

Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States

(also referred to as PIOFMP-II)

Midterm Review Final Report April 2018

Project Title: Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS)			
Countries	Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu	GEF Project ID:	4746
GEF Agencies	FAO UNDP	GEF Agency Project ID:	UNDP: 4607 FAO: 615567
Other Executing Partners:	Pacific Islands Forum Fisheries Agency (FFA); Secretariat of the Pacific Community (SPC)		
GEF Focal Area:	International Waters (IW)		
MTR Information:	October – December 2017	This Version: April 2018	

Acknowledgements

The Midterm Review Team acknowledges the support of all who contributed to the review process including national and regional representatives who agreed to provide their insights, and Implementing Agency representatives, who provided valuable comment on the draft Report. The Team thanks especially the Project Management Unit led by Project Coordinator Mr Hugh Walton.

Table of Contents	Page No.
Project Title Page.....	i
Acknowledgments.....	i
Abbreviations and Acronyms.....	iii
Review Team Composition.....	v
1. Executive Summary.....	1
2. Introduction.....	4
3. Project Description and Background Context.....	9
4. Findings.....	16
4.1 Project Strategy.....	16
4.2 Progress toward Results.....	20
4.3 Project Implementation and Adaptive Management.....	26
4.4 Sustainability.....	32
5. Conclusions and Recommendations.....	34
Annexes	
A. MTR Terms of Reference (including MTR Scope)	39
B. List of documents reviewed	55
C. Stakeholder interview templates and questionnaire	56
D. MTR mission itinerary	60
E. List of persons interviewed	61
F. Annotated UNDP MTR checklist on gender assessment	62
G. Progress Towards Results Matrix	65
H. Summary of current CMMs	74
I. Ratings Scales	76
J. Project revenue and expenditure summary at MTR	77
K. Co-financing calculations	86
L. Consolidated report against outcomes as at MTR	88
M. Web Portal data analytics	99
N. MTR evaluative matrix	101
O. Audit Trail (Separate Document)	
P. Mid-Term Tracking Tool (Separate Document)	

Acronyms and Abbreviations

CC	Climate Change
CMM	Conservation and management measure
CSO	Civil Society Organisation
EA	Executing Agency
EBM	Ecosystem Based Management
eNGOs	Environmental NGOs
EEZ	exclusive economic zone
EU	European Union
FAD	Fish aggregating device
FAO	Food and Agriculture Organization of the United Nations
FFA	Forum Fisheries Agency
FLNKS	<i>Front de Liberation Nationale Kanak et Socialiste</i>
FPR	Framework for Pacific Regionalism
GEF	Global Environment Facility
GDP	Gross Domestic Product
IA	Implementing Agency
IUU	Illegal, unregulated and unreported (fishing)
ISSF	International Sustainable Seafood Foundation
IW	International Waters
LME	Large Marine Ecosystem
M&E	Monitoring and Evaluation
MCS	Monitoring, control and surveillance
MOC	Management Options Consultation
MSG	Melanesia Spearhead Group
MTR	Midterm review
NGO	Non-Governmental Organisation
PAC	Project Appraisal Committee
PNA	Parties to the Nauru Agreement
PacSIDS	Pacific Small Island Developing States
PIANGO	Pacific Islands Association of NGOs
PIDF	Pacific Islands Development Forum
PIF	Project Identification Form
PIOFMP-I	Pacific Islands Oceanic Fisheries Management Project
PIOFMP-II	Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States Project
PIPSO	Pacific Islands Private Sector Organisation
PIR	Project Implementation Report
PITIA	Pacific Islands Tuna Industry Association
PMU	Project Management Unit
RFMO	Regional Fisheries Management Organisation
SAP	Strategic Action Plan
SEPODYM	Spatial Environmental Population Dynamic Model
SIDS	Small Island Developing States
SPC	The Pacific Community
SC	Steering Committee
SSAP	Skipjack Survey and Assessment Programme
TDA	Transboundary Diagnostic Analysis
TDW	Tuna Data Workshop
TKA	Tokelau Arrangement

ToR	Term of Reference
TRP	Target reference point
TT	Tracking Tool
TVM	Te Vaka Moana
UNDP	United Nations Development Programme
USD	United States Dollar
VDS	Vessel Days Scheme
WTPWP LME	Western Tropical Pacific Warm Pool Large Marine Ecosystem
WCPFC	Western and Central Pacific Fisheries Commission
WCPFC SC	Scientific Committee (of the WCPFC)
WCPO	Western and central Pacific Ocean
WWF	Worldwide Fund for Nature

Review Team composition

The Midterm review was carried out by two independent consultants:

Bruce Chapman; Team leader and fisheries specialist: Independent consultant in the fields of natural resource management and evaluation. Has held senior management positions in the Pacific Islands region in the fisheries and environment sectors. Has led multiple project and programme reviews in the Pacific Islands region.

Patrick Fong; Resource Governance specialist: Independent consultant with expertise in PIC fisheries management and livelihood. He was a former Senior Scientific Officer at the University of the South Pacific with the role of managing environment related projects and researches. He has also conducted several project reviews and evaluation in the Pacific Islands region.

1. Executive Summary

PIOFMP-II Midterm Review – Final Report

Project Title: Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS) also referred to as PIOFMP-II			
Countries	Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu	GEF Project ID:	4746
GEF Agencies	FAO UNDP	GEF Agency Project ID:	UNDP: 4607 FAO: 615567
Other Executing Partners:	Pacific Islands Forum Fisheries Agency (FFA); Secretariat of the Pacific Community (SPC)		
GEF Focal Area:	International Waters (IW)		
MTR Information:	October – December 2017	This Version: April 2018	

PIOFMP-II is a four-year project funded by the Global Environment Facility to support Pacific Small Island Developing States (SIDS) in managing oceanic fisheries in the Western and Central Pacific Ocean. In particular it is aligned to support decision-making and compliance with global and regional Conventions that apply to these fisheries. Project activities began in 2015, and at the time of the mid-term review had been operating for approximately two years.

The project strategy involves three components that address Pacific SIDS at three levels in the regional fisheries management system, and a forth which focusses on stakeholder engagement:

Component 1: Regional Actions for Ecosystem-based management

Component 2: Sub-regional Actions for Ecosystem based management

Component 3: National Actions for Ecosystem based management

Component 4: Stakeholder Participation and Knowledge Management

Component 1 comprises support through the Forum Fisheries Agency for Pacific SIDS' engagement in the Western and Central Pacific Fisheries Commission and stock modelling work carried out by the Pacific Community – focussing on climate change effects. The Midterm Review finds that work under this Component is on track and has been effective and well received. There are positive signals on target stock status in the region, particularly for bigeye tuna.

Component 2 comprises working with sub-regional groups of Pacific Island countries developing zone-based management arrangements, and Component 3 focusses on national governance, including compliance with regional and global obligations. The Review finds that these Components have been effective in some areas, while progress has been slow or delayed in others.

Component 4 has been effective in gaining stakeholder engagement, and achieved some highlights in the communications area, notably the establishment of a dedicated web portal, and the publication of *Moana Voices*, highlighting the roles of women in Pacific Fisheries.

A summary of the overall project ratings and achievement is provided in the table below.

PIOFMP-II MTR Ratings and Achievement Summary Table		
Measure	MTR Rating	Achievement description
Project Strategy	N/A	The project strategy is sound and remains highly relevant to regional, sub-regional and national priorities for participating countries.
Progress towards results	Project Objective Achievement Rating: (rate 6 pt. scale) MS	Work is well underway in aligning Pacific SIDS' legislation and policy with WCPFC requirements; it is less clear that systematic processes are yet in place with respect to new measures being adopted. Targets relating to employment and access fees appear to be on track.
	Outcome 1.1 [CMMs] Rating: MS	Conservation and Management Measure (CMM) applying to 'bigeye, yellowfin and skipjack tuna in the Western & Central Pacific Ocean' adopted in 2016 (CMM 2016-01). CMM 2015-02 addressed South Pacific Albacore but is not considered 'comprehensive'. No stocks are currently overfished, nor is overfishing occurring. No additional bycatch measures yet adopted during the term of the project.
	Outcome 1.2 Rating MS	Work is ongoing on climate change effects and modelling – identified as priority area by Project Steering Committee. Jurisdictional study completed. Tenders invited for new Transboundary Diagnostic Analysis (TDA) and International Waters Strategic Action Plan (IW SAP).
	Outcome 2.1 Rating MS	Operational cap and trade measures in place for purse-seine and in process for longline fisheries for PNA membership. MSC certification for compliant skipjack products. Other sub-regional approaches less advanced.
	Outcome 3.1 Rating MS	Work is ongoing to address country-level actions through development / revision of management plans and regulatory requirements. This work slowed by delays at start of Project.
	Outcome 3.2 Rating S	Progress well advanced on regional and national systems and support.
	Outcome 4.1 Rating S	Participation of selected industry and eNGO representatives in the Project Steering Committee has been successful in extending breadth of engagement with civil society.
	Outcome 4.2 Rating MS	Successful in providing media content and engaging Pacific Leaders in fisheries issues; project visibility can be improved.
Project implementation and adaptive management	(rate 6 pt. scale) S - MS	The project has had a slow start due to a range of factors including employment of PMU staff, and bedding in of reporting arrangements to the dual Implementing Agencies. These factors delayed early transfer of Project funds and implementation of some outputs. These issues have now largely been addressed, but rate of expenditure / achievement remains behind that anticipated in project design. The MTR supports the proposal for a project extension to address this.
Sustainability	(rate 4 pt. scale) ML	There remain a number of risks to project sustainability, the most significant being ongoing funding to address areas of increasing priority, including climate change and Monitoring, Control and Surveillance (MCS).

Where there has been slow progress, it has been due to a mix of administrative delays, associated with the complexity of the project, and capacity constraints, particularly in national fisheries agencies. These aspects have led to a significant underspend in project funds at the time of the midterm review.

Overall the Midterm Review considers the project to be well managed, with constructive working relationships between the multiple project partners. At the same time the Midterm Review proposes some adjustments, including:

- Revisions to elements of the results framework (output level indicators and targets).
- Increased focus on gender, monitoring and evaluation, and communications / visibility.
- Measures to enhance delivery at sub-regional and national level.

The Review considers that there is a good case for extending the project within the current budget in order to ensure effective use of funds and progress towards the project's objective and outcomes.

The Review makes ten recommendations summarised in Table 1.

Table 1: Summary of recommendations		
#	Issue	Recommendation
1	GEF project implementation	that for future projects involving multiple IAs, the IAs and executing partners collaborate to develop a reporting system that efficiently reflects their joint requirements prior to the start of the project (in order to avoid delays in implementation and also reduce transaction costs for EAs)
2	Project results framework	that the revisions Output level indicators as in Table 6 be adopted for the Project
3	Gender	that the Steering Committee clarifies that gender issues may be included in any/all of the four project components, and make any appropriate workplan and budget changes to reflect this.
4	M&E	that the Steering Committee reiterates the importance of gathering information to track the level of progress towards indicators and targets and make any appropriate workplan and budget changes to reflect this.
5	Sub-regional management	that FFA reviews approaches to sub-regional arrangements and identifies key or necessary success factors to be recorded as lessons learned from the Project and used in developing sub-regional management arrangements.
6	National level activities	that the Steering Committee, through the PMU, promotes active engagement with national fisheries departments highlighting role and potential for support for eligible national projects
7	National level activities	that FFA / PMU develop case studies / lessons learned about what works best for national implementation – especially in relation to a systematic approach to compliance/implementation of CMMs
8	Communications	that FFA / PMU develop a strategic approach to project communications including emphasis on audience-targeted knowledge products and use of social media (while respecting the requirements of confidentiality in certain areas)
9	Project extension	that the PMU develop a proposal for Project extension of up to 18 months to provide sufficient time for effective delivery of activities and expenditure in support of Project outcomes that would not otherwise be achieved
10	Emerging issues	that the IAs and executing partners commence a discussion towards development of a successor project targeting emerging issues/risks to Pacific fisheries

2. Introduction

This report presents the results and findings of the midterm review (MTR) of the Global Environment Facility (GEF) funded project titled, *Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States: Pacific Islands Offshore Fisheries Management Project*, also referred to as PIOFMP-II. The project is implemented by the United Nations Food and Agriculture Organisations (FAO) and the United Nations Development Program (UNDP) with the Pacific Islands Forum Fisheries Agency (FFA) as the primary Executing Partner. The participating Pacific Small Island Developing States (SIDS) are: the Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.

The findings and results of the MTR provide the basis for recommendations to assist successful implementation of the Project and achievement of the project objective and outcomes.

Purpose of the MTR and objectives

The main objective of this MTR, as stated in the Terms of Reference (ToR - attached as Annex A), is to assess progress towards the achievement of the project objective and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR is also tasked to review the project's strategy and risks to its sustainability; in this context the MTR was directed under the ToR to:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of participating countries?
- Review decision-making processes: 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 during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. Make suggestions for how relevant gender issues can be better incorporated and monitored in the project.
- Identify major areas of concern and make recommendations for improvement.

Scope & Methodology

In terms of scope, the MTR reviews the actions taken and status of the Project from inception through to November 2017. The Review focusses on progress at Objective and Outcome level. In line with the ToR, the review was undertaken in several stages:

1. Preparation / Inception

The initial stages involved dialogue between the Review Team and UNDP and FAO counterparts to confirm the objectives, methodology, approach, and timeframe for the MTR, as well as clarifying any points of ambiguity relating to the Terms of Reference. These elements, including methodology, interview procedures and timeframes, were consolidated into an Inception Report agreed between the Review Team and the Implementing Agencies (IAs).

A significant issue that emerged from this phase was the overall timing of the MTR. The Terms of Reference specified that the review be carried out over the period June – October 2017 (with the MTR mission in August, and final MTR Report submitted by 30 October 2017). This time frame was put back several months, with the Review Team being contracted in late September with the expectation of submitting the Final Report by the end of December 2017¹. A key flow-on effect of this was to change the timing and character of the MTR mission and stakeholder consultations as discussed below.

2. Review of Project documentation

The second stage comprised a comprehensive review of project documents and any other relevant documentation available. The Review Team reviewed a range of documentation relevant to the Project including project documentation (Project Document, Steering Committee Reports, Quarterly Progress Reports, Six-month Project Progress Reports, Project Implementation Review reports, etc) as well as documentation from other relevant processes (records, reports, decisions, policies etc). A list of documents is provided as Annex B.

3. MTR Mission

The Terms of Reference proposed a series of field missions to ‘different government agencies in 3 selected Pacific Island countries’, along with FFA, Parties to the Nauru Agreement Office (PNAO) and the Pacific Community (SPC). Due to the shift in timeframe, the field component was reduced to one visit to FFA Headquarters in the Solomon Islands. The Review Team mission to Honiara took place in late October 2017. Consultations were carried out in the margins of the PIOFMP-II Steering Committee meeting in Honiara over the period 25-30 October 2017. Opportunity was also taken to consult with stakeholders attending other meetings held back-to-back with the Steering Committee meeting.

The MTR mission aimed to collect primary qualitative and quantitative data by using key informant interviews. Key informant interviews focussed on a set of key questions aligned with the review questions. In each case they were tailored to the specific stakeholder role.

Interviews were semi-structured, being guided by the interview templates, while also allowing the opportunity to follow areas of specific interest to different key informants. Emphasis was placed on

¹ This was subsequently extended into 2018, to allow adequate time for review and feedback on the draft MTR report.

the thematic areas provided in the ToR, including project strategy, progress towards results, project implementation and adaptive management and project sustainability. Copies of the interview questions and templates are attached as Annex C. Stakeholder interviews were tailored to the four Project Components along the following lines:

Component 1 Regional Actions for EBM.

- Representatives of participating Pacific Island governments
- Project partner representatives:
 - The Pacific Islands Forum Fisheries Agency
 - The Pacific Community
 - Pacific Islands Tuna Industry Association (PITIA)
 - World Wide Fund for Nature (WWF)
- GEF Implementing Agencies:
 - Food and Agriculture Organization of the United Nations (FAO)

Component 2 Sub-regional Actions for EBM.

- Representatives of participating Pacific Island governments
- Project partner representatives:
 - The Pacific Islands Forum Fisheries Agency
 - The Pacific Community
 - Office of the Parties to the Nauru Agreement (PNA)
 - Te Vaka Moana (TVM)
 - Pacific Islands Tuna Industry Association
 - Tokelau Arrangement (TKA)
 - Melanesian Spearhead Group (MSG)

Component 3 National Actions for EBM.

- Representatives of participating Pacific Island governments
- Project partner representatives:
 - The Pacific Islands Forum Fisheries Agency
 - The Pacific Community

Component 4 Stakeholder Participation and Knowledge Management.

- Project partner representatives:
 - The Pacific Islands Forum Fisheries Agency
 - Pacific Islands Tuna Industry Association
 - World Wide Fund for Nature
- GEF Implementing Agencies:
 - United Nations Development Programme (UNDP)
 - Food and Agriculture Organization of the United Nations

Most of the stakeholder interviews were conducted during the MTR mission, with additional interviews carried out subsequently by phone or internet. The Review Team conducted interviews with representatives of 13 of the 14 participating countries, and all the Project Partner agencies apart from the Melanesian Spearhead Group. Further information on the MTR mission and stakeholder consultations is presented in Annexes D (Mission schedule) and E (persons interviewed). A summary of Initial Findings was presented to the Implementing Agencies (IAs) at the conclusion of the MTR mission.

4. Draft MTR Report

A draft MTR Report was prepared after the MTR mission and provided to the IAs and FFA Project Management Unit (PMU) in late November 2017 for review and feedback. An initial set of comments on the Draft MTR was provided to the Review Team in late January 2018. Once these were incorporated into the draft, further opportunity was provided for comment by IAs and participating countries during March 2018.

5. MTR Final Report

The draft MTR Report was revised in light of comments received, and the Final MTR Report submitted in early April 2018.

Limitations

The Review Team's intention was to emphasise direct engagement with stakeholders, particularly participating countries, in order to gather direct evidence of Project activities, and verify information in written documentation. However the re-arrangement of the MTR mission significantly limited the extent of stakeholder interviews. The MTR Mission was scheduled during a busy sequence of meetings for country representatives and FFA staff. It therefore proved difficult to find time for full interviews/discussions, particularly with country representatives. In addition, some country representatives were new staff with little background knowledge of the Project. The Review also found that for most country representatives, there was not a clear distinction between activities directly related to OFMP II project, and other work of FFA and SPC. For these reasons, the level of information obtained directly from countries is less than anticipated. Despite this, these discussions revealed some key themes and messages that were useful in informing the MTR (Box 1).

The Review Team compensated for the limited country interviews by arranging additional engagement with Project staff and other stakeholders remotely. The extended review period for the Draft MTR report assisted in this by allowing additional opportunity to follow up points of clarification (especially with PMU staff) over the period December 2017 – February 2018. Consequently, the MTR is based primarily on evidence in written reports associated with the project, clarified / validated through discussions with PMU staff, IA staff, and executing Partners. These were supplemented, as far as practicable, by limited discussions with Pacific Island country representatives. The Review Team is confident, with these additional measures, that the Review fairly and accurately represents the information available on the Project at the time of the MTR.

Structure of the MTR report

This MTR Report follows the structure set out in the Terms of Reference (Annex A) comprising:

- Section 1 – Executive Summary
- Section 2 – Introduction to the MTR
- Section 3 – Project Description and Background
- Section 4 – Findings
- Section 5 – Conclusions and Recommendations

The bulk of the information on the midterm status of the project is presented in Section 4 – Findings. The ToR provides additional guidance on the content of Section 4, including supplementary questions under the headings:

- i. Project Strategy
- ii. Progress towards results
- iii. Project implementation and Adaptive management
- iv. Sustainability

The Report does not list all these supplementary questions (they are provided in Annex A) but addresses them in turn under the relevant headings. A range of annexed material provides additional information on specific issues.

Box 1: PIOFMP-II - Summary of stakeholder messages – Pacific SIDS

Stakeholder interviews were held with representatives of 13 of the 14 participating Pacific SIDS: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Tonga, Tuvalu, Vanuatu. Summary highlights from these stakeholder interviews are presented below, along with representative stakeholder statements (in italics). It was notable, though unsurprising, that country officials with longer experience were more familiar with the project, and more strongly aware of the activities and benefits, than those new to their roles. The points highlighted are illustrative and do not represent all issues or suggestions made.

General view of the PIOFMP-II Project:

- Country representatives were unanimous in their positive views of the project
It's a really relevant and convenient framework to implement... and in line with in country program

Most helpful elements of the Project:

- MCS Working Group and MOC meeting support
- Strategic support for other meetings – Tropical Tuna, TKA, TVM
- Direct assistance to countries
- Access to funding for work at national level
- Training (e.g. MCS, boarding and inspection) and capacity building
- Fisheries management plans; NPOAs – IUU, sharks, seabirds, turtles
- Electronic Reporting and Monitoring; tuna data workshop / 'Tufman'
- Catch Documentation Scheme Workshop
- SEAPODYM – CC model
- Happy with project management

Specific challenges or areas for improvement:

- Tailoring the project to member country needs and priorities
- Limited capacity at country level.
- Awareness of the project:
Visibility is an issue with this project
Profile is low in terms of what the project is about
- Several expressed the view that they were missing opportunities for funding at national level
Given the amount of money for the project, very little has been done in [xx]

Areas for future focus:

- conventions/obligations, regionally and internationally (policies, management plans)
- More work on MCS and building support for member countries
- Scientific monitoring resources, timely data amongst members
- Developing women in capacity building for value-adding
- Support economy and food security
- E-monitoring expansion and implementation at national and regional level/ FIMS
- More practical climate change work for member countries
- Observers / observer safety / training
- Eco-labelling; export support, branding, adding value; developing local industry
- MPAs – ecotourism

Issue is lack in resources, capacity and technical skills and knowledge sustainable use and conservation – got to be a good thing.

3. Project description and Background

Project Overview

The PIOFMP-II project is designed to promote sustainable management of migratory oceanic fish stocks in the Western and Central Pacific Ocean (WCPO). It does so through supporting participating Pacific Island Countries at regional, sub-regional and national level to achieve ecosystem-based management of these fisheries. As indicated in its full title, it is designed to contribute to the incremental costs to Pacific SIDS of meeting their obligations under the UN Fish Stocks Agreement, the WCPF Convention, and other relevant global and sub-regional instruments, for the conservation and management of the oceanic fisheries resources of the Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTPWP LME), and protection of the LME from the impacts of oceanic fisheries.

The Project targets the International Waters (IW) GEF Strategic Objective 2:

catalyse multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change.

The Planned Global Environmental Benefits from the Project are:

Conservation of the globally important transboundary stocks of tunas, billfish and other large pelagic species, and the protection of the associated transboundary nontarget species, especially of sharks, seabirds and sea turtles in the WTPWP LME, while considering climatic variability and change

The Project Objective is:

To support Pacific SIDS in meeting their obligations to implement & effectively enforce global, regional & sub-regional arrangements for the conservation & management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries.

Background to project development

Sustainable use of the transboundary oceanic fish stocks of the Pacific Islands region is, for most Pacific SIDS, the most important potential contributor to their sustainable development. With their small land masses and large Exclusive Economic Zones, for some SIDS, sustainable fisheries for these stocks provide virtually the only opportunity to utilise their resources to support national sustainable development. Key contributions of fisheries to Pacific Islands development are shown in Table 2; this shows an average annual catch of more than 1.5 million tonnes in FFA members' EEZs over the period 2013 – 2015.

Table 2: FFA member states comparative development indicators av. 2013-2015

FFA member	Catch EEZ (t x 1000)	Value EEZ (US\$m)	GDP ² fishing (US\$m)	Employment (no.)	Exports tuna products (US\$m)	Fees as % Govt revenue (2015)
Cook Is	19.4	47.4	0.6	51	0.3	8.9
Fiji	6.6	27.4	8.4	3,641	125.0	0.1
FSM	174	325	29	185	27	47.2
Kiribati	559.7	960.9	4.8	873	89.3	54.4
RMI	56.2	124.3	93	1,685	128.8	45.1
Nauru	136.6	234.5	0.0	47	0.0	49.6
Niue	0.4	1.6	0.0	3	0.0	0.1
PNG	371.2	688.7	157.5	9,868	225.9	2.4
Palau	3.3	20.9	2.2	43	12.0	13.4
Samoa	1.9	6.2	5.5	302	4.3	0.4
Solomon Is	121.5	310.9	163.8	1,786	72.5	10.1
Tokelau	30.5	48.7	0.3	4	0.0	98.0
Tonga	3.7	14.0	1.8	95	1.2	1.9
Tuvalu	78.3	127.7	14.9	333	11.5	60.0
Vanuatu	7.6	27.8	94.3	155	145.6	1.1
Total	1,571.0	2,966.6	1,113.0	19,071	843.7	-

Modified from FFA Fisheries sustainable development indicators brochure

The oceanic fish stocks that are the subject of the Project are transboundary in nature. The target tuna fisheries are also globally important food stocks. In addition, fishing activity affects the globally important stocks of non-target species in these waters, especially sharks, seabirds and turtles. For this reason, GEF, FAO, UNDP and Pacific SIDS have placed the sustainable use of these stocks as a core element in their focus in Pacific fisheries. When the GEF/UNDP/Pacific SIDS partnership on transboundary oceanic stocks began in the mid 1990's, two key concerns were identified in relation to these stocks and the ecosystem of which they are part:

- i) a lack of understanding and knowledge about the target stocks and the impact of fishing on non- target species affected by fishing; and
- ii) the lack of a legally binding arrangement for the conservation and management of these stocks throughout their range, including the high seas, and of a coherent framework for the control of the fisheries upon those stocks

UNDP/GEF-supported International Waters funding for the Pacific SIDS has had a significant input into oceanic fisheries management outcomes and research in the Pacific Islands region for approximately 20 years. This input commenced with a Pacific Strategic Action Plan Project, implemented between 1999 and 2004. This project had two components: i) oceanic fisheries management and ii) integrated coastal and watershed management. The three-year oceanic fisheries management component underpinned the successful conclusion of the Western and Central Pacific Fisheries Convention, and was seen as a pilot for subsequent engagement.

That pilot phase also supported basic scientific assessment and monitoring programmes at national and regional levels. Subsequently, in the first full phase of GEF /SIDS cooperation under the Pacific Islands Oceanic fisheries Management Project (PIOFMP-I), the Convention was brought into force, largely through ratification by Pacific SIDS, and the Western and Central Pacific Fisheries Commission (WCPFC) established. The Commission, which is the world's largest regional fisheries management organization (RFMO), has as its objective the long term conservation and sustainable use of the region's highly migratory fish stocks.

PIOFMP-I was designed to support the foundational institutional and capacity building at the regional and national levels necessary to address the concerns, threats and root causes identified in the

² Gross Domestic Product

Strategic Action Plan (SAP). The support through PIOFMP-I was focused on ecosystem-related science and capacity building as well as reforming national laws to provide for the obligations associated with being Members of the Commission. At the same time the national legal, policy, control and monitoring programmes were restructured and strengthened.

With these developments, the initial institutional development phase of improvements to regional oceanic fisheries management had been largely accomplished, as was confirmed by the PIOFMP-I Terminal Evaluation. However it was recognised that substantially more action was needed to ensure that effective measures were put in place for sustainable Ecosystem-based management, and translate these institutional developments into systematic, sustained changes in fishing patterns and on-the-water behaviour.

Project Description

PIOFMP-II has four technical components which are designed to implement actions to support effective ecosystem-based management (EBM). Three of the four components are specifically designed to address the project objective; the fourth provides for stakeholder participation and knowledge management. The project design incorporates separate provision for project management activities. The four technical components are:

- Component 1: **Component 1: Regional Actions for Ecosystem-Based Management**- supports Pacific SIDS as the major bloc at the WCPFC to adopt regional conservation and management measures.
- Component 2: **Component 2: Sub-regional Actions for Ecosystem- Based Management**- supports the innovative approaches being developed by Pacific SIDS at a sub-regional level as they collaborate in common fisheries.
- Component 3: **National Actions for Ecosystem-Based Management**- assists Pacific SIDS to apply measures nationally in their own waters and to their fleets, which is the major component of the Project.
- Component 4: **Stakeholder Participation and Knowledge Management**- aims to enhance stakeholder participation, including industry participation in oceanic fisheries management processes, and improve understanding and awareness more generally of the challenges and opportunities facing Pacific SIDS in oceanic fisheries management.

The four Project components are described in more detail below.

Component 1: Regional Actions for Ecosystem-Based Management

The major focus of Component 1 is on the adoption and implementation of measures by the WCPFC. The component has two expected outcomes and five planned outputs. Expected Outcome 1.1 targets the adoption by the WCPFC of stock-related conservation and management measures and legal/compliance related conservation and management measures. Expected Outcome 1.2 is targeted at assisting the adaptation to climate change and variability of Pacific SIDS oceanic fisheries management strategies and the maintenance of their fisheries jurisdictions in the face of sea level rise.

Expected Outcome 1.1: A comprehensive set of innovative on-the-water conservation and management measures (CMMs) adopted and applied by the WCPFC for stocks of the WTPWP LME, incorporating rights-based and ecosystem-based approaches in decision-making and informed by sound scientific advice and information. Two outputs will contribute to this outcome. Output 1.1.1 will support the preparation of stock-related CMMs and Output 1.1.2 will support the preparation of CMMs related to the legal framework and compliance.

Output 1.1.1: Ecosystem-based CMMs to control fishing mortality for the 4 major target stocks & to mitigate fishing impacts on key non-target species reflecting global best practices supported by all Pacific SIDS are submitted to WCPFC for adoption:

Output 1.1.2: WCPFC & other regional legal arrangements and compliance mechanisms in 8 key areas to implement CMMs effectively & deter IUU fishing prepared and/or supported by all Pacific SIDS

Expected Outcome 1.2: Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool LME is put in place through better understanding of the impacts of climate change. The outputs for this outcome are aimed at the systematic inclusion of considerations related to climate variability and change in oceanic fisheries management decisions and policy-making, and in an updated SAP.

Output 1.2.1: Climate change forecasts and vulnerability of the Pacific SIDS region assessed in relation to 4 key target stocks and 6 key bycatch species assessed and results and recommendations communicated to managers of potential impacts on oceanic fisheries:

Output 1.2.2: Sea level rise impacts on fisheries jurisdictions assessed for 14 Pacific SIDS & Pacific SIDS governments informed on priority areas of action and policy options, with related initiatives and related training of at least 45 personnel:

Output 1.2.3: Updated TDA for oceanic fisheries and updated oceanic fisheries management aspects of the Pacific Islands IW SAP

Component 2: Sub-regional Actions for Ecosystem- Based Management

Component 2 will support the strengthening of sub-regional management arrangements among Pacific SIDS.

Expected Outcome 2.1: Sub-regional CMMs are operationalized and enforced, including rights-based cap and trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability and incentivized by sustainable fishery certifications. There are three planned outputs relating separately to the PNA, TVM and other sub-regional arrangements, most likely to be focused on MSG, respectively as outlined below.

Output 2.1.1: Recommendations of the external review of the PNA VDS being implemented and applied to 1 million tonnes of catch annually in the EEZs of 7 of the 9 participating SIDS, including 10,000 tonnes marketed as MSC-certified

Output 2.1.2: National harvest rights established and monitored for the 5 SIDS TVM participants:

Output 2.1.3: Enhancements to other sub-regional management arrangements. This element has been included to provide some flexibility for the Project to respond to other emerging sub-regional arrangements, particularly under the MSG, the members of which are responsible for substantial catches across several oceanic fisheries.

Component 3: National Actions for Ecosystem-Based Management

Component 3 addresses national actions for ecosystem-based management.

Expected Outcome 3.1: Innovative ecosystem-based on-the-water conservation and management measures (CMMs) being effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments

Three outputs are designed to contribute to this outcome. Output 3.1.1 is aimed at seeing regional and sub-regional CMMs, supplemented by national CMMs adopted at national level and included in national plans and policies. Output 3.1.2 supports SIDS in the next step of translating measures in plans and policies into binding legal requirements in national laws, regulations and licence conditions, and having these followed up through enhanced monitoring, control and surveillance. A 3rd output focuses on the application of CMMs for bycatch management because of the current importance of bycatch mitigation.

Output 3.1.1: 9 new national oceanic fisheries management plans and/or policies in support of ecosystem-based management adopted with enhancement of fisheries management skills of 60 SIDS fisheries management personnel in all 14 SIDS

Output 3.1.2: 11 revised national laws and regulations, and/or strengthened MCS programmes, and updated license conditions in all 14 SIDS to operationalise WCPFC CMMs and other relevant conservation and management instruments with support through skills enhancement of law and compliance in 14 SIDS:

Output 3.1.3: Mitigation measures for key bycatch species, including key shark species, integrated into national management planning processes by at least 11 SIDS.

Expected Outcome 3.2: Integrated data and information systems and scientific analysis being used nationally for reporting, policy-making, monitoring and compliance,

Output 3.2.1: Upgraded national data & information management systems developed & operationalized in 10 SIDS with training for around 350 personnel:

Output 3.2.2 National scientific analysis and support for ecosystem-based management of oceanic fisheries provided to all 14 Pacific SIDS, with training for around 120 personnel

Component 4: Stakeholder Participation and Knowledge Management

Component 4 will further increase multi-stakeholder participation including greater fisheries industry engagement and greater awareness with respect to oceanic fisheries management.

Expected Outcome 4.1: Greater multi-stakeholder participation in the work of the national and regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement and participation in Project, FFA, WCPFC and sub-regional activities.

The planned outputs for this outcome are:

Output 4.1.1 Broader stakeholder (Pacific SIDS, regional institutions, fishing industry and business sector, environmental NGOs, local NGOs, civil society, among others) awareness and involvement:

Output 4.1.2: Increased awareness and coordination through project workshops and meetings contributing to wider support for national, sub-regional and regional project activities with increased participation by women:

Output 4.1.3 Effective project implementation through monitoring and evaluation with feedback mechanisms utilizing the regional and sub-regional arrangements and existing national mechanisms:

Expected Outcome 4.2: Increased awareness of oceanic fisheries resource and ecosystems management and impacts of climate change.

The planned output for this outcome is:

Output 4.2.1 Knowledge management and information systems that support communications and advocacy efforts by Pacific SIDS for the best management of their oceanic fisheries resources, including creation of a project website, publications, participation in relevant UNDP, FAO and GEF events and information exchanges particularly in IW:LEARN

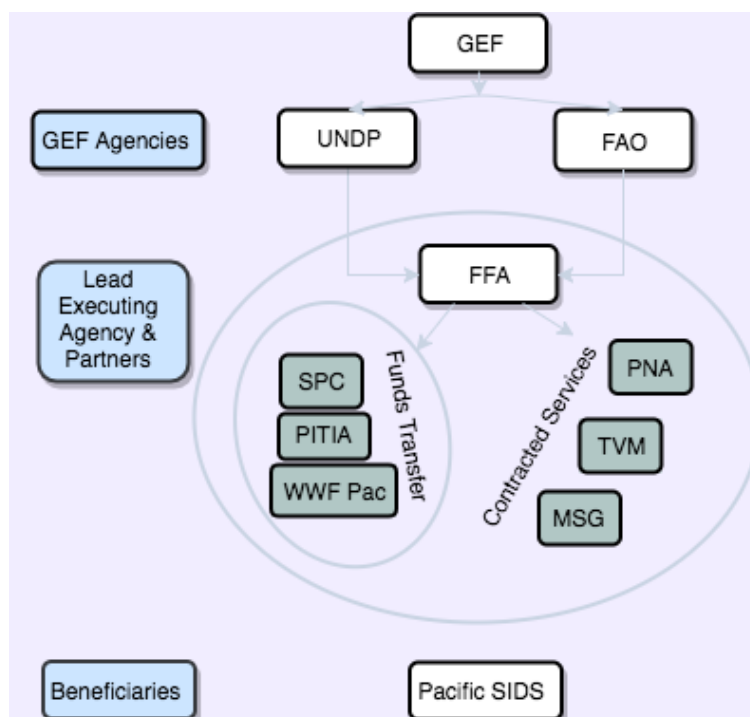
Each of the GEF Implementing Agencies is responsible for 50% of funding under the GEF grant. FAO and UNDP report on the project progress to the GEF Secretariat and provide financial reports in accordance with their respective agreements with the GEF Trustee. UNDP and FAO also provide implementation and technical support, as well as carrying out supervision missions at least once a year.

The PIOFMP-II executing partners are FFA, as the primary executing agency, and SPC, with additional support provided by the MSG, PITIA, PNA, TVM and WWF. In total there are over 20 agencies and entities directly involved with the project (including the 14 participating countries). The institutional arrangements are shown schematically in Figure 1; Table 3 shows the allocation of funds and roles.

Table 3: Project component funding and agency roles (Project Document)

PIOFMP-II structure	Budget (USD)	GEF Implementing Agencies		Executing Partners		Other Partners
		FAO	UNDP	FFA	SPC	
Component 1	1,603,900	1,530,100	73,800	881,650	722,250	PNA
Component 2	2,000,000	2,000,000		2,000,000		TVM
Component 3	4,451,200		4,451,200	2,289,800	2,161,400	MSG
Component 4	1,469,900	1,469,900		1,469,900		PITIA WWF
Project Management	475,000		475,000	475,000		
	10,000,000	5,000,000	5,000,000	7,116,350	2,883,650	

Fig 1: Major Institutional Arrangements for PIOFMP-II



Adapted from Project Document

A brief description of the Lead executing agency and partners follows below.

Forum Fisheries Agency (FFA) (www.ffa.int) is the major regional fisheries body for tuna for Pacific SIDS. The Agency was established in 1978 to help countries sustainably manage the fishery resources that fall within their EEZs. FFA is an advisory body providing expertise, technical assistance and other support to its members who make sovereign decisions about their tuna resources and participate in regional decision making on tuna management through agencies such as the WCPFC.

The Pacific Community (SPC): (www.spc.int) SPC is a regional intergovernmental organization whose membership includes both metropolitan and Pacific Island states and territories. The SPC Oceanic Fisheries Programme within the Fisheries Aquaculture and Marine Ecosystems Division provides scientific services relating to oceanic (primarily tuna) fisheries management to SPC Members and related organisations. It also acts as the scientific and data services provider to the WCPFC, through programmes in four main areas – fisheries monitoring, stock assessment and population modelling, ecosystem monitoring and analyses (including the impacts of climate change) and data management.

Parties to the Nauru Agreement (PNA): (www.pnatuna.com) The Nauru Agreement Concerning Cooperation in the Management of Fisheries of Common Interest (Nauru Agreement) is a subregional agreement between eight Pacific SIDS that collectively control 25-30% of the world's tuna supply and approximately 60% of the western and central Pacific tuna supply. The PNA have been concerned mainly with the management of tuna purse-seine fishing in the tropical western Pacific. The PNA Office has its headquarters in Majuro, Republic of the Marshall Islands.

Te Vaka Moana (TVM): (www.tevakamoana.org) the Te Vaka Moana Arrangement is an agreement to cooperate in shared fisheries interests between five Polynesian SIDS and New Zealand. When the

Project was in development it was expected that TVM's work would centre on the management and development of shared fisheries resources, to ensure their sustainability, to leverage greater economic benefits, and protect the important role that fisheries play as a source of food for TVM communities.

Pacific Islands Tuna Industry Association (PITIA): (<http://pacifictuna.org>) PITIA was established in 2004 to provide a united voice for Pacific Island domestic tuna industries, promote sustainable use of resources by domestic tuna industries and liaise with other relevant bodies on behalf of its members. The PITIA membership includes 14 Pacific Island countries and several national industry associations.

World Wildlife Fund (WWF) South Pacific: WWF is a global conservation organization. The WWF South Pacific programme is largely focused on conservation and natural resource management of the marine environment. WWF South Pacific is engaged in baseline activities through its established Offshore Fisheries programme which focuses on advocacy and awareness, fisheries certification and tuna bycatch reduction.

Melanesian Spearhead Group (MSG): (www.msgsec.info) MSG works to support increased collaboration amongst its members (Fiji, *Front de Liberation Nationale Kanak et Socialiste* (FLNKS) of New Caledonia, PNG, Vanuatu and the Solomon Islands). MSG maintains a Fisheries Technical and Advisory Committee that deals with fisheries issues.

Tokelau Arrangement (TKA): TKA was established to promote optimal utilisation, conservation and management of fish stocks amongst members. It has been working over recent years to develop a Catch Management Scheme for the South Pacific Albacore Fishery, with a view to adopting binding management measures.

The overlapping membership of selected Pacific regional organisations and processes is shown in Table 4.

	Cook Isles	FSM	Fiji	Kiribati	RMI	Nauru	Niue	Palau	PNG	Samoa	Sol. Isles	Tonga	Tuvalu	Vanuatu
PNA														
TVM														
TKA														
MSG														
FFA														
SPC														

Notes:

For TKA: indicated are signatories to the Arrangement; Kiribati has also participated in discussions on a Catch Management Scheme for Southern Albacore.

³ Membership in some cases extends beyond the participating countries

4. Findings

4.1 Project Strategy

Project Design

Problem being addressed and underlying assumptions

The Review assessed the project design as set out in the Project Document and associated documentation. The Project can be seen to address two interlinked problems; the sustainable management of the WCPO tuna fisheries, and Pacific SIDS' capacity to engage in and implement the decision-making processes to manage those fisheries⁴.

On the first of these, the ongoing work of the WCPFC indicates ongoing interest and concern about the status and management of WCPO tuna and non-target stocks. On the second, the need for support to develop the capacity of Pacific SIDS in the fisheries sector has been repeatedly highlighted by Pacific Island Leaders (Refer Box 2) and was confirmed in the Review Team's discussion with participating country representatives.

Relevance and lessons learned

The PIOFMP-I Terminal Evaluation (TE) made several recommendations/observations that are relevant to the development and design of PIOFMP-II. The Terminal Evaluation made four recommendations which are outlined below:

- i. **Case Study Material:** The TE highlighted:
 - a. The contribution made by the two regional organisations – FFA and SPC – to the success of the project
 - b. The importance of 'empowering Small Island Developing States in their engagement with much larger countries' in the context of the WCPFC
- ii. **Moderating the scale of LogFrames:** The TE observed that 'a large and detailed LogFrame...has proved very effective in guiding the operational side of project implementation, but has proved unhelpful in effecting appropriate project Monitoring and Evaluation..... future project design a more concise LogFrame, and earlier clarification and full testing of the M&E system, is indicated'
- iii. **Early testing of M&E systems:** The TE stated that "The complexity of the project, and of UNDP and GEF reporting systems, has led to confusion, to the point where it has been easy to lose sight of the logic and coherence of the links between project activities and project development and environmental objectives..... Confusion over what GEF and UNDP performance assessment formats to use have only complicated matters further. Some clearer guidance to implementing and executing agency officers on these matters is indicated.
- iv. **Better integration of GEF projects with other donor projects:** The TE recorded that 'On a number of fronts project activities requiring delivery at the national level have under-performed' concluding that 'Linking this project to a parallel programme of national institutional reform could have obviated this'.

The PIOFMP-II project strategy has absorbed elements of these recommendations through:

- Building on the strength of the regional agencies for project execution
- Incorporating regional (WCPFC-related), national and sub-regional components into the project design

⁴ The Project Document recalls that these issues were raised in the SAP in terms of 'deficiencies in management related to weakness in governance'

- Including donor representation in the Project Steering Committee

The three technical components of the project strategy target key points of intervention (regional, sub-regional, and national) in the overall fisheries management system. These remain strongly relevant, providing leverage for effective delivery of the objective and outcomes.

Country ownership / priorities

Participating countries were consulted and supported the Project and its design, as were industry and NGO stakeholder representatives. Interviews with representatives of participating countries indicated good alignment of Project activities with country priorities.

Components 1 and 2 of the project are inherently ‘country driven’ in that they focus on the actions and negotiations of sovereign states in intergovernmental decision-making (with support through regional agencies, FFA and SPC, through PEOFMP-II). Component 3 explicitly addresses capacity / governance issues at national level.

The Project is strongly aligned with fisheries priorities adopted by Pacific Island Leaders under the Framework for Pacific Regionalism (Box 2).

Box 2: Framework for Pacific Regionalism – fisheries a key priority for Pacific Leaders

In 2014, Leaders of the Pacific Islands Forum endorsed a Pacific Vision that was for a region of peace, harmony, security, social inclusion, and prosperity, so that all Pacific people can lead free, healthy, and productive lives. The Framework for Pacific Regionalism (FPR) represents their long term commitment to deeper regionalism as a means to achieving this vision. Four principal objectives underpin this commitment: sustainable development, economic growth, strengthened systems, and security for all.

Under the Framework Pacific Leaders can adopt up to a maximum of five regional priorities; in 2015, Leaders adopted fisheries as a regional priority issue under this mechanism. Leaders subsequently adopted a program of action for increasing economic returns from fisheries. The program focusses on four Goals:

- Sustainability
- Value
- Employment
- Food Security

Regional agencies involved with fisheries, led by FFA and SPC, report annually to Leaders on progress through annual Report Cards on Tuna Fisheries and Coastal Fisheries.

Links:

FPR: <http://www.forumsec.org/resources/uploads/attachments/documents/what-is-the-framework-for-pacific-regionalism.pdf>

Tuna Report Card: http://ffa.int/system/files/Tuna_fishery_report_card_2017.pdf

Decision-making

The Project Document records extensive consultations during project preparation and includes substantive evidence of national consultation (summarised into fourteen National Project Preparation Reports), that informed decisions on the project design.

Gender

The Midterm review of PIOFMP-I identified the lack of focus on gender as a weakness in the earlier Project that “should be explicitly addressed in any future capacity-building projects”. However the issue was not picked up in the Terminal evaluation, which had very little to say on gender.

Gender issues are identified in the PIOFMP-II Project Document under the headings of ‘social-economic and financial’ issues, and ‘social sustainability’. The supporting discussion draws on earlier work in the Pacific Islands region that identified three ways to increase women’s participation in the fisheries sector:

- i. Raising the profile of fisheries as a potential career as well as the profile of women already working in the sector
- ii. Providing a support network for women in fisheries
- iii. Strengthening the institutional level (work and conditions)

The Project Results Framework does not include specific gender-focused objectives or outcomes, but some gender-disaggregation is specified in relation to indicators/reporting, for example:

- Under the Project Objective, the indicator of benefits to Pacific SIDS includes “b) employment by gender”⁵, with a target which includes “increasing proportion of women” in a growing employment pool.
- Output 4.1.2 calls for “increased participation by women” in workshops and meetings, with a target of “increasing [numbers] of women participating as SIDS representatives”.

The Review understands that since the Project was approved, the GEF has put in place requirements for gender analysis to be carried out⁶. While this is not a requirement for the current project, it is evident that there is increasing interest in gender considerations in relation to donor projects, including those funded through the GEF.

In line with point i) above, the Project has put significant effort into highlighting positive role models for women in Pacific fisheries. The publication *Moana Voices*, ‘highlight[s] the increasing achievements of women in commercial and technical roles’ in the sector. This has been received positively and the PMU advised that follow-up work is intended in this field.

The MTR Team heard that there was a degree of push back from one of the GEF Implementing Agencies about funding this publication, because of the absence of budget allocation relating to gender in the project design. The MTR considers that this could be addressed through specific guidance/clarification from the Steering Committee on the issue.

The Steering Committee has discussed gender issues, notably at its meeting May 2017, the record of which includes the following:

In 2014, fisheries training workshops for more than 1600 officials there were less than 300 female participants. Gender participation is an indicator in the OFMP2 project, and there will be a gender survey at FFC to inform the revised KM and its workplan. There are however perceptions of negativity and antagonism that require education to counter.

⁵ This is consistent with the wording of GEF IW Outcome 2.3 which refers to “community benefits (disaggregated by gender)”

⁶ This is cited in the 2017 PIR for Projects under GEF 6; the Review understands that the current Project was approved under GEF 5.

FFA produces an annual Tuna Fisheries Report Card which reports employment in the fisheries sector, but employment figures are not disaggregated by gender.

The MTR reviewed a sample of meeting and workshop reports and found that a list of participants is usually included, but not explicitly disaggregated by gender. A summary of gender participation in selected Project Steering Committee meetings is provided in Table 5. This is based on representatives of participating countries only (i.e. it does not include observers or project partners such as FFA or UN staff)⁷. Annex F provides further information on gender aspects of the project.

Table 5: Gender participation in PIOFMP-II Steering Committee		
Project SC	Inception 2015	October 2017
% women participating	13%	27%

Results Framework/Logframe

The Project Document sets out an array of objectives, outcomes and outputs for the Project, along with indicators and targets. Because of the time elapsed between development of the Project Document (initiated circa 2010) and project start (2015), an independent report was commissioned to update the baseline status and indicators/targets.

The resulting report: *Baseline study and performance indicators for the Pacific Islands Oceanic Fisheries Management Project (PIOFMP II)* (Baseline Report⁸), includes an analysis of the targets and performance indicators, in some case proposing new or revised measures and targets. The Review Team has reviewed the performance indicators in the Project Document and Baseline Report and proposes a small number of further changes. The Review Team's approach to this exercise was to:

- a) To accept the proposals in the Baseline Report, unless there was some ambiguity about their meaning or intent.
- b) In other cases; only propose changes where there is a specific reason to do so (i.e. we have not attempted to 'edit' the existing text where the intent is clear).

In addition:

- Objective and Outcome statements are unchanged, but some amendments are proposed to associated indicators/targets.
- A small number of changes are proposed to Output statements, and their associated indicators/targets.

The proposed changes are shown in full in Table 6; in each case a short explanation / rationale is provided. Note that, for brevity, only the text changes are included (other text remains as in the Project Document, as modified by the Baseline Report).

⁷ As gender is not explicitly recorded, these percentages are largely based on names recorded on the attendance list, interpretation of which may not be fully accurate in relation to gender.

⁸ The concept of a Baseline report arose from experience in PIOFMP-1, specifically to allow updating of indicators etc to reflect changes to base conditions between project development and implementation. The concept was incorporated into the Project Management component of PIOFMP-II. FFA contracted Ian Cartwright, of Thalassa Consulting Pty Ltd to prepare the Report, which was published in January 2017. It provides a comprehensive review of project context and guidance to the PMU on project delivery. It also includes a full commentary on the project results framework: indicators, baseline and end of project targets.

Table 6: Logframe changes to indicators and targets			
	Indicator	End of project target	Rationale for change
Planned Global Environmental Objective	Status of 4 key WCPO tuna stocks	Scientific projections indicate that fisheries on the major target stocks expected to result under the CMMs are sustainable.	This is the text in the <u>Project Document</u> . It is included/confirmed here because the Baseline report appears to merge the Global Environment Object with the Project Objective, creating some uncertainty about the status of the indicator and target in relation to the four key tuna stocks. NB: the Global Objective is about status of stocks, while the Project objective is about supporting Pacific SIDS in (influencing and) implementing management measures.
	Status of key WCPO non-target species	Reductions in catches and/or fishing mortalities of key non-target species.	This is the text in the <u>Project Document</u> . It is included/confirmed here because the Baseline report appears to merge the Global Environment Object with the Project Objective, creating some uncertainty about the status of the indicator and target in relation to non-target stocks. NB: the Global Objective is about status of stocks, while the Project objective is about supporting Pacific SIDS in (influencing and) implementing management measures.
Outcome 1.1	Comprehensive & effective CMMs applied to all four major target stocks by 2017.	Comprehensive & effective CMMs applied to all four major target stocks by 2017.	This is the text as proposed in the Baseline report. It is included here because the Baseline Report includes additional text: "Effectiveness of those CMMs will only be measurable beyond the life of the project (year 8)", but elsewhere states that it disagrees with this statement. The text proposed here is our understanding of the intent of the Baseline report.
	Extent of application of WCPFC CMMs for major non-target species threatened by WCPO tuna fisheries	CMMs reflecting Scientific Committee advice & best practice among tuna RFMOs in place for protection of all major non-target species identified by the Scientific Committee by end year 2 as threatened by WCPO tuna fisheries.	CMMs reflecting Scientific Committee advice & best practice among tuna RFMOs in place for protection of all major non-target species identified by the Scientific Committee by end year 2 as threatened by WCPO tuna fisheries.
Outcome 4.1	Number of national consultative or advisory processes / committees created or strengthened & operational.	Effective national advisory processes established and operational in at least 10 Pacific SIDS	The indicator is unchanged, but the end of project target amended to allow some flexibility about the most efficient/effective mechanism at national level (which may not necessarily be a formal Committee)

4.2 Progress Towards Results

The Review undertook an assessment of the Logframe indicators against progress towards end-of-project-targets at Outcome level. The assessment was based on reported progress available at the time of the MTR. The full *Progress Towards Results Matrix* is attached as Annex G. Before providing an overall assessment of progress it is useful to provide an overview in relation to the Planned Global Environmental Benefits.

Global environmental benefits

As set out in the Project Document, the Global environmental benefits focus on conservation of the globally important transboundary stocks in the Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTPWP LME). This has two key elements; tuna stocks, and non-target species, measured by the indicators and targets in Table 7.

Table 7: Global Environmental Benefits		
Planned Global Environmental Benefits	Indicator	End of Project Target
Conservation of the globally important transboundary stocks of tunas, billfish and other large pelagic species, and the protection of the associated transboundary nontarget species, especially of sharks, seabirds and sea turtles in the WTPWPLME, while considering climatic variability and change	Status of 4 key WCPO tuna stocks	Scientific projections indicate that fisheries on the major target stocks expected to result under the CMMs are sustainable
	Status of key WCPO non-target species	Reductions in catches and/or fishing mortalities of key nontarget species.

Recent reports from the WCPFC Scientific Committee show a change of status of the bigeye tuna stock, which is no longer considered to be overfished, as shown in Table 8. This is a significant change and very positive from a sustainability perspective. However the assessment comes with some cautions as reported in Box 3. A summary of the relevant WCPFC conservation and management measures is attached as Annex H.

Table 8: MTR - status of four key tuna stocks				
	Baseline Study (2015)		MTR (2017 Report Card)	
Tuna stock	Overfished?	Overfishing?	Overfished?	Overfishing?
Skipjack	Not overfished	Overfishing is not occurring	Not overfished	Overfishing is not occurring
Yellowfin	Not overfished	Overfishing is not occurring	Not overfished	Overfishing is not occurring
Bigeye	Overfished	Overfishing is occurring	Not overfished	Overfishing is not occurring
Southern Albacore	Not overfished	Overfishing is not occurring	Not overfished	Overfishing is not occurring

Box 3: WCPFC SC 13 – excerpts relating to bigeye tuna stock status

SC13 noted that the positive changes for bigeye tuna stock status in the 2017 assessment are primarily due to three factors: the inclusion of the new growth curve information, the inclusion of the new regional assessment structure, and the estimated increases in recruitment in recent years. In terms of the cause of the recent increases in recruitment, SC13 commented that it was unclear whether the recent improvement was due to positive oceanographic conditions, effective management measures to conserve spawning biomass, some combination of both, or other factors. SC13 also noted the recent recruitment improvements for yellowfin and skipjack tunas. SC13 also noted recent recruitment improvements for bigeye tuna in the Eastern Pacific Ocean.

SC13 also noted that, regardless of the choice of uncertainty grid, the assessment results show that the stock has been continuously declining for about 60 years since the late 1950's, except for the recent small increase suggested in the new growth curve model grid.

SC13 noted that there has been a long-term increase in fishing mortality for both juvenile and adult bigeye tuna, consistent with previous assessments.

SC13 noted that there has been a long-term decrease in spawning biomass from the 1950s to the present for bigeye tuna and that this is consistent with previous assessments.

Management advice and implications

Based on the uncertainty grid adopted by SC13, the WCPO bigeye tuna spawning biomass is likely above the biomass LRP and recent F is likely below FMSY, and therefore noting the level of uncertainties in the current assessment it appears that the stock is not experiencing overfishing (77% probability) and it appears that the stock is not in an overfished condition (84% probability).

Although SC13 considers that the new assessment is a significant improvement in relation to the previous one, SC13 advises that the amount of uncertainty in the stock status results for the 2017 assessment is higher than for the previous assessment due to the inclusion of new information on bigeye tuna growth and regional structures.

Based on those results, SC13 recommends as a precautionary approach that the fishing mortality on bigeye tuna stock should not be increased from current level to maintain current or increased spawning biomass until the Commission can agree on an appropriate target reference point (TRP).

Progress towards results at Project Outcomes Analysis

A summary of the full Progress towards Results Matrix is set out in Table 9. Ratings scales used in the MTR are attached as Annex I.

Assessment Key

Green = Achieved	Yellow = On target to be achieved	Red = Not on target to be achieved
------------------	-----------------------------------	------------------------------------

Table 9: Summary of progress towards results ratings			
Progress towards results	2017 Midterm level & assessment	MTR Rating	Justification for rating (summary)
Project Objective		Rating: MS	Work is well underway in aligning Pacific SIDS' legislation and policy with WCPFC requirements; it is less clear that systematic processes are yet in place with respect to new measures being adopted. Targets relating to employment and access fees appear to be on track.
Outcome 1.1		Rating: MS	Conservation and Management Measure (CMM) applying to 'bigeye, yellowfin and skipjack tuna in the Western & Central Pacific Ocean' adopted in 2016 (CMM 2016-01). CMM 2015-02 addressed South Pacific Albacore but is not considered 'comprehensive'. No stocks are currently overfished, nor is overfishing occurring. No additional bycatch measures yet adopted during the term of the project.
Outcome 1.2		Rating MS	Work is ongoing work on climate change effects and modelling – identified as priority area by Project Steering Committee. Jurisdictional study completed.

			Tenders invited for new TDA and IW SAP.
Outcome 2.1		Rating MS	Operational cap and trade measures in place for purse-seine and in process for longline fisheries for PNA membership. MSC certification for compliant skipjack products. Other sub-regional approaches less advanced.
Outcome 3.1		Rating MS	Work is ongoing work to address country-level actions through development / revision of management plans and regulatory requirements. This work slowed by delays at start of Project.
Outcome 3.2		Rating S	Progress well advanced on regional and national systems and support.
Outcome 4.1		Rating S	Participation of selected industry and eNGO representatives in the Project Steering Committee has been successful in extending breadth of engagement with civil society.
Outcome 4.2		Rating MS	Successful in providing media content and engaging Pacific Leaders in fisheries issues; project visibility can be improved.

Commentary on Progress towards results

The Results Matrix raises significant issues with respect to Project implementation:

Sub-regional groupings. The Matrix notes the changes in role and function of sub-regional groups and difficulties in developing sub-regional management measures. The Project document sets output targets (2.1.2; 2.1.3) for two sub-regional groupings – MSG and TVM – which, to this point, have had a diminished role in Project activities and fisheries management in general. At the current rate of progress these particular outputs are likely to be delayed or not achieved.

On the face of it, slow progress in this component may call into question the merit of working with sub-regional groups. The Review Team considered this and is firmly of the view that subregional groupings are a key element of the fisheries management system. Recent history has shown that much of the ‘heavy lifting’ in terms of zonal and rights-based management in the WCPO has been done through sub-regional groups, led by the PNA.

The challenge for the project is that the most effective modes of sub-regional management are not always clear-cut, and there is a continual ebb and flow of emphasis and membership of groupings, particularly in the phase during which potentially binding agreements are being negotiated.

The Review Team notes that the Steering Committee, on advice from the PMU, has initiated steps to improve traction in this area through;

- Developing areas of work with TVM members
- Re-engaging with MSG, through PMU participation in an MSG Fisheries Technical Advisory Committee meeting in November 2017⁹
- Agreeing to provide support to sub-regional management under the Tokelau Arrangement (agreed at the Steering Committee meeting of May 2017)

The MTR endorses these initiatives as sensible and pragmatic responses to the changes in the WCPO sub-regional groupings. The MTR also considers that it would be useful to have some analysis on the factors behind the longevity and effectiveness, or otherwise, of sub-regional groupings / actions. This would provide documentation of lessons learned to be applied within the project and potentially in other regions.

⁹ This meeting took place 13-17 November 2017 with PMU participation.

National implementation. National implementation of CMMs is ultimately the responsibility of WCPFC member governments. Efforts under the project to support national policies, plans and legislation have been extensive (Table 10) and helpful, but continue to be hampered by capacity limitations and competing priorities in-country.

Table 10: FFA record of actions at national level in participating countries (2017)														
	Cook Isles	FSM	Fiji	Kiribati	RMI	Nauru	Niue	Palau	PNG	Samoa	Sol. Isles	Tonga	Tuvalu	Vanuatu
National policy etc														
NPOA sharks														
NPOA seabirds														
NPOA turtles														
NPOA IUU														
Observer pro.														
Port sampling														
Data management														

Key

No action recorded	In progress or planned	Specific action completed (e.g. national policy or plan)
--------------------	------------------------	--

The PMU has, through the Steering Committee, encouraged participating countries to make use of the resources available under the Project. However the country consultation interviews (Box 1) showed that there remain barriers in terms of knowledge of how to do this. At the same time there is no shortage of project needs and concepts at national level. The MTR considers that some case study material would be useful in illustrating benefits for participating countries.

Coded red. To address the issues identified in the red coded outcome areas in Table 8, the Review Team suggests some changes of emphasis and extension of timeframe as discussed under the Conclusions and Recommendations section.

GEF Tracking Tool

The GEF International Waters Tracking Tool provided a further input into the MTR. The Review Team was provided with two iterations of the GEF Tracking Tool for the Project:

- A version prepared during development of the Project Document, dated 20/8/2013 (Baseline)
- A version prepared for the MTR, dated 10/10/2017

Comparison of the Baseline and 2017 versions of the Tracking Tool highlighted a number of areas as summarised below:

Process Indicators:

Of the 12 Process indicators; ratings remained the same for all but one¹⁰: the indicator 'National/local reforms' improved from '3' to '4' in the rating scale, based on there being 'dynamic processes in place in support of national legal systems review and updating'.

¹⁰ Note that the ratings are based on a four point scale where 4 is the 'best' rating. Five of the Process Indicators were rated '4' at Baseline.

Two indicators relating to the Transboundary Diagnostic Analysis (TDA) and Strategic Action Program (SAP) received a low rating ('1') in both the Baseline and 2017 versions of the Tool. The 2017 version noted that a contract has been let to develop a revised TDA and SAP.

Stress Reduction Indicators:

Ratings for Stress reduction indicators remained the same in the Baseline and 2017 versions; the latter version noted the role of two WCPFC Committees in monitoring effectiveness of, and compliance with Management Measures adopted by the WCPFC.

The 2017 version notes that discarding of target species 'has been virtually eliminated in the WCPO purse seine fishery'

Water, Environment & Socioeconomic Indicators:

The single indicator in this field was rated '4' in both the Baseline and 2017 versions. The latter version noted WCPFC and FFA's roles in monitoring relevant indicators; target and non-target species, as well as economic indicators.

IW:Learn Indicators:

The two indicators in this field were not rated at the Baseline, but each rated '4' in the 2017 version. This reflected 'active project participation in IW learn and LMA meetings', and the role of the project web portal.

Remaining barriers to achieving the project objective

There remain some barriers that broadly relate to the capacity of participating countries. This has several elements:

- i. Shifts in the emphasis of sub-regional groupings/entities and their capacity to develop working fisheries management arrangements
- ii. Limited capacity at national level to develop and implement national-level activities
- iii. Related to the above, some PIC representatives commented on the multiple projects and donors operating in the fisheries sector putting pressure on the capacity of small agencies.

Capacity issues have contributed to the slowed rate of project achievement in terms of both activities and outcomes. The project is designed to address these capacity development issues (especially i and ii), however a key barrier is the limited amount of time remaining to complete outputs and achieve Project Outcomes.

4.3 Project Implementation and Adaptive Management

4.3.1 Management Arrangements

The Project Document sets out a management structure for the Project involving multiple agencies and partners. Certain aspects (e.g. the dual UN Implementing Agencies) led in an initial lack of clarity around responsibilities and reporting lines/mechanisms. This in turn contributed to delays in funding and delivery. The GEF Implementing Agencies and executing partners have worked jointly to address these issues and they appear to have been effectively resolved by the time of the midterm review.

This has involved alignment of some processes, along with additional training/familiarity amongst Project staff and executing/other partners.

At the time of the Review the PMU was seen to be functioning well and had the confidence of the participating countries, IAs and other partners.

The PMU has encountered practical difficulties with the establishment of National Consultative Committees and developed an approach that provides for engagement without imposing additional administrative burden at national level. This is based on country-led consultation/consultative processes that reflect national circumstances and capacity.

The executing agencies/partners appear to form an effective set of working relationships. The primary executing partners – FFA and SPC – have a long history of working together constructively, and this is apparent under the current project. There is a great deal of synergy between the two agencies and a joint commitment to supporting the Project and its Outcomes.

The ‘other partners’ (as described in the Project Document) also play an effective role in delivery of the Project. PITIA and WWF have contributed in their respective fields and participated in the Steering Committee processes.

The PNA Office continues to administer and enhance the purse seine Vessel Days Scheme (VDS) while also developing an analogous scheme for longline vessels. The Office also develops supporting systems for data management and implementation of the VDS. The two other subregional entities; TVM and MSG, have, for different reasons, played a lesser role. The PMU is working with MSG to increase engagement, and at the same time seeking other means to support sub-regional initiatives.

Co-implementing agencies

The dual arrangement between the co-implementing agencies attracted comment from several stakeholders; one advised the RSC that the dual (UNDP and FAO) system set up an overly complex set of reporting requirements that could be usefully streamlined. This echoes the comments from the TE of PIOFMP-I (cited above) regarding the complexity of that project. It can be argued that the addition of the dual IA arrangement adds further complexity to PIOFMP-II. Working with the dual system has been a learning experience for all parties involved, but by midterm there seemed to be a reasonable level of acceptance, and workable arrangements had been developed. The discussions on any risks identified in the project is highlighted in quarterly reporting and monitored accordingly. To date very little to no-risk has been identified.

Each IA assigns a team to provide technical support to the Project and advise the Project Management Unit on best practices for successful project implementation. FAO and UNDP are also represented at Regional Steering Committee (RSC) meetings.

Overall, the Review Team observed a constructive approach from the implementing agencies and Executing partners during consultations. However, the Team considers that some of the administrative issues could have been avoided through efforts to streamline the administrative requirements (and PMU training) at an earlier stage.

4.3.2 Work planning

The PMU provides full documentation to the RSC to support its role in governance and planning. The most recent RSC meeting was brought forward to October 2017 to allow for the annual work plan and budget to be considered/approved prior to the start of the planning year (2018). This change enables efficient delivery of activities from the start of the financial year, and avoids the situation which would

otherwise arise, whereby the first five months of the financial year would be conducted without an approved plan/budget¹¹.

The workplan and budget is built around the outputs and sub-outputs in the logframe. The logframe itself provides the 'intervention logic' linking outputs to outcomes, and to the higher-level objectives. The Baseline Report also provides some detail on 'key future activities planned and directly funded under PIOFMP-2'. This elaborates on the Project Document to provide guidance to the Steering Committee and PMU in relation to project delivery.

Two issues contributed to delays in implementation in the early phase of the project. Firstly, the 'bedding in' phase of the reporting system caused a delay in the acceptance / finalisation of the initial six-monthly project report to FAO. This in turn caused a delay in the transfer of project funds (discussed below), with consequent effects on project activities. This matter was made more challenging by unexpected delays in recruiting the Project Finance and Administrative Officer.

Secondly, an administrative change was implemented by the GEF agencies changing the planning year to align with the calendar year. This affected the project in two ways. The first was that it created a mis-match between the management/planning year between the GEF IAs and the two regional executing agencies (FFA and SPC). The second, with longer term implications for the project, was that project timeline moved from Year 1 to Year 2 after only a few months' project activity. This meant that Year One quarter three became Year Two quarter one and the associated Year Two budget was applied, so in effect the nominal project term of four years was reduced by several months in 'real time'.

4.3.1 Finance and co-finance

Project finance

Financial management of the project operates within FFA's overall corporate and financial management structure. FFA's finance and accountability arrangements have been upgraded over recent years to comply with increasing donor standards, notably the '7-pillar assessment process' mandated by the EU¹².

As noted above there was a delay in transfer of Project funds early in the project's implementation, with FFA and SPC carrying significant shortfalls (of several hundred thousand USD), while maintaining project activities from internal short-term transfer of funds. Amongst other things, this demonstrated the high level of flexibility and determination to maintain services shown by FFA and SPC. Finance papers provided to the SC show that a further payment tranche was held back to March 2017 'due to low project delivery', indicating a loss of early momentum with the project. The IA's and Executing Partners confirm that source of these difficulties has been addressed through a combination of flexibility and additional training. With these developments, and the (delayed) appointment of the project finance officer, the financial management of the Project appears well in hand.

For the October 2017 Steering Committee meeting, the PMU provided background papers with summary financial information along with a workplan and budget for the 2018 calendar year (the summary paper on Project revenue and expenditure is attached as Annex J). It was noted that overall, the budget is significantly underspent compared to the disbursement profile set out in the Project Document (refer Table 11).

¹¹ A further example of adaptive management

¹² The MTR was advised that FFA compliance was confirmed in 2017

Table 11: UNDP and FAO Budget (Pro Doc) Vs Funds Disbursed (USD)			
Y1 – Y3	UNDP	FAO	Total
Budget (Pro Doc)	3,902,795.00	4,177,910.00	8,080.705.00
Funds received (Oct 15 – Dec 17)	1,953,160.83	2,161,333.00	4,114,493.83
Net Underspend	1,949,634.17	2,016,577.00	3,966,211.17

The Steering Committee agreed to several budget revisions in the context of the approval of the annual workplan and budget, including:

- Increase in expenditure programmed for 2018 compared to that set out in the Project Document. This is part reflects accelerated spending in response to the level of underspend.
- Extending funding for SPC climate change modelling work into year 4.
- Use of funding under item 1.1.1.4 (sea train coast) for specified MCS training.

The review considers these to be appropriate decisions for effective delivery of Project outputs.

Co-finance

The Review Team sought information on co-financing from relevant stakeholders. The resulting co-financing information is presented in Table 12. The co-financing information provided to the Team was of mixed quality; limited information was available from the IAs and major project partners, and little to none from participating Pacific SIDS. The data in Table 12 has therefore been generated through an estimation procedure as explained in Annex K; this involves a number of factors depending on the availability of actual figures, expected flow of funds (with reference to the Project Document), and levels of national activity.

The Review Team recognises that this estimation procedure is a ‘second best’ option, and inevitably rests on a number of assumptions about cash flow and alignment of other donor projects. However the Team considers that Table 12 represents a reasonable tracking of co-financing for the Project.

The figures show that:

- For Pacific SIDS, co-financing is tracking slightly under the expected rate
- For Partner Agencies, co-financing is tracking above the expected rate
- The total project co-financing is tracking at approximately 60% of the expected Project total – close to the target level for a project in Year three of a four year term.

Table 12: Project co-financing estimates as at MTR

Sources of Cofinancing	Name of Cofinancer	Type of financing	Co-Amount confirmed at CEO endorsement (US\$)	Actual amount contributed stage of Midterm Review (US\$)	Actual % of Expected Amount
SIDS					
Cook Islands	Mixed	Cash/in-kind	420,772	191,756	
FSM	Mixed	Cash/in-kind	1,671,576	718,792	
Fiji	Mixed	Cash/in-kind	888,476	382,052	
Kiribati	Mixed	Cash/in-kind	1,586,656	682,276	
RMI	Mixed	Cash/in-kind	4,835,608	1,955,005	
Nauru	Mixed	Cash/in-kind	1,716,310	738,028	
Niue	Mixed	Cash/in-kind	247,344	106,360	
Palau	Mixed	Cash/in-kind	865,416	372,136	
PNG	Mixed	Cash/in-kind	15,373,960	6,610,942	
Samoa	Mixed	Cash/in-kind	859,604	369,637	
Solomon Islands	Mixed	Cash/in-kind	1,256,650	540,370	
Tonga	Mixed	Cash/in-kind	666,434	286,572	
Tuvalu	Mixed	Cash/in-kind	808,104	347,492	
Vanuatu ¹³	Mixed				
		Total SIDS	31,196,910	13,301,425	43%
Project Partners					
FFA	Mixed	Cash	40,654,199	25,613,579	63%
SPC	Mixed	Cash	7,053,000	8,671,451.0	123%
FAO	-	Cash	500,000	233,066	47%
FAO	-	In-kind	2,500,000	1,250,000	50%
UNDP	-	In-kind	750,000	375,000	50%
PITIA	-	Cash/in-kind	100,000	45,572	46%
PNA		Cash	2,000,000	1,000,000	50%
WWF	-	Cash/in-kind	180,266	82,151	46%
		Total Partners	53,737,465	37,270,820	69%
		Project Total:	84,934,375	50,572,246	60%

4.3.4 Project-level monitoring and evaluation (M&E) systems

The formal elements of the monitoring and evaluation framework (as set out in the Project Document) appear to be in place and actively delivered. The major elements have been:

Inception processes: Inception meeting and associated reports (2015)

Regular progress reporting: Project progress reports are provided regularly to the Implementing agencies (quarterly to UNDP, and six-monthly to FAO). A composite summary of reporting for the whole project is provided as Annex L. The content is drawn from the most recent PMU reports to UNDP and FAO covering their respective project components. A PIR reporting is also conducted annual from June – July. The PIR looks at output and outcome level achievements as per targets. Follow up actions are reviewed quarterly when needed and for any major changes, they are identified at the PSC level meeting conducted in Q4 on the year or in Q2 the following year.

Steering Committee: Reporting on progress and outstanding issues and discussion of these in meetings of the Project Steering Committee. These meetings also provide an opportunity for national updates on progress.

¹³ The Project Document co-finance summary does not include Vanuatu

Country visits: PMU and FFA staff on country missions provide reports on status of policies, plans, legislation etc in the format of FFA reports on staff mission/travel. National level progress is tracked in a spreadsheet maintained by PMU staff.

The Project Document also provides for 'annual reviews'; this is assumed to be the Annual Implementation Review (PIR), though the 2018 Annual workplan and budget notes that the review process is 'to be clarified'.

The MTR found that the reporting activities were carried out as described, however the complexity of the project and diverse reporting products made for a fragmented set of output, sub-output and activity reports that do not readily translate into a coherent picture of the project, or progress towards the objective and subsidiary targets¹⁴. This sense was reinforced by the IAs, which expressed an interest in more immediate communication of activities and the way they contribute to higher level project outcomes, as well as a clearer sense of project progress.

The MTR notes that the M&E activities supported under the Project focus on 'set piece' items like the Baseline Study, MTR and Terminal Evaluation. The expectation in this seems to be that the independent reviewers will have the role of gathering basic information on progress towards targets. The Review found this to be unrealistic, as it was not possible in the MTR process to gather primary data from each of the participating countries. The MTR therefore largely relied on the existing reports. The MTR considers that more focus should go on routine monitoring / tracking of progress across the project components, and proposes that this be embedded in project activities, with resources allocated to support this as appropriate.

4.3.5 Stakeholder engagement

The project is notable for the broad range of partners and partnerships directly involved in its governance and consultative activities. This engagement involves networking and collaboration between international and regional partners, NGOs (including the private sector) and national governments in the Pacific.

Each participating country is member of the project Regional Steering Committee, the forum that governs the direction and progress of project implementation and decision-making. The wide participation in certain project activities serves to strengthen the breadth of input, and in some cases legitimacy of Pacific positions (e.g. in the WCPFC).

The PMU works alongside participating countries and sub-regional entities to develop appropriate Project activities reflecting national and sub-regional interests.

4.3.6 Reporting

The Project Steering Committee provides a forum for presentation, discussion and adoption (or otherwise) of adaptive changes to project delivery. The PMU provides full information and advice to support the Committee's decision making.

The PMU provides regular progress reports to the respective GEF implementing agencies. In addition, project partners contribute to an annual Project Implementation review, including summary reporting, self assessment and risk rating. the 2017 PIR gives an overall rating of 'Moderately Satisfactory'; the Review Team is not aware of any instance of the project being 'poorly rated'.

¹⁴ Again, this echoes the findings of the ONFP-I Terminal Evaluation.

Adaptive management changes have largely been recorded in Steering Committee records which are distributed to project partners. The Review considers that there is scope for additional documentation of changes for adoption by the Steering Committee, and for identification and internalisation of lessons learned more generally (refer conclusions and recommendation).

4.3.7 Communications

The work plan in the Project Document specifies that a knowledge management and information strategy was to have been developed in Year One of the Project. The Baseline Report noted that ‘a draft knowledge management strategy was developed as part of PIOFMP-1 but was not formally adopted. The Project will revise and update the earlier KM strategy and propose it formally for adoption’. No progress was reported towards development of the strategy.

The October 2017 SC meeting discussed developments in social media that provide additional opportunities to communicate and connect with a wide range of stakeholders. It was noted that the GEF should be actively included in the communications dialogue.

Website/portal

A web portal has been established for the Project at <http://www.sustainpacfish.net> ; linked from the FFA website. The site contains sub-pages on: fish stocks; catch and harvest; compliance, economics, bycatch and observers. Some of the content is ‘still under development’. It is notable that the site displays prominently a set of ‘partners’ logos: FFA, GEF, UNDP, FAO, SPC.

The sustainpacfish site has links to “TunaPacific: Fisheries News & Views” (<http://www.sustainpacfish.net/news>). News content is provided through FFA Media Fellows (<http://www.ffa.int/node/1598>).

The Review team sought information about the use (e.g. number of ‘hits’) for the PIOFMP-II web portal and associated sites. At the time of the MTR information was only available for the SustainPacFish website. Some content highlights of the report: *Google analytics for OFMP2 SustainPacFish web pages June 2017 – February 2018* is presented below. Note that while some of the information is summarised, where comments are included (in brackets or quotes) they are taken directly from the analytics report. The full analytics report is attached as Annex M.

- 232 users of the site; they’ve looked at 4430 pages over 460 sessions
- Pretty steady at 5 users/day - 15% of people are repeat users
- The average site visit length is nearly 6 minutes (that’s a long time)
- The bounce rate (people looking at only 1 page when they come to the site) is about 25%; “Most websites will see bounce rates fall somewhere between 26% and 70%”. “Anything under 40% ... is excellent, and indicative of a well built, professionally designed website that is meeting its users’ needs.”
- The countries accessing the site most frequently are the USA and Azerbaijan; of the top 10 countries, five are FFA members, the most frequent being the Solomon Islands.
- 60% of people accessing the site are aged under 25 years; 54% are male.

The Review was advised that a consultancy contract was been let to progress certain elements of the Project communications program. This includes the website, and linkage to IW Learn.

The issue of project visibility was repeatedly raised by stakeholders; notably in country consultations and in the context of reporting / M&E. The review considers that this can be addressed, in large part, through enhanced delivery of knowledge management and communications, and encourages the

early development and adoption of a knowledge management and information strategy that covers all aspects including, but not limited to:

- Alignment with FFA communications activities
- Identification of key audiences – including participating countries, the GEF and IAs
- Use of the website and social media tools for the Project, including ‘branding’
- Roles and responsibilities
- Sustainability of elements such as the web portal

The Review acknowledges that certain events and types of material prepared under the project should be treated as confidential / commercially sensitive; the strategy noted above should therefore include procedures that ensure confidentiality is preserved for certain aspects of the project as appropriate.

4.4 Sustainability

Risks identified in documentation associated with the Project are summarised in Table 13.

Table 13: Summary of documented Project risks				
#	Risk	source	Rating ¹⁵	MTR Comment
1	Limits of SIDS institutional and human resources capacities	ProDoc	I=3 P=5	Confirm this as a key risk area for the project, as well as a key target.
2	Gridlock in the WCPF Commission	ProDoc	I=3 P=2	Adoption of meaningful measures remains a challenge
3	Financial stability of the WCPF Commission	ProDoc	I=3 P=1	Has not emerged as a constraint
4	Adequacy of financing for national programmes, especially for enforcement	ProDoc	I=4 P=2	Assisted/mitigated by the Project; enforcement/MCS an ongoing/increasing challenge.
5	Effects of climate change on the fisheries and the effectiveness of measures.	ProDoc	I=3 P=5	Conform this a key risk area for the project
6	Non-enactment of laws and measures	ProDoc	I=3	Assisted by the Project – systematic approach not evident.
7	IUU Fishing	ProDoc	I=3 P=1	The character of risk appears to have changed; with new emphasis on accuracy of catch data (monitoring), rather than illegal vessels <i>per se</i> .
8	Lack of industry interest	ProDoc	I=2 P=1	Assisted by the Project; hasn't emerged as a problem area.
9	Ineffective M&E system	ProDoc	I=2 P=2	Some early difficulties; ongoing process.
10	Lack of GEF/UNDP/FAO Project visibility	ProDoc	I=2 P=2	Remains an issue for Project communications
11	Organizational	PIR		Administrative, reporting, and audit procedures initially problematic; mitigation in place
12	Strategic	PIR		Essentially the same as 2 above; multilateral decision-making is beyond Project influence.

It is evident the project itself is designed to directly address many of these risks, notably risks 1 and 4; and including risks 5, 6, 8, 9 and 10. The status of specific risk areas are discussed below.

Financial risks to sustainability

¹⁵ Ratings are taken from the source document, where available; High = 5; Low = 1.

Donors appear to have a high level of confidence in the performance and capability of the two Pacific executing partners (FFA and SCP) and their effectiveness in delivering regional support to their Pacific Island Country membership. This does not guarantee that sufficient resources will be available beyond the term of the Project to address key current and emerging risks; the MTR anticipates that there will be an ongoing need for additional resources.

Socio-economic to sustainability

There is strong commitment to sustainable development of fisheries resources amongst Pacific Island countries both nationally and regionally. The fundamental capacity limitations facing PICS continue to constrain progress in key areas.

Institutional framework and governance risks to sustainability

Capacity limitations underlie several areas where progress has been slower than ideal: especially in relation to national level project initiatives and legislative/policy alignment with Commission CMMs.

Environmental risks to sustainability

The key environmental risks fall in two areas:

- a) Biological sustainability of target stocks and ecosystem effects: these are target areas for the Project, but implementation depends on the design, adoption, implementation and enforcement of effective management measures
- b) Climate change: the effects of climate change and climate variability are enormous concern for Pacific Island countries, and accordingly the Steering Committee has identified this as a priority area. Climate change has the potential to affect stocks directly with flow on effects on the design and effectiveness of management measures.

5. Conclusions and Recommendations

The approach in this section is to draw general conclusions about project progress and implementation. Where appropriate, recommendations are proposed that target the issues raised. The Recommendations are designed to provide a mechanism for addressing the issue rather than detailing a specific solution.

Project overview

The MTR considers that the Project is well designed and targets a range of significant issues for the sustainability development of Pacific tuna and associated stocks. Further:

- The Project concept and strategy is sound and relevant
- The Project is competently run and executed through two Regional agencies with extensive background and track record in Pacific fisheries; FFA and SPC.
- There is a constructive relationship between the GEF Implementing Agencies – FAO and UNDP, and the executing partners. This has served to mitigate initial difficulties with the dual Implementing Agency arrangement.
- There is strong country commitment to the Project and its objectives
- The engagement of industry and NGO stakeholders contribute to the broad effectiveness of the project.
- The Project is rated as being on track with respect to meeting its high level objectives (target stock sustainability) and many of its Outcomes.

While largely on track the Project faces challenges in relation to achieving some of the specified Outcomes. This does not indicate fault with the Project design or execution, instead it is a reflection of the capacity challenges facing Pacific SIDS, and that the issues being faced are genuinely difficult. It is important to recognise that the Project is addressing complex issues involving multiple players. Recognising this, recommendations are proposed below to mitigate areas of risk and enhance Project effectiveness.

Project implementation arrangements

The slow start to Project implementation was due in part to bedding-in the dual Implementing Agency arrangements, including reporting, finance, work planning and audit procedures. The lessons learned could be usefully applied where similar arrangements are being considered.

Recommendation 1: to the GEF Implementing Agencies:

that for future projects involving multiple IAs, the IAs and executing partners collaborate to develop a reporting system that efficiently reflects their joint requirements prior to the start of the project (in order to avoid delays in implementation and also reduce transaction costs for EAs)

Project results framework

A Baseline Report published in 2017 updated baseline information for the Project and reviewed the logframe indicators and targets. The current Review was asked to review the logframe, and in doing so revisited the indicators and targets in the Project Document and Baseline Report with a view to

clarifying and removing ambiguities. Note that the Review Team, and this recommendation below, assumes that the changes proposed in the Baseline Report are adopted for the Project.

Recommendation 2: to the project Steering Committee:

that the revisions to Output level indicators as in Table 6 be adopted for the Project

Gender

Good work has been done highlighting the role of women in Pacific fisheries, however this has opened debate about eligibility of gender work under the project. This can be readily addressed through clear direction from the Steering Committee that gender issues are a key element of the project, and specifically eligible for support through project resources.

Recommendation 3: to the project Steering Committee:

That the Steering Committee clarifies that gender issues may be included in any/all of the four project components, and make any appropriate workplan and budget changes to reflect this.

M&E system

The M&E system currently falls short in the area of tracking progress against the output/sub-output indicators and targets, particularly under component 3.

Recommendation 4: to the project Steering Committee:

That the Steering Committee reiterates the importance of gathering information to track the level of progress towards outcomes, indicators and targets, and make any appropriate workplan and budget changes to reflect this.

Sub-regional management

The Project has supported a suite of activities at subregional level, notably work by the PNA Office to enhance development of cap and trade systems in the PNA purse seine and longline fisheries. These have largely been responsible for driving increased revenue and employment in the region. Similarly, effort has gone into working with other sub-regional groupings to develop zone based management, notably for Southern albacore. On the face of it the work done appears to be of high quality from a technical perspective, however aside from the PNA VDS, common agreement has not been reached on these sub-regional management arrangements. The Review Team proposes that analyses be carried out of the success and/or lack of success of different approaches to record success factors and lessons learned.

Recommendation 5: to FFA/PMU:

that FFA reviews approaches to sub-regional arrangements and identifies key or necessary success factors to be recorded as lessons learned from the Project and used in developing sub-regional management arrangements.

National level activities

A program of country led activities is in place to promote updating of national policies / plans / legislation to reflect WCPF Commission CMMs. This is an area of work that has been slower to implement than set out in the Project Document. The Review Team suggests two approaches to increase engagement and effectiveness in this area.

Recommendation 6: to the Steering Committee

that the Steering Committee, through the PMU, promotes active engagement with national fisheries departments highlighting role and potential for support for eligible national projects

Recommendation 7: to FFA/PMU:

that FFA / PMU develop case studies / lessons learned about what works best for national implementation – especially in relation to a systematic approach to compliance/implementation of CMMs

Communications and visibility

There are opportunities for further development of communication and knowledge products from the Project. The Review Team notes the interest in wider dissemination of Project activities, and the possibility of using social media for raising awareness of the issues and visibility of the Project. This may be done through the Project's knowledge management and information strategy providing a more strategic approach to communications, including branding.

The Review Team acknowledges that 'branding' may not be straightforward when multiple donors/partners are involved, and that there are some confidentiality issues to take into account.

Recommendation 8: to FFA/PMU:

that the FFA / PMU develop a strategic approach to project communications including emphasis on audience-targeted knowledge products and use of social media (while respecting the requirements of confidentiality in certain areas)

Overall progress towards outcomes / project extension

At the time of the MTR the Project is underspent by approximately \$4m compared to the expenditure rate set out in the Project document. The reasons for this include implementation delays and lack of awareness of the Project as a vehicle for supporting national activities. The implementation delays, described in section 4, resulted in a slowing of activities in the first 18 months of the project which in turn contributed to a loss in early momentum for the project.

It was noted in the October 2017 Steering Committee meeting that some additional (accelerated) progress can be made by increasing the rate of disbursements over the remaining scheduled term of the Project. At the same time, the Implementing Agencies and Project partners wish to see the funds spent effectively on actions to support the Projects higher level objectives. In this regard the Review team concurs with the view¹⁶ that it is preferable to take more time and use the funds well, rather

¹⁶ Put to the October 2017 Steering Committee meeting by the FFA Deputy Director-General

than expend resources rapidly on less effective activities. Although the extent of delay in delivery is difficult to quantify, it is estimated that the delay in release of funds and slowing of project action has put the project back between six and 12 months.

The recommendations of the MTR, in particular those relating to improved national delivery (recommendation 6) and visibility (recommendation 8) will contribute to project outcomes, once implemented, but the Review Team considers that more time is needed for full engagement and effective Project delivery. For this reason, the MTR supports the concept of an extension of up to 18 months for project implementation, using the funds available. On the latter point, PMU modelling (Annex J) indicates that there is sufficient funding for an extension for this duration, including relevant project management costs.

Recommendation 9: to FFA/PMU:

that the PMU develop a proposal for Project extension of up to 18 months to provide sufficient time for effective delivery of activities and expenditure in support of Project outcomes that would not otherwise be achieved.

Emerging issues

The Review notes the high priority that the Steering Committee places on work addressing climate change impacts on fisheries. This is one of a number of issues that are emerging with greater prominence in the fisheries sector, including, for example the importance of MCS for maintaining sustainability and value in Pacific fisheries, and global instruments such as the FAO Agreement on Port State Measures¹⁷.

The concept of a follow-up project on completion of PIOFMP-II was discussed during the October 2017 Steering Committee Meeting. The Review Team notes that such a project could address emerging substantive issues in the fisheries sector, as well as a key Project risk to sustainability; the ongoing need for funding /resources beyond the term of the current Project.

Recommendation 10: to IAs and executing partners:

that the IAs and executing partners commence a discussion towards development of a successor project targeting emerging issues/risks to Pacific fisheries

¹⁷ Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing.

Table of recommendations

Table 14: Summary of recommendations		
#	Issue	Recommendation
1	GEF project implementation	that for future projects involving multiple IAs, the IAs and executing partners collaborate to develop a reporting system that efficiently reflects their joint requirements prior to the start of the project (in order to avoid delays in implementation and also reduce transaction costs for EAs)
2	Project results framework	that the revisions Output level indicators as in Table 5 be adopted for the Project
3	Gender	That the Steering Committee clarifies that gender issues may be included in any/all of the four project components, and make any appropriate workplan and budget changes to reflect this.
4	M&E	That the Steering Committee reiterates the importance of gathering information to track the level of progress towards indicators and targets and make any appropriate workplan and budget changes to reflect this.
5	Sub-regional management	that FFA reviews approaches to sub-regional arrangements and identifies key or necessary success factors to be recorded as lessons learned from the Project and used in developing sub-regional management arrangements.
6	National level activities	that the Steering Committee, through the PMU, promotes active engagement with national fisheries departments highlighting role and potential for support for eligible national projects
7	National level activities	that FFA / PMU develop case studies / lessons learned about what works best for national implementation – especially in relation to a systematic approach to compliance/implementation of CMMs
8	Communications	that the FFA / PMU develop a strategic approach to project communications including emphasis on audience-targeted knowledge products and use of social media (while respecting the requirements of confidentiality in certain areas)
9	Project extension	that the PMU develop a proposal for Project extension of up to 18 months to provide sufficient time for effective delivery of activities and expenditure in support of Project outcomes that would not otherwise be achieved
10	Emerging issues	that the IAs and executing partners commence a discussion towards development of a successor project targeting emerging issues/risks to Pacific fisheries

Annex A: MTR Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled *Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States – PIOFM II* (PIMS# 5219) (Atlas#78204) implemented through Pacific Islands Forum Fisheries Agency (FFA) which is to be undertaken in July 2017. The project started on the 12 May, 2015 and is in its 2nd year of implementation. This ToR follows the UNDP-GEF Guidance on MTRs. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*. (http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_EN_2_014.pdf).

2. PROJECT BACKGROUND INFORMATION

The waters in the Pacific Island region covers an area of around 40 million square km or about 8% of the Earth's surface and provides around a third of the world's catches of tuna and related species, and over half of the world's supplies for canned tuna. The water divides Pacific Island communities across huge distances however it unites them by sustainable dependence on a shared marine environment and shared marine resources.

The Pacific water holds the world's largest stock of tuna and related pelagic species. It also contains globally importance stocks of sharks, billfish and other large pelagic species, whales and other marine mammals and turtles and therefore the sustainable use of the transboundary oceanic fish stocks within the Pacific has become a potential contributor to each Pacific Island country's sustainable development.

The Pacific Island OFMP-II is being implemented to support Pacific SIDS in meeting their obligations to implement and effectively enforce global, regional and sub-regional arrangements for the conservation and management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries. The project at a global scale will provide the following environmental benefits such as: creating a multi-state cooperation to reduce threats to international waters; restore and sustain marine ecosystems goods and services, including globally relevant biodiversity; reduce vulnerability to climate variability and climate related risks.

To achieve the objective and global environmental benefits identified, the project was designed into three technical components to address at different three levels – regional, sub-regional, and national, plus a component designed to provide for stakeholder's participation and knowledge management. Through this mechanism, the project will be able to: a) support Pacific SIDS as the major bloc at the WCPFC to adopt regional conservation and management measures; b) support innovative approaches being developed by Pacific SIDS at sub-regional level as they collaborate in fisheries of common interest; and c) assists SIDS to apply measures nationally in their own waters and to their fleets, a major component of the Project and improve understanding and awareness generally of the challenges and opportunities facing Pacific SIDS in oceanic fisheries management.

Below in summary is the objective and outcome; the progress towards these is measured through the following indicators:

Objective/Outcomes	Indicators	Target by end of project relative to the baseline (unless specified otherwise)
Project Objective: To support Pacific SIDS in meeting their obligations to implement & effectively enforce global, regional & sub-regional arrangements for the conservation & management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries	Number of Pacific SIDS meeting WCPFC obligations Level of benefits to Pacific SIDS, including: a) access fee revenue & b) employment by gender	All Pacific SIDS' subsidiary legislation, policy instruments and license conditions aligned with WCPFC requirements & systematic processes in place in all Pacific SIDS for adoption of new measures. Employment in SIDS growing by up to 5% per year. with increasing proportion of women Access fees increasing by up to 10% per year
Outcome 1.1 Comprehensive set of innovative on-the-water conservation & management measures (CMMs) adopted and applied by the Western & Central Pacific Fisheries Commission (WCPFC) for stocks of the Western Tropical Pacific Warm Pool (WTPWP) LME, incorporating rights-based and ecosystem-based approaches in decision-making & informed by sound scientific advice & information	Number of key target stocks to which comprehensive WCPFC CMMs are applied in EEZs Number of key non-target species impacted by WCPO tuna fisheries to which WCPFC CMMs are being applied	Comprehensive CMMs applied to all four key target stocks in EEZs by 2017 CMMs reflecting Scientific Committee advice & best practice among tuna RFMOs in place for protection of all key nontarget species
Outcome 1.2: Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool (WTPWP) LME is put in place through better understanding of the impacts of climate change (CC).	Extent to which understanding of impacts of CC is reflected in management arrangements, including impacts on jurisdiction	Management arrangements including jurisdictional arrangements have been reviewed to take into account effects of CC
Outcome 2.1 Sub-regional conservation & management arrangements are operationalized & enforced, including rights-based cap & trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability & incentivized by sustainable fishery certifications	Status of Sub-regional conservation & management arrangements	Sub-regional arrangements, including cap & trade arrangements in purse seine & longline fisheries & eco-certification arrangements are in operation & contributing to fishery sustainability
Outcome 3.1 Innovative ecosystem-based on-the-water CMMs being effectively applied by Pacific SIDS in accordance with national plans & policies & with international,	Number of Pacific SIDS applying ecosystem-based CMMs in accordance with new or revised management plans,	At least 11 Pacific SIDS applying ecosystem-based CMMs in accordance with new or revised management plans, fisheries policies, MCS plans & laws/regulations

regional & sub-regional commitments & other relevant instruments	fisheries policies, MCS plans & laws/regulations	
Outcome 3.2 Integrated data & information systems & scientific analysis being used nationally for reporting, policy-making, monitoring & compliance	Use of oceanic fisheries data and scientific analysis by Pacific SIDS	Enhanced oceanic fisheries data and scientific analysis being used by all 14 Pacific SIDS, reflecting upgraded data & information systems in at least 10 Pacific SIDS, and newly integrated systems in at least 4 SIDS.
Outcome 4.1 Greater multi-stakeholder participation in the work of the national & regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement & participation in Project, FFA, WCPFC & sub-regional activities	Percentage of participation by industry & other civil society stakeholders in Project, FFA, WCPFC & sub-regional activities, including INGO & ENGO participation Number of national consultative or advisory processes/committees created or strengthened & operational	Greater understanding of the need for management & the issues involved with proactive contributions from industry & other elements of civil society to the conservation effort Formal advisory committees established & operational in at least 10 SIDS
Outcome 4.2 Increased awareness of oceanic fisheries resource & ecosystems management & impacts of climate change	Level of media coverage of relevant issues No. of communiques from relevant regional fora, including Pacific Island Leaders' meetings covering oceanic fisheries Continuing donor interest in funding oceanic fisheries agencies & projects	Widespread, well informed coverage in Pacific Islands media of issues associated with conservation management of target & non-target species, & CC impacts Oceanic fisheries management regularly addressed in Leaders' communiques Success in this Project & related activities encourages increased donor interest in Pacific Islands oceanic fisheries, attracted by the scope for increasing value through better management

3. OBJECTIVES OF THE MTR

The modified MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR should provide evidence-based information that is credible, reliable and useful. The MTR reviewer will review relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, The FAO Execution Agreement, project reports including Annual

Project Review/PIRs, project budget revisions, FAO six-month progress report, lesson learned reports, national strategic and legal documents, the project website and any other materials that the reviewer considers useful for this evidence-based review). The MTR reviewer will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR reviewer is expected to follow a collaborative and participatory approach¹⁸ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, FAO-GEF technical advisers/Budget Holder and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.¹⁹ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Annex 1 list provided; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR reviewer is expected to conduct field missions to different government agencies in the 3 selected Pacific Island countries currently implementing the project (Solomon, Marshall and Cook Islands). While visiting these countries, the following implementing partners will also be visited FFA, PNAO and SPC. Moreover, at least 10 other PICs will be covered by teleconferences. The PICs will be determined jointly by UNDP, FAO and FFA. Key partners include FFA, SPC, PNA Secretariat, among others.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

The MTR reviewer will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- ☐ Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- ☐ Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?

¹⁸ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013

¹⁹ For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.

☐ Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of participating countries?

☐ Review decision-making processes: 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 during project design processes?

☐ Review the extent to which relevant gender issues were raised in the project design. Make suggestions for how relevant gender issues can be better incorporated and monitored in the project. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

☐ If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

☐ Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.

☐ Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?

☐ Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.

☐ Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes and Output Analysis:

☐ Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project strategy	Indicator ²⁰	Baseline level ²¹	Level in 1 st PIR (self reported)	Midterm target ²²	End of project target	Midterm level & assessment ²³	Achievement Rating ²⁴	Justification for rating
------------------	-------------------------	------------------------------	--	------------------------------	-----------------------	--	----------------------------------	--------------------------

²⁰ Populate with data from the Logframe and scorecards

²¹ Populate with data from the Project Document

²² If available

²³ Colour code this column only

²⁴ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Objective	Indicator (if applicable)							
Outcome 1	Indicator 1							
	Indicator 2							
Outcome 2	etc							
etc								

Indicator Assessment Key

Green = Achieved	Yellow = On target to be achieved	Red = Not on target to be achieved
------------------	-----------------------------------	------------------------------------

In addition to the progress towards outcomes analysis:

- ☐ Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- ☐ Identify remaining barriers to achieving the project objective in the remainder of the project.
- ☐ By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- ☐ Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- ☐ Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- ☐ Review the quality of support provided by the Co-Implementing Agencies/GEF Partner Agencies (UNDP, FAO) and recommend areas for improvement.

Work Planning:

- ☐ Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- ☐ Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- ☐ Examine the use of the project's results framework/logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- ☐ Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- ☐ Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.

☐ Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?

☐ Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is cofinancing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

☐ Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?

☐ Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

☐ Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?

☐ Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation? Do stakeholders have appropriate capacity developed to properly manage the project?

☐ Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

☐ Assess how adaptive management changes have been reported by the project management and shared with the Project Board.

☐ Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)

☐ Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

☐ Assess the visibility of the project through the project website content

Communications:

☐ Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

☐ Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)

☐ For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- ☐ Validate whether the risks identified in the Project Document, FAO six-month project progress report, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- ☐ In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- ☐ What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- ☐ 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 the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- ☐ Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- ☐ Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR reviewer will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.²⁵

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See *the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR reviewer should make no more than 15 recommendations total. Recommendations should outline corrective actions for the design, implementation, monitoring and evaluation of the project and should focus on actions to follow up or reinforce initial benefits from the project.

²⁵ Alternatively, MTR conclusions may be integrated into the body of the report.

Ratings

The MTR reviewer will include its ratings of the project's results and brief descriptions of the associated achievements in a MTR Ratings & Achievement Summary Table in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States.

Measure	MTR Rating	Achievement description
Project Strategy	N/A	
Progress towards results	Objective	
	Achievement Rating: (rate 6 pt. scale)	
	Outcome 1	
	Achievement Rating: (rate 6 pt. scale)	
	Outcome 2	
	Outcome 3	
	Etc	
Project implementation and adaptive management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately (24) days over a time of approximately 11 weeks starting (June, 2017), and shall not exceed five months from when the reviewer is contracted. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
26 June 2017	Application closure
10 days after application closure	Select MTR Team
13 July 2017	Contract signing
13 – 20 July 2017	Preparation of the MTR Team (handover of Project Documents)
25 July 2017	<i>Inception Meeting with UNDP and FAO via Skype</i>
<i>Within first two weeks of inception meeting</i>	Document review and preparing a joint MTR Inception Report
8 August 2017	Submission of joint Inception Report
10 – 25 August 2017	MTR mission (12 days): stakeholder meetings, interviews, field visits
30 August 2017	Presentation of initial findings to UNDP, FAO and FFA
10 September 2017	Submission of joint Draft MTR Report
20 September 2017	Finalization of joint MTR report incorporating audit trail from feedback on draft report. Draft 2 to be submitted in October Board Meeting in Solomon Island before finalization
30 October 2017	Submission of joint Final MTR Report
15 November 2017	End of Contract

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission (8 August 2017)	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission (25 August 2017)	MTR reviewer presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission (20th September 2017)	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft (30th October 2017)	Sent to the Commissioning Unit.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Pacific Office in Fiji

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR reviewer. The Project Team will be responsible for liaising with the MTR reviewer to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TEAM COMPOSITION

The evaluation team will consist of 2 consultants – Governance and Fisheries Specialist. The Fisheries Specialist will be the team leader and will be required to work with the Governance Specialist in submitting one MTR report. The Fisheries Specialist will be expected to travel to the Cook Islands while the Governance Specialist will travel to Solomon and Marshall depending on what will be agreed between the team members.

The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. (The international evaluator will be designated as the team leader and will be responsible for finalizing the report). The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

10. PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
20%	On submission of Inception Report
20%	On completion of Mission and presentation of initial findings to stakeholders
30%	On submission and acceptance (by UNDP-CO and UNDP RTA) of the 1st draft mid-term review report
30%	On submission and acceptance (by UNDP-CO and UNDP RTA) of the final mid-term review report

ANNEX [A]A: List of Documents to be reviewed by the MTR Reviewer

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All annual Project Implementation Reports (PIRs)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (fill in specific TTs for this project's focal area)
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:

13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

ANNEX [A]B: Guidelines on Contents for the Midterm Review Report²⁶

- i. Basic Report Information (for opening page or title page)
 - ☐ Title of UNDP supported GEF financed project
 - ☐ UNDP PIMS# and GEF project ID#
 - ☐ MTR time frame and date of MTR report
 - ☐ Region and countries included in the project
 - ☐ GEF Operational Focal Area/Strategic Program
 - ☐ Executing Agency/Implementing Partner and other project partners
 - ☐ MTR reviewer name
 - ☐ Acknowledgements

²⁶ The Report length should not exceed 40 pages in total (not including annexes).

- ii. Table of Contents
 - iii. Acronyms and Abbreviations
1. Executive Summary (3-5 pages)
 - ☐ Project Information Table
 - ☐ Project Description (brief)
 - ☐ Project Progress Summary (between 200-500 words)
 - ☐ MTR Ratings & Achievement Summary Table
 - ☐ Concise summary of conclusions
 - ☐ Recommendation Summary Table
 2. Introduction (2-3 pages)
 - ☐ Purpose of the MTR and objectives
 - ☐ Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
 - ☐ Structure of the MTR report
 3. Project Description and Background Context (3-5 pages)
 - ☐ Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - ☐ Problems that the project sought to address: threats and barriers targeted
 - ☐ Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
 - ☐ Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
 - ☐ Project timing and milestones
 - ☐ Main stakeholders: summary list with their roles
 4. Findings (12-14 pages)
 - 4.1 Project Strategy
 - ☐ Project Design
 - ☐ Results Framework/Logframe
 - 4.2 Progress Towards Results
 - ☐ Progress towards outcomes analysis
 - ☐ Remaining barriers to achieving the project objective
 - 4.3 Project Implementation and Adaptive Management
 - ☐ Management Arrangements
 - ☐ Work planning
 - ☐ Finance and co-finance
 - ☐ Project-level monitoring and evaluation systems
 - ☐ Stakeholder engagement
 - ☐ Reporting
 - ☐ Communications
 - 4.4 Sustainability
 - ☐ Financial risks to sustainability
 - ☐ Socio-economic to sustainability
 - ☐ Institutional framework and governance risks to sustainability
 - ☐ Environmental risks to sustainability

5. Conclusions and Recommendations (4-6 pages)

5.1 Conclusions

☐ Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project

1.2 Recommendations

☐ Corrective actions for the design, implementation, monitoring and evaluation of the project

☐ Actions to follow up or reinforce initial benefits from the project

2. Annexes

☐ MTR Scope of Work (excluding annexes)

☐ MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

☐ Example Questionnaire or Interview Guide used for data collection

☐ Ratings Scales

☐ MTR mission itinerary

☐ List of persons interviewed ☐ List of documents reviewed

☐ Co-financing table (if not previously included in the body of the report)

☐ Signed UNEG Code of Conduct form ☐ Signed MTR final report clearance form

☐ Annexed in a separate file: Audit trail from received comments on draft MTR report

☐ Annexed in a separate file: Relevant midterm tracking tools

ANNEX [A]C: Midterm Review Evaluative Matrix Template

This Midterm Review Evaluative Matrix must be fully completed/amended by the consultant and included as an Annex to the MTR report.

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			

Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

ANNEX [A]D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants²⁷

Evaluators/Consultants:

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

MTR Consultant Agreement Form

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at _____ (Place) on _____ (Date)

Signature: _____

²⁷ <http://www.unevaluation.org/document/detail/100>

ANNEX [A]E: MTR Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ANNEX [A]F: MTR Report Clearance Form (to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:**Commissioning Unit**

Name: _____

Signature: _____ Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____ Date: _____

ANNEX [A]G: Audit Trail Template

Note: The following is a template for the MTR reviewer to show how the received comments on the draft MTR report have (or have not) been incorporated into the final MTR report. This audit trail should be included as an annex in the final MTR report.

To the comments received on (date) from the Midterm Review of Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States **(00083575PIMS #)**

The following comments were provided to the draft Midterm Review report; they are referenced by institution ("Author" column) and comment number ("#" column):

Author	#	Para No. / comment location	Comment / Feedback on the draft MTE report	MTR Reviewer's response and actions taken

Annex B: List of documents reviewed

Table B1: Indicative List of documents reviewed		
Source	Year	Title
Project and design and approval documents		
GEF	2010 (undated)	Project Document: Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (also referred to as PIOFMP-II)
UNDP	2012	
GEF	2014 (date of signing)	Request for CEO endorsement
UNDP	2017	Project Implementation Review
Project Reports		
PMU	2015	Inception Workshop Record
Ernest and Young	2015	FFA Audit Report
PMU	2016	Project Implementation Review for PIOFMP-II
PMU (David Power)	2016	PNA longline VDS Workshop trip report
PMU (David Power)	2016	Training course on WCPFC obligations and CMMs with Papua New Guinea Fisheries Officers
PMU (David Power)	2016	Service Level Agreement Between FFA and Member Countries
Ian Cartwright (Thalassa Consulting Pty Ltd)	2017	Baseline Study and performance indicators for the Pacific Islands Oceanic Fisheries Management Project (PIOFMP-II)
PMU (David Power)	2017	National work actions and status
Project Steering Committee Reports and documents		
PMU		Inception and Steering Committee reports
		Papers for SC meeting of October 2017
PMU reports to IAs		
PMU report to FAO	2015	PPR July – December 2015
	2016	PPR January – June 2016 rev1
	2016	PPR July – December 2016
	2017	PPR January – June 2017
PMU report to UNDP	2015	QPR 1 July – September 2015
	2015	QPR 2 October – December 2015
	2016	QPR 3 January – March 2016
	2016	QPR 4 April – June 2016
	2016	QPR 5 July – September 2016
	2016	QPR 6 October – December 2016
	2017	QPR Q1 2017
	2017	QPR Q2 2017
	2017	QPR Q3 2017
FFA Documents		
	2017	FFA Annual Report 2016-2017 Executive Summary
	2017	FFA Economic and Development Indicators and Statistics 2016
	2016?	FFA Tuna Development Indicators Brochure

Annex C: Stakeholder Interview templates and Questionnaires

Interview questions and Templates

These documents are templates used by the MTR Review Team.

PIOFMP-II Mid-Term Review October 2017 Consultation Interview record (general)	
Person:	
Agency:	
Title:	
Contact:	
Date:	
Place / Venue:	
Interviewed by:	

Role with respect to the PIOFMP-II Project:

- i) **Project Strategy**
- ii) **Progress towards Results**
- iii) **Project Implementation and Adaptive Management**
- iv) **Sustainability**

[specific questions focussed on agency role]

PIOFMP-II Mid-Term Review October 2017 Consultation Interview record (Participating countries)	
Person:	
Title:	
Agency:	
Country:	
Contact:	
Date:	
Place / Venue:	
Interviewed by:	

Discuss how the Project is being delivered in country and regionally:

- 1) Alignment with **country priorities**
- 2) Support for **sub-regional** processes
- 3) Support for **regional** processes
- 4) **Project management** and involvement in project decision-making
- 5) Examples of successful actions under the project
- 6) Any areas of concern / recommendations for improvement
- 7) Sustainability

PIOFMP-II Mid-Term Review October 2017 Interview Questionnaire (Participating countries)	
Person:	
Title:	
Agency:	
Country:	
Contact:	
Date:	
Place / Venue:	
Role in relation to Project	

1. Rate your knowledge of PIOFMP-II project:

- a. Extensive
- b. Some
- c. Little
- d. None

2. How important do you rate this project (and why):

- a. Very (eg essential to country, region, sector)
- b. Moderately
- c. Less important

3. Were you or your organization consulted/involved in the project development phase? (How?)

- a. Extensively
- b. Somewhat
- c. Not involved (Do you think you should have been?)

4. Have you been adequately involved/advised on progress of project?

- a. Yes
- b. No

5. In your area, how do you rate progress of project to date?

- a. Excellent
- b. Good
- c. Poor
- d. Do not know

6. Do you think there are any gaps in the project design? How might these be improved/filled in future? Elaborate.

7. Which agency have you been working for/dealing with, in this project?

- a. UNDP
- b. FFA
- c. SPC
- d. Other (name)

8. How do you rate that agency's:

Project management, communications, efficiency & general administration:

(rate: Excellent. Adequate. Poor)

9. Please list 1-2 major strengths of project:

10. Please list any major weaknesses:

11. What are the 'lessons learnt' to date?

13. What message would you like conveyed within the mid-term review?

Annex D: MTR Mission Itinerary

MTR Mission schedule

Table D1: MTR Mission schedule October 2017						
Date	21 Oct (Sat)	22 Oct (Sun)	23 Oct (Mon)	25 Oct (Tue)	25 Oct (Wed)	26 Oct. (Thur)
Activities	Review team arrives Honiara Team confirmation of schedule and protocols	Review team meeting Document Review and stakeholder schedule	Meet with FFA staff Stakeholder interviews	Meet with FFA staff Stakeholder interviews UN reps arrive Honiara	Meet with FFA staff Stakeholder interviews Meet with UNDP / FAO -Inception meeting	Stakeholder interviews Preparatory - meeting for RSC.

Table D1: MTR Mission schedule (continued)					
Date	27 Oct (Fri)	28 Oct (Sat)	29 Oct (Sun)	30 Oct (Mon)	31 Oct (Tues)
Activities	RSC BC departs p.m.	Stakeholder interviews	Stakeholder interviews UNDP/FAO discussions	MOC meetings Stakeholder interviews	MTR Mission departs

Annex E: List of persons interviewed

ORGANIZATION	NAME	ROLE/POSITIONS
Pacific Island Country and Territory National Fisheries Representatives		
Cook Islands	Tim Costello	Director Offshore Division
Samoa	Magele Etuati Ropeti	Assistant CEO- Fisheries
Tonga	Dr. Tuikologahau Halafihi	CEO- Fisheries
Vanuatu	William Naviti	Compliance Section Head- Fisheries
Fiji	Aisake Batibasaga	Director
	Jone Varea	Offshore Fisheries
Tuvalu	Solomua Ionatana	Principal Oceanic Officer
Kiribati	Aketa Taanga	Director of Licensing and Compliance Division
Niue	Poimatagi Okesene	Director
Nauru	Camalus Rieyetsi	Senior Oceanic Fisheries Officer
FSM	Justino Helgen	VMS Compliance Manager
Tokelau	Stan Crothers	
PNG	Fredrick Kuelined	Legal Advisor
Palau	Kathleen Sisior	Director
Pacific Regional / subregional Organisations		
FFA * indicates Project staff	James Movick	Director General
	Wez Norris	Deputy Director General
	Perry Head	Director Corporate Services
	Tim Adams	Director Fisheries Management
	Hugh Walton*	PIOFMP-II Project Coordinator
	Pam Maru*	WCPF Coordinator
	David Power*	PIOFMP-II Fisheries Management Advisor
	Sireta Laore*	PIOFMP-II Finance Officer
	Chris Reid	Economist
	Samasoni Sauni	Fisheries Management Advisor
FFA consultant	Ian Cartwright	Thalassa Consulting
SPC	John Hampton	Manager Oceanic Fisheries Programme
PNA Office	Les Clark	Policy Development Advisor
Te Vaka Moana	Barbara Hanchard	Former TVM Coordinator
Pacific NGOs		
PITIA	John Maefiti	Chief Executive Officer
	Brett Haywood	Chairman
WWF	Bubba Cook	Regional Tuna Specialist
	Duncan Williams	Program Manager
UN Agencies		
UNDP	Jose Padilla	Regional Technical Advisor
	Winifereti Nainoca	Team Leader Environment
UNFAO	Francis Chopin	
	Liao Chongguang	Program Officer
	Jessica Sanders	Fisheries Officer

Annex F: Annotated UNDP MTR checklist on gender assessment

Annotated checklist for Gender Sensitive Midterm Review Analysis

The degree of relevance of gender in projects supported by UNDP with GEF financing varies depending on the area of work and type of engagement. This annex includes general points to consider for assessing how gender considerations have been mainstreaming into a project's design, monitoring framework, and implementation, as well as points to address the potential impact of project interventions on gender equality and women's empowerment. It is not required to discuss all of these aspects in the evaluation report, but these are areas for potential consideration in the report's gender mainstreaming analysis.

Points to consider relating to **Project Design and Preparation**:

1. Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?

The PIOMFP-II project is a Pacific regional project that works primarily through national government representatives at regional (Pacific Islands), sub-regional, and national level.

The project document discusses gender issues in the context of Social Sustainability. The discussion draws on lessons from PEOFMP-I and relevant regional gender-related work to identify three ways to increase women's participation in the fisheries sector:

- *Raising the profile of fisheries as a potential career as well as the profile of women already working in the sector*
- *Providing a support network for women in fisheries*
- *Strengthening the institutional level (work and conditions)*

In terms of the Project itself the Project document states:

[The] analysis recognizes the differences in impacts of the Project outcomes on men and women. Women have played an important role in PEOFMP-I implementation and in the development and preparation of PEOFMP-II. PEOFMP-II implementation will continue to be undertaken in a participatory and gender-sensitive manner with the stakeholders and target beneficiaries. Gender will also be addressed through the monitoring of participation in Project activities and the Project's public imaging, including ensuring that branding is gender-sensitive and that project posts, recruitment of consultants, formulation of letters of agreement, etc. are all carried out in ways that promote equitable development. Opportunities will be taken to highlight the increasing achievements of women in commercial and technical roles.

2. Were gender issues triggered during the mandatory UNDP Environmental and Social project screening? If so, were mitigation measures built into the project document? What other steps were taken to address these issues?

3. Does the project budget include funding for gender-relevant outcomes, outputs and activities?

No specific allocation / budget lines

4. Were gender specialists and representatives of women at different levels consulted throughout the project design and preparation process?

A 2-person team (1 male, 1 female) were involved in developing the project – both had extensive experience in gender issues in the fisheries sector.

Points to consider relating to **Project Monitoring**:

1. Review the outcomes of all Project Appraisal Committee (PAC) meetings (including any pre-Project Appraisal Committee and local PAC meetings), inception workshop and the inception report, and any related stakeholder workshops that took place during the project's initiation stage.

PIRs raised the issue of a gender analysis for the project, noting that as the project was commissioned under GEF 5 there was no formal requirement for this (required from GEF 6 on).

a. Did these include a discussion of the potential gender equality impact of the project?

Yes, to the extent that it created some uncertainty about the eligibility of specific gender related activities undertaken under the project

b. Did gender specialists and representatives of women at all levels participate? If yes, how did they participate?

2. How does the project capture gender results and are these results built into project monitoring?

a. Are the project's results framework indicators disaggregated by sex and wherever possible by age and by socio-economic group (or any other socially significant category in society)?

b. Are the project's results framework targets set up to guarantee a sufficient level of gender balance in activities (e.g. quotas for male and female participation)?

c. Are gender sensitive indicators included in the project's results framework? Gender sensitive data can provide a more contextual understanding of the needs, access conditions and potential for empowerment of women and girls and men and boys.

Points to consider relating to **Project Implementation**:

1. Do the Executing Agency/Implementing Partner and/or GEF Partner Agency and other partners have the capacity to deliver benefits to or involve women? If yes, how?

2. What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?

Project staff comprise 2 male and 2 female.

Annex G: Progress Towards Results Matrix

Indicator Assessment Key

Green = Achieved	Yellow = On target to be achieved	Red = Not on target to be achieved
------------------	-----------------------------------	------------------------------------

Table J1: Progress towards Results Matrix							
Project strategy	Indicator	Baseline level ²⁸ (2017 Baseline Report)	2017 PIR: cumulative progress since project start	End of project target	2017 Midterm level & assessment	Rating	Justification for rating
Project Objective: To support Pacific SIDS in meeting their obligations to implement & effectively enforce global, regional & sub-regional arrangements for the conservation & management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries	Number of Pacific SIDS meeting WCPFC obligations	Principal legislative & policy framework aligned with WCPFC obligations for most Pacific PacSIDS. But subsidiary legislation & policy instruments need updating. See Section 8.2 and Attachment 7	This work is progressing incrementally on a country by county basis and the project contributed to a wider work stream within FFA built around SIDS compliance with WCPFC CMMs	All Pacific SIDS' subsidiary legislation, policy instruments and licence conditions aligned with WCPFC requirements & systematic processes in place in all Pacific SIDS for adoption of new measures		MS	Work is well underway in aligning Pacific SIDS' legislation and policy with WCPFC requirements; Project and other FFA staff work closely with participating countries on these issues.
	Level of benefits to Pacific SIDS, including: a) access fee revenue & b) employment by gender	22,736 directly employed in fishing and processing (2014) Access fees estimated at \$380 (FFA, 2015) million (2014).	Total employment related to tuna fisheries in FFA member countries for 2015 is estimated at 23,000. Growth in local crew and the onshore processing sector employment has driven a trend of increasing	Employment in SIDS growing by up to 5% per year. with increasing proportion of women Access fees increasing by up to 10% per year			There is an ongoing program of country policy/plan/legislative updates but it is less clear that systematic processes are yet in place with respect to new measures being adopted. Some efforts are being made towards ensuring flexibility in policies and plans so they do not require continual updating to accommodate CMMs. Targets relating to employment and access fees appear to be on track. Both employment and access fees have increased in relation to the baseline. Gender disaggregated data on

²⁸ NB – baseline level statements are from the 2017 (Cartwright) Baseline Report; section and attachment references in this column are to other sections of the full Baseline report

			<p>employment levels. In 2015, however, declines in these areas were seen although these were more than offset by a more than doubling in offshore crew. These trends were driven by changes in reported employment from PNG where crew employed on local vessels almost trebled from 727 in 2014 to 2,077 in 2015; crew on foreign vessels increased 23% to 2,093 from 1,707 while employment in the processing and packing sectors declined by 16% to 6,342. The processing sector workforce is comprised of between 70% and 90% of female workers and accounts for more than 50% of total tuna related employment. Of the 10,500 employed in the processing sector PNG accounts for 60%, Fiji 18% and Solomon Islands 13%.</p> <p>Access fee revenue collected by FFA member governments from foreign purse seine fleets in 2015 is</p>			employment is not provided in the baseline or Project reports.
--	--	--	--	--	--	--

			estimated at over \$450 million. This represents an increase of \$76 million or 20% from 2014 and an 800% increase on a decade ago. The total amount collected from foreign purse seine vessels 10 years prior (in 2005) was around \$55 million. Estimated fees from foreign longline fleets for 2015 came at \$15 million, broadly comparable to the fees in 2010 but significantly below 2011 to 2014 levels. This was driven by a reduction in the USD value of the catch taken by foreign longline vessels in FFA members' national waters which in turn was driven by declines in catch (resulting from both an increase in the proportion of the longline fleet basing in FFA countries and declines in catch rates) and average USD prices				
Outcome 1.1: Comprehensive set of innovative on-the-water conservation & management	Number of key target stocks to which comprehensive WCPFC CMMs are applied in EEZs	Two Interim CMMs in place focusing on bigeye and south Pacific albacore, and both have	Incremental progress at WCPFC – FFA processes to propose stock management CMMs very well developed but	Comprehensive CMMs applied to all four key target stocks in EEZs by 2017.		MS	Measure applying to 'bigeye, yellowfin and skipjack tune in the Western & Central Pacific Ocean' adopted in 2016 (CMM 2016-01). CMM 2015-02 addressed South

measures (CMMs) adopted and applied by the Western & Central Pacific Fisheries Commission (WCPFC) for stocks of the Western Tropical Pacific Warm Pool (WTPWP) LME, incorporating rights-based and ecosystem-based approaches in decision making & informed by sound scientific advice & information		been identified as insufficient. No systematic measures for management of other major target stocks	progress in the wider WCPFC context remains a challenge. Tropical tuna and albacore both key to 2017 WCPFC agenda but beyond the direct scope of influence of the project or wider FFA inputs.				Pacific Albacore but is not considered 'comprehensive'.
	Number of key non-target species impacted by WCPO tuna fisheries to which WCPFC CMMs are being applied	Four preliminary CMMs in place for protection of cetaceans, whale sharks, seabirds & marine turtles. Four shark CMMs in place covering non-retention of some species, encouragement of live release, and bans on finning, wire traces and shark lines. The effectiveness of the measures is not known.	A range of CMMs in place for key non-target species: Cetaceans – 2011/03 Whale sharks – 2012/04 Seabirds – 2012/07 Marine turtles – 2008/03 Sharks – general (1) 2010/07 Sharks – general (2) 2014/05 (not replacing (1)) Silky sharks – 2013/08 Oceanic White Tip sharks – 2011/04	CMMs reflecting Scientific Committee advice & best practice among tuna RFMOs in place for protection of all key non-target species			Current reports from the WCPFC SC indicate that none of the four key target tuna stocks are overfished, nor is overfishing occurring.
Outcome 1.2: Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool (WTPWP) LME is put in place through better understanding	Extent to which understanding of impacts of CC is reflected in management arrangements, including impacts on jurisdiction	There is a general understanding of the expected overall impacts but the information available has not been sufficiently specific to be reflected in management arrangements	The results of the SEAPODYM review workshop presented to WCPFC SC12 meeting (WCPFC SC12-EB-IP-14) continue to guide development of the SEAPODYM model (in particular refining the SEAPODYM models and associated climate change projections, for	Management arrangements including jurisdictional arrangements have been reviewed to take into account effects of CC		MS	There is ongoing work on climate change effects and modelling. In October 2017 the Project Steering Committee identified this as a priority area for extended funding. While climate change effects can be incorporated in stock modelling, a separate process through the WCPFC is required to affect management arrangements.

of the impacts of climate change (CC)			all target tuna species). A new paper on the SEAPODYM model for yellowfin, including climate change projections, will be presented to the WCPFC SC13 meeting in August 2017. -The paper includes novel projections of the impacts of climate change induced ocean acidification on larval stages of yellowfin tuna. Review of jurisdictional arrangements completed for FFA members and Regional strategy for Pacific SIDS response to legal and socio-economic impacts of sea level rise/climate change drafted and reviewed.				Jurisdictional study completed. Tenders invited for new TDA and IW SAP.
Outcome 2.1: Sub-regional conservation & management arrangements are operationalized & enforced, including rights-based cap & trade arrangements for in-zone tuna fisheries, enhancing	Status of Sub-regional conservation & management arrangements	PNA purse seine VDS in early stages of implementation, other sub-regional arrangements broadly agreed or emerging but not yet implemented. PNA purse seine VDS now implemented and functioning effectively, as	Purse seine VDS fully operational across PNA fleets and in PNA waters and tender/trade options currently under review. Longline VDS operational and under development but yet to be fully implemented. Skipjack and yellowfin PS free school MSC	Sub-regional arrangements, including cap & trade arrangements in purse seine & longline fisheries & eco-certification arrangements are in operation & contributing to fishery sustainability		MS	Operational cap and trade measures in place for purse-seine fisheries for PNA membership. The purse seine Vessel Days Scheme (VDS) is cited as a key mechanism for supporting sustainability and value in the fishery. Development of a PNA longline VDS is in process, but not in place. Longline effort in the High Seas is a particular management concern for PICs.

ecosystem sustainability & incentivized by sustainable fishery certifications		evidenced by review (see section 9.1). Harvest Strategy for the South Pacific Albacore Fishery that was agreed between members of the FFC Sub Committee on South Pacific Tuna and Billfish Fisheries in 2013. TKA framework being used to develop and implement a South Pacific Albacore Catch Management Scheme	certification in place and operational with positive audit outcomes.				<p>MSC certification for compliant skipjack products.</p> <p>Other sub-regional approaches are less advanced. This reflects the shifting roles of some of the sub-regional groupings (e.g. TVM and MSG), and the difficulties in reaching agreement on zone-based management measures (e.g. TKA).</p> <p>The success of the purse seine VDS influences the rating of MS; at the same time additional time and engagement is required for other sub-regional initiatives.</p>
Outcome 3.1 Innovative ecosystem-based on-the-water CMMs being effectively applied by Pacific SIDS in accordance with national plans & policies & with international, regional & subregional commitments & other relevant instruments	Number of Pacific SIDS applying ecosystem-based CMMs in accordance with new or revised management plans, fisheries policies, MCS plans & laws/regulations	Almost all Pacific PacSIDS have revised national laws to include obligations associated with the WCPFC Convention, but substantial lags exist in implementation of agreed arrangements through national plans, regulations and licence conditions,	[no report]	At least 11 Pacific SIDS applying ecosystem-based CMMs in accordance with new or revised management plans, fisheries policies, MCS plans & laws/regulations		MS	<p>There is ongoing work to address country-level actions through development / revision of management plans and regulatory requirements.</p> <p>This work has been slowed by delays at start of Project and requires further engagement and time if it is to achieve the target level.</p>

		particularly for bycatch					
Outcome 3.2: Integrated data & information systems & scientific analysis being used nationally for reporting, policy-making, monitoring & compliance	Use of oceanic fisheries data and scientific analysis by Pacific SIDS.	Most PacSIDS have operational monitoring, licensing & MCS (VMS) data systems in place, but their use is limited gaps, weaknesses & lack of integration of data systems. Phase I outputs, including National Tuna Fisheries Status Reports, national scientific webpages & scientific inputs into ecosystem-based management plans provide a basis with enhanced skills for increased use of scientific advice in Phase II	Regional and National ISM systems well advanced and under constant development and subject to ongoing training. The evolution within Fisheries Administrations to a more enhanced focus on data analysis rather than data entry is advancing as real time data entry systems (log sheet and observer data) become more mainstream. Recent hosting of the 11th Tuna Data Workshop (TDW) in Noumea saw 41 attendees from Pacific Island Countries and regional organisations. This provided training on both SPC and FFA FIMS systems (IMS, 'Tufman 2'), training and assistance for completing regional reporting obligations as well as general data quality principles.	Enhanced oceanic fisheries data and scientific analysis being used by all 14 Pacific SIDS, reflecting upgraded data & information systems in at least 10 Pacific SIDS, and newly integrated systems in at least 4 SIDS.		S	<p>Progress well advanced on regional and national systems and support.</p> <p>Reports indicate that 'Tufman 2' is operational in 14 SPC member countries as well as SPC and FFA.</p>
Outcome 4.1: Greater multi-stakeholder participation in the work of the national &	Percentage of participation by industry & other civil society stakeholders in Project, FFA, WCPFC &	PITIA & WWF participated in Phase I & both have recently strengthened their programmes	Both PITIA and WWF have been engaged in the active delivery of programmes to support the enhanced	Greater understanding of the need for management & the issues involved with proactive		S	Participation of selected industry and eNGO representatives in the Project Steering Committee has been successful in extending breadth of engagement with civil society.

regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement & participation in Project, FFA, WCPFC & sub-regional activities	sub-regional activities, including INGO & ENGO participation	in oceanic fisheries management Major progress under Phase I in external communications by the Project needs to be built on	understanding of fishery management challenges in Industry and with stakeholders. However, there is no real indicator of the extent of success of this work. Both industry generally and the NGO sector are fully involved in WCPFC processes. The project has developed the SustainPacFish web portal as an information mechanism for Pacific Tuna Fisheries and WCPFC fisheries management challenges.	contributions from industry & other elements of civil society to the conservation effort			
	Number of national consultative or advisory processes/committees created or strengthened & operational	National consultative & advisory processes are variable & often weak if they exist at all. See Attachment	The project has not focused at all on establishing national advisory committees. This is because FFA Member country national fisheries administrations are already significantly over burdened with meeting commitments and implementing WCPFC obligations. Directors of Fisheries Administrations are established as OFMP national contact points.	Formal advisory committees established & operational in at least 10 SIDS			Country-led consultative processes in place in all participating countries (not necessarily formal advisory committees).
Outcome 4.2: Increased awareness of	Level of media coverage of relevant issues	Phase I & the early period of operation of the	Shark and turtle issues generally well publicized in the media but not	Widespread, well informed coverage in Pacific Islands		MS	Project web portal in place along with media support. Opportunity for greater emphasis in this area

oceanic fisheries resource & ecosystems management & impacts of climate change	No. of communiques from relevant regional fora, including Pacific Island Leaders' meetings covering oceanic fisheries	<p>WCPFC has generated greatly increased interest, focused on iconic non-target species, especially sharks. Awareness of associated with target stocks is inadequate in relation to their regional & global importance</p> <p>General awareness of the expected impacts of CC on oceanic fish stocks & fisheries, but key institutional & legal aspects have not been raised</p>	specifically project drive. CC impacts have not been a specific media goal for the project to date. However, both bycatch and CC issues are under consideration in the connect of WCPFC progress against SDG 14 – Under the Ocean as featured in the 2017 UN Oceans Conference with was well attended by Pacific Fisheries Personnel and Leaders. Fisheries Matters addressed in media statement following FFC Fisheries Ministers Meetings. Fisheries Management an ongoing focus area for leaders.	media of issues associated with conservation management of target & non-target species, & CC impacts			<p>including use of social media, with limits with respect to confidentiality as may be appropriate.</p> <p>Fisheries has been adopted as a priority issue under the Framework for Pacific Regionalism. Pacific Leaders regularly include regional fisheries issues in the communique after each annual Leaders' meeting.</p> <p>Demonstrated donor interest in fisheries in support of sustainability and development goals.</p>
	Continuing donor interest in funding oceanic fisheries agencies & projects	Donors, including the ADB & World Bank shied away from fisheries as catches approached their limits because of perceived lack of potential development gains.	FFA sustains a high profile with donors – new projects on line supported by New Zealand and Sweden. EU project under development. Donor support vital to ongoing FFA fisheries program implementation.	Success in this Project & related activities encourages increased donor interest in Pacific Islands oceanic fisheries, attracted by the scope for increasing value through better management.			

Annex H: Summary of current CMMS

Fish Stock Policy and Rules

[summary from PIOFMP-II portal as at November 2017]

WCPFC reference	Brief Summary of main measures
	Tuna
2016-01, <u>Bigeye, yellowfin and skipjack tuna in the Western & Central Pacific Ocean</u> (a) Purse seine fishery in tropics (20° N - 20° S)	<p>Prohibits setting of fish aggregating devices (FADs) July–September in Exclusive Economic Zones (EEZ), plus the choice of an additional 2 month prohibition or setting a limit on total number of FADs (the latter requires weekly and monthly reporting).</p> <p>Prohibits setting any FADs in the high seas during 2017 (except for Kiribati-flagged vessels in adjacent high seas).</p> <p>Parties to the Nauru Agreement (PNA) to restrict their purse-seine fishing effort to 2010 levels within their EEZ.</p> <p>Countries not within the PNA with catch efforts in their EEZ of more than 1500 days/year shall limit purse-seine efforts to an average of 2001–04 or 2010 levels.</p> <p>No SIDS countries need to restrict their purse-seine fishing efforts on the high seas to agreed limits.</p> <p>No vessels are to increase their catches of yellowfin tuna.</p> <p>Except for SIDS and Indonesia, no country is to increase the number of their vessels that are larger than 24 metres and have freezer capacity.</p>
2016-01, <u>Bigeye, yellowfin and skipjack tuna in the Western & Central Pacific Ocean</u> (b) Longline fishery	<p>Catch limits are set for bigeye tuna for all countries catching 2000 tonnes or more per year.</p> <p>Longline vessels are not to increase their catches of yellowfin tuna.</p> <p>People's Republic of China, Indonesia, Japan, Republic of Korea, Chinese Taipei and USA are to report monthly on bigeye catches.</p> <p>Except for SIDS and Indonesia, no country is to increase the number of their longline vessels targeting bigeye tuna that have a freezing capacity or ice-chilled facilities.</p>
2016-01, <u>Bigeye, yellowfin and skipjack tuna in the Western & Central Pacific Ocean</u> (c) Other commercial fisheries	<p>Total effort and capacity of other commercial bigeye, yellowfin and skipjack tuna fisheries (taking more than 2000 tonnes) is not to exceed the average level of 2001–04 or 2004.</p>
2015-06, <u>Target reference point for skipjack tuna</u>	<p>The interim target reference point for skipjack, until it is reviewed in 2019, is to be 50% of the estimated recent average spawning biomass in the absence of fishing.</p> <p>Estimating the target reference point will use the same methods used for the limit reference point for skipjack tuna.</p> <p>The scientific committee will refer to this reference point when assessing the status of skipjack stocks and when recommending any changes due to possible local reductions or spatial shift in stocks.</p>

<p>2015-02, <u>South Pacific Albacore</u></p>	<p>Fishing for albacore tuna south of 20°S is not to be increased above 2005 levels, and work is needed to only maintain or to reduce fishing efforts.</p> <p>SIDS have a legitimate right to responsibly develop their own albacore fisheries in the waters under their jurisdiction.</p> <p>Each fishing vessel operating south of 20°S needs to report annually to the WCPFC about the total catch.</p>
---	--

Annex I: Ratings Scales

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex J: Project Revenue and Expenditure at MTR

PIOFMP-II project revenue and expenditure as presented to the project Steering Committee October 2017.

OCEANIC FISHERIES MANAGEMENT PROJECT II **Fourth regional steering committee meeting** **Honiara, Solomon Islands** **27th October 2017**

P4. Revenue and Expenditure Summary

UNDP and FAO Budget (Pro Doc) Vs Funds Disbursed			
Y1 - Y3	UNDP	FAO	Total
Budget (Pro Doc)	3,902,795.00	4,177,910.00	8,080,705.00
Funds received (Oct 15 - Dec 17)	1,953,160.83	2,831,068.00	4,784,228.83
Net	1,949,634.17	1,346,842.00	3,296,476.17

UNDP Revenue Schedule Oct 2015 - Dec 2017		
Period	Amount	Comment
Q1 2016 (Oct 15 - Mar 16)	274,279.50	Funds came in late September 2015
Q2 2016 (Apr - June)	331,319.50	Fund received in May 2016
Q3 2016 (Jul - Sept)	266,625.00	Fund received in August 2016
Q4 2016 (Oct - Dec)	242,025.00	Fund received in March 2017 - due to low project delivery
Q1 2017 (Jan - Mar)	508,061.83	Fund received in May 2017

Q2 2017 (Apr - June)	330,850.00	Fund received in Aug 2017
Total	1,953,160.83	

FAO Revenue Schedule Oct 2015 - Dec 2017		
Period	Amount	Comment
Y1 Jan - June 2016 (sem 1)	249,972.00	Funds received in Oct 2015
Y1 July - Dec 2016 (sem 2)	541,891.00	Funds received in Sept 2016
Y2 Jan - June 2017 (sem 1)	669,735.00	Funds received in May 2017
Y2 July - Dec 2017 (sem 2)	699,735.00	Funds Received in 29th Sept 17
Total	2,161,333.00	

UNDP Expense Schedule Vs Budget Oct 2015 - Dec 2017						
Outcomes	PERIOD	Pro Doc Budget	Budget Y1 & Y2	Actual	Savings/(Over Spent)	Comment
Outcome 1.2	Oct 2015- Dec 2016 2017		73,800.00 0.00	0.00 0.00	73,800.00 0.00 0.00	
1.2 Total			73,800.00	0.00	73,800.00	
Outcome 3.1	Oct 2015- Dec 2016 2017		1,189,038.00 600,805.00	124,083.17 526,981.87	1,064,954.83 73,823.14 0.00	
3.1 Total			1,789,843.00	651,065.03	1,138,777.97	
Outcome 3.2	Oct 2015- Dec 2016 2017		1,091,400.00 567,100.00	923,462.50 449,975.00	167,937.50 117,125.00 0.00	
3.2 Total			1,658,500.00	1,373,437.50	285,062.50	

UNDP Expense Schedule Vs Budget Oct 2015 - Dec 2017					
Outcomes	PERIOD	Pro Doc Budget Budget Y1 & Y2	Actual	Savings/(Over Spent)	Comment
Outcome 4.1	Oct 2015- Dec 2016 2017	266,162.00 114,490.00	41,220.20 125,555.49	224,941.80 (11,065.49) 0.00	
4.1 Total		380,652.00	166,775.69	213,876.31	
Total		3,902,795.00	2,191,278.22	1,711,516.78	

Jul-Dec - 2015

Jan - Dec 2016 2,620,400.00 1,088,765.86

Jan - Dec 2017 1,282,395.00 1,102,512.36

3,902,795.00 2,191,278.22

FAO Expense Schedule Vs Budget

Oct 2015 - Dec 2017

Components	YEAR	Budget as per Pro Doc	Actual	Savings/(Over Spent)	Comment
Component 1.1.1	Jul-Dec - 2015	150,769.23	0.00	150,769.23	
	Jan - Dec 2016	215,769.23	215,325.91	443.32	
	Jan - Dec 2017	131,538.46	189,547.00	(58,008.54)	
			0.00	0.00	
				0.00	
1.1.1 Total		498,076.92	404,872.91	93,204.01	
Component 1.1.2	Jul-Dec - 2015	50,000.00	0.00	50,000.00	
	Jan - Dec 2016	50,000.00	28,096.16	21,903.84	
	Jan - Dec 2017	50,000.00	0.00	50,000.00	
				0.00	
				0.00	
1.1.2 Total		150,000.00	28,096.16	121,903.84	
Component 1.2.1	Jul-Dec - 2015	238,865.00	58,850.00	180,015.00	
	Jan - Dec 2016	257,053.00	351,809.00	(94,756.00)	

FAO Expense Schedule Vs Budget

Oct 2015 - Dec 2017

Components	YEAR	Budget as per Pro Doc	Actual	Savings/(Over Spent)	Comment
	Jan - Dec 2017	257,619.54	270,563.00 0.00	(12,943.46) 0.00 0.00 0.00	
1.2.1 Total		753,537.54	681,222.00	72,315.54	
Component 2.1.1	Jul-Dec - 2015	394,230.77	0.00	394,230.77	
	Jan - Dec 2016	464,230.77	184,400.95	112,421.77	
	Jan - Dec 2017	388,788.54	203,492.68 0.00	185,295.86 0.00	
2.1.1 Total		1,247,250.08	387,893.63	691,948.40	
Component 2.1.2	Jul-Dec - 2015	60,000.00		60,000.00	
	Jan - Dec 2016	80,000.00	29,691.80	50,308.20	
	Jan - Dec 2017	80,000.00	18,415.00 0.00	61,585.00 0.00	

FAO Expense Schedule Vs Budget

Oct 2015 - Dec 2017

Components	YEAR	Budget as per Pro Doc	Actual	Savings/(Over Spent)	Comment
2.1.2 Total		220,000.00	48,106.80	171,893.20	
Component 2.1.3	Jul-Dec - 2015	54,838.06	0.00	54,838.06	
	Jan - Dec 2016	59,956.34	0.00	59,956.34	
	Jan - Dec 2017	55,522.88	0.00	55,522.88	
				0.00	
2.1.3 Total		170,317.29	0.00	170,317.29	
Component 4.1.1	Jul-Dec - 2015	70,000.00	17,500.00	52,500.00	
	Jan - Dec 2016	70,000.00	70,000.00	0.00	
	Jan - Dec 2017	70,000.00	70,000.00	0.00	
			0.00	0.00	
				0.00	
				0.00	
4.1.1 Total		210,000.00	157,500.00	52,500.00	
Component 4.1.2	Jul-Dec - 2015	109,000.00	15,624.00	93,376.00	

FAO Expense Schedule Vs Budget

Oct 2015 - Dec 2017

Components	YEAR	Budget as per Pro Doc	Actual	Savings/(Over Spent)	Comment
	Jan - Dec 2016	80,000.00	15,264.58	64,735.42	reimbursement of 2015 and 2016 costs paid by FFA Core funds
	Jan - Dec 2017	81,000.00	184,273.00	(103,273.00)	
			0.00	0.00	
				0.00	
4.1.2 Total		270,000.00	215,161.58	54,838.42	
Component 4.1.3	Jul-Dec - 2015	30,000.00	0.00	30,000.00	Utilizing Y1 and Y2 budgets
	Jan - Dec 2016	95,550.00	0.00	95,550.00	
	Jan - Dec 2017	0.00	49,067.07	(49,067.07)	
			0.00	0.00	
4.1.3 Total		125,550.00	49,067.07	76,482.93	
Component 4.2.1	Jul-Dec - 2015	174,296.94	0.00	174,296.94	
	Jan - Dec 2016	187,340.66	195,227.67	(7,887.02)	

FAO Expense Schedule Vs Budget

Oct 2015 - Dec 2017

Components	YEAR	Budget as per Pro Doc	Actual	Savings/(Over Spent)	Comment
	Jan - Dec 2017	171,540.58	242,905.75 0.00	(71,365.17) 0.00 0.00 0.00	
4.2.1 Total		533,178.17	438,133.42	95,044.75	
Total		4,177,910.00	2,410,053.57	1,600,448.38	

Total	Jul-Dec - 2015	1,332,000.00	91,974.00
	Jan - Dec 2016	1,559,900.00	1,089,816.07
	Jan - Dec 2017	1,286,010.00	1,228,263.50
		<u>4,177,910.00</u>	<u>2,410,053.57</u>

Annex K: Co-finance calculations

Spreadsheet calculations for co-finance are presented below. These are based on a combination of information provided by co-financing entities, and estimated co-financing flows. The estimates assume that co-financing will track with a combination of project duration and project expenditure/disbursement; Factors 1 and 2 are adopted for each of these parameters respectively. Other general assumptions are:

- 50:50 split between time factor and disbursement factor
- Time factor estimates that as of November 2017 the project was at its half way stage
- Disbursement factor uses ratio of total disbursement to disbursement as reported to SC November 2017 (Annex J)

SIDS contributions		Total								
All components		Factor 1 Time			Factor 2			Factor 3		
Prodoc fig.		quantum	Time factor	F1 total	quantum	Disb. Factor	F2 total	National action factor	F1+F2 x F3	
1 Cook Islands	420772	210386	0.5	105193	210386	0.41	86563.19	1	191756	
2 FSM	1671576	835788	0.5	417894	835788	0.41	343884.5	0.875	718793	
3 Fiji	888476	444238	0.5	222119	444238	0.41	182781.5	0.875	382053	
4 Kiribati	1586656	793328	0.5	396664	793328	0.41	326414.3	0.875	682277	
5 RMI	4835608	2417804	0.5	1208902	2417804	0.41	994804	0.75	1955005	
6 Nauru	1716310	858155	0.5	429077.5	858155	0.41	353087.3	0.875	738029	
7 Niue	247344	123672	0.5	61836	123672	0.41	50884.77	0.875	106360	
8 Palau	865416	432708	0.5	216354	432708	0.41	178037.4	0.875	372137	
9 PNG	15373960	7686980	0.5	3843490	7686980	0.41	3162803	0.875	6610943	
10 Samoa	859604	429802	0.5	214901	429802	0.41	176841.8	0.875	369638	
11 Solomon Islands	1256650	628325	0.5	314162.5	628325	0.41	258523.9	0.875	540371	
12 Tonga	666434	333217	0.5	166608.5	333217	0.41	137101.9	0.875	286573	
13 Tuvalu	808104	404052	0.5	202026	404052	0.41	166246.9	0.875	347492	
14 Vanuatu	n/a		0.5					1		
Prodoc total	31196910									
TOTAL SIDS c-f									13301425	% at MTR 43%

Notes: SIDS calculations

A third factor (Factor 3) is used for tracking project activity by country; this is based on country activity fields in Table 9 of this Report.

Partner contributions

		All components	Factor 1 Time			Factor 2			Total	
		Prodoc fig.	quantum	Time factor	F1 total	quantum	Disb. Factor	F2 total	F1+F2	
1	FFA	40654199	actual (estimate) [ref notes]						25,613,579	63%
2	SPC	7053000	actual (estimate) [ref notes]						8,671,451	123%
3	FAO cash	500000	250000	0.5	125000	250000	0.43	108066.7	233,067	47%
4	FAO in-kind	2500000	2500000	0.5	1250000			0	1,250,000	50%
5	UNDP in-kind	750000	750000	0.5	375000			0	375,000	50%
6	PITIA	100000	50000	0.5	25000	50000	0.41	20572.47	45,572	46%
7	PNA	2000000	2000000	0.5	1000000			0	1,000,000	50%
8	WWF	180266	90133	0.5	45066.5	90133	0.41	37085.17	82,152	46%
Partner Total		53737465							TOTAL Partner c-f	% at MTR
									37,270,821	69%
Grand Tot		84934375							MTR G. Tot.	% at MTR
									50,572,246	60%

Notes:

FFA figures are based on actual donor funding figures; adjusted by the MTR's estimate of project alignment

SPC figures are based on actual donor funding figures for 2017 with extrapolation to prior years. These were adjusted by the MTR's estimate of project alignment [eligible donor projects: Australia; New Zealand; FAO; Pew; International Sustainable Seafood Foundation (ISSF); The Nature Conservancy (TNC)]

Annex L: Consolidated progress report against outcomes

This table summarises PMU 2017 reports to UNDP and FAO at Outcome/sub-Outcome level

Key	
	UNDP quarterly reports
	FAO six-monthly reports

Table L1: Consolidated progress report against outcomes (based on the most recent 2017 project progress reports)		
	Report to UNDP (July to September 2017)	Report to FAO (January to June 2017)
Outcome 1.1: Comprehensive set of innovative on-the-water conservation & management measures (CMMS) adopted and applied by the Western & Central Pacific Fisheries Commission (WCPFC) for stocks of the Western Tropical Pacific Warm Pool (WTPWP) LME, incorporating rights-based and ecosystem-based approaches in decision making & informed by sound scientific advice & information.		
1.1.1		<p>1.1.1.1 Brief preparation is not a feature of the work program for the reporting period and becomes a priority in the second half of the year.</p> <p>1.1.1.2 MOC meeting is scheduled for the second half of the year.</p> <p>1.1.1.3 As above.</p> <p>1.1.1.4 This matter was considered by the 2017 PSC based on a brief paper prepared by the Secretariat. Following lengthy discussions, FFA suggested that the most useful common ground might be to utilize the funds to support placements on the MCS Certificate IV course which has now been formally adopted by USP and can thus contribute towards a wider qualification scheme. It keeps FFA formally engaged with USP but allows us to address the most contemporary issues we are faced with. The PSC members agreed that this was the preferred option and this was adopted by the meeting.</p>
1.1.2		<p>1.1.2.1 – 1.1.2.3 No activity during the reporting period. Activity scheduled for the second half off the year.</p> <p>1.1.2.4 Niue Treaty Training and implementation related activities ongoing throughout the reporting period but not funded under the project.</p>
Outcome 1.2: Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool LME is put in place through better understanding of the impacts of climate change.		
1.2.1		<p>This work continues to be progressed, with results presented to the WCPFC SC12 meeting as described below.</p> <p>1.2.1.1 - A new paper on the SEAPODYM model for yellowfin, including climate change projections, will be presented to the WCPFC SC13 meeting in August 2017. -The paper</p>

		<p>includes novel projections of the impacts of climate change induced ocean acidification on larval stages of yellowfin tuna</p> <p>-The results of the SEAPODYM review workshop presented to WCPFC SC12 meeting (WCPFC-SC12-EB-IP-14) continue to guide development of the SEAPODYM model (in particular refining the SEAPODYM models and associated climate change projections, for all target tuna species).</p> <p>1.2.1.2 - Report on tuna purse seine bycatch to be presented to the WCPFC SC13 meeting in Rarotonga in August: Peatman T, Allain V, Caillot S., Williams P.G., Smith N., 2017. Regional bycatch summary for purse seine fisheries in the WCPFC area.</p> <p>1.2.1.3 - Samples continue to be accumulated. The tuna tissue bank contains 15,197 fish stomachs for diet analysis.</p> <p>-Plans to collect additional samples well advanced</p> <p>-Conducted 1 cruise (EU co-funding) in March 2017 to collect tuna forage along with oceanographic and pelagic ecosystem data for better understanding of ecosystem functioning and the influence of environmental parameters</p> <p>-Engaged discussions for other scientific cruises (Korea co-funding) to be conducted in the region for forage monitoring</p>
1.2.2		According to FAO this activity is complete.
1.2.3	<p>TOR for TDA study now agreed between the parties and ready for tender in Q4.</p> <p>Original baseline study completed in 2009 under OFMP1. 2016 study to be presented at OFMP2 PSC meeting in May 2017.</p> <p>New study completed in 2017 and will be used to contributed towards TDA as background documentation.</p>	
Outcome 2.1: Sub-regional CMMs are operationalized and enforced, including rightsbased cap and trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability and incentivized by sustainable fishery certifications.		
2.1.1		2.1.1.1 - Revised workplan prepared and presented to Ministers in June reporting that action had been taken on all 28 of the Review recommendations, some of

		<p>which is ongoing and medium term, and that consideration of the Review is largely complete.</p> <p>A Compliance sub-Committee has been established.</p> <p>A vessel day registry is being designed. Proposal presented to Officials to establish a VDS Advisory Panel.</p> <p>PNA economic analysis in the purse seine and longline sector completed for Palau Arrangement meetings in April. Ongoing support to Parties in providing economic intelligence for bilateral meetings and development of e-tender processes using FIMS</p> <p>Study on tenders and auctions underway in first six months of the year. Contract given to Professor Julio Pena, Alberto Hurtado Santiago University</p> <p>2.1.1.2- WCPFC13 agreed objectives and approach to risk analysis for MSE analysis of a HCR for SKJ</p> <p>Paper prepared and presented at the PNA Annual meeting, April. 2017</p> <p>2.1.1.3 - The results of the June and October workshop presented to the Palau Arrangement meeting in April 2017</p> <p>2.1.1.4 - PNA economic model for VDS discussed at Palau Arrangement meeting and at the PNA meeting in April 2017 with a view to developing a benchmark price by April 2018.</p> <p>Technical support and advice applied on allowing for transit days under the LL VDS in June, 2017</p> <p>PNA providing ongoing support to Parties in the introduction of Electronic licensing and e-reporting</p> <p>PNA participation in e-monitoring workshop in March in support of LL catch monitoring</p> <p>2.1.1.5 - VDS Technical and Scientific Committee met in Majuro, Marshall Islands in April 2017. The 22nd Annual PNA Meeting also met in Majuro to discuss the implementation of the Longline and Purse Seine VDS, approve the TAE and review the PAE.</p> <p>2.1.1.6 - PNAO FIMS staff training workshop in Brisbane May 2017</p>
--	--	---

		<p>PNAO VDS officer implementing PNA FIMS training to Parties from January to June 2017</p> <p>PNA Observer Coordinators met in Nadi in February 2017</p> <p>Nationals from Palau, RMI and Tokelau supported to Report on eReporting, online vessel licensing (ELR), e-logs and eObserver at the VDS Technical and Scientific Committee Meeting in Majuro in April 2017.</p> <p>2.1.1.7 - PNA MSC Recertification in progress</p> <p>PNAO staff responding technical queries and inputs on an ongoing basis including responding to challenges to NSC scoring on Harvest Control Strategy, the definition of Unit of Association and Chain of Custody</p> <p>2.1.1.8 - Two national consultants recruited to support Chain of Custody systems implementation</p>
2.1.2		<p>This reporting covers the 2nd half of the 2016/2017 (Q1 & Q2 2017) TVM Work Plan. TVM has a renewed focus on capacity building and enabling cooperation across Participants</p> <p>2.1.2.1 - TVM GC have decided to cancel the propose review of licensing standards in their administrations in light of the completion of a larger regional study of a licensing gaps analysis across FFA member countries. No further activities will be undertaken this sub-component of this output</p> <p>2.1.2.2 – 2.1.2.3 – As above (no further activities will be undertaken this subcomponent of this output).</p> <p>2.1.2.4 - An effort to assist TVM Participants understand and develop national CDS systems in zone notwithstanding the Commission efforts to adopt a fully fledged CDS. Reports have been completed for Samoa and Tonga.</p> <p>IMS activities and other capacity building activities to be endorsed in the 2017/2018 work plan to be advised</p>
2.1.3		<p>PSC considered paper prepared by the Secretariat on 2.1.3 and decided on a further course of action</p>

		<p>2.1.3.1 - In considering the options for the allocation of resources under output 2.1.3, the PSC noted that the original intention of the output use by the Melanesian Spearhead Group. FFA reminded the PSC that there had been no response from MSG last year, and it had been suggested that this funding might be devoted to emerging sub-regional fishery management arrangements like the Tokelau Arrangement. FFA had subsequently been in correspondence with MSG who had advised that although there had not been a meeting of the their Fisheries Technical Advisory Committee since 2013, there is a meeting scheduled for later in 2017 for which they would like to utilize a portion of the allocated funds. FFA also noted that there was a DEVFISH-funded report in 2012 on options for the MSG albacore fishery that was never followed up, but it is now proposed that this be done in 2017.</p> <p>FFA suggested that it would be useful to offer provisional support to MSG for their October workshop provided the TORs for this work were appropriate, but that the emerging albacore management was through the Tokelau Arrangement and that it would also be appropriate to support this workshop.</p> <p>The PSC members endorsed this suggestion.</p>
Outcome 3.1: Innovative ecosystem-based on-the-water conservation and management measures (CMMs) being effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments.		
3.1.1	<p>3.1.1.1 - Previous work undertaken in Kiribati, Palau, PNG, Solomon Islands, RMI, Vanuatu and Niue. Work during the quarter in Samoa, FSM and Kiribati</p> <p>3.1.1.2 - The main focus area was the continuation and completion of the first phase of a detailed Institutional review for Samoa.</p> <p>3.1.1.3 - No activity for the quarter</p>	
3.1.2	<p>3.1.2.1- Annual legal work plan prepared and adopted by FFC in May 2017</p> <p>3.1.2.2 - Work for the quarter undertaken in Vanuatu and Kiribati</p> <p>3.1.2.3 - Individual legal attachments undertaken but funded from other sources. OFMP 2 funds utilized in support of regional prosecution workshop</p> <p>3.1.2.4 - Templates available where appropriate and required</p> <p>3.1.2.5- no activity for the quarter</p>	

	<p>3.1.2.6 - Dockside Boarding Courses delivered in Fiji</p> <p>3.2.1.7 - No individual activity for the quarter</p>	
3.1.3	<p>3.1.3.1 - No activity for the current quarter</p> <p>3.1.3.2 - Bycatch assessments undertaken in FSM and Kiribati</p>	
Outcome 3.2: Integrated data and information systems and scientific analysis being used nationally for reporting, policy-making, monitoring and compliance.		
3.2.1	<p>Deployed 'TAILS' data collection application in Kadavu (Southern Fiji) and Cook Islands, including training for fisheries officers and field staff.</p> <p>Attended Coral Triangle Initiative meeting and presented on 'TAILS' to attendees. Demonstrated software capabilities to PNG and Solomon Islands representatives.</p> <p>Initial user testing of new 'TUFMAN 2' modules carried out with SPC data entry staff.</p> <p>Ongoing database and related support to beneficiaries via a user support system called SLACK, which provides live support to data managers in country offices. There are currently over 100 registered users of this software with over half of these active every week.</p>	
3.2.2	<p>Prepared analyses for, then attended in the Solomon Islands, a bioeconomic analysis. This updated the analysis I prepared for them 2 years ago, and a final report was submitted to them, with revised recommended effort levels.</p> <p>Attended pre-SC FFA briefing in Rarotonga to present relevant SPC material (mainly the bigeye and swordfish assessments) and assist in drafting FFA talking points</p> <p>Conducted a second Palau bioeconomic analysis to assist Richard Banks on estimating appropriate levels of fishing effort for the entire Palau EEZ if it were to remain open</p> <p>Prepared updated versions of the Bioeconomic Longline Tuna Tool for use in FSM (by Stephen Brouwer) and Tonga (Chris Reid).</p>	

	Completed written reports for submission to Tonga (shark plan) and Palau (impact of marine reserve closure)	
Outcome 4.1: Greater multi-stakeholder participation in the work of the national and regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement and participation in Project, FFA, WCPFC and sub-regional activities.		
4.1.1		<p>Working relationships established and formally agreed and work initiated. Solid working relationships in place with PNAO, TVM, WWF, PITIA, SPC, WCPFC</p> <p>4.1.1.1 - Both agreements in place. Activity financing operational and ongoing.</p> <p>4.1.1.2 - Economic Indicator Workshop, Suva, Fiji Islands, 6th - 8th March, 2017 MCS Working Group, Honiara, Solomon Islands, 3 – 7 April, 2017 Niue Treaty Subsidiary Agreement, Honiara, Solomon Islands. 29th - 31st March, 2017 Tokelau Arrangement Workshop, Canberra, Australia. 4th - 5th May, 2017 OFMP II Steering Committee, Canberra, Australia. 6th May, 2017 Annual 102 FFA officials meeting, Canberra, Australia. 8th - 12th May, 2017 Pacific NZ Fisheries Forum, Auckland, New Zealand. 15th March, 2017. This meeting was co hosted by PITIA and PCF. PITIA AGM 2017, Auckland, 16th May, 2017</p> <p>4.1.1.3- PITIA have released 5 editions of its e-newsletter the Pacific Tuna Watch on its email distribution list of around 100 recipients. We have move[d] from the PDF version to a email system template, PITIA also post and share any information regarding the development of fisheries in its facebook page of 1090 likes and followers and 6000 plus views on our posts. PITIA have designed and produced some printed materials; brochure, flyer, book maker and a presentation folder with basic information about PITIA. Secretariat is looking at taking 50 copies of brochures to be distributed at the PITIA booth at the conference. PITIA website is its other form of information distribution tool for PITIA. Press statements and news articles about tuna industry from the region is posted on the website.</p> <p>4.1.1.4- PITIA have a consultation meeting with Pacific Islands Private Sector Organisation (PIPSO) to review the Memorandum of Understanding between 2 parties and opportunities for further cooperation.</p>

		<p>PITIA is working on finalising arrangements with WWF Pacific Program on further funding support for PITIA under the PIFS NSA grant through WWF PP. Some of the initiatives both Parties are looking at are in country workshops and support for PITIA travel fund.</p> <p>PITIA have co-hosted the Pacific NZ Fisheries conference with PCF in Auckland. Total of 113 participants attend the conference and it is a very successful event with speakers including FFA DG James Movick, New Zealand Ambassador Shane Jones and representatives from fishing industry in the region.</p> <p>4.1.1.5- WWF co-hosted a side event at the United Nations Oceans Conference titled “Healers of our ocean: Asia-Pacific women leading ocean action to achieve SDG14” on Monday, 5 June in New York. The aim of the side event was to discuss and raise awareness around the crucial and diverse role Pacific Island women play in ensuring the sustainability and health of our Oceans. WWF supported the participation of Civil Society representatives from Fiji and Solomon Islands that presented highlights of their efforts at the community and household level, their successes, challenges to over 150 participants.</p> <p>WWF hosted the event in partnership and with support from UN Environment and 16 additional government and Civil Society partners including the Pacific Islands Forum Fisheries Agency – (Oceanic Fisheries Management Project II); Government of the Netherlands, Fiji Locally Managed Marine Areas, International Union for the Conservation of Nature, Locally Managed Marine Areas Network, National University of Samoa – Faculty of Science, Office of the Pacific Ocean Commissioner, Okeanos Foundation, the Pacific Community (SPC), Pacific Island Development Forum, , Samoa Voyaging Society – Aiga Folau o Samoa, Secretariat of the Pacific Regional Environment Programme, The Nature Conservancy, UN Environment Programme, UN Entity for Gender Equality and the Empowerment of Women (UN Women), UN Food and Agriculture Organization, Wildlife Conservation Society and Women in Fisheries Network – Fiji.</p> <p>(1) One joint Pacific Civil Society Organisation (CSO) workshop titled “Civil Society Round Table on Pacific Tuna Fisheries” organised by WWF, PIANGO and Pacific Dialogue with support from FFA was hosted from 29-30 November 2016 at Tanoa Plaza Hotel Suva, Fiji to improve understanding and awareness of the WCPFC process and issues affecting the regional tuna fishery and opportunities for CSO engagement. Over 50 participants from local, regional NGOs, governmental and intergovernmental bodies attended the 2-day workshop.</p>
--	--	--

		<p>(1) One Joint CSO Communiqué outlining Pacific CSO concerns and policy recommendations was developed and presented to the WCPFC13 as an observer paper for consideration.</p> <p>A workshop report outlining priority issues discussed; CSO engagement options and next steps was produced.</p> <p>4.1.1.6 – 4.1.1.7 - Social media (Facebook) platform developed and launched. Pacific Civil Society FishTank (@PacCSOFishTank) is an online social networking, information and idea sharing and awareness raising hub for Civil Society Organisations (CSOs) in the Pacific Islands Region provoking engagement and activism on regional fisheries issues. WWF-Pacific will administer and utilise the platform to provide relevant updates and share key advocacy and awareness materials.</p> <p>(1) Pacific CSO regional fisheries management resource kit (Hard and Soft copies) containing over 20 tuna relevant awareness fact sheets was produced (printed hardcopies and soft copies on USB drives) and distributed to CSO participants attending the joint CSO workshop. (1) press release published</p> <p>4.1.1.8 - WWF co-hosted a side event at the United Nations Oceans Conference titled “Healers of our ocean: Asia-Pacific women leading ocean action to achieve SDG14” on Monday, 5 June in New York. WWF supported the participation of Civil Society representatives that presented highlights of their efforts at the community and household level, their successes, challenges to over 150 participants.</p> <p>WWF has initiated consultations with CSO partners in preparation for engagement and participation at upcoming subsidiary and WCPFC 14 annual meeting.</p> <p>(3) Three Pacific Island CSOs including PIANGO; Pacific Dialogue and Vanuatu Association of NGOs were provided full logistical and technical support to engage and participate as WWF accredited observers at the 13th Annual WCPFC meeting; In addition the International Labour Organisation (Pacific Office) and the Pacific Islands Development Forum (PIDF) attend WCPFC13 as members of WWF delegation.</p> <p>WWF led the consultations , coordination and development of (1) One Joint CSO Communiqué outlining Pacific CSO concerns and policy recommendations was presented to the WCPFC13 as an observer paper for consideration.</p>
--	--	--

4.1.2		<p>4.1.2.1- The project inception meeting was held in Fiji in May, 2015 as the first Project Steering Committee.</p> <p>4.1.2.2- The third RSC meeting was held in Canberra in May 2017 as well as project partner meetings between FFA, FAO and UNDP. Meeting report included as report annex.</p> <p>4.1.2.3 - The national focal points for the project are the Heads of Fisheries Administrations or their designated officers.</p> <p>4.1.2.4- Ongoing widespread electronic communications with fisheries administrations to further advance baseline survey information.</p>
4.1.3		<p>4.1.3.1 - Baseline study draft completed and under review pending response to FAO commentary</p> <p>4.1.3.2 - Not yet review scheduled for August 2017 subject to timely recruitment of Consultants.</p> <p>4.1.3.3- End of project.</p> <p>4.1.3.4 - PIR report produced in July 2016 with second report due in July 2017.</p>
Outcome 4.2: Increased awareness of oceanic fisheries resource and ecosystems management and impacts of climate change.		
4.2.1		<p>PITIA and WWF awareness materials under regular publication. Institutional arrangements advanced for revised operational OFMP 2 website.</p> <p>Consultations undertaken with FFA media personnel and external agencies.</p> <p>4.2.1.1 - Tuna Pacific portal developed and launched in early July 2017.</p> <p>4.2.1.2 - The OFMP 2 logo is well established with stakeholders. Project T shirts regularly produced – project brochure produced and distributed.</p> <p>4.2.1.3- Project brochure in place. MOANA voices publication widely circulated.</p> <p>4.2.1.4- 4.2.1.5 - 2016 LME Conference attended in Paris, France in December, 2016</p>

		FFA strongly represented at World Oceans Meeting in New York and also well represented in side meetings 2017 IW meetings not yet scheduled.
--	--	--

Annex M: Web Portal data analytics

Google analytics for OFMP2 SustainPacFish web pages





















Time period: from launch (June 2017) to February 2018

How are people visiting the site?

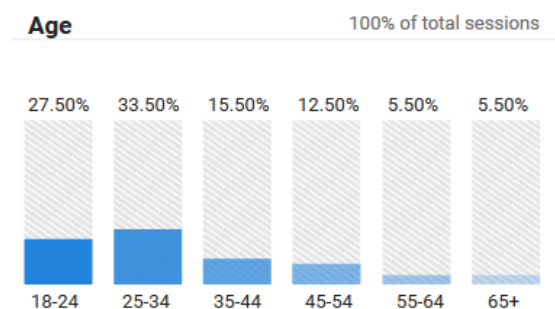
- Pretty steady at 5 users/day
- 232 users of the site; they've looked at 4430 pages over 460 sessions
- 15% of people are repeat users
 - 39 people have visited twice
 - 27 visited 3x
 - 19 visited 4x
 - 10 visited 5x
- Usually people look at 9.67 pages when they visit the site (that's quite a few)
- The average site visit length is nearly 6 minutes (that's a long time)
 - **Most** people stay on for up to 1 minute, though
- The bounce rate (people looking at only 1 page when they come to the site) is about 25%; ["Most websites will see bounce rates fall somewhere between 26% and 70%". "Anything under 40% ... is excellent, and indicative of a well built, professionally designed website that is meeting its users' needs."](#)
- There was particularly high traffic at the end of June 2017/start of July 2017, and in late October 2017, and the very end of January 2018.
- Most people are using a computer to see the site, but 7% are using mobile devices (possibly more). Most of those are Apple devices (two-thirds); namely, iPhones.

Who is visiting the site?

- The countries accessing the site are:

	Country	Users	% Users
1.	 United States	86	 35.39%
2.	 Azerbaijan	59	 24.28%
3.	 Solomon Islands	19	 7.82%
4.	 Australia	16	 6.58%
5.	 Poland	12	 4.94%
6.	 New Zealand	8	 3.29%
7.	 New Caledonia	7	 2.88%
8.	 Fiji	4	 1.65%
9.	 Philippines	4	 1.65%
10.	 Canada	3	 1.23%

- The people accessing the site are mostly younger, and slightly more males (54%):



What they do on the site?

Start point	Then they go to...	Then they go to...
Homepage	Bycatch Fish stocks About Catch and harvest News Contact Compliance	[from the main group Bycatch, they go to:] Economics Contact Catch and harvest About
About	Catch and harvest News Contact Compliance	
Contact	About	

- This highlights the most visited pages (***note:** / means the home page*):

Page	Page Views
1. /	9.69%
2. /about	5.06%
3. /map/fish-stocks	4.45%
4. /resources	4.34%
5. /map/catch-&-harvest	4.00%
6. /contact	3.77%
7. /map/compliance	3.70%
8. /news	3.68%
9. /map/bycatch	3.34%
10. /map/observers	3.28%

How do they find the site?

- 84% come by clicking on a link directly; 11% from a search engine (i.e. Google search)

Annex N: MTR evaluative matrix

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Relevance of project strategy and involvement of stakeholders in design.	<ul style="list-style-type: none"> - Assumptions stand - prior lessons incorporated - project strategy is relevant - reflects country priorities stakeholder perspectives incorporated - gender issues raised 	<ul style="list-style-type: none"> - Project Document and associated source material - Personnel involved with project design - Project staff - MTR mission interviews and follow-up (countries, IAs) 	Initial review of documentation supplemented by stakeholder interviews during MTR mission; follow up on specific areas by further interviews /research.
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Assessment of progress towards end of project targets	Accurate assessment of progress towards outcomes at MTR	<ul style="list-style-type: none"> - Project Document and Logframe - Project reports to IAs - PIRs - SC records - stakeholder interviews and reports (PMU, Executing partners, participating countries) - Baseline report 	Comprehensive review of Lograme and reports against indicators; follow up interviews and points of clarification; rating using 'traffic light system.
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Effectiveness of management arrangements	- Effective project management	<ul style="list-style-type: none"> - Project Document - Project reports to IAs - PIRs - SC records - stakeholder interviews and reports (IAs, PMU, Executing partners, participating countries) 	Review of management arrangements; assess compliance with reporting and accountability structures; elaborate through stakeholder interviews; assess system support and effectiveness.
Conduct and outcomes of work planning	Work planning effective and responsive	<ul style="list-style-type: none"> - Project Document - SC papers and reports - project tracking reports (IA's PIR) - Interviews; PMU, Project partners 	Review planning processes and documentation; assess responsiveness to change (including delays); elaborate / confirm through stakeholder interviews
Management and utilisation of Project finances; co-financing	<ul style="list-style-type: none"> - Finances well managed and used cost-effectively - co-financing on track 	<ul style="list-style-type: none"> - Project reports - financial reports to SC - Audit reports 	Review financial documentation and status; stakeholder interviews.

		- co-financing documentation / evidence	Document co-financing quanta and tracking
Implementation and usefulness of M&E systems	Efficient, well utilised, well resourced M&E system	- Project Document - Project reports to IAs - PIRs - SC records - stakeholder interviews - documentation of formal M&E components	Review M&E system as specified in Project Document; review M&E products; stakeholder interviews; assess use, and usefulness of monitoring tools; review resourcing to support M&E system.
Appropriate stakeholder engagement	- Effective partnerships and leverage - country-driven processes - enhanced public awareness	- Project Document - SC papers and reports - stakeholder interviews (MTR mission) - Project publicity and communications website etc	Review partnership documentation; interviews with partner representatives; review Project communications and visibility
Comprehensiveness of reporting and adaptive management	- effective reporting and documentation of adaptive management (including lessons learned) - fulfilment of GEF reporting requirements - Effective action for project visibility	- Project Document - IA and GEF reports (PIRs) - stakeholder interviews (MTR mission) - Project publicity and communications website etc	Review documentation on reporting of adaptive management; review PIRs and associated documentation; interviews with partner representatives; review Project communications and visibility.
Effective communications	- Effective internal project communications - Effective external communication	- Communication products and tools - SC papers and reports - Stakeholder interviews	- Review communication products, tools and mechanisms; stakeholder interviews; summarise public awareness actions.
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Financial risks	- risk assessment valid - financial sustainability being managed	- Project Document - Project / financial reports - SC papers and reports - Stakeholder interviews	Review of documentation; stakeholder interviews; assess donor support and co-financing.
Socio-economic risks	- risk assessment valid - socio-economic sustainability being managed through stakeholder engagement	- Project Document - Project / financial reports - SC papers and reports - Stakeholder interviews - Outcome reporting on socio-economic status / benefits including gender considerations	Review of documentation; stakeholder interviews; assess evidence of socio-economic issues or risks.
Institutional framework and Governance risks	- risk assessment valid - institutional and governance sustainability being managed	- Project Document - Project reports - IA reports / PIRs - SC papers and reports	Review of documentation; stakeholder interviews; summarise governance risk.

Environmental risks	<ul style="list-style-type: none"> - risk assessment valid - environmental sustainability being managed 	<ul style="list-style-type: none"> - Project Document - Project reports - SC papers and reports - WCPFC – scientific committee reports 	Review of documentation; stakeholder interviews; summarise environmental risk.
---------------------	---	--	--

[ends]