



**Demonstrating Innovative Ocean Governance Mechanisms and Delivering
Best Practices and Lessons for Extended Continental Shelf Management
within the Western Indian Ocean Large Marine Ecosystems**

MID-TERM REVIEW

March 2021

KEY DATA

Name of the Project: Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems

UNDP PIMS #: 00087614

GEF Project ID #: 5513

MTR Time frame: October 2020 – March 2021

Date of MTR Report: 1 March 2021

Region and countries included in the project: Western Indian Ocean, Mauritius and Seychelles

GEF Operational Focal Area: International Waters

Executing Agency/Implementing Partner: The Government of Mauritius (on behalf of the Joint Commission for the Joint Management of the Continental Shelf in the Mascarene Plateau Region)

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Acronyms and Abbreviations

ABNJ	Area Beyond National Jurisdiction
APR	Annual project Report
ASCLME	Agulhas and Somali Current Large Marine Ecosystem
AWP	Annual Work Plan
CBO	Community based Organisation
CDR	Combined Delivery Report
CEO	Chief Executive Officer
EBM	Ecosystem based Management
ECS	Extended Continental Shelf
EEZ	Exclusive Economic Zone
FAO	Food and Agriculture Organisation
GEF	Global Environment Facility
GIS	Geographical Information System
ICAM	Integrated Coastal Areas Management
IGO	Intergovernmental Organisation
IOC-UNESCO	Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organisation
IW	International waters
JMA	Joint Management Area
JMC	Joint Management Commission
LME	Large Marine Ecosystem
M&E	Monitoring and Evaluation
MEDA	Marine Ecosystem Diagnostic Analysis
MSP	Marine Spatial Planning
MTR	Mid-Term Review
NGO	Non-Governmental Organisation
PIR	Project Implementation Report
PMU	Project Management Unit
PRF	Project Results Framework
ProDoc	Project Document
PSC	Project Steering Committee
RFMO	Regional Fisheries management Organisation
RTA	Regional Technical Advisor
SAP	Strategic Actions Programme
SAPPHIRE	Strategic Actions Programme Policy Harmonization and Institutional Reforms
SESP	Social and Environmental Screening Procedure
SMART	Specific, Measurable, Achievable, Relevant, Time-bound (Indicators)
TOR	Terms of Reference
TT	Tracking Tool
UNDP	United Nations Environment Program
UNEP	United Nations Environment Programme
WIOLME	Western Indian Ocean Large Marine Ecosystem

Executive Summary

Project Information Table

Project Title:	Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems		
UNDP Project ID (PIMS #):	5262	PIF Approval Date:	6 November 2013
GEF Project ID (PMIS #):	00094557	CEO Endorsement Date:	12 July 2016
Award ID:	00087614	Project Document (ProDoc) Signature Date (project start):	11 January 2018
Country(ies):	Republic of Mauritius and Republic Seychelles	Date project manager hired:	31 July 2018
Region:	Indian Ocean	Inception Workshop date:	1 April 2019
Focal Area:	International Waters (GEF 5)	Midterm Review date:	1 March 2021
GEF-5 Strategic Programs:	IW Objective 2: Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change. IW Objective 3: Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based joint management of trans-boundary water systems. IW Objective 4: Provides support for first pilot efforts at preventing degradation of valuable ocean areas beyond national jurisdictions It aims to promote effective management of marine areas beyond national jurisdiction.	Planned closing date:	January 2022
Trust Fund:	GEF trust Fund	If revised, proposed closing date:	
Executing Agencies:	United Nations Development Programme (UNDP)		
Implementing partners:	Department of Continental Shelf, Maritime Zones Administration and Exploration [Mauritius] (on behalf of the Joint Commission for the JMA)		
Project Financing:	at CEO endorsement (USD)	at Midterm Review (USD)	
[1] GEF financing:	2,210,391	1,238,393.55	
[2] UNDP contribution:	28,800	28,800	
[3] Government:	15,600,000	15,600,000	

[4] Other partners:	-	--
[5] Total co-financing [2 + 3+ 4]:	15,628,800	15,628,800
PROJECT TOTAL COSTS [1 + 5]	17,839,191	16,736,735.22

Brief Project Description

The JMA Project is a sub-component of the SAPPHIRE Project. It focuses on developing and demonstrating new management approaches for Extended Continental Shelf (ECS) areas which can provide lessons and management techniques which can be replicated both within the western Indian Ocean as well as throughout the global LMEs. It specifically focuses on the newly-established Joint Management Area (JMA) between Mauritius and Seychelles for the Continental Shelf in the Mascarene region, as well as the associated Contiguous Adjacent High Seas Areas.

The Overall Objective of the JMA Project is to identify and demonstrate new management approaches and techniques for the Mascarene Plateau. The primary areas of activity and support would be in the development of a management mechanism which demonstrates and institutionalizes co-management and co-existence of the various activities of the multiple sectors and stakeholders operating within or benefiting from this ocean space. It is important to note that the JMA Project is strongly linked with and led by the Mauritius-Seychelles Joint Management Committee (JMC), which has established 5 Strategic Objectives related to the development of an institutional framework, technical capacity, data acquisition in support of adaptive management and a 'blue ocean economy' approach, along with multi-sector, multi-use planning. All of these objectives find their reference in the JMA Project's components, outcomes and outputs. Hence, the JMA Project provides direct support to achieving these objectives and capture lessons and best practices for the global LME community.

The JMA Project aims to provide specific activities and deliverables to assist the two countries in achieving these 5 Strategic Objectives through four Components, as follows:

- **Component One:** This will focus on building technical and management capacity that can undertake and maintain a marine spatial planning process within the context of a blue or ocean economy. It will work with the countries (and other appropriate partners as identified by the JMC) to refine an institutional framework and associated technical skills that can underpin effective management, monitoring and governance. This process and its associated activities will recognise the importance of ocean-based business opportunities (especially related to the energy industry) and will aim to include such opportunities into the overall marine spatial planning process and management strategy.
- **Component Two:** Having access to reliable data upon which management decisions can be based is an imperative to the Joint Management process. In this context, Component Two will aim to provide support and assistance to the two countries in developing an appropriate and effective data storage and management system, and in populating that system with (a) existing, current data; (b) repatriated data lying in foreign possession; and; (c) a data capture programme to fill recognised priority gaps.

- **Component Three:** Use the outputs from the two previous components to drive a joint Marine Spatial Planning process that can form the basis for an agreed management strategy with adopted decision-making and adaptive management mechanisms
- **Component Four:** the overall objectives of Component Four are to (a) provide a platform and mechanism for adaptive management of the Project and its activities during the Project lifetime; (b) encourage and ensure sustainability by end-of-project; and (c) identify any further steps needed for a sustainable management process beyond the project lifetime.

UNDP is the GEF Implementing Agency for GEF for the JMA Project, with the UNDP Country Office responsible for Mauritius and Seychelles acting as the Principal Project Resident Representative. The JMA demonstration project is executed by the Government of Mauritius on behalf of the JMC through the Department for Continental Shelf, Maritime Zones Administration and Exploration of the Ministry of Defense and Rodrigues.

Purpose and Methodology

The main objective of the MTR is to 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 also reviewed the project's strategy and its risks to sustainability. The purpose of the MTR is to measure the relevance, sustainability and impact of the project. Findings of this review are incorporated as recommendations for enhanced implementation during the remaining implementation timeframe. The project performance was measured based on the indicators of the project results framework and relevant GEF tracking tools. The MTR was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings obtained during a field mission.

Project Progress Summary

Given the complexity and geographic scope of this project, overall, the MTR considers the project to be well managed, with constructive working relationships between the project partners. The Project has advanced the understanding on the benefits of the Marine Spatial Planning to enhance governance of the JMA and commendable progress has been made towards increasing the capacity for MSP in Mauritius and Seychelles. Adoption of the MSP Roadmap has created an excellent basis for the development of the MSP Framework. Stakeholders have been successfully involved in the implementation of the project. Some project's activities have been slowed down by the Covid-19 pandemics, causing delays in their timely implementation. From that perspective, the MTR finds that considerable efforts will have to be employed for all the project results will be achieved within the project timeframe.

MTR finds that there is a strong case for an extension of the project's implementation for 6 months, in order to ensure effective use of funds and achieve progress towards the project's objectives and outcomes, for the following reasons:

- There was a significant delay in starting up project activities.

- The Covid-19 pandemics has had a serious impact on the rate of implementation of the project's activities, as the physical communication between the two countries has been practically halted for most of 2020.

Evaluation Ratings

Evaluation ratings are summarized in the table below.

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Project Objective Moderately Satisfactory	The JMA Project has advanced the understanding on the benefits of the Marine Spatial Planning to enhance governance of the JMA and commendable progress has been made towards increasing the capacity for MSP. Stakeholders have been successfully involved in the implementation of the project. The overall rating reflects the fact that, while the progress has been significant in spite of early delays in the start of the project's implementation, there are still some areas for improvement, in particular the communication activities. Some project's activities have been slowed down by the Covid-19 pandemics, causing delays in their timely implementation. Adoption of the MSP Roadmap has created an excellent basis for the development of the MSP Framework.
	Outcome 1.1 Satisfactory	Skills for MSP have been analyzed and a training plan developed to fill gaps required to support MSP. However, due to Covid-19 pandemics, not all the planned training activities could be carried out and it is questionable, considering the extended crisis, that all of the training activities will be carried out in the remaining time for the project's implementation. Communication activities need to be stepped up.
	Outcome 1.2 Satisfactory	A comprehensive report has shown what risks exist to human activities in the JMA, which pose a threat to sustainable development of the area. The plan proposed appropriate MCS procedures, which assist in minimizing the perceived risks. MCS skills gaps have been analyzed and a capacity building and training plan has been developed. Due to the Covid-19 crisis the planned mission of the MCS consultant and the respective training activities could not be carried out according to plan, but could be implemented in 2021
	Outcome 2.1 Satisfactory	All existing data sets have been compiled and most of them converted into GIS data layers/maps. Hardware and software for GIS has been procured and installed. Training on GIS has been delayed because of Covid-19 but is on track to be completed before the end of the project. Capacity for data management is being increased.
	Outcome 2.2 Moderately Satisfactory	Data and information gaps were identified, but the training on GIS was delayed because of Covid-19. Working groups' TORs drafted, but the groups are not yet operational. Fast-track review process, also dependent on establishment of the working groups, has not yet started.

	Outcome 3.1 Moderately Satisfactory	The baseline for the Management Strategy has been prepared. The exact management area, authority, goals and objectives of the strategy were discussed, but the start of the strategy is pending the closure of the lockdown in Mauritius and Seychelles. The activities were delayed because of Covid-19 and the elections in Seychelles. The outcome is not on target.
	Outcome 3.2 Moderately Satisfactory	Because of the delays caused by Covid-19, and a prolonged lockdown in two countries, the activities on development and implementation of the Management Strategy have been delayed. The activities in this outcome are not on target and great effort will have to be employed to complete the outcome's activities until the planned closure of the project.
	Outcome 4.1 Satisfactory	PSC meeting frequently. PMU informs PSC on the progress and the implementation of the project is adapted as required. Project results are reported in the SAPPHIRE PIR, but that is considered as inadequate because both projects are progressing at unequal pace (JMA Project is being implemented more regularly, in particular before the Covid-19 crisis).
Project implementation and adaptive management	Satisfactory	Project management team, although rather small, is efficient and effective. Rate of expenditure is slightly below schedule. Co-financing tracking system should be more transparent. Project monitoring is frequent and the Project Steering Committee is having a good oversight of the project. Communication with stakeholders is regular, although external communication needs to be improved. Reporting is regular. PIR reporting is integrated into the SAPPHIRE reporting.
Sustainability	Likely	The risks identified in the JMA Project's ProDoc are still valid with no indication that their rating of impact and probability has changed. The 2020 PIR identified the global Covid-19 pandemic as a new Safety and Security critical risk for the SAPPHIRE project, which also relates to the JMA Project. This risk has already had impact on the pace of implementation of the JMA Project, and may continue to have impact during, at least, the first half of 2021.

Conclusions

The JMA Project's strategy is sound and consistent with the GEF 5 International waters objectives. While there is mention of some aspects of the national strategic priorities in two countries the project's design would benefit from a more focused presentation of the national ocean management priorities. The MTR finds that while a number of potential risks and assumptions related to the project were analyzed, the risk related to the political situation should be mentioned too. The most important aspect of the project's strategy is its aim to devise a new approach to manage an area that is only partially "owned" by the two countries and demonstrate how it could be applied in practice offering, thus, an example to be applied in similar situations elsewhere in the world. The project is focused on establishing Marine Spatial Planning as a dominant approach to manage a complex area such as the JMA.

The project's PRF has been significantly revised during the Inception Workshop. However, in spite of the revision, the clear linkage between the project's outcomes, indicators and targets had to be better established. In the absence of clear linkage, MTR finds that effective monitoring and assessment of the project's implementation per component was not easy to achieve.

Progress in Component 1 of the project (*Building Technical and Management Capacity in support of Marine Spatial Planning and effective management of the Joint Management Area*) is largely on target, with the baseline for MSP Framework created. However, due to the Covid-19, implementation of some training activities will be delayed. The major outcome is clear understanding and agreement among project partners that the MSP Framework will create a solid basis for more effective integrated management of the JMA in the future including, *inter alia*, the preparation of a marine spatial plan. The project created awareness among all stakeholders' groups, in particular the decision makers, on what MSP is and what it is not, as well as what is realistically to be expected from its implementation in the given circumstances.

Progress has also been achieved in Component 2 (*Development of a data and information system along with a programme of data capture and gap-filling as a foundation for an adaptive management strategy*), particularly in setting up the technical base for data capture and storage using the GIS. Again, because of Covid-19, the progress on training on GIS has been slowed down, and it is questionable whether all targets in this component will be achieved. Also, establishment of the four Working Groups that are highly instrumental in assessing the data trends and developing JMA Management Strategy, has been delayed.

Component 3 (*Adoption and implementation of a Marine Spatial Planning approach with the objective of improving and implementing effective decision- making for activities within the Joint Management Area*) activities have also been delayed. While the baseline for the strategy has been discussed and agreed upon, the drafting and consultation on the strategy is still pending. That will certainly affect the implementation of the strategy itself. This is the most critical point of the project at mid-term, and the PMU as well as the PSC and JMC will have to make every effort to speed up these activities in due time.

Component 4 of the project (*Monitoring, Evaluation, Adaptive Feedback and Sustainability*) is mainly concerned with the project reporting. It is regular and accurately reflects the actual implementation of the project.

Sustainability of the project is considered, overall, as likely. The risks identified in the JMA Project's ProDoc are still valid with no indication that their rating of impact and probability has changed. The 2020 PIR identified the global Covid-19 pandemic as a new Safety and Security critical risk for the SAPPHERE project, which also relates to the JMA Project. This risk has already had impact on the pace of implementation of the JMA Project, and may continue to have impact during, at least, the first half of 2021.

Recommendations of the MTR

Type of Recommendation	No.	Recommendation Description	Responsible Party
Corrective actions for the design, implementation, monitoring and evaluation of the project	1	Re-assess the indicator and targets in the Revised UNDP-JMA Project Results Framework, which was approved at the Inception Meeting. The linkages between indicators and targets have to be clear and not too detailed. They have to be measurable and achievable by the end of the project. In the same table, a very clear distinction has to be made	PMU and PSC

		between the outputs and activities, while both of these have to be clearly linked with the respective indicators and targets. In this respect, introduce a clear definition of major terms in the ProDoc (MSP, management strategy, MSP approach, MSP process, MSP framework) to avoid terminological ambiguity and strengthen the linkages among outcomes and outputs. Finally, the PRF should have a clear timeline for the realisation of the targets. A list of proposed changes should be circulated to the PSC and changes made in time for the next reporting period.	
	2	Speed up implementation of the remaining activities, in particular those whose completion has been delayed (establishment of Working Groups, development of the management strategy, training). Stricter control of implementation of activities should be introduced.	PMU
	3	The allocation of the unspent funds should be reviewed and the budget revision to re-allocate the remaining funds of the project urgently prepared (46% of the project funds have not been distributed yet). This refers particularly to the travel budget where a large amount has been unspent due to the impacts of the Covid-19 crisis.	PMU and PSC
	4	System of reporting on co-financing should be improved. Prepare annual co-financing reports containing, as a minimum, the information on the amount of annual co-financing provided by each partner; distribution of co-financing per component/outcome; rate of co-financing provided and the amount left for the remaining period of the project's implementation; perceived risks, if any, in provision of co-financing by partner; and proposal for actions to be taken to mitigate risks. The co-financing report should be presented to, discussed at and adopted by the PSC on a yearly basis.	PMU and PSC
	5	<i>Improve the visibility of the project by speeding up the implementation of the communications strategy of the project</i>	PMU
	6	<i>Improve the quality of the project's web site and update it regularly. It should contain all the project's outputs as well as other information of interest for potential users, including videos, information bulletins, etc. Reports of the most important project meetings should be placed on the web site as soon as they will be prepared. A special page should be developed to monitor the progress of implementation of the project's activities per outcome and output.</i>	PMU
	7	Develop indicators on gender mainstreaming and integrate them into the PRF and the monitoring system.	PMU and PSC
	8	Increase the capacity building efforts, including training on GIS, MCS, MSP zoning etc.	PMU
Actions to follow up or reinforce initial	9	Develop a proposal to extend the project by 6 months to allow sufficient time to achieve progress towards outcomes that have been delayed in starting implementation of	PMU and PSC

benefits from the project		project activities, because of the Covid-19 crisis and the lengthy consultation process between the two countries.	
	10	Speed up efforts to establish the designated authority for the JMA, which is an essential prerequisite for the implementation of the MSP roadmap and the future JMA Management Strategy.	PMU, PSC and JMC
	11	Increase efforts to accept the Ecosystem based Management as the underlying approach to manage JMA as an integrated ecosystem that includes ECS and water column and sea surface above it. Need for EBM should be made explicit in the PRF but relevant awareness efforts should also be directed towards the members of the JMC, other administrative and decision-making levels in both countries and, ultimately, to the public at large in both countries.	PMU, PSC and JMC
	12	Engage more actively towards integration of the private sector into the implementation of the <i>Joint Management Strategy</i> . This is an essential step towards implementation of MSP. PMU to consider employing or engaging as a consultant a Business Development specialist to develop and promote their products and services to private sector stakeholders in both countries and beyond.	PMU
Actions to follow up or reinforce initial benefits from the project	13	Clearly define the scope of the JMA Management Strategy. The document, which will outline the vision, objectives, strategic directions and basic outcomes, should be accompanied by the Plan of Action. It should contain an extensive list of activities sorted by the strategy's outcomes. For each activity the following should be defined: objective of the activity, short description of the contents of each activity, linkage with other activities/outcomes/objectives, benefits, outputs, timeline, cost and responsibilities.	PMU, PSC and JMC
	14	Considering the complexity and novelty of the JMA Project as well as its demonstration character, the PMU should explore <i>possibilities for networking with other similar initiatives elsewhere</i> . This particularly refers to exploring experiences in integration of Marine Spatial Planning in Areas Beyond National Jurisdiction in other regions of the world carried out by FAO, UNEP and UNDP.	PMU

1. Introduction

1.1. Purpose of the Mid-Term Review and objectives

In accordance with UNDP and GEF M&E policies and procedures, all full - sized UNDP supported GEF financed projects are required to undergo a Mid-Term Review (MTR) (at a mid-point in project implementation). The purpose of the MTR of the project “Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems” (in further text: JMA Project) is to measure the relevance, sustainability and impact of the project. The MTR aims to do the following:

- Assess the progress made towards the achievement of objectives and outcomes of the project to date;
- Assess whether the project will be able to achieve the targets set forth in the Project Document (ProDoc);
- Propose necessary adjustments in the project’s design and / or strategy to achieve the targets;
- Identify the lessons learnt that are expected to improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

Detailed Terms of Reference (TOR) are given in Annex I.

1.2. Scope and methodology

The MTR was conducted in close coordination with UNDP, Governments of Mauritius and Seychelles, project staff and the concerned UNDP-GEF Regional Technical Advisor (RTA). The MTR took place in the period between October 2020 January 2021 (25 working days spread over a period of almost three months]. Because of the Covid-19 crisis, the MTR Consultant was not able to visit the project area, which certainly affected the overall duration of the review. The consultant interviewed a number of stakeholders online.

As indicated in the TOR, the MTR’s scope will revolve around four major aspects of the project, namely: (1) review of the project’s strategy, including its design; (2) review of the project's progress towards results; (3) management arrangements for the project's implementation; and (4) analysis of the long-term project's sustainability. The Inception Report contains the detailed methodology used to conduct the MTR.

The MTR was organized into overlapping phases focusing on:

- Document review and analysis (desktop study). Documents reviewed included Project Document, Annual Work Plans (AWP), Inception Workshop Report (IWR), monitoring reports, minutes of Project Board meetings, outputs, and other internal documents including financial reports and relevant correspondence (the list of documents provided in Annex III);
- Formulation of a Review Inception Report with a proposal of review methodology;
- Conducting interviews with key stakeholders, via online communication platforms (the list of persons interviewed is given in Annex II);

- Formulation of initial findings and recommendations and online discussion with the project's staff;
- Development of findings and recommendations and preparation of the first draft of the report for comments from stakeholders and preparation of second draft report incorporating the feedback; and
- Preparation of the final MTR Report based on the feedback on the second draft report.

Methods of data collection and data analysis were the following:

- Data collection during interviews;
- Review of project preparation and approval documents;
- Analysis of project reports;
- Analysis of meeting, workshops, conferences reports (Steering Committee meetings, workshops, training courses, mission reports etc.);
- Review of financial records (annual financial reports);
- Analysis of outputs; and
- Review of other relevant documents.

1.3. Review process

At the moment when the Mid-Term Review Report was drafted (the third phase of the Mid-term Review process), the following has been carried out:

- Document review and analysis: The consultant has received all the relevant financial and technical documents and meeting reports. The total of 43 documents, directly related to the project, have been reviewed. Also, the current web site, which is part of the UNDP Mauritius Office web site has been analysed. The documents have been analysed and triangulated with the Project Document, including the Project Results Framework as amended during the Project Inception Workshop. The consultant has also analysed the project outputs/deliverables. The MTR inception report which outlines the methodology in detail is in Annex V.
- Consultation with key stakeholders: The consultant has had interviews with all the key stakeholders using the questionnaire (Annex IV). It is customary that the consultant visits the project area to have direct communication with the stakeholders. Unfortunately, due to the Covid-19 pandemics, the consultant was not able to travel to the project region, and all interviews were held online using a variety of communication platforms. While online interviews are not a fully adequate substitute for the face-to-face interviews, it is the view of the consultant that enough information has been acquired to carry out the review process as prescribed by the respective UNDP guidance document and to create a solid information basis to prepare the draft report. During the online consultations and interviews, the consultant has been in frequent contact with the PMU staff members. In addition, a total of 10 persons have been interviewed, including the UNDP RTA responsible for this project, the country representatives and members of the JMC as well as consultants involved in implementation of the project activities. In conducting the interviews, the rights and confidentiality of persons interviewed were ensured through prior consent, and not attributing any statement to any individual unless agreed to.
- Based on the information gathered from the above review phases, the consultant has prepared the draft report that has been submitted to the PMU for further processing.

Following the review of the report and comments that will be received, the consultant will prepare the final version of the report. Should it be necessary, the consultant will conduct additional interviews to gather full information needed for the finalisation of the MTR report.

1.4. Structure of the MTR report

The MTR report follows the basic structure and outline stipulated in the Terms of Reference (Annex I) is in line with the respective UNDP's MTR guidance and covers the following Sections:

- Introduction (Chapter 1);
- Project description and background context, which includes project description, its rationale and development context, the problems that project sought to address, the objectives, key stakeholders and expected results (Chapter 2);
- Findings of the MTR, including an assessment of the project's design, progress towards results, project's implementation arrangements, and its sustainability (Chapter 3);
- Conclusions and Recommendations (Chapter 4); and
- Annexes.

2. Project description and background context

2.1. Development context

The Mascarene Plateau is a submarine plateau in the Indian Ocean, north and east of Madagascar. It is the most prominent bathymetric feature of the Indian Ocean and extends as a complex submerged seafloor elevation of approximately 2000 km, from the Seychelles archipelago in the north to the islands of Réunion in the south. The plateau covers an area of over 115,000 km² of shallow water, with depths ranging from 8 – 150 m, plunging some 4000 m to the abyssal plain at its edges. It is the largest undersea plateau in the Indian Ocean. Most of the Mascarene Plateau falls within the EEZs of either Mauritius or Seychelles, or within the newly designated Joint Management Area for their extended continental shelves. Under the United Nations Convention on the Law of the Sea, a coastal State can extend its territorial claim to the ocean floor if the surrounding continental area or the natural prolongation of its land territory extends more than 200 nautical miles offshore. The maximum limit of this additional area is defined by the outer limit of the continental margin.

The JMA Project is a sub-component of the SAPPHIRE Project. It focuses on developing and demonstrating new management approaches for Extended Continental Shelf (ECS) areas which can provide lessons and management techniques which can be replicated both within the western Indian Ocean as well as throughout the global LMEs. It specifically focuses on the newly-established Joint Management Area (JMA) between Mauritius and Seychelles for the Continental Shelf in the Mascarene region, as well as the associated Contiguous Adjacent High Seas Areas. This UNDP GEF Project will provide direct support to achieving these objectives and capture lessons and best practices for the global LME community.

The JMA Project is consistent with GEF's International Waters strategy as described in the Final GEF-5 Programming Document (GEF/R.5/25/CRP.1) and in particular with the Objective 2, which aims to

catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and LMEs while considering climatic variability and change; Objective 3, which focuses on requests from States to begin foundational capacity building for new transboundary water systems not yet addressed by GEF; and Objective 4, which relates to support for first pilot efforts at preventing degradation of valuable ocean areas beyond national jurisdictions. The JMA Project also links to the GEF Objective 2 under the Biodiversity Results framework, which identifies the need to 'Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors, in particular the Outcome 2.1: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation., and Outcome 2.2: Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks.

The JMA Project is consistent with the UNDP Strategic Plan Environment and Sustainable Development Outcome 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation and Outcome 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

2.2. Problems that the project sought to address

Management of ECS areas has specific complexities that can impact sustainable development and resource exploitation. Although the two coastal states (Mauritius and Seychelles) exercise sovereign rights over the ECS for the purposes of exploring it and exploiting its natural resources, living or not, they have no control over any living organisms above the shelf that are beyond its exclusive economic zone. Furthermore, the rights of these states over the continental shelf do not extend to the overlying water column and the sea surface or of the air space above those waters. UNDP GEF recognizes the fact that this is one of the first 'transboundary' management agreements for an ECS scenario and represents a unique joint management demonstration. The above fact poses the biggest challenge to be addressed by the JMA Project. Other constraints/problems that the JMA project faces and, consequently, seeks to address are:

- The massive increase in the area of jurisdiction for both countries;
- The paucity of comprehensive data and knowledge on the new ECS area (its oceanography, biodiversity, value of resources, vulnerability, potential impacts, etc.);
- The complications of managing a 'sovereign' seabed underlying a water column that is a 'high seas' commons; and
- The fact that this will be the first incidence of development and trial of such a management regime, with no existing 'precedents' to fall back on.

The JMA Project Document (ProDoc) states that real 'on-the ground' challenges will be:

- The capture of a sufficiently comprehensive baseline to support the Strategic Action Plan for management;
- Adoption of effective monitoring indicators and mechanisms to ensure sufficient guidance for management and decision-making;

- Development of sustainable capacity for the overall management process (from monitoring through to adaptive management guidelines and policy reforms);
- Developing and maintaining workable management practices that recognise and protect the interests of all stakeholders at a cross-sectoral level, particularly with industry stakeholders; and
- Linking the Joint Management SAP into the overall regional SAP for the WIO LMEs to ensure complementarity of actions in the presence of what could be slightly different priorities. In fact, this should not raise any significant problems as both Seychelles and Mauritius have endorsed the regional SAP so their commitment is already fully confirmed to managing the JMA under the same objectives as the regional LME SAP.

There is a number of barriers that the JMA Project seeks to overcome, namely:

- Information Barriers: inadequate information resources; inadequate access to information; poor understanding/awareness of transboundary international water issues by public, private sector and policy makers; inadequate information flow between research and management/policy sectors; inadequate inter-sectoral communication;
- Regulatory Barriers: lack of, or poor implementation of, appropriate legal/policy instruments; lack of enforcement;
- Institutional Barriers: human capacity deficiencies such as lack of knowledge/training; inadequate understanding of marine management issues, in particular those related to marine Spatial Planning; sectoral fragmentation of institutions and mandates; and
- Financial Barriers: lack of access to sustained financial resources; poverty).

2.3. Project description and strategy

The Overall Objective of the JMA Project is to identify and demonstrate new management approaches and techniques for the Mascarene Plateau. The primary areas of activity and support would be in the development of a management mechanism which demonstrates and institutionalizes co-management and co-existence of the various activities of the multiple sectors and stakeholders operating within or benefiting from this ocean space. It is important to note that the JMA Project is strongly linked with and led by the Mauritius-Seychelles Joint Management Committee (JMC), which has established 5 Strategic Objectives related to the development of an institutional framework, technical capacity, data acquisition in support of adaptive management and a 'blue ocean economy' approach, along with multi-sector, multi-use planning. All of these objectives find their reference in the JMA Project's components, outcomes and outputs. Hence, the JMA Project provides direct support to achieving these objectives and capture lessons and best practices for the global LME community.

The JMA Project aims to provide specific activities and deliverables to assist the two countries in achieving these 5 Strategic Objectives through four Components, as follows:

- **Component One:** This will focus on building technical and management capacity that can undertake and maintain a marine spatial planning process within the context of a blue or ocean economy. It will work with the countries (and other appropriate partners as identified by the JMC) to refine an institutional framework and associated technical skills that can

underpin effective management, monitoring and governance. This process and its associated activities will recognise the importance of ocean-based business opportunities (especially related to the energy industry) and will aim to include such opportunities into the overall marine spatial planning process and management strategy.

- **Component Two:** Having access to reliable data upon which management decisions can be based is an imperative to the Joint Management process. In this context, Component Two will aim to provide support and assistance to the two countries in developing an appropriate and effective data storage and management system, and in populating that system with (a) existing, current data; (b) repatriated data lying in foreign possession; and; (c) a data capture programme to fill recognised priority gaps.
- **Component Three:** Use the outputs from the two previous components to drive a joint Marine Spatial Planning process that can form the basis for an agreed management strategy with adopted decision-making and adaptive management mechanisms
- **Component Four:** the overall objectives of Component Four are to (a) provide a platform and mechanism for adaptive management of the Project and its activities during the Project lifetime; (b) encourage and ensure sustainability by end-of-project; and (c) identify any further steps needed for a sustainable management process beyond the project lifetime.

The JMA Project aims to achieve the following outcomes:

- **Component One:**
 - Outcome 1.1: Capacity is significantly strengthened and expanded to undertake and sustain all aspects of an effective Marine Spatial Planning Process
 - Outcome 1.2: Capacity is significantly strengthened and expanded to ensure sustainable management of the Joint Management Area of the Mascarene Plateau Region
- **Component Two:**
 - Outcome 2.1: Existing Data and Information for the JM Area identified, captured and stored in support of the Marine Spatial Planning process and as a mechanism for measuring changes as a part of a process of Adaptive Management
 - Outcome 2.2: Gaps in priority data and information filled through a data capture process and a long- term monitoring programme established with direct links into the management process
- **Component Three:**
 - Outcome 3.1: Development of a Marine Spatial Planning mechanism under the direction of the Joint Management Commission and through the Joint Management Authority
 - Outcome 3.2: Implementation and Sustainability of a Joint Management Strategy based on the Marine Spatial Planning exercise
- **Component Four:**
 - Outcome 4.1: Progressive Assessment and Review of Project Activities, Delivery and Sustainability

2.4. Project implementation arrangements

UNDP is the GEF Implementing Agency for GEF for the JMA Project, with the UNDP Country Office responsible for Mauritius and Seychelles acting as the Principal Project Resident Representative. The

JMA Project implementation is guided by a Project Steering Committee (PSC) composed of the representatives of the participating countries, UNDP (as the Implementing Agency) and the Nairobi Convention Secretariat (as the Executing Agency). The PSC, as the highest decision-making body for the project, provides policy and strategic guidance based upon project progress assessments and related recommendations from the PMU and ensures the project-supported activities will be mainstreamed national policy dialogues as necessary. The PSC reviews and approves annual project reviews and work-plans, technical documents, budgets and financial reports. The PSC provides general strategic and implementation guidance to the PMU. It has been meeting several times a year.

The JMA demonstration project is executed by the Government of Mauritius on behalf of the JMC through the Department for Continental Shelf, Maritime Zones Administration and Exploration of the Ministry of Defense and Rodrigues. The Government of Mauritius is accountable to UNDP and the JMA PSC for the delivery of agreed outputs as per agreed project work plans, and for financial management, and ensuring cost-effectiveness. In addition to budget management and expenditures control, responsibilities will include hiring and administration of international and local personnel, procurement of goods and service, travel arrangements and other miscellaneous support as required. UNDP Mauritius Office provides project execution support to the Government of Mauritius upon requests on a cost recovery basis. The project management scheme, as depicted in ProDoc, is given in Figure 1 below. However, the JMA Project's Inception Workshop Report presents the simplified diagram, which more appropriately reflects the actual implementation arrangement (Figure 2).

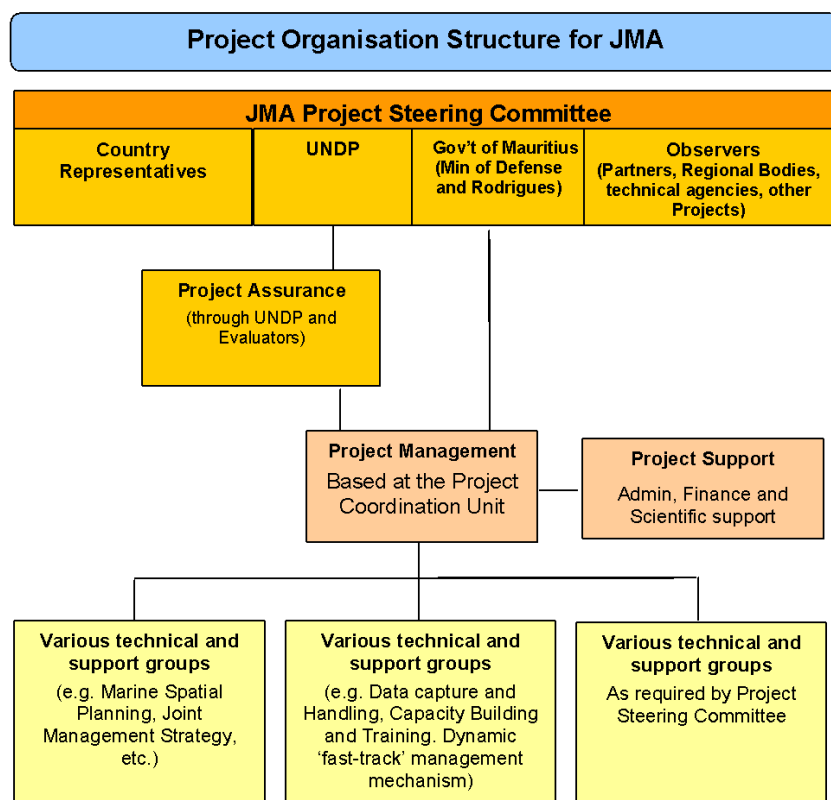


Figure 1: Project Management Structure as presented in ProDoc

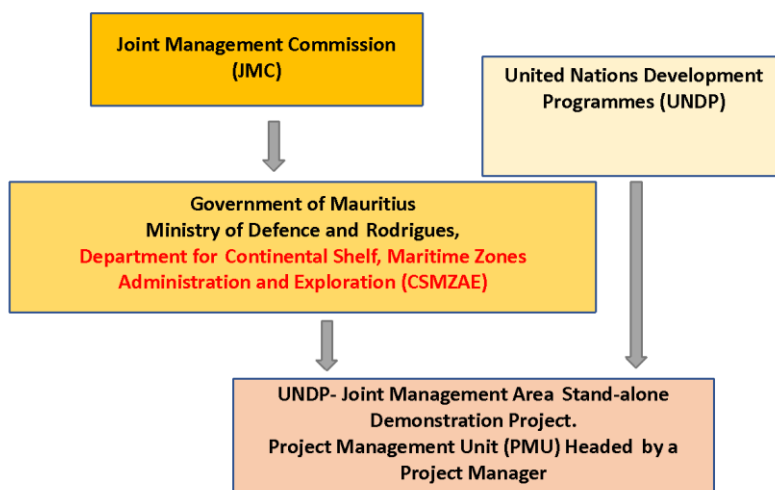


Figure 2: Implementation arrangement as presented in the Inception Workshop report

2.5. Project timing and milestones

The PIF for the SAPPHIRE project, of which the JMA Project is a part for component 4.2. was approved on 6 November 2013. The GEF CEO endorsed the project on 12 July 2016. The ProDoc was signed on 11 January 2018, which may be considered as the official starting date of the JMA Project. The Project Manager started work in August 2018. The Inception Workshop took place on 1 April 2019. The planned closing date for the JMA Project is January 2022. The ProDoc sets the starting date of the JMA Project in October 2017, and the closing date in January 2022, which brings the duration of the project to 53 months. The ProDoc's budget defines the disbursement over 4 years, or 48 months. However, if we take that the ProDoc was signed in January 2018 and if we keep the closing date as set in the ProDoc, then the duration of the project is 48 months. But, if the date of the Inception Workshop (1 April 2019) is set as the starting date of the project and the January 2022 is still kept as the closing date, then the duration of the project is envisaged to be only 34 months.

2.6. Main stakeholders

The ProDoc states that the scale and nature of the JMA has large potential for stakeholders' involvement. It divides the stakeholders in 2 groups:

- National, bilateral stakeholders (i.e. stakeholders from within the two countries that have agreed to share access, exploitation and management of the JMA); and
- Other international stakeholders that have the right of access and passage within the JMA.

The ProDoc lists 16 national and bilateral stakeholders from the government/public sector, industry/private sector and general public stakeholders. It also lists a wide range of international stakeholders belonging to donors, International Governmental Organisations (IGOs), Regional Fishery Management Organisations (RFMOs), NGOs and CBOs, and other related projects. The ProDoc stresses the importance of coordination between the JMA Project and other relevant regional programmes such as SWIOFish, SmartFish, UNDP and FAO.

3. Findings

3.1. Project strategy

3.1.1. Project Design

The MTR finds that the JMA Project is designed to be consistent with the GEF 5 International Waters objectives 2 (catalysing cooperation between countries in Large Marine Ecosystems – LMEs, utilising the Ecosystem-Based Management – EBM approaches, among other), 3 (focus on beginning foundational capacity building for new transboundary water systems not yet addressed by GEF) and 4 (support for pilot efforts at preventing degradation of valuable ocean areas beyond national jurisdiction – ABNJ, with special emphasis on marine spatial planning - MSP). The idea for the project originates from the GEF Agulhas and Somali Current Large Marine Ecosystem (ASCLME) project and implementation of the respective Strategic Actions Programme (SAP). Subsequently, the Strategic Action Programme Policy Harmonisation and Institutional Reforms (SAPPHIRE) project was developed.

As part of the SAPPHIRE initiative, a specific component (Component 4) was included in the respective PIF for demonstrating innovative management mechanisms for dealing with high seas areas and, specifically, Extended Continental Shelf (ECS). Furthermore, as the JMA ProDoc states, recently agreed Joint Management Area (JMA) between Mauritius and Seychelles was seen as an ideal geographical area for demonstrating a pilot process that could provide valuable lessons and best practices for replication throughout the Western Indian Ocean LMEs as well as the Global LME community at large. However, because the JMA Project was initiated by UNDP, and the SAPPHIRE by UNEP, it was decided that separate project documents will be developed, and that the projects will be implemented fairly independently, though, with mechanisms in place to secure coordination between them. This arrangement secures full ownership of the JMA Project by the two participating countries: Mauritius and Seychelles. The MTR consultant was informed that this arrangement had full support of both countries.

In its Baseline Analysis, the JMA Project's ProDoc rests upon findings of the GEF ASCLME project, in particular the Marine Ecosystem Diagnostic Analyses (MEDA) undertaken for both countries with a specific focus of their EEZ, including the Mascarene Plateau. No other specific project, from which the lessons should have been learned and utilized during the preparation of the ProDoc, was mentioned. The fact that this project is a potential game-changer for similar projects and contexts in the future, and that there are not many similar projects currently being undertaken elsewhere, justifies this finding.

In terms of countries' priorities, the ProDoc mentions for Mauritius that a specific ocean management policy will be formulated in the next 5 years, and that some legal changes will be made in this respect. For Seychelles, it mentions that it is developing strong interest in MSP. While the ProDoc describes extensively the role of specific national institutions, development of project's components and outcomes should be strengthened by a more focused presentation of the national ocean management priorities.

The MTR finds that the project design analyzed a number of potential risks and assumptions related to the project and that the assumptions and risks set in the ProDoc were logical and robust. These

helped to identify appropriate activities and required precaution measures to address the risks and assumptions. While the project is overall sustainable and viable, MTR consultant thinks that the potential risk related to the political situation (or “change in national situation”) should have been added, since the project has faced a respective risk with the recent election in Seychelles, which may have affected the implementation of the project.

The project’s strategy is relevant as it aims to demonstrate a new approach to manage an area that is only partially “owned” by the two countries. More specifically, the countries’ jurisdiction extends over the ECS but not the water column and the sea surface, which are considered as ABNJ. On the other hand, the proposed intervention strives to make a difference by applying the MSP in line with the EBM approach, as this is the only way to secure the full marine ecosystem management. However, the project’s challenge is to secure the implementation of MSP in the ABNJ. Having this in mind, the JMA Project’s strategy proposes a sensible route towards achieving intended results via a gradual approach that aims at building first the capacity, i.e. the management framework, for MSP as the main outcome of the project, which may subsequently lead to the preparation of the marine spatial plan.

The MTR finds that the ProDoc could benefit from more terminological clarity and less ambiguity when mentioning terms related to the MSP. Quite a number of terms, which are very similar in their meaning, are not adequately defined, namely: MSP Process, MSP Mechanism, Joint Management Strategy, MSP Concept, MSP Strategy, MSP Plan, JMA Strategic Plan, MSP Exercise, MSP and Framework.

Considering the complexity of the task, the project could also benefit if the ProDoc contained relevant graphics that would explain and help understand how the change of behavior leading to acceptance of MSP as a viable tool for management of JMA in the future will be achieved. In this respect, the ProDoc does not have a chapter explaining the Theory of Change including the accompanying diagram. Second, a graphical presentation of the vertical management layers could also be helpful. And finally, a diagram explaining linkages between project’s components and deliverables would help understand the complexity of the project.

The MTR finds that the project could benefit from a somewhat more detailed description of the project components. Each component should start with a justification, focusing on the need for the component, its objectives and the benefits of introducing it in the project, as well as linkages with other components of the project. Same should be developed for the outcomes and outputs/deliverables, including the budget allocated for each output, as well as the partners involved in the implementation of each output.

The MTR finds that the End-of-Project Landscape section is too ambitious and requires a bit more elaboration. It talks of the “sustainable processes” to be in place at the end of the project while, in fact, most of the results are “one-off” outputs. For example, it mentions the “Marine Spatial Planning exercise” without defining what it is, i.e. is it a Marine Spatial Plan (it seems like one, because it is supposed to be updated every 5 years, which is a standard planning task), or a more general MSP Framework, which can be deduced from the list of deliverables in Component 3. The MTR recommends that the MSP Framework be clearly stated as the outcome/output at the end of the project and not the Marine Spatial Plan.

The ProDoc does not contain some essential components, such as the Risk Matrix. It is contained as an annex, but its summary should be placed in the main body of the text. The MTR recommends that the Risk Matrix be prepared and adopted by the Project Steering Committee (PSC). Also, the multi-year work plan explaining the timing of the project's activities is missing. The MTR recommends that the detailed work plan until the end of the project be prepared as soon as possible.

Concerning gender issues, the MTR finds that gender has been considered only marginally in the project design. There is no specific reference to gender in the ProDoc except in Outcomes 1.1 and 1.2, but without further elaboration. This is, however, understandable to a certain point because the JMA Project is a highly technical one with no implementation at a local level envisaged.

3.1.2. Project Results Framework

The MTR reviewed the original Project Results Framework (PRF). The PRF table follows the respective UNDP template. While the PRF transposes the main elements of the project's structure (components, outcomes and outputs), there are a few issues that the attention has to be drawn to.

The overall project objective is not one that is clearly stated in the main body of the text (The Overall Objective of this Project is to identify and demonstrate new management approaches and techniques for the Mascarene Plateau), but a compilation of sentences scattered around the text in section 2.1. Also, the PRF does not present adequately the outcomes 1.1 and 1.2 because it omits the reference to gender issues. The rest of the outcomes are adequately presented in the PRF.

However, the correlation between the description of the project's outputs/deliverables and proposed activities in section 2.2 and those presented in the PRF table is often very lax. While the text in section 2.2. has one or two outputs/deliverables per outcome, in the PRF table there are only outputs and no activities mentioned. Very often, the outputs in the PRF table are actually the proposed activities found in section 2.2. This is quite confusing. In addition, some proposed activities are missing in the PRF table. The MTR finds that if the project's components were described in more detail and major technical terms more precisely defined in Section 2.2., such as the MSP related terms, many of the above inconsistencies could be avoided. Having that in mind, the MTR finds that the indicators in the original PRF are not fully SMART. The indicators can be considered as Specific, Achievable and Relevant, they are less so Measurable and Time-bound. Less Measurable because the indicators are generic without the numerical values (for example, the number of training courses). Less Time-bound because no mid-term and end-of-project time-frame for the realisation of indicators was given.

The Inception Workshop has carried out a considerable revision of the original PRF. The JMA Project Inception Workshop Report's states that the original PRF "...lacked some guidance in terms of targets and time frame". Major change reflects the above comments on Measurability and Time-boundness.

The revised PRF has the measurable indicators because wherever needed the number of specific targets to be achieved was indicated. Also, for every indicator, the time-frame was assigned. The MTF proposes that, in addition to the above-mentioned changes to the PRF, the following changes be introduced:

- It is not clear why the Recruitment of the MSP Specialist, and other associated MSP related targets, were placed in relation to the Project Objective. The MTR consultant thinks that this is more appropriately placed with the Component 3.
- The PRF still does not distinguish between the outputs and activities, and that the activities are presented as outputs. The MTR proposes that this be revised.
- The Time frames for specific components/outcomes/outputs should be divided between the mid-term and end-of project targets. While every activity is given the timeframe, it would be useful to revise this column and clearly specify between the two.
- The gender issue is still not present. The MTR proposes that the e gender mentioned in Outcomes 1.1 and 1.2 be reinstated and that relevant indicators (sex-disaggregated participation at the workshops, meetings, etc., for example) be introduced.
- Risks for the Outcomes 1.1 and 1.2 are missing. Also, the description of risk in Outcome 3.1 is inadequate.
- Description of baseline in Outcome 4.1 is inadequate.
- In Component 4, the acronym MTE, which probably means the Mid-Term Evaluation, should be replaced with MTR.
- In Component 4, the term “Final Review” should be replaced by “Terminal Evaluation”.

3.2. Progress towards results

The MTR undertook an assessment of the PRF indicators against progress towards “end-of-project-targets” at Outcome level. The assessment was based on reported progress available at the time of the MTR, namely: the data provided by the project team, which included the project documentation and concrete outputs/deliverables that were placed at the disposal of the consultant; interviews with the project stakeholders and consultants; project progress reports; and PIRs. It has to be mentioned here that PIRs were only of limited use for the MTR because the JMA Project’s information was integrated into the overall SAPPHIRE PIR (as Component 4, Outcome 4.2), and has not covered the totality of the JMA Project’s outcomes and outputs. Also, the ProDoc’s PRF does not contain the mid-term targets for the project’s indicators, while the Inception Workshop’s revision of the PRF contains only the time frame when the target is supposed to be achieved, but the targets themselves are not divided between mid-term and end-of-project ones.

Summary of progress towards results ratings is given in the Table 1 below. The complete JMA Project’s Progress Towards Results Matrix, as required by the TOR, which was completed in accordance with the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects is given in Annex VII.

3.2.1. Progress towards outcomes analysis

JMA Project’s objective is “The development of a sustainable mechanism for the joint management of a shared extended continental shelf area, namely the Mascarene Plateau Region, as shared by formal agreement between Seychelles and Mauritius. The long-term benefits of this to the countries will be sustainable resource use alongside economic development. The long-term benefits to GEF and globally will be a pilot/demonstration of such a management strategy which can then be replicated and transferred to other extended continental shelf areas around the world.” After a slower implementation start, caused by a delay in the Project Manager’s recruitment process and establishment of the PMU, the project has gradually increased its performance starting from the

third quarter of 2018, and it was overall “on target” to achieve its intended outputs, but recently slowed down because it was affected by the impacts of the Covid-19 pandemics.

The major overall project objective’s indicator “MSP process fully documented, and results used by JMC as basis for a Management Strategy”, is achieving its mid-term level target, i.e. development of the Strategic Marine Spatial Planning Roadmap, which is a pivotal document for the establishment of the MSP framework.

Indicator Assessment Key

Achieved at mid-term	On target to be achieved	Not on target to be achieved
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Project Strategy	Midterm Level and Assessment (Outcome)	MTR Rating	Justification for Rating
Project Objective		MS	<ul style="list-style-type: none"> JMA Project has advanced the understanding on the benefits of the Marine Spatial Planning to enhance governance of the JMA Commendable progress has been made towards increasing the capacity for MSP Stakeholders have been successfully involved in the implementation of the project The overall rating of Moderately Satisfactory reflects the fact that, while the progress has been significant in spite of early delays in the start of the project’s implementation, there are still some areas for improvement, in particular the communication activities Some project’s activities have been slowed down by the Covid-19 pandemics, causing delays in their timely implementation Adoption of the MSP Roadmap has created an excellent basis for the development of the MSP Framework.
Outcome 1.1		S	<ul style="list-style-type: none"> Skills for MSP have been analyzed and a training plan developed to fill gaps required to support MSP Due to Covid-19 pandemics, not all the planned training activities could be carried out and it is questionable, considering the extended crisis, that all of the training activities will be carried out in the remaining time for the project’s implementation Communication activities need to be stepped up.
Outcome 1.2		S	<ul style="list-style-type: none"> A comprehensive report has shown what risks exist to human activities in the JMA, which pose a threat to sustainable development of the area. The plan proposed appropriate MCS procedures, which assist in minimizing the perceived risks. MCS skills gaps have been analyzed and a capacity building and training plan has been developed. Due to the Covid-19 crisis the planned mission of the MCS consultant and the respective training activities could not be carried out according to plan, but could be implemented in 2021
Outcome 2.1		S	<ul style="list-style-type: none"> All existing data sets have been compiled and most of them converted into a GIS data layers/maps Hardware and software for GIS has been procured and installed Training on GIS has been delayed because of Covid-19 but is on track to be completed before the end of the project Capacity for data management is being increased
Outcome 2.2			<ul style="list-style-type: none"> Data and information gaps identified Training on GIS delayed because of Covid-19 Working groups’ TORs drafted, but the groups are not yet operational

		MS	<ul style="list-style-type: none"> • Fast-track review process, also dependent on establishment of the working groups, has not yet started
Outcome 3.1		MS	<ul style="list-style-type: none"> • The baseline for the Management Strategy has been prepared • The exact management area, authority, goals and objectives of the strategy were discussed, but the start on the strategy is pending the closure of the lockdown in Mauritius and Seychelles • The activities were delayed because of Covid-19 and the elections in Seychelles • The outcome is not on target, and efforts should be employed to implement the planned activities.
Outcome 3.2		MS	<ul style="list-style-type: none"> • Because of the delays caused by Covid-19, and a prolonged lockdown in two countries, the activities on development and implementation of the Joint Management Strategy have been delayed. However, a number of supporting activities have been completed. • The activities in this outcome are not on target, and efforts should be employed to implement the planned activities.
Outcome 4.1		S	<ul style="list-style-type: none"> • PSC meeting frequently • PMU informs PSC on the progress and the implementation of the project is adapted as required • Project results are reported in the SAPPHIRE PIR, but that is considered as inadequate because both projects are progressing at unequal pace (JMA Project is being implemented more regularly, in particular before the Covid-19 crisis)

Table 1: Summary of progress towards results ratings

Component 1: Building Technical and Management Capacity in support of Marine Spatial Planning and effective management of the Joint Management Area

Outcomes in Component 1 focus on establishing the baseline for the MSP by enhancing the technical and management capacity. Two major targets to be achieved are: adoption of the MSP Roadmap and the Monitoring, Control and Surveillance (MCS) work plan and approved procedure.

Outcome 1.1: By 2020, Capacity is significantly strengthened and expanded to undertake and sustain all aspects of an effective Marine Spatial Planning Process.

The project implementation started from the clear premise that its complexity (Mauritius and Seychelles having clear jurisdiction over the seabed-ECS, but not of the water column above it, while the EBM approach requires integrated consideration of the two) does not lead to an outright and immediate development of a marine spatial plan, but primarily towards establishment of an MSP Framework that will create solid basis for more effective integrated management of the JMA in the future including, *inter alia*, the preparation of a marine spatial plan. Sensitization and awareness raising among all stakeholders' groups, in particular the decision makers, was critical for the success of the project. Raising capacity, which also includes clear understanding what MSP is and what it is not, as well as what is realistically to be expected from its implementation in the given circumstances, should be the intended result of Outcome 1. The MSP Roadmap, preceded by a string of outputs that led to it, was delivered and adopted in November 2019. The necessary skills needed for an effective MSP have been identified. In addition, an MSP workshop was held, where findings on

data gaps and MSP objectives were presented. Two MSP workshops were held in both countries where major stakeholders were informed. Finally, a scenario workshop took place in August 2019.

Although the ProDoc does not specifically mention the need for the communication component of the project, a number of the communication activities have been carried out. They should be most logically assessed within the Component 1, whose task is to strengthen the MSP capacity, and the implicit understanding should be that the communication activities make an important element in that endeavor. In November 2019 the draft communication strategy was delivered. It elaborates on a wide range of communication products though, strangely, does not present structure of the web site, which is still in the making. Currently, there are two project web sites. One web site is administered by the UNDP Mauritius and is quite basic

(https://www.mu.undp.org/content/mauritius_and_seychelles/en/home/projects/joint-management-area-demonstration-project.html). Another web site (<http://www.seymaujma.org/>) is self-standing JMA project web site. However, although it contains more information than the other one, it is still missing some vital information on the project outputs, and it has to be updated with all the project's results. There is an opinion that the project is running as a silo, and that a more "aggressive" communication campaign could make the project's outputs more visible resulting in better appreciation of its objectives by a wider public. A well designed and regularly updated project web site can greatly contribute to removing that obstacle. Progress Report No.6 (1st quarter, March 2020) states that the communication consultant resigned, without stating the reasons. The subsequent (and last available) progress report does not say that a substitute has been hired. However, the MTR consultant has been informed that this issue has been addressed in September 2020 with the procurement of a communications firm to replace the communication consultant. A workplan has already been approved and implementation of the activities started.

The Outcome 1.1. is assessed as **Satisfactory (S)**. It has been moving along well and was on a good track to achieve outputs intended and reach planned targets. However, the Covid-19 crisis has not allowed implementation of some training activities as planned, and considering the extended crisis, at least until the end of the first half of 2019, it is questionable whether these activities will be carried out fully during the remaining time of the project's implementation. The overall progress of Outcome 1.1, thus, is considered to be, generally, a bit behind the track although a number of mid-term targets, in particular those related to MSP Framework, have been met. It looks like a solid foundation for continuation of the MSP efforts have been laid out. The specific area where attention is needed is stepping up the communication efforts, in particular by hiring the new communication consultant; finalising the creation of the web site where all the outputs will be displayed, which will help the project to get out of the "silo"; and publish planned communication products.

Outcome 1.2: By 2021, Capacity is significantly strengthened and expanded to ensure sustainable management of the Joint Management Area of the Mascarene Plateau Region within the context of monitoring, control and surveillance (MCS)

The Outcome 1.2 is assessed as **Successful (S)**. The MTR finds that the overall progress of Outcome 1.2 has been only partially on track, but the delay is not critical and activities could be completed until the planned date of the project's closure. The MCS consultant was hired and had three missions to the project area. The report has been produced, including the identification of human activities that may threaten the JMA ecosystem; capacity gap analysis; recommendation for appropriate MCS tools; identification of data gaps; and identification of the capacity building activities. However, the capacities for MCS were not fully strengthened because the Covid-19 pandemics prevented the

planned MCS workshop being organised. The specific area where attention is needed in the forthcoming period is to have MCS workshops. The project has installed state-of-the-art conference facilities that could be utilised for training. The PMU should assess what is the optimal use of such a facility and what type of training can successfully be carried out remotely.

Component 2: Development of a data and information system along with a programme of data capture and gap-filling as a foundation for an adaptive management strategy

Outcomes in Component 2 focus on assessment of the potential use of the existing and accessible data, and on filling the data and information gaps followed by establishment of the monitoring programme for the MSP as well as setting up a fast-track review process in adaptive management.

Outcome 2.1: By 2021, Existing Data and Information for the JMA identified, captured and stored in support of the Marine Spatial Planning process and as a mechanism for measuring changes as a part of a process of Adaptive Management

The Outcome 2.1. is assessed as **Successful (S)**. Existing data, in particular those gathered during the scientific cruises in the past, has been gathered and sorted for access during the MSP process. Most of the data has been converted into GIS layers/maps, while the rest of the data will be converted soon. The ProDoc requests the development of a state-of-the-art sustainable data storage and access system to support the MSP process and JMA management needs, but without mentioning specifically the GIS. However, the project has acquired the system and has undertaken training. While the capacity to handle the GIS has been increased in both countries, there has been some issues with implementation of the GIS training programme. Covid-19 has slowed down the training programme as well as installation of hardware and software. However, these problems have been overcome now and the programme is on target to be implemented. Another issue is the selection of the people to undergo GIS training. Not all of them are full-time employed GIS persons and it is possible that once they complete the training that they will be in a position to utilise the knowledge acquired for the purposes intended, and that could be considered as a lost opportunity. Some of them have no prior knowledge on GIS and they can be trained on basic GIS aspects only, but not necessarily for more complex GIS tasks such as scenario building. The PMU shall thoroughly analyse this issue and see that most eligible persons be trained on GIS, in particular training for ArcGIS Enterprise.

Outcome 2.2.: By 2021, Gaps in priority data and information filled through a data capture process and a long-term monitoring programme established with direct links into the management process

The Outcome 2.2 is assessed as **Moderately Successful (MS)**. The basis for long-term monitoring programme has been established, in particular the gaps in data availability that have been identified, but the programme itself, with the associated indicators, is still in preparation. This should have been completed in 2020 but because of Covid-19, it will be completed in 2021. The programme, through GIS, will allow geographical analysis online. Essential for the successful utilization of the monitoring programme is the establishment and operation of the four Working Groups on MPS, data management, legal and policy issues, and stakeholder engagement. The process of establishment of these groups has been stalled by the Covid-19 as well as by the election in Seychelles when, practically, operations in Seychelles were not possible before the new government was formed. All activities on working groups had to be postponed until the first half of 2021. The first working group will be on MSP. The working groups will also be highly instrumental for the preparation of the JMA Strategic Management Plan.

Working groups are also instrumental for implementation of the fast-track review process, although it is not clear from the ProDoc, where they are not mentioned at all. TORs for working groups were drafted and the members are being nominated from both countries. Members of the working groups will also be members of the JMC technical committees.

The progress of implementation of the Outcome 2.2 activities is delayed and it is not expected that all the activities could be undertaken before the planned closure of the project, particularly if we keep in mind that the Covid-19 related slowing of overall activities in these countries seems to be prolonged. Because the JMA Project is heavily consultants-related, and there is a need for frequent communication between the two countries, inability to travel may strongly affect the planned implementation of the project.

Component 3: Adoption and implementation of a Marine Spatial Planning approach with the objective of improving and implementing effective decision- making for activities within the Joint Management Area

The main focus of Component 3 of the project is adoption and implementation of the Marine Spatial Planning approach, in the form of the JMA Strategic Management Plan.

Outcome 3.1: By 2021, Development of a Marine Spatial Planning mechanism under the direction of the Joint Management Commission and through the Joint Management Authority

The Outcome 3.1 is assessed as **Moderately Satisfactory (MS)**. The main output, Management Strategy to be developed and adopted, is delayed. Strategy development requires a consultation process between the two countries who have to agree on everything and that process may take time. It involves extensive travel but because of Covid-19, the process has been interrupted for most of 2020. The objectives of the Strategy were set and future scenarios discussed at a workshop in 2019. The Strategy itself will be developed in the form of a consultation process within the working groups in 2021, but it will probably be delayed and will not meet the planned target. The first working group to meet will be on MSP and it will discuss the vision, initial zoning, legal aspects, etc. A consultant yet to be hired will integrate previous work and develop the draft of the strategy. The Strategy will be a continuation of the JMA Strategic Plan, which expired in 2020. This will be the MSP framework, but the real work on the marine spatial plan will be carried out after the project's closure. The current project is creating the baseline and the activities performed so far are a solid basis for that. Currently, the activities in Outcome 3.1 are not on target and will probably not be undertaken fully until the date of a planned closure of the project.

Outcome 3.2: Implementation and Sustainability of a Joint Management Strategy based on the Marine Spatial Planning exercise

The Outcome 3.2 is assessed as **Moderately Satisfactory (MS)**. The implementation of the activities within this outcome was delayed, mostly because of the Covid-19 situation. The implementation of the MCS programme has continued, including the report on tools, capacity building and staffing. A good coordination system, aimed at improving the reporting process, has been established between the JMC and the Ministerial Council. A Joint Technical Committee has been established, under the aegis of the JMC with the task of ensuring adequate review of all the technical aspects. A marine research and data strategy has been adopted by the JMC. However, the development of the Joint

Management Strategy, as the major output of this outcome, has been delayed. Since the development of the strategy requires a lengthy consultation process, to be carried out by the working groups, JMC and the ministerial level, great effort will have to be employed to secure that the activities will be completed until the planned closure of the project.

Component 4: Monitoring, Evaluation, Adaptive Feedback and Sustainability

The activities in this component are related to regular monitoring and reporting of the project outcomes and outputs.

Outcome 4.1: Progressive Assessment and Review of Project Activities, Delivery and Sustainability

The project's Outcome 4.1 is assessed as **Satisfactory (S)**. The monitoring and reporting is regular and the PSC, which is meeting frequently (2-3 times a year) is regularly informed of the results. The PSC and PMU are implementing adaptive management principles. The JMA reports are integrated in the SAPPHIRE PIR, but that is proving to be inadequate, because not all aspects of the project are adequately reported.

3.2.2 GEF Tracking Tool

The GEF International Waters Tracking Tool (TT) is one of the important M&E tools for the project. The specific baseline TT for the JMA Project was not prepared, but some of its indicators were integrated in the SAPPHIRE TT, hence they could not be compared with the TT that was prepared at the time of the MTR. The version prepared for the MTR has rated mainly the indicators that are relevant for the project, namely those related to the creation of enabling environment for the implementation of ocean management tools. The most recent JMA TT is attached as Annex XIII (as a separate file).

3.2.3 Remaining barriers to achieving the project objective

In a complex, multi-country and multi-component project of the innovative nature such as the JMA Project, the barriers to progress may be significant. Considering the achievement of the overall JMA Project's objective (*The development of a sustainable mechanism for the joint management of a shared extended continental shelf area, namely the Mascarene Plateau Region, as shared by formal agreement between Seychelles and Mauritius. The long-term benefits of this to the countries will be sustainable resource use alongside economic development. The long-term benefits to GEF and globally will be a pilot/demonstration of such a management strategy which can then be replicated and transferred to other extended continental shelf areas around the world*), the following barriers to its further progress have been identified:

- **Covid-19 pandemics:** The pandemics has already had an extensive impact on the pace of the project's implementation. Because the project's geographical area extends over two countries, the travel between the two countries was supposed to be extensive if the project's objectives were to be achieved. Since there was a practical halt on inter-country travel for the most part of 2020, the implementation of a number of project's activities, particularly those that required in-person communication was slowed down. It is expected that the lockdown situation will continue, at least until the end of the first half of 2021. This may

affect the timely implementation of the remaining project's activities. The situation has been addressed by the acquisition of the state-of-the-art video facility, which has been installed in one country and soon will be in the other. However, some forms of training cannot be most efficiently carried out remotely, such as GIS and MSP training.

- Rethinking of the national development strategies: This barrier may be considered as a strategic reflection of the Covid-19 pandemics. Countries may start rethinking their national strategic visions in terms of resource utilization and respective national priorities. While before all economic sectors were operating without major hindrance, the Covid-19 crisis may be forcing two countries to think of refocusing on some priority sectors such as natural resource extraction, energy, shipping etc. If that is the case, the countries may enter into internal consultations, which may cause further delays in the project implementation because eventually refocused priorities may affect their thinking of the JMA as a whole.
- Relationship with the SAPPHIRE project: JMA Project and SAPPHIRE project are being implemented at a different pace as well as success in results achieved. Since the JMA Project is considered as a subset of the SAPPHIRE project, its progress is not adequately reflected in the PIR assessments. A certain degree of "decoupling" of the two projects should be considered.

3.3. Project implementation and adaptive management

3.3.1. Management Arrangements

The ProDoc describes the management arrangement relevant to the SAPPHIRE project (see Figure 1), as the JMA project is formally considered as part of the SAPPHIRE project. However, during the Inception Workshop, and upon request from the two countries who wanted JMC to have a more direct role in the JMA Project's implementation, the JMA Project specific institutional arrangement was devised (see Figure 2). However, since JMC does not have executing capacity it was decided that the PMU will be executed by Mauritius on behalf of both countries. Mauritius, thus, appoints the Project Director, while the Project Manager is the citizen of Seychelles. That structure is much clearer and much better serves the purposes of the project, and has proven to be quite efficient. The responsibilities and reporting lines are clear and decision-making appears to be transparent and timely. The PMU comprises two persons: Project Manager and the Project Assistant. It seems to be adequate to perform the tasks. The Project Manager assumed his duty in August 2018, while the Project Assistant did so in early 2019. Late recruitment of the project staff caused some delay in the project's implementation, but delay was justified with the complexity of assembling the PMU. The Project Manager had, in early implementation stages, critical support and assistance from the UNDP Regional Technical Advisor (RTA) as well as the Project Director.

Project oversight is provided by the Project Steering Committee (PSC), which includes members of the Joint Management Committee. (JMC) who sit on the committee from both Seychelles and Mauritius, as well as the UNDP members. After the JMA Project Inception workshop on 1 April 2019, the PSC has been meeting regularly several times a year. The PSC's role is to provide advice, guidance and facilitation of scientific, technical, financial and administrative matters related to project implementation. It also approves the workplan and budget for the year ahead and makes decisions about substantive policy and strategy issues concerning implementation. Overall, the PSC mechanism has been effective in fulfilling its advisory and decision-making role.

Early in the project's implementation there was a certain ambivalence on how to move forward, based on different perceptions on the use of JMA but, eventually, when the development of project activities started both countries became very collaborative. The project's responsibilities are clear and everybody knows what they want to achieve in terms of outcomes. Support from UNDP has been very effective, both from the RTA and the UNDP Country Office in Mauritius, in particular from the Head of the UNDP Environment Unit who has the direct oversight of the project.

The PMU's gender balance is adequate. In the PSC, there is no gender balance, but the PMU could not influence its composition, because most of the members are members of JMC and it has been considered as a given, because JMC members are members of the government who nominates them.

3.3.2. Work planning

The ProDoc served as the basis for the initial work planning. However, as mentioned earlier, it doesn't contain a detailed description of the project's outcomes, outputs/deliverables and activities, as well as the timetable for implementation of specific activities. Also, the initial PRF does not have the targets to be achieved by mid-term or by the end of the project. The MTR finds this as a serious drawback.

During the Inception Workshop, the PRF was significantly expanded and the project targets were identified as well as the time frame indicating the year when a specific target should be achieved. Unfortunately, the targets were not linked to the indicators. Also, wording of the targets is more appropriate for the activities' or outputs' description than for the state that an achieved target means to indicate. The time frame given in the revised PRF also leaves a lot to guess when a specific target is to be achieved by mid-term and by the end of the project. All of this has significantly affected the work planning process.

The project was delayed in the start of its implementation. It was supposed to start in January 2018, but because of the difficulties in reaching agreement between the two countries on the PMU it was delayed and the project effectively started when the project manager assumed his position in August 2018. The Inception Workshop was also delayed and it took place on 1 April 2019, more than a year since the project was supposed to formally start. After these early delays, the project is now running smoothly and the implementation of activities is according to the work plan. However, the Covid-19 pandemics has affected implementation in 2020.

Annual work plans are prepared by the PMU, based on monitoring results and quarterly progress assessments. Annual work plans for 2018, 2019 and 2020 have been prepared following the UNDP rules and regulations and have been agreed by UNDP, Mauritius and Seychelles. The annual work planning is result-based and it is based on the revised PRF. The PRF has not been updated since the Inception Workshop. The MTR finds that it could be revised following the recommendations of the review, in particular by linking more rigorously outcomes, outputs, activities, indicators and targets. This would help significantly the work planning in the remaining period of the JMA Project's implementation. So far, 7 quarterly progress reports have been prepared, the last one covering the period April-June 2020.

3.3.3. Finance and co-finance

The project's financial planning and management has been carried out according to the UNDP rules. The total amount allocated for the project (grant and co-financing) is US\$17,839,191. The GEF grant amounts to US\$2,210,391, while US\$15,628,800 of the co-financing is expected to be provided by the Governments of Mauritius and Seychelles (US\$15,600,00) and UNDP (US\$28,800). The co-financing is entirely in kind. The resulting ratio between grant and co-financing is roughly 1:7 (for one dollar of the grant 7 dollars of co-financing were provided), which is very good. Basic budget parameters are shown in Table 2 below.

Year	Planned budget per ProDoc (US\$)	% of total	Revised budget (US\$)	% of total revised	Actual expenditure (US\$)		
					Year	Amount spent	% of total revised
A	B	C	D	E	F	G	H
1	443,849	20.1	173,000	7.8	2018	162,142.99	93.7
2	856,498	38.7	588,997	26.6	2019	516,557.64	87.7
3	666,413	30.1	647,813	29.3	2020	559,692.92	86.4
4	243,631	11.1	800,581*	36.3*	2021		
TOTAL	2,210,391	100.0	2,210,391	100.0		1,238,393.55	87.8

*The final revised budget is done in November of the current year in 2018 and 2019, and in October 2020 for 2020. For 2021, the amount indicated is the remaining amount of the total budget, which is expected to be approved in March 2021.

Table 2: Original and revised project's budget and expenditures

The ProDoc budget table divides project expenditures into 5 Outcomes. However, these 5 outcomes do not correspond to the JMA Project's outcomes, which there are 7. Outcomes 1 to 4 in the ProDoc's budget table are also labelled as components, which correspond to the 4 components in the ProDoc. But it also introduces the 5th outcome/component, although in the description of the project components that specific Outcome/Component could not be found. There is no explanation for this and the MTR finds that this approach to the budget is quite confusing. Unfortunately, the Inception Workshop Report does not provide additional explanation and/or resolution to this issue. It has to be mentioned that the UNDP Combined Delivery Reports (CDR) group project expenditures into Activities, which correspond to the project components. The CDR2018 and CDR2019 contain Activity 5, which includes project management costs, while the CDR2020 does not. The PMU explained that they were advised to cover the project management costs from the allocations to activities. The MTR finds that this is an acceptable explanation.

At the Inception Workshop significant changes were made to the annual budget allocations of funds, while the overall budget amount remained as envisaged in the ProDoc. The allocation for Year 1 was significantly reduced, year 2 and 3 remained roughly the same as in the original budget, and the allocation for year 4 was significantly increased. The reason for the revision was the fact that the start of the project's implementation was delayed by about six months, and no expenditure was possible in the first half of 2018, i.e. before the project management arrived. It has to be mentioned that this revision was made before the Covid -19 impacts. The project is allowed to make budget revisions twice a year, in February and in October. This adaptive approach allows them to make

changes to reflect the expenditures. The PSC approves the budget revisions. Discussions on the budget revisions are also held with the UNDP Country Offices, which advises PMU to do their revisions.

According to the current state of expenditures, shows that the project is below the expected budget allocations, both originally planned and revised. Until now, the project has spent US\$1,238,393.55, which is 63% of originally planned budget and 88% of the revised budget. The latter figure is considered as a relatively good rate of expenditure. Also, it has to be considered that in 2020, Covid-19 has significantly affected the expenditure rate, though not necessarily the level of activities. For example, the initial budget envisaged a relatively high cost of travel (US\$376,000 or around 17% of the original total budget), which is understandable considering distances in the project area and associated cost of air travel involved. According to the CDRs, the travel expenditure amounted to around US\$85,000, which is less than 25% of the planned cost. Some of this cost has been integrated into the consultants' fees, but the Covid-19 has certainly had an impact on this budget item. At this moment, there is still a significant portion of the budget to be spent, or US\$971,997.45 (44% of the total budget). This is a critically large amount to be spent in one year left until the closure of the project, particularly if we consider that a prolonged Covid-19 pandemic will continue to have impact on the project's implementation (at least until the end of the first half of 2021), resulting in reduction of some project costs, such as travel.

The financial controls in the project are quite strict, and the MTR does not find deviations from the UNDP financial regulations. The financial audit report was prepared by the certified auditor in 2020 for the year 2019. The audit finds the financial management of the JMA Project satisfactory. While the project is subject to significant co-financing, all of it comes from two sources, out of which 99.8% comes from the sole source – the JMC. Table 3 below provides a summary of co-financing pledges by source. The MTR consultant has sought information on the status of these contributions from PMU since neither 2019 nor 2020 PIR show that any co-financing was provided. He was informed that 100% of the co-financing has already been provided.

However, it appears that no tracking system is in place to monitor and track the detailed extent to which these commitments are realized at the project level. The lack of formal tracking and reporting of co-financing has made it extremely difficult for the MTR consultant to undertake a rigorous assessment of the status of co-financing at the mid-term of the project and he is therefore unable to draw any meaningful conclusions regarding this aspect of the project financial management other than to recommend the need for a more rigorous monitoring and reporting of co-finance expenditure by all co-finance partners.

Sources of co-financing	Name of co-financier	Type of co-financing	Co-financing amount confirmed at CEO endorsement (US\$)	Actual amount contributed at stage of Midterm Review (US\$)	Actual % of expected amount
Government	JMC (Mauritius and Seychelles)	In kind	15,600,000	15,600,000	100
UNDP	UNDP	In kind	28,800	28,800	100
TOTAL			15,628,800	15,628,800	100

Table 3: Co-financing commitments

3.3.4. Project-level monitoring and evaluation systems

The monitoring and evaluation (M&E) reporting is being conducted as per outlined in the project document, which is consistent with the GEF and Executing Agency M&E policies. The M&E plan envisages, as elaborated in the ProDoc, a reporting schedule consisting of periodic monitoring, quarterly reporting, and annual monitoring. Project Monitoring Reporting will take place at regular intervals throughout the project's implementation.

The Inception Workshop took place on 1 April 2019, i.e. 14 months after the ProDoc was signed. Long project manager's selection process is one reason for this delay, but that does not fully explain this unusually lengthy delay in holding the inception workshop. The most important result of the inception workshop was revised PRF, which was expanded with the project targets and the timeframe.

The Project Steering Committee is meeting regularly, 3-4 times a year, exercising high quality control of the project's implementation. MTR finds that this practice is very useful and commendable. The M&E plan has been sufficiently budgeted and funded during the project preparation and implementation phases, and the resources have been utilized efficiently. Monitoring tools provide enough information, except the PIR. MTR finds that gender issues were not adequately incorporated in the monitoring system

3.3.5. Stakeholders' engagement

One of the key features of the JMA Project is the strength of the relationship with the project stakeholders. JMC is the major stakeholder. It has been actively involved in carving out the JMA Project as a project having separate governing structure securing, thus, full ownership of the project by the two countries. Other country representatives were also actively involved in the implementation of the project, in particular during the Inception Workshop. The project has organised a number of stakeholder events, which helped expand the range of those interested in the implementation of the project. MTF finds that most of the stakeholders belong to the government and academic sector and less to the private sector. This is an area that should be improved during the remaining period of the project's implementation.

Government representatives are members of the PSC. Since the PSC is having its meetings relatively frequently, the governments have an active role in project decision-making and that it supports efficient and effective project implementation. Representatives of other stakeholder groups are not members of the PSC; hence they are not regular attendees of these meetings, but they have been invited to attend the meetings related to specific subjects. Formal partnerships have not yet been established.

As already noted, some stakeholders feel that the project is being run in a sort of a silo and, consequently, public awareness of the project is not very high. Communication activities are lagging behind the needs.

Project is highly technical and it does not have a specific gender mainstreaming component. Hence, assessing whether the project will have positive and/or negative effects on women and men, girls and boys, is not relevant.

3.3.6. Social and Environmental Standards (Safeguards)

The Social and Environmental Screening Procedure (SESP) template has not been specifically filled for the JMA Project. It has been prepared for the SAPPHIRE project and it was implicitly valid for the JMA Project. The overall SAPPHIRE project Risk Categorization was rated as Low, and the same rating could be applied for the JMA Project as well. The SESP has identified two major risk: one associated with the potential outcomes of the project having impact on climate change, and the other related to impacts of the project on the indigenous people. Both risks were rated as low.

The management measures that were identified in the SESP have been implemented in the JMA Project, and the probability of risk at the time of the MTR compared to the risk assessed at the time of the GEF CEO Endorsement has not been increased.

3.3.7. Reporting

The reporting for the project has been followed as laid out in the ProDoc. The major elements include:

- **Inception phase:** Project inception workshop and subsequent Inception Workshop Report;
- **Quarterly progress reporting:** Quarterly Progress Reports (QPR/APR) are provided regularly to UNDP;
- **Annual progress reporting:** Annual Project Review/Project Implementation Reports (APR/PIR);
- **Annual Progress-Chasing Consultancy:** The SAPPHIRE project might make a provision of an independent consultant with experience in International Waters projects, who will be engaged to provide an independent third-party view-point and facilitate the collation of project information into both internal progress-chasing reports and annual inputs into the UNDP APR/PIR and GEF IW Tracking Tools;
- **Project Steering Committee Meetings:** The Project Document notes that “Annual monitoring will occur through the Intergovernmental Session of the EAS Partnership Council, which will serve as the Project Steering Committee (PSC). As such, reporting on progress and outstanding issues and discussion of these is undertaken at the PSC meetings, to which PRF submits a Project Implementation Review (PIR). These meetings also provide an opportunity for national updates on progress.

Quarterly progress reporting is performed regularly and the reports adequately present the work done. The reports are prepared following the predetermined format.

Annual progress reporting is performed through PIRs. They are prepared jointly with the SAPPHIRE project, where JMA Project exists as component 4.2. Although this reporting arrangement was agreed prior to the start of the project, the MTR finds that it is not adequate. Section on JMA Project does not nearly cover the complexity of the project and much important information is left out. These are, practically, two different projects and the ratings given refer to two projects taken together, which does not reflect the reality as two projects are being implemented with a different pace and an integrated PIR cannot capture the full reality and complexity of their implementations. The MTR found it difficult to find the adequate information for assessment of the project’s results that PIR is normally supposed to provide. Another problem with the PIR is the absence of consistent

monitoring of the project's targets. While the revised PRF contains a multitude of targets, only very few of them are mentioned in the PIR and progress in their implementation shown. In addition, some targets that are mentioned in the PIR could not be found in the revised PRF. For example, in the 2020 PIR, in Table C: Development Progress, under 4.2.1. as the Midterm target it is mentioned that "At least 20 officials relevant to JMA management trained on MSP", while this target could not be found in the PRF.

The MTR found that no Annual Progress-Chasing Consultancy was carried out.

The MTR consultant believes that a more harmonized set of reporting tools, incorporating all relevant aspects of project progress should have been prepared at the outset and followed throughout the project to allow for a more consistent reporting framework and results.

3.3.8. Communications

Based on discussions with various stakeholders, the internal project communication with most stakeholders has generally been effective. The structure has been set up from the very start of the project, and it goes from the PMU to UNDP and then to the JMC and higher ministerial level. It has been quite efficient. The project has had effective communications with stakeholders at the national level. The communications strategy has been prepared, and the new communications consultant has been hired to replace the communications consultant who has resigned a few months ago. Some stakeholders have expressed concern that the communication activities are not adequate and that they should be accelerated, in particular because there is only one year left for the project's implementation.

The project has a one web page at the UNDP Mauritius & Seychelles web site, as well as a separate web site, both of them with the basic information. The MTS is also of the impression that the latter one has not been regularly updated and that many project results are missing.

The JMA Project has not developed a separate Knowledge Management Strategy. However, a number of the project activities, in particular those related to MSP, MCS and GIS have knowledge management component integrated. Since the JMA Project is one of the first, globally, developing management tools for the ECS and the water column above it, there has practically been no lessons to be learned and applied in the project itself. However, the lessons learned from the implementation of the JMA Project will be widely used in similar situations elsewhere.

Project is trying to communicate at a national level through social media, local tv stations and the newspapers. The MTR finds that project outreach and public awareness efforts will have to be accelerated.

3.3.9. Conclusions on project implementation and adaptive management

The MTR concludes that the overall project implementation and adaptive management aspects of the JMA Project are **Satisfactory (S)**. Implementation of most of the seven components is leading to an efficient and effective project implementation and adaptive management. It is the communication aspect that needs some remedial action.

3.4. Sustainability

The risks identified in the JMA Project's ProDoc are still valid with no indication that their rating of impact and probability has changed. The 2020 PIR identified the global Covid-19 pandemic as a new Safety and Security critical risk for the SAPPHIRE project, which also relates to the JMA Project. This risk has already had impact on the pace of implementation of the JMA Project, and may continue to have impact during, at least, first half of 2021. Overall Sustainability rating for the JMA project is **Likely (L)**.

3.4.1. Financial risks to sustainability

Financial risks to the sustainability of the project are unlikely. Both Mauritius and Seychelles have taken good ownership of the project, being well aware of what it entails in the long run as well as what are its limitations. The national stakeholders have embraced the concept of MSP and are well aware of its benefits. They seem to be committed for the continuation of the project, and it is safe to assume that they will provide adequate financing for it in the future. Aside from the governments, which support the continuation of the project in principle, at the moment it is not possible to identify other opportunities for financial sustainability, in particular from the private sector. However, this will be one of the main tasks of the forthcoming management plan.

3.4.2. Socio-economic risks to sustainability

The socio-economic and political sustainability of the project is moderately likely. Political situation in both countries seems to be stable (the transition to the new government after the elections in Seychelles in 2020 went smoothly). The level of stakeholder ownership is high, in particular on the governments' side, but the efforts will have to be increased to bring in other public and private stakeholders at the national and local levels. Lessons learned and successful aspects of the project are being transferred to appropriate parties via Project Steering Committee and the JMC on a continued basis.

3.4.3. Institutional framework and governance risks to sustainability

Institutional and governance sustainability of the project is likely. Both governments are interested to continue the initiative, in particular in developing the marine spatial plan for the JMA. Also, the international community, in particular GEF and UNDP are highly interested to use this project as a demonstration case for another similar situation elsewhere in the world. Another element that will secure long term sustainability of the project is the establishment of the Designated Authority to manage the JMA. The basic concept for the siting and organisation of the authority already exists.

3.4.4. Environmental risks to sustainability

There are no environmental risks to the project's sustainability identified.

4. Conclusions and Recommendations

4.1. Conclusions

The Project has advanced the understanding on the benefits of the Marine Spatial Planning to enhance governance of the JMA and commendable progress has been made towards increasing the capacity for MSP in Mauritius and Seychelles. Adoption of the MSP Roadmap has created an excellent basis for the development of the MSP Framework. Stakeholders have been successfully involved in the implementation of the project. Some project's activities have been slowed down by the Covid-19 pandemics, causing delays in their timely implementation. From that perspective, the MTR finds that not all the project results will be achieved within the project timeframe.

The JMA Project's strategy is sound and consistent with the GEF 5 International waters objectives. While there is mention of some aspects of the national strategic priorities in two countries the project's design would benefit from a more focused presentation of the national ocean management priorities. The MTR finds that while a number of potential risks and assumptions related to the project were analyzed, the risk related to the political situation should be mentioned too. The most important aspect of the project's strategy is its aim to devise a new approach to manage an area that is only partially "owned" by the two countries and demonstrate how it could be applied in practice offering, thus, an example to be applied in similar situations elsewhere in the world. The project is focused on establishing Marine Spatial Planning as a dominant approach to manage a complex area such as the JMA. Having that in mind, the ProDoc could benefit from a more terminological clarity and less ambiguity related to the MSP. More extensive and detailed description of the project's outcomes, outputs and activities could greatly help in that endeavor.

The project's PRF has been significantly revised during the Inception Workshop. However, in spite of the revision, the clear linkage between the project's outcomes, indicators and targets had to be better established. In the absence of clear linkage, MTR finds that effective monitoring and assessment of the project's implementation per component was not easy to achieve.

Progress in Component 1 of the project (*Building Technical and Management Capacity in support of Marine Spatial Planning and effective management of the Joint Management Area*) is largely on target, with the baseline for MSP Framework created. However, due to the Covid-19, implementation of some training activities will be delayed. The major outcome is clear understanding and agreement among project partners that the MSP Framework will create a solid basis for more effective integrated management of the JMA in the future including, *inter alia*, the preparation of a marine spatial plan. The project created awareness among all stakeholders' groups, in particular the decision makers, on what MSP is and what it is not, as well as what is realistically to be expected from its implementation in the given circumstances.

Progress has also been achieved in Component 2 (*Development of a data and information system along with a programme of data capture and gap-filling as a foundation for an adaptive management strategy*), particularly in setting up the technical base for data capture and storage using the GIS. Again, because of Covid-19, the progress on training on GIS has been slowed down, and it is questionable whether all targets in this component will be achieved. Also, establishment of the four Working Groups that are highly instrumental in assessing the data trends and developing JMA Management Strategy, has been delayed.

Component 3 (*Adoption and implementation of a Marine Spatial Planning approach with the objective of improving and implementing effective decision-making for activities within the Joint Management Area*) activities have also been delayed. While the baseline for the strategy has been discussed and agreed upon, the drafting and consultation on the strategy is still pending. That will certainly affect the implementation of the strategy itself. This is the most critical point of the project at mid-term, and the PMU as well as the PSC and JMC will have to make every effort to speed up these activities in due time.

Component 4 of the project (*Monitoring, Evaluation, Adaptive Feedback and Sustainability*) is mainly concerned with the project reporting. It is regular and accurately reflects the actual implementation of the project.

The MTR finds that the project management is efficient and effective, in particular taking in consideration the current circumstances caused by the Covid-19. Internal communication between the project bodies is efficient, while external communication, aimed at extending the knowledge about the project to outside circles, needs to improve. Adaptive management is at a high level resulting in the fast response to changing circumstances. PMU is greatly helped by the relatively frequent meetings of the PSC. Integration of the JMA progress into reporting on overall SAPPHERE progress is becoming an issue, because the former is progressing much faster than the latter, and its overall rating is very much under the influence of the slower progressing project.

Sustainability of the project is considered, overall, as likely. The risks identified in the JMA Project's ProDoc are still valid with no indication that their rating of impact and probability has changed. The 2020 PIR identified the global Covid-19 pandemic as a new Safety and Security critical risk for the SAPPHERE project, which also relates to the JMA Project. This risk has already had impact on the pace of implementation of the JMA Project, and may continue to have impact during, at least, the first half of 2021.

4.2. Recommendations

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

Recommendation 1: *Re-assess the indicator and targets in the Revised UNDP-JMA Project Results Framework, which was approved at the Inception Meeting. The linkages between indicators and targets have to be clear and not too detailed. They have to be measurable and achievable by the end of the project. In the same table, a very clear distinction has to be made between the outputs and activities, while both of these have to be clearly linked with the respective indicators and targets. In this respect, introduce a clear definition of major terms in the ProDoc (MSP, management strategy, MSP approach, MSP process, MSP framework) to avoid terminological ambiguity and strengthen the linkages among outcomes and outputs. Finally, the PRF should have a clear timeline for the realisation of the targets. A list of proposed changes should be circulated to the PSC and changes made in time for the next reporting period.*

Recommendation 2: *Speed up implementation of the remaining activities, in particular those whose completion has been delayed (establishment of Working Groups, development of the management strategy, training). Stricter control of implementation of activities should be introduced.*

Recommendation 3: *The allocation of the unspent funds should be reviewed and the budget revision to re-allocate the remaining funds of the project urgently prepared (46% of the project funds have not been distributed yet). This refers particularly to the travel budget where a large amount has been unspent due to the impacts of the Covid-19 crisis.*

Recommendation 4: *System of reporting on co-financing should be improved. Prepare annual co-financing reports containing, as a minimum, the information on the amount of annual co-financing provided by each partner; distribution of co-financing per component/outcome; rate of co-financing provided and the amount left for the remaining period of the project's implementation; perceived risks, if any, in provision of co-financing by partner; and proposal for actions to be taken to mitigate risks. The co-financing report should be presented to, discussed at and adopted by the PSC on a yearly basis.*

Recommendation 5: *Improve the visibility of the project by speeding up the implementation of the communications strategy of the project.*

Recommendation 6: *Improve the quality of the project's web site and update it regularly. It should contain all the project's outputs as well as other information of interest for potential users, including videos, information bulletins, etc. Reports of the most important project meetings should be placed on the web site as soon as they will be prepared. A special page should be developed to monitor the progress of implementation of the project's activities per outcome and output.*

Recommendation 7: *Develop indicators on gender mainstreaming and integrate them into the PRF and the monitoring system.*

Recommendation 8: *Increase the capacity building efforts, including training on GIS, MCS, MSP zoning etc.*

4.2.2. Actions to follow up or reinforce initial benefits from the project

Recommendation 9: *Develop a proposal to extend the project by 6 months to allow sufficient time to achieve progress towards outcomes that have been delayed in starting implementation of project activities, because of the Covid-19 crisis and the lengthy consultation process between the two countries.*

Recommendation 10: *Speed up efforts to establish the designated authority for the JMA, which is an essential prerequisite for the implementation of the MSP roadmap and the future JMA Management Strategy.*

Recommendation 11: *Increase efforts to accept the Ecosystem based Management as the underlying approach to manage JMA as an integrated ecosystem that includes ECS and water column and sea surface above it. Need for EBM should be made explicit in the PRF but relevant awareness efforts should also be directed towards the members of the JMC, other administrative and decision-making levels in both countries and, ultimately, to the public at large in both countries.*

Recommendation 12: *Engage more actively towards integration of the private sector into the implementation of the Joint Management Strategy. This is an essential step towards implementation*

of MSP. PMU to consider employing or engaging as a consultant a Business Development specialist to develop and promote their products and services to private sector stakeholders in both countries and beyond.

4.2.3. Proposals for future directions underlining main objectives

Recommendation 13: *Clearly define the scope of the JMA Management Strategy. The document, which will outline the vision, objectives, strategic directions and basic outcomes, should be accompanied by the Plan of Action. It should contain an extensive list of activities sorted by the strategy's outcomes. For each activity the following should be defined: objective of the activity, short description of the contents of each activity, linkage with other activities/outcomes/objectives, benefits, outputs, timeline, cost and responsibilities.*

Recommendation 14: *Considering the complexity and novelty of the JMA Project as well as its demonstration character, the PMU should explore possibilities for networking with other similar initiatives elsewhere. This particularly refers to exploiting experiences in integration of Marine Spatial Planning in Areas Beyond National Jurisdiction in other regions of the world carried out by FAO, UNEP and UNDP.*

Annexes

Annex I: Terms of Reference (excluding TOR annexes)

resilient nations.

DETAILED TERMS OF REFERENCE FOR INDEPENDENT MID TERM REVIEW OF THE PROJECT

**Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for
Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems**

(Short title: UNDP-Joint Management Area (JMA) Demonstration Project)

INTRODUCTION

These Terms of Reference (TOR) set out the expectations for a mid-term review (MTR) of the UNDP-supported GEF-financed project 'UNDP-Joint Management Area Demonstration Project between Mauritius and Seychelles' (PIMS # 5262.)

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

PROJECT SUMMARY TABLE

Project Title:	UNDP-Joint Management Area Demonstration Project			
GEF Project ID:	5513		<u>at endorsement</u> <u>(Million US\$)</u>	<u>at mid-term</u> <u>(Million US\$)</u>
UNDP Project ID:	00087614	GEF financing:	\$ 2,210,391	\$ 1,023,096
Country:	Mauritius and Seychelles	IA/EA own:	Same as Government	
Region:	Africa	Government:	\$ 15,600	
Focal Area:	Ocean Governance	Other:	\$ 28,800	
FA Objectives, (OP/SP):		Total co-financing:	\$ 15,600	
Executing Agency:	Prime Minister's Office, Department for Continental Shelf, Maritime Zones Administration and Exploration, (Mauritius)	Total Project Cost:	\$17, 839,191	

Other Partners involved:	Vice President's Office, Department of Blue Economy (Seychelles)	ProDoc Signature (date project began):		11 January 2018
		(Operational) Closing Date:	Proposed: 31 December 2021	Actual: 31 December 2021

OBJECTIVE AND SCOPE

The goal of the UNDP-JMA Demonstration Project is primarily based on developing and demonstrating innovative Ocean Governance Mechanisms, and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystem (hereafter the Joint Management Area (JMA)) which can be replicated throughout similar areas globally.

The UNDP-JMA Demonstration Project aims at achieving its objectives through the delivery of four components as follows:

1. Building Technical and Management Capacity in support of Marine Spatial Planning (MSP) and effective management of the Joint Management Area.
2. Development of a data and information system along with a Programme of data capture and gap-filling as a foundation for an adaptive management strategy.
3. Elaboration and implementation of a Marine Spatial Planning approach with the objective of improving and implementing effective decision-making for activities within the Joint Management Area.
4. Monitoring, Evaluation, Adaptive Feedback and Sustainability using UNDP and GEF tracking tool for both annual progress and terminal evaluation.

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

EVALUATION APPROACH AND METHOD

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR personnel 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 quarterly reports including PIRs, project budget revisions, and any other materials that the MTR personnel considers useful for this evidence-based review). The MTR personnel will also 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 personnel must ensure that gender-responsive evaluation methodologies, tools and data analysis techniques are used. The MTR personnel is expected to follow a collaborative and participatory approach 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.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Department of Blue Economy (Seychelles) and the Department for Continental Shelf, Maritime Zones Administration and Exploration (Mauritius), the Joint Commissioners and the Joint Technical members. Additionally, the MTR team is expected to conduct field missions to Mauritius and Visio Conference calls with Seychelles to complete the tasks at hand.

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.

EVALUATION CRITERIA AND RATINGS

The MTR personnel 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.

1. 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 countries ownership. Was the project concept in line with the national sector development priorities and plans of the participating countries (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?
- ☐ If there are major areas of concerns, recommend areas for improvement.

Results Framework/Logframe:

- ☐ Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the time frame 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, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- ☐ Ensure broader development of the project are being monitored effectively.

2. Progress Towards Results

Progress Towards Outcomes Analysis:

- ☐ Review the logframe indicators against progress made towards the time frame 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).

Table1: Progress Towards Results Matrix (Achievement of outcomes against time frame-of-project Targets)

Project Strategy	Indicator ¹	Baseline Level ²	Level in 1 st PIR (self-reported)	Midterm Target ³	End-of-project Target	Midterm Level & Assessment ⁴	Achievement Rating ⁵	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
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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 Mid-term 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.

3. Project Implementation and Adaptive ManagementManagement 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.
- ☐ Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- ☐ What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- ☐ What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

¹ Populate with data from the Logframe and scorecards

² Populate with data from the Project Document

³ If available

⁴ Colour code this column only

⁵ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Work Planning:

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

Finance and co-finance:

- ☐ Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- ☐ Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- ☐ Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- ☐ Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is 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?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
		TOTAL			

- ☐ Include the separate GEF Co-Financing template (with support and input by the Commissioning Unit and project team) which categorizes each co-financing amount as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file.)

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?
- ☐ Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

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?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
 - The project's overall safeguards risk categorization.
 - The identified types of risks⁶ (in the SESP).
 - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

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.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

⁶ Risks are to be labelled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labour and Working Conditions; Community Health, Safety and Security.

4. 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 personnel will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.⁷

Additionally, the MTR personnel is expected to make recommendations to the Project team. 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 personnel should make no more than 15 recommendations in total.

Ratings

The MTR personnel will include its ratings of the project's results and brief descriptions of the associated achievements in an *MTR Ratings and 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.

⁷ Alternatively, MTR conclusions may be integrated into the body of the report.

Table 2: MTR Ratings and Achievement Summary Table for 'UNDP-JMA Demonstration Project.

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 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)	

MID-TERM REVIEW TIMEFRAME

The total duration of the MTR will be approximately *35 working days* over a time period of *10 weeks* starting 02 October 2020 *and* shall not exceed three months from when the consultant is hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY	ESTIMATED NUMBER OF WORKING DAYS
16 September 2020	Application closes	n/a
02 October 2020	Select MTR Personnel (Starting of contract)	n/a
5 October 2020	Prep the MTR Personnel (handover of Project Documents)	n/a
7 October 2020 - 12 October 2020	Document review and preparing MTR Inception Report	4 days
14 October 2020 – 21 October 2020	Finalization and Validation of MTR Inception Report- latest start of MTR mission	6 days
26 October 2020 – 12 November 2020	MTR mission: stakeholder meetings, interviews, field visits, Visio Conferencing	14 days
13 November 2020	Mission wrap-up meeting and presentation of initial findings- earliest end of MTR mission	1 day

16 November 2020 – 25 November 2020	Preparing draft MTR report	8 days
26 November 2020 – 27 November 2020	Incorporating audit trail from feedback on draft report/Finalization of MTR report	2 days
30 November 2020	Preparation & Issue of Management Response	n/a
01 December 2020	Expected date of full MTR completion	n/a

Options for site visits should be provided in the Inception Report.

EVALUATION DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR personnel clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission (21 October 2020)	MTR personnel submits to Commissioning Unit, the project management
2	Presentation	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission: (25 November 2020)	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft: (01 December 2020)	Sent to the Commissioning Unit

*The final MTR report must be in English.

MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is *Mauritius UNDP Country Office*.

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

MTR TEAM COMPOSITION

An independent consultant will conduct the MTR (with experience and exposure to projects and evaluations in other regions globally). The consultant 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 the consultants will be aimed at maximizing the overall "individual" qualities in the following areas:
Technical Criteria - 70% of total evaluation – max. 70 points:

Experience

- ☐ Recent experience with result-based management evaluation methodologies; (10)
- ☐ Experience applying SMART indicators and reconstructing or validating baseline scenarios; (10)
- ☐ Competence in adaptive management, as applied to water and ocean governance; (10)
- ☐ Experience evaluating environmental projects (10)
- ☐ Experience working in (*SIDS countries of the Indian Ocean particularly Mauritius and Seychelles*); (5)
- ☐ Work experience in relevant technical areas for at least 10 years; (15)
- ☐ Demonstrated understanding of issues related to gender, water, and ocean governance, experience in gender sensitive evaluation and analysis (10)
- ☐ Project evaluation/review experiences within United Nations system will be considered an asset; (5)

Education

- ☐ A minimum master's degree in natural resource management, Ocean governance studies or other closely related field. (15)

Language

- ☐ Fluency in written and spoken English; Excellent communication skills in English; (10)

Financial Criteria - 30% of total evaluation – max. 30 points:

EVALUATOR ETHICS

The MTR Consultant will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the [UNEP 'Ethical Guidelines for Evaluations'](#). The MTR Consultant must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR Consultant must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
30%	Upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
30%	Upon satisfactory delivery of the draft MTR report to the Commissioning Unit

40%	<p>Following satisfactory delivery of the final MTR report and approval by the Commissioning Unit and Regional Technical Advisor (via signatures on the MTR Report Clearance Form) and delivery of completed MTR Audit Trail</p> <p>Criteria for issuing the final payment of 40%⁸:</p> <ul style="list-style-type: none"> • The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance. • The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports). • The Audit Trail includes responses to and justification for each comment listed.
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APPLICATION PROCESS

Recommended Presentation of Proposal:

- Letter of Confirmation of Interest and Availability** using the [template](#)⁹ provided by UNDP;
- CV and a Personal History Form** ([P11 form](#)¹⁰);
- 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)
- 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;

UNDP Mauritius and Seychelles Country Office, 6th Floor, Anglo Mauritius House, Intendance Street, P.O Box 253, Port Louis, Mauritius)

in a sealed envelope indicating the following reference “Consultant for (UNDP- Joint Management Area Demonstration Mid-term Review” or by email at the following address ONLY: (procurement.mu@undp.org) **by 16:00 hrs Mauritian Time on 16 September 2020**. Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated.

⁸ The Commissioning Unit is obligated to issue payments to the MTR team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the MTR team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit’s senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters.

⁹ <https://intranet.undp.org/unit/bom/psa/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

¹⁰ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

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.

Annex II: List of interviews

Date	Name	Position
5 November 2020 3 December 2020 18 January 2021 19 January 2021 14 February 2021	Allen Vosrie Cedras	Project Manager, Mauritius
17 November 2020	Akiko Yamamoto	UNDP Regional Technical Advisor, Ethiopia
18 November 2020	Dr Julian Roberts	MSP Expert, UK
18 November 2020	Dr Rezah Badal	National project Director and JMC Member, Mauritius Focal Point, Mauritius
20 November 2020	Roland Alcindor	Head of Seychelles UNDP and UNDP Representative on the PSC, Seychelles
20 November 2020	Evans Delcy	IT Specialist, Mauritius
20 November 2020	Ambassador Jagdish Koonjul	JMC Member, USA
26 November 2020	Francesca Addrienne	JMC Member, Seychelles Focal Point, Seychelles
26 November 2020	Dixon Waruinge	Coordinator, Nairobi Convention, Kenya
4 December 2020	Dr Vladimir Kalinski	MCS Expert, Croatia
6 January 2021	Satyajeet Ramchurn	Head of Environment Unit, Mauritius and UNDP Representative on PSC, Mauritius

Annex III: List of documents reviewed

1. JMA Project Document
2. JMA PIF
3. JMA Inception Workshop Report
4. JMA Progress Reports
5. Report on Human Activities
6. Scale and Scope of MSP
7. Spatial & Non-spatial Tools and Software to Support MSP
8. Capacity Needs Analysis & Capacity Building
9. Strategic Marine Spatial Planning Roadmap
10. Marine Spatial Planning Assignment: Final Report
11. WIO LME SAPPHIRE Project Document
12. Final Strategy for Data repatriation
13. Final for Hardware and Software Geospatial data and Architecture design
14. Draft Communication Strategy
15. Financial documents
16. MCS Final Report
17. MCS Stakeholder technical Support Report
18. Joint Management Area Marine Scientific Research and Data Strategy

Annex IV: MTR Evaluative Matrix

Review Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the JMA level, in particular the 5 Strategic Objectives that were adopted by the JMC?			
<ul style="list-style-type: none"> To what extent are the project's objectives aligned with international and national priorities in transboundary ocean governance? Do the project's objectives fit GEF IW and UNDP strategic priorities and how do they support the GEF IW focal area? Were project partners adequately identified and were they involved in the project design and inception phase? To what extent are the project's designs, objectives and outcomes aligned with the needs and requirements of key partners and stakeholders? To what extent have the projects contributed to gender equality, empowerment of women and human rights of target groups, including in relation to sustainable development? 	<ul style="list-style-type: none"> Alignment with international and national priorities Alignment with GEF IW and UNDP strategic priorities Evidence of partner identification process and of partner involvement in project design and implementation Evidence that partners' and stakeholders' needs and requirements were taken into consideration Evidence that gender equality, human rights and sustainable development were taken into consideration in project design and implementation Quantity and quality of references to gender equality, human rights and sustainable development in project activities and outputs 	<ul style="list-style-type: none"> Project Document, PPG, PIF, CEO endorsement Project Inception Workshop Report PIRs, AWP, PSC minutes Quarterly Progress Reports Project output reports PCU team UNDP, GEF Project partners 	<ul style="list-style-type: none"> Document review Online Interviews
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
<ul style="list-style-type: none"> Have there been changes to the Results Frameworks' indicators and targets after the Inception Workshop? Have there been any changes to planned activities and outputs 	<ul style="list-style-type: none"> Confirmation that changes recommended by Inception Workshop were implemented 	<ul style="list-style-type: none"> Project Document, PPG, PIF, CEO endorsement Project Inception Workshop Report 	<ul style="list-style-type: none"> Document review Online Interviews

<p>since the Inception Workshop, and if so, how was the implementation schedule and budget adapted to accommodate the changes?</p> <ul style="list-style-type: none"> • Have the projects delivered their outputs and outcomes against the indicators and targets provided in the Results Frameworks? • What are the main factors that have contributed to achieving (or not achieving) the intended objectives, outcomes and outputs? • What are the positive or negative, intended or unintended changes brought about by the project's interventions? • To what extent has the project increased knowledge and understanding of partners and beneficiaries on transboundary marine ecosystems and on MSP in particular? 	<ul style="list-style-type: none"> • Changes to Results Framework since Inception Workshop • Status of outputs and outcomes achievement • PIR narrative analysis • Evidence that beneficial development effects are being generated • Perspectives of PCU, partners and stakeholders 	<ul style="list-style-type: none"> • PIRs, AWP, PSC minutes • Quarterly Progress Reports • Project output reports • PCU team • UNDP, GEF • Project partners 	
<p>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</p>			
<ul style="list-style-type: none"> • Was the Project Document sufficiently clear and realistic to enable effective and efficient implementation? • Were any delays encountered in project start up and implementation? If yes, what were the causes of the delays and how have these been resolved? • Have work-planning processes been based on results-based management and has the Results Framework been 	<ul style="list-style-type: none"> • Quality of project design • Evidence of delays and their impact on project implementation • Clarity of project management structure • Evidence of adaptive management, problem solving and reporting • Evidence that project management decisions have 	<ul style="list-style-type: none"> • Project Document • Project Inception Workshop Report • PIRs, AWP, PSC minutes • UNDP, GEF • Project partners 	<ul style="list-style-type: none"> • Document review • Online Interviews

<p>used as a management tool?</p> <ul style="list-style-type: none"> • Has the project management structure operated effectively, producing efficient results and synergies? • Was the PCU effective in providing leadership towards achieving the project results? • Was the PCU able to adapt to changing circumstances and solve problems as they arose? • Were adaptive management changes reported by the PCU and shared with the PSC and other key stakeholders? • Were progress reports produced accurately, timely and in accordance with reporting requirements? 	<p>delivered efficient results</p> <ul style="list-style-type: none"> • Quality and timeliness of progress reports 		
<ul style="list-style-type: none"> • Did the PCU maintain productive relationships and communications with the key stakeholders throughout implementation? • Has communication between the PCU, UNDP, GEF and the stakeholders been clear, effective and timely? 	<ul style="list-style-type: none"> • Quality and timeliness of communications between PCU and stakeholders • Perspectives of stakeholders • Timeliness of transfer of funds against project budget requirements and allocation to budget lines • Impact of delays in funds transfers on implementation 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes, project correspondence (as available) • PCU team, UNDP 	<ul style="list-style-type: none"> • Document review • Online Interviews
<ul style="list-style-type: none"> • Have financial, human and technical resources been allocated strategically to achieve project results? • Were the accounting and financial systems in place adequate for project management and for 	<ul style="list-style-type: none"> • Extent to which funds were used to deliver results in accordance with the expectations of the Project Document 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes, project correspondence (as available) • Co-financing pledge letters • Co-financing tables • PCU team, UNDP 	<ul style="list-style-type: none"> • Document review • Online Interviews • Budget reports

<p>producing accurate and timely financial information?</p> <ul style="list-style-type: none"> • Were the project's implementations as cost effective as originally proposed (planned vs actual)? • Did the leveraging of funds (co-financing) happen as planned? 	<ul style="list-style-type: none"> • Demonstrable financial control and due diligence • Evidence of communication between project management and financial management teams • Details of co-financing received against co-financing pledged 		
<ul style="list-style-type: none"> • To what extent were partnerships/linkages between institutions/organizations encouraged and supported and how efficient were the cooperation and collaboration arrangements? 	<ul style="list-style-type: none"> • Documentary and verbal evidence of cooperation and collaboration arrangements 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes, project correspondence • PCU team, UNDP, GEF 	<ul style="list-style-type: none"> • Document review • Online Interviews
<ul style="list-style-type: none"> • To what extent have project-level monitoring and evaluation systems, reporting and project communications supported the project's implementation? • Are there sufficient resources allocated for monitoring and evaluation and are these being used effectively? 	<ul style="list-style-type: none"> • Timely and meaningful monitoring and evaluation of project activities • Funding and resource allocation for M&E 	<ul style="list-style-type: none"> • Project Document, PIRs, AWP, PSC meeting minutes • PCU team, UNDP, GEF 	<ul style="list-style-type: none"> • Document review • Online Interviews
<p>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</p>			
<p><u>Financial Risks to Sustainability</u></p> <ul style="list-style-type: none"> • To what extent is the sustainability of project's results likely to depend on continued financial support? • What is the likelihood that any additional financial resources will be available to sustain the project's results once the GEF assistance ends? 	<ul style="list-style-type: none"> • Estimate of financial and human resource requirements to sustain project results • Evidence of financial and human resource commitments to sustain project results • Evidence of project exit strategy 	<ul style="list-style-type: none"> • Project Document, PIRs, PSC meeting minutes, • PCU team, UNDP, GEF • Project stakeholders 	<ul style="list-style-type: none"> • Document review • Online Interviews

	<ul style="list-style-type: none"> Perception of PCU, UNDP, GEF and other key stakeholders 		
<u>Socio-economic Risk to Sustainability</u> <ul style="list-style-type: none"> To what extent have the project's intervention strategies created ownership of the key international and national stakeholders? What is the risk that the level of stakeholder ownership will be insufficient to sustain the project outcomes/benefits? Has the project achieved stakeholders' consensus regarding courses of action on project activities after the project's closure date? 	<ul style="list-style-type: none"> Evidence of ownership of project outcomes by key stakeholders Exit strategies for the projects have been reviewed by the PSC and a plan agreed Course of action on project activities after the project's closure agreed by stakeholders 	<ul style="list-style-type: none"> Project Document, PIRs, PSC meeting minutes, PCU team, UNDP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews
<u>Institutional Risk to Sustainability</u> <ul style="list-style-type: none"> Has the project developed sufficient institutional capacity (systems, structures, staff, expertise, etc.) to ensure sustainability of results achieved by the project? What are the project's potentials for scaling-up and replication in terms of the needs expressed by institutional partners and stakeholders? 	<ul style="list-style-type: none"> Systems, structures, staff and expertise to ensure sustainability of project results established Capacity of institutions and programmes to sustain and build on project outcomes developed Institutional partners and stakeholders' needs for scaling-up and replication of specific aspects of the projects have been reviewed by the PSC 	<ul style="list-style-type: none"> Project Document, PIRs, PSC meeting minutes, PCU team, UNDP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews
<u>Environmental Risks to Sustainability</u> <ul style="list-style-type: none"> Are there environmental factors that could undermine the project's results, including factors 	<ul style="list-style-type: none"> Risk assessment of environmental factors that could undermine the project's results 	<ul style="list-style-type: none"> Project Document, SESP reports, PIRs, PSC meeting minutes, Mid Term Review, 	<ul style="list-style-type: none"> Document review Online Interviews

that have been identified by project stakeholders?	conducted and updated	<ul style="list-style-type: none"> • PCU team, UNDP, UNEP, GEF • Project stakeholders 	
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
<ul style="list-style-type: none"> • To what extent are key stakeholders/beneficiaries satisfied with the benefits generated by the project? • Is there any evidence that the project has achieved impact or enabled progress towards reduced environmental stress and/or improved ecological status? 	<ul style="list-style-type: none"> • Extent to which stakeholders/final beneficiaries have expressed satisfaction with the benefits generated by the project • Indications that project have achieved impact or achieved progress towards reduced environmental stress and/or improved ecological status 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes • PCU team, UNDP, GEF • Project stakeholders 	<ul style="list-style-type: none"> • Document review • Online Interviews

Annex V: Questionnaire

1. To what extent the project is consistent with national and local policies and priorities and the needs of intended beneficiaries in your country?
2. How the project's intended results have been achieved half way through its implementation (Opinion of the stakeholders!)?
3. Assess the outputs, outcomes and impact achieved by the project. Is it a good value for money?
4. Were the relevant country representatives, from government to civil society, involved in the project preparation and execution?
5. Are the project's objectives and components clear, practicable and feasible within its timeframe?
6. Were the capacities of executing institution and counterparts properly considered when the project was designed?
7. Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project approval?
8. Did the project involve the relevant stakeholders through information-sharing, consultation and by seeking their participation in the project design?
9. Were the project roles properly assigned during the project design?
10. Can the management arrangement model employed in the project be considered as an optimal model?
11. Were the management arrangements implemented and how efficient they are?
12. Assess the role of UNDP.
13. Assess whether or not local stakeholders participated in project management and decision-making.
14. Do you perceive problems in the execution of the project? If yes, what are they?
15. Is the project contributing to improved capacity for Marine Spatial Planning? If yes, how and to what extent?
16. Have results on output level contributed to the overall achievements of the project's objectives?
17. Are the project's activities aligned with the project's outcomes?

Annex VI: MTR Inception Report

1. Introduction

This document is the Inception Report of the Consultant in preparation of the Mid-Term Review (MTR) of the project “Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems”. The contract for this assignment was signed with the UNDP Country Office (CO) in Mauritius. After the draft Inception Report will be submitted to UNDP, eventual comments and suggestions will be incorporated into the final draft. The Inception Report could be considered as the first step towards the preparation of the final Mid-Term Review report.

The goal of this report is to ensure that the Consultant:

- Understands the objectives and scope of the review;
- Clarifies, on the basis of what questions and what information sources, how he will respond to key review questions; and
- Defines the Work plan and organisational needs for the MTR.

The inception report contains the following components:

- Brief project description;
- MTR purpose, objectives and scope;
- Proposed MTR methodology;
- Work plan and
- Annexes

1.1. Project Overview

The GEF-funded Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project has undertaken an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems, to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). The ASCLME project delivered a Transboundary Diagnostic Analysis (TDA) and Strategic Actions Programme (SAP) and both of these have been endorsed by the participating countries, the SAP at ministerial level. Subsequently, the Strategic Action Programme Policy Harmonisation and Institutional Reforms’ (SAPPHIRE) project was then developed to take the TDA-SAP development process to the next stage of implementation.

As part of this SAP Implementation initiative a specific component was included for demonstrating innovative management mechanisms for dealing with high seas areas and, specifically, extended continental shelves. The recently agreed Joint Management Area (JMA) between Mauritius and Seychelles was seen as an ideal opportunity for demonstrating such a pilot process that could provide valuable lessons and best practices for replication throughout the western Indian Ocean LMEs as well as the Global LME community at large. After consultations with the participating countries, it was agreed that, although this should remain within the framework of the GEF SAPPHIRE project, the component dealing with this Extended Continental Shelf (ECS) and High Seas management pilot

through the Joint Management Area between Mauritius and Seychelles should be implemented as a separate UNDP initiative, remaining closely linked to the overall SAP implementation process including close coordination with the SAPPHERE project. This decision was taken based on formal request by both countries, the specific focus of this component and the need to develop a very close working relationship between the two countries and the project implementing agency.

The project focuses on the newly-established Joint Management Area between Mauritius and Seychelles for the Continental Shelf in the Mascarene region, as well as the associated Contiguous Adjacent High Seas Areas. It will assist the two countries in the development and demonstration of new management approaches for such extended continental shelf areas which can provide lessons and management techniques which can be replicated both within the western Indian Ocean as well as throughout the global LMEs.

The primary areas of activity and support are the development of a management mechanism which demonstrates and institutionalizes co-management and co-existence of the various activities of the multiple sectors and stakeholders operating within or benefiting from this ocean space. The Mauritius-Seychelles Joint Management Committee has established 5 Strategic Objectives related to the development of an institutional framework, technical capacity, data acquisition in support of adaptive management and a 'blue ocean economy' approach, along with multi-sector, multi-use planning. This UNDP GEF Project will provide direct support to achieving these objectives and capture lessons and best practices for the global LME community.

The total budget for the project is US\$17,839,191, comprising US\$2,210,391 GEF grant funding and US\$15,628,800 in co-financing. The original implementation period spans from October 2017 to January 2022.

UNDP is the GEF Implementing Agency for this Project, with UNDP Country Office responsible for Mauritius and Seychelles as the Principal Project Resident Representative. Following the recommendation from GEF Secretariat and taking into account its relevant mandates in the Western Indian Ocean region, Nairobi Convention will be the GEF Executing Agency (UNDP Implementing Partner) for the Project, except for the Deliverable 4.2.1 (Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems) under Outcome 4.2 (Demonstrating innovative management options within specific marine space within the WIO LME).

JMA demonstration project is executed by the Government of Mauritius on behalf of the Joint Management Committee (JMC) through the Department for Continental Shelf, Maritime Zones Administration and Exploration of the Ministry of Defense and Rodrigues. The Government of Mauritius will be accountable to UNDP and the JMA (PSC) for the delivery of agreed outputs as per agreed project work plans, and for financial management, and ensuring cost-effectiveness. UNDP Mauritius Office may provide project execution support to the Government of Mauritius upon requests on a cost recovery basis.

1.2 Project Goals, Objectives and Outcomes

The overall objective of the project is to identify and demonstrate new management approaches and techniques for the Mascarene Plateau. This will need to address some of the unique management challenges associated with such an extended continental shelf area.

The project has 4 components, 7 outcomes, 17 outputs and 61 activities:

- Component 1: Building Technical and Management Capacity in support of Marine Spatial Planning and effective management of the Joint Management Area
 - Outcome 1.1: Capacity is significantly strengthened and expanded to undertake and sustain all aspects of an effective Marine Spatial Planning Process. This will include a particular emphasis on gender equity.
 - Outcome 1.2: Capacity is significantly strengthened and expanded to ensure sustainable management of the Joint Management Area of the Mascarene Plateau Region, with clear emphasis given to strengthening gender equity and balance in management activities
- Component 2: Development of a data and information system along with a programme of data capture and gap-filling as a foundation for an adaptive management strategy
 - Outcome 2.1: Existing Data and Information for the JM Area identified, captured and stored in support of the Marine Spatial Planning process and as a mechanism for measuring changes as a part of a process of Adaptive Management
 - Outcome 2.2: Gaps in priority data and information filled through a data capture process and a long-term monitoring programme established with direct links into the management process
- Component 3: Adoption and implementation of a Marine Spatial Planning approach with the objective of improving and implementing effective decision- making for activities within the Joint Management Area
 - Outcome 3.1: Development of a Marine Spatial Planning mechanism under the direction of the Joint Management Commission and through the Joint Management Authority
 - Outcome 3.2: Implementation and Sustainability of a Joint Management Strategy based on the Marine Spatial Planning exercise
- Component 4: Monitoring, Evaluation, Adaptive Feedback and Sustainability
 - Outcome 4.1: Progressive Assessment and Review of Project Activities, Delivery and Sustainability

2. Purpose and scope of the Mid Term Review

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

The review will assess the extent to which planned project results have been achieved since the beginning of the project in October 2017 and the likelihood of their full achievement by the end of the project in January 2022 based on the Project Document and Project Results Framework. The review will also assess the monitoring and evaluation component of the project and its compliance with UNDP and GEF minimum standards, including SMART criteria for indicators.

Having the above in mind, in early stages of the review, preferably during the interviews with major stakeholders and project partners, the strategy of the project will be re-examined in light of the mid-

term project's achievements, as well as the stakeholders' and partners' views on the feasibility of the full implementation of the project's strategy within the project's time framework. Therefore, this review should be considered as a moment in the project's implementation when an external evaluator comes in and gives comments on how to "redress" it for the remaining period of its implementation.

2.1 Purpose of the Mid Term Review

The purpose of the MTR is to provide an impartial review of the project in terms of its relevance, effectiveness, efficiency, impact, sustainability, overall performance, management and achievements. The information, findings, lessons learned, conclusions and recommendations generated by the review will be used by the UNDP and the executing partners to strengthen the remaining project's implementation and inform prospects for the replication and sustainability of the intervention.

The MTR will also propose recommendations aimed at improving the project's performance. The draft recommendations will be discussed with project's executing partners, and their comments and suggestions will be integrated in the final version of MTR.

2.2 Scope of the Mid Term Review

The MTR will cover the entire scope of the project with all its components, though within the limits of the activities implemented so far. The activities implemented will then be compared to the initial workplan as well as to the workplan amended during the Inception Phase of the project. Therefore, the MTR will cover the period from the beginning of its implementation (October 2017) up to the present (October - November 2020). The MTR will also analyse the funds spent at the time of review against the total amount allocated at the inception of the project. This review will not be considered, however, as an audit review, but in its financial section it will be considered as an assessment of the rate of expenditure of funds.

As indicated in the TOR, the MTR's scope will revolve around four major aspects of the project, namely:

1. review of the project's strategic approach;
2. review of the project's progress towards results;
3. project's implementation and adaptive management; and
4. analysis of the long-term project's sustainability.

The first aspect, review of the strategic approach, will be assessed through analysis of the Project Document, in particular the Project Document and the Inception Report, as well as through interviews with major stakeholders when they will be specifically asked to comment on the validity of the project design with regards to the national priorities. For the second aspect, review of the project's progress towards results, all the outputs produced so far will be examined, opinions of the project's staff as well as stakeholders will be sought during the interviews on the progress, and the results will be evaluated against planned outputs. MTR is carried out in a very critical moment of the project's implementation, as the review has to determine what is the rate of delivery of the project's outputs and outcomes, and to assess whether the remaining time will be enough to produce all deliverables envisaged. The result will be an assessment of the feasibility of production of outputs in the future, as well as the impacts, positive and/or negative, the future implementation may produce. The third aspect, the project's implementation and adaptive management, will be analysed through review of the project's progress reports and financial reports, as well as through interviews with respective technical staff,

government's counterparts and important stakeholders. The Consultant will seek their views on the efficiency and effectiveness of the management arrangements, including the support of the leading agency - UNDP. Finally, the fourth aspect, the project's sustainability, will be analysed through potential risks to the utilisation of project's results in the future as well as willingness of the beneficiaries to replicate it. The results of all the above analyses will form the backbone of the review's recommendations.

2.3 Purpose of the Inception Report

This Inception Report represents the first deliverable by the Consultant as set out in the Terms of Reference for the Mid Term Review (see Annex 1). The report is designed to set out the purpose and scope of the review, the approach to data gathering, analysis and reporting, and the limitations and risks of the review. It outlines how each of the key evaluative questions will be answered by way of proposed methods, proposed sources of data, and data collection procedures. It includes a summary of the data collection methodologies, a provisional list of documents to be reviewed, and a provisional schedule for completing the MTR. As such, the Inception Report helps to provide the consultant and the PCU with an opportunity to agree on the approach and methodology being adopted.

As a key element, the Inception Report contains the Mid Term Review Evaluative Matrix (Annex 2) that lists the evaluative questions, data sources, analysis methods and the indicators against which each question will be evaluated, in order to provide an overall view on the project's achievements.

3. Approach and Methodology

The methodological approach will be based on the division of the review into four major groups of issues/aspects to be analysed as requested by the TOR (review of the project's strategic approach; review of the project's progress towards results; project's implementation and adaptive management; and analysis of the long-term project's sustainability). The Consultant will also follow the instructions given in the UNDP's "Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects".

The MTR will be organised into four overlapping phases focusing on:

- Document review and analysis (desktop study);
- Online consultations with key stakeholders;
- Preparation of the Draft MTR Report; and
- Preparation of the Final MTR Report.

3.1 Data Collection

The Review Evaluative Matrix (Annex 2) will serve as a general guide for the MTR. The matrix, based on the criteria presented below, will provide direction for the review, particularly for the processing of relevant data:

1. **Relevance:** How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the JMA level, in particular the 5 Strategic Objectives that were adopted by the JMC?
2. **Effectiveness:** To what extent have the expected outcomes and objectives of the project been achieved?
3. **Efficiency:** Was the project implemented efficiently, in-line with international and national norms and standards?
4. **Sustainability:** To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?
5. **Impact:** Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?

The following sources of primary data and information will be collected:

- Desk review of key Project Document; and
- Online consultations with PCU staff and other partners as available using semi-structured interviews with a set of key questions (Annex 3).

The JMA Project Document provides the basis on which the achievement of results will be assessed, particularly the Project Results Framework. The PCU has also made available a range of other Project Document including Project Inception Workshop Report, project deliverables, quarterly progress reports, while other, such as annual PIRs, financial and co-financing tables, annual workplans and Project Steering Committee meeting minutes, will be subsequently delivered (see the list of documents currently available in Annex 4). These documents will be reviewed, which will allow the Consultant to compile a table of progress achieved and prepare a list of key points and questions to follow up during the review

Consultations with as many project partners and stakeholders as possible within the limited timeframe will be important in developing an evidence base for the review. Because of the COVID-19 situation, face-to-face discussions will not be possible as the Consultant will not travel to the project region. The Project Coordination Unit and other implementing partners and stakeholders will be interviewed by Skype or other video conferencing platforms.

The Consultant has prepared an indicative list of questions that will guide interviews with the stakeholders (Annex 5). The list is based on the review criteria as well as the MTR's scope, as presented in the TOR. However, these questions are not exhaustive and are not to be considered as a formal questionnaire but rather as an indicative checklist for the Consultant to guide interviews. The following groups of persons will be interviewed:

- implementing agency;
- executing agencies;
- PCU
- key experts and consultants in the subject area; and
- project stakeholders and beneficiaries (list to be compiled in consultation with the PCU).

3.2 Analysis

Once all documents are reviewed and interviews are complete, the data will be aggregated and analysed. The information collected will be compiled and organised according to the questions in the review matrix. Triangulation of results, i.e. comparing information from different sources, such as documentation and interviews, or interviews on the same subject with different stakeholders, will be used to the extent possible to corroborate or check the reliability of evidence.

3.3 Reporting

The draft report will follow UNDP's "Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects". Due to the limited time to prepare the report, it will be relatively "executive" and will include concise conclusions and recommendations. During the drafting of the report there may be a need for the consultant to contact the PCU and other stakeholders for clarifications or follow up questions.

Recommendations will be made to strengthen efforts to achieve all the objectives until the closure of the project. Lessons learnt from the review will also be provided, including best (and worst) practices that can provide knowledge gained that is applicable to other similar GEF and UNDP interventions.

The final report will be produced after receipt of comments from the PCU and other partners (to be compiled by the PCU) and will include an audit trail detailing how these have been addressed in the report.

4. Mid Term Review Limitations and Risks

The key risk to this assignment is the COVID-19 situation that prevents the Consultant to travel to the project region to conduct the face-to-face interviews with the PCU and other stakeholders. A specific consequence of this time limitation is that the consultant will not be able to interview as many stakeholders as desirable and will be limited to the key partners participating in the project. A priority list of interviewees will need to be agreed with the PCU at an early stage. To mitigate this risk, the Consultant will conduct extensive video interviews with the above, while the indicative questionnaire to guide the interviews will be sent in advance to the interviewees.

5. Workplan

The contract to carry out MTE was signed by both parties on 12 October 2020. The MTR has to be completed by 5 December 2020 at the latest. The proposed workplan for the MTR is based on the workplan presented in the TOR. It is slightly amended to reflect the review's reality, but it is important to stress that it won't exceed neither the number of days planned for the review (35) nor the final date of the finalisation of MTR.

Deliverable	Description	No. of working days	Responsibilities	Deadlines
Start of the assignment	Contract signed	NA	PCU, MTR Consultant	12 October 2020
Document review and MTR Inception Report	MTR Consultant clarifies objectives and methods of Midterm Review	7	MTR Consultant	21 October 2020
Finalization and validation of the MTR Inception Report	MTR Consultant finalizes the report	3	PCU, MTR Consultant	24 October 2020
Analysis and interviews	MTR consultant analyses the documents and interviews the stakeholders	10	MTR Consultant	6 November 2020
Presentation	Preparation of initial findings	5	MTR Consultant	13 November 2020
Draft Report	Draft report with annexes	8	MTR Consultant	26 November 2020
Comments on the Draft MTR Report	Report reviewed by PCU and UNDP	NA	PCU, UNDP	30 November 2020
Final Report	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	2	MTR Consultant	5 December 2020

Annex 2 Mid Term Review Evaluative Matrix

Review Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the JMA level, in particular the 5 Strategic Objectives that were adopted by the JMC?			
<ul style="list-style-type: none"> To what extent are the project's objectives aligned with international and national priorities in transboundary ocean governance? Do the project's objectives fit GEF IW and UNDP strategic priorities and how do they support the GEF IW focal area? Were project partners adequately identified and were they involved in the 	<ul style="list-style-type: none"> Alignment with international and national priorities Alignment with GEF IW and UNDP strategic priorities Evidence of partner identification process and of partner involvement in project design and implementation Evidence that partners' and stakeholders' needs 	<ul style="list-style-type: none"> Project Document, PPG, PIF, CEO endorsement Project Inception Workshop Report PIRs, AWP, PSC minutes Quarterly Progress Reports Project output reports PCU team UNDP, GEF Project partners 	<ul style="list-style-type: none"> Document review Online Interviews

<p>project design and inception phase?</p> <ul style="list-style-type: none"> • To what extent are the project's designs, objectives and outcomes aligned with the needs and requirements of key partners and stakeholders? • To what extent have the projects contributed to gender equality, empowerment of women and human rights of target groups, including in relation to sustainable development? 	<p>and requirements were taken into consideration</p> <ul style="list-style-type: none"> • Evidence that gender equality, human rights and sustainable development were taken into consideration in project design and implementation • Quantity and quality of references to gender equality, human rights and sustainable development in project activities and outputs 		
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
<ul style="list-style-type: none"> • Have there been changes to the Results Frameworks' indicators and targets after the Inception Workshop? • Have there been any changes to planned activities and outputs since the Inception Workshop, and if so, how was the implementation schedule and budget adapted to accommodate the changes? • Have the projects delivered their outputs and outcomes against the indicators and targets provided in the Results Frameworks? • What are the main factors that have contributed to achieving (or not achieving) the intended objectives, outcomes and outputs? 	<ul style="list-style-type: none"> • Confirmation that changes recommended by Inception Workshop were implemented • Changes to Results Framework since Inception Workshop • Status of outputs and outcomes achievement • PIR narrative analysis • Evidence that beneficial development effects are being generated • Perspectives of PCU, partners and stakeholders 	<ul style="list-style-type: none"> • Project Document, PPG, PIF, CEO endorsement • Project Inception Workshop Report • PIRs, AWP, PSC minutes • Quarterly Progress Reports • Project output reports • PCU team • UNDP, GEF • Project partners 	<ul style="list-style-type: none"> • Document review • Online Interviews

<ul style="list-style-type: none"> • What are the positive or negative, intended or unintended changes brought about by the project's interventions? • To what extent has the project increased knowledge and understanding of partners and beneficiaries on transboundary marine ecosystems and on MSP in particular? 			
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
<ul style="list-style-type: none"> • Was the Project Document sufficiently clear and realistic to enable effective and efficient implementation? • Were any delays encountered in project start up and implementation? If yes, what were the causes of the delays and how have these been resolved? • Have work-planning processes been based on results-based management and has the Results Framework been used as a management tool? • Has the project management structure operated effectively, producing efficient results and synergies? • Was the PCU effective in providing leadership towards achieving the project results? • Was the PCU able to adapt to changing circumstances and solve problems as they arose? • Were adaptive management changes reported by the PCU and 	<ul style="list-style-type: none"> • Quality of project design • Evidence of delays and their impact on project implementation • Clarity of project management structure • Evidence of adaptive management, problem solving and reporting • Evidence that project management decisions have delivered efficient results • Quality and timeliness of progress reports 	<ul style="list-style-type: none"> • Project Document • Project Inception Workshop Report • PIRs, AWP, PSC minutes • UNDP, GEF • Project partners 	<ul style="list-style-type: none"> • Document review • Online Interviews

<p>shared with the PSC and other key stakeholders?</p> <ul style="list-style-type: none"> • Were progress reports produced accurately, timely and in accordance with reporting requirements? 			
<ul style="list-style-type: none"> • Did the PCU maintain productive relationships and communications with the key stakeholders throughout implementation? • Has communication between the PCU, UNDP, GEF and the stakeholders been clear, effective and timely? 	<ul style="list-style-type: none"> • Quality and timeliness of communications between PCU and stakeholders • Perspectives of stakeholders • Timeliness of transfer of funds against project budget requirements and allocation to budget lines • Impact of delays in funds transfers on implementation 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes, project correspondence (as available) • PCU team, UNDP 	<ul style="list-style-type: none"> • Document review • Online Interviews
<ul style="list-style-type: none"> • Have financial, human and technical resources been allocated strategically to achieve project results? • Were the accounting and financial systems in place adequate for project management and for producing accurate and timely financial information? • Were the project's implementations as cost effective as originally proposed (planned vs actual)? • Did the leveraging of funds (co-financing) happen as planned? 	<ul style="list-style-type: none"> • Extent to which funds were used to deliver results in accordance with the expectations of the Project Document • Demonstrable financial control and due diligence • Evidence of communication between project management and financial management teams • Details of co-financing received against co-financing pledged 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes, project correspondence (as available) • Co-financing pledge letters • Co-financing tables • PCU team, UNDP 	<ul style="list-style-type: none"> • Document review • Online Interviews • Budget reports
<ul style="list-style-type: none"> • To what extent were partnerships/linkages between institutions/organizations encouraged and supported and how efficient were the cooperation and 	<ul style="list-style-type: none"> • Documentary and verbal evidence of cooperation and collaboration arrangements 	<ul style="list-style-type: none"> • PIRs, PSC meeting minutes, project correspondence • PCU team, UNDP, GEF 	<ul style="list-style-type: none"> • Document review • Online Interviews

collaboration arrangements?			
<ul style="list-style-type: none"> To what extent have project-level monitoring and evaluation systems, reporting and project communications supported the project's implementation? Are there sufficient resources allocated for monitoring and evaluation and are these being used effectively? 	<ul style="list-style-type: none"> Timely and meaningful monitoring and evaluation of project activities Funding and resource allocation for M&E 	<ul style="list-style-type: none"> Project Document, PIRs, AWP, PSC meeting minutes PCU team, UNDP, GEF 	<ul style="list-style-type: none"> Document review Online Interviews
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
<u>Financial Risks to Sustainability</u> <ul style="list-style-type: none"> To what extent is the sustainability of project's results likely to depend on continued financial support? What is the likelihood that any additional financial resources will be available to sustain the project's results once the GEF assistance ends? 	<ul style="list-style-type: none"> Estimate of financial and human resource requirements to sustain project results Evidence of financial and human resource commitments to sustain project results Evidence of project exit strategy Perception of PCU, UNDP, GEF and other key stakeholders 	<ul style="list-style-type: none"> Project Document, PIRs, PSC meeting minutes, PCU team, UNDP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews
<u>Socio-economic Risk to Sustainability</u> <ul style="list-style-type: none"> To what extent have the project's intervention strategies created ownership of the key international and national stakeholders? What is the risk that the level of stakeholder ownership will be insufficient to sustain the project outcomes/benefits? Has the project achieved stakeholders' consensus regarding courses of action on project activities 	<ul style="list-style-type: none"> Evidence of ownership of project outcomes by key stakeholders Exit strategies for the projects have been reviewed by the PSC and a plan agreed Course of action on project activities after the project's closure agreed by stakeholders 	<ul style="list-style-type: none"> Project Document, PIRs, PSC meeting minutes, PCU team, UNDP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews

after the project's closure date?			
<u>Institutional Risk to Sustainability</u> <ul style="list-style-type: none"> Has the project developed sufficient institutional capacity (systems, structures, staff, expertise, etc.) to ensure sustainability of results achieved by the project? What are the project's potentials for scaling-up and replication in terms of the needs expressed by institutional partners and stakeholders? 	<ul style="list-style-type: none"> Systems, structures, staff and expertise to ensure sustainability of project results established Capacity of institutions and programmes to sustain and build on project outcomes developed Institutional partners and stakeholders' needs for scaling-up and replication of specific aspects of the projects have been reviewed by the PSC 	<ul style="list-style-type: none"> Project Document, PIRs, PSC meeting minutes, PCU team, UNDP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews
<u>Environmental Risks to Sustainability</u> <ul style="list-style-type: none"> Are there environmental factors that could undermine the project's results, including factors that have been identified by project stakeholders? 	<ul style="list-style-type: none"> Risk assessment of environmental factors that could undermine the project's results conducted and updated 	<ul style="list-style-type: none"> Project Document, SESP reports, PIRs, PSC meeting minutes, Mid Term Review, PCU team, UNDP, UNEP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
<ul style="list-style-type: none"> To what extent are key stakeholders/beneficiaries satisfied with the benefits generated by the project? Is there any evidence that the project has achieved impact or enabled progress towards reduced environmental stress and/or improved ecological status? 	<ul style="list-style-type: none"> Extent to which stakeholders/final beneficiaries have expressed satisfaction with the benefits generated by the project Indications that project have achieved impact or achieved progress towards reduced environmental stress and/or improved ecological status 	<ul style="list-style-type: none"> PIRs, PSC meeting minutes PCU team, UNDP, GEF Project stakeholders 	<ul style="list-style-type: none"> Document review Online Interviews

Annex 5 Tentative Table of Contents of the Mid Term Review Report

- (i) Table of contents
- (ii) Acronyms
- (iii) Executive Summary

- 1. Background to the MTR
- 2. Programme description and development context
- 3. MTR Methodology
- 4. MTR findings
- 5. Conclusions
- 6. Recommendations
- 7. Lessons learned

- Annexes

Annex VII: Revised Project Results Framework adopted at the Inception Workshop

REVISED UNDP-JMA PROJECT RESULTS FRAMEWORK

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:
Achieving environmental sustainability while addressing climate change and ensuring more effective environmental protection and conservation of natural resources.
Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):
2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation
1.3. Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste
Applicable GEF Strategic Objective and Program: IW-2
Applicable GEF Expected Outcomes: 2.1: 2.2; 2.3; (see Table 2 and 3)
Applicable GEF Outcome Indicators: 2.1; 2.2; 2.3; (see Table 3 and 3)

Project Strategy				Target	Time Frame		Verifiable Indicators	Means of Verification	Risks and Assumptions
Project Delivery	Outcome	Baseline	Output						
Project Objective: The development of a sustainable mechanism for the joint management of a shared extended continental shelf area, namely the Mascarene Plateau Region, as shared by formal agreement between Seychelles and Mauritius. The long-term benefits	By 2021, Implementing a Demonstration of a Joint Management Approach for Extended Continental Shelves that can be replicated and transferred to similar areas globally as part of an ecosystem approach to	This recently approved continental shelf extension falls within the jurisdiction of two countries (Mauritius and Seychelles). The Joint Management Area so created has no management strategy as	Detailed Marine Spatial Planning Exercise completed and accepted. Joint Management Strategy adopted based on a sustainable Blue/Ocean Economy approach.	1) Recruitment of an MSP Specialist a) Undertake a gap analysis comparing the baseline with what is required to undertake effective MSP. b) Document the identified gaps that are required to be addressed in a future MSP project. c) Conduct a skills gap assessment to support MSP implementation process in the JMA.	2018 2019 2019 2019	The JMA-MSP process will be in two phases Phase 1 by end of 2019 and phase 2 by end of	MSP process fully documented, and results used by JMC as basis for a Management Strategy JM Strategy formally adopted by both countries Stakeholder engagement in the management process.	MSP documents/options available for review Joint Management Strategy formal signed and adopted and available within public domain Management Strategy allows for stakeholder inputs to management decisions.	The main risk and assumption here is that the two countries agree on a joint vision for the management strategy and have the same interests at heart in developing such a management mechanism for this jointly-shared area Both countries have signed a

of this to the countries will be sustainable resource use alongside economic development. The long-term benefits to GEF and globally will be a pilot/demonstration of such a management strategy which can then be replicated and transferred to other extended continental shelf areas around the world.	'blue and ocean economy' management of sovereign resources	yet. This will be the first example of the development of a management strategy for an extended continental shelf (ECS) area to be jointly managed in this manner. The ECS management has its complications in view of the seabed and subsoil being sovereign jurisdiction, while the superadjacent water column above is considered to be a 'high seas' commons.	Stakeholder input and engagement in Management Strategy process. MSP tools and mechanisms workshops delivered through training exercises and workshops based on the work programme and road-map developed	d) Deliver an MSP Inception Workshop with stakeholders, (Sey & Mau). e) Define scale and scope of the JMA MSP process. f) A Stakeholders mapping exercise. g) Identify JMA Data Sources and data Holders h) Preparation of a data sharing agreement. I) Report on spatial and non-spatial tools. J) Validation workshop for the JMA MSP Process. k) A roadmap for the JMA MSP implementation.	2019 2019 2019 2019 2019 2019	project in 2021			formal agreement to jointly share not only the management process and activities but also the resources themselves and any financial benefits for same.
			Communication strategy established. Communication materials disseminated.	2) Recruitment of a Communication Consultant to support the MSP communications aspects. a) Development of a communication strategy for the Stand-alone UNDP-JMA	2019 2019		Use of effective communication between stakeholders. Websites and other communications mediums being used.	Dissemination of information on the JMA Project at National, regional and international level.	

				Demonstration project and support the JMA Marine Spatial Planning framework b) Conduct capacity building competencies in the field of communication and awareness. c) Prepare important tools for employment of an effective communication plan.	2019/2020 2019				
Component 1: Building Technical and Management Capacity in support of Marine Spatial Planning and effective management of the Joint Management Area.	Outcome 1.1 By 2020, Capacity is significantly strengthened and expanded to undertake and sustain all aspects of an effective Marine Spatial Planning Process.	Very limited capacity or understanding of the process or the needs for marine spatial planning	Address priority areas for capacity development and training in support of Marine Spatial Planning, to include the following outputs by activity:	a) Skill gaps analysis in point C above. b) Conduct at least four (4) MSP workshops and participate in at least eight (8) MSP activities at national and international level to strengthen capacity building of Seychelles and Mauritius in the implementation of the JMA MSP framework.	2018/2019/2020/2021. 2019/2020/2021	MSP process documented and seen to be used in support of a management strategy	MSP documents available as public Access documentation	Appropriate persons are sent for training Appropriate mentors can be identified Appropriate software and hardware are acquired Strict criteria to be adopted for approval of training along with follow-up reporting Mentors will be selected by a peer-review group based on CVs and references Appropriate technical advisory group will be established for selection of software and hardware with clear terms of reference relating to reliability	

			Training with roadmap and a mentoring mechanism established.	Training plan with roadmap developed together with a mentoring process	2019/2020/2021	Training courses and workshops completed. Attendances confirmed at existing training exercises elsewhere in region or internationally Mentor programmes in place for skill development Procurement completed for appropriate software and hardware	Documentation of students and their success rates on training and workshops Long-term Mentoring in place and documented Proof of procurement of software and hardware and ability of appropriate people and institutions to run it Evidence of collaboration reports	and user-friendly nature. Appropriate people available for training Briefings and awareness will target appropriate persons
			Collaboration with potential partners established for an effective capacity building strategy.	Collaboration with at least four (4) partners to enhance capacity building activities identified in skills gap report	2019/2020/2021			

			<p>Required software and hardware sourced and acquired in support of the MSP process</p> <p>Assess value and sustainability of training and abilities to use support equipment</p>	<p>Two partners so far in collaboration , ESRI and Rogers Capital..</p> <p>Procurement of 6 workstations with appropriate software and licence for Seychelles and Mauritius.</p>	<p>2018/2019</p> <p>2018/2019/2020</p>			
	<p>Outcome 1.2</p> <p>By 2021, Capacity is significantly strengthened and expanded to ensure sustainable management of the Joint Management Area of the Mascarene Plateau Region within the context of monitoring, control and surveillance (MCS)</p>	<p>No MCS current capacity specifically allocated to a Joint Management process</p>	<p>Address priority areas for monitoring control, surveillance, compliance enforcement and any related management activities in the JMA.</p>	<p>1) Recruitment of a Monitoring Control, and Surveillance Consultant to support the MSP Process in relation to surveillance, compliance and enforcement.</p> <p>a) Identify at least three (3) options for monitoring, control, and surveillance of human activities in the JMA,</p> <p>b) Assess and identify potential risks to human activities that may pose a threat to the resources and environment of the JMA, and provides appropriate tools, options, and/or scenarios to mitigate such risks.</p> <p>b) Identify possible monitoring, control and surveillance methods to track the activities</p>	<p>2019</p> <p>2019</p> <p>2019</p> <p>2019</p>	<p>Formally approved work-plan for MCS activities related to the JMA.</p> <p>Detailed awareness and briefings delivered, and response recorded</p> <p>Improved MCS procedures and activities</p> <p>Training work programmes updated by end of project</p>	<p>Work-plan / Road-map documented, and specific deliverables reported on</p> <p>Briefing documents available</p> <p>Awareness materials available</p> <p>Evidence of improved MCS procedures being active in JMA</p> <p>Updated work programme available for action by end of project</p>	<p>Both countries have expressed an interest in more training, especially related to this new management paradigm</p> <p>Briefings have been requested at the senior level in relation to trends and changes in ecosystem welfare as well as those related to blue / ocean economy</p>

				<p>identified under (1) above to develop a comprehensive maritime domain picture of the JMA.</p> <p>c) Identify, and make recommendations on, appropriate MCS tools (both hardware and software) to support the implementation of a management framework for the JMA (E.g. satellite tracking, in-situ monitoring devices etc).</p>	2019			
			<p>Requisite training, awareness and improved skills identified, and assessment completed of existing capacity. Particular emphasis given to monitoring, control and surveillance as management tools</p>	<p>c) Conduct a capacity gap analysis in monitoring control and surveillance management, to support the JMA management process (Seychelles and Mauritius), including a review of International Best Practices and deliver a workshop to stakeholders;</p> <p>d) Identify two (2) capacity building activities (focus on both institutional and human capacity needs) based on the findings from the capacity gap analysis, which support the implementation of a management framework for the JMA and participate in workshops and seminars on</p>	2019	Training plan on MCS	MCS being used as a tool of effective management in the JMA	
					2019			

				monitoring, control, and surveillance for the JMA.				
Component 2 Development of a data and information system along with a programme of data capture and gap-filling as a foundation for an adaptive management strategy	Outcome 2.1 By 2021, Existing Data and Information for the JMA identified, captured and stored in support of the Marine Spatial Planning process and as a mechanism for measuring changes as a part of a process of Adaptive Management	Very little data available on this area of the oceans. Some data collected on one cruise during ASCLME shows the area to be unique and with several records and new species. There are also data out there collected by other countries which have not been made available to Mauritius or Seychelles and which need repatriating	Existing Data and Information for the JM Area identified, captured and stored in support of the Marine Spatial Planning process and as a mechanism for measuring changes as a part of a process of Adaptive Management Data storage and analysis as a management support facility. Comprehensive and sustainable monitoring programme to support the management strategy and mechanism All data properly inventoried and sorted for metadata access by the MSP process	1)Recruitment of an IT Specialist to support the JMA Data Management System. a) Identify relevant data existing from outside development, and draft strategy for repatriation of the identified data b) Development and implementation of a data system architecture and design to support MSP process and JMA needs (Database, GIS Portal, and Server). c)Draft protocols for storage, access, and dissemination d)Training on data architecture and infrastructure and storage conducted to support data management system.	2019 2019/2020/2021 2019/2020 2019/2020 2019 2019/2020	Repatriated data in the storage system and available for use State-of-the-art Data Storage and Analysis facility in place and functional as well as sustainable Metadatabase and data storage in place (as per Component Appropriate software acquired for manipulating geospatial data (such as Ecopath, Ecosim and Ecospace, Satellite data and software) Data storage system up and running Comprehensive catalogue of data both at metadatabase level and at specific level	Evidence of repatriated data on the system Data storage systems up and running State of the art software installed and clear capacity for effective use demonstrated Physical presence of a data storage and access system associate with JMC and its designated authority System being actively used to support Joint Management process and to identify changes and trends for adaptive management action	Risk that no suitable trained personnel available to operate the data storage and retrieval system Absence of appropriate software and hardware to effectively analyse the data Appropriate training to be provided under previous component Appropriate supportive software and hardware to be identified and procured under previous component

			and for management use (both existing in-country data as well as an externally-held data that can be repatriated)					
	<p>Outcome 2.2</p> <p>By 2021, Gaps in priority data and information filled through a data capture process and a long-term monitoring programme established with direct links into the management process</p>	<p>Only a limited amount of data is available for this region. Consequently, there are many gaps in the necessary data that is requisite for an effective management plan</p>	<p>Priority data gaps identified and filled through an agreed work-plan and programme of data capture. This will include:</p> <p>Identifying priority data gaps to be filled</p> <p>Complete an agreed work programme of gap-filling through acquisition of external data, use of remote</p>	<p>2) Recruitment of a High Seas Governance Specialist to provide support to indicators assessment in the JMA and the policy guidance on existing data and data gaps in relation to the JMA needs and its associated activities.</p> <p>a) Set up a peer review body to review existing data and monitoring results. Provide recommendation of next steps.</p> <p>b) Preparation of a policy to review findings of peers-reviews on trends and to recommend</p>	<p>2019</p> <p>2020</p> <p>2020</p>	<p>Work-plan and data capture road-map formally adopted by JMC and designated authority</p> <p>Weight-of-Evidence and Trends Analysis processes adopted</p> <p>Gap-filling in-field data capture exercises confirmed through reports from ship's cruises</p> <p>Capture of data from other sources (i.e.</p>	<p>Work-plan and road-map</p> <p>Minuted agreements on Indicators for use in management process</p> <p>Indicator measurements feeding into data storage and analysis mechanisms</p> <p>WoE and Trends Analysis actively being used by a peer-review group and resulting briefing</p>	<p>If there is insufficient capacity or funding to support both further baseline data capture (for this vast and unknown region) and on-going monitoring, then there will be inadequate underpinning of any adaptive management process. Inability to identify and measure and changes would result in an absence of</p>

			<p>sensing information, field data capture, etc. All information fed into appropriate in-country data handling and analysis mechanisms</p>	<p>adaptive management strategies. c) Develop a management guideline to inform appropriate bodies and individual on policy briefs. d) Assessment and feedback from policy and management monitoring bodies for re-prioritization and focus on main areas of concern.</p>	<p>2020</p> <p>2020</p>	<p>remote sensing confirmed through assessment reports</p>	<p>documents and management guidelines being distributed and acted on</p>	<p>information for decision-making Data capture form indicator monitoring must be fed into the decision-making process effectively for any management strategy to be successful in adapting to changing conditions.</p>
			<p>A long-term programme of monitoring of indicators of effective management of the Area adopted by the JMA/JMC. Develop a long-term sustainable monitoring programme which prioritises indicators for monitoring.</p>	<p>a) Assess and identify risk in water column in relation to the seabed resources. b) Prioritization of the environment, social and economic indicators need in the JMA. c) Preparation of report on prioritization of monitoring protocols for the JMA needs based on activities in c above d) Preparation of a long-term monitoring programme for the JMA based on the priority indicators in (b) above.</p>	<p>2020</p> <p>2020</p> <p>2020</p> <p>2020</p>	<p>Long-term monitoring programme for the JM Area adopted with specific indicators identified Long-term indicators of change for monitoring agreed and adopted Active monitoring programme feeding into the adaptive management process as part of the overall management strategy</p>	<p>Long-term monitoring data and indicator information being used as part of the management process and feeding into Woe and Trends Analysis (see below)</p>	
			<p>Equipment needs for seabed and water column</p>	<p>a) list of equipment needs for seabed and water column.</p>	<p>2020</p>	<p>Necessary priority 'baseline' monitoring equipment procured Partnerships established for</p>		

			<p>monitoring to support a JMA management process prioritised and a procurement plan agreed.</p> <p>Long-term partnerships agreed (e.g. with private sector – through SOSI) for monitoring the Plateau region through in-field monitoring and use of remote sensors</p>	<p>a) Partnership agreement with at least 2 partners for monitoring of the Mascarenes plateau.</p>	2020	<p>monitoring and equipment provision/maintenance</p> <p>Partnership Agreement documentation.</p>	<p>Monitoring reports feeding into the overall management process</p> <p>Equipment physically deployed, and information being captured into overall data management system/process</p> <p>Partnership agreements signed and active</p>	
<p>Component 3</p> <p>Adoption and implementation of a Marine Spatial Planning approach with the objective of improving and implementing the effective decision-making for activities within the Joint Management Area</p>	<p>Outcome 3.1</p> <p>By 2021, Development of a Marine Spatial Planning mechanism under the direction of the Joint Management Commission and through the Joint Management Authority</p>	<p>There are some activities in both countries related to marine spatial planning, but none of them address this specific area or are aiming to provide the foundation for an overall Management Strategy</p>	<p>Comprehensive stakeholder engagement process completed as part of the Marine Spatial Planning exercise.</p> <p>Stakeholder review and support for the draft Management Strategy.</p> <p>Final adoption of a JMA Management Strategy by</p>	<p>a) See Stakeholders Mapping in the MSP activities</p> <p>b) Development and finalize an engagement stakeholder's platform to support the JMA and the JMA MSP Process.</p> <p>Development a Management Strategy for</p>	<p>2020</p> <p>2020</p> <p>2020/2021</p>	<p>Defining documentation</p> <p>Stakeholder workshops and direct involvement in MSP exercise</p> <p>Review of stakeholder engagement options and selection by the JMC</p> <p>Blue/Ocean economic considerations clearly</p>	<p>Minutes of a steering/working group</p> <p>Report/recommendations to JMC</p> <p>Minutes from stakeholder and MSP meetings</p>	<p>Sensitivities of widespread stakeholder review and involvement in what is a Government-endorsed Management Strategy</p> <p>Possible delays resulting from changes in government</p>

			<p>JMC and Governments</p> <p>Blue/Ocean Economic considerations and requirements and partnerships considered as part of the MSP</p> <p>Options for administrative mechanisms identified</p>	<p>the JMA in collaboration with the JMC</p>		<p>flagged and discussed during MSP process and integrated into the overall management strategy</p> <p>Review of administrative options and selection by the JMC</p> <p>Final Management Strategy adopted based on MSP process, with due reference to blue/ocean economy and having gone through final stakeholder review</p>	<p>Blue/Ocean Economic concerns covered in final Management Strategy</p> <p>JMC minutes and reports identify pros and cons of various administrative options and reach a decision</p> <p>JMC minutes and reports identify pros and cons of various stakeholder engagement options and reach a decision</p> <p>Final Management Strategy document signed by appropriate high-level government representatives/leaders</p>	
			<p>Funding sources for sustainable support of the various options negotiated and confirmed</p>	<p>a) Scientific symposium to pledge for data system support and establishment of a financial mechanism for the JMA.</p>	2020	<p>Funding agreement documentation</p>		
			<p>Options for comprehensive, cross-sectoral stakeholder engagement in the management (and monitoring) process identified</p>	<p>d) Development of a roadmap for funding mechanism to support the JMA MSP implementation.</p>	2020			
				<p>e</p>	2020			

	Outcome 3.2 Implementation and Sustainability of a Joint Management Strategy based on the Marine Spatial Planning exercise	No existing Joint Management Strategy as yet	Adoption of an Implementation road-map which includes indicators to evaluate progress	<p>a) Implementation of the MSP roadmap done by the MSP Specialist.</p> <p>c) Extension or new contract for the MSP Specialist to support the implementation of roadmap.</p> <p>Implementation of the funding mechanism roadmap</p> <p>Policy Briefs for the JMA</p> <p>Setup review board to communicate management strategy and reporting</p> <p>Setup an MCS body to ensure effective JMA Management based on the MSP Framework and roadmap</p> <p>) Hire short term Legal advisor on the MSP and MCS implementation.</p>	<p>2021</p> <p>2021</p> <p>2021</p> <p>2021</p>	<p>Evaluation body formally adopted by JMC</p> <p>Evaluation process formal in place for Management Strategy</p> <p>Special Review Board or similar body agreed by JMC and functioning</p> <p>JMA and designated authority provide formal feedback to technical level within Management process to advise on amendments and priorities</p> <p>Management guidelines and policy level briefs regularly developed and circulated</p>	<p>Evaluation document formally presented to and discussed by JMC and conclusions minutes</p> <p>Reports to JMC from Special Review Board or similar body as part of the Management Strategy Evaluation process</p> <p>Feedback documents from JMC to technical levels (minutes)</p> <p>Hard copies of briefing Document and Management Guidelines available</p>	Appropriate incentives within management and policy levels to act on guidance and briefings as part of an adaptive management approach
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			<p>Feedback from Special Review Board and JMC to technical level for prioritisation of actions</p> <p>Ministerial level Briefs delivered regularly for senior policy makers and heads of state.</p>					
Component 4 Monitoring, Evaluation, Adaptive feedback and Sustainability	Outcome 4.1 Progressive Assessment and Review of Project Activities, Delivery and Sustainability	Absence of current management approach means there is no existing sustainability related to project activities	Inception Meeting and Adaptive Management Review of Project Road-Map and Work-plan	Inception workshop	2019	Road-map and Budget adopted by PSC (with appropriate amendments as required)	Minutes from Inception Meeting	Independent Evaluators are fully briefed and are sufficiently experienced to do their job effectively
			Mid-Project Review of On-going Delivery, Challenges, Constraints and Proposed Resolutions	Mid-term Review	2018/2019 /2020/2021	Written assessment of project delivery etc. at Mid-term with recommendations for remainder of Project	Formal Report from Independent MTE Minutes from PSC adopting MTE and its recommendations and adopting these into a new Work-Plan and Budget	PSC agrees with findings of MTE Sufficient budget available in second half of Project to address the findings of the MTE by way of activities
			Final Review of Delivery, Best Lessons and Further	Final Review Report	2020 2021	Written assessment of project delivery, lessons and practices	Formal Report from Independent Terminal Evaluation	

JMA Mid Term Review

			Activities required at end of Project			(for replication) at close of Project		
			Annual Project Implementation Review	Annual Project Implementation Review	2019/2020/2021	Detailed Implementation Review delivered to UNDP	Annual PIRs delivered to UNDP	

Annex VIII: Progress Towards Results Matrix

Project Strategy	Indicator	Baseline Level	Level at 2020 PIR (self-reported)	End-of-Project Target	Midterm Level and Assessment (Outcome)	Achievement Rating	Justification for Rating
Project Objective: The development of a sustainable mechanism for the joint management of a shared extended continental shelf area, namely the Mascarene Plateau Region, as shared by formal agreement between Seychelles and Mauritius. The long-term benefits of this to the countries will be sustainable resource use alongside economic development. The long-term benefits to GEF and	MSP process fully documented, and results used by JMC as basis for a Management Strategy	This recently approved continental shelf extension falls within the jurisdiction of two countries (Mauritius and Seychelles). The Joint Management Area so created has no management strategy as yet. This will be the first example of the development of a management strategy for an extended continental shelf (ECS) area to be jointly managed in this manner.	The recruitment of a Marine Spatial Planning Specialist for the JMA supports the MSP Framework of the Joint Management Area. A draft road-map has been completed. Comments from stakeholders will be used to strengthen the final submission of the road-map. This roadmap will set a milestone for the proper marine plan for the JMA and provide support for future activities in the area.	a) Recruitment of an MSP Specialist b) Undertake a gap analysis comparing the baseline with what is required to undertake effective MSP. c) Document the identified gaps that are required to be addressed in a future MSP project. d) Conduct a skills gap assessment to support the MSP implementation process in the JMA. e) Deliver an MSP Inception Workshop with stakeholders, (Seychelles & Mauritius). f) Define scale and scope of the JMA MSP process. g) Identify JMA Data Sources and data Holders h) Preparation of a data sharing agreement. i) Report on spatial and non-spatial tools. j) Validation workshop for the JMA MSP Process.		MS	<ul style="list-style-type: none"> • JMA Project has advanced the understanding on the benefits of the Marine Spatial Planning to enhance governance of the JMA • Commendable progress has been made towards increasing the capacity for MSP • Stakeholders have been successfully involved in the implementation of the project • The overall rating of Moderately Satisfactory reflects the fact that, while the progress has been significant in spite of early delays in the start of the project's implementation, there are still some areas for improvement, in particular the

globally will be a pilot/demonstration of such a management strategy which can then be replicated and transferred to other extended continental shelf areas around the world.	JM Strategy formally adopted by both countries	The ECS management has its complications in view of the seabed and subsoil being sovereign jurisdiction, while the super adjacent water column above is considered to be a 'high seas' commons.		k) A roadmap for the JMA MSP, Phase II implementation			communication activities <ul style="list-style-type: none">Some project's activities have been slowed down by the Covid-19 pandemics, causing delays in their timely implementationAdoption of the MSP Roadmap has created an excellent basis for the development of the MSP Framework.
	Stakeholder engagement in the management process			l) A Stakeholders mapping exercise.			
	Use of effective communication between stakeholders.			m) Recruitment of a Communication Consultant to support the MSP communications aspects. n) Development of a communication strategy for the Stand-alone UNDP- JMA Demonstration project and support the JMA Marine Spatial Planning framework o) Conduct capacity building competencies in the field of communication and awareness.			
	Websites and other communications mediums being used.			p) Prepare important tools for employment of an effective communication plan.			
Component 1: Building Technical and Management Capacity in support of Marine Spatial Planning and effective management of the Joint Management Area							
Outcome 1.1 By 2020, Capacity is significantly strengthened and expanded to undertake and sustain all aspects of an effective Marine Spatial Planning Process.	Training plan with roadmap developed together with a mentoring process	Very limited capacity or understanding of the process or the needs for marine spatial planning	a) In collaboration with the IOC-UNESCO, UNEP-Nairobi Convention and WIOMSA, a regional MSP training was conducted with the participation of 12 Mauritians and 2 Seychellois in October 2018. This partnership supported Integrated Coastal Area Management (ICAM) and	a) Skill gaps analysis to indicate needs in MSP implementation b) Training plan with roadmap developed together with a mentoring process			<ul style="list-style-type: none">Skills for MSP have been analyzed and a training plan developed to fill gaps required to support MSPDue to Covid-19 pandemics, not all the planned training activities could be carried out and it is
	Training courses and workshops completed			c) Conduct at least four (4) MSP workshops			
	Attendances confirmed at			d) Participate in at least eight (8) MSP activities at national and			

	existing training exercises elsewhere in region or internationally		<p>Marine Spatial Planning (MSP) as well as integrated marine assessments in Africa in general and the WIO region in particular.</p> <p>b) Another Ocean Planning capacity-building activity conducted in June 2019 was the Science for Solutions workshop: Bringing Stakeholders Together to Improve Ocean Planning and Governance for ABNJ in the South East Atlantic and Western Indian Ocean. At this workshop, two Seychellois and one Mauritian benefited and increased their understanding of ocean planning.</p> <p>c) The JMA Project is in the process of validating several scenarios developed by the MSP Specialist for the management of the JMA. A workshop is planned in August 2019 with stakeholders for inputs. This will provide the first lessons of best practices to be used in the effective management of the JMA. Furthermore, the best scenarios will be used to strengthen the road-map and the MSP framework of the JMA.</p>	<p>international level to strengthen capacity building of Seychelles and Mauritius in the implementation of the JMA MSP framework</p> <p>e) Collaborate with at least four (4) partners to enhance capacity building activities identified in skills gap report</p> <p>f) Two partners so far in collaboration , ESRI and Rogers Capital</p> <p>g) Procurement of 6 workstations with appropriate software and licenses for Seychelles and Mauritius</p>		S	<p>questionable, considering the extended crisis, that all of the training activities will be carried out in the remaining time for the project's implementation</p> <ul style="list-style-type: none"> • Communication activities need to be stepped up.
	Mentor programmes in place for skill development						
	Procurement completed for appropriate software and hardware						

Outcome 1.2 By 2021, Capacity is significantly strengthened and expanded to ensure sustainable management of the Joint Management Area of the Mascarene Plateau Region within the context of monitoring, control and surveillance (MCS)	Formally approved work-plan for MCS activities related to the JMA.	No MCS current capacity specifically allocated to a Joint Management process		a) Recruitment of a Monitoring Control, and Surveillance Consultant to support the MSP Process in relation to surveillance, compliance and enforcement.		S	<ul style="list-style-type: none"> • A comprehensive report has shown what risks exist to human activities in the JMA, which pose a threat to sustainable development of the area. The plan proposed appropriate MCS procedures, which assist in minimizing the perceived risks. • MCS skills gaps have been analyzed and a capacity building and training plan has been developed. • Due to the Covid-19 crisis the planned mission of the MCS consultant and the respective training activities could not be carried out according to plan, but could be implemented in 2021
	Detailed awareness and briefings delivered, and response recorded			b) Identify at least three (3) options for monitoring, control, and surveillance of human activities in the JMA, c) Assess and identify potential risks to human activities that may pose a threat to the resources and environment of the JMA, and provide appropriate tools, options, and/or scenarios to mitigate such risks. d) Identify possible monitoring, control and surveillance methods to track the activities identified under (1) above to develop a comprehensive maritime domain picture of the JMA.			
	Improved MCS procedures and activities			e) Identify, and make recommendations on, appropriate MCS tools (both hardware and software) to support the implementation of a management framework for the JMA (E.g. satellite tracking, in-situ monitoring devices etc.).			
	Training work programmes updated by end of project			f) Capacity building List for the future uses.			

	Training plan on MCS			<p>g) Conduct a capacity gap analysis in monitoring control and surveillance management, to support the JMA management process (Seychelles and Mauritius), including a review of International Best Practices and deliver a workshop to stakeholders;</p> <p>h) Identify two (2) capacity building activities (focus on both institutional and human capacity needs) based on the findings from the capacity gap analysis, which support the implementation of a management framework for the JMA and participate in workshops and seminars on monitoring, control, and surveillance for the JMA.</p>			
Component 2: Development of a data and information system along with a programme of data capture and gap-filling as a foundation for an adaptive management strategy							
Outcome 2.1 By 2021, Existing Data and Information for the JMA identified, captured and stored in support of the Marine Spatial Planning process and as a mechanism for measuring changes as a part of a process of	Repatriated data in the storage system and available for use	Very little data available on this area of the oceans. Some data collected on one cruise during ASCLME	6 specialized workstations have been purchased by the JMA Project to support the database management system. Three have been allocated for Seychelles and 3 for Mauritius. ArcGIS software	a) Recruitment of an IT Specialist to support the JMA Data Management System. b) Identify relevant data existing from outside development, and draft strategy for repatriation of the identified data			<ul style="list-style-type: none"> • All existing data sets have been compiled and most of them converted into a GIS data layers/maps • Hardware and software for GIS has been procured and installed • Training on GIS has been delayed because of Covid-19 but is on track to be completed before the end of the project
	State-of-the-art Data Storage and Analysis facility in place and functional as well as sustainable	shows the area to be unique and with several records and new species. There are also data out there collected by other	has also been purchased and installed on all workstations. The recruitment of an IT Specialist to support the database system is in process and expected to be in place by August 2019. This person will be expected to support the	c) Development and implementation of a data system architecture and design to support MSP process and JMA needs (Database, GIS Portal, and Server). c) Draft protocols for storage, access, and dissemination			

Adaptive Management	Metadata base and data storage in place (as per Component Appropriate software acquired for manipulating geospatial data (such as Ecopath, Ecosim and Ecospace, Satellite data and software)	countries which have not been made available to Mauritius or Seychelles and which need repatriating	drafting of data sharing agreement and the building of the database infrastructure architecture with its associated software.	e) Procure and install ArcGIS Enterprise for online analysis and sharing using a designated portal designed by JMA Stakeholders.		S	<ul style="list-style-type: none"> Capacity for data management is being increased
	Comprehensive catalogue of data both at metadata base level and at specific level			f) Training on data architecture and infrastructure and storage conducted to support data management systems.			
Outcome 2.2 By 2021, Gaps in priority data and information filled through a data capture process and a long-term monitoring programme established with direct links into the management process	Work-plan and data capture road-map formally adopted by JMC and designated authority	Only a limited amount of data is available for this region. Consequently, there are many gaps in the necessary data that is requisite for an effective management plan	A partnership with IOC-UNESCO is under discussion for the JMA Project to organize its first scientific symposium to garner support for data related to the JMA.	a) Recruitment of a High Seas Governance Specialist to provide support to indicators assessment in the JMA and the policy guidance on existing data and data gaps in relation to the JMA needs and its associated activities.			<ul style="list-style-type: none"> Data and information gaps identified Training on GIS delayed because of Covid-19 Working groups' TORs drafted, but the groups are not yet operational Fast-track review process, also dependent on establishment of the working groups, has not yet started
	Weight-of-Evidence and Trends Analysis processes adopted			b) Hire short term Legal advisor on the MSP and MCS implementation			
	Gap-filling in-field data capture exercises confirmed through reports from ship's cruises			c) Set up a peer review body to review existing data and monitoring results. Provide recommendation of next steps. d) Preparation of a policy to review findings of peer-reviews on trends and to recommend adaptive management strategies.			

	Capture of data from other sources (i.e. remote sensing) confirmed through assessment reports			e) Develop a management guideline to inform appropriate bodies and individual on policy briefs. f) Assessment and feedback from policy and management monitoring bodies for re-prioritization and focus on main areas of concern.		MS	
	Long-term monitoring programme for the JM Area adopted with specific indicators identified			g) Assess and identify risk in the water column in relation to the seabed resources.			
	Long-term indicators of change for monitoring agreed and adopted			h) Prioritization of the environment, social and economic indicators needed in the JMA.			
	Active monitoring programme feeding into the adaptive management process as part of the overall management strategy			i) Preparation of report on prioritization of monitoring protocols for the JMA needs based on activities in c above j) Preparation of a long-term monitoring programme for the JMA based on the priority indicators in (b) above.			
	Necessary priority 'baseline' monitoring equipment procured			k) List of equipment needed for seabed and water column.			
	Partnerships established for monitoring and			l) Partnership agreement with at least 2 partners for monitoring of the Mascarenes plateau.			

	equipment provision/maintenance						
Component 3: Adoption and implementation of a Marine Spatial Planning approach with the objective of improving and implementing effective decision- making for activities within the Joint Management Area							
Outcome 3.1 By 2021, Development of a Marine Spatial Planning mechanism under the direction of the Joint Management Commission and through the Joint Management Authority	Stakeholder workshops and direct involvement in MSP exercise	There are some activities in both countries related to marine spatial planning, but none of them address this specific area or are aiming to provide the foundation for an overall Management Strategy		a) See Stakeholders Mapping in the MSP activities		MS	<ul style="list-style-type: none"> • The baseline for the Management Strategy has been prepared • The exact management area, authority, goals and objectives of the strategy were discussed, but the start on the strategy is pending the closure of the lockdown in Mauritius and Seychelles • The activities were delayed because of Covid-19 and the elections in Seychelles • The outcome is not on target
	Review of stakeholder engagement options and selection by the JMC			b) Development and finalize an engagement stakeholder's platform to support the JMA and the JMA MSP Process.			
	Blue/Ocean economic considerations clearly flagged and discussed during MSP process and integrated into the overall management strategy			c) Development a Management Strategy for the JMA in collaboration with the JMC			
	Review of administrative options and selection by the JMC						
	Final Management Strategy adopted based on MSP process, with due reference to blue/ocean						

	economy and having gone through final stakeholder review						
	Funding agreement documentation			d) Scientific symposium to pledge for data system support and establishment of a financial mechanism for the JMA. e) Development of a roadmap for funding mechanism to support the JMA MSP implementation.			
Outcome 3.2 Implementation and Sustainability of a Joint Management Strategy based on the Marine Spatial Planning exercise	Evaluation body formally adopted by JMC and evaluation process formally in place for Management Strategy	No existing Joint Management Strategy as yet		a) Extension or new contract for the MSP Specialist to support the implementation of roadmap b) Implementation of the MSP roadmap done by the MSP Specialist.		MS	<ul style="list-style-type: none"> Because of the delays caused by Covid-19, and a prolonged lockdown in two countries, the activities on development and implementation of the Joint Management Strategy have been delayed. The activities in this outcome are not on target
	Special Review Board or similar body agreed by JMC and functioning						
	JMA and designated authority provide formal feedback to technical level within management process to advise on amendments and priorities			c) Review of the Management strategy development by the Management planner.			
	Management guidelines and policy level briefs regularly			d) Setup an MCS body to ensure effective JMA Management based			

	developed and circulated			on the MSP Framework and roadmap			
Component 4: Monitoring, Evaluation, Adaptive Feedback and Sustainability							
Outcome 4.1 Progressive Assessment and Review of Project Activities, Delivery and Sustainability	Road-map and Budget adopted by PSC (with appropriate amendments as required)	Absence of current management approach means there is no existing sustainability related to project activities		a) Inception workshop b) PSC meetings		S	<ul style="list-style-type: none"> ● PSC meeting frequently ● PMU informs PSC on the progress and the implementation of the project is adapted as required ● Project results are reported in the SAPPHIRE PIR, but that is considered as inadequate because both projects are progressing at unequal pace (JMA Project is being implemented more regularly, in particular before the Covid-19 crisis)
	Written assessment of project delivery etc. at Mid-term with recommendations for remainder of Project			c) Mid-term Review			
	Written assessment of project delivery, lessons and practices (for replication) at close of Project			d) Final Review Report			
	Detailed Implementation Review delivered to UNDP			e) Annual Project Implementation Review			

Annex IX: Ratings scale

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

Annex X: Signed UNEG Code of Conduct form

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses in their domains or systems which are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accepted in all affected by the evaluation with exceptional legal rights or serious needs.
3. Should protect the integrity and confidentiality of evaluative information. 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 its evaluation of management functions with the general principle.
4. Sometimes uncover evidence of wrongdoing while evaluating evaluations. Such cases must be reported directly to the appropriate investigation 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, customs and norms 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 evaluations might negatively affect the interests of some individuals, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the individuals' dignity and self-worth.
6. Are responsible for their performance and their products. They are responsible for the clear, accurate and fair written and/or oral presentation of study interviews, findings and recommendations.
7. Should reflect sound assessing procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.
9. Must declare that they have not been involved in designing, assessing or advising on the project being evaluated.

MTR Consultant Agreement Form

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

Name of Consultant: IVICA TRUMBIC


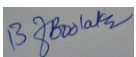

Name of Consultancy Organization (where relevant): _____

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

Signed at: SPLIT Date: on 1 DECEMBER 2020 (Date)

Signature: [Signature]

Annex XI: Signed MTR final report clearance form

Midterm Review Report Reviewed and Cleared By:		
Commissioning Unit (M&E Focal Point)		
Name: _____	Satyajeet Ramchurn, Head of Environment Unit	Bibi Farzina Lowtun Boolakee, Gender and Monitoring and Evaluation Officer
Signature: 		Date: 29 March 2021
Regional Technical Advisor (Nature, Climate and Energy)		
Name: _____	Madeleine Nyiratuza	
Signature: 		Date: 02-Apr-2021