MID-TERM REVIEW

GOVERNMENT OF KIRIBATI

"Enhancing National food security in the context of global climate change"

Mid-Term Report
September 2020

BASIC PROJECT INFORMATION

GEF Agency:	United Nations Development Program
Project Management Organization:	Ministry of Environment, Lands and Agriculture Development (MELAD)
Project Executive Agency:	Department of Environment (DOE)
GEF Project ID:	5414
UNDP Project ID:	4570
Evaluation Timeframe:	October 2019 – September 2020

BASIC REPORT INFORMATION

The project is consistent with the GEF 5 Strategies, to address the special needs of Least Developed Countries under the UNFCCC. Target sectors include agriculture and food security; health; disaster risk management and prevention; infrastructure; and fragile ecosystems. The LDCF focuses on reducing the vulnerability of key sectors identified through the NAPA process, financing on-the-ground adaptation activities that provide concrete results in support of vulnerable communities. The LDCF is directly focused on the following areas:

CCA 1: Reducing vulnerability: Reduce vulnerability to the adverse impacts of climate change, including variability at local, national, regional and global level
CCA 2: Increased adaptive capacity: Increase adaptive capacity to respond to the impacts of climate change, including variability at local, national, regional and global level

UNDAF Outcome(s): Outcome 1.1. Improved resilience of PICTs with particular focus on communities through integrated implementation of sustainable environmental management, climate change mitigation/adaptation and disaster risk management
UNDAF Outcome(s): Outcome 5.1. Regional, national, local and traditional governance systems are strengthened, respecting and upholding human rights, especially women's rights in line with international standards
UNDP Strategic Plan Environment and Sustainable Development Primary Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

Executing Entity/Implementing Partner: Ministry of Environment, Lands and Agricultural Development (MELAD)
Implementing Entity/Responsible Partners: Ministry of Fisheries and marine Resources Development (MFMRD)

UNDP/GEF/Government of Kiribati
LDCF

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DISCLAIMER

Be stated that the analysis and recommendations contained in this document only represent the opinions of the authors and do not necessarily reflect the analysis, views and opinions of the United Nations Development Program, GEF, any other UN Agency, nor any of the donors or parties involved in the Project.

Acronyms and Abbreviations

AA	Agricultural Assistant
A-AA	Aide to Agricultural Assistant
AMAT	National adaptation and monitoring tool
DOE	Department of Environment
CBFMP	Community-based Fisheries Management Plan
CBMMP	Mangrove Management Plan
CITES	Convention on International Trade in Endangered Species
EbA	Ecosystem-based Adaptation
EEZ	Exclusive Economic Zone
EMIS	Environment Management Information System
EWS	Early Warning System
FA	Fisheries Assistant
FAO	Food and Agriculture Organization
FEA	Fisheries Extension Assistant
GDP	Gross Domestic Product
ISP	Island Council Strategic Plan
IUCN	International Union for the Conservation of Nature
LDC	Least Developed Countries
LDCF	Least Developed Countries Fund
LMMA	Locally Managed Marine Area
KFSU	Kiribati Fiduciary Service Unit
MCIC	Ministry of Commerce, Industry and Cooperatives
MELAD	Ministry of Environment, Lands and Agriculture Development
MFMRD	Ministry of Fisheries and Marine Resources Development
MIA	Ministry of Internal Affairs
MICTTD	Ministry of Information, Communication, Transport and Tourism
MPA	Marine Protected Area
MTR	Mid-Term Review
NAPA	National Action Plan for Adaptation
OB	Office of Te Beretitenti (Office of the President)
PM	Project Manager
PMU	Project Management Unit
PSC	Project Steering Committee
RFA	Results Framework Agreement
SIDS	Small Island Development State
SPC	Secretariat of the Pacific Community
TORs	Terms of Reference
UNDP	United National Development Program
UNDP-CO	United National Development Program – Country Office

1. Executive Summary

TABLE 1: PROJECT INFORMATION TABLE

Project Title	Enhancing national food security in the context of global climate change			
GEF Project ID	4570		At endorsement (million US$)	
UNDP Project ID	5414	GEF financing	4,446,210	
Country	Kiribati	IA/EA own	140,000	
Region	Pacific	Government	7,000,000	
Focal Area	Environment Management, Climate Change and Disaster Risk Management	Other	NA	
FA Objectives	LDCF	Total co-financing	7,140,000	
Executing Agency	Ministry of Environment, Agriculture and Livestock (MELAD)	Total Project cost	11,586,210	
Other Partners Involved	Coastal Fisheries Division of MFMRD, Ministry of Education, Ministry of Internal Affairs (MIA), Local Government Division (LGD), Kiribati National Tourism Office of MICTTD, Internal Trade of MCIC, Kiribati Meteorological Services	Project Document Signature (date project began)		January 2016
		Operational (Closing Date) January 20, 2021	Proposed	Actual
Project Financing		At CEO Endorsement	At Mid-Term (up to November 2019)	Percentage expenditure as per total project amount
1. GEF Financing		4,446,210	1,452,103	32.66
2. UNDP Contribution		140,000	81,175	57.98
3. Government		7,000,000	NA	NA
4. Other Partners		NA	NA	NA
Project Total Costs (1-4)		11,586,210	NA	NA

1.1 PROJECT DESCRIPTION

This project seeks to contribute to the long-term solution of ensuring food security within the context of global climate change. In rural Kiribati, food security depends almost entirely upon each island's ecological integrity. Coastal zones provide the natural resources upon which residents rely for existence. The livelihood of most rural I-Kiribati is almost entirely reliant upon the resources that can be found within the boundary of reef and, to a lesser extent, nearby deep-water ocean. Most of these islands have ecologically intact coastal zones. However, ecological integrity is already very vulnerable due to current "open access" exploitation. If trends continue, these island systems will collapse due to overexploitation, habitat loss, and climate change. Once ecological integrity and associated climate change resilience is lost, residents will be faced with very serious food security issues. Kiribati's 21 inhabited islands are ecologically connected via the larger Pacific Ocean, but generally disenfranchised from each other by great distances. Reaching the remote islands from the capital of Tarawa requires substantial effort and cost. Communications services, although improving, are still very sporadic and unreliable. These issues make direct national government oversight of natural resource management and planning nearly impossible. Ensuring food security requires an approach that recognizes that each island is an isolated and enclosed system.

Generating island-based management responses designed to maintain the ecological integrity of each system is paramount to achieving the desired solution. The approach must be predicted upon community-based initiatives that benefit from national level guidance, technical support, and scrutiny. This will require setting in place a comprehensive management regime that individual islands can use to monitor and regulate the use of coastal zone resources. Communities must have incentives for improved management and reasonable alternatives to compensate for any food insecurity that may result from the loss of direct resource consumption. This can be modified in part through more scientifically rigorous management regimes that help generate more balanced resource access and use. However, communities will also need economic alternatives such as tourism, value added approaches, and/or more creative fiscal policies to compensate for potential loss of resource access. This system of safeguards (monitoring, improved management, and an alternative valuation) should all be directed to building and maintaining climate change resilience.

This project was intended to assist Kiribati in the implementation of several key priority interventions identified in its NAPA (2007). The project's Component 1 was aimed at strengthened adaptive capacity to reduce risks to climate-induced economic losses; and increasing the adaptive capacity of national and regional centers and networks to respond to extreme weather events. The project's Component 2 intended to target actions to reduce vulnerability of local communities to impacts of climate change on food production on land and from the sea. The project was to be implemented on the following islands: Abemama, Nonouti, South Tarawa, and Maiana. Each island selected represents a unique opportunity to address food security and climate change resilience improvements. Activities at each site will demonstrate improved coastal zone management regimes suitable for national replication and upscaling. Stakeholders, including Island Councils, have expressed a strong desire/willingness to support this innovative project. Due to logistical challenges and associated costs, the three outer islands (Abemama, Nonouti, and Maiana) selected are located a reasonable distance from Tarawa. The three outer islands are also locations with relatively few existing donor activities. The food security and climate change challenges issues found on the proposed pilot site islands were emblematic to those found throughout Kiribati.

The project was expected to run for five years with a GEF budget of $4,446,210 and co-financing from Kiribati Government and UNDP (USD 7.14 million). The project was endorsed by the GEF CEO on 11 March 2015, national governments approved the project document on January 2016 – the official start date of the project – but it took nearly another year for staffing and management arrangements to be put in place. While, four islands were originally selected for investment, South Tarawa was later excluded for investment, just confining pilot activities to three islands, namely Abemama, Nonouti, and Maiana covering around 31 villages with 1,474 households and a population of 7,923.

1.2 PROJECT PROGRESS SUMMARY

The initial delay in recruitment of project staff, late submission of initial annual plan and quarterly fund advances resulted in a slow start to project implementation has affected the overall progress towards meeting key foundational activities and hence, meeting planned targets and indicators. These foundational activities were critical to achieve end-of-project impacts, because they provide the groundwork for allowing effective achievement of overall ecosystem management and food security outcomes (or targets) expected from the project. While some actions were undertaken to recruit staff and resolve the financial flow issues, the latter through the engagement of Kiribati Fiduciary Service Unit (KFSU) in the Ministry of Finance, fund flow issues were being actively resolved at the time of the MTR. The PMU is staffed with a Project Coordinator, Communication Officer and Administrative Assistant and there were expected to be two field assistants recruited by the project for each of the three islands, an Assistant Agricultural Assistant (A-AA) and a Fisheries Extension Assistant (FEA) who would be directly involved with engagement with communities in providing extension services in agriculture and fisheries and in effective planning and implementation of project activities on the pilot islands. Component Managers (or Focal Officers) are assigned from the implementing partners (supported by the project) to provide oversight and technical inputs for the project, along with AAs (Agriculture Assistants) and FAs (Fisheries Assistants) as government

staff, also assigned from the implementing partners in each of the three islands to mentor, train and oversee field implementation. However, there has been roil-over in PMU positions, including Administrative Assistant and Communication Officer, and as of November 2019, the Focal Officers and AAs and FAs were not fully engaged with the project and hence progress in the field was slack, meaning that there is limited technical support, training and mentoring of A-AAs and FEAs taking place and support to communities was less than desirable. Project activities suffered as a consequence. At the initial stages of the project there was a lot of confusion among the Implementing Partners in terms of the RFA and indicators, a lack of full appreciation of the integrated nature of the project and inability to sequence the foundational activities (AMAT, regulations, by-laws and planning) in a manner that was necessary to effective plan and implement critical on-the-ground activities in the pilot Islands in a timely fashion to support improved food security for vulnerable local communities. As a consequence, this resulted in project activities being fragmented, incomplete, and not very effective. In 2017, an exercise was undertaken to re-align the project and revise the Results Framework Agreement and budgets, but the inherent weaknesses of project design continued to have some negative affect on project delivery and implementation that was beyond the control of the PMU. Having a Technical Advisor recruited in the first year of the project as was envisaged in the project document would have greatly facilitated better coordination and consistency across the project. The Technical Advisor was finally recruited in June 2020, on part-time basis and working remotely from overseas due to the Covid19 situation. This recruitment was three years after the commencement of the project. Given, the remaining 6 months remaining for the project and the recommendation for extension of the project, this now provides an opportunity to put the project on track and try to achieve significant progress in meeting some of the key project outcomes. The recruitment of additional A-AAs and FEAs for each of the pilot Islands, plus the recent commitment made by the Implementing Partners (in particular the Focal Points and AAs and FAs) and enhanced fund flows (reducing delays from 3 months to 2 weeks) augurs well for the project.

From a technical point of view in terms of the foundational activities, in particular, the initial scoping for the development of the national adaptation and monitoring tool (AMAT) that was a critical for creating a rigorous system to monitor, track and assess basis information related to climate change, food security and maintenance of ecosystem integrity was slow to materialize on account of an unclear understanding on what it intended to achieve. Additionally, the delay in baseline activities and data collection was also a great constraint to effective project implementation. This was further compounded by the fact that there already existed other tools used by different government agencies that led to hesitation on the merits of needing an additional tool such as the AMAT that was perceived as duplication. This issue is still being debated and although there was a suggestion to use an existing tool available with MELAD, namely the Environment Management Information System (EMIS), this is not fully established as yet and might not be functional to enable its effective use in the project. In the alternative, there seems to be some progress towards establishing an limited AMAT system as a sub-set of the EMIS, that will focus on information generated through the project, including from fisheries and agriculture that will be sustained through GoK annual contribution of USD 25,000 for its maintenance. Using this system would require negotiation of renewed commitment from fisheries and agriculture sectors to collect, analyze and transmit data to the AMIS systems, provision of hands on training on data collection and development of protocol as well as agreement between Implementing partners to share data across ministries.

The delayed approval of National Coastal Zone Fishing regulations (endorsed by the Cabinet in early 2020) has constrained timely development of by-laws, initiation of island level planning and implementation of marine protected areas, etc. The preparation of island Council Strategic Plans (ISPs), Community-based Fisheries Management Plans (CBFMPs) and Mangrove Management Plans (CBMMPs) have been slow or just commencing, meaning that there needs to be full commitment of project technical staff and multiple sector agencies willing to effectively collaboration for, at least achieving some of the planned targets.

Another important need is to effectively empower communities to take ownership of key project activities, in particular planning of integrated land and marine-based activities, implementing regulations and by-laws in terms of zoning of in-shore areas for fisheries management, mangrove planting ecotourism. Given

current limitations in communications, training and extension services to communities, this needs to be greatly improved and the role of the AAs and FAs and the additional A-AAs and FEAs has to be further enhanced with hands-on-training by the Implementing Partner Focal Points. Community institutions need to be strengthened to take greater responsibility in planning, implementation, monitoring and enforcing resource use strategies that would likely emerge from the Island Strategic plans (ISPs) and associated resource management approaches. As a means to further strengthen food security measures in relation to climate change, it is suggested that terrestrial and marine resource based planning should be fully integrated into a single planning exercise, for many reasons, namely (i) that local communities derive their food sources from both, food crops and marine fisheries resources; (ii) land-based activities have an impact on coastal and marine resources (e.g. land-based sediment transport and pollution can impact the coastal and marine environment and its resources, crabs used the coastal area, etc.) and vice versa; and (iii) provides a single platform for engagement of local communities, rather than having a number of fragmented approaches that deal separately with the terrestrial issues and marine issues. Central to this would be to promote a co-management approach to marine and terrestrial resource management that puts the community in charge of planning and management of the resources that they depend on to reduce their vulnerability to climate induced impacts, which seems not be central in the current project design. A renewed effort to build community ownership and take responsibility for actions that can benefit them and/or impact them should be pursued from henceforth. The ISPs provide a good starting point for development of individual integrated island plans that entrust individual villages to plan and manage, including formalization of their traditional fishing grounds (LMMAs/MPAs) and the terrestrial/coastal parts belonging to the village.

The MTR provides an opportunity for re-visiting the RFA and the indicators to assess what is relevant and what is measurable and to revise these accordingly, given that the project will be assessed at its completion based on the agreed indicators and targets in the RFA. However, on the positive side, a number of activities have been just initiated (after August 2019), but this would require a more concerted, coordinated and comprehensive effort to ensure that at least some of the key targets can be achieved that would provide opportunities for potential sustainability beyond the life of the project, but this would require a commitment of funding, willingness to collaborate and share information across sectors and capacity building for enhancement of community participatory processes in natural resources related areas.

TABLE 2: MTR RATINGS & ACHIEVEMENT SUMMARY

Measure	MTR Rating	Achievement Description
Project Strategy	Strategy: SATISFACTORY	The project was designed to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change. The combination of an improved regulatory environment, strengthened institutional planning and policy frameworks, and generation of data required is expected to support informed decision-making, with practical on-the-ground community implementation in the pilot islands is well appreciated. Being a small Pacific Island country that is extremely vulnerable to climate impacts, the project design clearly addresses a key national priority as well as conforming to global needs. However, the project would have substantially benefited by applying an integrated community co-management approach that would have helped link marine and terrestrial efforts at achieving food and ecosystem security rather than the current fragmented approach to project activities. There is scope for some

		adjustment to make this happen through the Island Strategic Planning (ISP) effort and then, the means to link activities through a community co-management planning and management approach. In addition, project design included too many activities that put an additional burden on the government (e.g. The EbA guidelines and land use planning could have been easily covered by village and/or island level planning that would have built on the findings of the vulnerability assessments to identify appropriate areas for conservation, fisheries set-aside/taboo, mangrove planting, etc.)
Progress towards results	Objective: MODERATELY UNSATISFACTORY	Progress towards achieving results was constrained by the initial limited understanding of the expected Results Framework Agreement and indicators. The delay and/or lack of establishing baselines prevented an understanding of the impacts of project activities. Further delays in getting commitment from the key sector entities (in particular fisheries and agriculture), lack of timely and adequate technical support and training progress and delays in establishing key planning and monitoring systems has affected progress towards achieving the desired results. However, in the last few months, there has been some progress in establishing baselines for some of the key indicators. This would now require an improved and concerted effort with increased technical support, improved collaboration between key sectors and improved communication and technical support to island communities to ensure some level of sustainability of project investments. Additional technical staff, improved training for communities and island staff and information sharing is required to try to achieve at least some if the key project targets in the remaining period of the project
	Component 1: MODERATELY UNSATISFACTORY	This outcome was premised on supporting national institutions to set in place capacities to strategically plan, monitor and regulate natural resource use to create the safeguards necessary to ensure food security, including guidelines, models and regulations for island-based approaches to address vulnerability, food security and maintenance of ecological integrity. However, efforts have been less commensurate with expected outcomes. The proposed AMAT system has not been formalized, as yet, although it is in the initial stages of establishment as a sub-set of the existing EMIS system, but even so, this will require negotiation of renewed agreement with the various sector agencies in the country on data sharing and correspondingly standards for information collection to systematically monitor basic aspects related to agriculture, fisheries, nutrition, livelihoods, fresh water, natural resource use, and biodiversity conservation).

		Other regulations and guidelines were issued, albeit belatedly. Similarly, while the National Coastal Zone Fishing regulations, the project will now require fast tracking by-laws to ensure timely implementation of activities in Outcome 2
	Component 2: MODERATELY UNSATISFACTORY	Progress is mixed. The delay in issue of EbA guidelines and approval of National Coastal Zone Fishing regulations has constrained timely development of by-laws, initiation of island level planning, etc. As a consequence, the preparation of island Council Strategic Plans (ISPs), Community-based Fisheries Management Plans (CBFMPs) and Mangrove Management Plans (CBMMPs) have been slow or just commencing, meaning that there needs to be full commitment of project technical staff, multiple sector agencies willing to effectively collaboration for, at least achieving some of the planned targets. The preparation of such plans would ideally require a bottom-up planning process (CBFM and CBMMP) involving communities that leads to preparation of ISP. However, project design applied a more top—down approach.
Project Implementation and Adaptive Management	Project Implementation and Adaptive Management: MODERATELY UNSATISFACTORY	Given, the initial difficulties in understanding the project results framework, the timely release of funds, the fragmented approach to project implementation (with limited recognition of the inter-linked and integrated nature of the project) that has hindered initial progress, management has tried to adapt and adjust (e.g. AMAT VS EMIS) to overcome the challenges. A stock-taking is now necessary to see how the project can achieve some (or most) of its targets before the end of the project, by building or acquiring additional technical capacity, improving communication at the community level, ensuring better fund flows, improving monitoring, etc.
Sustainability	Sustainability: MODERATELY LIKELY	At the midpoint of the project, it is assessed that there are potential risks regarding sustainability of some of the key activities, although there are expectations that at least some of the outputs and outcomes can be sustained beyond the project. However, a number of outputs are at risk of not being completed in time to provide potential for sustainability. In particular, sustainability factors regarding ownership and mainstreaming activities within existing implementing partners, ensuring sustainable financial strategies are developed for sustaining AMAT and community livelihood activities relating to CBFMPs, CBMMPs and MPAs beyond the project and continued capacity development is pursued.

1.3 CONCISE SUMMARY OF RECOMMENDATIONS

The project strategy, while implicit in the project narrative in that it was designed to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change with a combination of regulatory, institutional planning and policy, data generation for policy development and

on-the-ground community implementation in the pilot islands, it would have substantially benefited by including an integrated community co-management approach that would have helped link marine and terrestrial efforts at achieving food and ecosystem security rather than the current fragmented approach to project activities. Further, there is limited articulation of the sequencing of steps for developing strategic and integrated planning tools for integration of land and sea based concerns to address the climate concerns, as well as clear guidance on linking community co-management as a vehicle to achieve this integration at the ground level. As a consequence, the preparation of Community-based Fisheries Management Plans (CBFMPs) and Mangrove Management Plans (CBMMPs) have been slow or just commencing, meaning that there needs to be full commitment of project technical staff, multiple sector agencies willing to effectively collaboration for, at least achieving some of the planned targets. Additionally, project design included too many activities that put an additional burden on the government given the limited institutional capacity, staff and financial resources.

The measurement of progress towards achievement of project outcomes was constrained by the disjoint between the planned outcomes and the indicators to measure such outcomes. In particular, the indicators in the RFA to measure the key objective of the project, which is food security is questionable and will unlikely contribute to understanding if the objective of the project was ever achieved. Similarly, some other indicators were either difficult to measure and/or baseline are likely not to be available. The delay and/or lack of establishing baselines prevented an understanding of the impacts of project activities. Further delays in getting commitment from the key sector entities (in particular fisheries and agriculture), lack of timely and adequate technical support and training progress and delays in establishing key planning and monitoring systems has affected progress towards achieving the desired results.

The ability of national institutions to set in place capacities to strategically plan, monitor and regulate natural resource use to create the safeguards necessary to ensure food security, including guidelines, models and regulations for island-based approaches to address vulnerability, food security and maintenance of ecological integrity has been slow. The proposed AMAT system has not been formalized, as yet, although it is in the initial stages of establishment as a sub-set of the existing EMIS system, but even so, this will require negotiation of renewed agreement with the various sector agencies in the country on data sharing and correspondingly standards for information collection to systematically monitor basic aspects related to agriculture, fisheries, nutrition, livelihoods, fresh water, natural resource use, and biodiversity conservation).

At the midpoint of the project, there are potential risks regarding sustainability of some of the key activities, although there are expectations that at least some of the outputs and outcomes can be sustained beyond the project. However, a number of outputs are at risk of not being completed in time to provide potential for sustainability. In particular, sustainability factors regarding ownership and mainstreaming activities within existing implementing partners, ensuring sustainable financial strategies are developed for sustaining AMAT and community livelihood activities relating to CBFMPs, CBMMPs and MPAs beyond the project and continued capacity development is pursued.

1.4 RECOMMENDATION SUMMARY TABLE

The MTR recommendations, outlined below have ben formulated with the aim of improving project effectiveness and enhancing ecosystem and food security that project results will be sustained after GEF funding ceases.

TABLE 3: RECOMMENDATIONS

No.	Recommendation	Responsibility
1	Provide a no-cost extension of the project to allow more substantive achievement of project outcomes. This is mainly to take into consideration the inconsequential delay (one year) in conduct of the MTR and the emergent Covid19 situation. Additional time will help to formalize the key foundational activities that are critical to achieving	Project Board, UNDP and GEFSEC

	the planning and monitoring systems (including AMAT of EMIS, as appropriate) that are necessary to build capacity and systems to ensure food security under changing climate conditions.	
2	Revisit the RFA and make RFA indicators more relevant and measurable with the context and time period of the project, given that there are some indicators that are not easy to measure, lack baselines and others are over-ambitious in their targets	PMU, GOK and UNDP
3	Strengthen project capacities to provide technical support, oversight, capacity building and implementation support to the communities in the 3 pilot islands. This would involve hiring additional project dedicated staff and negotiating renewed commitment from sector agencies (fisheries and agriculture) to the project and facilitate mobilization, orientation and nurturing community support to project actions.	PMU, GOK and UNDP
4	While fund flows have Improved substantially in recent months, ensure submission of timely and complete work planning, reimbursement requests, financial and expenditure reporting etc.	PMU, UNDP and KFSU
5	Improve project level monitoring and evaluation with development of a robust M&E plan that will enable the assessment of progress towards achievement of project impacts.	PMU, GOK and UNDP
6	Improve communication between PMU and project staff in the islands to facilitate coordination with the island staff and local communities	PMU and IPs
7	Improve staff and stakeholder training and capacity building. Accompanied by development and delivery of comprehensive training programs and the engagement of Island-based trainers for robust capacity building for project sustainability.	PMU and IPs
8	Improve stakeholder engagement through strong public campaign	PMU
9	Reporting between PMU and project partners and between PMU and Island administrations needs to be timely	PMU in consultation with IPs, Island Administration and UNDP
10	Hire a short-term international consultant to review already undertaken activities and develop a plan for ensuring financial, institutional and technical feasibility of project investment for the post-project period	PMU and UNDP
11	Improving assets and asset management.	PMU
12	Complete vulnerability assessment as a priority for planned (one/island) that would then provide the basis for zoning of areas for different uses (e.g. conservation, set-asides for protection of fish spawning and nursery areas, critical ecosystems, water protection, etc.) and facilitate preparation of integrated village and/or atoll based project-specific investment plans that integrate in-shore, coastal and lagoon areas	PMU with IPs
13	Since the ISPs are focused at strategies to address a range of land and sea based activities at the individual atoll/level, these can serve as a good starting point for developing fully integrated village-level or atoll level resource management plans that recognize the inter-connectivity between the marine, coastal and terrestrial environments and hence avoid fragmentation in project focus as well as building community co-management systems to enable communities to visualize, plan, manage and benefit from the project.	PMU, UNDP and IPs
14	Based on the vulnerability assessments, establishment of Marine Protected Areas and managed open access regimes by fast tracking by-laws relating to sustainable conservation and management of marine (in particular in-shore areas) resources, strengthening of community institutions to promote active community participation and effective community monitoring	Fisheries Department
15	Timely availability of planting materials and tools for villagers.	Agriculture Department
16	Setting up demonstration plots within the pilot villages to demonstrate best practices in food production, sustainable land and agricultural practices, home gardens, animal husbandry, nursery management, etc.	Agriculture Department

1.4 Lesson Learned

The MTR has provided the opportunity for the Project to review its actual results and plan its future activities. However, given that the project has not initiated the consolidation of its results to date and will require additional time to be able to reflect lessons learned from its experience, the MTR can envisage the following initial key issues that will be important for defining actual lessons learned at the end of the project:

- Given that there were initial confusion in understanding the project RFA and subsequent start up issues regarding work planning, defining the roles of the Component Managers (or Focal Points) and AAs, FAs and A-AAs and FEAs, training capacity needs and communication strategies, the project would have benefitted by the recruitment of a full-time Technical Advisor for the initial two-years, with subsequent short visits every year
- Project design would have benefited through the development of a comprehensive communication and knowledge management strategy for the project, in particular to enhance communication between the PMU and line ministries, island institutions and local communities. This would have facilitated early understanding of the project expectations, the role and responsibilities of each different stakeholder
- An integrated multi-disciplinary approach that is central to addressing climate impacts and food security for vulnerable communities requires building strong co-management arrangements, strengthened community institutions and capacity and continuing technical support and extension services
- Projects in LDC should not be over-burdened with preparation of too many different new activities, rather tweet and build on existing systems with improved capacity and skills training, technical support and learning by doing
- There should have been better oversight by the UNDP MCO to ensure that project recruited staff are actually working for the project rather than being doing regular work of the respective ministries in which they are embedded
- M&E would have benefitted through the recruitment of an monitoring expert to help develop a monitoring plan, including defining timelines, responsibilities, oversight, etc. for baseline development and regular monitoring. Such expertise would have helped to identify specific indicators that were too ambitious or difficult to monitor, so as to develop alternative indicators.
- Project design would have benefitted by contracting a training expert to develop a training needs assessment, early in the project, identify training programs required, defining training content, identifying resources persons and timing of events
- Design should have included greater focus on developing a sustainability plan for the project to identify financial, technical and institutional requirements to sustain project investments and actions beyond the life of the project.

2. Main Report

2.1 INTRODUCTION

This report presents the main findings of the Mid-term Review (MTR) of the "Enhancing national food security in the context of global climate change" project. The review was commissioned by UNDP Fiji and was carried out during August 2019 - September 2020 by a team of two independent experts. The extended period of review was necessary as the initially recruited International Consultant pulled out of the assignment after the first mission to the country, and a replacement International Consultant was hired to complete the assignment. The replacement International Consultant was unable to travel to Kiribati on account of Covid19 and had to rely on available information to complete the MTR. This was not an ideal situation, but nevertheless the best option to complete the MTR. The MTR findings are largely based on the information and progress from the national and island consultations in August 2019, even though the reports and ratings could not be finalized until August 2020. Since August 2019, there has been progress in some outputs, but it would now require a more concerted, coordinated and comprehensive effort to ensure that at least some of the key targets can be achieved that would provide opportunities for potential sustainability beyond the life of the project, but this would require a commitment of funding, willingness to collaborate and share information across sectors and capacity building for enhancement of community participatory processes in natural resources related areas.

This chapter provides an overview of the MTR's objectives and methodology employed for the collection of information and analysis of the data.

2.2. PURPOSE OF THE MTR AND OBJECTIVES

According to GEF project guidelines, MTR is to be conducted by independent consultants. In assessing project results, the MTR goal is to determine the extent of achievement and shortcomings in reaching project objectives as stated in the project appraisal document, and indicate if there were any changes and whether those changes were approved. In assessing project performance, the focus of the MTR review was on achievements in terms of **outputs and progress towards outcomes, or impacts**. Output achievement is easy to assess but tells very little about whether GEF investments were effective in delivering global environmental benefits. The MTR evaluation focus is on progress towards outcomes, an appropriate compromise. It captures project efficacy in terms of delivering medium-term expected results.

More specifically, the MTR was conceived and conducted with the following specific objectives in mind:

- To assess overall project performance against project objectives and outcomes as set out in the Project Document, the Logical Framework, and other related documents;
- To assess the extent to which results have been achieved, partnerships established, capacities built, and cross cutting issues such as gender equality addressed;
- To establish whether the project implementation strategy has been optimal and recommend areas for further improvement and learning;
- To identify gaps and weaknesses in the project design and provide recommendations as to how it may be improved for the remaining implementation period;
- To assess project strategies and tactics for achieving objectives within established timeframes;
- To critically analyze the project's implementation and management arrangements;
- To provide an appraisal of the project's relevance and efficiency of implementation;
- To review and assess the strength and sustainability of partnerships with government bodies, civil society, private sector and international organizations;
- To assess the gender aspects of implementation and results;
- To draw lessons that may help improve the selection, design and implementation of project activities in the remainder of the project's life time; and,
- To provide the project team and partners with feedback on issues that are recurrent and need attention, and on improvements regarding identified challenges

The results of this MTR are intended to:

- Support the decision making of the project team and stakeholders on: (i) implementation modalities of the present stage, and (ii) strategic planning of activities in the remainder of the project's lifetime; and,
- Provide government counterparts, UNDP Country Office (CO) and Global Environment Facility (GEF) with lessons from this particular project on overall project implementation and delivery, including potential corrective/adaptive measures that need to be applied to project interventions to enhance their effectiveness, efficiency, relevance and sustainability prospects

2.3. Scope & Methodology

Over time, an overall approach and methods for conducting project evaluations of UNDP-supported, GEF-financed projects have developed. The data collection and approach to analysis was thus guided by the following criteria: relevance, efficiency, effectiveness, sustainability (the criteria which guided the production of the evaluation matrix) and the guidance for *Conducting Reviews of UNDP-Supported, GEF-Financed Projects* http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm Review_EN_2014.pdf. The evaluation objective was to document the project inducted-changes over time and test the sustainability. The MTR as opposed to the summative Terminal Review considered the course corrections needed towards results. The Consultants reviewed the project log frame and the theory of change and assess the performance across the categories of expected project progress using mixed methods (see below). Consultant followed a participatory and consultative approach with all stakeholders, ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Advisor, and key stakeholders.

Key issues at the centre of the MTR are:

- Project design and its effectiveness in achieving stated objectives;

- Assessment of key financial aspects, including planned and realized budgets, financing, etc.;
- The project's effectiveness in building the capacity of local institutions and strengthening policy framework to promotes sustainable livelihoods and development;
- Strengths and weaknesses of project implementation, monitoring and adaptive management and sustainability of project outcomes including the project's exit strategy; and,
- Recommendations, lessons learned, best practices that maybe used further in the project or in future interventions.

The evaluation was conducted through six phases:

- Desk review of project documents, outputs, monitoring reports/PIRs, review of specific datasets, management and action plans, publications and other material and reports;
- Inception report and tools development;
- Field Mission and Data Collection
- Report analysis and writing;
- Stakeholder/client feedback;
- Finalization of report and audit trail.

The first phase started with a comprehensive desk review of all relevant project provided by the project team and commissioning Unit. Consultant reviewed all relevant sources of information including documents prepared during the preparation phase (PIF, UNDP Initiation Plan, UNDP Environmental and Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considered useful.

A set of questions (evaluation design matrix-EDM) covering the criteria was drafted, guided by the TOR (see TOR Annex). The evaluation design matrix was a guide for the questionnaires and interview protocols. The analytical approach took into consideration the baseline, i.e. institutional capacity for Implementing Partner, MELAD, the Responsible Partner, MFMRD and the related barriers (mentioned above). To assess level of achievement of the project outcomes and objectives, consultant followed OECD DAC criteria in the evaluation.

- *Relevance*: covering the assessment of the extent to which outcomes are suited to local and national development priorities and organizational policies, including changes over time;
- *Effectiveness*: covering the assessment of the achievement of the immediate objectives (outputs) and the contribution to attaining the outcomes and the overall objective of the project; and an examination of the any significant unexpected effects of the project (either of beneficial or detrimental);
- *Efficiency*: covering the assessment of the quality of project implementation and adaptive management; adequacy of planning and financial management; the quality of monitoring and evaluation; the contribution of implementing and executing agencies in ensuring efficient implementation;
- *Sustainability:* covering likely ability of the intervention to continue to deliver benefits for an extended period of time after completion.

TABLE 4: RATING SCALE

Rating for the assessment of Relevance, Effectiveness and Efficiency
HS Highly Satisfactory: The project has no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
S Satisfactory: The project has minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

MS Moderately Satisfactory: The project has significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency MU Moderately Unsatisfactory: The project has major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency U Unsatisfactory: major problems HU Highly Unsatisfactory: The project has severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
Ratings for sustainability assessment
LS Likely Sustainable: negligible risks to sustainability MLS Moderately Likely Sustainable: moderate risks MUS Moderately Unlikely Sustainable: significant risks
Additional
N/A Not Applicable U/A Unable to Assess

Evaluation (data collection) involved traveling to Kiribati (August 8-28, 2019). See Annex 1 for mission plan. A list of those interviewed is also provided. Consultants participated in an orientation workshop with the clients to clarify understanding of the objectives, methods, and approach. The MTR inception report was finalized thereafter. The data collection and interviews with representative stakeholders was conducted as per mission schedule.

During the mission to Kiribati, the consultants conduct field consultations in the following island sites (Abemama and Maiana). During the visits, the consultants held a focus group with NGOs, local government project staff, local government agencies, and local communities participating in project activities. The list of people met is provided in Annex 2.

2.4 MTR Limitations

The MTR was conducted by a team consisting of an International Consultant and a National Consultant. While, there seemed to be no major limitations to the MTR evaluation at first, including completion of the MTR mission and a discussion with the relevant stakeholders during the period September 7 – 28, 2019 and subsequently in August 2020, for some unforeseen reason, the international evaluation consultant was unable to complete the MTR exercise. Subsequently a replacement international consultant was recruited in July 2020 to work with the national consultant to complete the MTR exercise. The replacement international consultant was unable to travel to the Kiribati on account of the Covid19 situation, so this report is completed using on-line means of communication. The UNDP and Project Management Unit (PMU) were very supportive to help in preparing key documents and compiling information for the evaluation consultant during implementation including the preparation of co-financing and financial information and also a full status of project activities.

All possible efforts were made to minimize any limitations of this review. Overall, the MTR team received all the necessary support from the UNDP CO and implementing partners and access to project-related data and information. The field mission in target sites was well-organized and attended, thanks to the support of UNDP CO, the project team, the respective sub-national authorities.

2.5. Structure of the MTR report

The evaluation report is structured beginning with an executive summary, with project summary and project ratings tables, and with project progress, conclusions and recommendations of this report summarized. A second section introduces methodologies, scope and information of the execution of the mid-term review. A third section contains an overall project description within a developmental context,

including an account of the problems the project sought to address, as well as its initial objectives. A fourth core section of this report deals principally with evaluation findings relating to the actual implementation of the project. The fifth section of the present report entails overall conclusions as well as recommendations for future actions and future projects. The Mid-Term Review Team Leader (Malcolm Jansen) prepared the MTR Report, with support from Tokintekai Bakineti (National Evaluation Specialist) and the PPT presentation of Jack Major (initial International Consultant).

3. Project Description and Background Context

3.1. Development context: environmental, socio-economic, institutional, and policy

Context

The nation of Kiribati is composed of 33 islands arranged in three groups: the Line, Phoenix, and Gilbert islands. There are 21 inhabited islands. The nation has very little land and a very large exclusive economic zone (EEZ). Kiribati's EEZ is 3.5 million km^2 or roughly the size of Australia. The total land area is 771 km^2. Kiribati's 21 inhabited islands are ecologically connected via the larger Pacific Ocean, but generally disenfranchised from each other by great distances. Reaching the remote islands from the capital of Tarawa requires substantial effort and cost. Communications services, although improving, are still very sporadic and unreliable. These issues make direct national government oversight of natural resource management and planning nearly impossible.

Being a Small Island Developing State (SIDS) and one of the Least Developed Countries (LDC) in the world, Kiribati's international economy relies upon overseas development assistance, fees from EEZ tuna licenses, remittances and copra (coconut) export. The government estimates that donor aid accounts for nearly 25% of GDP with nearly US$ 15 million annually received from an Australian trust fund. According to the 2013 Human Development Index, Kiribati ranks 133 from 188 evaluated nations. Kiribati has one of the world's lowest GDP and is ranked 212 globally. The per capita GDP is slightly better, estimated at US$ 6,200 as of 2012 or 144th globally. Import of all commodities, including food, is exorbitant. The nation's primary work force depends upon a combination of remittances, fishing and limited agriculture for both food security and limited income. Although figures do not exist, unemployment and/or under-employment are considered to be very high. The government employs nearly 35% of the paid labor force. Although rural populations are not significantly involved in the tuna trade, tuna fishing is vitally important nationally. Tuna fisheries provide roughly 42% of the GDP.

Environment and Natural Resources

Most immediate natural resource management decisions occur on the island level. Local Island Councils are responsible for setting and implementing island policies. Twenty islands in Kiribati have Island Councils. The Councils are generally composed of representatives from villages located on the island. Individual members then work at the behest of the village's chief and/or group of elders. According to the Local Government Act, the Island Council has direct jurisdiction over natural resource use. This includes land use, agriculture, and all fisheries located within 5.5 kilometres of the island. Food security and ecological integrity are highly entwined. The existence of most rural I-Kiribati is almost entirely dependent upon the resources that can be found within the boundary of the surrounding reef. Subsistence fishing is the primary food source for nearly all of rural Kiribati. The nation has the highest per capita fish consumption for all Pacific Island nations. On average, each person consumes 115 kg fish annually. Very few fishing families have access to motorized craft. The government estimates that less than 5% of the total fishing families in Kiribati own a motorboat.

Agriculture is challenged and limited. There is very little land. Where land does exist, the soils are generally poor. According to FAO, Kiribati's soils are some of the poorest in the world. Droughts are prolonged. Fresh water is lacking and limited to ground water which is often brackish. Drought induced salinization of ground water in the mid-1950's and 1960's forced the permanent resettling of all inhabitants from the Phoenix Islands. The few crops that do exist consist of *pandanus*, *bwabwai*, breadfruit, banana, and coconut. Most agriculture production tends to be organic. Overgrazing is not a common problem. Livestock is generally limited to a few household pigs. Traditional and highly complex ownership patterns restrict land

development. One of the important crops, coconut is highly important for both subsistence and commerce. Copra (dried coconut) is a major export subsidized by the government. The ownership of coconut fields usually do not reside on the islands and therefore the coconut plots is generally overgrown and the understory is often densely vegetated. This situation is very positive both in terms of food security, land degradation and climate resilience. The dense understory promotes ground water retention and contributes greatly to the stabilization of coastal zones. There is very little tourism to Kiribati, yet government estimates that tourism provides 20% of the GDP. The only "major" tourism location is Kiritimati (Christmas) Island. The island is relatively easy to access via Hawaii and Fiji. The island has become a destination for international sport fishing. This is primarily catch and release fly-fishing targeting bonefish and trevally. Although specific numbers are not available, recreational fisheries represents a significant and growing revenue stream for this island.

Coastal (lagoon) fisheries are the backbone of the nation's domestic livelihood and food security. Subsistence fishing is the primary food source for nearly all of rural Kiribati. Nearly every islander relies upon the riches of the nation's marine wealth for their survival. This means that food security and ecological integrity are highly entwined. The nation has the highest per capita fish consumption for all Pacific Island nations. On average, each person consumes 115 kg fish annually. Very few fishing families have access to motorized craft. Most islanders estimate that less than 5% of the total fishing families own a motorboat. This is slowly changing with many "cooperatives" forming with teams of few fishing families pooling financing to purchase motors. Bonefish are by far the most popular and important food source for I-Kiribati. The IUCN red list description states that an estimated 1,000,000 and 5,000,000 bonefish were harvested from the Tarawa lagoon in 2008. The nation's marine biodiversity is significant. The atolls and reefs spread throughout the EEZ are critical to the maintenance of the entire region's marine fisheries resources. However, biodiversity located close to any inhabited islands is generally not afforded substantial protection and tends to be highly exploited based upon open resource access regimes. There are hundreds of marine species, including many CITES I species. Species of note include Green (*Chelonia mydas*), Hawksbill (*Eretmochelys imbricata*), Loggerhead (*Caretta caretta*), Olive Ridley (*Lepidochelys olivacea*) and Leatherback (*Dermochelys coriacea*) turtles. The nation's remote atolls provide critical refuge for a host of migratory bird species. Recognizing the importance of the nation's biodiversity, the people of Kiribati recently announced the creation of Phoenix Islands Protected Area. This protected area covers over 400,000 km^2

3.2. FACTORS RELEVANT TO THE PROJECT OBJECTIVE AND SCOPE

The project objective is to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change. Baseline (without LDCF intervention) Food security is an emerging issue for Kiribati's rural poor. The issue of food security in rural Kiribati cannot be separated from the issue of natural resource management, particularly the conservation of critical ecosystem services. Current investment and activity is not adequate to address the level of challenges faced by Kiribati. The current enabling environment is not sufficient to support informed-decision making regarding food security and climate change. Substantial work is required to establish a platform to make certain the tools and skills exist to maintain the ecosystem integrity required to bolster climate change adaptation capacity. The country would very much like to develop a national program to support climate change adaptation that is both community and ecosystem-based. There is a strong desire, but few resources to achieve this benchmark.

Kiribati does not have the full financial and technical capacity required to design, draft and launch the implementation of a comprehensive management regime for the conservation and sustainable use of island and coastal zone resources. Under the baseline, the nation does not have the capacity to strategically monitor, plan, and regulate the use of coastal zone resources. The nation is challenged to complete a shift from "open access" resource management to more sustainable community-based management. The tenacious capacity gap exposes ecosystem resilience and corresponding food security to the emerging impacts of climate change. There is relatively little investment being made on the ground to set in place the

safeguards required to make certain the natural resources upon which island dwellers depend remain intact. There is limited baseline information regarding the full status and use of critical resources such as fisheries, freshwater, and agriculture. Nearly all stakeholders acknowledge that these vital resources are in decline, the rate of decline is increasing and that current trends will result in greater vulnerability and food security constraints. Capacities to generate and implement effective resource conservation measures on the island level are extremely limited. The current approaches will not address the root causes related to a dearth of improved awareness, monitoring, and island-based management regimes.

Under business as usual scenario, the work on promoting food security through community based agriculture and fisheries management will continue at a small scale. Degradation will continue to advance at a pace and scale beyond current island capacities. Climate change impacts will accelerate the rate of degradation. There is little chance that required safeguards will be set-in place without project investment. Adaptation Alternative The project will support national institutions to set in place capacities to strategically plan, monitor and regulate natural resource use to create the safeguards necessary to insure food security. This improved business model will help insure that ecosystem integrity is maintained at levels required to promote climate change resilience. Reaching this alternative requires setting in place national programming that helps guide island level management improvements. Logistics, costs, and cultural norms dictate that approaches must be island-based. The project will assist the national government to serve as a central point for administering, guiding and monitoring resource use. The national government will be well positioned to provide broad-oversight, strategic planning, and guidance. The national government will serve as a repository for information generated on the island level. Information will then be used to better understand challenges, inform decision-making, collate lessons learned, and encourage replication of best practices. The project will assist the government to substantially enhance the capacities of extension officers. These extension officers will increase their ability to support island-level resource management improvements and become a communication conduit between island and national level decision-makers. The project will support the establishment of national level monitoring to assess the nexus of food security, ecosystem integrity and climate change adaptation.

The project will enhance national institutions to be better able to forecast climate change trends and impacts. A climate change adaptation early warning system linked to a more complete understanding of meteorological events, natural resource use, and ecosystem status will be set in place. The project will create a national enabling environment required to help shift open resource access to more community-managed approaches. The project will assist national agencies to generate improved guidelines, models, and regulations for island-based approaches to address climate change vulnerability, food security, and the long-term maintenance of ecological integrity. The result will be a national level program to support the generation and implementation of safeguards required to sustainably manage the resources upon which I-Kiribati depend for food security. The project will support a shift from open access to more community-based coastal ecosystem management framework. This will increase the resilience of coral reefs, sea grass beds and mangroves for increased food production and to strengthen additional ecosystem services (such as buffering from storms) to aid community and ecosystem resilience in context of climate variability and change. The project will assist select pilot sites to develop models for improved management. Communities will have the tools required to make more informed decisions. With the support of government extension agents, Island Councils and other decision-makers will be tracking and monitoring resource use. They will be able to gauge the positive and negative impacts of various policy decisions upon long-term food security and ecosystem integrity objectives and indicators. These island-based monitoring approaches will be feeding into national monitoring programs to enhance more efficient and cost-effective approaches. Communities will have greatly increased levels of awareness regarding best international management principles and practices. Opportunities to value coastal zone resources through non-consumptive uses will be operationalized. Island communities will have adopted model by-laws designed to generate more sustainable and coordinated use of natural resources. Each of the tools set in place during project implementation should result in substantially improved capacities for island stakeholders to improve climate change resilience and reduce any emerging challenges to food security and ecological integrity. This will create the fundamental safeguards required to make certain island communities are able to better cope

with emerging climate change challenges. The project's immediate result will be the ability of pilot site communities to demonstrate improved nutritional security by stabilizing ecological integrity and building climate change resilience. The project's long-term result will be setting in place the conditions necessary to upscale and replicate successes nationally. Ultimately, Kiribati's rural communities and government agencies charged with stewarding improved management and will be enabled to understand and strategically implement ecosystem-based adaptation actions far into the future.

3.3. Problems that the project sought to address: threats and barriers targeted

Key Threats:

Three main threats were identified: Overexploitation, primarily of fisheries resources; Habitat degradation, primarily from non-point source pollution; and, climate change. These are discussed below:

Threat 1: Overexploitation. While there is limited data on coastal fish stocks in Kiribati, anecdotal evidence suggests that the ample coastal fish stocks known from the past are diminishing. The IUCN red list roughly estimates that Kiribati bonefish stocks have likely been depleted by at least 30% over the past fifteen-year period due to overharvest. Easily harvested species such as sea cucumber and bonefish are particularly depleting. There is a very high risk that continued over-exploitation of fisheries resources will lead to localized extinction of many species upon which local communities rely for subsistence and economic well-being. The real challenges to long-term food security are overfishing and climate change. The 2013 - 2025 Kiribati National Fisheries Policy notes that lagoon and coastal fisheries currently provide sufficient protein for most I-Kiribati, but it also recognizes that the challenges to long-term food security are based upon fisheries health, which has been under strain from population pressures compounded with climate change. The policy recognized that the response to increasing lagoon fisheries pressure should be the management of overfishing in order to maintain sustainable levels. A 2009 Secretariat of the Pacific Community (SPC) study on food security found that overpopulation in urban centers such as South Tarawa threatens the sustainability of the immediate adjacent coastal fisheries and impacts distant rural communities. The report notes the dangers and risks that rural communities are now motivated to increase their commercial fishing activities to supply urban markets. According to Kiribati's fourth "National Report to the Convention on Biodiversity" (2013): "The marine environment and resources in particular are seen as the commons that is open for unsustainable exploitation and utilization, thus, vulnerable to the 'tragedy of the commons' issue. Unsustainable harvesting and utilization is one of the many threats facing marine and coastal biodiversity in Kiribati. Similarly, there is a national need to undertake strategic resource management measures that would safeguard the deteriorating status of natural resources for future generations of I-Kiribati. At the same time, however it was recognized that it was essential to take into consideration traditional conservation practices, knowledge, skills and ethics that are effective in the day-to-day utilization and management of natural resources available. Unless there are formal controls or regulations in place, individually, people would do the most to harvest and utilize these resources to the maximum, engaging in destructive activities that would allow maximum gain. All outer islands supply fish to Tarawa either through regular markets or grey/familial markets. The additional pressures placed on resources to supply Tarawa and provide revenue for local families is pushing resources–particularly fisheries and even more precisely bonefish – to the brink. This applies not only to fish, but also to other marine species such as turtles, sea cucumber, and mollusks. These are all exploited for subsistence and commerce.

Threat 2: Habitat Degradation: While, the coasts and islands have substantial ground cover, the removal of mangroves and development coastal zone infrastructure (e.g., causeways, water courses, etc.) are generating localized habitat degradation. The major threat is on-shore and near-shore waste disposal. With growing population numbers, increased harvest of fish, etc. the lagoons are showing signs of pollution. Pollution sources are generally from sewage (open defecation), garbage, domestic animal (primarily pig) waste, and cleaned fish. The absorptive capacity and dilution rates of the lagoon systems seem to be exceeded as evidenced by both eutrophication and algae blooms. This causes a further imbalance to the

system and compounds an already difficult situation. Diminished fish stocks may both result from and intensify the impacts of pollution. The addition of climate change, with sea level and temperature rise, will very likely enlarge this situation. If this trend continues, there will be increasingly adverse impacts upon human health, ecosystem integrity, and ultimately food security.

Threat 3: Climate Change: As a country comprised of dry atolls reliant up lagoon fisheries for daily survival, Kiribati is extremely vulnerable to climate change. Increased population, shifting economic demands, and environmental degradation that are converging to deplete lagoon fisheries is further compounded with impacts of climate change that poses a very high risk to both food security. Climate change compounded with current unsustainable management practices that may collapse coastal zone fisheries. Climate change alterations to water temperature, water levels, currents and marine food chains will almost certainly negatively impact the integrity of coastal zone ecosystems. Increased sea temperatures will cause stresses on coral reefs and fish species and will hinder coral reef recovery in cases of seasonal or annual variations in temperatures causing coral bleaching. The impacts of climate change will be particularly evident for coastal zones that already suffer from over- exploitation of fish stocks and pollution from nearby communities.

The projects for climate change in Kiribati is project as follows:

- Surface air temperature will increase by 0.3–1.3°C for the Gilbert Islands and by 0.4–1.2°C for the Phoenix and Line Islands by 2030.
- Sea-surface temperature will increase by 0.6–0.8°C by 2035 and by 1.2–2.7°C by 2100.
- Wet season, dry season and annual average rainfall will increase (>5%) by 2030.
- The intensity and frequency of days of extreme heat and warm nights will increase and cooler weather will decline.
- In the Gilbert, Phoenix and Line Islands mild drought will occur approximately seven to eight times every 20 years by 2030,
- Mean sea level is projected to increase by 5–15 cm by 2030 and 20–60 cm by 2090.
- The acidification of the ocean will increase with annual maximum aragonite saturation state below 3.5 by about 2045 in the Gilbert Islands, by about 2030 in the Line Islands, and by about 2055 in the Phoenix Islands.

Climate change is certainly expected to impact the ecological integrity upon which Kiribati's food security depends. This includes rising sea levels and temperatures that are and will likely continue to adversely impact coral reefs and fisheries. This will compound the existing issues related to fresh water and coastal lagoon pollution. With the quality of most habitats already degraded and/or facing imminent threats, there is little resilience within the system to withstand the addition of climate change's negative impacts. The cumulative impact of climate change with habitat degradation and overexploitation will be untenable

***Key Barriers the Kiribati project was expected to address, and positively contribute to, during implementation were*:**

A. Limited institutional and individual capacity to plan and implement actions to reduce the impacts of climate change-induced impacts on food and nutrition security.

Kiribati does not have a national system of coordinated monitoring, management, and reporting to guide informed decision-making. There is no national tool in place to monitor and assess climate change and associated impacts to ecosystem integrity and food security. There is not a central location and/or process to receive data and information from outer islands, make certain data generation is consistent, professionally collate and assess this information, and disperse this information to inform islands regarding threats analysis and recommended adaptation measures. The country has a pronounced lack of knowledge and awareness regarding coastal zone fisheries. Kiribati does not have a comprehensive and effective

coastal zone fisheries research and monitoring program. At the same time, there is no national fisheries conservation campaign in place to build awareness regarding the status and conservation needs of fisheries and associated ecosystems. Kiribati does not have a national framework to support sustainable resource use and build climate change resilience. The national enabling environment for the conservation of coastal zone fisheries is very weak. Extension officers representing national agencies are the primary conduit for capacity building, monitoring, and enforcement on each island. Although Kiribati's extension officers represent the front-line of understanding climate change threats and devising community-based approaches, they have relatively low support to increase both their capacity and effectiveness. There is a very strong need to develop the skills sets necessary for extension officers to engage with island communities to help them understand and generate management objectives, options, and implementation skills.

B. Limited support for community-based adaptation measures necessary to increase human, natural and productive livelihood capital in affected communities.

The second barrier is the absence of island experience with community-based climate change adaptation models to enhance ecosystem integrity and associated food security benefits. The current capacity barrier results in a heightened risk that island ecosystems will continue to degrade and food security will decline with the advance of climate change. Due to this barrier, islanders immediately responsible for resource conservation and food security are not able to:

- Build informed leadership skills necessary to maintain ecosystem services;
- Assess and monitor resources upon which food security depends;
- Promote community-wide awareness of climate change and food security issues;
- Strategically plan for long-term adaptation;
- Enact by-laws to improve management approaches; and,
- Demonstrate improved management alternatives to enhance food security.

This barrier revolves around the need to build Island Level capacity to shift "open-access" regimes to community-based adaptation approaches. Island Councils do not have the capacity and experience required to utilize their authority to engage in comprehensive and strategic resource management. There are no formal training programs to build this capacity. Island Councils at not exposed to basic integrated conservation approaches and practices. Stakeholders living on the Outer Islands of Kiribati have very little capacity to monitor resource use and status. There is an urgent need for communities to benefit from models for resource inventory and improved understanding of how best to maintain ecosystem integrity for both coastal and terrestrial resources. Without this capacity, there is little opportunity for informed decision-making and/or complete understanding regarding the implications of various management decisions. There is an urgent need to create communitywide awareness programs to serve as a conduit for delivering awareness, monitoring, and resource use skills designed to enhance ecosystem integrity and food security. Communities do not have experience with the design of comprehensive natural resource management and planning. Again, this applies to both terrestrial and coastal zone resources. There are no operational models of Island Councils empowered to comprehensively identify conservation challenges, prioritize climate change vulnerabilities, and adopt improved management practices. Communities do not have experience with successful demonstrations showing how non-consumptive uses of island resources can contribute to the protection of coastal areas, improve climate change resilience and increase food security. Kiribati does not benefit from the active demonstration of community-based alternatives to reduce pressures on fisheries, the mainstay of Kiribati food security. There are no working examples of comprehensive by-laws designed to address food security threats. "Open-access" management approaches pose a serious hindrance to ecosystem integrity and food security.

3.4. Project Description and Strategy: objective, outcomes and expected results

This project sought to contribute to the long-term solution of ensuring food security within the context of global climate change. Generating island-based management responses designed to maintain the ecological integrity of each system was considered paramount to achieving the desired solution. The approach was predicted upon community-based initiatives that benefit from national level guidance, technical support, and scrutiny. This required setting in place a comprehensive management regime that individual islands can use to monitor and regulate the use of coastal zone resources. Communities needed incentives for improved management and reasonable alternatives to compensate for any food insecurity that may result from the loss direct resource consumption. This was expected through more scientifically rigorous management regimes that help generate more balanced resource access and use. However, communities also needed economic alternatives such as tourism, value added approaches, and/or more creative fiscal policies to compensate for potential loss of resource access. This intent of this system of safeguards (monitoring, improved management, and alternative valuation) was to build and maintain climate change resilience. Although the solution was apparent, reaching this solution required having the capacity to implement necessary resource management safeguards at the individual island level. Although there were nuanced differences between various islands, the basic management regime and story are the same. There were no comprehensive regulatory, planning, and/or monitoring frameworks in place to conserve terrestrial and/or near-shore natural resources. Both lagoon and terrestrial resources were essentially managed under an open access regime. The current open resource management regime was very much the primary driver of ecosystem degradation. Without basic management tools, resource access remained exposed to continuous and nearly unlimited use. Under the open resource access regime, all community members may maximize resource use as they see fit. Loss of ecosystem integrity was the root cause of Kiribati's climate change resilience and food security challenges. Only limited access to financing constrains the wholesale exploitation of island resources, e.g., a general lack of motorboats, expense of nets and other equipment, and the challenges of reaching a distant market. As greater donor investment, increased remittances, tourism development and other capital in-flows expanded the existing monetary constraints to resource extraction was expected to slowly erode. A rapidly growing population would compound this situation and impacts. Unless action was taken, the current pathway will lead to a continuing and every more decline in ecosystem integrity.

The incremental reason is discussed in the Table 5 below:

TABLE 5: INCREMENTAL BENEFITS EXPECTED

Baseline	Climate Change Vulnerabilities / Opportunities	Adaptation Measure	Justification
Uncontrolled fishing and collection of marine species such as mollusks, sea cucumber, and *trochus* around reefs and in lagoons for both commerce and subsistence	Decline in demersal fish stocks, species diversity and ecosystem integrity challenges compounded by changes in sea surface temperature, ocean currents, Controlled production of coastal zone marine resources across islands of Kiribati through new and highly effective community-based ecosystem approaches to fisheries management supported by national	Controlled production of coastal zone marine resources across islands of Kiribati through new and highly effective community-based ecosystem approaches to fisheries management supported by national level programming and capacity building.	Awareness of changes in the relative abundance of species as a result of climate change impacts will enable optimization of fishing strategies and catches. Primary fisheries management will reduce pressure on overfished species, help replenish depleted stocks, counteract projected decreases due to climate change, and maintain ecosystem integrity.

	Awareness of changes in the relative abundance of species as a result of climate change impacts will enable optimization of fishing strategies and catches. Primary fisheries management will reduce pressure on overfished species, help replenish depleted stocks, counteract and degradation of coastal nursery		
Unregulated land use management and increased demand for expanding island based agriculture products compounds current resilience challenges. This includes lagoon pollution/runoff, soil degradation, and freshwater depletion/degradation.	Increases in air temperature (estimates for 2050 between 1 and 2 degrees) and rainfall (overall estimated increase in annual rainfall of 7% by 2050) for Kiribati are likely to be favorable. However, frequency, fluctuations, and strength of rain and weather events will likely increase run-off, pollution to fresh water and lagoons and further degrade island and coastal zone vulnerabilities	Improved awareness, land use planning and other highly effective community-based ecosystem approaches to terrestrial management linked directly to issues of food security supported by national level programming and capacity building.	Awareness of "linkages" between terrestrial and marine ecosystems will support long-term ecosystem health, vulnerability reduction, and improved food security. Specific management approaches will assist communities to take charge and get in front of climate change impacts prior to much more expensive and daunting "post-event" approach.

The Kiribati GEF project was to address the twin national and island-based barriers currently keeping I-Kiribati from achieving the project objective. The project objective was to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change. Under Outcome 1, the project was to build the institutional capacity necessary to reduce climate change vulnerabilities. Under Outcome 2, the project was to demonstrate community or island-based adaptation measures designed to increase food security. The project's immediate result will be the ability of pilot site communities to demonstrate improved nutritional security by stabilizing ecological integrity and building climate change resilience. The project's long-term result is to be setting in place the conditions necessary to upscale and replicate successes nationally

The project was expected to run for five years (2016C - 2021) with GEF budget of USD 4,446,210 and co-financing from Kiribati Government and UNDP covering USD 8,390,000. The project approach was to strengthen institutional capacity to reduce vulnerability to climate change-induced food shortages, improve policy and planning frameworks for maintenance of food security through adaptation to climate change and pilot activities in three targeted islands (Nonouti, Abenama and Maiana) to support measures to enhance food security and protect important ecosystems in the face of climate change.

3.5 Project Design – Results Architecture

The **project immediate objective** is to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change in Kiribati

The ***project log fram***e is attached (Annex). The results framework has three main expected outcomes and thirteen corresponding outcome indicators.

The project addresses critical gaps and needs in:

Component 1: is implementing an improved regulatory environment, strengthened institutional planning and policy frameworks, and data to support informed decision-making to enhance institutional capacity to reduce vulnerability to climate induced food shortages.

Component 2: is implementing and demonstrating community-based adaptation measures, using models for land and lagoon resources management based on informed planning and management processes.

The project is working with extension officers responsible for agriculture and fisheries resources, designated island councils' staff, and rural stakeholders, building capacity through training programs. Model programs for more sustainable and climate resilient practices are being tested, assessed, and readied for national replication.

All project activity targets the reduction of food security threats by setting in place capacities required for local communities to maintain and enhance ecosystem integrity on three pilot islands: Abemama, Maiana and Nonouti. By project close, Kiribati should have operational models showing that food security, ecosystem integrity and climate change resilience can be enhanced through improved management approaches.

Project interventions (outputs) and end targets (Table 6 below as revised in May 2017) are structured according to these two main component areas. It was designed and developed through a participatory process facilitated by the PPG phase and subsequent consultations with the Kiribati Government, communities in the four island locations and numerous other stakeholders.

TABLE 6: PROJECT INTERVENTIONS AND EXPECTATIONS

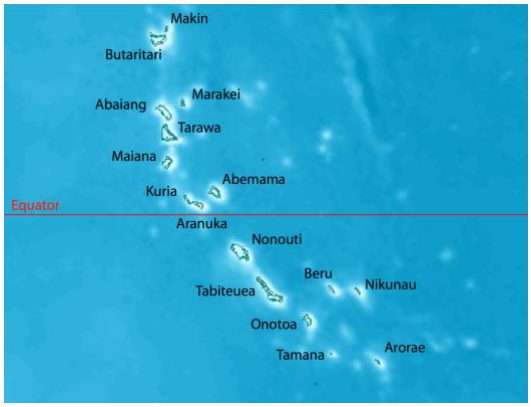
Indicator	End-of-Project Target
At Objective Level: Building the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change in Kiribati	
Percentage of households and communities that have stable or increased food security in the face of climate change Number of bonefish (*Albula glossodonta*) increasing and/or stable.	By the end of the project 100% of men, women and children of targeted islands (Nonouti, Abemama, Maiana) have stable and/or increased levels of food security increasing their resilience against climate change Estimated number of bonefish (compared to baseline) <u>Nonouti</u> Stable or increasing <u>Abemama</u> Stable or increasing <u>Maiana</u> Stable or increasing <u>South Tarawa</u> Stable or increasing

Indicator	End-of-Project Target
* Bonefish are the main protein source for I-Kiribati and an indicator of over-all coastal zone fishery health. Percentage of Kiribati population covered by the enhanced early warning system	 95% of Kiribati population receives early warning in a timely manner using one of the multiple communication lines
At Outcome Level	
Outcome 1: Institutional capacity developed to reduce vulnerability to climate change induced food shortages	
GoK provides annual financial support to maintain of national adaptation and monitoring tool.	GoK annual support for AMAT: US$ 25,000
Coastal Zone Fisheries: Regulation adopted based upon increased level of national awareness about links between improved coastal ecosystem management and sustainability and resilience of subsistence coastal fisheries livelihoods.	1: National Coastal Zone Fishing Regulation adopted
Cohort of eight extension officers increase capacity score as a result of project training program based upon GEF Capacity Result 2 (Capacities to generate, access and use information knowledge).	Cohort of eight agriculture extension officers CR2 capacity score: 15 Cohort of eight fisheries extension officers CR2 capacity score: 15 * Score range: 0 - 15
Number of project beneficiaries (including those engaged in training, awareness raising and education, pilot villages, delivery of project initiatives, stakeholder meetings and project governance	10,000 (of which at least 60% women)
Outcome 2: Implementation of community adaptation measures to increase food security	
Management of land in accordance with land use/resource management plans developed using national guidelines for ecosystem-based adaptation as measured by: (i) Hectares of island territory under land use plans/revised land use plans (ii) Number of villages managing land in accordance with land use plans	(i) Area under EbA: <u>Nonouti</u> Area with EbA land use plan: 2,000 ha <u>Abemama</u> Area with EbA land use plan: 2,700 ha <u>Maiana</u> Area with EbA land use plan: 1,350 ha (ii) At least two villages on each of the three target islands managing land in accordance with EbA land use plans
Number of vulnerability assessments completed	Three (one from each target island)
Hectares of coastal zone with following outcomes: (i) Regulated through fishing management zoning system as a result of national regulatory tool adopted by Gok (ii) Protected in fish recovery zones developed using national guidelines for ecosystem-based adaptation management Regulated through zoning system as a result of national regulatory tool adopted by GoK.	(i) Regulated fishing: <u>Nonouti</u> Regulated fishing area: 40,000 ha <u>Abemama</u> Regulated fishing area: 15,000 ha <u>Maiana</u> Regulated fishing area: 10,000 ha (ii) At least 10% of area under fish recovery zoning on each island: <u>Nonouti</u> Fish recovery zones: 4,000 ha

Indicator	End-of-Project Target
	Abemama Fish recovery zones: 1,500 ha Maiana Fish recovery zones: 1,000 ha
Increase in hectares of mangrove habitat as reported annually by Island Councils using the national adaptation and monitoring tool (AMAT).	Increase in mangrove area (compared to baseline) Nonouti At least 5% increase Abemama At least 5% increase Maiana At least 300+ hectares
Number of by-laws on fisheries conservation adopted on each target island	By laws adopted: Nonouti By laws adopted: 6 Abemama By laws adopted: 5 Maiana By laws adopted: 4
Number of existing commercial fishing operators with permits allocated and monitored based upon implementation of coastal zone fisheries conservation bylaws.	Commercial permits issued: Nonouti Commercial permits issued: 3 Abemama Commercial permits issued: 3 Maiana Commercial permits issued: 3
Capacity score of Fisheries Conservation Field School participants increase based upon GEF Capacity Result 2 (Capacities to generate, access and use information knowledge).	Increase in FCFS capacity score: Nonouti Increase in FCFS score CR2: At least 10 Abemama Increase in FCFS score CR2: At least 10 Maiana Increase in FCFS score CR2: At least 10 * Score range: 0 - 15
Amount of revenue generated annually by Island Councils from the use of coastal zone resources to support fisheries conservation.	Revenue Generated Annually: Nonouti Revenue Generated Annually: US$ 11,200 Abemama Revenue Generated Annually: US$ 3,750 Maiana Revenue Generated Annually: US$ 3,750
Number of food crops, including traditional food crops planted at each target village	Number of food crop varieties per village: Nonouti Number of food crop varieties: At least 5 varieties per village Abemama Number of food crop varieties At least 5 varieties per village Maiana Number of food crop varieties At least 5 varieties per village

3.6. DESCRIPTION OF FIELD SITES

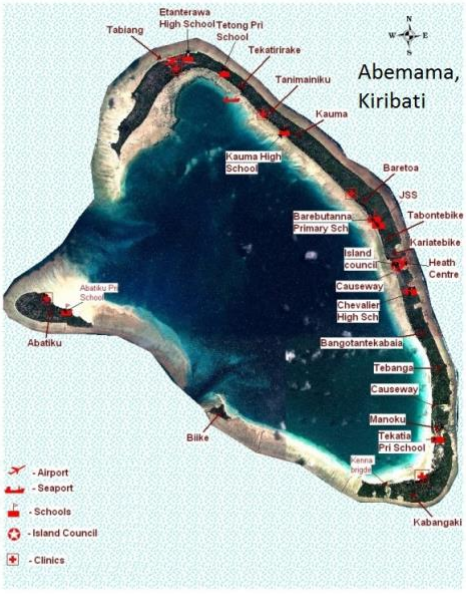
The project will be implemented on the following islands: Abemama, Nonouti and Maiana. Each island selected represents a unique opportunity to address food security and climate change resilience improvements. Activities at each site will demonstrate improved coastal zone management regimes suitable for national replication and upscaling. Stakeholders, including Island Councils, have expressed a strong desire/willingness to support this innovative project. Due to logistical challenges and associated costs, the three outer islands (Abemama, Nonouti, and Maiana) selected are located a reasonable distance from Tarawa. The three outer islands are also locations with relatively few existing donor activities. The food security and climate change challenges issues found on the proposed pilot site islands is emblematic to those found throughout Kiribati. Local residents do not currently face food security challenges. Residents will face severe future challenges if current trends are not reversed. Coastal-zone fisheries are the prime source of nutrition. These same fisheries are also targeted for expanding commercial operations, particularly the drying and selling of fish to the urban areas of Tarawa. Coastal zone fisheries at each pilot site are over-exploited. Rigorous fisheries data does not exist. However, generally accepted anecdotal data indicates that fisheries are in decline at each pilot site. Fisheries declines are compounded by the negative impacts of population growth, shifting economic demands (e.g., requirements to generate school fees), and on-shore land degradation (e.g., removal of mangroves to construct causeways, pollution and algae blooms from livestock and human waste, etc.). This combination of factors is slowly degrading ecosystem integrity and dependent food security. Climate change is and will continue to accelerate all of these issues. In spite of emerging environmental challenges such as climate change, the overall ecological conditions necessary to support sustainable fisheries exist at each pilot site. Reefs are in good condition. Coastal zone fisheries beyond the reach of artisanal fishing families are very healthy. The problem is that the regulatory and management regimes required to support sustainable fisheries do not exist in Kiribati and/or the selected pilot sites. Communities at both sites must shift current “open access” practices to more sustainable “community-managed” regimes. This requires communities to embrace more creative management approaches and realize economic alternatives that will both compensate and incentivize management improvements. Commercial and subsistence use must be better regulated to allow for maximized production within tolerable limits. Simultaneously, non-exploitive alternatives must be generated to replace lost resource access. For Kiribati communities to build resilience into their management of coastal zone resources, they must have a means to derive an economic benefit from these resources that is a viable alternative to direct take. Although opportunities for improved management, regulation, and valuation are present, the investments and capacity necessary to catalyze these improvements are not in place.



Abemama Pilot Site: Abemama is within the Gilbert Group approximately. The total land area is 27 km^2. The atoll width varies from 50 m to 2 km. The atoll has more than 150 km^2 of lagoon and nearly 70 km^2 of reef. There are eleven villages and approximately 583 households. The average household size is 4.8 people. The population has shown steady growth over the last forty years, from 2,300 in 1973 to 3,200

in 2010. Over 90% of the population is literate. Nearly all land is privately owned. The island has no surface water, but relatively high rainfall. According to the Government of Kiribati, nearly all households rely upon groundwater while only a few (6%) have cisterns for rainwater. In spite of poor soils, food crops such as coconut, giant taro, *pandanus* and breadfruit grow well. Home gardens are also common relative to other islands. Nearly 25% of households have home gardens growing sweet potato, cabbage and other vegetables for consumption. Most families keep 1 - 2 pigs that are butchered for special occasions. There are several thousand chickens also maintained by households. Copra production is very important at Abemama. The island averages between 2,000 - 3,000 tons annually. The annual value of copra is approximately US$ 1.3 million. Copra production is highly volatile, depending upon price. Although figures do not exist quantifying the extent of consumption, fish is the undisputed main food source for islanders. Fish are regularly dried and stored for both household use and commercial sale. Due to proximity to Tarawa, the island is a prime location for commercial exploitation

Map of Abemama Island

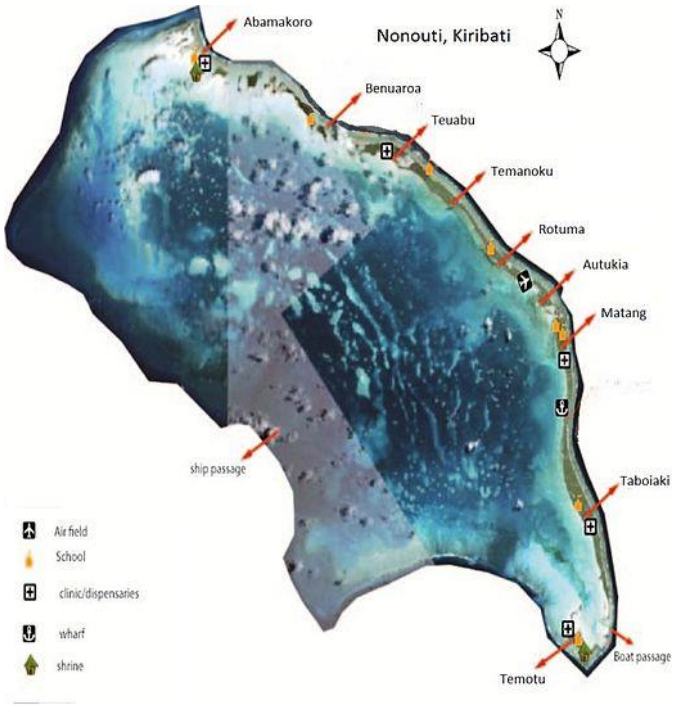


Nonouti Pilot Site: Nonouti is in the Gilbert group. The atoll is nearly 40 km long and less than 1 km wide. The total land area is 20 km^2 . The island has over 400 km^2 of lagoon and 40 km^2 of reef. There are nine villages on Nonouti. The island's population has risen slightly over the past forty years from 2,223 in 1973 to 2,683 in 2010. However, the island has a young population with more than 40% under the age of 15. Nearly all land is privately owned. Approximately 35% of the island's population reports receiving remittances from relatives living/working overseas. Nearly all inhabitants rely upon ground water extracted from shallow wells. The Noumatong Bird Sanctuary is located at the far north of the atoll. The Island Council manages this sanctuary. The total area is estimated to be 250 hectares.

Fisheries are the island's primary food source. Almost 100% of households engage in near shore fishing. The primary target is bonefish. The fish are dried for domestic consumption and commercial sales, including export to Tarawa. The islanders gather sea cucumber and sea worms, both considered important cash crops for Nonouti. Some estimate that more than 50% of the island residents generate income from the sale of marine resources. For agricultural products, most residents rely upon coconuts, bwabwai, breadfruit (*Artocarpus altillis*), te bero, bananas, and pandanus (*Pandanus tectorius*). According to the Government of Kiribati, only 4% of all Nonouti households keep home gardens. Production of copra is a very important source of cash. Annual production ranges widely from 150 tons to nearly 2,000 tons. Production swings

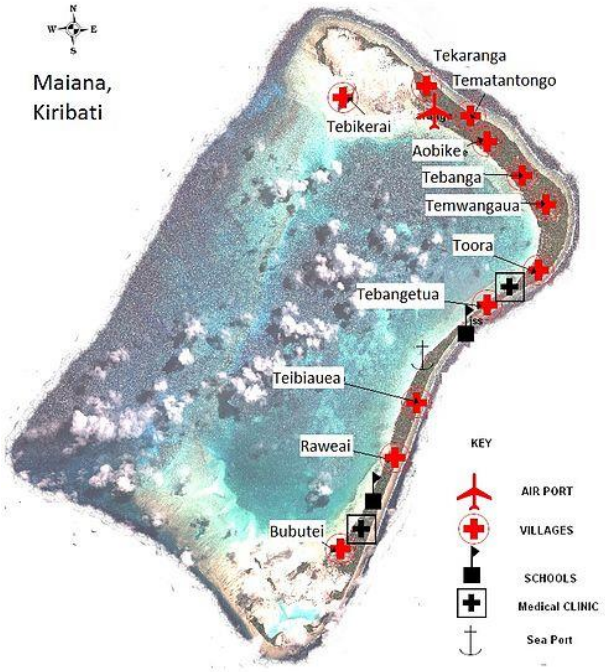
based upon commodity prices not copra availability and/or food security requirements. Residents do not rely upon copra cash for food security. During high price years, the perceived effort relative to benefit ratio aligns and production increases dramatically.

Map of Nonouti Pilot Site



Maiana Pilot Site: Maiana is also in the Gilbert group. The total land area is just over 16 km^2. The large lagoon is more than 73 km^2. The reef system is nearly 30 km^2. The atoll has more than 2,000 inhabitants and approximately 13 villages. The population has remained relatively stable over the past thirty years. There are 383 households on the island with an average household size is 5.3 people. In 1996, there were 21 hectares of mangroves. Between 2008 and 2010, an additional 250 hectares of mangroves were planted. Most cropping is done with limited cultivation. Main crops include coconut, taro, pandanus and banana. Residents of Maiana often grow food crops along the islands swampy interior. Copra production is very important at Maiana. The most recent estimates place the value of copra at US$ 240,000 or US$ 118/person. As with all of Kiribati, Maiana islanders depend upon marine resources for subsistence and commerce. The proximity of Maiana to Tarawa drives commercial fishing. Rigorous data does not exist to quantify the extent of exploitation for commercial or subsistence use. Anecdotal evidence indicates that both sharks and sea cucumbers are targeted for export and quickly disappearing.

Map of Maiana Pilot Site



3.7. PROJECT IMPLEMENTATION ARRANGEMENTS: SHORT DESCRIPTION OF THE PROJECT BOARD, KEY IMPLEMENTING PARTNER ARRANGEMENTS, ETC.

The project is executed under National Implementation Modality (NIM), with execution by the Ministry of Environment, Lands & Agriculture Development, following UNDP's Program and Operations Policies and Procedures, per its role as implementing agency. Execution of the project will be subject to oversight by a Project Steering Committee, detailed below. Day to day coordination will be carried out under the supervision of a Project Management Unit (PMU) and the key partner agencies (MFMRD), also detailed below. The executing agency will take responsibility for different outcomes/activities according to existing capacities and field realities, ensuring effective and efficient use of GEF resources.

The Project Management Structure is shown in Annex 3.

The Project Steering Committee (PSC) provides guidance and oversight for the implementation of the project and making overarching management decisions for the project based on the information provided by the LDCF project management unit (PMU) and the thematic working group. The **Executing Agency** is the individual (Director, MELAD) representing project ownership and acts as the PSC chair. The **senior supplier** (UNDP representative on the PSC) represents the interests of GEF, which is providing major funding to the project. The senior supplier's primary function on the PSC is to provide guidance regarding the technical feasibility of the project.

The senior beneficiary **(**Island Representatives) represents the interests of those who will **ultimately benefit from the projec**t, viz. the communities living in the target islands as well as the global community. The senior beneficiary's primary function within the PSC is to ensure the realization of project results from the perspective of project beneficiaries.

3.8. MAIN STAKEHOLDERS SUMMARY LIST

The key stakeholders that were relevant to the project were the following:

National Level: At national level, the Kiribati National Expert Group on Climate Change and Disaster Risk Reduction serves as crosscutting governmental advisory body.

Island/community Level: At the 3 pilot islands, both staff and communities are engaged in project activities, in particular during awareness, trainings, and monitoring activities. Transport of project personnel and transportation of materials of goods to the pilot islands continue to cause delays in implementation and is further aggravated by the global COCID-19 pandemic and border closure. The disruption to internet/phone connectivity also continues to challenge communication.

The Island Councils are involved during all island visits and specifically in the formulation and monitoring of by-laws.

Extension Officers: Agricultural and Fisheries extension officers are closely involved in the implementation of project activities at the 3 pilot islands and supported by assistants/consultants hired under the project (in the area of agriculture). In addition, teachers are involved in implementation of project activities targeting schools.

Community/village groups: Community/village groups are engaged and consulted during pilot islands visits, trainings and awareness activities, and contributing to such as traditional knowledge to improve food security/climate resilience.

NGO/CSO engagement: Several NGOs/CSOs continue to contribute to and benefit from the project activities, in particular related to awareness raising at community-level and women-participation and empowerment.

3.9. PROJECT TIMING AND MILESTONES

TABLE 6: PROJECT MILESTONES

Date	Key Project Events /Meeting	Action Points- Insight
December 2014	PIF approved	
21 April, 2015	Project originally signed	
November 12, 2015	Project approved by government	
6 July, 2016	Inception workshop	
8 July, 2016	Planning workshop	Development of catchment work plan
20 September, 2016	Project Steering committee approved date with membership	
20/09/16; 20/12/16; 02/03/17; 26/07/17; 13/12/17; 10/08/18; 24/08/18; 05/12/18; 15/04/19; 27/11/19; 13/03/20	Dates of Steering Committee meetings	
August-December, 2019 and July-August 2020	Mid Term Review	Current exercise. Started in 2019, but IC pulled out after first field visit and initial workshop. Required contracting a new IC to complete exercise, which delayed the submission of the MTR report

4. FINDINGS

4.1 RELEVANCE - PROJECT STRATEGY

INTERNATIONAL AND NATIONAL PRIORITIES RELEVANT TO THE PROJECT

The project is supportive to international environmental goals and policies that Kiribati has ratified, including the Climate Change Convention and Sustainable Development Goals SDGs. It is relevant to all national policies, including National Adaptation Program of Action (2007) that highlighted the Kiribati's vulnerability to climate change. It has noted the vulnerability of settlements, land and coastal areas to impacts of climate change due to the low lying nature of the atolls; and also the vulnerabilities of the fisheries sector; agriculture sector, water resources, physical assets, biodiversity and human health. The Kiribati Adaptation Plan has identified several priority actions to be implemented. This project directly support elements of the following priorities identified by the NAPA through this project's Components 1 and 2:

- Strengthening Environmental, Climate Change Information and Monitoring (namely capacity enhancement of MELAD, early warning and information systems)
- Coastal Zone Management and Resilience Enhancement for Adaptation (mainly awareness raising, enhancing coastal assets such as mangroves, institutional strengthening, regulations, permitting systems, etc.)
- Coral reef restoration, monitoring and stock assessment (mainly fish stock assessment and management, fish recovery,

The reason these priorities have been selected are because the people in Kiribati depend very significantly on both marine resources for their household level food security and the vulnerabilities related to food production cannot be addressed by just focusing on one issue. The project is also fully aligned with the Kiribati Development Plan: 2008-2011, which has identified the need to protect and replenish natural resources and to monitor and control coastal erosions as some of its key priorities.

Specifically, this project is assisting Kiribati in the implementation of several key priority interventions of NAPA (2007) that is directly aligned with LDCF Objective 1 on reducing vulnerabilities and LDCF Objective 2 on increasing adaptive capacities. In line with LDCF Objective 1, the project's Component 2 targets actions to reduce vulnerability of local communities to impacts of climate change on food production on land and from the sea. This is aligned with LDCF Outcome 1.2: Reduced vulnerability to climate change in development sectors. In line with the LDCF Output 1.2.1, the project supports actions to mitigate impacts of climate change and variability on vulnerable natural assets – particularly land and coastal fishery areas. The project's Component 1 is aligned with the LDCF Outcome 2.2 Strengthened adaptive capacity to reduce risks to climate-induced economic losses; and the Output 2.2.1: Adaptive capacity of national and regional centers and networks strengthened to rapidly respond to extreme weather events. In line with these, the project aims to strengthen the national early warning system on climate, its use and the strengthening of national capacity, policy and planning to integrate decision making tools to increase preparedness for extreme events, and to deploy funds and human resources as needed. Further capacity building is being achieved through active learning and sharing of lessons and experiences from Kiribati to other relevant regions of the Pacific and the world.

PROJECT DESIGN

The progress towards results and outcomes analysis is posted in Table 8. Generally, the project experienced many start-up implementation problems and progress that has constrained timely implementation of some key foundational activities that were critical to building adaptive capacity of vulnerable communities in the three pilot islands to ensure food security that is threatened by climate change. The project management

unit consists of a project Coordinator, Administrative Assistant and communication officer. The project design included significant technical support for component implementation that was not fully utilized. There was expected to be at least two dedicated full-time sector focal points (component managers) in agriculture and fisheries seconded from the respective ministries to provide technical and training support and oversee implementation on the ground. This was to be further complemented by an AA and FA from the respective ministries on each of the three islands to train, provide technical and extension support. The project recruited an A-AA and FEA for each of the islands to mentor and mobilize local communities and guide operations on the ground. The dependency on the agricultural and fisheries sectors to facilitate planning, provide oversight and monitor progress of field activities has been however slack due to other competing commitments of the sector staff in the Tarawa. This has had an impact on progress at the ground level. The PMU needs to negotiate with the respective ministries a new commitment from the focal points and AAs and FAs to ensure that they spend substantial time to support the work in the three island sites to accelerate implementation of on-the-ground activities, train and mentor the AAs, FAs and A-AAs and FEA in resource assessments, vulnerability assessments, implementation of EbAs, implementation of fisheries regulations, implementation of food security activities, etc. The Project Management unit must build mechanisms for more effective teamwork and collaboration and shift emphasis on resource planning, capacity development of staff and communities, site-specific planning and management and monitoring work by government and implementation partners. The work planning exercise is critical for this period and needs technical oversight and inputs to ensure that the backlog of work is completed in a timely fashion. The project needs to also, from henceforth work towards achieving the planned outcomes and impacts of the project in an integrated and accelerating pace, with good technical inputs, increased communication with island communities and a focus on continuing implementation progress.

The MTR finds the project design was reasonably comprehensive and technically sound and it provided a simple and easily understandable pathway towards achieving the desired two outcomes. From a technical standpoint, the project is designed with clear linkages between the national activities (Component 1) and its application in three islands (Component 2) so as to demonstrate potential opportunities for replication in other islands in Kiribati based on success in the four islands. However, project design lacked a cross cutting knowledge management and communication component to facilitate cross learning and replication of good practices generated through the project, in particular because the project design provides a good opportunity for a learning-by-doing approach.

While, the design of the project is reasonably sound, the project would have benefited from additional considerations, in particular the following:

- Establishing a cross-sector inter-ministerial coordination mechanism that would have facilitated enhanced coordination between the MELAD, MFMRD, Island Councils and others. This is particularly relevant, given post-project, when there will be a critical and continuing need for key sector ministries in particular, fisheries and agriculture to collaborate, strengthen and scale up key project elements that relate to promotion of sustainable harvest regimes, improve crop diversity and strengthening community resilience for achieving food security amidst increasing climate variability.
- Given that a significant amount of project indicators are focused on community engagement (including specifically in creation of MPAs, zoning, regulations regarding fishing practices, etc.) the core of project design should have focused on strengthening co-management approaches within the in-shore areas (and terrestrial areas), as the concept of locally managed marine areas (LMMAs or MPAs) has been effectively practised in other Pacific islands, with some level of success, although it is unclear to what extends this concept exists or is applicable in Kiribati. Introduction of such a concept in Kiribati, and creating the potential for extension to a decentralized “whole-of-island” approach for the pilot islands would have helped coordination of the inter-linkages between marine and terrestrial planning for food security and ecosystem sustainability. Such an integrated terrestrial and marine-based planning approach would have helped link MPA (or

LMMA) demarcation and zoning, fishing regulations (and establishment of no-go" fishing and recovery zones and sustainable yields and harvest methods), promotion of sport fishing and tourism, land restoration and crop diversification and lagoon management, etc. under an umbrella integrated (and potentially co-management) system, rather than the current fragmented approach to resource management and food security.

- By and large gender issues were not explicit in the project document, in particular gender disaggregated indicators are few and although a gender assessment was expected to be undertaken with international technical support, this did not materialize. However, it would be useful to undertake an assessment to evaluate the current level of participation and benefit sharing by women and design specific programs to improve awareness, women's role in decision-making, specific investments that might benefit women, etc.; and
- Environmental and Social risks were not well articulated in the risk matrix, making it difficult to assess, in particular any social risks associated with access to resources for key activities, namely zoning, creation of MPAs, regulatory activities, etc. The UNDP SES guidelines provide recommendations for assessing and retrofitting management interventions that can reduce social impacts that can be undertaken.

RESULTS FRAMEWORK

The project was initially constrained by the lack of understanding of the results framework and indicators. As the indicators were slightly revised in 2017, the current evaluation focuses on the revised indicators.

The Project objective is measured by three indicators, namely: The first indicator is captured by the percentage of households and communities that have stable or increased food security in the face of climate change as measured by 100% of persons (later revised into number of households) in the three targeted islands have stable and/or increased levels of food security. However, it is unclear from the Project RFA what specific sub-indicators were to be used to measure the level of food security. Given that measuring food security requires a more sophisticated approach that must measure the following: (i) availability of food; (ii) access in terms of capital, labour, knowledge, etc. (iii) utilization and (iv) stability in terms of nutrition security, the usefulness of indicator 1 in RFA is questionable. This indicator can be changed given that information of number of households receiving supporting for planting new crops is being recorded. It is unclear, if collecting information of fish catches will contribute to food security on the longer term, given that this must also measure how sustainable this activity can be on the long-term, Additionally, the expectation that all households in the three islands would be targeted was over ambitious. An alternative and safer, easier to measure proxy indicator could be:

- "Number of households with diversified climate resilient crop production systems that increase all season availability of food". However, even this simpler indicator will require evaluating the baseline in terms of variety of crops used as food, availability and accessibility of food throughout the year, percentage of earnings spent on food etc.

In this regard, there has already been some baseline work done on the three project islands in relation to (i) sources of incomes for households from fish, crops and other sources; (ii) frequency of fish consumption at the household level; and (iii) Annual per capita consumption of fin fish and invertebrates, that can provide the basis for developing a suitable indicator to measure certain parameters related to food security.

The second objective indicator "number of bonefish increasing and/or stable" (which is the main protein source) is a difficult indicator to measure, given the absence of a baseline and capacity and resources to monitor this indicator on an annual basis. Even, as late as three years into the project, the baselines that have so far been developed are based on creel surveys. Even so, the are monitoring/sampling of both MFMRD central staff and FAs/FEAs has been inconsistent and it is also likely that the time span of the project

would be too short to reverse any negative trends or stabilize the population of bonefish. An alternative indicator would have been considered that should be specific to the pilot islands:

- "Number of fisher villagers adopting fisheries co-management governance mechanisms to improve/sustain in-shore fisheries resources and ecosystem services"

In terms of third indicator related to establishment of an early warning system (EWS), the projected target is attaining national coverage of 95%. However, while such a system exists at the national level and provides information that is at the all-island level, it is only operational in some of the islands. Providing 95% national coverage would require equipment and capacity to extend this system to the islands that the EWS is not operational now, which would be difficult logistical challenge to the project team. Thus, it would have been more prudent if the indicator was restricted to be fully operational in the three project islands.

In terms of indicators for Outcome 1: The first indicator "GoK provides annual financial support to maintain of national adaptation and monitoring tool" is based on the premise that the Adaptation Monitoring Assessment Tool has been established to help monitor, track and assess basic information relating to climate change, food security and ecosystem integrity. It is understood that at the time of project design, there was no awareness that there already existed multiple tools in the country for reporting. Project design should have evaluated how an existing reporting system could have been useful (with a little retrofitting) and supported its enhancement. However, since the existing EMIS system is taking too long to become functional, the project has initiated the establishment of AMAT, belatedly, and will now require firm commitment from partner sector agencies to provide information into AMAT and also require a renewed commitment from the government to fund it operation beyond the life of the project, otherwise this important activity of the project will likely not be achieved.

In terms of indicator on coastal zone fisheries regulation, this has now been approved, although delayed. However, this will now require the preparation of by-laws to achieve activities proposed under Outcome2. There has been some progress in terms of indicator on capacity improvement of extension officers, but current efforts need to be substantially improved to ensure that the current and proposed additional extension staff (A-AAs and FEAs) have adequate capacity to undertake their respective responsibilities. The new indicator on number of project beneficiaries, current covers a wide range of people who have been engaged in training, awareness raising and education, delivery of project initiatives, participation in stakeholder meetings and project governance. This indicator is not a good measure of project beneficiaries and should reflect not just participation, but access what benefits have been directly derived in terms of improved incomes and/or improved knowledge. Two suitable sub-indicators would have been:

- "Number of direct beneficiaries of livelihood related to improved food security with ___% improvement in incomes and/or nutrition". However, it is important that to avoid double counting as some beneficiaries would have accessed more than one livelihood option.
- "Number of beneficiaries with improved knowledge and understanding of inter-relationships between food security and climate change as measured using KAP surveys"

In terms of Outcome 2, the delay in approval of the Coastal Fisheries Regulations and associated by-laws has delayed the implementation of identification and establishment of fish recovery zones, permitting and monitoring of commercial fishing operations, etc. As a consequence there has been little of no progress in the indicators relating to zoning, establishment of fish recovery areas, commercial fish permits, etc. In particular, the indicator on "Total hectares of island territory managed according to land use plans developed using national guidelines for ecosystem-based adaptation management", while this indicator is valid, but delayed, it would have been more prudent, as discussed in the earlier paragraphs related to Objective indicators, that a holistic and integrated marine and terrestrial planning exercise, building on the findings of the vulnerability Assessments (to help identify critical conservation areas, water conservation, fish spawning and nursery set-asides, mangrove planting areas, etc.) would have been relevant (rather than

an additional EbA guidelines and land use planning for the terrestrial part) that it would have captured more explicitly the land-based environmental issues that have an impact on the surrounding in-shore areas (soil and nutrient loading, pollution from land-based sources etc.). As an alternative, it would be worth to pilot a integrated terrestrial and marine planning exercise as a demonstration of its value and relevance.

Given, that the Coastal Fisheries Regulations has now been approved, this provides an opportunity to ensure that the related activities under Outcome 2 are inter-linked to the preparation of ISPs and related regulations for zoning, fish recovery, MPAs and mangrove planting and monitored accordingly. The new indicator in terms of "number of food crops planted at each target village" is useful, but one needs to also take into consideration the outcome of this activity, in terms of making available additional and varied sources of food for the people to help tide with climate induced food insecurity concerns rather than counting the number of crop varieties or plants distributed. The delay in completion of vulnerability assessment (three per island) has also been delayed. These assessments would have been useful to help target investments to address vulnerability as well as influence the ISP process.

Additionally, it is now, since this is the MTR, to revisit the RFA and revise the indicators to make these more relevant (as discussed in the earlier paragraph) and realistic (such as: areas for regulated fishing, % increase in mangrove areas, areas as fish recovery zones, etc.).

Overall, there needs to be a concerted effort to complete all baseline assessments as a priority and establish a comprehensive monitoring framework, laying out what needs to be regularly monitored, monitoring methods, monitoring frequencies, responsibilities for monitoring and measures for analysing, documenting and reporting of results and arrangements for feedback and adjustment

TABLE 7: LOG FRAME ANALYSIS

	Indicator	End-of-Project Target	S: Specific	M: Measurable	A: Achievable	R: Relevant	T: Time-bound
Outcome 1:							
	1.1.National and local institutions in fisheries, agriculture, trade and commerce, health and culture sectors with enhanced knowledge and capacities on climate risk and enabled assess, forecast and plan for food and nutritional security	1.1.1 This was to be achieved by undertaking vulnerability assessments (VAs) in key sectors and integrated land use plans at least in 3 atolls by preparation of national adaptation and assessment tool (AMAT), generating information for conservation of coastal zones (fisheries, SLM and human health/nutrition); and establishing early warning systems *Progress at MTR:* AMAT in progress, but require commitment from sector agencies to provide information and GoK funding for long-term operation					
		1.1.2 This was to be achieved by ensuring systems are in place to disseminate climate risk information using state radio and TV to pass information on risk, seasonal information related to food production and extreme events *Progress at MTR:* System installed, but not operational due to delay in supply of spare parts					

		1.1.3 Extension Officer Training and staff increases *Progress at MTR:* AA and FAs occupied with sector work and A-AAs and FEAs not in most sites. About 70% attended training					
	1.2 Improved national policy and planning framework for maintenance of food security through adaptation to climate change	1.2.1 National coastal zone fisheries monitoring and conservation awareness program (building capacity at MFRM and raising awareness at national and island level on prioritization of adaptation action for fisheries and food security *Progress at MTR:* Needs improvement					
		1.2.2 National Coastal Zone Fisheries Conservation Regulations to shift from open access to community management *Progress at MTR:* Shifting from open access to community management requires the established of by-laws for fish management zoning, management of MPAs etc.					
		1.2.3 National guidelines for ecosystem based adaptation (EbA) along with model by-laws, capacity assessment, training in Tarawa atoll to undertake VAs, templates, etc. *Progress at MTR:* National EbA guidelines not established					
Outcome 2:							
	2.1 Enhanced food security	2.1.1 The target is that 100% of households in the 4 islands have increased level of food security by end-of-project. Based on this, each household will have at least 5 varieties of food crops to increase level of food security, *Progress at MTR*: Overall about 55% achieved at MTR.					
	2.2 Enhanced ecosystem management protecting key ecosystem services threatened by climate change	2.2.1 The target was increasing or stable population of bonefish (*Albula glossodonia*) at the 4 pilot sites by end-of-project. This required the development and enforcement of by-laws to stop splash fishing and communities entrusted this task *Progress at MTR*: This is very difficult indicator to measure as it requires collecting information from fishermen catches and there is only one FA on Nonouti Island. On Abemama Island consultations with local communities on setting MPA is ongoing. On Malana Island, a single prosecution for splash fishing has been done (by the Old Men Association). There is consensus that it would be more realistic to identify reduction in number of destructive fishing practices to assess this indicator rather than count the bonefish catches.					
		2.2.2. Establishment of 12,000 hectares of recovery zones in coastal areas for fisheries development by end-of-project. This was to be established by applying AMAT (now EMIS) in the 4 pilot islands following its development and communication to the local communities. *Progress at MTR*: Progress has been zero as consultation with local communities to implement zoning practices for recovery of species has been poor and slow. EbA guidelines are not aligned with community interests, norms and values making it difficult to engage communities in establishing recovery zones					
Note: The colour coding is described as follows: Green indicates that the indicators and targets are SMART-compliant; yellow indicates that there is questionable compliance with SMART criteria; and red indicates that the indicator and/or target is not compliant with SMART criteria.							

4.2 PROJECT EFFECTIVENESS – PROGRESS TOWARDS RESULTS

PROGRESS TOWARDS OUTCOMES ANALYSIS

The Project's overall stated objective is to build adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change. That objective incorporates two interconnected outcome level: national (Project outcomes: 1) and Island level (Project Outcome 2) in Kiribati, three priority islands, namely Abemama, Nonouti, and Maiana. These are outlined below:

Component 1:Institutional capacity building to reduce vulnerability to climate change induced food shortage

Output 1.1: National program for informed decision-making
Output 1.2: National Guidelines for Ecosystem-based Adaptation Management
Output 1.3 National Coastal Zone Fisheries Monitoring and Conservation Awareness Program
Output 1.4 National Coastal Zone Fisheries Conservation Regulation
Output 1.5 Extension Officer Training

Component 2: Implementation of community adaptation measures to increase food security

Output 2.1 Vulnerability Assessment and Monitoring Tool Operational
Output 2.2 Ecosystem-based Adaptation Management Operational
Output 2.3 Island and Coastal Zone Strategic Natural Resource Planning Implemented
Output 2.4 Island-based Coastal Zone Fisheries Monitoring and Conservation Awareness Program
Output 2.5 Coastal Zone Fisheries Conservation By-Laws Adopted
Output 2.6 Climate Resilient Fisheries Management Practices Demonstrated
Output 2.7 Models for community-based tourism management demonstrated

Although approved by GEF on March 10, 2015, the five-year project was signed on January 20, 2016 and Inception workshop was conducted on July 8, 2016. The project experienced several delays that effected project implementation and the achievement of specific critical deliverables that were central for the achievement of outcomes on-the-ground, in particular in the three pilot islands. Although, some level of technical support was provided from the UNDP regional and sub-regional offices, the project was hindered by the benefits of continuous and dedicated technical advice from a Chief Technical Advisor, which was in the project design, but never recruited. During this review, it is noted that the recruitment of a technical advisor is necessary to at least, help salvage some of the key outcomes of the project. Although, some important activities have recently progressed, key challenges remain that could easily preclude the achievement of planned project outcomes and the expected objective of the project in the balance period of the project, even if an extension is received, unless there is a concerted and serious effort to improve coordination, communication and a zest for results.

Monitoring of the RFA and indicators, in particular because these would indicate progress towards meeting project impacts, has been confusing at the beginning, and later, mostly confined to fragmented monitoring of inputs (number of crop varieties distributed/planted) and/or percentage progresses towards establishment of systems (e.g. Early Warning System or EWS, land use plans, etc.) which coupled with a number of critical foundational activities that has still not been established, makes it extremely difficult to assess to what extent the project has made an impact on-the-ground as of MTR, and if at all, the project is moving towards meeting its full, or at least part of its expected outcomes. With the absence of effective monitoring, there is little information that is available to the PMU to figure out if the project is moving in the right direction, limits effective feedback and options for adaptive management and adjustment.

Refer Table 8 for progress towards planned RFA targets.

TABLE 8: PROGRESS TOWARDS RESULT MATRIX (ACHIEVEMENT OF OUTCOMES AS AGAINST PLANNED PROJECT TARGETS

Project Strategy	Indicator	Baseline	PIR	Mid-term level	End-of-Project Target	MTR Level and Assessment	MTR rating	Justification for rating
Objective: Build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change	Percentage of households and communities that have stable or increased food security in the face of climate change	To be defined in Year 1 (not assessed)	Reported as overall 55% of households have access to crop species and fish resources, but this does not actually measure food security	None assigned	By the end of the project 100% of men, women and children of targeted islands (Nonouti, Abemama, Maiana) have stable and/or increased levels of food security increasing their resilience against climate change		MU	The indicators for measuring increased level of food security and resilience to climate change are complex needing assessment of availability, access, utilization and stability of food sources, which is not captured by the 3 objective indicators. Further the indicator of bonefish status is difficult to assess given capacity and resource constraints in the country and the indicator of achieving 95% coverage of Kiribati population with EWS seems ambitious.
	Number of bonefish (*Albula glossodonta*) increasing and/or stable.	To be estimated in Year 1 (not achieved)	By-laws established to enforce stopping of splash fishing, but surveys of bonefish not done. Not a good indicator	None assigned	Estimated number of bonefish: Stable or increasing compared to baseline on all 3 islands			
	Percentage of Kiribati population covered by the enhanced early warning system	The existing communication systems are inadequate to send early warning	The EWS system not yet operational for lack of spare parts. Establishing 95% coverage of	None assigned	95% of Kiribati population receives early warning in a timely manner using one of the multiple			

		message in timely manner	country seems ambitious		communication lines			These are more related to design flaws rather than an actual implementation issue. Hence it is important to reconsider the RFA indicators to make these more realistic
Component 1:Institutional capacity building to reduce vulnerability to climate change induced food shortage								
Outcome 1.1 National and local institutions in fisheries, agriculture, trade and commerce, health and culture sectors with enhanced knowledge and capacities on climate risk and enabled to access, forecast and plan for food nutritional security Outcome 1.2 Improved national policy and planning	GoK provides annual financial support to maintain of national adaptation and monitoring tool	GoK annual support for AMAT: 0	The AMAT system not established as yet	None assigned	GoK annual support for AMAT: US$ 25,000		MU	No progress in terms of establishment of AMAT on account of confusion regarding multiple tools that already exists in the country. Some discussion underway in terms of using existing EMIS. In terms of AAs and FAs, while they have been recruited, they are mostly unavailable for working on the islands
	Cohort of eight extension officers increase capacity score as a result of project training program based upon GEF Capacity Result 2 (Capacities to generate, access and use information knowledge).	Cohort of eight agriculture extension officers CR2 capacity score: 3 Cohort of eight fisheries extension officers CR2 capacity score: 3 * Score range: 0 - 15	While A-AAs and FEAs were recruited for each island, skills development in terms of hands-on-training is slow as most are not fully engaged in the project and pilot islands	None assigned	Cohort of eight agriculture extension officers CR2 capacity score: 15 Cohort of eight fisheries extension officers CR2 capacity score: 15 * Score range: 0 - 15			
	Coastal Zone Fisheries	No existing National Coastal	National coastal zone fishing	None assigned	National Coastal Zone Fishing			

framework for maintenance of food security through adaptation to climate change	Regulation adopted based upon increased level of national awareness about links between improved coastal ecosystem management and sustainability and resilience of subsistence coastal fisheries livelihoods.	Zone Fishing Regulation	regulations recently approved, but development of Island Strategic Plans (ISPs) and marine spatial plans (MSPs) not completed resulting in limited application of regulations		Regulation adopted			
	Number of project beneficiaries	0	New indicator added in 2017	Information not available	10,000 (at least 60% women)			
Component 2: Implementation of community adaptation measures to increase food security								
Outcome 2: Implementation of community adaptation measures to increase food security	Outcome 2: Management of land in accordance with land use/resource management plans developed using national guidelines for ecosystem-based adaptation as measured by: (i) Hectares of island territory under land use plans/revised land use plans	(i) Land use plans <u>Nonouti</u> Area with EBA land use plan: 0 ha <u>Abemama</u> Area with EBA land use plan: 0 ha Maiana Area with EBA land use plan: 0 ha (ii) none	ISPs developed for each of the 3 islands	None assigned	(i) Area under EbA: <u>Nonouti</u> Area with EbA land use plan: 2,000 ha <u>Abemama</u> Area with EbA land use plan: 2,7000 ha <u>Maiana</u> Area with EbA land use plan: 1,350 ha (ii) At least two villages on each of the three		MU	The implementation of on-the-ground activities in the three islands was dependent on the establishment of regulations, by-laws and having adequate staff and capacity available, improved communication with communities, etc.

	(ii) Number of villages managing land in accordance with land use plans				target islands managing land in accordance with EbA land use plans			
	Number of vulnerability assessments completed	None	Not initiated	None assigned	Three (one from each target island)			
	Hectares of coastal zone with following outcomes: (i) Regulated through fishing management zoning system as a result of national regulatory tool adopted by Gok (ii) Protected in fish recovery zones developed using national guidelines for ecosystem-based adaptation management Regulated through zoning system as a result of national regulatory tool adopted by GoK.	(i) Regulated fishing area: Nonouti Regulated fishing area: 0 ha Abemama Regulated fishing area: 0 ha Maiana Regulated fishing area: 0 ha (ii) Protected zones: zero	Although ISPs developed for each island and coastal fisheries regulation approved, the implementation of these measures requires by-laws, community mobilization and organization and respective MPA establishment, zoning and monitoring		(i) Regulated fishing: Nonouti Regulated fishing area: 40,000 ha Abemama Regulated fishing area: 15,000 ha Maiana Regulated fishing area: 10,000 ha (ii) At least 10% of area under fish recovery zoning on each island: Nonouti Fish recovery zones: 4,000 ha Abemama Fish recovery zones: 1,500 ha Maiana			

					Fish recovery zones: 1,000 ha			
	Increase in hectares of mangrove habitat as reported annually by Island Councils using the national adaptation and monitoring tool (AMAT).	Nonouti Mangrove (ha): TBD Abemama Mangrove (ha): TBD Maiana Mangrove (ha): 273	Limited mangrove planting undertaken, but its improvement requires community mobilization and organization, MPA planning and zoning to identify specific areas for mangrove planting etc. and respective	None assigned	Increase in mangrove area (compared to baseline) Nonouti At least 5% increase Abemama At least 5% increase Maiana At least 300+ hectares			
	Number of by-laws on fisheries conservation adopted on each target island	Commercial permits = zero	None as yet	None assigned	By laws adopted: Nonouti By laws adopted: 6 Abemama By laws adopted: 5 Maiana By laws adopted: 4			
	Capacity score of Fisheries Conservation Field School participant increases based upon GEF Capacity Result 2 (Capacities to	Nonouti FCFS Scorecard CR2: 1 Abemama FCFS Scorecard CR2: 1 Maiana Scorecard CR2: 1	Extension training of month duration offered to field staff. The Field School to train island communities has not be	None assigned	Nonouti FCFS Scorecard CR2: At least 10 Abemama FCFS Scorecard CR2: At least 10 Maiana			

	generate, access and use information knowledge).	* Score range: 0 – 15	established, but a number of other trainings have been conducted. No assessment of training capacity undertaken so far.		Scorecard CR2: 1At least 10 * Score range: 0 - 15			
	Amount of revenue generated annually by Island Councils from the use of coastal zone resources to support fisheries conservation.	Nonouti US$ 0 Abemama US$ 0 Maiana US$ 0	Progress limited to one tourist game fishing expedition in Nonouti (AUS$ 15,000 or US$11,200), but no program strategy developed to promote this more widely	None assigned	Nonouti US$ 11,200 Abemama US$ 3,750 Maiana US3,750			
	Number of food crops, including traditional crops planted in each target village	Additional to existing crops	Some progress in Abemana (45%), Maiana (60%) and Nonouti (70%)	None assigned	At least 5 varieties per village			
Legend:	Satisfactory	Moderately Satisfactory	Moderately Unsatisfactory	Unsatisfactory				

NOTES: The Moderately Unsatisfactory rating for the Objective is based on the finding that the indicators do not adequately capture the measurement of adaptive capacity of vulnerable Kiribati communities to ensure food security.
The Moderately Unsatisfactory overall rating for Component 1 (Outcomes 1.1. and 1.2 combined) is because there has been no progress in terms of establishment of AMAT that is central to the project in order to monitor, track and assess basis information related to climate change, food security and maintenance of ecosystem integrity.
The Moderately Unsatisfactory Rating for Component 2 as most of the on-the-ground was not undertaken on account of delay in establishing by-laws and regulations and the A-AAs and FEAs, that have been recruited for the project and embedded in the Ministries of Agriculture and Fisheries being mostly unavailable for working on the islands with local communities and Island administrations to improve communication, provide extension and technical support to move activities

RATINGS FOR PROGRESS TOWARDS RESULTS: MODERATELY UNSATISACTORY

4.3. PROJECT EFFICIENCY

MANAGEMENT ARRANGEMENTS

The management arrangements envisaged under the project were standard provisions for implementing the desired activities of the project. The Ministry of Environment, Lands and Agriculture Development, was overall responsible for the execution of the project following UNDP's Program and Operations Policies and Procedures, under the oversight by a Project Steering Committee. Day to day coordination was to be carried out under the supervision of a Project Coordination Unit (PCU) and the key partner agencies, in particular MELAD, the Ministry of Fisheries and Marine Resources Development (MFMRD). Day-to-day management and coordination of the project was be under the supervision of the National Project Manager (PM) who was be responsible for the general management activities of the project, as well as critically overall integration (in particular with the fisheries and agriculture sectors and the administration of the pilot Islands) and follow-up of studies, research and project technical activities in support of achieving project outcomes.

The integrated nature of the project, in particular, the critical need for collaboration and coordination across the key sectors, the timeliness of working planning and the inter-linkages between the various outcomes and outputs of the project was not fully accepted by the various co-implementers, who would rather continue work as usual within their respective domains that was a risk that was fully addressed during project design. The lack of recruitment of the Technical Advisor until a few months ago, coupled with delays in fund flows and inability to solicit full support from the technical staff recruited for the project has been instrumental in the poor and delayed performance of the project and raises questions regarding the potential for achieving sufficient progress to meet, at least some of the major outcomes of the project. The use of the Project Steering Committee related to improving collaboration across the key sectors and resolving fund flow delays has not been much availed of.

With the Technical Advisor now in place, progress can be made provided (i) there is renewed commitment from the sector agencies (fisheries and agriculture) to actively engage in project activities; (ii) comprehensive training for AAs and FAs and newly recruited A-AAs and FEAs; (iii) selection of community village champions to mobilize and enhance community participation and (iv) timely financial reporting.

WORK PLANNING

While, annual working planning was delayed at the start up of the project, in particular due to the lack of full understanding of the project and RFA, in recent months, work planning has improved substantially. It could be further improved, if tasks are considered within a 'whole of island" planning approach that seeks to active integrate the marine and terrestrial activities, rather than look at these in a fragmented fashion, as was the case in the initial years of the project.

FINANCE AND CO-FINANCE

TABLE 9: CO-FINANCING TABLE

Sources of Co-financing	Name of Co-financer	Type of co-financing	Amount Confirmed at CEO Endorsement (USD)	Actual Amount Contributed at time of MTR (USD)	Actual % of Expected Amount
GEF	GEF	Grant	4,446,210	1,452,103.00	65.32
UNDP	UNDP Kiribati	Grant	140,000	81,175.00	101.26
Government of Kiribati	MELAD	In-Kind	7,000,000	4,214,000.00	193.53
Total			11,586,210	6,773,705.72	116.93

PROJECT LEVEL MONITORING AND EVALUATION

The project has initiated some monitoring and evaluation arrangements, such as:

- Project Steering Committee Inception Meeting
- Minutes of at least ten Steering Committee Meetings between September 2016 and November 2019
- Quarterly Progress Reports
- Annual Project Implementation Review Reports
- Field Visit Notes

While, these reports provide reasonable review of progress and in particular the PIRs and recommendation provided by the UNDP Regional Technical Advisor, there has been limited movement on a number of matters that were flagged in previous PIRs.

STAKEHOLDER ENGAGEMENT

Stakeholder engagement was considered fundamental to achieving the outcomes of the project, since the success of the project dependent on the extent of effective interaction and collaboration between MELAD and the Fisheries and Agriculture sectors of the government, as well as particularly to obtain the support of the Island Administrators and the local communities in the three pilot islands, the latter being critical partners for community action in meeting food and ecosystem security. While, some good partnerships have been established with the Office of Te Beretitenti (OB) for implementation of IVAs, potential engagement with MELAD on EMIS (as replacement for AMAT) and others, concerted efforts are still needed to established effective partnerships with community-based organizations, Island Councils and Island NGOs to enhance community mobilization and support for a number of island-based activities related to establishment of MPAs, ISP planning and implementation of fisheries by-laws on zoning and fishing regulations. The success of the project at the ground levels depends on the extent to which there is community ownership of MPAs. This requires effective engagement of community institutions, training and capacity building, awareness raising, transparent communication processes and effective community monitoring of practices.

REPORTING

While there has been some level of reporting to GEF and UNDP (refer Section 4.1.4), the key weaknesses in reporting relate to between islands and project implementers.

COMMUNICATIONS

This is a weakness. The communication with the Island Councils and local community groups us really weak, precluding active and informed engagement of these groups in contributing to project outcomes on the three islands. Dedicated staff hired by the project should be under the direct control of the PCU (as the current practice of embedding them in the sector agencies of fisheries and agriculture is not working). These project-recruited staff should be located in the pilot islands for extended periods of time rather than, as currently is the case, in Tarawa, as they are now engaged in non-project related work as a consequence. This has hindered active communication between the technical staff and island staff and communities, thus significantly constraining implementation of key activities on site. Given, that there are technical staff that are already hired by the project, the option of hiring additional dedicated technical staff does not seem very prudent.

RATINGS FOR PROJECT EFFICIENCY: MODERATELY UNSATISACTORY

4.4 SUSTAINABILITY

These findings address the potential financial, institutional, socio-economic and environmentally to sustaining the results of the project at the post-project period. The organizational, financial, regulatory and strategic risks were identified as moderate.

INSTITUTIONAL AND GOVERNANCE RISKS TO SUSTAINABILITY

This is an area that needs immediate action, in particular that the project is at a critical point in its implementation. Sustainability, at the current juncture seems difficult to achieve. This is because sector institutions have not been very effective in working together for promoting the project. Community institutions are still weak and deliberate efforts to strengthen and build capacity of such institutions have been lacking. Institutional sustainability can only be achieved if there is better collaboration among sector institutions and community institutions have capacity to plan and manage the terrestrial and marine environments on which they depend on, for ensuring food security and being able to tide over climate impacts. It is possible to enhance opportunities for improving institutional sustainability in the future period of the project, if extra efforts are made, in particular for: (i) creating an permanent coordination platform at the highest level of government to ensure that key sector agencies continue to work across there own individual sector interests for the common cause of addressing food insecurity on account of climate change: (ii) building community institutions to the level at which they can take responsibility for sustainably managing the productive terrestrial and marine resources on which their food security and benefits of ecosystem services; (iii) establishing a functional information management and decision-making system (EMIS or other) that is appropriately funded by government to help make accurate assessments of climate change vulnerabilities and design effective responses as well as to help collate and disseminate climate risk information nationally; and (iv) recruit a short-term international consultant to review results and approaches undertaken so far, and develop a sustainability plan to ensure that actions are taken to sustain investments of the project.

FINANCIAL RISKS TO SUSTAINABILITY

With few exceptions, the enhancement of community resilience to climate impacts need continued government support and funding. In small island countries, government priorities are varied, but the focus in Kiribati seems largely aimed at building adequate coastal infrastructure to protect against sea- level rise, as well as to some extent deal with ensuring climate resilience. There are two indicators in the RFA that focus on financial resources, namely (i) Government provides annual financial support to maintain the AMAT; and (ii) improving revenue generation by Island Councils from use of coastal resources to support conservation. However, with AMAT still uncertain, it would be necessary to re-negotiate with the government to allocate adequate resources for implementation of ISPs and in terms of revenue generation, this will likely be delayed until the post-Covid19. The proposed sustainability study (see section on Institutional Risks to Sustainability) will be expected to identify potential options for promoting financial sustainability.

SOCIO-ECONOMIC RISKS TO SUSTAINABILITY

Inherent in terms of strengthening socio-economic sustainability is the concept of active and meaningful participation from local communities in management of the coastal and marine resources and decision-making in this regard. However, given the low level of communication with local communities and the limited focus on strengthening community institutions for co-management of terrestrial and marine resources, the project needs to substantially re-focus on enhancing the role of local communities and their

institutions, building on already existing traditional systems that operate in Kiribati, particularly in terms of the in-shore marine resources. Community empowerment and ownership are two vital outcomes that need to be achieved in terms of supporting communities to establishing and improving management of marine protected areas (or locally management marine areas). In the remaining period of the project, significant efforts are needed to ensure a high level of local participation in both management planning and the management process itself in guiding the management of the in-shore marine areas, to develop overall strategies for zoning of the MPAs, establishing no-take areas (particularly to safeguard fish spawning and nursery areas), defining sustainable fish harvesting regimes, monitoring and enforcement. This will require strengthening community engagement (through training and skills development and decision-making), enhancing capacity of local community institutions and promotion of co-management structures (building on traditional systems, introducing by-laws and protocols for management of these areas, etc., to reduce the socio-economic risks related to sustainability.

ENVIRONMENTAL RISKS TO SUSTAINABILITY

While, the project is based on introducing environmentally appropriate measures to reduce vulnerability to climate change, which are largely positive, there may be some risks that need to be managed. In particular, it is important to ensure that creation of MPAs do not potentially restrict availability and access to resources for vulnerable families and the management rules for restricted/altered access to fisheries resources are not perceived to be contrary to customary rights to resources.

RATINGS FOR SUSTAINABILITY: MODERATELY LIKELY SUSTAINABLE

5. CONCLUSIONS AND RECOMMENDATIONS

5.1 CONCLUSIONS

The Enhancing national food security in the context of global climate change project is being implemented in Kiribati has an overarching aim to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change. Within this context a few expected outputs have been successfully initiated, but many products have not attained sufficient progress at the time of mid-term review. The delays presented are due to a series of factors, among them initial confusion in terms of the project design and the RFA, delays in recruitment of staff and limited commitment of key sector agencies to support the project and facilitate cross-sectoral coordination.

The Project as designed takes into account the development framework that is central to UNDP implemented projects. That is, it is acknowledged within design that marine and coastal areas play an important role for development in Kiribati due to their close link to the country's most important productive sectors such as tourism, fisheries and agriculture. The project relevance therefore lies also within a tacit and an explicit acknowledgment that coastal and marine in-shore areas are key factors for sustainable development. The link with development however has been somewhat missed in implementation and there is a need to better interweave and integrate key development factors related to agriculture and fisheries, including issues related to livelihoods, to gender, and other social issues as they relate food security, rather than consider outputs and outcomes as fragmented actions. At the design level a gap has been the lack of full integration of marine and terrestrial issues within a single planning framework as well as supporting a community co-management as the core or central theme in managing the terrestrial and marine resources that impinge of the ability of local communities to secure food security in the midst of the changing climate and its impacts.

Although some key processes and a number of expected outputs are in a process, in particular in recent months, comprehensive efforts are needed to ensure achievement of at least some of the planned outcomes. While this is expected of a project which is in its relative midpoint, this also calls for a sort of re-organizing, restructuring and rationalizing implementation in the Project's remaining period, particular if a requested extension of the project is granted. There is yet a need to encourage a greater commitment from key sector partners in implementation to ensure that key elements of the project is achieved. Some changes have been suggested which should be acted if results are to materialize in the rest of the implementation period. First of all, there is a limited understanding (and willingness) of the integrated nature of the project and how the various arms of the government, at the national and island levels should act together in a cross-sectoral manner within the realm of the Project. Second, the compartmentalization of the sector entities and their responsibilities needs to adequately flexible to enable achievement of results that are beyond the responsibility or domain of a single institution.

The Project is significant for Kiribati in numerous ways. It provides an opportunity that the national and island governments can work together to build a foundation on which the issues of food and ecosystem security can be addressed. The tools, protocols, regulations and individual capacity that the Project is driving, with the right implementation and institutional capacity building, can generate the methods and processes to lay the foundations to sustainably address food security at the community level. Kiribati, bases much of its economic and social development on tourism and fisheries, the protection, conservation and sustainable use of its coastal and marine ecosystems is thus a strategic issue.

5.2 LESSONS LEARNED

Design should not underestimate the complexity and implications of getting inter-agency political commitment when a project is being implemented by another agency, in particular having staff from other agencies being dedicated to the project, because of their own agency work responsibilities. In such

situations, it would have bee better to hire technical staff through the project and only technical oversight and coordination support being provided by the agencies. A strong design requires a thorough knowledge of how agencies operate and share information, and therefore needs to be realistic in terms of what can be achieved in a particular national context.

When projects are implemented with the participation of multiple stakeholders and different levels of government, each one's role, functions, partnership arrangements, and responsibilities should be clearly delineated before project starts and adhered to throughout project implementation and a strong inter-agency coordination platform needs to be put in place to ensure that collaboration across sectors and different levels of government happens efficiently.

Given that there were initial confusion in understanding the project RFA and subsequent start up issues regarding work planning, delay in recruitment of Component Managers (or Focal Points) and AAs, FAAs and A-AAs and FEAs, training capacity needs and communication strategies, the project would have benefitted by the recruitment of a full-time Technical Advisor for the initial two-years, with subsequent short visits every year to guide and oversee project implementation.

Given, that the project involves a new way of doing business, and involving multiple stakeholders, project design would have benefited by the design and development of a comprehensive communication and knowledge management strategy for the project, in particular to enhance communication between the PMU and line ministries, island institutions and local communities. This would have facilitated early understanding of the project expectations, the role and responsibilities of each different stakeholder and promoted earlier understanding and adaptation of the project design

An integrated multi-disciplinary approach that is central to addressing climate impacts and food security for vulnerable communities requires building strong co-management arrangements, strengthened community institutions and capacity and continuing technical support and extension services to enable local communities and their institutions take responsibility for planning and implementation of the project investments at the community level, so as to build ownership, commitment and encourage active participation.

Project design would have benefitted by contracting a training expert to undertake a training needs assessment, early in the project, identify training and skills required, defining training content, identifying resources persons and timing of events, so as to build capacity of key sector agency staff and community stakeholders to discharge their responsibilities

The incorporation into the Project's steering committee of a large number and array of stakeholders from governments and from civil society who have an indirect or direct interest in the Project is a good practice in order to involve a wide range of parties in the decision making and to generate ownership and buy – in at different levels and within different institutions.

M&E would have benefitted through the recruitment of an monitoring expert to help develop a monitoring plan, including defining timelines, responsibilities, oversight, etc. for baseline development and regular monitoring. Such expertise would have helped to identify specific indicators that were too ambitious or difficult to monitor, so as to develop alternative indicators.

There should have been better oversight by the PMU to ensure that project recruited staff are actually working for the project rather than doing regular work of the respective ministries in which they are embedded so as to have avoided unnecessary delays in supporting activities at the ground level

Developing a sustainability plan, building on learning from the project would help identify opportunities for ensuring that project benefits are carried on, beyond the project period.

5.3 RECOMMENDATIONS

Recommendations presented here reflect actions for the design, implementation, monitoring and evaluation of the project, proposals for future directions underlining main objectives as well as actions to follow up or reinforce initial benefits from the project. Furthermore, they also include recommendations should the project extension request is approved.

1. No cost-extension: Provide a no-cost extension of the project to allow for more substantive achievement of project outcomes. Given, that the completion of the MTR was delayed by nearly a year for reasons beyond the control of the Government of Kiribati and UNDP on account of the International MTR Evaluation Expert's lack of response following the field visit August 2019. This required the hiring of a new International Consultant to complete the MTR assignment and finalizing the report in August 2020. The delay in completion of the MTR report and availing of the MTR recommendations, coupled with the emergent Covid19 situation, resulted in significant delays in particularly to take corrective action as would be the practice after an MTR. An extension of the project would greatly help offset the unintended circumstances that the project had to navigate through and further help build on some of the critical foundational activities that have just been completed or nearing completion. These activities are critical to achieving the planning and monitoring systems (including AMAT or EMIS, fisheries regulations, etc.) to specifically complete the vulnerability assessments, development and implementation of the Island Council Strategic Plans (ISPs), Community-based Fisheries Management Plans (CBFMPs) and Mangrove Management Plans (CBMMPs), strengthening community institutions for collective climate actions, etc.

2. Results Framework Agreement: Review and revise the design of indicators (based on guidance provided in Chapter 4), keeping in mind that they should be SMART and require that the indicators are to be results – based, be relevant, be measurable and that results indicators should reflect effect as attributable to project. Indicators should be drawn with the purpose of determining what are a project's impacts and effects. Baseline indicators should be developed or set for all expected outputs and outcomes given that without baseline data impact or effect cannot be measured nor attributed to an intervention.

3. Technical Support and Staffing: Strengthen project capacities to provide technical support, oversight, capacity building and implementation support to the communities in the 3 pilot islands. This would involve: (i) hiring of a total of six project-dedicated staff (one A-AA and one FEA) for each of the 3 islands, in additional to those already recruited for the project, given the additional work needed to mobilize and engage communities in project-related field activities: (ii) negotiate with the sector agencies (namely fisheries and agriculture) for renewed commitment to the project to ensure that Component Managers (or Focal Points) and AAs and FAs provide substantial time to mentor and train A-AAs and FEAs and provide oversight, extension and technical support to relevant project activities; (iii) continued CTA support and recruited of additional technical support as envisaged in the project design; and (iv) identify village-based champions (2/village) in the 3 pilot islands to work with communities to facilitate their mobilization, orientation and nurture the interest and support of local communities to project actions; etc.

4. Fund Flows: While fund flows have Improved substantially in recent months, ensure submission of timely and complete work planning, reimbursement requests, financial and expenditure reporting etc. to enable timely release of funds. This would require effective coordination between the IP and UNDP.

5. Project Monitoring and Evaluation: Improve project level monitoring and evaluation. With the recent recruitment of a Technical Advisor develop a robust M&E plan that will assess progress

towards achievement of project impacts, enable PMU to take timely adaptive actions and ensure consistency, coordination and complementarity of activities. The monitoring plan, should identify the following: (i) scope of monitoring specifying goals and conceptual framework that integrates inputs, activities, outputs and outcomes; (ii) describe methodology, data sources for indicators and plan for data analysis; (iii) describe monitoring implementation responsibilities and timelines for monitoring activities; and (iv) describe dissemination plan and use of results and feedback mechanisms from stakeholders.

6. Communications: Improve communication between PMU and project staff in the islands. This would help with the recruitment of new staff (item 3 above) to facilitate coordination with the island staff and related matters. Complementing this would be to establish regular communication (perhaps weekly) between PMU and Ministry focal points (IPs).

7. Training and Capacity Building: Improve staff and stakeholder training and capacity building. Project staff (including new recruits) need to be trained to have competence to fully deliver on the relevant technical inputs required to achieve project successes. A-AAs and FEAs need to be trained as well. Recruitment of additional dedicated technical staff (including international technical assistance as required) and renewed engagement of sector staff (item 3 above) should be accompanied by development and delivery of comprehensive training programs and the engagement of Island-based trainers for robust capacity building for project sustainability.

8. Stakeholder Engagement: Improve stakeholder engagement. Implementation of policies, regulations, by-laws and practices usually is slow because people are not aware of these instruments and their purpose. A strong public campaign, initially on the pilot islands should be initiated relating to protection of marine resources, protection of natural resources, improving cropping systems to address food security and management of community resources.

9. Reporting: Reporting between PMU and project partners and between PMU and Island administrations needs substantial improvement. Means of reporting, including regularity of reporting, information needs and feedback mechanisms need to be established.

10. Sustainability: Hire a short-term international consultant to review already undertaken activities and develop a plan for ensuring financial, institutional and technical feasibility of project investment for the post-project period. To be undertaken an year before closure of the project.

11. Asset Management: Improving assets and asset management. This will require purchase of tools (tablets, cameras and other relevant field tools), motorcycle and equipment maintenance, field equipment for field staff etc.

12. Vulnerability Assessment: The Vulnerability Assessments could be effectively used to identify areas that need protection at the in-shore and lagoon areas, set-asides for conserve the spawning and nursery grounds for key marine species, critical conservation areas in land, sea and lagoon areas, mangrove planting areas, areas for development purposes, etc. These assessments, coupled with the ISP can be effectively used for integrated planning at the village and/or atoll level, including project-specific investment planning. Given that the EbA guidelines might not materialize, the above-defined process can easily facilitate planning efforts.

13. Integrated Resource Planning: Since the ISPs are focused at strategies to address a range of land and sea based activities at the individual atoll/level, these can serve as a good starting

point for developing fully integrated village-level or atoll level resource management plans that recognize the inter-connectivity between the marine and terrestrial environments and hence avoid fragmentation in project focus. This would require a strong focus on building community co-management systems to enable communities to visualize, plan, manage and benefit from an array of inter-connected activities (within the terrestrial and marine landscape) to address climate vulnerability and food security concerns. Use the vulnerability assessments to define activities, investments and outcomes from the village-level or atoll level resource management plans.

14. Establishment of MPAs and Open Access Management: Ensuring managed open access regimes. This would require fast tracking by-laws relating to setting up of MPAs by Island Councils under Local Government Act for community-based conservation and sustainable management of marine resources, the organization and strengthening of community institutions to promote active community participation in setting up and managing MPAs, facilitating zoning and monitoring, monitoring implementation of fisheries regulations and by-laws, etc.

15. Planting Materials: Timely availability of planting materials and tools for villagers. This would require planning for adequate nurseries on each island, fertilizer and compost etc. based on annual needs etc.

16. Demonstration Plots: Setting up demonstration plots within the pilot villages to demonstrate best practices in food production, sustainable land and agricultural practices, home gardens, animal husbandry, nursery management, compost making, etc. as a means to improve food security and climate resilience. There is also a need for establish sufficient nurseries to make available seedlings to communities to increase the variety of food crops

Annex 1

Mission Schedule

Date	Mission	Details
7.08.2019	ETA - Tarawa	The IC arrived in Tarawa
8.08.2019	Courtesy at MELAD and ECD	
9.08.2019	MTR team departed to Abemama island	IC and NC flew to Abemama island
13.08.2019	MTR team returned from Abemama island	IC and NC flew back from Abemama to Tarawa
14.08.2019	Chief Fisheries Officer and Fisheries Officers; Coastal Fisheries of the Ministry of Fisheries and Marine Resources	Full day meeting attended by Director of Coastal Fisheries and Fisheries Officers. It's a combined meeting
15.08.2019	A.M. Agriculture and Livestock Division of the Ministry of Environment, Lands and Agriculture Development P.M. Meteorological Division of the Office of the President	The Deputy Director and the Senior Agricultural Officer playing an oversight role of the LDCF Agriculture component The MTR met with The Director
16.08.2019	A.M. Ministry of Education P.M. Cultural Management Division of the Ministry of Internal Affairs	The meeting was immediately cancelled due to the Ministry immediate and unforeseeable commitment Immediate cancellation as well
17.08.2019	Sunday – Holiday day!	The MTR team rest to recuperate
18.08.2019	MTR team depart to Maiana Island	MTR team; IC and NC flew to Maiana island
23.08.2019	MTR returned from Maiana Island	
26.08.2019	A.M. Kiribati Tourism Office P.M. Ministry of Commerce, Industry, Cooperatives	IC meet with KTO Officers IC meet with MCICD staff
27.08.2019	A.M. Local Government Division of the Ministry of Internal Affairs P.M. Land Management Division of the Ministry of Internal Affairs	
28.08.2019	A.M. Ministry of Education P.M. Environment and Conservation Division of the Ministry of Environment, Lands and Agriculture Development	
August 2020	Continuing consultations with UNDP CO Fiji and PMU	To formalize the MTR findings and recommendations

Annex 2

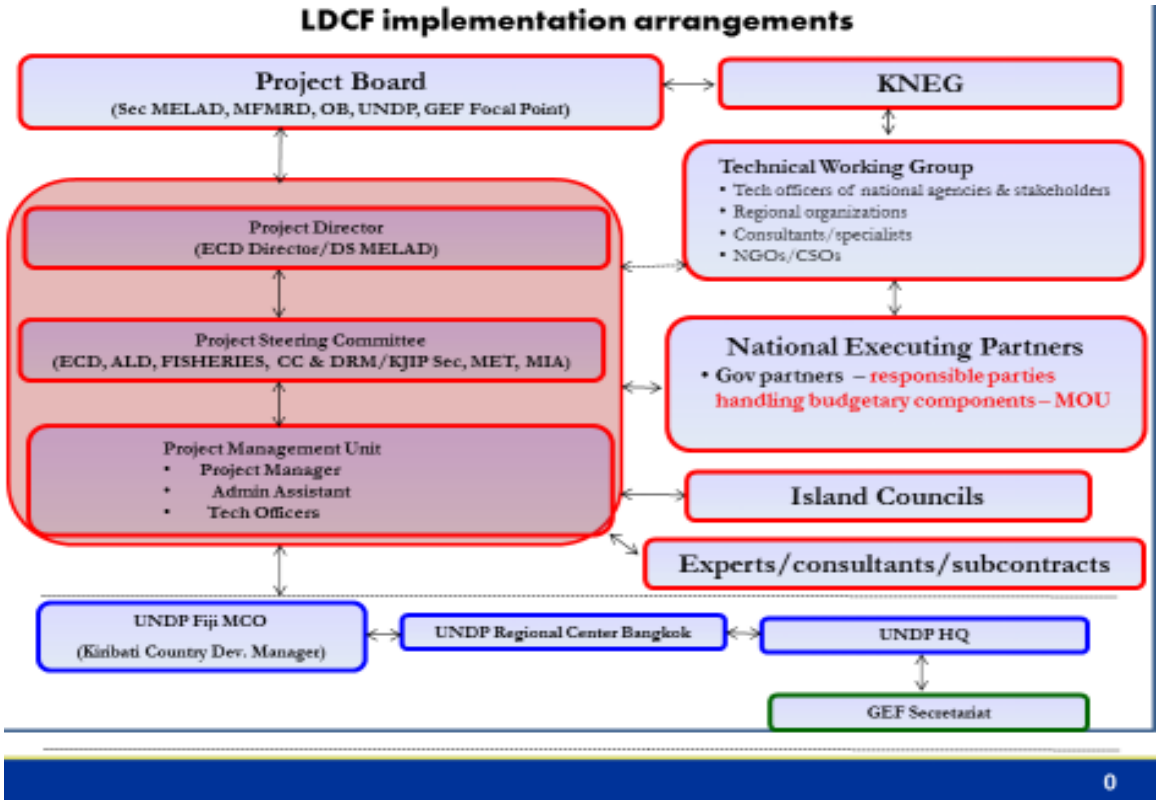
People met during the MTR mission

Inception meeting:	Jack Major International Consultant Tokintekai Bakineti National Consultant Tererei Abete Reema PMU; Project Manager Bweneta Kaoti PMU; Communication Officer	jbjackmajor@gmail.com tokintekai@gmail.com phone #: 730 05766 terereir@environment.gov.ki bweneatak@environment.gov.ki
Abemama Island		
Linda Ueantaeang	Mayor, Abemama Island Council	abemama.mayor@localgovernment.gov.ki
Uere Atanrerei	Clerk, Abemama Island Council	abemamaclerk@localgovernment.gov.ki
Tion Tuataake	LDCF, Assistant Assistant Agriculture (AAA)	
Rauamo Tiam	LDCF , Fisheries Extension Assistant (FEA)	
Beetero	Agricultural Nurseryman	Agricultural Nurseryman
Tekateteke Metai	Community based Fisheries Management Officer	Tekatetekem@fisheries.gov.ki
Kiarake Karuaki	Tourism Officer – working together with CBFM Officer on Abemama	
Mamarau Ringkan	Agricultural Consultant	Contracted by LDCF as a technical assistant to AAA in field
Farmers on Abemama island:		
Teeba Tekinaiti	Champion, Baretoa	
Tamoaieta Tokobea	Baretoa village	
Routi Tokobea	Baretoa village	
Maiana Island		
Rebite Takeimoa	Mayor, Maiana Island Council	Maiana.mayor@internalaffairs.gov.ki
Miire Keukeu	Clerk, Maiana Island Council	clerkmaiana@gmail.com
Teburenga Tirinikai	FEA, LDCF Project	ttburaa@gmail.com
Marouea Kautu	AAA, LDCF Project	maroueak24@gmail.com
Tikaraoi Bwanian	ALD Nurseryman	
Maiana Island		
Farmers on Maiana Island Ueanimatang Roota Kataebati Nabaruku Tokiara Karinea Keni Arobwati Iuta Amatia Iekerua Kiaua Teem Aaro	 Toora village Toora village Tematantongo village Tekaranga village Aobike village Temwangaua village Toora village	
Government Ministries		
Coastal Fisheries, Tanaea		
Tooreka Teemari	Director, Coastal Fisheries	toorekat@fisheries.gov.ki
Karibanang Tamuera	Principle Fisheries Officer, Coastal Fisheries Division, Aquaculture	karibanangt@fisheries.gov.ki
Taati Eria	Senior Fisheries Officer, Training Program	Post-harvest and value adding techniques, outreach and information sharing,

		LDCF support -
Joana Rabaua joanaa@fisheries.gov.ki	Fisheries Officer, (Extension Unit) Aquaculture unit, restocking and multiplication, work together with CBFM and research	Support FEA in community consultation works. Part of the FEA work was to visit communities, consulting and to sensitizing people to influence their minds about marine conservation
Frangela Toto frangelat@fisheries.gov.ki	Fisheries Officer – Extension Unit	Develop training programs, Issues with limited funding for output 1.5, shared budget with Agriculture Division for extension purposes
Tarateiti Uriam	Project Coordinator – CBFM, Funded by USAID since 2014 until 2021	Working with community promoting inclusive decision making, train FA to conduct CBFM on the islands,
Rateiti Vaimalie	Research – marine survey, demarcation of MPA zones, translocation of arc shell, assist in developing ISP	rateitir@fisheries.gov.ki
Itinibwara Bwebwenimarawa	Fishing master – Sustainable Development Unit, FAD construction and deployment, fishing training	
Kiarake Karuaki	Product Development Officer	kkaruaki@kiribatitourism.gov.ki
Agriculture and Livestock Division		
Tearo Otiuea	Deputy Director, ALD	ddald@melad.gov.ki
Kabuati Nakabuta	Senior Agricultural Officer, ALD	sao@melad.gov.ki
Environment and Conservation Division		
Nenenteiti Ruatu	Director, ECD nenenteitit@environment.gov.ki	Sent responses to MTR questions by email
Kiribati Tourism Office		
Petero Manufolau	CEO	pmanufolau@kiribatitourism.gov.ki
Ereata Benson	Senior Tourism Officer	ebenson@kiribatitourism.gov.ki
Reeti Onorio	Deputy CEO	ronorio@kiribatitourism.gov.ki
Kiarake Karuaki	Product Development Officer	kkaruaki@kiribatitourism.gov.ki
Ministry of Commerce, Industry and Cooperatives		
Kautu Tebaka	Cultural Officer	co@internalaffairs.gov.ki
Pelea TabukirakeTehumu	Senior Cultural Officer	sco@internalaffairs.gov.ki
Marii Marae	Director	dcmd@internalaffairs.gov.ki
Meeting with Local Government Division of the Ministry of Internal Affairs		
Meere Temaia	Senior Local Government	Officerslo@internalaffairs.gov.ki
Regina Rotitaake	Urban Management Officer	umo@internalaffairs.gov.ki
Meeting with Culture Division of the Ministry of Internal Affairs		
Kautu Tebaka	Cultural Officer	co@internalaffairs.gov.ki
Pelea TabukirakeTehumu	Senior Cultural Officer	sco@internalaffairs.gov.ki
Marii Marae	Director	dcmd@internalaffairs.gov.ki

Annex 3

Institutional Arrangements



Annex 4

AUDIT TRAIL COMPLETED on September 23, 2020

	Project Comment	Action	Page number
1.	Added list of Annexes to Table of Content	Done	3
2.	Updated Table 1	Done	5
3.	Edited and corrected references to AAAs and FEAs	Done	6
4.	Added clarification regarding PMU positions	Done	7
5.	Referred to realignment of results framework agreement	Done	8
6.	Referred to delays of data collection that affected project implementation	Done	8
7.	Additional reference to revision of results framework agreement	Done	8
8.	Added bottom-up approach to ISP preparation building on CBFM and CBMMP	Done	10
9.	Referred to fact that MTR was based on information collected during August 2019	Done	14
10	Corrected that mission visits were only to Abemama and Maiana	Done	17
11	Corrected that RFA had 3 outcomes and 13 outcome indicators	Done	27
12	Corrected position titles in PMU	Done	37
13	Provided recommendations for gender improvement and safeguards	Done	38
14	Updated recommendations for RFA indicators	Done	38-39
15	Revised Table 8 indicator regarding extension training	Done	48
16	Revised reference to co-implementers	Done	50
17	Corrected MTR Evaluation Expert's lack of response	Done	56
18	Corrected role of CTA and village based champions	Done	56
19	Suggested need for improved coordination between IP and UNDP for fund flow	Done	56
20	Added need for international technical support for training recommendation	Done	57
21	Updated use of vulnerability assessments for defining investments	Done	58
22	Ensured that recommendation sequencing in 5.3 tallies with summary section (Table 3)	Done	12 & 55
23	Revised Annex 1 to include all persons/institutions met on mission	Done	59
24	Added Annex 4 (Audit Trail)	Done	63
25	Added Annex 5 (TORs for MTR)	Done	64

UNDP-GEF Midterm Review Terms of Reference

BASIC CONTRACT INFORMATION

Location: Kiribati
Application Deadline: XXXX
Category: Climate Change Adaptation
Type of Contract: Individual Contract
Assignment Type: International Consultant
Languages Required: English
Starting Date: XXXX
Duration of Initial Contract: 1 month from the signing of the contract
Expected Duration of Assignment: 1 months

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full* -sized project titled "*Enhancing national food security in the context of global climate change"* (PIMS 4570) implemented through the *Ministry of Environment, Lands and Agriculture Development (MELAD)*, which is to be undertaken in *2018-2019*. The project started on the *January 20, 2016* and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated after the submission of the second Project Implementation Report (PIR). 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/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf).

The MTR process had been initiated on Wednesday 7 August 2019 with a team comprising of a lead international consultant and a local consultant. The field work for the MTR has been completed in 28 August 2019, however the lead international consultant was not able to produce a draft MTR report. This TOR is for an IC to take on the MTR process from where the previous lead international consultant left off to complete the MTR for the project. The objectives of the consultancy is to:

1. Write the first draft of the MTR report;
2. Facilitate the review and revision of the MTR draft incorporating the project implementation unit (PIU) responses as well those of the UNDP office (Fiji Multi-Country Office and the Bangkok Regional Hub) and;
3. Finalize the MTR report.

The successful bidder will be provided all that was captured by the MTR fieldwork. This includes the MTR inception report, documentation gathered from project personnel on the three pilot islands and the recollection of interviews conducted there. The successful bidder work with the MTR's local consultant, the in-country project implementation unit and the UNDP colleagues supporting the project. The above mentioned will all assist the consultant to recollect and collate the work from the Kiribati MTR mission conducted last year (2019).

2. PROJECT BACKGROUND INFORMATION

The project was designed with the objective to build the adaptive capacity of vulnerable Kiribati communities to ensure food security under conditions of climate change. To address these challenges and reach the project's objective, the project supports the realization of two components and related activities. Both components will be closely aligned so that national and site-based activities are designed to build synergies, increase awareness, and generate much more informed and strategic use of natural resources so that ecosystem integrity is able to continue to function as the foundation of food security needs. Under Component One, the project will assist Kiribati to address urgent institutional capacity building needs primarily on the national level. This will include helping to

set in place an improved regulatory environment, strengthened institutional planning and policy frameworks, and generation of data required to support informed decision-making.

Under Component Two, the project will assist Kiribati to address climate change vulnerabilities by implementing and demonstrating community-based adaptation measures. The project will work on a select number of atolls to set in place models for land and lagoon resources management that is predicated upon informed planning and management processes. The general awareness of rural communities regarding fisheries management and climate change impacts will be increased. Community-based monitoring systems will be established. This will be used to inform decision-making, serve as an early warning system for climate change impacts, and be linked to island-wide vulnerability assessments. The monitoring system will linked to national level programming so that national level decision-making benefits from more broad-based information sources. The project will support the generation, adoption, and implementation of model council by-laws designed to be ecosystem inclusive and enhance ecosystem integrity. This will include model regulations for the management of fisheries, including permit and reporting mechanisms for both subsistence, commercial and tourism use of lagoon resources. The project will work with extension officers responsible for both agriculture and fisheries resources. This will include building the capacities of officers, responsible government agencies, island councils, and rural stakeholders through formal training programs utilizing fisheries field schools. Model programs for more sustainable and climate resilient practices will be tested, assessed, and ready for national replication.

All project activity will target the reduction of food security issues by setting in place capacities required for local communities to maintain and enhance ecosystem integrity. By project close, Kiribati should have operational models showing that food security, ecosystem integrity and climate change resilience can be enhanced through improved management approaches.

The project will be implemented on the islands of Abemama, Nonouti, South Tarawa, and Maiana. Each island selected represents a unique opportunity to address food security and climate change resilience improvements.

The project has a life span of 5 years and started when the ProDoc was signed on 20 January 2016. It has a total budget of USD 11,586,210 comprising of a grant from LDCF of $4,446,210, UNDP resources of $140,000 and co-finance from the Government of Kiribati of $7,000,000.

The implementing partner for the project is the Ministry of Environment, Lands and Agriculture Development and the Ministry of Fisheries and Marine Resources being a primary national-level stakeholder for technical issues. Further Government partners and stakeholders include the Kiribati National Tourism Office, Ministry of Internal Affairs and Culture, Kiribati Meteorological Service and the Ministry of Commerce.

3. OBJECTIVES OF THE MTR

The 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, its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR team will review all 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, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team 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 team is expected to follow a collaborative and participatory approach[1] ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

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

Engagement of stakeholders is vital to a successful MTR.[2] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to UNDP Fiji Pacific Office, UNDP Bangkok Regional Hub, Government 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 team is expected to conduct field missions to South Tarawa, including the following project sites Abemama, Nonouti, South Tarawa, and Maiana.
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 team 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. (http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf)

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?
- 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 the country (or of participating countries in the case of multi-country projects)?
- 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. 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 Analysis:

[2] 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 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[3]	Baseline Level[4]	Level in 1st PIR (self-reported)	Midterm Target[5]	End-of-project Target	Midterm Level & Assessment[6]	Achievement Rating[7]	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	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 GEF Partner Agency (UNDP) 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?

[3] Populate with data from the Logframe and scorecards
[4] Populate with data from the Project Document
[5] If available
[6] Colour code this column only
[7] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- 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 co-financing 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?
- 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.

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 contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, 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 team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.[8]

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 team should make no more than 15 recommendations total.

Ratings

The MTR team 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 "Enhancing national food security in the context of global climate change" Project

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	

[8] Alternatively, MTR conclusions may be integrated into the body of the report.

Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately *27 days* over a time period of *4 weeks* starting *18 February 2020*, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIME FRAME	ACTIVITY
12th February 2020	Application closes
12th – 17th February 2020	Select MTR Consultant
18th – 19th February 2020	Prepare the MTR Consultant; handover of: i)Project Document; ii) Field Mission Documents; and iii) the liaisons with the local consultant, the PIU and the UNDP colleagues
20th – 26th February 2020	Preparing draft report
27th February – 6th March 2020	Incorporating audit trail from feedback on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)
6th – 8th March 2020	Preparation & Issue of Management Response
16th March 2020	Expected date of full MTR completion

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	**Draft Final Report**	Full report (using guidelines on content outlined in Annex B) with annexes	26th February 2020	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
2	**Final Report***	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	16th March 2020	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

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 in Kiribati for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TEAM COMPOSITION

A team of two independent consultants will conduct the MTR - one international team leader (with experience and exposure to projects and evaluations in other regions globally) and one local expert from Kiribati. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

- Recent experience with result-based management evaluation methodologies and applying SMART indicators and reconstructing or validating baseline scenarios (20%);
- Experience applying SMART indicators and reconstructing or validating baseline scenarios (5%);
- Competence in adaptive management, as applied to Climate Change Adaptation/demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis (15%);
- Experience working with the GEF or GEF-evaluations (10%);
- Experience working in the Pacific region (15%);`
- Work experience in relevant technical areas, climate change adaptation, food security, fisheries, agriculture and other related social sciences for at least 7 years (10%);
- Excellent communication and analytical skills (5%);
- Demonstrable analytical skills (5%);
- Project evaluation/review experiences within UNDP will be considered an asset (5%);
- A Master's degree in environment, development studies, geography, or other closely related field (10%).

10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon signing of contract
30% upon submission of the draft MTR report
60% upon finalization of the MTR report

11. APPLICATION PROCESS[9]

Recommended Presentation of Proposal:

a) **Letter of Confirmation of Interest and Availability** using the template[10] provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form[11]);

[9] Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: https://info.undp.org/global/popp/Pages/default.aspx

[10] https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx

[11] http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address: The Procurement Unit UNDP Pacific Office, Level 8 Kadavu House, 414 Victoria Parade, Suva in a sealed envelope indicating the following reference "Consultant for *Enhancing National Food Security in the Context of Global Climate Change* Midterm Review" or by email at the following address ONLY: etenderbox.pacific@undp.org by **2p.m on the 15th of March 2019.** Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

List of Documents to be reviewed by the MTR Team

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF Climate Change Adaptation Tracking Tools at CEO endorsement and midterm
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 Steering Committee Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

Guidelines on Contents for the Midterm Review Report[12]

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

[12] The Report length should not exceed 40 pages in total (not including annexes).

- Executing Agency/Implementing Partner and other project partners
- MTR team members
- Acknowledgements

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

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

5.2 Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project

- Proposals for future directions underlining main objectives

6. Annexes

- MTR ToR (excluding ToR 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 CCA tracking tools

Midterm Review Evaluative Matrix Template

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?			

UNEG Code of Conduct for Evaluators/Midterm Review Consultants[13]

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: Malcolm Jansen

Name of Consultancy Organization (where relevant): Not applicable

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

Signed at Washington D.C., USA *(Place)* on 29 September 2020 *(Date)*

Signature: MJC

[13] www.undp.org/unegcodeofconduct

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 (HU)	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