful from several perspectives. By contrast, according to GEF criteria there were significant shortcomings in the project's M&E system - which was rated by the evaluation as being moderately unsatisfactory. An important issue that has been noted by key project stakeholders is how an excellent project can have a poor M&E

system. This should not be interpreted as the present evaluation discounting the value of GEF/UNDP evaluation policies, but rather bringing an important stakeholder perception to the attention of the agencies. It is recommended that GEF and UNDP prepare awareness material on the need for, and value of, their various M&E requirements (such as that for a detailed M&E plan) that is suitable for ordinary stakeholders – who otherwise may feel that requirements are excessive.

## **14.2 Recommendations related to project implementation**

As mentioned in several sections of this report, the WPEA Project had an effective approach to achieve some of the more difficult project outcomes. The project's manner of working in these situations involved starting the intervention early in the project's life, and focusing attention on the task over an extended period, with constant reinforcement from workshops, visits of specialists, attention of project supervisors, etc. – rather than attempting a more simple one-time intervention or rushed interventions towards the end of the project. It is recommended that this approach be considered for hard-to-achieve outcomes in similar projects.

The international consultants employed on the project were of very high quality – and they are responsible for much of the project's success. What may be less obvious to those outside the tuna monitoring/management field is that those individuals were not just competent, but among the very best in the world in their specialties. It is recommended that to achieve desired project outcomes, project managers should strive to obtain consultant input of the highest quality, rather than what is just adequate. In this regard, two factors may be more important to consultants than the financial compensation: (a) advance planning (i.e. identifying/notifying individuals long in advance of period required), and (b) to the extent possible, encouraging their involvement in aspects of project design or fine tuning – as was done on the WPEA Project.

By involving the range of stakeholders (including commercial interests) in various project activities, the WPEA project in effect established a constituency aware of the need to see that some key outcomes are sustained – and evidently willing to push for such continuation. In many cases this was done at little or no cost to the project, simply by inviting the range of stakeholders to relevant meetings and workshops. It is recommended that this type of intervention (i.e. stakeholder-related mechanisms to reduce sustainability risks) be considered in the implementation of similar projects.

## **14.3 Recommendations concerning a follow-up project**

It is understood that a GEF/UNDP project is likely to commence in late 2013 which will have as a goal the rebuilding and sustaining of coastal and ocean ecosystem services across the East Asian Seas region. Some comments on the subject of a follow-up phase to WPEA Project from the evaluation's perspective could therefore be of interest. These points are made irrespective of project themes or requirements of the agencies, but rather from a technical standpoint.

It would seem logical that a follow-up project should be at least partly oriented to reinforcing those outcomes established for the WPEA Project where risks to sustainability are greatest. In this respect, there are five outcomes where the evaluation judged the risk to outcome sustainability as “moderately likely at present, decreasing to moderately unlikely at the end of a follow-up project”. These outcomes are:

- Improved knowledge of oceanic fish stocks and related ecosystems
- Reduced uncertainty in stock assessments
- National capacities in oceanic fishery monitoring and assessment strengthened
- National laws, policies and institutions strengthened to implement applicable global and regional instruments
- National capacities in oceanic fisheries management strengthened

Of the activities associated with the above outcomes, it is recommended that the tuna monitoring (especially the port sampling and annual catch estimation) be considered as top priority. This is because the monitoring has implications for many outcomes – as well as affecting stock assessment in the entire western and central Pacific Ocean and even global environment benefits. As part of any follow-up dealing with this subject, in addition to project support for actual tuna monitoring, there should be considerable attention paid to developing mechanisms to assure that the governments of the three project countries will pick up the monitoring after GEF support ends.

Following from the above, it is recommended that a cost-benefit study of tuna monitoring in the three countries be carried out. This would portray the expense of items such as port sampling and an observer programme against the value of, for example, the trade with the EU, which could be lost without government monitoring efforts. There are numerous advantages of having the private sector involved in the study, not the least of which is so they are well aware of the cost consequences should their governments neglect monitoring responsibilities.

Also with respect to tuna monitoring, consideration should be given to expanding the coverage. This includes the scale (i.e. including artisan tuna fishing), the species (i.e. including neritic tuna), and the geographic area (i.e. including archipelagic waters).

Knowledge management was not a strong point of the WPEA Project. It was largely limited to creation of national e-mail address lists and a listing of project reports with a few dozen of those placed on the WPEA portion of the WCPFC website. This hardly equates to what was stated in the GEF and UNDP project documents: “Widely publicize project findings and results to raise awareness on importance of oceanic fisheries management and highlight new information” and “Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums.” More could and should be done in this area in a successor project.

Following from the above, about a decade ago the GEF South Pacific International Waters Project (IWP) at the South Pacific Regional Environment Programme had communications problems comparable to that experienced by the WPEA Project. Several attempts were made to improve information dissemination, but none were successful until a communications professional was recruited to formulate and implement a communications strategy for the IWP (A.Wright, personal comm.). A summary of the IWP communications strategy is given in Box 3.

### **Box 3: The Communication Strategy of the GEF South Pacific International Waters Project**

The Pacific International Waters Project (IWP) has an overarching communications strategy that addresses all major communication elements of the Project. The strategy details the objectives, guiding principles, audiences, communication channels and tools for IWP communication activities. A diverse range of communication services and tools are necessary because of the IWP's broad interaction across five thematic areas, different technical outputs and target audiences. This includes information dissemination at global and regional levels and awareness raising and promotion of sustainable behaviour change at a national and local level. The strategy is made up of three distinct plans: public relations, social marketing, and community education. By dividing the activities into three different sets of communication disciplines, the tools and communication channels required to achieve the strategy's goal are more directed and focused. Public relations activities cover all levels and use a range of tools to raise awareness and disseminate information about the IWP. Social marketing makes use of methods from the commercial sector to promote change at an individual, community and societal level. It uses commercial principles and processes to try and change the behaviour of target audiences by promoting benefits and reducing barriers to change. Community education sets out how to develop a formalised learner-focused education programme that is based on learning outcomes. Together these provide an integrated framework for the implementation of communication activities for the regional project and national and local level pilot activities.

Source: IWP (2002)<sup>23</sup>

Similarly, in the midterm review of the GEF/UNDP Pacific Islands Oceanic Fisheries Management Project it was noted that the project was well behind in its dissemination of information. An important part of the solution was input from a communication professional, the Communications Officer of the Forum Fisheries Agency (Carleton and Vuki, 2011).

It is recommended that, early in the life of a follow-up project, a consultant communications professional be employed to formulate a communications strategy to be closely followed by the project.

It is recommended that attention be paid to the following miscellaneous points when formulating the follow-up project:

- For the perspective of the evaluation (which is admittedly narrow), there appears to be few disadvantages of having WCPFC as the sole executing agency of a follow-up project, as opposed to being a co-executor as was the case in the WPEA Project.
- Government representatives from two WPEA Project countries mentioned an issue that the evaluation concurs with: the need to examine the structure of their fisheries agencies from the perspective of creating a mechanism or office that could efficiently interface on several levels with WCPFC (e.g. data, stock assessment, enforcement, assuring that Commission management measures are incorporated into national legislation)

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<sup>23</sup> IWP (2002). Communication Strategy. International Waters Project, South Pacific Regional Environment Programme, Apia.

- Much has been achieved in the WPEA Project with respect to cooperation among the three project countries. Bearing in mind the strong relationship between the tuna resources of the South Pacific and those of the central Pacific, there should be some engineering of greater cooperation in tuna management between the project countries and Pacific Island countries. This could involve a range of types of collaboration, including sharing of information on fishery activity, cooperation between GEF projects involved with transboundary oceanic fishery resources, and common positions in WCPFC negotiations.
- Negotiating skills are important in the management of international fisheries management, including that carried out by the WCPFC. The WPEA Project outcome of “National capacities in oceanic fisheries management strengthened” was not associated with activities touch on this subject, however it was a feature of the GEF/UNDP Pacific Islands Oceanic Fisheries Management Project. Some consideration should be given to including the upgrading negotiating skills of fishery managers in a follow-up project.

## 15.0 Key Lessons Learned

A lesson-learned could easily be expressed as a project finding or as a recommendation, hence in this section there is some degree of repetition from earlier sections.

The main lessons learned during the present evaluation that could be applicable to other projects are:

- A good project document, being the manifestation of good planning, can lay a solid foundation for the subsequent success of a project.
- A baseline study (in this case status reports on national tuna fisheries) can evolve into a very useful product which can be significant, durable, and effectively serve several purposes.
- For best results, the best must be hired: project managers should strive to obtain consultant input of the highest quality, rather than that which is just adequate.
- Knowledge management is a specialty that requires certain skills and experience that not everybody has (just as, for example, fishery stock assessment) - and professional advice may be required for effective knowledge management in a complex multi-country project.
- For hard-to-achieve outcomes, the best approach could be to attack the issue early in the life of the project and constantly focus attention on the issue through a variety of interventions over an extended period.
- In a regional project there is considerable merit in accepting that the participating countries are at different levels of development and have different speeds of progressing - and working with that reality with regards to expectations and annual work plans.
- In getting the spectrum of stakeholders (including commercial interests) involved in various project activities, a constituency can be created which is aware of the need to see that outcomes are sustained – and can do something about it.
- In the fisheries sector the time required to change established practices, institutions, legislation, and international relations should not be under-estimated – especially in countries where fisheries are of great importance.

The Manager of the WPEA Project probably learned more lessons related to the project than anybody. His views have considerable credibility and therefore deserve some exposure. Some of his lessons learned (as given in project documents and e-mail communication on the subject<sup>24</sup>) are:

- Not pushing each country to produce notable results, but rather encouraging them to meet their objectives
- Allowing sufficient allowances to the in-country project team
- Making frequent visits to each country in order to facilitate project activities and offer encouragement.
- Ensuring sufficient project management support for project coordination.
- Communicating continuously between the project manager and country contacts and making face-to-face checks on project progress.
- Recognizing that nothing can be done at one shot in executing this project. Implementation of a project in developing countries involves gradual progress – revisiting the topic, updating and refining the outputs are essential.



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<sup>24</sup> Mostly verbatim but with some English editing.



## Annex 1: Terms of Reference

**Title:** Consultant for Final Independent Evaluation  
**Project:** West Pacific East Asia Oceanic Fisheries Management (WPEA) 71967  
**Duty station:** Home-based with potential travel to a three-country WS in Philippines)  
**Section/Unit:** EMO - IWC  
**Contract/Level:** IICA – 4  
**Duration:**  
**Supervisor:** UNDP / UNOPS

### 1. General Background

The project will build capacity in Indonesia, the Philippines and Vietnam to fully engage in regional initiatives to conserve and manage fisheries for highly migratory fish stocks. This will be achieved by enhancing national capacity within these countries to contribute to the objective of the *Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean* which is to effectively manage, support long term conservation and sustainably use shared highly migratory oceanic fish stocks of global significance in the western Pacific and east Asia. Project interventions will address threats to local food security and economic and social development opportunities offered by these shared resources arising as a result of poor information concerning current harvests, over-exploitation resulting from incomplete and inadequate collaborative arrangements for conservation and management, both nationally and regionally, and illegal, unreported and unregulated (IUU) fishing. The *Convention* provides the basis for the institutional framework for international collaboration for conservation and management of oceanic highly migratory fish stocks in this region. Indonesia and the Philippines participated in the negotiations to develop the Convention during the 1990s and Philippines has since ratified it. Vietnam has not yet engaged in the Commission's work and Philippines and Indonesia require considerable support in order to fully participate.

The activities to be carried out under this project will contribute towards the following objective: “*To strengthen national capacities and international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia (Indonesia, Philippines and Vietnam)*”. The project will, *inter alia*, (i) strengthen national capacities in fishery monitoring and assessment (ii) improve knowledge of oceanic fish stocks and reduce uncertainties in stock assessments (iii) strengthen national capacities in oceanic fishery management, with participant countries contributing to the management of shared migratory fish stocks (iv) strengthen national laws, policies and institutions, to implement applicable global and regional instruments. The Project will also strengthen WCPFC as the appropriate regional fisheries management organization responsible for the conservation and management of highly migratory fish stocks in this oceanic region by building the capacity of Philippines, Indonesia and Vietnam to participate in the work of the Commission. It will contribute to improved scientific information supporting an ecosystems approach to management of shared target and non-target oceanic stocks and strengthened monitoring, regulation and control nationally and regionally. Global environmental benefits will be achieved by strengthened international cooperation on priority trans-boundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia. In addition, as a nationally-driven initiative of Philippines, Indonesia and Vietnam,

an improved contribution to sustainable development will be achieved through enhanced information for decision-making in respect of necessary national economic, financial, regulatory and institutional reform and full participation in an existing regional fisheries management arrangement.

## **2. Purpose and Scope of Assignment**

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

### **1.0 OBJECTIVES OF THE CONSULTANCY**

The objective of the final evaluation is to enable the GEF, UNDP and UNOPS assess the relevance, efficiency, effectiveness, impact and sustainability of WPEA FM 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.

In addition, it is expected that the Consultant will conduct formative project evaluations, examining the delivery of the program, the quality of its implementation, and an assessment of the organizational context, personnel, procedures, inputs, etc.

### **2.0 SCOPE OF SERVICES / REVIEW METHODOLOGY**

The evaluation will be conducted in a participatory manner working on the basis that its essential objective is to assess the project implementation and impacts in order to provide basis for improvement in the implementation and other decisions.

During the evaluation it shall be the responsibility of the Consultant to notify the relevant government bodies, and obtain required permits, permissions and visas. The Western and Central Pacific Fisheries Commission (WCPFC) will aid in facilitating communication with the relevant national government representatives to streamline obtaining the required documents.

#### **2.1 Inception Phase**

The Consultant will prepare an Inception Report for discussion with WCPFC, UNOPS and UNDP. This will outline the proposed approach to the assignment and will include, but not be limited to, a detailed work plan of activities, and methodologies of approach. It is anticipated that the Consultant will look at the entire evaluation and its activities in a holistic manner to maximize efficiencies and minimize number of field trips. It is also envisioned that several of the activities can be run concurrently.

The Inception Report should be produced before field interviews are undertaken to ensure that methods are aligned with the GEF guidelines for final evaluation

## 2.2 Expected Outputs

The following are the expected outputs:

1. Inception Report within 2 weeks after start the evaluation process describing the methodology, work plan, draft outline of the evaluation report to be reviewed and approved by UNDP/GEF and Project management unit prior to commencement of the evaluation activities.
2. Draft Final Evaluation Report within 5 weeks after start the evaluation process in the format attached as Annex 1 (or as proposed and approved by UNDP), with copies furnished to UNDP and UNOPS; and
3. Final Evaluation Report addressing the comments and recommendations of UNDP/GEF within 3 weeks from receipt thereof.

## 2.2 Methodology for Review Mission

It is envisaged the evaluation mission will start with a desk review of project documentation and also take the following process:

- a) Desk review of project documents, outputs, monitoring reports;
- b) Review of specific products including datasets, management and action plans, publications and other material and reports;
- c) Interviews with the WCPFC Secretariat, UNOPS and UNDP
- d) Interviews with the Project Manager and other project staff; and
- e) Consultations and/or interviews with relevant stakeholders involved, including government representatives of WPEA FM project.

### 2.2.1 Assessment of Project Results

The evaluation will assess the achievement of outputs and outcomes and provide ratings for targeted objectives and outcomes. The assessment of project results seeks to determine the extent to which the project objectives were achieved, or are expected to be achieved, and determine if the project has led to any other short- or long-term and positive or negative consequences. In assessing project results, the Consultant will seek to determine the extent of achievement and shortcomings in reaching project objectives as stated in the project appraisal document, and indicate if there were any changes and whether those changes were approved. In assessing project performance, the Consultant can focus on achievements in terms of outputs, outcomes, or impacts. Although the GEF is more interested in assessing impacts, these may take a long time to manifest. On the other end, output achievement is easy to assess but tells very little about whether GEF investments were effective in delivering global environmental benefits. Focus on outcomes is, therefore, an appropriate compromise. It captures project efficacy in terms of delivering medium-term expected results, thus assessment of project outcomes should be a priority.

Three criteria will be used in the evaluation to assess level of achievement of project outcomes and objectives:

- Relevance. Were the project's outcomes consistent with the focal areas/operational program strategies and country priorities?
- Effectiveness. Are the actual project outcomes commensurate with the original or modified

project objectives? If the original or modified expected results are merely outputs/inputs, the evaluators should assess if there were any real outcomes of the project and, if there were, determine whether these are commensurate with realistic expectations from such projects,

- Efficiency. Was the project cost effective? Was the project the least cost option? Was project implementation delayed, and, if it was, did that affect cost effectiveness? Wherever possible, the evaluator should also compare the costs incurred and the time taken to achieve outcomes with that for similar projects.

The evaluation of relevance, effectiveness, and efficiency will be as objective as possible and will include sufficient and convincing empirical evidence. Ideally, the project monitoring system should deliver quantifiable information that can lead to a robust assessment of project effectiveness and efficiency. Since projects have different objectives, assessed results are not comparable and cannot be aggregated. Outcomes will be rated as follows for relevance, effectiveness, and efficiency:

- a. Highly satisfactory (HS). The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- b. Satisfactory (S). The project had minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- c. Moderately satisfactory (MS). The project had moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- d. Moderately unsatisfactory (MU). The project had significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- e. Unsatisfactory (U). The project had major shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- f. Highly unsatisfactory (HU). The project had severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.

When rating the project's outcomes, relevance and effectiveness should be considered to be critical criteria. Criticality in this context implies that satisfactory performance on a specific criterion is essential to satisfactory performance overall. Thus, lack of performance on such criteria is not compensated by better performance on other criteria. Thus, to have an overall satisfactory rating for outcomes, the project must have at least satisfactory ratings on both relevance and effectiveness. The consultant will assess other results of the project, including positive and negative actual (or anticipated) impacts or emerging long-term effects. Given the long-term nature of impacts, it might not be possible for the evaluators to identify or fully assess these. Nonetheless, they will indicate the steps taken to assess long-term project impacts, especially impacts on local populations, global environment, replication effects, and other local effects.

### 2.2.2 Assessment of Risks to Sustainability of Project Outcomes

The evaluation will assess, at minimum, the "likelihood of sustainability of outcomes at project termination, and provide a rating for this." Sustainability is understood as the likelihood of continued benefits after the GEF project ends. Given the uncertainties involved, it may be difficult to have a realistic a priori assessment of sustainability of outcomes. Therefore, assessment of sustainability of outcomes will give special attention to analysis of the risks that are likely to affect the persistence of project outcomes. This assessment should explain how the risks to project outcomes will affect continuation of benefits after the GEF project ends. It will include both

exogenous and endogenous risks. The following four dimensions or aspects of risks to sustainability will be addressed:

1. Financial risks. Are there any financial risks that may jeopardize sustainability of project outcomes? What is the likelihood of financial and economic resources not being available once GEF assistance ends? (Such resources can be from multiple sources, such as the public and private sectors or income-generating activities; these can also include trends that indicate the likelihood that, in future, there will be adequate financial resources for sustaining project outcomes.)
2. Sociopolitical risks. Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?
3. Institutional framework and governance risks. Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits? Are requisite systems for accountability and transparency, and required technical know-how, in place?
4. Environmental risks. Are there any environmental risks that may jeopardize sustainability of project outcomes? The evaluation should assess whether certain activities will pose a threat to the sustainability of the project outcomes.

Each of the above dimensions of risks to sustainability of project outcomes will be rated based on an overall assessment of the likelihood and magnitude of the potential effect of the risks considered within that dimension. The following ratings will be provided:

- i. Likely (L). There are no or negligible risks that affect this dimension of sustainability.
- ii. Moderately likely (ML). There are moderate risks that affect this dimension of sustainability.
- iii. Moderately unlikely (MU). There are significant risks that affect this dimension of sustainability.
- iv. Unlikely (U). There are severe risks that affect this dimension of sustainability.

All the risk dimensions of sustainability are critical. Therefore, overall rating for sustainability will not be higher than the lowest rated dimension. For example, if a project has an “unlikely” rating in any dimension, its overall rating cannot be higher than “unlikely.”

### 2.2.3 Catalytic Role

The consultant will describe any catalytic or replication effect of the project. If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out. No ratings are requested for the project's catalytic role.

#### 2.2.4 Assessment of M&E Systems

The evaluation will assess whether the project met the minimum requirements for project design of M&E and the implementation of the project M&E plan.

**M&E design.** Projects should have a sound M&E plan to monitor results and track progress toward achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results and adequate funding for M&E activities. The time frame for various M&E activities and standards for outputs should have been specified.

**M&E plan implementation.** The evaluation should verify that an M&E system was in place and facilitated timely tracking of progress toward project objectives by collecting information on chosen indicators continually throughout the project implementation period; annual project reports were complete and accurate, with well-justified ratings; the information provided by the M&E system was used during the project to improve performance and to adapt to changing needs; and projects had an M&E system in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure.

**Budgeting and funding for M&E activities.** In addition to incorporating information on funding for M&E while assessing M&E design, the evaluators will determine whether M&E was sufficiently budgeted for at the project planning stage and whether M&E was funded adequately and in a timely manner during implementation.

Project M&E systems will be rated as follows on quality of M&E design and quality of M&E implementation:

- i. Highly satisfactory (HS). There were no shortcomings in the project M&E system.
- ii. Satisfactory (S). There were minor shortcomings in the project M&E system.
- iii. Moderately satisfactory (MS). There were moderate shortcomings in the project M&E system.
- iv. Moderately unsatisfactory (MU). There were significant shortcomings in the project M&E system.
- v. Unsatisfactory (U). There were major shortcomings in the project M&E system.
- vi. Highly unsatisfactory (HU). The project had no M&E system.

The overall rating of M&E during project implementation will be based solely on the quality of M&E plan implementation. The ratings on quality at entry of M&E design and sufficiency of funding during planning and implementation will be used as explanatory variables.

#### 2.2.5 Monitoring of Long-Term Changes

The M&E of long-term changes is often incorporated in GEF-supported projects as a separate component and may include determination of environmental baselines; specification of indicators; and provisioning of equipment and capacity building for data gathering, analysis, and use. This section of the evaluation report will describe project actions and accomplishments toward establishing a long-term monitoring system. The review will address the following questions:

- i. Did this project contribute to the establishment of a long-term monitoring system? If it did not, should the project have included such a component?
- ii. What were the accomplishments and shortcomings in establishment of this system?
- iii. Is the system sustainable that is, is it embedded in a proper institutional structure and does it have financing?
- iv. Is the information generated by this system being used as originally intended?

#### 2.2.6 Assessment of Processes Affecting Attainment of Project Results

When relevant, the Consultant should consider the following issues affecting project implementation and attainment of project results. The Consultant is not expected to provide ratings or separate assessments on these issues, but these could be considered in the performance and results sections of the report:

- i. Preparation and readiness. Were the project's objectives and components clear, practicable, and feasible within its time frame? Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval? Were counterpart resources (funding, staff, and facilities), enabling adequate project management arrangements in place at project entry?
- ii. Ownership/drivenness. Was the project concept in line with the sectoral and development priorities and plans of the countries involved (Indonesia, the Philippines and the Vietnam)? Are project outcomes contributing to the countries' development priorities and plans? Were the relevant country representatives from government and civil society involved in the project? Has the countries approved policies or regulatory frameworks in line with the project's objectives?
- iii. Stakeholder involvement. Did the project involve the relevant stakeholders through information sharing and consultation and by seeking their participation in project design, implementation, and M&E? For example, did the project implement appropriate outreach and public awareness campaigns? Did the project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, nongovernmental organizations, community groups, private sector entities, local governments, and academic institutions in the design, implementation, and evaluation of project activities? Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process taken into account while taking decisions? Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved?
- iv. Financial planning. Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds? Was there due diligence in the management of funds and financial audits? Did promised cofinancing materialize?
- v. An evaluation of the effectiveness of UNDP and UNOPS in fulfilling their roles and responsibilities in terms of their respective implementing and executing capacities in the project implementation

- vi. Cofinancing and project outcomes and sustainability. If there was a difference in the level of expected cofinancing and the cofinancing actually realized, what were the reasons for the variance? Did the extent of materialization of cofinancing affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?
- vii. Delays and project outcomes and sustainability. If there were delays in project implementation and completion, what were the reasons? Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?

### 2.2.7 Lessons and Recommendations

The Consultant will present lessons and recommendations in the Final Evaluation Report on all aspects of the project that they consider relevant. Special attention to analyzing lessons and proposing recommendations on aspects related to factors that contributed to or hindered attainment of project objectives, sustainability of project benefits, innovation, catalytic effect and replication, and project M&E is expected.

The consultant should refrain from providing recommendations to improve the project. Instead, they should seek to provide a few well-formulated lessons applicable to the type of project at hand or to the GEF's overall portfolio. This evaluation should not be undertaken with the motive of appraisal, preparation, or justification for a follow-up phase. Wherever possible, evaluation report should include examples of good practices for other projects in a focal area, country, or region.

The incumbent is responsible to abide by security policies, administrative instructions, plans and procedures of the UN Security Management System and that of UNOPS.

## 3. Monitoring and Progress Controls

The Evaluation mission will produce the following deliverables to WCPFC:

- I. An Inception Report;
- II. An executive summary, jointly prepared by the consultants, including findings and recommendations;
- III. A detailed Final Evaluation Report, with attention to lessons learned and recommendations, IW Tracking Tools; and
- IV. List of Annexes prepared by the consultants, which includes TORs, Itinerary, List of Persons Interviewed, Summary of Field Visits, List of Documents reviewed, Questionnaire used and Summary of results, Co-financing & Leveraged Resources

The report together with the annexes shall be written in English and shall be presented in electronic form in MS Word format.



## **4. Qualifications and Experience**

### **a. Education**

- A Master degree in natural resources management, biological sciences or a related field is required as a minimum qualification

### **b. Work Experience**

- A minimum of 15 years' relevant experience is required and extensive experience in fisheries research, development and policy, especially tuna fisheries, would be an asset.
- Substantive experience in reviewing and evaluating similar technical assistance projects, preferably those involving GEF or United Nations development agencies and major donors;

### **c. Key Competencies**

- Excellent English writing and communication skills; demonstrated ability to assess complex situations in order to succinctly and clearly distill critical issues and draw forward-looking conclusions;
- An ability to assess the institutional capacity and incentives required;
- Understanding of political, economic and institutional issues associated with transboundary waters and groundwater in the region;
- Experience in working with multi-disciplinary and multi-national teams to deliver quality products in high stress and short deadline situations;
- Experience working in diplomatic environments;
- Excellent in human relations, coordination, planning and teamwork;

## **Annex 2: People Interviewed During the Evaluation**

### **Philippine stakeholders**

Benjamin Tabios  
Assistant Director for Administrative Services  
Bureau of Fisheries and Aquatic Resources  
Quezon City  
Philippines

Noel Barut  
Interim Deputy Director and WPEA National Tuna Coordinator  
National Research and Development Institute (NFRDI)  
Bureau of Fisheries and Aquatic Resources (BFAR)  
Philippines

Elaine Garvilles  
Aquaculturalist (and WPEA Assistant National Tuna Coordinator)  
National Fisheries Research and Development Institute  
Quezon City  
Philippines

Augusto Natividad  
Co-Chairman  
National Tuna Industry Council  
Philippines

Jose Ingles  
Strategy Leader  
Coral Triangle Initiative  
World Wide Fund for Nature  
Philippines

### **Indonesia stakeholders**

Agus A. Budhiman  
Director for Fisheries Resources Management  
Ministry of Marine Affairs and Fisheries  
Indonesia

Erni Widjajanti  
Deputy Director for Fisheries Resource in Indonesia EEZ and High Seas  
Ministry of Marine Affairs and Fisheries  
Indonesia

Mr. Mahrus  
Staff of Planning Cooperation  
Directorate General of Capture Fisheries  
Ministry of Marine Affairs and Fisheries  
Indonesia

Fayakun Satria  
Research Centre for Fisheries Management and Conservation  
Ministry of Marine Affairs and Fisheries  
Indonesia

### **Vietnam stakeholders**

Pham Trong Yen  
Deputy Director  
Directorate of Fisheries  
Department of Science & Technology and International Cooperation

Erik Molenaar  
Legal advisor  
Directorate of Fisheries  
Vietnam

### **UNDP and UNOPS**

Jose Padilla  
Regional Technical Adviser  
UNDP  
Bangkok, Thailand

Michael Joseph Jaldron  
Programme Assistant  
Energy and Environment Unit  
UNDP  
Philippines

Katrin Lichtenberg  
Senior Portfolio Manager  
UNOPS  
Copenhagen, Denmark

### **Western and Central Pacific Fisheries Commission**

Glenn Hurry  
Executive Director  
Western and Central Pacific Fisheries Commission  
Pohnpei, Federated States of Micronesia

SungKwon Soh  
WCPFC Science Manager (and WPEA Project Manager)

Aaron Nightswander  
Finance and Administration Officer

Andrew Wright  
[former] WCPFC Executive Director

Ziro Suzuki  
[former] Coordinator  
Japan/ WCPFC Trust Fund

### **Specialists Utilized by the WPEA Project**

Antony Lewis  
WPEA Project Technical Adviser  
Brisbane, Australia

Peter Williams  
Principal Fisheries Scientist - data management  
SPC Division of Fisheries  
Noumea, New Caledonia

### **Others**

James Ianelli  
Consultant Stock Assessment Specialist  
National Marine Fisheries Service  
Seattle, Washington, USA

Les Clark  
Ray Research  
Christchurch, New Zealand

Victor Restrepo  
Chair, Science Advisory Committee  
International Seafood Sustainability Foundation  
Washington, DC, USA

Ludwig Kumoru  
Executive Manager  
Fisheries Management Division  
National Fisheries Authority  
Papua New Guinea

### **Annex 3: List of Documents Reviewed**

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## Annex 4: List of WPEA OFM Project Reports Grouped by Project Output

(As of 15 December 2012)

### Outcome 1 Improved knowledge of oceanic fish stocks and related ecosystems

Outputs 1.1 Implementation of integrated fishery monitoring programmes for target and non-target species in Philippines

	PHILIPPINES	
Document No.	Report title	Date
Y1-PHL-O1-00	Consultancy report – Review of bigeye and yellowfin tuna catches landed in Palawan, Philippines	2009.11
Y1-PHL-O1-01	Workshop report – First WPEA-NSAP tuna data review workshop	2010.06
Y1-PHL-O1-02	Workshop report – Second Philippines/WCPFC annual tuna fisheries catch estimates review workshop	2010.05
Y1-PHL-O1-03	Workshop report – Third Philippines/WCPFC annual tuna fisheries catch estimates review workshop	2010.11
Y2-PHL-O1-04	Workshop report – Second WPEA-NSAP tuna data review workshop	2011.05
Y2-PHL-O1-05	Workshop report – Fourth Philippines/WCPFC annual tuna fisheries catch estimates review workshop	2011.05
Y3-PHL-O1-06	Workshop report – Third WPEA-NSAP tuna data review workshop	2012.05
Y3-PHL-O1-07	Workshop report – Fifth Philippines/WCPFC annual tuna fisheries catch estimates review workshop	2012.05
Y3-PHL-O1-08	Workshop report – Fifth Philippines/WCPFC annual tuna fisheries catch estimates review workshop – Review of the recommendations from the 4 <sup>th</sup> Philippines annual catch estimates workshop	2012.05
Y3-PHL-O1-09	Workshop report – Fifth Philippines/WCPFC annual tuna fisheries catch estimates review workshop – Recommendations	2012.05
Y3-PHL-O1-10	Report – Philippine initiative on logsheets/logbook awareness	2012.06
Y3-PHL-O1-11	Publication – Philippine fisheries observer program observer operations manual (longline)	2012.05
Y3-PHL-O1-12	Publication – Philippine fisheries observer program observer operations manual (ring net and purse seine)	2012.05
Y3-PHL-O1-13	Report – Philippines: Region 8 – Municipal tuna fisheries profile – Eastern Samar	2012.07
Y3-PHL-O1-14	Training report – Debriefers' training (1 <sup>st</sup> Batch)	2012.06
Y3-PHL-O1-15	Consultancy report – Philippine national tuna data and research inventory	2012.07

Outputs 1.2 Implementation of integrated fishery monitoring programmes for target and non-target species in Indonesia

	<b>INDONESIA</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-IDN-O1-01	Report – Recruitment of enumerators in Bitung and Kendari	2010.03
Y1-IDN-O1-02	Report – Training of enumerators in Bitung and Kendari	2010.04
Y2-IDN-O1-03	Sampling protocol – Revised sampling protocol for port sampling in Indonesia	2011.01
Y3-IDN-O1-04	Report – Establishment of a new port sampling programme in Sorong-Papua	2012.07
Y1-IDN-O1-05	Workshop report – First Indonesian/WCPFC port sampling data review workshop	2010.11
Y2-IDN-O1-06	Workshop report – Second Indonesian/WCPFC port sampling data review workshop	2011.11
Y2-IDN-O1-07	Workshop report – Third Indonesian/WCPFC port sampling data review workshop (to be completed in early 2013)	2012.11
Y1-IDN-O1-08	Quarterly report – Tuna fishery data collection / management	2010.10-12
Y2-IDN-O1-09	Quarterly report – Tuna fishery data collection / management	2011.07-09
Y2-IDN-O1-10	Quarterly report – Tuna fishery data collection / management	2011.10-12
Y1-IDN-O1-11	Annual report – Progress of data collection from port sampling for 2010	2011.01
Y2-IDN-O1-12	Trip report – Supervision and data validation in Bitung and Kendari	2011.08, 11
Y2-IDN-O1-13	Report – Status of logbook data collection in Indonesia for WCPFC	2011.11
Y2-IDN-O1-14	Report – Status of WCPFC regional observer programme in Indonesia	2011.11

Outputs 1.3 Implementation of integrated fishery monitoring programmes for target and non-target species in Vietnam

	<b>VIETNAM</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-VNM-O1-01	Workshop report – First Vietnam tuna fishery data collection workshop (VTFDC-1)	2010.03
Y1-VNM-O1-02	Workshop report – Second Vietnam tuna fishery data collection workshop (VTFDC-2)	2010.11
Y1-VNM-O1-03	Report – Background information on tuna fishery landings in Vietnamese ports	2010.11
Y2-VNM-O1-04	Workshop report – Third Vietnam tuna fishery data collection workshop (VTFDC-3)	2011.11
Y3-VNM-O1-05	Workshop report – Fourth Vietnam tuna fishery data collection workshop (VTFDC-4)	
Y2-VNM-O1-06	Report – Local meeting for discussion on total catch and tuna	2011.05

	fisheries data in Vietnam	
Y3-VNM-O1-07	Workshop report – First Vietnam tuna fishery annual catch estimates workshop (VTFACE-1)	2012.04
Y1-VNM-O1-08	Summary of data collection and management responsibilities	2010
Y1-VNM-O1-09	Workshop report – Internal training of enumerators	2010.05
Y3-VNM-O1-10	Report – Summary report on data collection activities (1 <sup>st</sup> version)	2012.05
Y3-VNM-O1-11	Report – Summary report on data collection activities during 2010-2012 (final)	2012.07
Y3-VNM-O1-12	Report – Historical data and research inventory of tuna longline fishery in Vietnam	2012.04
Y1-VNM-O1-13	Guidelines for tuna fisheries sampling in Vietnam (Vietnamese language)	2010
Y1-VNM-O1-14	Report – Internal training of enumerators to implement data collection for gillnet and purse seine fisheries	2010.04
Y3-VNM-O1-15	Consultancy report – Tuna fisheries statistics in Vietnam (to develop a proposal on TUNA FISHERIES STATISTICS PROGRAMME)	2012.06
Y3-VNM-O1-16	Report – Proposal on TUNA FISHERIES STATISTICS PROGRAMME	2012.11
Y1-VNM-O1-17	Trip report – Study trip to Philippines on WPEA project related activities	2010.11
Y1-VNM-O1-18	Progress report – Observer programme	2010.11
Y2-VNM-O1-19	Contract of observation on tuna fishing boats – results of tuna fishing observation on the longline fishing boats in Binh Dinh, Phu Yen and Khanh Hoa provinces	2011.04

## **Outcome 2: Reduced uncertainty in stock assessments**

### **Outputs 2.1 Improved data for stock assessment**

	<b>INDONESIA</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-IDN-O2-01	Trip report – Data/Database training at SPC	2010.02
Y1-IDN-O2-02	Workshop report – First Indonesia (WCPFC area) tuna fisheries annual catch estimates review workshop	2010.03
Y2-IDN-O2-03	Workshop report – Second Indonesia (WCPFC area) tuna fisheries annual catch estimates review workshop – Recommendations	2011.04
Y2-IDN-O2-04	Workshop report – Second Indonesia (WCPFC area) tuna fisheries annual catch estimates review workshop – Decisions and immediate work	2011.04
Y3-IDN-O2-05	Workshop report – Third Indonesia (WCPFC area) tuna fisheries annual catch estimates review workshop	2012.07
Y1-IDN-O2-06	Contract agreement – National tuna coordinator for WPEA OFM Project	2010.01
Y2-IDN-O2-07	Report – Data inventory for the WCPFC related tuna fishery	2011.01

	and survey data	
Y2-IDN-O2-08	Report – Research inventory on the national level tuna research	2011.01
Y3-IDN-O2-09	Report – National tuna coordinator's report on the function of Research Centre for Fisheries Management and Conservation (RCFMC)	2011.12
Y3-IDN-O2-10	Report – Summary of Indonesian WPEA OFM Project activities, 2010.01 – 2012.06	2012.06
Y3-IDN-O2-11	Trip report – WPEA OFM Project Steering Committee meeting	2012.08
Y1-IDN-O2-12	Progress report – WPEA Project progress report for the PSC meeting	2010.06
Y2-IDN-O2-13	Progress report – WPEA Project progress report for the PSC meeting (June 2010 – June 2011)	2011.08
Y3-IDN-O2-14	Progress report – WPEA Project progress report for the PSC meeting (June 2011 – June 2012)	2012.08
Y2-IDN-O2-15	Report – Tuna tagging activities	2011.04
	<b>PHILIPPINES</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-PHL-O2-01	Progress report – Philippine WPEA Project progress report for PSC	2010.07
Y2-PHL-O2-02	Progress report – Philippine WPEA Project progress report for PSC (July 2010-June2011)	2011.07
Y3-PHL-O2-03	Progress report – Philippine WPEA Project progress report for PSC (July 2011-June2012)	2012.07
Y2-PHL-O2-04	Report – Philippine tuna tag recoveries	2012.04
	<b>VIETNAM</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-VNM-O2-01	Progress report – WPEA project activities January – June 2010	2010.07
Y2-VNM-O2-02	Progress report – WPEA project activities July 2010 – June 2011	2011.07
Y3-VNM-O2-03	Progress report - WPEA project activities July 2011 – June 2012	2012.07
Y2-VNM-O2-04	Report – WPEA national tuna coordinator's annual activity report	2011.12
Y1-VNM-O2-05	Tag recovery poster (in Vietnamese language)	2010

### Outcome 3: National capacities in oceanic fishery monitoring and assessment strengthened

#### Outputs 3.1 Training of national fishery monitoring and stock assessment staff

INDONESIA		
Document No.	Report title	Date
Y1-IDN-O3-01	Trip report – Workshop on tuna stock assessment, SPC	2010.07
Y2-IDN-O3-02	Trip report – Indonesian participation in the ecological monitoring and assessment workshop, stock assessment workshop, and tuna data workshop 2011	2011.06-07
Y2-IDN-O3-03	Trip report – Fifth tuna data workshop (with attachments)	2011.04
Y3-IDN-O3-04	Workshop report – Local stock assessment workshop	2012.05
Y1-IDN-O3-05	WCPFC Annual Report – Part 1 (2010-SC6): Information on fisheries, research, and statistics	2010.08
Y2-IDN-O3-06	WCPFC Annual Report – Part 1 (2011-SC7): Information on fisheries, research, and statistics	2011.08
Y3-IDN-O3-07	WCPFC Annual Report – Part 1 (2012-SC8): Information on fisheries, research, and statistics	2012.08
Y2-IDN-O3-08	Consultancy report – Indonesia's tuna fisheries profile	2011.05
Y3-IDN-O3-09	Consultancy report – Indonesia's tuna fisheries profile	2012.05
Y3-IDN-O3-10	Consultancy report – National tuna fishery profile on the Celebes sea (FMA716) and Pacific Ocean (FMA717), Indonesia	2012.11
PHILIPPINES		
Document No.	Report title	Date
Y1-PHL-O3-01	Trip report – Fourth SPC's tuna data workshop	2010.04
Y2-PHL-O3-02	Trip report – Fifth SPC's tuna data workshop	2011.03
Y3-PHL-O3-03	Trip report – Sixth SPC's tuna data workshop	2012.05
Y1-PHL-O3-04	Trip report – Ecosystem monitoring and analysis workshop and stock assessment workshop 2010	2010.06
Y1-PHL-O3-05	Workshop report – Philippine local stock assessment workshop	2010.12
Y2-PHL-O3-06	Trip report – Ecosystem monitoring and analysis workshop and stock assessment workshop 2011	2011.07
Y1-PHL-O3-07	WCPFC Annual Report – Part 1 (2010-SC6): Information on fisheries, research, and statistics	2010.07
Y2-PHL-O3-08	WCPFC Annual Report – Part 1 (2011-SC7): Information on fisheries, research, and statistics	2011.07
Y3-PHL-O3-09	WCPFC Annual Report – Part 1 (2012-SC8): Information on fisheries, research, and statistics	2012.07
Y3-PHL-O3-10	Report – Philippine tuna fisheries profile (1 <sup>st</sup> version)	2012.09
Y3-PHL-O3-11	Report – Philippine tuna fisheries profile - final	2012.11
Y3-PHL-O3-12	Workshop report – Workshop on tuna fisheries management on a national level	2012.10

	<b>VIETNAM</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-VNM-O3-01	Trip report – WCPO tuna stock assessment workshop and tuna data management training	2010.06
Y2-VNM-O3-02	Trip report – Fifth tuna data workshop, SPC	2011.04
Y2-VNM-O3-03	Trip report – Stock Assessment, Data and Ecosystem Monitoring Training Workshop	2011.06
Y2-VNM-O3-04	Workshop report – Local training workshop for stock assessment	2011.10
Y3-VNM-O3-05	Trip report – Sixth tuna data workshop	2012.04
Y1-VNM-O3-06	WCPFC Annual Report – Part 1 (2010-SC6): Information on fisheries, research, and statistics	2010.08
Y2-VNM-O3-07	WCPFC Annual Report – Part 1 (2011-SC7): Information on fisheries, research, and statistics	2011.08
Y3-VNM-O3-08	WCPFC Annual Report – Part 1 (2012-SC8): Information on fisheries, research, and statistics	2012.08
Y2-VNM-O3-09	Consultancy report – Tuna fisheries profile in Binh Dinh, Phu Yen, and Khanh Hoa (RIMF)	2011.

**Outcome 4: Participant countries contributing to management of shared migratory stocks**

Outputs 4.1 Review of policy and institutional arrangements for oceanic fisheries management

Outputs 4.2 Strategy to support national reform

	<b>INDONESIA</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-IDN-O4-01	Consultancy report – Review of policy and legal arrangements for WCPFC related matters	2010.06
Y1-IDN-O4-02	Workshop report – Review of policy and legal arrangements for WCPFC-related matters	2010.06
Y3-IDN-O4-03	Consultancy report – Review of policy and legal arrangements of WCPFC-related matters and checklist of compliance shortfalls	2012.05
Y3-IDN-O4-04	Consultancy report – Review of policy and legal arrangements of WCPFC-related matters (revision)	2012.08
Y3-IDN-O4-05	Workshop report – Indonesian policy, legal and institutional workshop and project consultancy meeting	2012.11
Y3-IDN-O4-06	Consultancy report – Review of policy and legal arrangements of WCPFC-related matters and checklist of compliance shortfalls (final)	2012.11
	<b>PHILIPPINES</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-PHL-O4-01	Consultancy report – Review of policy, legal and institutional arrangements for Philippine compliance with the WCPF Convention	2010.11
Y1-PHL-O4-02	Workshop report – Workshop on Philippines’ legal, policy and	2010.11

	institutional arrangements for tuna fisheries management	
Y3-PHL-O4-03	Workshop report – Review Workshop on the Policy, Legal and Institutional Arrangements for Philippine Compliance with the Western and Central Pacific Fisheries Convention	2012.05
Y3-PHL-O4-04	WCPFC CMMs – Operations guide for Filipino fishermen	2012.11
<b>VIETNAM</b>		
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-VNM-O4-01	Consultancy report – Review of Vietnam’s legal, policy and institutional arrangements in light of WCPFC requirements	2010.06
Y1-VNM-O4-02	Workshop report – Workshop on Vietnam’s legal, policy and institutional arrangements for tuna fisheries management	2010.06
Y2-VNM-O4-03	Workshop report – Workshop on the development of national tuna management plan (NTMP)	2011.07
Y2-VNM-O4-04	Workshop report – Review workshop on NTMP, national-level tuna association activities, and tuna fishery profile	2011.11
Y3-VNM-O4-05	Consultancy report – Progress report on the review of Vietnam’s legal, policy and institutional arrangements to address shortfalls in light of WCPFC requirements (1 <sup>st</sup> version)	2012.06
Y3-VNM-O4-06	Workshop report – Review workshop for the consultancy reports on NTMP, VINATUNA, PLI review, and tuna fisheries profile	2012.06
Y3-VNM-O4-07	Consultancy report – Progress report on the review of Vietnam’s legal, policy and institutional arrangements to address shortfalls in light of WCPFC requirements (final)	2012.11
Y3-VNM-O4-08	Consultancy report – Implementation manual of WCPFC CMMs	2012.11

**Outcome 5: National laws, policies and institutions strengthened. To implement applicable global and regional instruments**

Outputs 5.1 Implementation of the WCPF Convention and related instruments

	<b>INDONESIA</b>	
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y1-IDN-O5-01	Consultancy report – Checklist of compliance shortfalls from the review of policy and legal arrangements for WCPFC-related matters	2010.06
Y3-IDN-O5-02	Consultancy report – Review of policy and legal arrangements of WCPFC-related matters - Checklist of compliance shortfalls (revision)	2012.08
<b>PHILIPPINES</b>		
<b>Document No.</b>	<b>Report title</b>	<b>Date</b>
Y3-PHL-O5-01	Consultancy report – Comparative matrix of WCPFC member obligations with Philippine policy/law/institutional arrangements	2012.05



	VIETNAM	
Document No.	Report title	Date
Y2-VNM-O5-01	Trip report – Participation in the seventh session of the WCPFC Scientific Committee and WPEA Project Steering Committee meeting	2011.08
Y3-VNM-O5-02	Trip report – Participation in the seventh session of the WCPFC Scientific Committee and WPEA Project Steering Committee meeting	2012.08

**Outcome 6: Key stakeholders participating in the project**

Outputs 6.1 Knowledge management system for dissemination of Project-related information, lessons and best practice

Outputs 6.2 Establish Tuna Associations (Vietnam, Indonesia) to fully involve industry

	INDONESIA	
Document No.	Report title	Date
Y1-IDN-O6-01	Consultancy report – Enforcement of national-level tuna association activities	2010.06
Y1-IDN-O6-02	Workshop report – Enforcement of national-level tuna association activities	2010.11
Y3-IDN-O6-03	Consultancy report – Enforcement of national-level tuna association activities (revision)	2012.05
Y3-IDN-O6-04	Consultancy report – Enforcement of national-level tuna association activities (final)	2012.09
	PHILIPPINES	
Document No.	Report title	Date
Y2-PHL-O6-02	Workshop report – National tuna industry council review workshop	2011.11
Y2-PHL-O6-01	Consultancy report – Review of the Philippine national tuna industry council (NTIC)	2012.05
	VIETNAM	
Document No.	Report title	Date
Y1-VNM-O6-01	Workshop report – Local inception workshop for WPEA OFM Project	2009.11
Y2-VNM-O6-02	Consultancy report – Review and reform structures and functions of Vietnam's national tuna association: a basic solution for sustainable tuna fisheries management and development of Vietnam	2011.10
Y3-VNM-O6-03	Trip report – Study trip to Korea to investigate structure and functions of fisheries associations in Korea	2012.12

**Outcome 7: National capacities in oceanic fisheries management strengthened**

Outputs 7.1 Development of National Tuna Management Plans (Indonesia, Vietnam) or revision of existing plans (Philippines)

INDONESIA		
Document No.	Report title	Date
Y1-IDN-O7-01	Workshop report – Workshop on the development of national tuna management plan	2010.11
Y2-IDN-O7-02	Consultancy report – Indonesian tuna fisheries management plan	2011.05
Y2-IDN-O7-03	Consultancy report – Indonesia's tuna fisheries management plan (revision)	2011.09
Y3-IDN-O7-04	Consultancy report – National tuna management plan on the Celebes Sea (FMA 716) and Pacific Ocean (FMA 717), Indonesia	2012.05
Y3-IDN-O7-05	Consultancy report – National tuna management plan, Indonesia (final)	2012.11
PHILIPPINES		
Document No.	Report title	Date
Y1-PHL-O7-01	Workshop report – Updating of the national tuna management plan of the Philippines	2010.11
Y3-PHL-O7-02	Consultancy report – National tuna management plan of the Philippines (1 <sup>st</sup> draft)	2012.05
Y3-PHL-O7-03	Consultancy report – National tuna management plan of the Philippines (final)	2012.09
VIETNAM		
Document No.	Report title	Date
Y2-VNM-O7-01	Consultancy report – National tuna management plan (1 <sup>st</sup> version)	2011.11
Y3-VNM-O7-02	Consultancy report – National tuna management plan (Vietnamese)	2012.11
Y3-VNM-O7-03	Consultancy report – National tuna management plan (English)	2012.11

## Annex 5: Meetings, Workshops, Conferences, and Training Courses Conducted by the WPEA Project

Activity	Date	Period	Number of participants
<b>Indonesia</b>			
1. Training on database management, Noumea	1-7 Feb 2010	7 days	1
2. The First Indonesia Tuna Fishery (WCPFC Area) Annual Catch estimates review Workshop	8–9 March 2010	2 days	24
3. Training for enumerators Bitung and Kendari	April 2010	5 days	20
4. Participation at the Stock Assessment and Ecosystem Monitoring Training Workshop, Noumea	7-12 Jun 2010	6 days	1
5. The Workshop on the Review of Policy and Legal Arrangements for WCPFC Related Matters and Prepare Checklist of Compliance Shortfalls	14-15 June 2010	2 days	45
6. Meeting with enumerators for Supervision and data validation (2 days in Bitung and 2 days in Kendari)	October 2010	4 days	20
7. The Workshop on Development of National Tuna Management Plan (NTMP)	11 November 2010	1 day	25
8. The Workshop on Enforcement of National Level Tuna Association Activities	12 November 2010	1 day	40
9. Review WS on Port sampling	22-25 Nov 2010	4 days	25
10. Local WS on Tuna Fisheries Profile	January 2011	1 day	26
11. Local meeting for the development of tuna Research Inventory	February 2011	1 day	5
12. Second Indonesia Tuna Fisheries (WCPFC Area) Annual Catch Estimates Workshop	7-8 April 2011	2 days	27
13. Participation in Tuna Data WS in SPC	May 2011	6 days	1
14. Ecological monitoring and assessment workshop, stock assessment workshop and tuna data workshop 2011	27 June – 5 July 2011	7 days	1
15. Meeting with enumerators for Supervision and data validation (2 days in Bitung and 2 days in Kendari)	August 2011	4 days	20
16. Review WS on Port sampling	15-16 Nov 2011 (Kendari)	2 days	12
17. Review WS on Port sampling	17-18 Nov 2011 (Bitung)	2 days	16
18. Consultancy Meeting for the review of the Second Year AWP and Development of the third year AWP (DGCF and RCFMC)	21-25 November 2011	5 day	15
19. Meeting with enumerators for Supervision and data validation (2 days in Bitung and 2 days in Kendari)	December 2011	4 days	20

Activity	Date	Period	Number of participants
20. Meeting with enumerators for Supervision and data validation (2 days in Bitung and 2 days in Kendari)	February 2012	4 days	20
21. Consultation and Preparatory Meeting for the Review of Policy, Legal and Institutional Arrangements	29 February – 2 March 2012	4 days	10
22. Local WS for the Review of Tuna Fisheries Profile	March 2012	1 days	8
23. Review Meeting on tuna Data collection	April 2012	3 days	7
24. Local tuna stock assessment workshop	2 may 2012	1 day	26
25. Workshop for the Review of WPEA Consultancy Reports (PLI Issues, Tuna Fisheries Profile, NTMP, National Tuna Association	7 – 11 May 2012	5 days	27
26. Third Indonesian Review Workshop on Annual Tuna Catch Estimates Workshop	23-25 July 2012	3 days	15
27. Recruitment and Training for new enumerators at Sorong	25-29 July 2012	5 days	6
28. Preparatory Meeting for the Progress Review of WPEA Consultancy Reports on PLI issues	17 – 18 September 2012	2 days	18
29. Workshop on Tuna Fisheries Management on a national level	29-31 October 2012	3 days	4
30. WPEA Consultation Meeting	8-9 November 2012	2 days	40
31. Review WS for port sampling	12-14 November	3 days	15
<b>Philippines</b>			
1. Tuna Identification Training for BAS key data informants in Puerto Princesa City, Palawan, Philippines	24 - 26 February 2010	3 days	25
2. 1 <sup>st</sup> Port Sampling Data Review (WPEA-NSAP) Workshop at NFRDI Conference Room, Quezon City, Philippines	13-14 May 2010	2 days	20
3. 2nd Philippines/WCPFC Annual Tuna Fisheries catch Estimates Review at BFAR Conference Room, Quezon City, Philippines	17 - 18 May 2010	2 days	29
4. Participate to Stock Assessment Workshop and Ecosystem Monitoring and Analysis Workshop 2010), Noumea, New Caledonia	14 - 21 June 2010	8 days	1
5. Policy, Legal & Institutional (PLI) Workshop, at Eurotel, Quezon City	16 - 17 November 2010	3 days	36
6. 3rd Philippines/WCPFC Annual Tuna Fisheries Catch Estimates Review at Eurotel, Quezon City, Philippines	19 November 2010	1 day	25
7. National Stock Assessment Workshop at Eurotel, Quezon City, Philippines	16 - 18 December 2010	3 days	55
8. Participate in the Tuna Data Workshop (TDW5), Noumea, New Caledonia	18 - 22 April 2011	5 days	1
9. 2 <sup>nd</sup> Port Sampling Data Review (WPEA-NSAP) Workshop at NFRDI Conference Room, Quezon City, Philippines	12 - 13 May 2011	2 days	32
10. 4th Philippines/WCPFC Annual Tuna Fisheries catch Estimates Review at BFAR Conference Room, Quezon City, Philippines	16 - 17 May 2011	2 days	45
11. Participate in the Stock Assessment Workshop (SAW) ), Noumea, New Caledonia	26 June - 5 July 2011	10 days	1

Activity	Date	Period	Number of participants
12. Participate in the Tuna Data Workshop (TDW6), Noumea, New Caledonia	23 - 27 April 2012	5 days	1
13. 3rd Port Sampling (WPEA – NSAP) Catch Estimates Review Workshop, General Santos City	14 – 15 May 2012	2 days	39
14. Fifth PH/WCPFC Annual Tuna Catch Estimates Review Workshop, General Santos City	17 – 18 May 2012	2 days	45
15. Policy, Legal and Institutional (PLI) Review Workshop including updates on PLI issues, National Tuna Management Plan (NTMP), National Tuna Industry Council (NTIC) functions, National Tuna Fishery Profile (NTFP), Implementation Manual on WCPFC – Conservation and Management Measures (CMMs) and other WCPFC Concerns, Quezon City	May 28 - 30, 2012	3 days	30
16. Philippine Fisheries Observer Debriefers Training Course, BFAR MCS Office, Navotas City	7 - 15 June 2012	14 days	31
17. Workshop on Tuna Fisheries Management on National Basis, Puerto Princesa City, Palawan (includes 5-Vietnamese, 4 Indonesians & 4 consultants)	29-31 October 2012	3 days	31
18. Policy, Legal and Institutional (PLI) Workshop including Finalization of the Tuna Fisheries Profile, Implementation Manual on WCPFC – Conservation and Management Measures (CMMs) and other WCPFC Concerns, Quezon City	5-7 November 2012	3 days	30
19. Participation to First Regional TUFMAN Training Workshop), Noumea, New Caledonia	3-7 December 2012	5 days	1
<b>Vietnam</b>			
1. Inception Workshop	4 November 2009	1 day	42
2. The first Vietnam tuna fishery data collection workshop (VTFDC-1)	15 - 17 March 2010	3 days	43
3. Workshop for the Internal Training of Enumerators	17 – 18 May 2010	2 days	17
4. Training workshop on Stock Assessment Workshop and Tuna Data Management Training	1 – 15 June 2010	10 days	1
5. Workshop on Vietnam's legal, policy and institutional arrangements for tuna fisheries management (PLI-WS 1)	17 – 18 June 2010	2 days	30
6. The Second Vietnam Tuna Fishery Data Collection Workshop (VTFDC-2)	15-16 November 2010	2 days	24
7. Study tour in Philippines	20 -25 November 2010	6 days	7
8. The internal training of enumerators to implement data collection for gillnet and purse seine fisheries	27 - 28 April 2011	2 days	15
9. Local Workshop for discussion on total catch and tuna fisheries data in Vietnam	31 May 2011	1 days	18
10. Participation of the Fifth Tuna Data Workshop (TDW5)	18 – 22 April 2011	5 days	1
11. Participation at the Stock Assessment, Data and Ecosystem Monitoring Training Workshop	27 June – 5 July 2011	9 days	1
12. The workshop on development of national tuna management plan	11 – 12 July 2011	2 days	25
13. Participation on the Seventh Regular Meeting of the Scientific Committee (SC7)	9-17 August 2011	9 days	1

Activity	Date	Period	Number of participants
14. Local training workshop for stock assessment	03 - 04 October 2011	2 days	25
15. Review workshop on consultancy reports (PLI-WS 2)	15 – 17 November 2011	3 days	29
16. The Third Vietnam Tuna Fishery Data Collection Workshop (VTFDC-3)	22-24 November 2011	3 days	19
17. First Vietnam Tuna Fishery Annual Catch Estimates Workshop (VTFACE-1)	2-6 April 2012	5 days	22
18. Participation of the Sixth Tuna Data Workshop (TDW6)	23 – 27 April 2012	5 days	1
19. Review workshop on the consultancy reports (PLI-WS 3)	6-8 June 2012	3 days	33
20. Participation at the Eight Regular Meeting of the Scientific Committee at Pusan, Korea	7-15 August 2012	9 days	2
21. Participation on Workshop on Tuna Fisheries Management on a National Level	29-31 October 2012	3 days	5
22. The Fourth Vietnam Tuna Fishery Data Collection Workshop (VTFDC-4)	8-10 November 2012	3 days	17
23. Review workshop on the consultancy reports (PLI-WS 4)	12 – 13 November 2012	2 days	22
24. Participation on the First TUFMAN Training Workshop (TTW1)	3-7 December 2012	5 days	1
25. Study trip to Korea to enhance national level tuna association activities	10-15 December 2012	5 days	7

## Annex 6: Co-Financing of the WPEA Project

<i><b>Name of co-financier (source)</b></i>	<i><b>Classification</b></i>	<i><b>Type</b></i>	<i><b>Amount (\$)</b></i>	<i><b>Actual Amount (\$)</b></i>
AusAID	Bilateral agency	Grant	300,000	<b>300,000</b>
WCPFC	Intergovernmental organization	Grant	200,000	<b>225,000</b>
NOAA/NMFS	Bilateral agency	Grant	50,000	<b>70,000</b>
Japan Trust Fund	Bilateral agency	Grant	30,000	<b>159,130</b>
Netherlands	Bilateral agency	Grant	0	<b>25,964</b>
Korea	Bilateral agency	Grant	0	<b>220,000</b>
WWF/NOAA	Bilateral agency	Grant	0	<b>5,000</b>
International Seafood Sustainability Foundation	Industry group	Grant	0	<b>10,000</b>
FFA	Intergovernmental organization	In kind	669,431	<b>100,000</b>
ACIAR	Nat'l Gov't	In kind	25,000	<b>25,000</b>
WCPFC	Intergovernmental organization	In kind	140,000	<b>680,500</b>
SPC-OFP	Intergovernmental organization	In kind	628,000	<b>804,000</b>
WWF/NOAA	NGO/Bilateral agency	In kind	150,000	<b>500,000</b>
DANIDA	Bilateral agency	In kind	25,000	<b>0</b>
Philippines	Nat'l Gov't	In kind	610,000	<b>612,000</b>
Indonesia	Nat'l Gov't	In kind	470,000	<b>271,500</b>
Vietnam	Nat'l Gov't	In kind	370,000	<b>385,500</b>
<b>Total co-financing</b>			<b>3,667,431</b>	<b>4,393,594</b>

## **Annex 7: GEF International Waters Tracking Tool**

Note: this annex was sent to UNDP as a separate Excel file

It should be noted that many of the questions in the tracking tool are:

1. Not especially applicable to the WPEA Project
2. Are open to multiple interpretations
3. Are associated with a selection of answers, none of which is applicable to the WPEA project

As an example of #1:

“Please specify the area currently under protection out of total area identified by project below (e.g. 10,000/100,000 Ha)”

As an example of #2:

Is there a “Regional legal agreement and cooperation framework” ?

As an example of #3,

None of the following apply to the project’s “The management measure for stress reduction”:

- 1 = Integrated Water/River Resource Management (Watershed, lakes, aquifers)
- 2 = Integrated Coastal Management (Coast)
- 3 = Marine Spatial Planning (Marine)
- 4 = Marine Protected areas (Fisheries/ABNJ)